



FUNCTIONAL REVIEW REPORTS

**Karnataka
Administrative Reforms Commission**

December 2001

FUNCTIONAL REVIEW REPORTS

KARNATAKA ADMINISTRATIVE REFORMS COMMISSION

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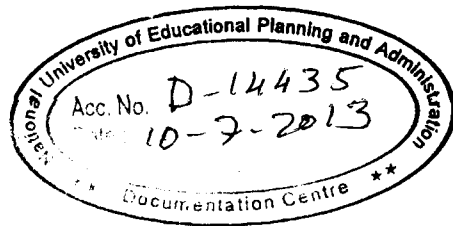
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FORD FOUNDATION



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FUNCTIONAL REVIEWS

Executive Summary

The revised terms of reference for the KARC stipulate that a set of functional reviews be conducted for some major departments in the government. The KARC has, therefore, conducted the functional review for 13 departments. The Ford Foundation has financially assisted the KARC in directly funding the organisations conducting the functional reviews. The names of the departments and the organisations conducting the functional review is given below -

Sl. No.	Departments	Agencies
1	Commerce and Industries Forests Urban Development Public Works Irrigation	Indian Institute of Management, Bangalore (IIM-B).
2	Education Health and Family Welfare	Institute for Social and Economic Change (ISEC), Bangalore.
3	Social Welfare Rural Development & Panchayat Raj Revenue Agriculture and Horticulture	M/s NIS Sparta Limited, Bangalore.
4	Labour Food, Civil Supplies and Consumer Affairs	In house team of KARC officers.

The functional reviews are not a one-time exercise and need to be done on a continuous basis. Therefore, in order to demonstrate that functional reviews can be successfully undertaken by the government officials and necessarily do not need to be carried out by other agencies, KARC had the functional reviews of two departments undertaken by an in house team of KARC officers. Therefore, as a model, the functional reviews of two departments - Food and Civil Supplies and Labour were undertaken on the same terms of reference as were given to all the other organisations.

The functional reviews for the selected departments were conducted for 5 districts spanning 3 taluks in each district and 3 villages in each taluk. Exceptions were made for departments of Commerce and Industries, Forests and Irrigation. For the Forest Department, instead of Bijapur district, Chickmagalur district was included. For Commerce and Industries Department, a total number of 7 districts were studied which were - Bellary, Belgaum, Bijapur, Kolar, Gulbarga, Mysore and Chitradurga. The Irrigation

Department functional review was on a project area approach and the following projects representative of major river basins of the State were studied -

- 1) KRS Division, Maintenance, KRS.
- 2) IBC Division, Zhalki, Bijapur District.
- 3) TLBC Division, Sindhanur, Raichur District.
- 4) IPCD, Gulbarga (Bennethora Project).
- 5) Kolar District (for Minor Irrigation).

The functional reviews were expected to evaluate / review government expenditure of the relevant departments in terms of their results and efficiency. All the functional reviews have been able to provide specific recommendations on areas of possible expenditure savings as also measures for revenue enhancing wherever applicable. However, given the time frame in which the functional reviews have been conducted and report submitted to the Commission, it was not possible to cover all areas of expenditure and functioning of the departments. The focus was on departments with major budget allocations and within departments on major spending areas. The organisations were also asked to utilise, wherever relevant, information from previous reviews or studies.

The functional reviews conducted by the KARC have been done for the first time by any State Government on such a large scale and for so many government departments. Though there have been some studies undertaken by several departments they have focused only on certain specific areas of the department and not studied the department's functioning as a whole. The traditional mode of assessing a department's performance in the government has been through work-studies. However, work-studies have very limited capabilities and have not been regular at all in the government. The present parameters of work-studies in the government focus only on norms related to outputs and file disposals and cannot examine issues pertaining to quality delivery of schemes and expenditure performance of the departments.

The Bureau of Economics and Statistics under the Planning Department has also done some small studies by picking up certain major schemes of the developmental departments to ascertain whether the benefits as shown under the schemes have actually been delivered to the beneficiaries or otherwise. These studies are also very limited in scope and context and have not produced any substantial recommendations for any department to be useful in their restructuring, reorganisation or even in improving efficiency of the department. Therefore, the functional reviews have an added importance for the departments since the terms of reference for the functional reviews cover reorganisation/restructuring of the concerned departments as well as recommendations for rightsizing the departments.

The recommendations of the functional review have been placed in the context of the broader recommendations of the KARC for rationalisation of the departments and staff, and in the proposed overall governance reforms strategy of the State Government aiming to enhance efficiency, accountability and transparency in government functioning.

The functional reviews have also examined the multi-level hierarchical system prevalent in the departments and the ongoing efforts by some of the departments for rationalizing delegation of powers. Wherever departmental activities are basically

implemented through schemes, the functional reviews have also studied two major schemes of the departments and have given suitable recommendations on the scheme implementation.

The recommendations of the functional review have emerged over 4-5 months of fieldwork, from May 2001 to August 2001, detailed deliberations with officers, staff, elected representatives and NGOs at various levels as also focus group discussions. Since it would not be possible to place the complete functional review of each department in the KARC report, only the major findings and recommendations for each department were incorporated in the report. These recommendations are those, which have been accepted by the Commission from the functional review reports as well as the recommendations that have emerged from the Commission's independent reviews of the departments.

However, copies of the full report of the functional review as given by the concerned organisations are being printed together in this book. The views and recommendations expressed in these reports are only of the organisations and do not in all matters represent the Commission's views. The format, content and structure of the reports in this book are as submitted by the organisations to the Commission. No changes have been made. However, all the studies were objective and the recommendations frank. The preliminary findings and recommendations for each department were presented before the Commission and the respective departmental Secretaries and heads of departments. Detailed discussions were held. The final report for each department is, therefore, the outcome of field reviews and suggestions made by the concerned departments during the presentations.

On behalf of the organisations who have conducted the functional review, the KARC would like to place on record the cooperation and assistance given by all the Secretaries to Government, heads of departments, departmental officers at all levels who provided required data and extended excellent cooperation to the KARC and the organisations to make these functional reviews a success. This enabled the KARC to complete them on schedule. The Commission also acknowledges the financial assistance provided for the conduct of the functional reviews by the Ford Foundation.

Certain of the findings and recommendations are not new and known to the Government in either general or specific terms. Some of other findings are shocking and interesting, and recommendations to set right the problems are innovative, doable and would project the Government in a positive manner before the public. The Commission would again reiterate that all the findings and recommendations of the functional reviews were discussed with the concerned departmental Secretaries and heads of departments. There is, therefore, a high degree of ownership to the recommendations for each departmental functional review. Some departments, noticeably Agriculture and Horticulture and Irrigation and Public Works Departments protested rather vehemently at the recommendations on right sizing of the departments. However, the Commission after deliberating on the views presented by the departments as well as the organisations conducting the functional review decided that these recommendations would stand and are relevant to improving efficiency in the respective organisations.

All the functional reviews have given recommendations on restructuring the departments to improve organisational and operational efficiency as well as effectiveness of scheme delivery. A unanimous recommendation has been on the right sizing of the

departments. All the reviews have revealed excess numbers of staff and for some departments like Public Works, Irrigation, Forests, high levels of over staffing especially at the senior bureaucratic levels.

Around 8533 posts have been identified as surplus in the functional reviews. In addition, certain divisional level offices and other offices of some departments have also been suggested for abolition. But it was not possible to know the exact number of employees working in these offices. Therefore, if these numbers were also to be taken into account, the number of employees to be declared surplus would be much larger.

All the functional reviews have also commented upon the quality of service delivery as well as the promptness of execution. It is revealing that where the projects / schemes are externally funded or even by NABARD, the quality of execution is good and timely. Also when projects / schemes are implemented by Corporations, whether under Irrigation, Public Works or Social Welfare by the same departmental officials, who are on deputation to the Corporations, the quality of work is superior. This reveals that in cases where funding is assured, release of funds is timely and the organisations have a higher degree of functional autonomy as compared to government departments and less external interference, government can deliver and make a qualitative difference too.

Another recommendation common to all departments has been the one on outsourcing. Several areas in each of the department's functioning have been recommended for outsourcing. These recommendations if accepted would release substantial numbers of staff to do more useful work and also help in reallocating scarce financial resources for better purposes.

It has also been revealed that the level of computerisation in the departments under review, barring the Revenue Department, is poor. The Food and Civil Supplies Department is now issuing computerised ration cards. but in the rest of the Departments, the level of computerisation is such that it has had very little impact on improving the department's functioning or even benefiting the public. Though the acceptability of computerisation in government departments has increased, yet unless certain systemic changes are made in the way government functions, it would be difficult to make e-governance a success.

Also starkly noticed during the functional review is the lack of motivation and discipline amongst the bureaucracy at all levels. Apathy, disinterest and complete lack of concern for the ultimate outcome of the programmes that are being implemented were evident during the field visits and discussions. Remedial measures should focus on fixing accountability and improved training inputs.

Assessing organisational performance in the government is quite difficult. First, unlike private organisations, in government there is no single performance indicator, such as profits or market share that can be used to compare across different types of organisations or products. Very few departments in the government work for profit.

It is, therefore, difficult to find performance measures that satisfy ideal qualities of consistency and comparability. It is also not easy to obtain examples of benchmarks that can be applied over time to government departments. The waiting time for a patient to see a doctor is not comparable to primary school enrolment rates – the parameters

in Government are so organisation or service specific. Measuring service quality involves an even more complex set of issues. But a sincere attempt has been made by the organisations to measure the above parameters in an objective and transparent way and arrive at credible results.

These functional review reports would serve as policy instruments which Government could use in the restructuring and reorganisation of departments. It is difficult for large government departments to assess their own performance in an objective manner.

One reason is that information may not be readily available to help the departments compare how well their organisations are doing relative to others providing similar services. Functional reviews would be able to provide some data in this regard.

Above all, these functional review reports have a high degree of validity, they are easily comprehensible, and are ultimately very relevant for the concerned departments and the Government.

The format and procedures for the functional reviews may need to be modified with time, but the essentials of the process need to be continued.

Some of the annexure to the functional review reports pertaining to beneficiary and employee surveys, as also tables on the administrative structure of the departments have been brought out separately in another volume.

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KARNATAKA ADMINISTRATIVE REFORMS COMMISSION

TERMS OF REFERENCE FOR FUNCTIONAL REVIEWS

Background

The Government of Karnataka has resolved to take concrete steps to improve efficiency and economy at all levels, enhance transparency and accountability in government operations internally and in dealings with citizens, and streamline administrative procedures and rules for this purpose. The Karnataka Administrative Reforms Commission (KARC) has proposed to undertake a functional review of major departments of government, covering all hierarchical levels, in the overall context of its recommendations for promoting good governance, effective and responsive administration, civil service reform and a staff review of the concerned departments. The exercise is not expected to be an impact evaluation or an extensive research project, but systematic reviews of the functioning of selected departments and agencies at policy-making and operational levels, with reference to certain parameters and current concerns for good governance.

The Context

The following considerations would govern the exercises for functional reviews:

- The review would go beyond the traditional work study exercise, which is now undertaken by units in the Department of Administrative Reforms, and which merely looks at norms related to outputs and file disposal under the manual of office procedure or traditional field duties;
- The exercise would be placed in the context of broader recommendations of the ARC for rationalisation of departments and staff, and coherence in, allocation of functions and under the present Transaction of Business Rules. The exercise would examine primarily rightsizing of the administration;
- The exercise would be situated in the proposed governance reforms to enhance efficiency, accountability, and transparency in government functioning.
- The exercise would take note of multi-level governance and ongoing efforts by different departments for devolving functions and responsibilities to panchayati raj and nagarpalika bodies;
- The exercise would be placed also in the context of ongoing exercises for streamlining schemes, with attendant implications for functional distribution and delivery structures; and finally
- The exercise would take note of the government initiatives for alternate service delivery through non-government and community-based agencies or the user management of planning and services.

Expected Tasks

The reviews are expected to look at the following aspects of working of each department under the functional review with reference to both the perspectives of departments and administrative goals as well as the expectations and needs of ultimate users and clients of departments:

- 1) Rationale for functions and departmental activities in the context of current perceptions and policies.
- 2) Nature and spread of schemes/activities supported from state budget or central/externally aided programs/projects, the proliferation and duplication of schemes within the same or related departments, recommendations for merger/abolition of schemes;
- 3) Overlaps and complementarities with other departments, public sector enterprises and functional agencies;
- 4) Evaluation of guidelines of few major schemes and activities from the point of view of clarity of goals and outputs, performance and impact indicators, design and planning, implementation arrangements, flow of funds, procedure for approvals, delegation of authority, scope for involvement for local government, manner and identification of beneficiaries in social sector schemes, consultation and participation of beneficiary groups and voluntary agencies, and coordination at departmental and operational levels, and evaluation of outcomes with reference to the goals of department and government policies, as well as client expectations;
- 5) Nature of planning and decision-making, level of decentralisation for approval of schemes, provision for feedback and iterative corrections, efforts to address delays at different stages of implementation or delivery of services;
- 6) Departmental structure at various levels, from the Secretariat to the directorates to division/district to field offices, nature of delegation of authority and vertical/horizontal administrative and financial linkages.
- 7) Number of employees at various levels, scope for merger/outsourcing of tasks to reduce employee strength, surplus employees at every level and in each cadre; reduction / redeployment of posts in every cadre and level.
- 8) Nature of secretariat procedure, file processing, extent of computerization, record management and retrieval.
- 9) Arrangements for internal monitoring and reporting systems, effectiveness of such systems, steps for effective utilisation of budget provision and other revenue sources, materials and inventory systems;
- 10) Nature and quality of performance evaluation, recognition and reward systems, and steps to enhance morale and motivation;

- 11) Human resource development through training at the workplace and outside;
- 12) Steps for internal communication of departmental goals and expectations to employees at all levels, and publicised procedures for public grievance redress and consultation;
- 13) Work environment and facilities for employees and visitors, including facilities for women employees.

From the perspective of citizens, the following issues would be addressed in the exercise:

- Publicized standards of services and activities provided by department and its agencies at different levels, including public sector enterprises, including declarations of citizens' charter, wherever released;
- Level of transparency in the working of the departments and their agencies; access of people to information on activities and decisions, speed of response to demands for information, and grievance redressal mechanisms;
- Quality of service delivered through counters, and constraints of employees in responsive delivery;
- Employee awareness of performance indicators and standards of citizen satisfaction;
- Assessment of the benefits received under selected schemes and service outlets reaching intended users or beneficiaries, equity of provisions, modifications in guidelines, if any, for schemes, quality of information provided to citizens, citizen involvement in scheme planning and implementation, and prevailing employee attitudes towards the citizens.

Key Deliverables

Based on the functional review, the key deliverables must contain recommendations on –

- Restructuring/reorganisation/merger of departments to improve efficiency and better service delivery mechanisms.
- Rightsizing of the departments and staff, redeployment of the staff, abolition of surplus redundant posts with specific reference to all cadres and levels in the departments.
- Activities to be outsourced/privatisation of any activities.
- Devolution of powers/finances to local bodies, both rural and urban.
- Improving systems and work methods for greater accountability and transparency in departments functioning.

Methodology

As the work would be undertaken by a number of organisations, but with a common object in view, they are expected to agree on the parameters for the exercise and to generate compatible outputs, though not similar findings. The ARC would guide the consultants, review progress, harmonize approaches, and extend necessary administrative support.

It envisages that the organisations carrying out the reviews would undertake assessments of the views of employees, supervisors, user groups and opinion makers (such as media and expert bodies, legislators and senior bureaucrats). They are expected to suggest research and evaluation methodologies and tools, which could be differentially applied, depending on the nature of the department, its geographical spread, and the type of function. There would also be methodologies and tools, which are uniformly applicable, such as secretariat procedure or information technology or decision-making process. The organisations in question would propose methodologies and approaches, which could be replicated and used regularly in different types of government departments. They could use a range of study methods, which might prove useful for the exercise such as questionnaire surveys, report cards, focus group discussions, individual interviews, and participant observation. They would also work in close consultation with the head of department and field office.

Budget

The number of districts for the functional review is five – Gulbarga, Bijapur, Uttara Kannada, Chamarajanagar and Kolar. In each district, 3 taluks would be studied. The number of questionnaires for field surveys would be 450 households for each review. Given the limitation of time and the limited budget, each review is expected to operate within a budget of Rs. 4.5 lakhs for the field-based exercises and Rs. 2.25 lakhs for office-based reviews. The main budget heads would be fees/salaries (divided between coordinator, research officer and field investigators by salary month or days as appropriate), travel and subsistence, computing support, report production and administrative costs. As a rule, the fee/salary component should not be more than 50% of the total administrative costs, which, in turn, should not be more than 10% of the total budget. The ARC would arrange for accommodation for the field staff of the review teams, where required and where available in Government guesthouses only.

Submission of reports

The following time schedule will be followed for the submission of reports:

Preparation of questionnaire	1 - 15 th April
Vetting by departments, KARC and Ford	
Foundation and preparation of final questionnaire	15 th May
Fieldwork	15 th May to 30 th June
Submission of first draft	15 th September
Submission of final report after receiving comments	15 th October.

**DEPARTMENT OF
AGRICULTURE AND HORTICULTURE**

Acknowledgements

We thank the Karnataka Administrative Reforms Commission for giving us an opportunity to conduct a Functional Review of four departments of the Government of Karnataka viz. Department of Revenue, Department of Agriculture and Horticulture, Department of Rural Development and Panchayat Raj & Department of Social Welfare.

The encouragement, support and cooperation we received from officials as well as the beneficiaries was overwhelming. They were eager to share their views and opinions on the issues concerning reforms in administration. It was unanimously felt that this initiative taken by the Karnataka Administrative Reforms Commission was a step in the right direction and will go a long way in ushering a new era in governance.

We also thank the following members of our expert panel who have immensely contributed to this research study by providing us with invaluable insights and suggestions:

Mr. S.S. Meenakshisundaram, Additional Secretary, Government of India
Dr. Vinod Vyasulu, Director, Center for Budget and Policy Studies, Bangalore

We are grateful to the Chairman, Secretary, Officials and Staff of the Karnataka Administrative Reforms Commission for their support and value addition provided throughout the course of this research study.

Last but not the least, our thanks are due to all the field research personnel and secretarial staff who have helped us conduct this research study.

We hope that the findings and recommendations of this study will further strengthen the effective functioning of the departments that were studied.

NIS Sparta Limited
Bangalore

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Executive Summary

The Department of the Agriculture and Horticulture is one of the major Development Departments in the State. Three major field departments, namely, Agriculture Department, Horticulture Department and Watershed Development Department are working under the administrative control of the Department of Agriculture and Horticulture. It is the nodal Secretariat Department for the Universities of Agricultural Sciences and Corporations and Boards.

The main responsibility of the Department of Agriculture is to ensure all round development of Agriculture and thereby achieve self-sufficiency in the Agriculture production. The thrust programmes of the department is implementation of State Plan Schemes, Centrally sponsored/Central Sector Schemes, externally aided projects for increasing production and productivity of field crops in the State.

Horticulture has a prominent position in Karnataka. With the available natural resources, favourable agro-climatic conditions, hard working and skilled farming community and with the active support of the Government and other agencies, the state focusses for an alround development of horticulture. There are ten agro-climatic zones in the state to offer scope for cultivation of wide variety of fruits, vegetables, flowers, plantation spice crops etc. Both the agriculture and horticulture are highly field intensive department mainly to bring about development of the farming community.

Though, under the umbrella of Agriculture department, Watershed, was constituted, as the new technologies developed and new schemes emerged, the department was bifurcated into a separate Department of Watershed. The water watershed development approach, as implemented in Karnataka, consists of Human resource development (community development), Soil and land management, Water Management, Afforestation, Pasture/fodder development, Livestock management, rural energy management and Farm and non farm value addition activities. The Department has multi-disciplinary technical experts drawn from Agriculture, Horticulture and Forest Departments who are pooling their experience, expertise and technology in the Watershed Programmes in dry land areas being financed by External, Central, State and District sector schemes.

Conclusion

In the context of decentralised governance, the department should be revamped by replacing centralised structure with decentralised management integrating with the Panchayat Raj Institutions. More powers and functions therefore needs to be delegated to the district and below simultaneously abolishing the state sector and divisional offices. There should be more staff at the disposal of the grassroots organisations and more co-ordination at the field level offices.

Since the Department of Watershed is in its infancy, periodic detailed study in terms of its organisation, functional responsibilities and execution of works has to be taken up on priority. By doing so any mid term correction required could be brought in immediately. Many number of vacancies exist in this department at the field level which has to be filled up. Since most of the social forestry related activities have been brought under Watershed approach it is necessary to merge social forestry with Watershed.

The Department of Agriculture and Horticulture is working towards controlling major pests however, for effective control of sudden outbreak of diseases a permanent committee should be setup at the State level to monitor the outbreak of diseases. Also to function effectively in response to the objective of the World Trade Organisation a cell should be created within the department to monitor and implement the changes in relation to the policies of the World Trade Organisation.

The separate existence of Agriculture, Horticulture and Watershed should be maintained at the state level. At the field level their co-ordination should be strengthened by making the RSKs as a common forum for all activities related to Agriculture, Horticulture and Watershed.

INTRODUCTION

The Karnataka Administrative Reforms Commission (KARC) has proposed to undertake a functional review of major departments of government, covering all hierarchical levels, in the overall context of its recommendations for promoting good governance, effective and responsive administration, civil service reform and a staff review of the concerned departments. The exercise aims at systematic review of the functioning of the departments and agencies at policy-making and operational levels, with reference to certain parameters and current concerns for good governance.

Objectives

The objective of the functional review is to do a systematic evaluation of the functioning of the selected departments at the policy making and operational levels with respect to the terms of reference as provided by the Karnataka Administrative Reforms Commission like;

- Relevance of the department's objective with respect to past performance and the reform process.
- Objectives and deliverables of the Directorates functioning under the Secretariat.
- Overlaps and complementary with other departments/Public Sector Unit or functional agencies.
- Departmental Structures at various levels from Secretariat to the Directorates, to Division/Districts to field offices, nature of delegation of authority and vertical/horizontal administrative and financial linkages.
- Planning for effectiveness of communication/review/responsibilities of officials.
- Objectives and relevance of the schemes from the perspective of the officials of the department, the intermediaries and the targeted citizens.

The Administrative Reforms Commission mainly aims at

- Rightsizing of the departments or downsizing
- Restructuring/Reorganisation/merger of departments
- Redundance of schemes
- Abolition of redundant posts

- Activities to be outsourced
- Privatisation
- Devolution of powers
- Improve the work systems for greater accountability
- To improve efficiency and transparency

Methodology:

The study is based on extensive field investigation, observations, and focus group discussions in all the five districts (Bijapur, Gulbarga, Uttara Kannada, Chamarajanagar and Kolar) of Karnataka State, 15 taluks and 45 villages shown in Annexure I. The review was conducted for Agriculture, Horticulture and Watershed Departments. Primary and secondary data was collected for the study and it covers a wide range of observations. The respondents in the study include the higher officials and administrative staff. The field level data was collected by use of questionnaires and interviews with the Directors, Chief Executive Officers, Joint Directors, Deputy Directors, Assistant Directors, Horticultural/Agricultural Assistants and other Officers of the Department, elected representatives and beneficiaries of districts selected for the study.

The observations were made during the field visits to districts, taluks and villages. Discussions were held with experts of the department and special subject experts.

Duration:

The primary data collection was done in 2 months June-July 2001, and the officers level data was collected in August 2001, and it was analysed duly. The main methodology includes the following:

1. Questionnaire
2. Interview method
3. Discussion
4. Focus Group Discussion
5. Observation

The number of respondents interviewed is shown in Table 1

Table 1: Respondents

Category	Number
Officials	236
Panchayat members	40
Households	690
Field level staff	27

This report deals with the study of the Department of Agriculture and Horticulture and consists of four sections. The report starts with the Introduction, followed by the Department of Agriculture, Corporations and Boards and World Trade Organisation in the first section, Department of Watershed in the second, Department of Horticulture in the third and the report ends with fourth section with observations and recommendations.

STRUCTURE OF THE AGRICULTURE DEPARTMENT

Evolution

When the new state of Mysore was formed on 1st November 1956, it inherited an agricultural administrative system in the integrated districts as they existed in their erstwhile states. There was in the districts from the integrated areas a fairly uniform administrative set-up at the district level with a District Agricultural Officer, who was normally a class II officer. He was assisted by Agricultural Officer, Agricultural Demonstrators at the taluk level. In addition, there were Divisional Deputy Directors of Agriculture based at Dharwad and Raichur respectively. Depending upon the special agricultural programmes that were being implemented in different areas, specialist agricultural officers were also functioning, e.g., a Divisional Soil Conservation Officer in Bijapur and Agricultural Extension Officers in the command area of the Tungabhadra project in Raichur district. Besides, there was an agricultural college at Dharwad established in 1956. There were also many agriculture research stations/farms in the integrated areas.

While the entire set-up of the department of agriculture in erstwhile Mysore remained intact along with that of Coorg the systems coming from the former states of Bombay, Madras and Hyderabad, had to be integrated into a single unified department in the new state. Hence, as a matter of priority, attention was first devoted to streamline the administrative system under the Director of Agriculture at the state level. The state was divided into four divisions, each under a Deputy Director of Agriculture at the Divisional level, some measure of decentralisation in administration became possible with the Divisional Heads being in overall charge of all agricultural programmes.

With the formulation of the Second Five Year Plan at a time when the new state came into being, there were a number of new schemes that were sanctioned with additional staff. There was a new thrust for growing commercial crops and hence, two posts of Joint Director were created to assist the Director of Agriculture.

In 1963, the government took a policy decision to transfer all schemes pertaining to horticulture, viz., fruits, spices and plantation crops, to the newly constituted state Horticulture Department. As a result, only cotton, sugarcane, oil seeds and tobacco remained with the Department of Agriculture.

Brief outline of present objectives of the department

The formulation of the Draft Agriculture Policy Resolution (DAPR) 1995 was a landmark achievement as it embodied some bold and innovative concepts in agricultural development. The DAPR made far-reaching recommendations for improving agricultural productivity and creating a new climate for agricultural development.

The state encouraged private enterprise in Research and Development (R & D) in agriculture. As a result, considerable headway was made in tissue culture, seed production, and floriculture and dryland horticulture. Sericulture too registered a

noteworthy progress. Attention was also paid to export aspects in agriculture development with private enterprises coming into agriculture, seed production, oilseeds, dryland horticulture and floriculture.

The Department made changes in administration with the introduction of the Panchayat Raj bodies in the State, namely Zilla, Taluk and gram Panchayats, established under the Karnataka Panchayat Raj Act, 1983. As a process of democratic decentralisation, the Agricultural Development and implementation of programmes have become the responsibilities of these bodies. Consequently, the Department of Agriculture had to rearrange its administrative operations in order to provide for the technical support and guidance to these bodies. It is hoped that the elected leaders of these bodies with proper orientation and training will discharge the agricultural responsibilities adequately and a more rapid comprehensive agricultural development may take place in their respective jurisdictions in the long run.

The Department of Agriculture also reviewed the extension system for reorganising its structure and strategy to meet the emerging needs. The Government, therefore, brought about the integration of extension and soil conservation wings in 1995 and as a result, at present, there exists a unified agricultural development system in the state. Further, as an administrative measure, partial reorganisation has been made in the Department of Agriculture at district level. The mixed cadre of Joint Director of Agriculture and Deputy Director of Agriculture at district level has been removed and at present all the districts are headed by Joint Director of Agriculture since October 2001 (even in the smaller districts of Bidar, Kodagu and in the newly created districts like Bagalkot, Gadag, Chamarajanagar, Haveri, Udupi, Davangere and Koppala which were under the control of DDAs). The districts are divided into 2 divisions each under a Deputy Director of Agriculture assisted by two subject-matter specialists, one for crop production and another for plant protection.

The Department is one of the major Development Departments in the State. It was reorganised during 2000-2001 (29.6.2000) in view of the bifurcation and creation of a separate Watershed Development Department in the State in 1999-2000. The Department has been reorganised five times in 1965, 1978, 1985, 1995 and 1999-2000. The re-organisation for the first three times aimed at strengthening the extension approach and the later two were made, to merge the crop husbandry and soil conservation activities.

The main responsibility of the department is to ensure all round development of Agriculture and thereby achieve self-sufficiency in the Agriculture production. The following are the activities undertaken by the department, which include service sectors and implementation sector.

- Agricultural Technology: Transfer of improved agricultural technology developed by the State Agricultural Universities, ICAR and from other sources to farmers
- Input: Planning and Co-ordination of times supply of quality inputs like Seeds, Fertilisers, Bio-Fertilisers, Plant Protection Chemicals, improved implements etc.
- Quality Control: To have quality regulation of inputs under various Acts.
- Training: Providing skill orientation training to farmers, Farm Women, Farm Youth and extension functionaries.

- The thrust programmes of the department is implementation of State Plan Schemes, Centrally sponsored/Central Sector Schemes, externally aided projects for increasing production and productivity of field crops in the State.

The Strategies involved to achieve the objectives of the department during 2000-2001 are:

1. Greater emphasis has been given on the mechanism of extension system by establishing Farmers Contact Centres (Raita Samparka Kendra) in 741 hoblies out of 745 hoblies.
2. Special attention towards Scientific Management of Irrigation Resources like incentives for sprinkler irrigation has been given.
3. Adequate quantity of quality seeds is distributed.
4. Encourage production and use of fertilizers, spread of use of organic manures.
5. Educating farmers for efficient use of fertilisers.
6. Focus on integrated pest management to provide protection at minimum cost.
7. Transfer of technologies through group approach at panchayat level and through farmer contact centres at Hobli level.
8. Organisation of training programmes and extension programmes to farmers, farm women and farm youth for development of skills in agriculture.
9. Special attention for the welfare of SC/ST farmers and minorities.

Department Activities

Activities of the Department can be broadly classified into the following groups

1. Administration
2. Extension and Advisory Service
3. Trials and Demonstrations
4. Training and Farmers Education
5. Crop Development
6. Crop Protection
7. Input supply planning (Seeds, Manures, Fertilisers, Plant Protection Chemicals and Agricultural Machinery)
8. Soil and Water Conservation and Watershed Development
9. Command Area Development
10. Farm Information Service
11. Regulatory functions (Implementation of various acts)
12. Implementation of Social Welfare Programme
13. Soil Testing, Water Testing and Seed Testing

Three major field departments, namely, Agriculture Department, Horticulture Department and Watershed Development Departments are working under the administrative control of the Department of Agriculture and Horticulture. Agriculture and Horticulture Department is the nodal Secretariat Department for the Universities of Agricultural Sciences and Corporations and Boards. The Secretariat is headed by a Principal Secretary to Government. It also has one Secretary, one Special Secretary, one Additional Secretary, three Under Secretaries, eight Section Officers and one Internal Financial Advisor. The structure is shown in Annexure II

To carry out the main responsibilities of the Department of Agriculture namely transfer of technology, supply of agricultural inputs and quality control, providing training and basic service facilities like soil and seed testing and implementation of thrust programmes, the Commissioner for Agriculture in the Department is assisted by the Director of Agriculture and one Additional Director of Agriculture at State Level, 6 Joint Directors, 22 Deputy Directors and other technical staff. Apart from this, one Joint Director of agriculture (Administration) and one Chief Accounts Officer-cum-Financial Advisor to assist Commissioner for Agriculture Organisational setup at State level is shown in Annexure III.

At the District Level, Joint Directors of Agriculture head the district offices. 2 Deputy Directors of Agriculture are at the divisional level and 175 Assistant Directors of Agriculture at the Taluk Level assisted by Assistant Agricultural Officers and Agricultural Assistants. The structure is shown in Annexure - IV.

The total staff strength of the department of Agriculture is 10940 and the cadre strength of the Head Office is 524 (details are shown in Annexure V). The ratio of the technical staff to administrative staff is 60:40 in the State.

Table 2: Staff Strength of the Department in the State

Sl No.	Group	Total sanctioned posts	Posts filled	Vacant posts
1.	A	432	360	72
2.	B	2692	1422	1270
3.	C	6443	5859	584
4.	D	1373	1358	15
	Total	10940	8999	1941

It is observed that in the Agriculture Department the percentage of administrative staff is quite high. This being a technical department the percentage of administrative and ministerial staff should be reduced and appropriately positioned looking into the necessity and functional responsibility of each office/officer. Computerisation and optimum use of the available computers can help in reducing the administrative staff.

The other components of the Agricultural Department are as follows;

Seeds Farms

There are 49 seed farms in the State. Of these, 36 seed farms are under the control of the Department and the remaining 13 are under the control of the Zilla

Parishats. Apart from these, there are 14 Agricultural School Farms, 5 R.D.T.C farms, 4 Agricultural Development Centres, 2 Agricultural farms and One Indo-Japanese Agricultural Extension training centre (IJAETC) farm. In all there are 73 agricultural farms. Breeder seeds required for organising foundation seed production is obtained from the Universities of Agricultural Sciences on advance indent basis. Based on the availability of breeder seeds with Agricultural Universities, the seeds are allotted to the seed farms and the remaining area is utilised for certified seed production. The physical progress of the farm information is shown in Annexure VI.

Seed Production on Departmental Farms

During 2000-2001, it was targeted to produce 8025 quintals of various foundation seeds on an area of 1040 hectares in the Departmental Farms. During 2001-2001 upto the end of December 2000 an area of 945 hectares has been covered under various foundation certified seeds and 240 quintals foundation certified seeds have been produced.

Development of Departmental Seed Farms: (Plan and Non-Plan Scheme)

During 2000-2001, a sum of Rs.5.00 Lakhs has been provided under the State Sector to take up developmental works in 18 departmental seed farms. Upto December 2000 a sum of Rs.1,21,000-00 has been utilised.

During 2000-2001, an amount of Rs.225.83 Lakhs was provided under the Head of Account 2401-00-103-01 Seed Farms (Non-Plan) to the 36 seed farms working under department control and the expenditure upto December-2000 is Rs.116.17 lakhs.

Training Centres

There are 41 training centres comprising 13 farmers training education centres, 5 rural development training centres, 20 agricultural schools, and three Indo-Japan training extension centres. There are 48 seed farms under State Sector and 13 under District Sector.

The training to the farmers in acquire knowledge and skills was given attention and eight Farmers' Education and Training Centres (FETC) were established under the Centrally sponsored schemes to train farmers. Further, agricultural schools for farmer's sons were also established in the districts where they did not exist earlier. The details showing the staff position of the training centres are shown in Annexure VII.

Agricultural Schools

The Department of Agriculture place considerable emphasis on educating farmer's sons and farmers in modern agriculture schools and their number increased to ten by the end of the Third Five-Year Plan. In these schools, youngsters from farming families were provided practical training in modern agricultural practices. There are 20 agricultural schools in the state. The progress achieved upto the end of December 2000 is 754.

Agricultural Development Centres

There are four Agricultural Development Centres established as model farms in command areas. They are located in Thyavanagi, Dharwad, Konnur and Dhadesugur. The main

objectives of these centres are to develop and produce improved and hybrid seeds and to find out suitable varieties for different regions and to study suitable water management practices. Central Sector schemes like Wheat Minikit trials programme and Rice Minikit and training programmes are implemented.

Rural Development Training Centres

Community development programmes in the state needed in a large number the services of trained village level extension workers called Gramasevaks. Five Gramasevaks Training Centres were set-up to train Gramasevaks, initially, for a two-year duration and later, for one year duration. These training centres, earlier designated as Gramsevak Training Centres, later came to be known as Rural Development Training Centres. They are functioning in five centres in the state located at Mandya, Dharwad, Kudige in Kodagu district, Bagalkote and Gangavathi in Koppal district. The progress achieved under these training centres upto end of December 2000 is 7433.

Extension and Training

Farm information helps in disseminating new farm technology continuously to field functionaries and farming community. It plays a vital role in diffusion of new technology through mass media, books, journals, handouts etc. For this purpose, rural development training centres, farmers training and education centres and agricultural schools are established. In addition, a project for agricultural training of farmwomen and youth with DANIDA assistance is also implemented to provide training exclusively for farmwomen and youth at 16 WYTEP training centres in the state.

Laboratories:

There are soil health centres under this department. It maintains 19 soil health centres, three mobile soil health centres and one micro nutrient laboratory in the state. Other than the state laboratory the micro nutrient analysis is also done in seven soil health centres. The main objective of the soil health centre is to maintain the soil health by analysing the nutrient status of the soils and to give suggestions on the quantities of major nutrients like nitrogen, phosphorus and potassium to be applied to the soils. There are 4 fertilizer control laboratories in the state also.

Seed Laboratories

In addition, the department has established 4 seed testing laboratories at Hebbal in Bangalore, Davangere, Dharwad and Gangavathi in Koppala District. Two categories of samples are analysed in these laboratories. Under category I – service samples drawn from farmers are analysed at free of cost and other samples are drawn for the purpose of enforcement of Seed Act 1966, Seed Rules 1968 and Seed Control Order 1983.

Fertilisers are the next important input. It is the obligatory function of the department to ensure that quality inputs are made available to farmers. In order to ensure quality of fertilisers, the department has established 4 fertilisers control laboratories under Fertiliser Control Order 1985. These laboratories are located at Bangalore, Belthangadi, Dharwad and at Gangavathi.

Thirdly, pesticides constitute a major input in agriculture and their quality is of utmost importance for harvesting good yield of crops. In this direction the department has established 5 laboratories at Bangalore, Shimoga, Dharwad, Bellary and Gulbarga. Samples of pesticides are drawn from the market and subjected to analysis in these five laboratories to ascertain the quality. Action is initiated on the manufactures of non- standard pesticides under Insecticide Act 1968 and Rules 1971.

It is observed that the utility of these laboratories is appreciated from all quarters including farmers. However, the capacity of the existing laboratories is not adequate to take up the analysis to the desired level. There is a need to strengthen the existing laboratories and authorising the private laboratories to handle the excess samples for analysis for effective and early communication of results to the farmers.

Note: Fertilisers capacity in four laboratories is 9,000 per annum, but the actual capacity requirement is 22,000 samples and two per outlet per year is required but there are 11,000 outlets. Similarly pesticides capacity is 6,000 for 5 laboratories. The kind of turn over is analysed at 12,000 but only 50% is handled.

Soil Health Centres

Soil testing is a scientific means of characterisation of the fertility status of soils to assess the nutrient requirements of crops. It also helps in avoiding indiscriminate use of fertilisers by farmers. Soil testing plays an important role in agricultural production. There are 19 static soil health centres, located one in each district, and three mobile soil health centres located at Nanjangud, Dharwad and Kotnur. These soil health centres analyse soil samples brought by farmers free of cost and given advice on balanced and economic use of fertilisers, which would help maintain fertility status of the soil. Mobile soil health centres analyse soil samples and give fertiliser recommendations in the villages.

For the first time in Karnataka, recent research findings on soil test crop response (STCR) as a base for fertiliser recommendations have been implemented in fifteen districts through eleven soil health centres, viz., Bangalore, Mysore, Shimoga, Hassan, Bellary, Mandya, Kolar, Tumkur, Davangere, Chikkamagalur and Raichur for specific crops and soils.

Soil health centres also take up analysis of irrigation water collected from farmers, to assess the suitability of water for irrigation. Analysis of gypsum and lime samples collected from the taluk Assistant Directors of Agriculture is being taken up to maintain the quality of materials supplied to the farmers. The details of the Agriculture related Statistics at a Glance is shown in Annexure VIII.

Schemes of the Department

The department implements the State sector, District sector, centrally sponsored and External aided schemes. The department has made an attempt to rationalise schemes and as such the number of schemes, which were 108 during 2000-2001, have been reduced to 83 in 2001-2002. Out of 83 schemes 12 are central sector, 2 are externally aided and 14 under zilla panchayat and taluk panchayat schemes.

The budget estimate allocation for 2000-2001 and 2001-2002 under plan and non-plan as shown in the table below

Table 3: Budget allocation (Rs. in lakhs)

Sl. No	Major Heads	2000-2001 (Plan + Non Plan)			2001-2002 (Plan + Non Plan)		
		State Sector	District Sector	Total	State Sector	District Sector	Total
1.	Crop Husbandry	6860.24	9623.40	16483.64	7511.72	8748.35	16260.07
2.	Capital Outlay on crop Husbandry	30.00	0.00	30.00	30.00	0.00	30.00
3	Loans for Crop Husbandry	5.00	0.00	5.00	0.00	0.00	0.00
4	Soil and Water Conservation	1304.52	1679.39	2983.91	725.15	1216.38	1941.53
	Total	8199.76	11302.79	19502.55	8266.87	9964.73	18231.60

Note: The budget under plan is Rs. 6535.52 and non-plan is Rs. 9754.55 during 2001-2002 and Rs. 6574.12 under plan and Rs. 9944.52 under non-plan is budget estimate during 2000-2001 of the Agriculture Department

The department assists in adopting the latest agricultural technologies. Technical services and guidance has been provided to Rs. 62.21 lakhs, farming families (2000-2001) cultivating about 106 lakhs hectares net rainfed and irrigated areas.

Diversification in agriculture is increasing in the State. Farmers with resources have shown inclination towards mixed cropping practices. The production targets for the year 2000-01 are of the order of 108.08 lakh tonnes of food grains, 17.62 lakh tonnes of oil seeds, 315.00 lakh tonnes of sugarcane, 10.03 lakh bales of cotton and 0.56 lakh tonnes of tobacco.

FUNCTIONAL ANALYSIS

The Functions of the Officials are as shown below:

Commissioner

The Commissioner has the overall supervision of the department and liason with Government and Department.

Director

The Director is the technical Head of the department. All the activities are channeled through him. He is assisted by one Additional Director of Agriculture Development and Extension. He is the statutory head under various Acts implemented by the department. He is represented on many Boards and Councils of State and Central Government. He is responsible for overall implementation of all schemes in the department.

Additional Director

The Additional Director is in-charge of the agricultural extension project and is fully responsible for implementing all agricultural production programmes in the State. The Additional Director is assisted by six Joint Directors dealing with several schemes and aspects of the Department.

Joint Director (Administration)

The Joint Director (Administration) is overall incharge of the administration.

Joint Director (Development)

The Joint Director (Development) is in-charge of planning and development, control and supervision, formulation and implementation of all development schemes.

Joint Director (Pulses)

The Joint Director (Pulses) is incharge of all food crops, seed farms formulation and monitors the implementation of Centrally Sponsored Schemes apart from thrust programmes. He is also responsible for the seed planning and distribution.

Joint Director (Inputs)

The Joint Director (Inputs) has to supervise, Co-ordinate, evaluate the maintaining of quality and the overall incharge of inputs distribution – fertilizers, plant protection chemicals, bio fertilisers. In addition is responsible for enforcement of Quality Control Acts.

Joint Director (Training)

The Joint Director (Training) deals with technical aspect of training and evaluates the formulation of schemes and programmes for training centres and technical inspections and is also responsible for implementation of DANIDA assisted WYTEP programme.

Joint Director (Field Trials)

The Joint Director (Field Trials) is incharge of conducting, managing, supervising the research and extension programmes in co-operation with the University of Agricultural Sciences, besides Raita Samparka Kendras.

Chief Accounts Officer

The Chief Accounts Officer is incharge of the overall accounts of the Department. He also assists the Director of Agriculture and Commissioner for Agriculture in the Department.

District Administration

The Joint Director of Agriculture heads the department in all 27 districts. An Assistant Director is incharge of each of the taluk offices who in turn is assisted by Assistant Agricultural Officers, Agricultural Officers, and Agriculture Assistants.

The functioning of the department at district level

The Joint Director of Agriculture works under the zilla panchayat. He has to co-ordinate with zilla panchayat (Chief Executive Officer) for Planning and implementation of various schemes coming under the department. These programmes could be from state sector as well as zilla panchayat sector. He is accountable for all the meetings held at zilla panchayat as well as by the Commissioner of Agriculture. Likewise, the Taluk Assistant Agricultural Officer works with Taluk Panchayats similar to that of Joint Director at zilla panchayat level. Further at Hobli level the Agricultural Officers positioned at Raita Samparka Kendra will execute all the tasks assigned to them. At all the three levels the Extension Staff of the department are answerable to the local people's representatives of Gram Panchayat, Taluk Panchayat, Zilla Panchayat, MLAs and MPs. In so far as technical control is concerned it continues to be with the Commissionerate of Agriculture.

The Raita Samparka Kendras are created to provide critical inputs not only on seed and farming techniques but even on how to handle the surplus. The Agricultural Officer works in the Raita Samparka Kendras assisted by the Assistant Agricultural Officer and Agricultural Assistants at the hobli level.

Agricultural Officer is the head of the Raita Samparka Kendra. His main responsibility is to supervise and monitor his sub-ordinate staff and work to implement the objectives of the RSKs by effective utilisation of all the available resources. He studies the local problems of the farmers and gives remedial measures. He sends the progress report to the Assistant Director of Agriculture at taluk level. He also performs all the functions assigned to him by the Assistant Director of Agriculture and assess the situation in the field and report it from time to time.

The Assistant Agricultural Officer is posted at the hobli level and works in accordance with the job chart by giving information about the Raita Samparka Kendras, its activities, the facilities, technical advice, arrangements and administrative support to the farmers. The Assistant Agricultural Officer has to travel 8 to 10 kms in the normal course for the field visits to comply with the job chart. He has to give the progress report to assess the total situation in the field. He has to supervise the implementation of the schemes and monitor them.

The Agricultural Assistant works under control of the Assistant Agricultural Officer. His duty is to give information to the farmers regarding the agricultural productions, important facilities provided by Raita Samparka Kendras. He has to work with the gram panchayat in identifying the beneficiaries and help them to claim the bills. He has to inspect the field to see that the farmers are aware of the Raita Samparka Kendra. He has to identify the main crops grown in his area of jurisdiction and has to advise them on improving the production of crops. It was observed that the Agricultural Assistants are not able to discharge their duties fully as they cannot travel to distant places. Their mobility is curtailed because they have to walk or depend on public transport, which is scanty. They have to discharge their duties at one hobli. The size of the hobli varies and the number of panchayat is also as less as 2 and high as 21 in each hobli. Therefore, the definite criteria should be worked out in view of the land holdings or cultivable area so that the officials are able to discharge their duties effectively.

Observations

1. The post of the Commissioner in the Agriculture Department is temporary for a period of 2 years.
2. Sufficient financial, administrative and technical powers have not been delegated to the Additional Director of Agriculture, Joint Directors and Deputy Directors.
3. Agriculture Department has large number of officials (524) at the state level mostly comprising non-technical posts. The excess non-technical posts may be given to districts and taluk levels.
4. No co-ordination was observed between the activities of the departments of Horticulture and Agriculture at field level.
5. Existing staff at the field level is overburdened due to shortage of field staff. There is a need for rationalisation.
6. One Agricultural Officer is incharge of 2 or 3 gram panchayats.
7. At present some institution like Soil Testing Centres, Training Centres, Seed Farms are under zilla panchayat control. The utility of these institutions spread beyond the district. Therefore, it is worth considering shifting these institutions under one control.
8. Laboratories are not able to work properly due to lack of staff, equipments and other infrastructure, including shortage of funds.
9. Action plan approval, selection of beneficiaries, and release of funds from zilla panchayats are not timely. As such the implementation of season bound activities have been hampered, there is need for a fixed time schedule for clearing these from zilla panchayats.

SCHEMES OF THE DEPARTMENT

Development Schemes

The Department has been implementing both, Government of India and State Government schemes. The State sector schemes are National Agricultural Extension project, (NAEP) seed Farms Scheme, Crop Insurance Scheme, Plant Protection, Raitha Mithra Yojana etc., and the Central schemes are Integrated Cereals Development Programme, National Pulses Development Programme, Oil Seeds Production Programme, Centrally Sponsored Scheme of Supply of Small tractors etc. In all, the Department is implementing 83 schemes (2000-01) comprising 46 schemes under plan, 37 schemes under non-plan.

Financial Allocation

Table 4:

	2001 - 2002		Total
	Plan (In lakhs)	Non-Plan (In lakhs)	
Finance	6958.14	11273.46	18231.60
Schemes	46	37	83

Agricultural production in the state is spread over three seasons namely Kharif, Rabi and Summer. The State is suitable for cultivation of different types of crops. The important crops grown are;

1. **Cereals:** Rice, Jowar, Bajra, Maize, Wheat, Ragi and Minor Millets.
2. **Pulses:** Tur, Bengalgram, Horsegram, Blackgram, Greengram, Cowpea, etc.
3. **Oilseeds:** Groundnut, Sesamum, Sunflower, Soyabean and Safflower.
4. **Commercial Crops:** Sugarcane, Cotton and Tobacco.

Districtwise and Season-wise details of major agricultural crops grown in the selected districts is presented in Annexure IX

The two major schemes selected for the study are Plant Protection and Raitha Mithra Yojana.

Plant Protection

The principal objectives of the scheme are;

1. Control of outbreak of endemic and epidemic pests in important agricultural crops.
2. Supply of quality pesticides to farmers.
3. Use of Biological and chemical technologies in a compatible manner with a view to maximise production at minimum costs.

This was the major scheme implemented during 2000-2001

Table 5:

Sl. No.	Programme	2000-2001 Progress (upto end of December 2000)	2001-2002 Programme
I	District Sector Schemes:		
	A) Distribution of Plant protection chemicals	16807	20183
	B) Distribution of Storage bins	639	1400
	C) Construction of Pucca Koti	104	275
	D) P. P. equipments etc	3541	4573
	E) Storage pesticides	2011	5333
	F) Distribution of light traps for physical control of endemic pests	281	600
	G) Rat traps for Rodent control	378	1000
II	II State Sector Schemes		
	A) Supply of bio-pesticides	535	1333
	B) F. F. S. Demonstrations	48	112
	C) Supply of Rodenticides	—	—
	D) Distribution of Plant Protection Chemicals	—	—

During 2000-01 an amount of Rs.149.45 lakhs had been earmarked to implement various plant protection programmes under District and State Sector Schemes. Farmers were provided storage bins and storage pesticide on 50% subsidy and incentives were provided for the construction of pukka kotis and scientific storage of food grains were encouraged. In the event of outbreak of pest/diseases, farmers have been supplied with the plant protection chemicals and plant protection equipments on 50% subsidy. Amount has been also provided to supply rodenticides and rat fermon traps on subsidy. In addition to the above to overcome the environmental hazards due to excess use of inorganic plant protection chemicals, farmers have been encouraged to use plant based and bio-pesticides. Popularisation of Integrated Pest Management practices has been made by laying out IPM demonstrations on rice, cotton, pulses and vegetables in the farmers fields adopting farmers field school approach.

Special grant of Rs.54,41,140/- has been spent for the control of endemic pest as under:

Table 6:

Sl.No.	District	Pest/Disease	Amount Rs.
1.	Tumkur	Red headed hairy Caterpillar on ground nut	25,00,000
2.	Gulbarga	Red gram pod borer	20,00,000
3.	Bidar	Red gram pod borer	9,41,140

In order to supply quality pesticides to farmers and to check the sale of spurious pesticides in the market, the Government of Karnataka has notified 1122 Insecticide Inspectors for the state to enforce the provisions of Insecticide Act 1968. During this financial year, out of 3447 samples collected 83 samples have been reported to be misbranded. Action has been taken to initiate legal action against the misbranded pesticide manufacturers and distributors.

There are various programmes under the district sector and state sector. Under the district sector the programmes for the plant protection are the supply of mechanically operated PP equipment, supply of neem based pesticides, supply of chemical pesticides, supply of storage bins, supply of light traps for physical control of epidemic pests, supply of land protection pesticides and control of rats through rat traps.

The state sectors schemes for plant protection are monitoring of pests, supply of bio-pesticides, supply of neem based pesticides, supply of plant protection chemicals for control of epidemic pest, popularisation of IPM, quality control and construction of pukka kotis.

Raita Mitra Scheme

Raita Mitra is a new scheme launched by Government of Karnataka in the year 2000. Under this scheme Raita Samparka Kendras are to be established (Farmers contact centres) in all Revenue Hobli head quarters of the state. The main objective of the RSKs is to bring about dissemination of improved scientific technology relating to Agriculture and Horticulture crops followed by experiment, demonstration and trials to persuade farmers to adopt these technologies in their fields.

The FCCs or RSKs functions on the lines of farm clinics/transfer of technology/ agriculture technology centres/transfer of technology centres approach as advocated by Government of India.

These centres have to achieve the following objectives:

1. To function as a primary unit of implementing crop husbandry schemes of the department and diagnosing the field problem to advocate remedial measures.
2. To meet the extension needs of Agriculture and Horticulture activities.
3. To function as diagnosing information providing and discussion centre with respect to problems faced by farmers, farm women and farm youths.
4. To co-ordinate input supplies.
5. To provide basic testing facilities like seed testing and soil testing at cost.

Equipments at the FCCs

The FCCs is housed with required scientific tools, equipments, books etc., in a phased manner. The emphasis is on transfer of technology (TOT) supported and supplemented by and carried through information, discussion, training activities and followed by field level trials, demonstration etc. Through these centres, the fixed day visit of field extension is replaced by need based demand driven technical visits by staff of FCC.

Services in Farmers Contact Centre

The services that are made available to the farmers through FCCs are:

1. Advisory extension service on improved cultivation practices/technologies of Agriculture and Horticulture crops.
2. Information and guidance in identifying pest and diseases and adoption of IPM practices.
3. Arrange for seed germination tests locally and to provide analytical report and advice at appropriate times.
4. Collection of soil samples from farmers for onward submission to soil health centres and to arrange for issue of analytical reports and suitable advice well ahead of sowings.
5. To advice on use of soil amendments based on PH values of problematic soil samples.
6. To advice farmers about the quality of chemical fertilizers based on verification of physical properties.
7. To advice, guide and to demonstrate precautionary measures to be followed while using chemical fertilizers, pesticides, weedicides etc.
8. To exhibit and demonstrate use of improved agricultural implements and machinery.
9. Guidance and consultation about crops loans and crop insurance.
10. Advice suitability of water for irrigation.
11. Implementation of different schemes of the department.
12. Essential and critical inputs like seed treatment chemicals, organic pesticides etc to make them available to farmers in time.
13. Laying out/organising of trials, demonstrations input kits, mini kit demonstrations, crop cutting experiments etc.
14. Collection and maintenance of basic agricultural information like prices of commodities, shandy days, agricultural land holdings, diversification of cropping etc., and updating the same periodically.
15. Organising training locally for farmers of the area.

Raitha Samparka Kendras are to be established in 745 revenue hoblis in the state but only 741 Kendras have been established. The RSKs will meet the input and other technology needs of the farming community at hobli level.

Out of 690 respondents from all the five districts selected, the following table shows the responses on the implementation of Plant Protection Scheme and Raita Samparka Kendras (Raita Mitra Yojana) selected for the study.

Table 7: Scheme awareness

Respondents	Plant Protection	Raita Samparka Kendra
Is aware and good	323	203
Not aware	82	297
Should improve	105	54
Can't say	180	136
Total	690	690

As seen from the table both the schemes have been accepted by a large number of respondents. Under the Plant Protection Scheme, some of the respondents felt that there is not much publicity given to the organic methods hence people are not using the new methods. The RSKs are new concept introduced for development of agriculture so farmers are yet to understand the working and utility of these centres.

Subsidy in the Schemes

The total plan outlay for the year 2001-2002 is 6958.14 lakhs and non-plan outlay is 11273.46 lakhs. Out of the 83 total number of schemes, twelve schemes are Central Sector, Centrally Sponsored schemes. Two are externally aided schemes. The non-plan funds are meant only for salaries. The plan fund allocation as far as state sector is concerned is very less under the state sector schemes. The subsidy allocation is given by the state government, which is quite minimal. There is need for the subsidy to continue because it encourages the people to utilise the schemes. For example, one of the farmer expressed that, in the absence of subsidy provided to use the trap for rats for plant protection, he would not utilise that scheme. The following table shows the subsidy allocation under the state scheme during 2001-2002.

Table 8: Subsidy Allocation

(Rs. in lakhs)

Sl. No	Scheme	Allocation	Govt Share	Farmers Share	Remarks
1.	SCP	165.20	165.20	$(165.20-10.18) \times 0.25^* = 38.755^*$	Inputs free others @ 75% subsidy
2	TSP	43.20	43.20	$(43.20-5.10) \times 0.25^* = 9.525$	Inputs free others @ 75% subsidy
3	Krishi Prashasthi	65.10	65.10	—	Awards
4	Bharath Darshan	40.00	40.00	40.00 (50%)	Study tour
5	Plant Protection				
	D-08	119.96	119.96	119.96*	General 50% PP Equipments 50% PP Chemicals 50% PP Chemicals/ liquids 50%
	D-02	14.50	14.50	14.50*	
	D-03	12.00	12.00	12.00	
	S-13	95.00	95.00	95.00	
6	Green Manures and Mixtures	36.35	36.35	36.35*	
	Total	591.31	591.31	366.09	

* Minimum amount to be borne by farmers

The table reveals that the subsidy under the state sector is very low while under the central sector it is very high as seen under the Fertilisers Concession Scheme (where fertilisers distributed are worth of concession of Rs.502.80 crore).

The state sector subsidy should be continued because it is only subsidy and effective demonstrations that can help in spreading of the new technologies for cultivation of high yielding crops.

Observations

1. The study revealed that the number of schemes in the department has been reduced by rationalising the schemes from 108 schemes in 2000-01 to 83 in 2001-2002. It could be further reduced where in only the main components can be spelt out under one major head. For example, all schemes dealing with training should be under one Head. The Head of Accounts will be automatically reduced.
2. All the plant protection scheme should also be brought under one head.
3. Eco-friendly botanicals and bio-pesticides are slow moving technologies. Therefore, the utilisation of available technology by the farmers was found to be inadequate. Farmers are still using chemical fertilisers. So they have to be constantly persuaded to use new plant protection methods.
4. The concept of release of 1/12th grants every month from zilla panchayats to season bound activities is not desirable if expected results are to be obtained.
5. The effectiveness of Raitha Samparka Kendras needs to be improved as they provide critical inputs on agriculture and sustainable development. In this context the concept of IT through Raita Samparka Kendras should be implemented on priority.
6. The Horticultural Assistants are also not rendering their services in these RSKs at the hoblis since the staff position is very limited.

CORPORATIONS AND BOARDS

The following are the Corporations and Boards under the administrative control of the Department of Agriculture and Horticulture are:

1. Karnataka Agro Industries Corporation Limited
2. Karnataka Compost Development Corporation Limited
3. Karnataka State Seeds Corporation Limited
4. Karnataka State Seeds Certification Agency
5. Karnataka Co-operative Oil Seeds Growers Federation Limited
6. Karnataka State Agro Corn Products Limited
7. Karnataka State Agriculture Produce Processing and Export Corporation Limited

Of these organisations only 3 have shown good performance and are run successfully. They are as follows;

Karnataka Agro Industries Corporation Limited

The business activities of the Corporation are conducted all over in the State through District Offices located at district head quarters and Agro Kendras at Taluk/Hobli level. To oversee the sectorwise activities, the Corporation has established divisional offices at Bangalore the details of which are as follows:

- A. Agro Engineering
 - (i) Bulldozers, Central Stores & Disposal
 - (ii) Water Resources and Irrigation
 - (iii) Farm Machinery
 - (iv) Workshops at Hebbal and Dharwad
- B. Agro Inputs
 - (v) Fertilisers, Seeds and Pesticides
 - (vi) Pesticides Formulation
 - (vii) Sericulture
 - (viii) Fertiliser Mixing
- C. Others
 - (ix) Fruit Processing
 - (x) Floriculture

Personnel

At present 814 employees are working in the organisation. About 307 employees opted for VRS during 1999 and 2000.

Financial Results

The Corporation has achieved a turnover of Rs.88.75 crores upto 31.12.2000

Karnataka State Agricultural Produce Processing and Export Corporation Limited (KAPPEC)

The Government has established Karnataka State Agricultural Produce Processing and Export Corporation Limited (KAPPEC) on 22nd April 1996. The authorised share capital of the Corporation is Rs.500 lakhs. So far the State Government has released Rs.75 lakhs out of which Rs.25 lakhs is grant and Rs.50 lakhs is share capital.

The main objectives

1. To develop and promote the production, processing and export of agricultural, horticultural and floricultural products.
2. To identify the modern technology for increasing the productivity, production, processing and storage of these commodities and to implement the same in the state.
3. To create post-harvest infrastructure facilities for the development and export of agricultural products (including horticulture and floriculture) and also to promote private participation in this sector.
4. To establish processing and export growth centres for the processing of these products.
5. To supply agricultural inputs/technology required by farming community.
6. To undertake market research about the export quality products and disseminate information to both exporters and growers.
7. To conduct seminars and meetings involving farmers, scientists, bankers and other related parties to create awareness among them and also to educate them about the potentiality of agri-exports.
8. To organise exhibitions, buyer seller meets, participate in domestic as well as overseas exhibitions, study tours abroad involving farmers to create awareness in them about the technologies adopted by their counterparts to increase both productions and productivity.

The year-wise turnover and profit of KAPPEC are as follows;

Table 9: Turnover and profit of KAPPEC

Year	Turnover (Rs. in Lakhs)	Profit before Tax (Rs. in Lakhs)
1996-1997	0.68	0.03
1997-1998 17	4.20	0.38
1998-1999	2417.72	83.86
1999-2000	5298.35	186.48
2000-2001 (till 31.12.2000)	4243.06	102.23

Considering the excellent export performance of Karnataka State Agricultural Produce Processing and Export Corporation Limited (KAPPEC), Government of India, Ministry of Commerce has awarded the status of an "EXPORT HOUSE".

Karnataka State Seeds Corporation Limited

This Corporation is setup to be an agency for accelerating agriculture productivity and production and for improving the viability of agriculture as a vocation.

1. Progress for the year 2000-2001

a) Foundation Seed Production Programme

The corporation has targeted the foundation seed production programme for the year 2000-2001 in an area of 655 Hectares and the programme was achieved in an area of 605 hectares. The foundation seed production programme was targeted to yield 7250 quintals of foundation seeds, the actual quantity procured in 7817 quintals upto December 2000. The procurement and certification is in progress and the Corporation is hoping to reach the budget.

b) Certified Seed Production Programme

The Corporation has targeted to produce 1,80,570 quintals of certified seeds in an area of 10,658 hectares. Against these targets, the Corporation has organised the programme in an area of 8430 hectares till the end of December 2000, the Corporation has procured 1,05,631 quintals of seeds and the balance quantity is under different stages of certification and the Corporation is hoping to procure the balance quantity by the end of the year.

c) Seed Distribution Programme

The Corporation has targeted to distribute 1,94,725 quintals of certified seeds during the year 2000-2001 to achieve a turnover of Rs.3844 lakhs. Till the end of December 2000, the quantity distributed is 1,42,436 quintals against the target 1,85,167 quintals and hence achieved 77% progress. The turnover achieved is Rs.2763.86 lakhs for the same period. The distribution of seeds is in progress for summer 2001.

2. Programme for the year 2001-2002

a) Foundation Seed Production Programme

The foundation seed production plan for the year 2001-2002 is to produce 6,200 quintals of foundation seeds in an area of 496 hectares, to support the certified seed production programmes of the Corporation for the coming years.

b) Certified Seed Production Programme

The corporation has formulated a production plan to produce 1,89,750 quintals of certified seeds in the year 2001-2002 in an area of 10,824 hectares to support the distribution programme for the year 2002-2003.

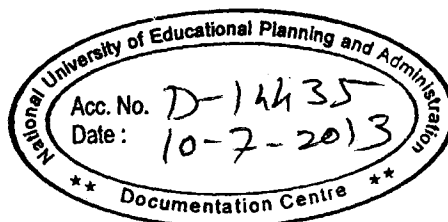
c) Seed Distribution Programme

The corporation is preparing the annual programme to distribute about 1,95,000 quintals of certified seeds during 2001-2002 to achieve a turnover of about 3,900 lakhs.

The corporation is actively supporting the developmental programme of the Department of Agriculture by making available the required quantity of different seeds for the programmes. The corporation is producing and distributing vegetable seeds also and major stress has been given to increase the volume of production and distribution in vegetable seeds in the coming years.

Observations

1. The activities of the Karnataka Agro-Industries Corporation are spread out in the state and it has diversified its activities in new fields such as Agriculture, Horticulture, Floriculture, Procurement and Export, Agro Consultancy services and such others.
2. The KAIC has been identified as the nodal agency for procurement of all agricultural inputs, machines etc for the purpose of subsidy programme implemented by the Department of Agriculture. However, the prices of such inputs appear to be higher than the market ruling prices. This needs to be addressed properly in the interest of farmers.
3. Specialised Corporations like The Karnataka State Seeds Corporation limited, which is the single largest producer and marketer of seeds in the State is necessary to ensure supply of good quality seeds to the farming community.
4. This Corporation has established two modern seed processing plants and are functioning well as seen from the financial status. This Corporation should continue.
5. If the purpose for which the corporation was created is outlived then there is a need for closure. For example, the sick Corporations like Karnataka Compost Development Corporation Limited and Karnataka Co-operative Oil Seeds Growers Federation Limited can be abolished.



WORLD TRADE ORGANISATION AND AGRICULTURE

India being a member of the World Trade Organisation (WTO) and a signatory to the Uruguay Round of General Agreement on Trade and Tariffs (GATT), is under an obligation to replace non-tariff measures (quantitative restrictions/quotas) by reasonable levels of tariffs. There are apprehensions that the liberalisation of agricultural imports would hit the farmers and impair the growth prospects of the agricultural sector.

Liberalisation of international trade in agricultural commodities would pave the way for the entry of private companies and corporations in the import business, which at present is monopolised by government organisations, which are the sole canalising agencies for imports of many commodities. Agricultural producers and consumers would be affected through changes in prices – producers from higher prices, and consumers from lower and/or better quality – due to increased competition and consequent increased efficiency.

Importers would have an advantage over domestic producers if the agricultural sector is not liberated from internal restrictions. Further more, government controls and intervention in the sector need to be reduced, to encourage greater participation of the private sector in processing, market and distribution.

Achieving food security has been the overriding goal and agricultural policy, studies have shown that the rapid spread of high yielding varieties in the late sixties and early seventies resulted in a steady growth of output of food grains. Further a comprehensive integrated Agricultural Policy with due emphasis on increased public and private investment in agriculture, widespread use of new technologies and producer oriented price policies along with professionally managed programmes is required in the context of liberalisation and export orientation.

An elaborate document by Department of Agriculture and Horticulture (*'A Report by the Cell on WTO and related issues in Agriculture and Food'*, Chairman Dr. Prem Nath, Government of Karnataka, Bangalore 2001), has been prepared which attempts to explain the implications of the WTO Agreement, particularly the agreement on Agriculture involving major and minor issues and the steps influencing the national and state agriculture production and trade. The report elaborately contributes to the national response to the WTO, and also highlights the implications and constraints envisaged for the state of Karnataka. It further emphasizes the concessions and privileges as contained in the WTO framework and recommends the state to ask the central government for such privileges and allowances including creation of the Export Processing Zone (EPZ).

This document emphasizes on preparedness required with regard to infra-structure development, institutional capacity building, human resources development, research and development, education and training etc. The report draws the attention of the state government on immediate point of action as well as lists the points specific to Karnataka for consideration by the Government.

Proposals by the Government of Karnataka

- Participation of the state in policy discussion at the centre
- Priority commodities specific to the state needing particular attention
- Funds from Central Pool for Export Promotion
- Establishment of Export Processing Zone in Karnataka
- Taking advantage under Green Box Measures
- Special Safeguard for Phyto-sanitary measures
- Non-utilisation of bound duties

Implications for Karnataka

Karnataka has been recording a reasonable performance as far as share in agricultural exports is concerned. The exports have increased from about Rs.1,127 crores in 1996-97 to Rs.1,749 crores by March 2000. Even then a large number of commodities finding other export destinations, though originating from Karnataka, do not get included here. Quite a few commodities originating from Karnataka are exported to the destinations from outside the state. This export performance can be improved significantly and there can be a further step up in the growth of Karnataka's exports. As far as the implications in the WTO regime are concerned, the following possibilities are enlisted:

- In order to step up the export performance of Karnataka it is necessary to work on three point strategy, namely; creating an incentive structure, providing infrastructure facilities and facilitating a transparent system of export administration.
- Karnataka has comparative advantage in four sectors, namely, primary agricultural and horticultural products, horticultural processed goods, floriculture, and other primary forest products.
- There are built-in cost disadvantages due to inadequate infrastructure and administration bottlenecks for the exporters in the State. Therefore, immediate steps for compensating such heavy costs either by providing required facilities or by creating an incentive structure should be taken up immediately. So that this will reduce the pre-export and post-harvest costs. It is due to these heavy overheads that the exporters from the state cannot compete with those outside the state.
- The State should seek establishment of EPZs in promising areas for the commodities having trade advantages. Three such regions are Bijapur, Chitradurga and Kolar for establishing EPZs for horticultural crops, processed agricultural and horticultural crops and primary agricultural products.
- With lifting of Quantitative Restrictions, the State should keep a continuous monitoring of imports of agricultural, horticultural or floriculture products in the state. The relative prices of these products should also be monitored, since it is quite possible that sudden import surges are likely to create welfare loss and disincentives for domestic producers.

- Imports of technology like Terminator seeds will have disastrous effect on food security as well as sustainability of the local genetic stock of grains in the state. It is necessary to utilise special safeguard measures to repeal this.
- The state government should argue for testing of the quality as well as the price differentials of the commodities demonstrating sudden import surges in order to take help under safeguard measures, sanitary, and Phyto-Sanitary measures, Anti dumping provisions and Technical barriers to trade.
- In Karnataka, it is necessary to work on the present structure of cess charged to the exporters.
- Karnataka can take advantage of Backward Area Development Exemption under the 'Green Box' measures by providing infrastructure in the districts of North Karnataka and tapping the export potential.
- The state should also take immediate steps to establish Farmer's Export Consortiums to bring together the farmers with small quantity of exportable surpluses.
- The domestic prices are quite volatile as compared to the international prices. In addition to this, the price response of the producers creates fluctuation in product availability in the international market.
- It is essential to organise, implement and continuously feed the information to the state through a Nodal Agency organised to continuously study the participation of the state in international trade and at the same time protect the welfare of the domestic producers. It is also felt that the span of issues under WTO should be widened incorporating goods from other sectors. Industrial produce, software, gems and jewelry, textile products, other raw materials and all products other than agriculture and horticulture should also be covered under the WTO cell. Currently it is only catering to the agriculture and horticulture sectors.

Agriculture plays an important role in the economy of the state. Besides contributing a substantial part of the State Domestic Product, it is the largest source of employment. The state has achieved self-sufficiency in food grains, cotton, and sugar production. There is a marginal shortfall in oil seeds production and only about 50 per cent of requirement of pulses is produced.

Karnataka has been doing quite well as far as its share of exports in the agricultural sector is concerned. The recent data shows that, the total exports of agricultural products from Karnataka have gone from about Rs.4,000 crores to reach Rs.7,200 crores in a span of six years (1994-2000). Karnataka has coffee as its major export commodity followed by cashew and processed food products. It is expected that Karnataka will emerge as one of the major states participating in India's agricultural trade.

DEPARTMENT OF WATERSHED

Evolution

Karnataka, being a State with 78% of its area with rainfed cultivation, have been a pioneer in the field of watershed development. The initial impetus to watershed development in Karnataka came from the Pilot Project in Kabbal Nala Watershed in Kanakapura taluk of Bangalore (Rural) District. A Dry Land Development Board (DLDB) with multi-disciplinary cells in each of the revenue division and a Watershed Development Project Team in each of the then 18 districts (except Bangalore District) were constituted vide G.O. No.AAH 192 AMS 83 dated 7.8.1984. While according approval for the constitution of the Bayaluseeme Development Board a decision was also taken to wind up the four divisional Dry Land Development Boards but to continue the 18 Project Teams at the district level.

The process of watershed development involves multi-disciplinary activities and expertise from several departments. To sustain the assets created under the programmes, the participation of the people as well as the Panchayat Raj Institutions is also essential. In Karnataka various departments and bodies are implementing watershed development programmes needing greater co-ordination in planning, implementation and supervision so that a concerted thrust may be given to watershed development activities. Agriculture Department is implementing soil and water conservation schemes and watershed development programmes like National Watershed Development Programme in Rainfed Areas (NWDPR) and Soil Conservation in catchments of River Valley Projects (RVP). Rural Development and Panchayat Raj Department is implementing various rural development, poverty alleviation and employment generation programmes having watershed developments as an important component through Panchayat Raj Institutions. Horticulture Department and Forest Department also carry out various programmes in watersheds. There are also non land-based activities and participation of Non-Governmental Organisations as well as self-help groups and village committees. The Government has therefore considered various aspects including a commitment given in the context of an externally aided project and also the fact that 7 new districts have come into being and decided that better co-ordination in planning, implementation and supervision of watershed development programmes will be achieved by setting up a separate Directorate of Watershed Development with Head Office at Bangalore and 24 District Watershed Development Offices (DWDOs) at district level with multi-disciplinary staffing pattern.

Watershed Development Department (WDD) is a department under the administrative control of Agriculture and Horticulture Department headed by a Director.

All Watershed development programmes, schemes and projects (including soil and water conservation) under State Sector, including externally aided projects (EAPs) and Central Sector Schemes such as NWDPR and RVP will be implemented through Watershed Development Department and DWDOs. All watershed development, components, programmes, schemes and projects under District Sector (including watershed components of Centrally Sponsored Schemes of Rural Development & Panchayat Raj Department) will be implemented through DWDOs, which will be under

the administrative control of zilla panchayats. The funds for District Sector Watershed development programmes shall be released to DWDOs through ZPs and such programmes will be implemented under overall supervision of ZPs. The funds for Externally Aided Projects and State Sector Programmes will be released by WDD (Head Office) to DWDOs directly. The Head Office of WDD had technical supervision and control of all watershed development programmes implemented by DWDOs. NWDPPRA and RVP were transferred from Department of Agriculture to WDD with effect from 01.04.2000. The transfer of EAPs to WDD was subject to prior concurrence of external aid agencies concerned.

The posts existing in each cadre in State Watershed Development Cell (SWDC) in 4 DLDBs and in 18 Project Teams were transferred with effect from 01.01.2000 to the corresponding cadre in WDD upto the overall staffing pattern in each cadre of WDD. The surplus posts in SWDC and 4 DLDBs were surrendered to the respective departments with effect from 31.1.2000 and the surplus posts in 18 Project Teams were surrendered to the respective departments with effect from 31.3.2000. The shortage in each cadre in WDD after transfer of posts from SWDC, DLDBs and Project Teams, were made up by redeployment of posts from corresponding cadres of the concerned line department. Thus there was no fresh creation of posts.

The six new DWDOs were in position with effect from 01.04.2000. By then the redeployment was finalised by the concerned departments. The concerned ZP and Head Office of WDD will also finalise the arrangement for office accommodation for the new DWDO by then. Also, till then the DWDO of the old district will continue to carry out work in the new districts separated from it. Finally the Watershed Development Department came into effect from 1.1.2001.

The basic components of the watershed approach in Karnataka

The water watershed development approach, as implemented in Karnataka, consists of following components:

- Human resource development (community development)
- Soil and land management
- Water Management
- Afforestation
- Pasture/fodder development
- Livestock management, rural energy management and
- Farm and non farm value addition activities

Scope of the Department

In the backdrop of growing population in the State with consequent demand forever increasing food, it was strongly felt for bringing large tracts of rainfed dryland under Watershed system to increase the productivity of land. In this process, modern technology is used for conservation of soil and water and increasing the productivity of soil by way of checking soil erosion. With this sole aim, Four Dry Land Development Boards were established in 1984 under the Divisional Commissioners under whom there

were 18 Project Directors implementing watersheds in various parts of the State. There was a State Watershed Development Programme Cell headed by a Director, who was co-ordinating these 19 Project Directors in the State. Under this system, 2153459 hectares were developed in the last two decades in the State. It is proposed that balance area that remains to be developed will be developed in phases in next 20 years.

Structure of the Department

Government of Karnataka has abolished Dry Land Development Boards and established Watershed Development Department. This new Department has offices in 24 districts with Bangalore Urban district attached to Bangalore Rural, Kodagu district attached to Mysore and Dakshina Kannada attached to Udupi district.

State Level

At the State level the Department is headed by a Commissioner, an IAS Officer of Super-time Scale. He is assisted by a Joint Director (Administration), who is Senior KAS Officer. Similarly for accounts, he is being assisted by Chief Accounts Officer of the rank of Joint Controller of State Accounts. In addition to above, four Conservators of Forests, one Additional Director of Agriculture, two Joint Directors of Agriculture, one Joint Director of Planning, One Joint Director of Horticulture, One Live-stock Specialist are assisting the Director in the matters of forestry, horticulture, agriculture and animal husbandry activities of watershed development. Details of the posts sanctioned at the Directorate is shown in Annexure - X

District Level

At the district level District Watershed Development Officers are implementing the programmes of the Watershed assisted by Multi-disciplinary heads under the overall control/supervision of Zilla Panchayats. Details of the posts sanctioned to districts is shown in Annexure - XI

Benefits gained from Watershed approach

1. The crop yield has increased by 25-40% in dry land farming
2. The soil loss due to erosion was brought down by 30%
3. Large extents of barren hill slopes were covered by vegetation
4. Large tracts of marginal lands brought under dry land Horticulture
5. Development of Agro-Horti and Agro-Forestry systems
6. Water resources were harvested through nala bunds, farm ponds, gully embankments
7. Regeneration of grass lands for more fodder and grass
8. The income of farmers increased considerably

Present and future Watershed Programmes of Karnataka

The Department has multi-disciplinary technical experts drawn from Agriculture, Horticulture and Forest Departments who are pooling their experience, expertise and technology in the Watershed Programmes in dry land areas being financed by External, Central, State and District sector schemes.

Status of programmes and progress of projects announced in the budget for 2000-2001

In the budget of 2000-2001, following programmes have been taken up for implementation with financial and physical targets.

I. Centrally Sponsored Scheme

i) National Watershed development programme in Rainfed Areas (N.W.D.P.R.A)

This is a programme being implemented in 26 districts with a budget of 21.00 crores to develop 45280 hectares which is currently being developed in the State.

ii) River Valley Project (RVP)

Under this project with a financial target of Rs.11 crores an area of 37856 hectares being developed in 15 districts.

II. State Sector Scheme:

State Government has earmarked Rs.8.42 crores towards establishment cost of the Staff of Watershed Development Department.

III. Externally Aided Projects

i) British Government Assisted (DFID) KAWAD Programme

It is being implemented in the districts of Bijapur, Bellary and Chitradurga, Rs.2.69 crores is earmarked and 4000 hectares of land is being developed in the State.

ii) Swiss Government Assistance (SDC) – ISPWDK – II Programme

In this programme districts of Bidar, Gulbarga, Bijapur and Koppal are selected for Development. It was targeted to develop 30000 hectares of land with 28.73 crores in about 4 years. So far, pre-preliminary work of capacity building etc., is going on negotiation is under way to launch the programme during 2001-2002.

IV. District Sector Watershed Development Scheme:

The district sector schemes such as DPAP, DDP, IWDP, EAS, WGDP, TSP, SCP etc., comes under the administration control of RDPR Department. Watershed Development Department is also implementing these schemes under the supervision of Zilla Panchayats in most of the districts. Details are shown in Annexure – XII.

Watershed Development Training Centres

Dry land Farming and Soil, Water Management Training School, Mysore and Soil Conservation Training Centre, Bijapur have been transferred to Watershed Development Department on 29.9.2000 by renaming these as Watershed Development Training Centres.

Training Schools

There are two Watershed Training Centres functioning in Bijapur and Mysore catering to the needs of the training of personnel of Watershed Development Department. These Centres are imparting training with the latest Research Development and Technology in updating the knowledge and skills of officials/officers of the department.

Observation

1. The Watershed department has been functional since 8 months only.
2. The department has been linked appropriately at the district level on the basis of decentralised system of governance.
3. Many number of vacancies exist in this department at the field level which has to be filled up. Some of the important posts being Agricultural and Horticultural Assistants, Foresters and Gardners as the Horticultural nurseries are an essential part of Watershed.
4. Since a separate Watershed Department has been formed to implement Watershed Development Programmes and in view of the fact that there is multi-disciplinary team in Watershed Department to undertake land based developmental activities to conserve soil and moisture and to develop the biomass, it is more appropriate to transfer all Watershed Development Programmes to this department for effective integration and implementation.
5. Since most of the social forestry related activities have been brought under Watershed approach it is necessary to merge social forestry with Watershed.
6. To restructure the staff at taluk level based on the number of Watershed and areas to be tackled rather than positioning of staff on prorata basis as it is now being done.

DEPARTMENT OF HORTICULTURE

Developmental Goals

The Department of Horticulture in Karnataka aims to achieve an overall development of Horticulture in the State. The Department has set forth a development strategy wherein more focus is laid on priorities like:

- i) Plant propagation and distribution.
- ii) Resource conservation by use of plastics in Horticulture and popularisation of dry land Horticulture techniques.
- iii) Area Expansion/Demonstrations etc., to increase production and productivity.
- iv) Creating adequate marketing facilities and
- v) Maintenance of parks and gardens for environmental improvement.

Activities

The activities of the Department of Horticulture are classified as follows:

1. Production of genuine and quality planting material in departmental Farms and Nurseries for distribution to farmers.
2. Area Expansion under different Horticultural crops through distribution of planting material and rendering technical know-how.
3. Arranging credit facilities to farmers for area expansion through NABARD.
4. Rendering technical advice regarding plant protection measures, high tech production technology to increase production and productivity.
5. Organising better post harvest handling, storage and marketing facilities.

Organisational Set-Up

The Department of Horticulture is one of the major departments of the state, which undertakes the development of horticulture. The department is headed by the Director of Horticulture and he is assisted by 9 functional Joint Directors of Horticulture, as shown in Annexure XIII one each for (Administration), (Development), (Planning), (Plantation Crops), (Credit, Marketing and Training), (Plant Protection), (Vigilance), (Research, Development and Projects) and (Biotechnology). Besides, there is an Additional Director for Oil Palm development. The four divisions viz., Bangalore, Mysore, Belgaum and Gulbarga are headed by the Divisional Joint Directors of Horticulture. The Organisational chart is shown in Annexure XIV.

At the district level, the Deputy Director of Horticulture under the Zilla Panchayat looks after the extension and training programs and implements the several District Sector Schemes. The Deputy Director of Horticulture also assists the NABARD for extending credit facilities to farmers by providing technical feasibility reports. He is also responsible for an overall development of horticulture in the district. (Annexure XV A and B).

At district level, the Senior Assistant Director of Horticulture (State Sector) looks after the maintenance of horticulture farms and nurseries. He is mainly responsible for the propagation of planting materials and also for implementation of various state sector and central sector schemes. The Senior Assistant Director of Horticulture (State Sector) also implements the Horticultural Training Programme through the Horticultural Training Centres established in the 20 districts of the State.

At the taluka level, the Senior Assistant Director of Horticulture and Assistant Director of Horticulture under Zilla Panchayat are implementing various developmental programmes of the Department. They are responsible for the overall development of horticulture in the taluk.

Apart from the above, the Deputy Director of Horticulture and Senior Assistant Directors at the State Headquarters look after independently certain special programmes like plant protection, seed testing, plant nutrition, floriculture, fruits and vegetable preservation, plantation and spices, farm information unit, Lalbagh Botanical garden and Cubbon Park.

Staff Pattern

Table 10: Total staff in the State

Sl. No	Group	Total Posts Sanctioned	Posts filled	Vacant Posts
1.	A	269	170	99
2.	B	633	580	53
3.	C	1758	1444	314
4.	D	2354	2003	351
	Total	5014	4197	817

The ratio of technical staff to administrative staff in the Directorate is 80:20

Budget

Budget allocation for Horticulture Department in 2001-2002

Under Plan 4474.91 lakhs

Under Non-Plan 4694.46 lakhs

Horticulture Farms

The Department of Horticulture has established 415 farms and nurseries throughout the state, out of which 161 are under district sector and 254 are under state sector. The planting materials like grafts, buddings, layers, seedlings and vegetable seeds propagated/produced in these Horticultural Farms and Nurseries are given to farmers at the rates fixed by the Directorate. There are 20 Horticulture Training Centers, one each in all the 20 districts, which impart 10 months training to 650 farmer's sons annually. Horticulture farms are two types – some under the zilla panchayat while some under state sector. However, they are not well maintained owing to shortage of gardeners and inadequate water supply etc.

Revenue released from farms and nurseries by way of disposal of farm produce and sale of propagated planting materials is shown in table 10

Table 11: Revenue released from farms

Year	Revenue (Rs. in lakhs)
1994-95	364.17
1995-96	649.63
1996-97	687.00
1997-98	780.00
1998-99	705.21
1999-2000	794.76
2000-2001	619.71 (Upto the end of December 2000)

Field Difficulties

There are 415 farms in Karnataka with State Sector farms. The maintenance of farms is not satisfactory as far as the big farms are concerned because there are only 1 or 2 Horticultural Assistants in charge of these farms. For example for maintaining 1500 acres of farm is very difficult and so most of the area remains as a forest. The staff strength is very less, to fence also it is difficult. Out of the 415 farms 265 are the revenue earning farms and rest are the Government buildings.

These farms can be given on lease and privatised to improve the growth of horticultural crops. Otherwise that land which is not suitable for horticulture can be given to Forest Department.

Major Schemes of Horticulture Department

The Department of Horticulture is implementing a number of schemes both under Plan and Non-Plan. However, considering the potential of the State for Horticulture Development, the budget provisions under various schemes is limited as a result of which there is still scope for exploiting the Horticultural potential in the State.

During 2000-2001, the Department of Horticulture is implementing 55 Plan schemes of which 25 are under State Sector, 18 under District Sector, 3 are Centrally Sponsored and 9 are Central Sector Schemes.

Schemes implemented by the zilla panchayat

Western Ghats Development Programme (WGDP)

The scheme is implemented by zilla panchayats. The horticulture component is implemented by the Deputy Director of Horticulture of respective districts. The major objectives of the scheme is to popularise and increase the area under perennial horticultural crops and thus maintain ecological balance in the 9 districts of western ghat region. Under this scheme planting materials of horticultural crops are supplied at subsidised rates to SF, MF, SC/ST farmers.

Drought Prone Area Programme (DPAP)

Irregular and insufficient rains are a regular feature in the arid zones of the State. In the identified drought prone areas, growing drought tolerant perennial horticultural crops promise regular returns to the farmers and help to overcome the vagaries of climatic conditions. Keeping this in view, under this scheme, the following programmes are taken up:

- a) To produce horticultural plants in large numbers for distribution to the farmers at subsidised rates.
- b) To bring additional area under horticultural crops.
- c) To popularise dryland horticulture technology among the growers by way of demonstration etc.

This scheme is being implemented by the Deputy Director of Horticulture of respective districts through zilla panchayats.

One scheme was selected for indepth study namely Plant Protection of Horticultural crops which is a major scheme of this department

Plant Protection of Horticultural crops

The main objectives:

Providing suitable technical guidance to farmers for control of pests and diseases in horticultural crops, providing plant protection chemicals and plant protection equipment to the farmers on subsidized rates and free distribution of parasites produced in the departmental laboratories for the control of Black Headed Caterpillar on Coconut.

Under the scheme for control of black headed caterpillars with the assistance of Coconut Development Board (50:50) major plant protection laboratories one each at Hosadurga, Udupi, Tiptur and Kanakapura are established and equipped to step up the production of parasites for biological control of black headed caterpillar in these areas. During 2000-2001, this scheme has been transferred to state sector. Under this scheme, 85.71 lakh parasites were produced as against the target of 88.27 lakh parasites with the financial achievement of Rs.15.55 lakhs. Under the scheme for integrated farming in coconut holdings, about 1154 diseased coconut trees were rejuvenated.

Under District Sector scheme, 5 big and 45 small laboratories have been established for production of parasites. These parasites produced from these laboratories will be released in identified infested gardens of the farmers. Under this programme, there is a budget provision of Rs.11.60 lakhs for the production of 75.45 lakh parasites. Against this target, 76.61 lakh parasites were produced at a total cost of Rs.6.25 lakhs.

Steps taken to control coconut mites in Karnataka

1. Detailed survey has been conducted by the department at District/Taluk level with the assistance of zilla panchayat staff to find out the incidence/infestation of this pest. As per survey, around 80 lakhs palms are infested by the coconut mite in 21 districts of the state.
2. Department of Horticulture in association with the Scientists of U:A.S., Bangalore have discussed and finalised the control measures and also method of treatments to farmers, department officers and field staff.

3. The Government agencies like K.H.F, K.S.C.M.E and K.A.I.C have been entrusted to supply specified brands of chemicals in time. Accordingly now these have been informed to stock the chemicals at Raita Mitra Kendra's situated in each Hobli/Gram Panchayat/Taluk of the 21 mite affected districts.

Observations

1. Though the Government has taken up some measures to prevent serious infestation and loss to the farmers, due to the coconut mites, it has not been effective in controlling it.
2. People are not willing to pay for treatment of plants.
3. As some section of plantation are not treated the cured plants are getting re-effected.

Functioning of the Department

Directorate of Horticulture

Director

The Director is the administrative and technical head of the Horticulture Department. He is assisted by one Additional Director and 9 Joint Directors of Horticulture each incharge of the following

Joint Director (Planning)

He is a liason officer between the Directorate and the Government. He reports the progress to the Government, prepares the plan and monitors the schemes and submits the progress report every month.

Joint Director (Development)

He is incharge of farms and nurseries. The seed testing laboratories, fruits and vegetable schemes comes under his control.

Joint Director (Biotechnology)

The Joint Director post is relatively new as it was created in 1997. He is incharge of schemes pertaining to bio-pesticides, fertilizers, floriculture, maintenance of laboratories, (tissue culture laboratories)

Joint Director (Plant Protection)

All the plant protection schemes (of any Horticultural crops) comes under him. He monitors the quality of fertilizers, pesticides, chemicals required for the plant protection.

Joint Director (Credit Marketing and Training)

All the schemes related to marketing, processing, Post Harvest Management (PHM) crop insurance publicity and propaganda, cold chains (It is used for post harvest crops in marketing) etc., credit schemes.

Joint Director (Plantation Crops)

Schemes relating to coconut, pepper, cocoa, vanilla, ginger, turmeric (all species crops) are monitor by him and monitor drip irrigation scheme also.

Joint Director (Administration)

He is an administrator (KAS Officer), in charge of the administration of the whole Department of Horticulture, promotions, transfers and all other administrative matters. In addition this Joint Director has to monitor the maintenance of parks, gardens and hill stations.

Joint Director (Research and Development) has to monitor the schemes related to research and develop the schemes. The *Joint Director (Vigilance)* was created just a year back to monitor the supply of fertilizers to the farmers. He works as a squad to punish the officers for improper distribution. The *Additional Director (Oil Palm)* is incharge of the oil palm development.

Accounts Officer

The Director is also assisted by the Accounts Officer who is in charge of the Accounts, release of budgets and auditing. He works in co-ordination with all departments. There are only two major Heads of Accounts (2401 and 2406) for plan and non-plan and for parks and gardens.

Functioning of the District Office

At the zilla panchayat, one officer of the cadre of the Deputy Director of Horticulture is deputed to work under the administrative control of Chief Executive Officer. The Deputy Director has one Senior Assistant Director/Assistant Director of Horticulture for each taluk who inturn is assisted by an Assistant Horticulture Officer and 1 to 2 Horticulture Assistants. For small taluks and less potential areas the Assistant Director of Horticulture is positioned and for bigger taluks the Senior Assistant Director is posted.

The Deputy Director of Horticulture is responsible for development of Horticulture in the district concerned. He will draw an action plan for Horticultural development in the district, get them approved by the zilla panchayat, draws the funds from the zilla panchayat and prepare the progress report and reports directly to the Chief Executive Officer. The technical control is exercised by the department of Horticulture.

He attends all the meetings convened by the Chief Executive Officer, attends all the sub-committee meetings and has to adhere to the resolutions of these committees. The important meetings will be attended by the DDH and when he is unable to attend, some meetings will be attended by the Headquarters Assistant to Deputy Director on his behalf. The different meetings attended by him are KDP, MMR, Standing Committee, Women development programme, agriculture, finance etc., all meetings coming under the purview of the Zilla Panchayat.

The SADH has to attend the meetings only at the divisional level. He attends 3 to 4 meetings per month whereas the DDH of the district has to attend 15 to 16 and sometimes even more meetings in a month.

At the taluk level the Assistant Horticultural officer is positioned to assist the Assistant Director of Horticulture. In horticultural potential taluk there are 2 Assistant

Horticultural officers assisted by 2 Horticultural Assistants. The taluk is divided into two parts and each AHO will be in charge of one part but to smaller taluks there is only one AHO and one HA. The Horticultural Assistant has to assist the Assistant Director of Horticulture, Senior Assistant Director, to visit the villages coming under him, to identify the beneficiaries, to inspect at village level, distribution of plant materials for the farmers with the help of panchayats. It was observed that the Horticultural Assistant's work is very tedious. To visit the remote villages, they have to travel 8 to 10 kms and they do not have proper infrastructural facilities for which they are presently depending for mobility on beneficiaries. It was also observed that the vacancy for the post of Horticultural Assistant in North Karnataka particularly in Bijapur district is very high.

The District level office of Horticulture has one Accounts superintendent under the Deputy Director of Horticulture to monitor the bills, accounts relating to plan and non plan expenditure, administrative matters of Deputy Directors office, reconciliation etc., He is assisted by two first division assistants and two second division assistants and one typist. In the district office they have only one major Heads of Account (2401) for plan and non-plan expenditure.

Functioning of State Sector

The districts will have a state sector Senior Assistant Director of Horticulture (SADH) and who will work under the administrative and technical control of the Divisional Joint Director of Horticulture. He is in charge of mainly maintenance of state sector Horticultural farms, propagation and training activities. Depending upon the potentiality of Horticulture farms Assistant Directors, Assistant Horticultural Officers and Horticultural Assistants will be working under his control.

State Sector has separate office, establishment and separate set of functions to perform. Maintaining the farms in every district and propagation is the main activity of the SADH. The related schemes and the farms coming under the State Sector is the main responsibility of the SADH.

At Divisional Level there are four divisional Joint Directors each in revenue divisions (Mysore, Belgaum, Bangalore and Gulbarga). The Joint Director's role has been reduced and is responsible for SADH sector only.

The Joint Director Divisions and State Sector Office can be abolished by bringing SADH under zilla panchayat division. Full control can be under one Deputy Director of Horticulture at the district and he should be given full powers similar to that of Deputy Commissioner.

Important Achievements of the Department

1. The cold storage subvention scheme is under implementation to provide a subsidy of Rs.1.00 per unit of power to the existing cold storages storing horticultural commodities.
2. There was an outbreak of Eriophyid mite menace in coconut crop in the state. To save the farmers from undergoing severe loss of crop, the state government had provided an additional amount of Rs.2.44 crores for purchase of chemical to treat affected coconut trees in the state. The subsidy level has been enhance from 50% to 75% to small and marginal farmers for purchase of required chemicals.

3. The Department has established a biotechnology centre at Hulimavu Horticulture farm near Bangalore with an objective to produce quality planting materials and conserve the genetic diversity of horticulture plants.
4. The NDDB is setting up markets for the horticultural produces in Bangalore at a total cost of Rs.150 crores. The state government as gesture of assistance to this project, has given 60 acres of land at Kannamangala horticulture farm for creating of necessary marketing infrastructures. By implementing this project, a large number of farmers will get benefit in disposing their horticultural produce on time beside reducing the post harvest losses of produce.

Separate Existence of Horticulture Department

Karnataka is first state in the country to have a separate Horticulture Department. India is second highest producer of fruits (43 million tonnes) and vegetables (86 million tonnes) in the world. Horticulture is an important land based enterprise in Karnataka. Although Horticulture crops occupy an area of 15.12 lakh hectares with an annual production of 96.60 lakh metric tons, their contribution in terms of value addition is around Rs.5,319 crores which accounts for 40% of the total income obtained from the combined Agriculture crops.

Horticulture and Agriculture are closely interrelated. Therefore, there must be some functional and organisational linkage at the functioning level. They should not work in watertight compartments but should merge at grass roots/field level so that integrated approach can be adopted and duplication and overlapping can be avoided. More staff should be at the disposal of grass roots thereby broadening the base as it has been observed that failure is at the implementation level and not at policy level.

In view of globalisation and export oriented growth, the magnitude of work has increased. Farmers are shifting from agriculture to horticulture since it is commercially viable. We could observe changes in cropping pattern from traditional crops to crops that earn money.

It has enormous potential to contribute to socio-economic changes in the rural/urban sector, because of the fact that horticultural crops are highly remunerative, employment oriented and nutritive. Therefore, the cultivation of Horticultural crops such as fruits, vegetable, plantation crops, spices, medicinal and aromatic crops and commercial flowers is becoming increasingly popular throughout the State. Karnataka has kept up the traditional value as a leading state in the establishment and transparency/maintenance of parks and gardens and also preservation of ecologies balance and beautification of environment. The departments independent identify is therefore to be continued at the state level.

Observations

1. It was observed that the Director being the technical and administrative head of the department all the files come to him for approval. He has to attend a number of meetings ranging from 2 to 4 per day and often resulting in the whole day being spent on meetings. Further, it is only the review meetings that are attended by the Joint Directors. This is leading to severe constraint on the time that the Director should spend on developmental activities. Therefore the number of meetings needs to be reduced.

2. Another clear implication is that decision-making powers have not been appropriately delegated. The Joint Directors have no substantial administrative and financial powers. Their presence and participation in the meetings is not of much significance. It is, therefore, necessary that appropriate revision should be made regarding the powers of the Joint Directors. The functional Joint Directors should also take up the responsibility of meetings thereby reducing the burden of the Director.
3. At the divisional level the Joint Director's role has been reduced and is responsible for State Sector (SADH) only. It was observed that for any information and meetings the SADH and Deputy Director Horticulture of the districts have to go to the divisional office. This is not necessary, and the post can be abolished.
4. Interviews revealed lack of coordination between the SADH state sector and the district sector due to the fact that the line of control are different. The SADH reports to the Divisional Joint Director while the Deputy Director reports to the CEO. The SADH State Sector along with the subordinate staff can be brought under the control of Deputy Director of Horticulture of that district. The state sector, district sector and central sector schemes can be implemented through one sector for proper control and co-ordination.
5. The Joint Director Administration is a non-technical person. Monitoring of parks gardens and hill stations need technically qualified people with specialisation in ornamental gardening and landscaping. These works continue to be with the non-technical man. This needs to be rectified by transferring all the technical work to one technical Joint Director.
6. The Additional Director Oil Palm is in charge of only one programme namely oil palm development. He has very limited powers. This post can be abolished and the functions can be transferred to any other technical Joint Director.
7. In the context of decentralisation, it is seen that the Deputy Director of Horticulture works under the Zilla Panchayat. For all the schemes under the department, the beneficiaries are selected by the panchayats in the grama sabha thereby ensuring people's participation in selection of beneficiaries. Beneficiary selection by gram sabha is not regular and timely and very often season is lost.
8. The staff at the field level is less, the vacancies being 275. There is a need for Hobliwise Assistant Horticultural Officer, which is conterminous with the Raita Samparka Kendra.
9. Also not enough vehicles are provided for timely transportation of horticulture products produced in the farms leading to heavy loss.
10. The separate existence of the horticulture department is desirable though functionally merger is desirable at Raita Samparka Kendra level for better results.

Privatisation

1. Vehicles for mobility of officers incur heavy loss for the department. Hiring is better.
2. Farms can be privatised since there are 415 Horticulture Farms out of which 161 are in district sector and 254 in state sector so some of them from the state sector can be given to zilla panchayat and private sector. Only research oriented farms of about 40 to 50 to remain under the state sector.
3. Farms could be made autonomous by giving a corpus fund.

OBSERVATIONS AND RECOMMENDATIONS

Agriculture Department

1. The post of the Commissioner in the Agriculture Department is temporary for a period of 2 years.
2. Sufficient financial, administrative and technical powers have not been delegated to the Additional Director of Agriculture, Joint Directors and Deputy Directors.
3. Agriculture Department has large number of officials (524) at the state level mostly comprising non-technical posts. The excess non-technical posts may be given to districts and taluk levels.
4. No co-ordination was observed between the activities of the departments of Horticulture and Agriculture at field level.
5. Existing staff at the field level is overburdened due to shortage of field staff. There is a need for rationalisation.
6. One Agricultural Officer is incharge of 2 or 3 gram panchayats.
7. At present some institution like Soil Testing Centres, Training Centres, Seed Farms are under zilla panchayat control. The utility of these institutions spread beyond the district. Therefore, it is worth considering shifting these institutions under one control.
8. Laboratories are not able to work properly due to lack of staff, equipments and other infrastructure, including shortage of funds.
9. Action plan approval, selection of beneficiaries, and release of funds from zilla panchayats are not timely. As such the implementation of season bound activities have been hampered, there is need for a fixed time schedule for clearing these from zilla panchayats.

Schemes

1. The study revealed that the number of schemes in the department has been reduced by rationalising the schemes from 108 schemes in 2000-01 to 83 in 2001-2002. It could be further reduced where in only the main components can be spelt out under one major head. For example, all schemes dealing with training should be under one Head. The Head of Accounts will be automatically reduced.
2. All the plant protection scheme should also be brought under one head.
3. Eco-friendly botanicals and bio-pesticides are slow moving technologies. Therefore, the utilisation of available technology by the farmers was found to be inadequate. Farmers are still using chemical fertilisers. So they have to be constantly persuaded to use new plant protection methods.

4. The concept of release of 1/12th grants every month from zilla panchayats to season bound activities is not desirable if expected results are to be obtained.
5. The effectiveness of Raitha Samparka Kendras needs to be improved as they provide critical inputs on agriculture and sustainable development. In this context the concept of IT through Raita Samparka Kendras should be implemented on priority.
6. The Horticultural Assistants are also not rendering their services in these RSKs at the hoblis since the staff position is very limited.

Corporations and Boards

1. The activities of the Karnataka Agro-Industries Corporation are spread out in the state and it has diversified its activities in new fields such as Agriculture, Horticulture, Floriculture, Procurement and Export, Agro Consultancy services and such others.
2. The KAIC has been identified as the nodal agency for procurement of all agricultural inputs, machines etc for the purpose of subsidy programme implemented by the Department of Agriculture. However, the prices of such inputs appear to be higher than the market ruling prices. This needs to be addressed properly in the interest of farmers.
3. Specialised Corporations like The Karnataka State Seeds Corporation limited, which is the single largest producer and marketer of seeds in the State is necessary to ensure supply of good quality seeds to the farming community.
4. This Corporation has established two modern seed processing plants and are functioning well as seen from the financial status. This Corporation should continue.
5. If the purpose for which the corporation was created is outlived then there is a need for closure. For example, the sick Corporations like Karnataka Compost Development Corporation Limited and Karnataka Co-operative Oil Seeds Growers Federation Limited can be abolished.

Watershed Department

1. The Watershed department has been functional since 8 months only.
2. The department has been linked appropriately at the district level on the basis of decentralised system of governance.
3. Many number of vacancies exist in this department at the field level which has to be filled up. Some of the important posts being Agricultural and Horticultural Assistants, Foresters and Gardners as the Horticultural nurseries are an essential part of Watershed.
4. Since a separate Watershed Department has been formed to implement Watershed Development Programmes and in view of the fact that there is multi-disciplinary team in Watershed Department to undertake land based developmental activities to conserve soil and moisture and to develop the biomass, it is more appropriate to transfer all Watershed Development Programmes to this department for effective integration and implementation.

5. Since most of the social forestry related activities have been brought under Watershed approach it is necessary to merge social forestry with Watershed.
6. To restructure the staff at taluk level based on the number of Watershed and areas to be tackled rather than positioning of staff on prorata basis as it is now being done.

Horticulture Department

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5. The Joint Director Administration is a non-technical person. Monitoring of parks gardens and hill stations need technically qualified people with specialisation in ornamental gardening and landscaping. These works continue to be with the non-technical man. This needs to be rectified by transferring all the technical work to one technical Joint Director.
6. The Additional Director Oil Palm is in charge of only one programme namely oil palm development. He has very limited powers. This post can be abolished and the functions can be transferred to any other technical Joint Director.
7. In the context of decentralisation, it is seen that the Deputy Director of Horticulture works under the Zilla Panchayat. For all the schemes under the department, the beneficiaries are selected by the panchayats in the grama sabha thereby ensuring people's participation in selection of beneficiaries. Beneficiary selection by gram sabha is not regular and timely and very often season is lost.

8. The staff at the field level is less, the vacancies being 275. There is a need for Hobliwise Assistant Horticultural Officer, which is conterminous with the Raita Samparka Kendra.
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3. Farms could be made autonomous by giving a corpus fund.

Schemes

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2. People are not willing to pay for treatment of plants.
3. As some section of plantation are not treated the cured plants are getting re-effected.

Recommendations

Department of Agriculture

1. The post of the Commissioner in the Department of Agriculture is temporary while the Director is the sanctioned post. It is worthwhile to have only one post.
2. In the context of decentralised governance a Joint Committee of the concerned zilla panchayats should be constituted to work as a regional centre for the institutions like Soil Testing Centres, Training Centres, Seed Farms that spread beyond one district.
3. The administrative, financial and technical powers of the officers at the District Level need to be strengthened in tune with the decentralised governance and delegation of powers to improve efficiency.
4. The number of meetings to be attended by the officials is quite high (being 2 to 3 on an average per day) needs to be reduced and a specific day of the week could be fixed for all discussions/meetings. The HOD need not attend all the meetings. This responsibility can be delegated to the Additional Director/Director of Agriculture/Joint Director. Guidelines are to be framed so that an officer is present only when the subject concerned is discussed.

5. The administration of Agriculture, Horticulture, Agriculture Marketing and Watershed need to be merged functionally at field level and co-ordination should be strengthened.
6. Laboratories can be privatised by assigning them on lease basis.
7. Wide publicity should be given to eco-friendly botanical and bio-pesticides and their importance under the plant protection scheme through training and awareness camps.
8. Raitha Samparka Kendras should be strengthened by providing necessary infrastructure like telephone, computers and essential agricultural inputs. They have to develop as a storehouse of information on every aspect of agriculture like price of agriculture commodities, fertilisers, pesticides, media programmes for farmers. Therefore, in collaboration with private agencies IT concepts should be extended to these centres. The RSKs should be increased from 745 to 1500 in a phased manner so that inaccessible areas can be given attention. The staff can be filled through redeployment and rationalisation.
9. The state sector subsidy should be continued. Only subsidy and effective demonstrations can help in spreading of the new technologies for cultivation of high yielding crops.
10. Agricultural Assistants are now working at the hobli level. A definite criteria should be worked out based on land holdings or cultivable area for effective implementation of programmes.
11. The Corporations, which are running successfully namely, Karnataka Agro Industries Corporation Limited, Karnataka State Agriculture Produce, Processing and Export Corporation Limited and Karnataka State Seeds Corporation Limited should be retained and the other Corporations, which have outlived their purpose and are sick should be abolished.
12. To cater to the training needs of the departmental staff as well as farmers there is need to have a full fledged training centres in each district. This could be achieved by merging the existing training centres of the department and through rationalisation. One Centre can be created with redeployment of staff already available at different centres and schemes.
13. In order to function effectively in response to the objectives of the World Trade Organisation, it is essential that the department embarks on broad basing of its extension activities and reorienting the extension approach to meet the changed needs. Also, diversification of crops/farming systems and organic farming should be promoted for harnessing the export potential. The infrastructure should be strengthened for assuring Sanitary and Phyto-sanitary Measures (SPS – deals with food safety, animal and plant health regulations) so as to maintain International standards. Promotion of contract farming and creation of Cold Chain should be taken up for the progressive growth of agriculture. Above all there is a immediate need to create a cell within the department to co-ordinate and implement policies related to World Trade Organisation.

14. The extension staff requires mobility for effective functioning and discharging of their duties. Provision should be made to purchase two wheelers by giving advance/loan facilities. In lieu of fixed travel allowance, TA may be paid based on mileage points for using the personnel vehicles used by the staff.
15. The schemes should be rationalised and as such the number of schemes are to be reduced. More number of schemes are leading to many heads of accounts (83) in the Agriculture Department. Two or three major heads of Accounts would be sufficient for the grants given under different schemes.
16. The funds should be released as per the programme in time. For land and crop based activities, money should be released as per the programme on time and not 1/12th grant.

Department of Horticulture

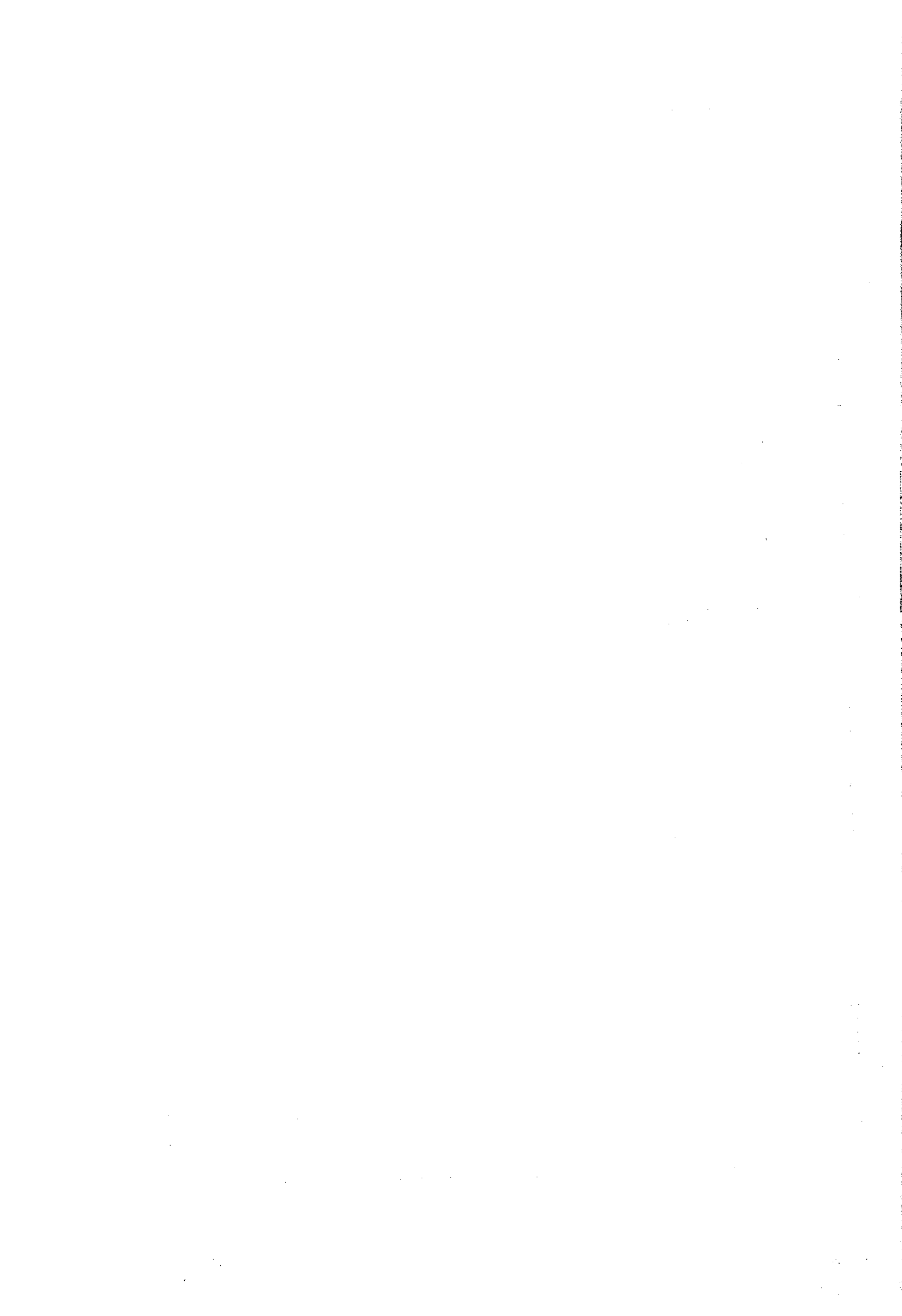
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2. The Additional Director Oil Palm is in charge of only one programme namely oil palm development. He has very limited powers. This post can be abolished and the functions can be transferred to any other technical Joint Director.
3. The posts of Joint Director Planning and Research and Development in the Horticulture Department can be merged.
4. Divisional Officers (four) in the Horticulture Department should be abolished. Simultaneously the State Sector office and officers of the Horticulture Department should be merged and each district shall be headed by one Deputy Director of Horticulture. The Deputy Director shall be authorised to operate both state sector and zilla panchayat schemes as is followed in the Agriculture Department.
5. Though the Government has taken up some measures to prevent serious infestation and loss to the farmers, due to the coconut mites, it has not been effective in controlling it. Therefore, it is necessary to set up a *state level technical committee* exclusively for monitoring the outbreak of pests and diseases of agricultural and horticultural crops so that they can act immediately and recommend measure for control. This should be a permanent committee comprising of an expert in the field of entomology, pathology, plant protection and officers of the department of Agriculture, Horticulture and representatives from pesticides industries apart from farmers.
6. Holding grama sabha regularly is of utmost importance because horticultural activities are season based. Grama Sabha should be held in relation to the seasonal activities of farmers. The department should be in close contact with the panchayats and co-ordinate with them so that the beneficiary selection is not delayed.

7. The staff at the field level is less, the vacancies being 275. There is a need for Hobliwise Assistant Horticultural Officer, which is conterminous with the Raita Samparka Kendra.
8. Wherever excess staff under Group D and Group C are observed, they should be appropriately positioned looking into necessity and functional of each office/officer.

Department of Watershed

1. Since the Department of Watershed is in its infancy, periodic detailed study in terms of its organisation, functional responsibilities and execution of works has to be taken up on priority. By doing so any mid term correction required could be brought in immediately.
2. Many number of vacancies exist in this department at the field level which has to be filled up. Some of the important posts being Agricultural and Horticultural Assistants, Foresters and Gardners as the Horticultural nurseries are an essential part of Watershed.
3. Since most of the social forestry related activities have been brought under Watershed approach it is necessary to merge social forestry with Watershed.
4. The staff at taluk level should be restructured based on the number of Watershed and areas to be tackled rather than positioning of staff on prorata basis as it is now being done.
5. Separate existence of Agriculture, Horticulture and Watershed at the state level is to be maintained.

**COMMERCE AND INDUSTRIES
DEPARTMENT**



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- Shri.C.H.Govinda Bhat, Commissioner for Cane Development & Director of Sugar.
- Dr. Basappa Reddy, Director of Mines & Geology.
- Shri. C.K. Nagaendraswamy, Jt. Commissioner, Directorate of Handloom & Textiles.
- Smt. Shamim Banu, Chairperson & Managing Director, KSIDC.
- Smt. Latha Krishna Rao, Secretary, Karnataka Administrative Reforms Commission.

We also thank the officers and the staff of the above departments for spending a considerable amount of time with us and for sharing their experiences as well as their visions for their departments.

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We also thank Rohit Kumar and K.P Basavarajappa from the Indian Institute of Management Bangalore, for assistance in data collection and analysis.

While we have attempted to reflect the views of all stakeholders to the extent possible, not every point of view could be accommodated given the diversity of views as well as the need for evolving a coherent and internally consistent restructuring plan for the department. However, we are grateful to all those who have shared their knowledge and expertise with us. Their contributions have greatly added to the value of this report.

October 10, 2001
Bangalore

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Executive Summary

INTRODUCTION

The Karnataka Administrative Reforms Commission entrusted the Indian Institute of Management Bangalore, to conduct a functional review of the Department of Commerce and Industries. The objective of this review is to improve efficiency and effectiveness, enhance procedural transparency and implement IT solutions to improve service delivery at all levels. The Departments of Mines & Geology, Industries and Commerce, Sericulture, Textiles and Sugar were studied. This report carries out a functional review of the Department of Industries and Commerce and suggests ways to improve its functioning and effectiveness in the changed economic context.

Department of Industries and Commerce

The changes in the economic environment have created new challenges for the Department, primarily a need for change in orientation from a command and control to a facilitative mode, carrying out the functions of Business Analysis, Liaisoning, Technology Enhancement and Dissemination. We propose reorganising the Commissionerate into 3 Subdivisions of Training & Development, Trade & Investment Promotion, and Technology Development. We also recommend the merger of the Sugar and Textiles departments with DIC and the formation of a separate subunit within DIC for small-scale industries sector.

Based on current level and potential for industrialization and size of the district Category A and B districts may be identified, with category A districts receiving proportionate amount of human and financial resources. As the TICs have been shown to be generally ineffective, we recommend that TICs be dissolved and instead a sub-divisional structure be adopted. In addition to rationalizing the structure at the field level, we also recommend establishment of regional offices to foster regional (cluster) industrial planning to eliminate regional imbalances.

An analysis reveals of DIC indicates excessive staffing coupled with a low level of productivity and consequently substantial scope for downsizing. To improve productivity and prevent the creation of unnecessary non-value adding hierarchical levels we strongly recommend the following

- No new recruitments and a surrender of existing vacancies to the government. Future promotions must be based on the staffing ratio suggested.
- Substantial training opportunities also must be provided to DIC staff.
- Outsourcing several activities such as P.M.R.Y. schemes, Industrial promotion and conduction of fairs, Industry/Market studies, preparation of project reports, research and development related issues and quality certification issues.
- Rationalizing the existing schemes by merging them as already proposed by DIC
- Increasing the use of information technology as well as networking Commissioner of Industries & DIC, Regional office and the DICs to enhance the quality of information dissemination activities.

- Creating a centralized data center for data storage, retrieval, file management and typing support. This in turn will decrease the need for ministerial staff support and increase productivity.
- Improving the strategic planning skills of the department by establishing **Industry Facilitation Councils (IFC)** in the four regions.
- Improving the Effectiveness of Single Window Agency through several measures related to delegation of powers down to the district levels
- Exploring the scope for Provision of Fee Based Services at DIC, for activities related to market intelligence, technology related information, and WTO and IPR related information

Department of Sericulture

The Sericulture needs to disengage itself from several extension related activities and adopt a managed infrastructure approach to developing Sericultural activities. The Department may be reorganised at the HQ level along the four key areas of Planning, Seed & Mulberry Development, Quality Assurance & Control, and Market Development.

- To increase the effectiveness of scheme implementation and ensure unity of command DDs should be moved back into the departmental structure reporting to the Joint Director while ADs, Sericulture Inspectors and Demonstrators need to be shifted to ZP.
- Rationalizing the workforce and reallocating the current roles can improve productivity significantly. In traditional silk areas the Department must be involved value adding activities only. Significant potential also exists for rightsizing the ministerial staff in the Department.
- To meet the emerging challenges of the global economy the staff need to be trained in the areas of business analysis (market intelligence, forecasting), IT usage, and adoption of new technologies.
- Activities such as quality assurance through third party testing, soil testing, etc., may be outsourced.
- We also recommend the introduction of single file system as well as a desk officer system in the department.

Department of Sugar

Given the limited but strategic role expected to be played by this department in the future this activity does not require a separate department but may be meaningfully integrated with DIC and headed by an Additional Director. We suggest that the restructured department should maintain close links with other expert agencies such as ISRO to carry out the activities related to resource mapping.

Department of Textiles

Given the limited but strategic role expected to be played by this department in the future we recommend that this activity does not require a separate department but may be meaningfully integrated with DIC and headed by an Additional Director.

Department of Mines & Geology

The specialized function of the department as well as the strategic importance of the functions carried out rule out the need for significant functional restructuring. However, there is considerable scope for downsizing the department to improve operational efficiency and productivity.

We also think that further evaluation of autonomous corporations such as Mysore Minerals Ltd. is necessary. A preliminary analysis of these indicates considerable scope for divestment as well as downsizing.

KIADB

Given the specialized nature and strategic importance of the activity, legal issues involved in land acquisition, as well as the fact that the performance of the corporation has been generally good, we recommend the continuation of KIADB as an independent entity reporting to the Additional Director (Trade & Investment). To improve the effectiveness of operations at the district level we suggest that the district level officials of KIADB be delegated further powers.

KSSIDC

We recommend that KSIDC be wound up or significantly downsized. The possibility of merging KSIDC and KIADB also needs to be examined more thoroughly; in the context of the economies of scale and scope such a merger may create.

KSIMC

We believe that the industry associations themselves can better manage several of the activities currently carried out by KSIMC. The role of the government should be limited to providing some support for technology up-gradation, which under the revised structure would be a function falling under the Technology Development division of DIC.

Stores Purchase Department

Given the reduced relevance of the Stores Purchase Department in the changed environment we recommend that this Department be closed down and the staff from SPD is transferred/deputed to other departments or given VRS.

Reorganization at the Secretariat Level

Over the years the secretariat's functional structure has been fragmented greatly. We recommend simplification and rationalization of procedures to increase effectiveness and improve decision-making efficiency at the Secretariat level. This calls for considerable de-layering and reorganization within the secretariat.

- To increase synergy and coordination we suggest that large and medium industries be combined with infrastructure, and biotechnology with IT be combined together.

- To simplify procedures and aid faster movement of files we suggest the adoption of a single file system.
- To improve effectiveness and capacity to carry out strategic planning we suggest the establishment of a Consultative Committee with representation from the various stakeholders.
- To facilitate and improve the quality technical decisions we recommend deputing staff from the line departments to the Secretariat for a fixed period. They will in turn advise the Principal Secretary on technical matters.
- To increase operational efficiency and productivity we recommend the creation of a Data Centre for carrying out support activities such as typing, data entry etc.
- To increase transparency and good governance we recommend moving to a system of e-governance on the lines of Andhra Pradesh and allowing greater access of stakeholders to information as in the case of Rajasthan. Such an approach will result in significant reductions in transaction costs for the government as well as the public

Introduction

1.1 Background

The Government of Karnataka has resolved to take concrete steps to improve efficiency, enhance transparency and accountability in government operations internally and in dealing with citizens, and proposes to streamline administrative procedures and rules for this purpose. The Karnataka Administrative Reforms Commission (KARC), involved in carrying out a functional review of major departments of government, covering all hierarchical levels, entrusted the Indian Institute of Management Bangalore, to conduct a functional review of the five departments, viz., Commerce and Industries, Forest, Irrigation, Public works, and Urban Development. The objective of this review is to improve efficiency and effectiveness, enhance procedural transparency and implement IT solutions to improve service delivery at all levels in the above Departments. This report carries out a functional review of the Department of Industries and Commerce and suggests ways to improve its functioning and effectiveness in the changed economic context.

1.2 Scope of the Assignment

The agreed scope of the work included a detailed analysis of the structure, functions, cadres and manpower at different levels of the main line department i.e. Commerce and Industry department in the Secretariat. The Departments of Mines & Geology, Industries and Commerce, Sericulture, Textiles and Sugar were studied. All cadres of the department at the Secretariat, head offices (Bangalore) and the offices of the main line department at the district level were included in the study.

The objectives of the study are:

- To suggest a restructuring/ reorganization/merger/closure of the sub-departments for improving efficiency and effectiveness
- Evaluate the scope for rightsizing the departments and staff at all levels to improve over all effectiveness and efficiency levels
- Identify activities that could be outsourced / privatised in tune with the changed orientation of the departments in the changed economic context
- Identify potential for devolution of powers / finances and increase decentralisation to improve implementation efficiency and transparency at all levels.

1.3 Overview of the Report

The methodology, instruments used and method of analysis adopted is described in Section 2. The recommendations for restructuring are given in Section 3. The new structure is designed with a view to enhance efficiency as well as effectiveness of the department at all levels. The proposed structure also attempts the need for increasing transparency and accountability at all levels to promote good governance in the state. The instruments used in the data collection as well as summary results are given in the appendices in section 4. Results of the beneficiary and staff surveys conducted as a part of the study are summarized in Appendix A while the questionnaire and checklists used are given in Appendix B.

Methodology

2.1 Methodology

This study adopted a mix of approaches. At first a field study was carried out to obtain data about the departments' activities and expectations from internal and external constituents. Personal interviews were conducted with the officers as well as staff at the secretariat level. This was supported by focus group discussions in some locations. Data was also collected from departmental personnel at Headquarters, district and taluk levels. Specific information on current programs, activities carried out, Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis based on staff perceptions was done. The findings of the survey are given in Appendix A. This approach offered us first-hand contextual information that was useful for organisational diagnosis and identified areas for potential intervention.

In the second stage, the study team carried out a functional benchmarking of comparable organizations from Italy (**Ministero dell'Industria, del Commercio e dell'Artigianato** (Ministry of Industry and Trade, Brazil (**Ministério do Desenvolvimento, Indústria e Comércio (MDIC)**, Ministry of Development, Industry and Commerce), Germany (Nuremburg Chamber of Industry and Commerce (Industrie- und Handelskammer Nürnberg), and Canada (Industry Canada, Ontario Trade Council). The objective at this stage was to understand the structure and processes successfully employed by the above organisations to manage activities similar to those carried out by the Commerce and Industries Department of Karnataka. The approaches of several Indian states, which have adopted unique approaches to the industrialization, given the socio-political environments and need for a developmental approach was also examined. For instance, the states of Maharashtra, Gujarat and Tamil Nadu have developed and sustained thriving industries in Sugar, Textiles, and Handlooms sector. Approaches used, linkages employed and integration efforts especially with respect to exports were analysed to arrive at appropriate role, and structure for the departments in Karnataka.

2.2 Research Instruments Used

As the objective of the field study was to obtain the details of current organisational structure and activities of departments, an interview method was chosen. This method was chosen for its ability to handle complex questions, collect large amounts of data and ability to elicit accurate information on sensitive questions, which the stakeholders within and outside the department would have difficulty in putting on paper. A semi-structured interview schedule and a questionnaire developed in consultation with KARC and senior officials of the departments under study were used. The questionnaire was pre-tested in the district of Bellary. A copy of the questionnaire is enclosed in Appendix B.

2.3 Data Collection

Data was collected from all head offices of the departments and district level information was collected from Bellary, Belgaum, Chamrajnagar, Chitradurga, Gulbarga, Karwar, Kolar, and Mysore (Figure 1). Officials from Departments of Industries and commerce, Sericulture, Mining and Geology were interviewed using an unstructured

interview schedule. 107 officials from these departments were interviewed. The questionnaire was administered to all officials and staff at the district level. In all over 150 questionnaires were distributed. Responses to the questionnaire were largely partial; only twenty-six completed questionnaires were used for further analysis. The analysis was useful to substantiate the insights obtained from the in-depth interviews.

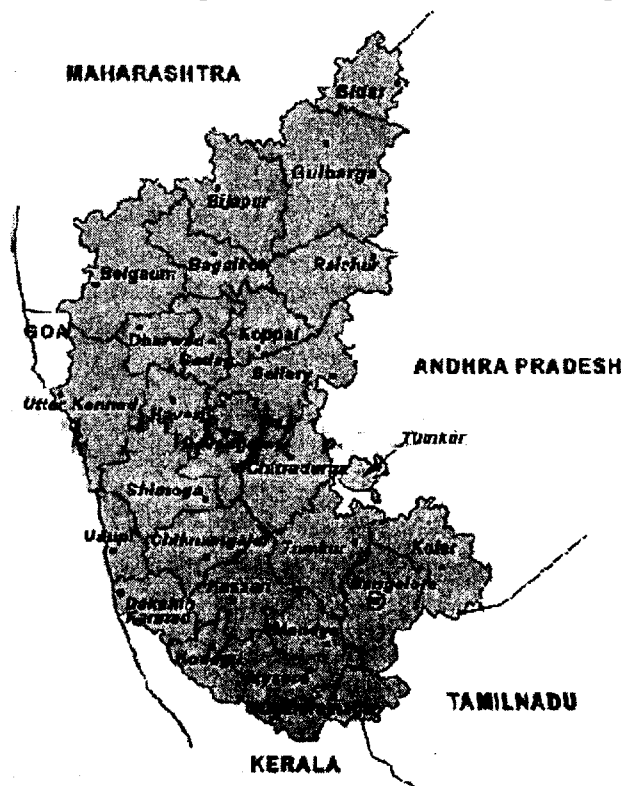


Figure 1: Districts Covered Under the Study

2.4 Philosophy of Restructuring

The structure of the departments under study were compared and contrasted with the benchmarked organisations. Currently, departments within Commerce and Industries have structures that do not match the dynamically changing technology environments and beneficiary expectations. Further, in the changed context they also need to interact simultaneously with several stakeholders, including other departments, industry associations, investors, media and special interest groups. This in turn calls for a more proactive and entrepreneurial orientation rather than administration and regulation oriented approach. Hence, we propose an alternate structure that provides sufficient flexibility and offers a possibility of increased coordination. In identifying the alternate structure we were guided by the following principles.

- Globalization and liberalization calls for a change in role, functions, and orientation of the departments under study. This calls for breaking away from scheme-based planning to regional industrial planning, from a regulatory approach to self-regulation, and from market making to market facilitating functions. Some of the departments were involved historically in market

making activities such as market clearing, price setting, and allocation of goods. As efficient private networks have developed over the years, the government should change its focus from market making to market facilitation functions such as quality development, branding efforts.

- The proposed structure should reinforce the Departments' ability to innovate by effectively linking technologies and markets and promote organizational learning. This would necessitate creating an organizational culture that would reinforce the need for a facilitative service based approach rather than a command and control approach.
- Successful diffusion of grassroots level democratic decision-making and effective state-central functioning calls for extensive reciprocal interdependency. In such a regime, the inter-departmental coordination mechanisms are goal-oriented and task driven. The proposed structure should be amenable to multiple types of coordination both at ZP and district command office levels. The proposed restructuring at the Secretariat level is proposed largely keeping this objective in mind.
- Restructuring efficiencies are gained either through consolidation of non-specialized assets/activities (economies of scale) and by enhancing the specialization of some activities. Subunits with common technological skill sets may be combined while those with specialized skill sets need to remain independent.

Guided by the above principles, the study team evaluated an alternate organizational structure using means-end analysis (Gutman, 1982)¹. The procedure we adopt in means-end analysis enumerates the different options, their feasibility and implementation effect.

The research method and the philosophy outlined above have both strengths and limitations. The principal strength is the depth of analysis based on the wide coverage of respondents and an emphasis on economic efficiency. However, the results based on employee responses could be biased as the staff would naturally have desired the continuation of the department in the future and had in some cases even submitted proposals to the government for further strengthening of their individual departments. While the study team has attempted to reflect the views of all stakeholders to the extent possible, not every point of view could be accommodated given the diversity of views as well as the need for evolving a coherent and internally consistent restructuring plan for the department. Hence the study team's recommendations at times run contrary to the stated expectations of the departmental staff. The following sections summarise the study team's recommendations for restructuring the departments under study.

¹Gutman, J. "A Means-end Chain based on Consumer Categorization process", *Journal of Marketing*, 46(2), 1982, 60-72.

Proposed Restructuring

3.1.1 Background of DIC

The Department of industries and Commerce, one of the oldest departments, was set up with the objective of industrial promotion and development with a special emphasis on small and medium scale industries. A district level formation was established in 1977 and since then many structural and functional changes have been introduced in the department. The last reorganization was based on the Abid Hussain Committee in 1997, which extended the department to the Taluk level to promote and develop small and cottage industries. The present role of the department as stated in its annual report is to promote industries in the state on a sustainable basis through proactive human, material, infrastructural and fiscal interventions.

3.1.2 Current Structure and Issues

An analysis of the staffing patterns at the district and taluk levels indicate that that there is no uniformity in the staffing. Several ad hoc arrangements are in practice. Some of the functions such as Deputy director at the district level and IPO and offices such as SIACs do not appear to add value to the functioning of DIC. Approximately 14 DIC's do not have regular assistant directors and TICs appear to be dysfunctional. Some districts, which do not have the industrial potential nor require large offices, are manned by Joint Directors. Resources have been stretched to accommodate uniform organizational structure (but not staffing patterns) across the state, often leading to inappropriate resource allocations. In fact some TICs work on extremely low budgets severely limiting their ability to carry out any meaningful developmental activity. The proliferation of offices at the taluk level has also means that on an average the workload is very low, with the average load factor on officers at TIC coming to about 3 days/month. The study team's assessment is that neither the current level of budgetary support provided nor the quantum of workload at these offices justifies the continuance of TICs.

The current organizational structure of DIC also does not facilitate industry-wise or regional planning. An excessive emphasis on target setting has resulted in the generation of incorrect data regarding the growth in the industrial sector. This in turn casts severe doubts on the veracity of the data presented by the government regarding the growth in small ad medium scale sectors in Karnataka. For example, several non-farm single-person activities have been categorized as small-scale industries. In short, given the current status of data there is no real objective measure of the success of DIC in achieving its stated objectives. Lack of real data has also severely impaired the ability of DIC to make meaningful plans for the industrial development of the state.

The current structure does not facilitate inter-departmental coordination, and is perceived by beneficiaries as a major factor leading to delays in decision-making. Several well-meaning initiatives of the government such as 'single window scheme' have been rendered ineffective due to the lack of interdepartmental coordination and a host of other related issues such as absence of appropriate legislative support and lack of adequate interest shown by the DC.

The current structure also does not meet the needs of the deregulated economy. With the advent of globalization and the consequent liberation of Indian markets the mismatch between the skills of the staff and the functional roles expected from them has increased significantly. The policy of time based rather than competency and performance based promotions have resulted in a top-heavy organization with a large number of officer level staff whereas the number of field staff has been declining steadily. As result of the above the competency levels in DIC have been gradually declining, in the absence of training or developmental programmes for the employees. The top heavy structure has also meant that the ability of DIC to deliver services

The current organizational structure at the Commissionerate level is shown in Figure 2. The study team's analysis indicates that some few senior level positions have become redundant either due to changes in industrialization programmes (Ancillary & Employment Programme) or in market conditions (Industrial Cooperatives). This problem is exacerbated by a scheme-based approach to work allotment at the Commissionerate. The current structure does not emphasize an integrated industrial planning and does not reinforce the linkages in training, industrial promotion and technology development that need to be leveraged in the context of the changes taking place in the economy.

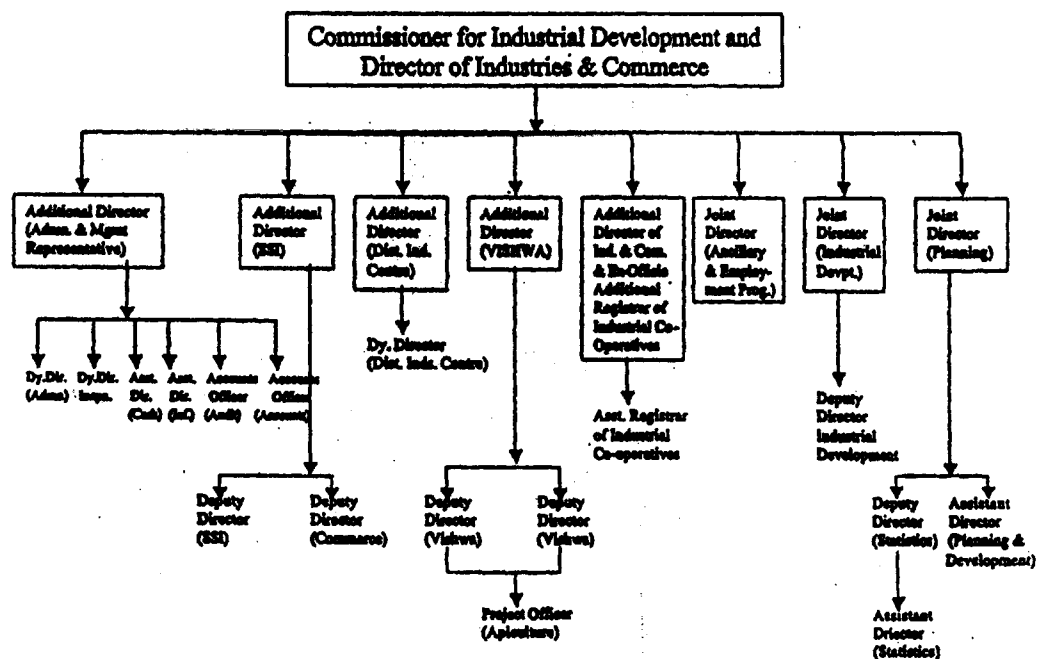


Figure 2: Current Structure at DIC

Impact of Legislative changes

To promote the growth of a market driven efficient and internationally competitive industry/commercial sector in Karnataka the state government has initiated several steps to simplify the regulatory framework, remove procedural impediments and reduce redundancy in record maintenance and approval, and speed up implementation through a New Industrial Policy 2000. The proposed measures include:

- Karnataka Udyog Mitra to be the nodal agency to guide and to provide assistance to entrepreneurs as well as to obtain the required clearances from other various departments. Similarly DIC to be single window agency (SWA) at the district level.
- Introduction of **Combined Application Form** to reduce multiplicity of forms and **Combined Registers/Records** to reduce multiplicity of records that are required to maintained under different acts,
- Fast track clearances for industries that do not fall under hazardous and polluting categories
- Minimisation and rationalisation of inspections by various departments and provision for self certification by the industry

Some of these have already been implemented both at the department and field level. The study team's analysis reveals that measures like single window agency have not been delivering the expected service. Many of the functionaries do not attend the single window meetings. Most of the time junior level functionaries are deputed to attend the meeting with no decision-rights or administrative power over the decisions taken at the single window meetings. Representatives of KIADB, KSSIDC, Inspector of Factories and Boilers, KPTCL, Commercial Tax departments are unable to take decisions due to low delegation of powers. A majority of the issues coming up before the SWA are related to KPTCL, working capital and Commercial tax. Even when approval has been obtained at the single window level other extraneous considerations subvert the decisions taken. For instance, despite obtaining approvals under the single window scheme, entrepreneurs are often forced to make additional rounds of KPTCL to get power connections. In other instances, projects identified by DIC as worthwhile are denied funding by banks even after they have been approved at the single window.

3.1.3 Responding to the Emerging Challenges

Need for a Change of Focus

Historically the department has been involved in activities such as issuing registration certificates, disbursing subsidies, promoting trade, training and implementing developmental schemes. The changes in the economic environment have ushered in new challenges for the industries and in turn to the department, primarily a need for change in orientation from a directive command and control mode to a facilitative mode.

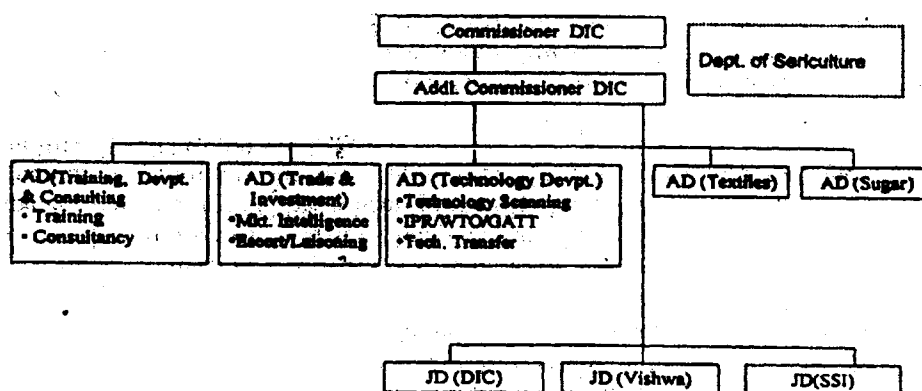
The study team's discussions with the employees as well as other experts on the meaning of '*facilitation*' indicates that to be a *facilitator*, the department needs to reinvent itself by offering the services shown in Table 1.

Function	Functions Involved
Business Analysis	<ul style="list-style-type: none"> • Market Intelligence • Collating information on Central and other schemes • Resource tracking (Raw material) • Regulatory & Key Markets tracking
Liasoning	<ul style="list-style-type: none"> • Inter-departmental coordination • Crisis support • Special event support
Technology Enhancement	<ul style="list-style-type: none"> • Technology scanning • Quality & Standardization • Upgradation support • IPR, WTO issues
Dissemination	<ul style="list-style-type: none"> • Communication & extension • Training

Table 1: The Meaning of Facilitation

3.1.4 Proposed structure

The proposed organizational structure for DIC at the Commissioner level is given in Figures 3-4. We propose reorganising the Commissionerate into 3 Subdivisions namely:



- Training & Development
- Trade & Investment Promotion, and
- Technology Development

Additionally the study team recommends the merger of the Sugar and Textiles departments with DIC and the formation of a separate subunit within DIC for small-scale industries sector as shown in Figure 4. The logic for the new formation is explained in the later sections of this report.

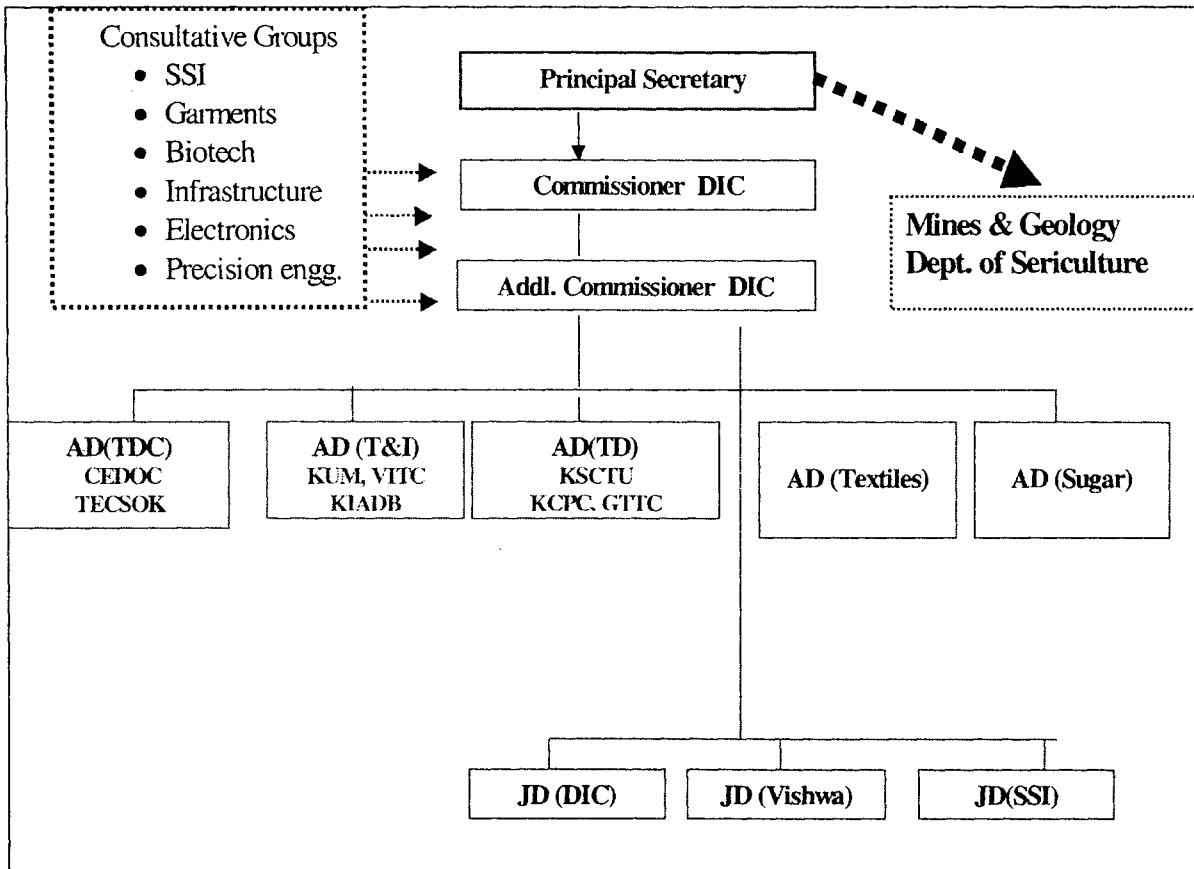
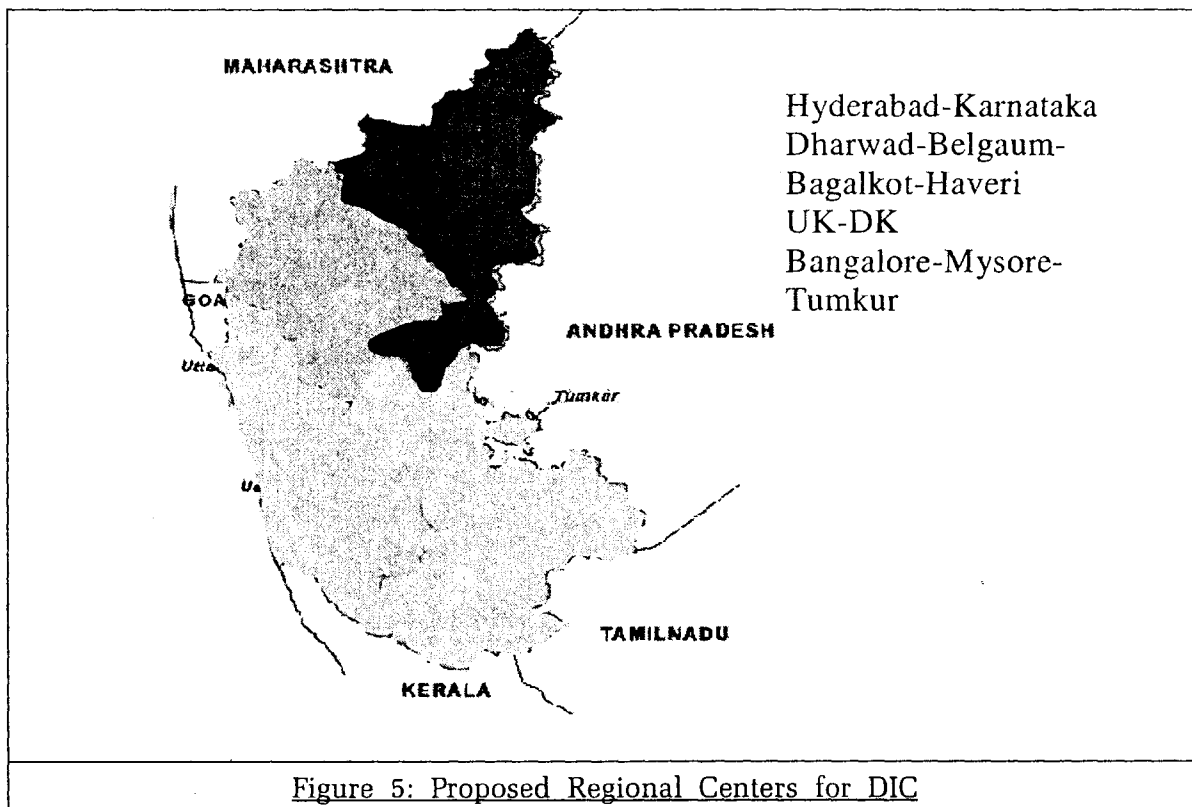


Figure 4: Proposed Integrated Structure for DIC

The study team's analysis of the activities at the district level revealed that not all districts require to be manned by a Joint Director. We therefore propose the creation of Category A and B districts based on current level and potential for industrialization and size of the district. Bangalore, Belgaum, Mysore, Kolar, Dharwad, Gulbarga, and Mangalore may be identified as Category A districts which will be manned by a Joint Director. A Deputy Director will be in-charge of other districts.

Given the ineffectiveness of the TICs the study team recommends that TICs be dissolved and instead suggests the creation of a sub-divisional structure. Category A districts would have a maximum of 4 sub-divisional level offices. All other districts shall not have more than 2 sub-divisional offices.

In addition to rationalising the structure at the field level, we also recommend establishment of regional offices to foster regional (cluster) industrial planning to eliminate regional imbalances. The state will be divided into four regions namely, Hyderabad-Karnataka, Mysore Region, Hubli-Belgaum, and Uttara Kannda-Dakshina Kannada regions as shown in Figure 5. The regions have been created based on existence of prior development Boards, potential for contiguous industrialization and administrative considerations.



3.1.5 Manpower Planning and Skill Development

An analysis of the workload at various levels of DIC indicates substantial scope for downsizing. The average workload at TIC, D. and DIC levels are 3, 7 and 10 days respectively. The workload has been estimated on the basis of observations about the number of files handled/day and interview data for average time spent per file². This low productivity is partly a consequence of the overstaffing within DIC at all levels. To increase productivity as well prevent the creation of unnecessary levels of management that do not add any value, the study team strongly recommends that that in the future promotions must be based on the staffing ratio indicated below in Table 2. This will prevent the build up of unnecessary flab at the senior levels while the field level needs remain unsatisfied. The overall restructuring plan for DIC is presented in Table 3.

Staffing Level	Ratio
Commissioner of DIC	1
Asst. Commissioner of DIC	1
Additional Director	3
Joint Director	9
Deputy Director	27
Assistant Director	90

Table 2: Proposed Staffing Ratios for DIC

² For example at the Directorate level, the average load is 10 files/day/person * 20 Miuntes = 220 Min corresponding to approximately 10 days/month/person.

As noted earlier the new orientation of the department calls for developing new skills within DIC. The study team's analysis of the training needs of DIC's staff suggest that training is required in business analysis (market intelligence, forecasting), IT usage, and emergent issues such as IPR, WTO. A key area in which expertise needs to be built at the DIC level is in Business Analysis. We recommend that a few officers be redesignated as Business Analysts in charge of different areas. Each business analyst would continue to specialize in his/her assigned industry and would generally have the capability to identify and analyze market and technology trends in that industry, both in India as well as abroad. The business analyst would act as an advisor to the commissioner as well as others on industry specific issues. It is necessary to note here that this is a specialized activity calling for continued training so that state-of-the-art information is available at all times within DIC. The study team feels that extensive retraining and reskilling could be resorted to build the business planning capacity. Also, facilitation skills such as public relations, client handling, etc., needs to be upgraded.

Given the increased levels of concerns about industrial safety and environmental conservation and the fact that DIC will need to play a crucial role in managing crises/ disasters in the future environmental and crisis management related skills also need to be imparted to the staff at all levels. Such training must also cover areas related to industrial disaster management planning, risk communication and conducting of mock drills.

Level	Proposed Strength	Current Strength	Comments
Commissioners Office	Commissioner (1) Asst. Commissioner (1) Addl. Directors (5) Joint Directors (3) Asst. Directors (8)	Commissioner (1) Addl. Director (5) Joint Directors (3) Deputy Directors (9) Asst. Directors (4) Other Officers (2)	The 5 Addl. Directors will look after the 5 restructured divisions of the DIC, namely <ul style="list-style-type: none"> • Training, Development & Consulting • Trade & Investment • Technology Development
Regional Offices	Regional Director (1) Asst. Directors (2)	---	The regional offices proposed <ul style="list-style-type: none"> • Hyderabad-Karnataka • Dharwad-Belgaum-Bagalkot-Haveri • UK-DK • Bangalore-Mysore-Tumkur In order to ensure cooperation from DCs an other functionaries at the regional level this post should be manned by a IAS level or a senior level officer.
Category A Districts	Joint Directors (1) Assistant Directors (1)	Joint Directors (1) Deputy Directors (2) Asst. Directors (3) I. P. Officers (1)	Category A districts (Bangalore (Rural and Urban) Mysore, Hubli-Dharwad, Belgaum, Bellari, Kolar, Dharwad, Gulbarga, Mangalore, Chitradurga and Devangere) An internal study by DIC also identified these as the districts with maximum potential
Category B Districts	Deputy Directors (1)	Joint Directors (1) Deputy Directors (2) Asst. Directors (3) I. P. Officers (1)	Category B Districts: All non-category A districts. During the absence of DD one of the ADs may officiate

Sub-divisional Offices	Assistant Directors (1)	----	Suggested formation in lieu of TICs Assumptions about sub divisional offices. An average of 3-4 sub divisional offices in category A districts and a maximum of 2 offices in category B districts. Implies 33 sub divisional offices in 11 category A districts and 32 sub divisional offices in the remaining 27 category districts.	
Nomination to ZPs				
Assistant Directors @ one Assistant Director per ZP (27) Industrial Promotion Officers @ one Assistant Director per ZP (27)				
Summary of Proposed Posts	Summary of Existing Posts	Expected Staff Attrition (retirements in the next 3 years)	Summary of Rightsizing Needs	
Commissioner-DIC: 1 Asst. Commissioner: 1 Regional Directors: 4 Additional Directors: 5 Joint Directors: 14 Dy Directors: 16 Asst. Directors: 119	Commissioner -DIC: 1 Additional Directors: 5 Joint Directors: 27 Dy. Directors: 66 Assistant Directors: 89 IPOs: 98	Addl. Directors: 2 Joint Directors: 6 Dy. Directors: 4 Asst. Directors: 11 IPOs: 5 Other Officers: 1	Commissioner - DIC : nil Asst. Commissioner: + 1 Regional Directors: + 4 Additional Directors: nil Joint Directors: - 7 Dy Directors: - 46 Assistant Directors: + 40 I.P. Officers: - 71	
Summary of Rightsizing needs for Ministerial Staff in DIC				
	Staff Level	Current Strength	Proposed Strength	Downsizing
	FDA	157	90	67
	SDA	182	60	122
	Stenographers	41	0	41
	Typists	51	0	51
	Enumerators	15	0	15
	Group D	253	150	103
Notes:				
1. Current strength indicates numbers averaged over several districts. The staffing pattern in individual districts may vary.				
2. The post of Industrial promotion officers may be discontinued gradually.				
3. Numbers in bold indicate need for downsizing through VRS or deputation to other departments.				
4. As IPOs may substitute for ADs there is no need for new recruitments in the Assistant Director cadre.				

Table 3: Summary of Proposed Restructuring Plan for DIC

3.1.6 Improving Efficiency and Effectiveness

Potential for Outsourcing Activities

Outsourcing several activities, some of which are indicated below, can increase the overall effectiveness of the department:

- P.M.R.Y. schemes where the bankers have the full liberty of selecting beneficiaries.
- The staff at ZP shall handle ZP schemes and DIC shall handle only central and state schemes.
- Industrial promotion and conduction of fairs (through associations)
- Industry/Market studies
- Project reports
- Research and development related issues
- Quality certification issues, wherever applicable

Rationalization of Plan Schemes

The Department currently operates nearly 54 plan schemes under SME and Village and small-scale sectors, often leading to overlapping in objectives, redundancies as well as duplication of implementation efforts. The study team strongly endorses the current proposal of the Department that these schemes be rationalized and merged into the following 5 categories as follows:

- Assistance to Public Sector Undertakings/Boards/Corporations/ Quasi government institutions
- Infrastructure Support
- Modernization, Technology and Training
- Publicity, Promotion and Development
- Special Component Plan and Tribal Sub Plan

Some of these schemes such as Special Component Plan and Tribal Sub Plan may be transferred to the ZP for implementation. The technology up-gradation scheme may be implemented through KSCTU thereby increasing the linkages at the local level.

Increased Use of Information Technology

Given that 'information' about industries, markets, raw material and support schemes forms the backbone of DIC's services, there is a strong need for providing up to date and integrated information to the intended beneficiaries. This can only be achieved by networking Commissioner of Industries & DIC, Regional office and the DICs. This would enhance the quality of information dissemination with respect to schemes, subsidy disbursement etc. An integrated network would also be useful in flagging several statistics and status of activities at the interdepartmental level such as the number of pending approvals and the reasons for the same.

Establishing Data Centres

One approach to reduce the cost of support functions such as ministerial staff and bring information efficiency is to create a centralized data centre. The data centre would facilitate centralized data storage, retrieval, file management and typing support. The establishment of data center will also significantly reduce the need for ministerial manpower at the Commissioner's office. The role of the caseworker will be reduced significantly. Most importantly several layers within the DIC office, which add to the officialese without adding value would be eliminated.

One of the most important roles envisaged for DIC is communication with external and internal stakeholders and information dissemination within and outside DIC. The study team feels that this process would be greatly aided by the creation of a centralized Data Center at DIC. With the use of appropriate databases it should be possible to speed up access to information available to the staff as well as the public. Smaller data centers may be established at the regional and district levels. These data centers should be networked and web enabled to allow for seamless integration of the offices at the different levels. For instance, all applications submitted to DIC could carry a unique ID and be accessible anywhere within DIC. This implies that the industry will be able to follow the progress of their application from their locations without visiting the DIC offices.

The study team realizes that successful implementation of the above recommendation is dependent on making significant investments in modernizing equipment and retraining people. However the investments needed for this would have a relatively faster pay back period given the reduced need for staffing as well as the increase in productivity.

3.1.7 Improving Strategic Planning Establishing Industry Facilitation Council (IFC)

Industries located in Karnataka typically face several problems related to finance, raw material, power, and rehabilitation of sick units. They are also exposed to changes in rules and regulations of different departments. This exacerbated by the lack of coordination amongst several government departments. As noted earlier the single window concept announced in the new industrial policy is more facilitative in nature. There is no apex body to solve the problems of industries at the district levels with the powers of taking decisions. Currently an Industrial tribunal, functioning in Bangalore, has jurisdiction over the entire Karnataka state. However, given the spread of districts in Karnataka and the associated high cost of service delivery we recommend the establishment of **Industrial Facilitation Councils (IFC)** in the four regions specified earlier.

The Industry Facilitation Council (IFC) could be set up under Karnataka Industries Facilitation Act (an act under consideration with the state government). IFC will be an independent regulatory body, and will arbitrate on all matters between the various arms of the government and the industry. The Industry Facilitation Council will act as a neutral independent regulator and will have the right to specify quality standards expected of the services provided by the Department. IFC will be headed by a Chairperson (a person of eminence) who will be selected by the government. The Chairperson will be supported by three members, including Member (Technical), Member (Regulatory Issues) and Member (Infrastructural Issues). One representative from the DIC may also be co-opted into this council. Similar councils may be established at the regional level.

3.1.8 Improving the Effectiveness of Single Window Agency

As noted earlier, the Single Window Scheme has been ineffective. In order to increase the efficacy of the District Level Single Window Agency (DLSWA) we suggest the following measures:

- The district level functionary of KIADB should be vested the powers for issuing allotment letter for land, issuing possession certificates, executing lease-cum-sale agreements for the allotted plots, approving plans for construction activities, cancel allotments (with approval from DLSWA) in cases where implementation lags significantly beyond proposed schedules, executing sale deeds for plots after project implementation, condoning the delays in land utilisation where appropriate, maintaining, repairing and infrastructural development activities at the industrial areas.
- The district level functionary of KPTCL should be delegated with the powers to sanction power to units approved by DLSWA within a specified time period.
- The district level functionary of KPSCB should be vested with the powers to issue NOC for approved projects within a specified time period. The time

period can be specified based on the nature of the industry. For example, this may be set as 10, 15 and 30 days for non-polluting industries, low polluting industries and hazardous industries.

- The district level functionary of the Inspector of Factories and Boilers should be vested with the powers to issue approval for plan lay out of factories and issue industrial license/registration under Factories Act, within a specified period after the project is cleared by DLSWA.
- The district level functionary of the Commercial Taxes Department should be vested with the powers to deal with disputes pertaining to Fixed Valuation Certificates after due consultation with DLSWA.
- The district level functionary of the Municipal Commissioner/City Corporation should be vested with the power to take up works approved by DLSWA within a specified time period.

Several of the above suggestions have been made to DIC by the district level offices. The study team recommends that these suggestions be implemented by the government to improve the efficacy of the Single Window Agency system. Some elaboration of the above recommendations is given in the subsequent sections of this report. Issues that are not resolved here may be further referred to the Industry Facilitation Council.

3.1.9 Scope for Provision of Fee Based Services at DIC

With the trend of increasing orientation towards a market-based structure, the study team is of the opinion that there is a significant scope for DIC to introduce a fee-based system for provision of some value added services. The obvious advantages from such a system are one, a tentative move towards financial sustainability and two, an increased possibility of gaining immediate feedback from the beneficiaries on the quality and relevance of services offered by DIC.

Generic information on issues of common interest would continue to be provided gratis to all interested. However issue of specific, individual interest, such as information about specific markets, legal advice on WTO and IPR issues, technology screening and selection advice, and other facilitation activities could be fee-based services.

As an introductory measure we recommend that DIC must charge for activities related to

- Market intelligence
- Technology related information, and
- WTO and IPR related information

3.2 Department of Sericulture

3.2.1 Background of Department of Sericulture

Sericulture is an agro based labour-intensive industry, which on account of economic importance and employment generation has been given a special emphasis by the government. The Government of Karnataka created the Directorate of Sericulture as a separate department to carry out the following functions:

- Extending technical guidance to farmers and reelers
- Developing and supplying new silkworm and mulberry varieties
- Quality assurance and disease control
- Assistance for financial support, subsidy disbursement, and
- Developing markets and infrastructural support

3.3.2 Current Structure and Issues

An analysis of the current organizational structure of the Department of Sericulture reveals that there is no uniformity in the staffing and several ad hoc arrangements are in practice. The department is headed by Commissioner for Sericulture development and Director of Sericulture. Additional Director, Joint Directors, Deputy Directors (DD), Assistant Directors (AD) of sericulture and others assist the commissioner. The department has a regional office headed by Joint Directors, while the field formation is headed by a DD supported by ADs. DD's oversee the field operations with the support of Sericulture extension officers, Gazetted Managers, Sericulture demonstrators and sericulture inspectors. The department at the field level has its own Assistant Directors, Sericulture Extension Officers, Sericulture Inspectors and demonstrators. They are supported by supernumerary staff including sericulture operatives, Second Division Assistants (SDA) and group D employees. There are 5279 sanctioned posts of which 524 are vacant. The department has 2962 supernumerary employees.

The extension service provided by the department does not adequately meet the requirements of the beneficiaries. Several beneficiaries felt that the extension officers were theoretical rather than being practically oriented. Moreover, many farmers involved in sericulture do not find the continued support of this department in many of the activities carried out by the department as useful or economical. Silk reeling mills and training centres wherein the department has invested heavily have been found to be of little value by the beneficiaries and many of these services have become irrelevant. The department is contemplating renting or leasing this infrastructure.

At the field level, DD's report to ZP and the implementation suffers because of multiplicity of command. Inappropriate allocation of posts between ZP and the department leads to poor coordination and implementation. Sericulture inspectors and demonstrators, and sericulture operatives from the line department need to be transferred to Z.P to Improve implementation.

Excessively high staffing levels were observed in the silk exchanges and cocoon markets. This has been attributed by some to the nature of the job involved in these markets as well as to the potential for making personal pecuniary gains. This has had two impacts namely, overstaffing at the exchanges and markets, **estimated by the study team to be 6 to 10 times-** and two, the posting of technical personnel at these sites for non-technical work. For instance of the 38 Cocoon markets functioning in the State only have been treated as major markets and provided with one First Division Assistant . The remaining markets function with only technical personnel carrying out the non-technical activities of grouping of cocoon lots, weighing, auction and the counter work and other matters pertaining to correspondence and record maintenance etc., which are all ministerial in nature. Also, given the Department's objective of actively involving the farmers and their organization in the marketing activities several of the functions may be transferred from the department to the farmers. Such a restructuring and

reallocation of responsibilities would render several current positions at these markets and exchanges superfluous while at the same time freeing up technical personnel for fieldwork.

The role of the government in managing silk production also needs to be reviewed. The Karnataka government has established five Silk factories during 1937-1944. Currently all the factories are running under losses due to very high salary component, outdated technology, and high cost of capital. The department has recommended that either 424 employees may be absorbed on contract basis or introduce VRS to reduce salary burden or divest two filatures out of the present four enabling Government Silk Reeling and Weaving Factory at Mudigundam to continue. The study team seconds this recommendation of the department.

The organisational structure at the head office also highlights the need for departmental restructuring. Some posts at the head office have been rendered irrelevant in the changed economic and regulatory context (for example, the posts of Chief economist and Registrar of Cooperatives). The number of sericulture cooperatives is decreasing and with the proposed restrictions on corporates removed under the new Sericulture Act, this number is expected to reduce further. With the proposed changes in the silk regulation Act, the need for enforcement wing, which currently employs 128 persons, is greatly reduced. The large pool of ministerial and technical staff housed at the head office due to low computerization and lack of centralized typing/assistance pools may also be downsized to reasonable levels by computerisation and centralising several common activities such as typing and record maintenance.

There is also some concern over the fact that the Department has invested in several non-productive assets under the World Bank scheme. However this issue has not been covered in this study as the team was given to understand that there is already an internal effort to lease out or transfer unproductive assets as well as excess capacity to other departments/ agencies.

Legislative Changes

To promote the growth of a market driven and internationally competitive Silk sector in Karnataka the state government has initiated several changes in the Karnataka Silk Worms and Seed Act, 1959. Some of the measures proposed are:

- Removal of licenses for silk growing, reeling and trading activities.
- Licensed seed producers are required to renew their licences only once in five years.
- Removal of regulations related to silk seed and cocoons. Several changes are also proposed on markets and exchanges.
- Freedom to reelers to transact at silk exchanges or at any private exchanges.
- Removal restrictions on participation of corporate sector in the silk manufacturing and related activities. Licenses for silk traders to be discontinued.

3.2.3 Responding to Emerging Challenges

Need for a Change Of Focus

Historically the role of the department has been in silk regulation and enforcement, subsidy disbursement, licensing, extension activities, quality assurance and disease control, market making activities such as management of silk and cocoon

exchanges, variety development and inter-departmental coordination. The department has been directly involved in several market-making activities. Given the changes in economic scenario and the emergence of private sector in several stages of the value chain, the department needs to shift from market-making to a facilitative mode. For instance, currently, 80 percent of the seed is produced through licensed seed producers and with the removal of restrictions on corporate sector more private participation is expected in seed development and reeling activity. In the changing scenario, we believe the department should get out of extension and managed infrastructure approach to a facilitation approach. Our extensive discussions with the employees as well as other experts reveal the department needs to reinvent itself by offering the following services:

Seed and mulberry development,

- Maintenance of 'base' stock of basic seed material in consultation with Central Silk Board and other agencies,
- Develop private and co-operative sector for maintenance of basic seed material, supply of disease free silkworm eggs,
- Develop private sector and co-operative sectors for growth and supply of high yielding mulberry varieties and silkworm races.

QA& disease monitoring, and control,

- Develop private and co-operative sectors for quality assurance at various stages of silk production and reeling, quality certification and disease control
- Actively monitor silkworm eggs of licensed seed producers through independent quality consultants

Market facilitation (infrastructure development)

- Extend assistance to the needy to get the financial assistance for sericultural activities
- Extend the subsidy support for 'pure' breeding
- Provide facilities for marketing of cocoons and silk yarn and facilitate complete ownership of farmers and reelers in day-to-day running of these institutions
- Bring out in appropriate schemes and support systems for adoption of new technologies and strengthening the sericulture research in the state.

3.2.4 Proposed Structure

Our analysis of the working of the department indicates a strong potential for reorganising the current organisational structure on a functional basis. We recommended that the department be restructured at the HQ level along the lines indicated in Figure 6.:

- Planning
- Seed & Mulberry Development
- Quality Assurance & Control
- Market Development

A Joint Director will head each function. The Joint Director will be assisted by Assistant Directors in charge of sub-functions.

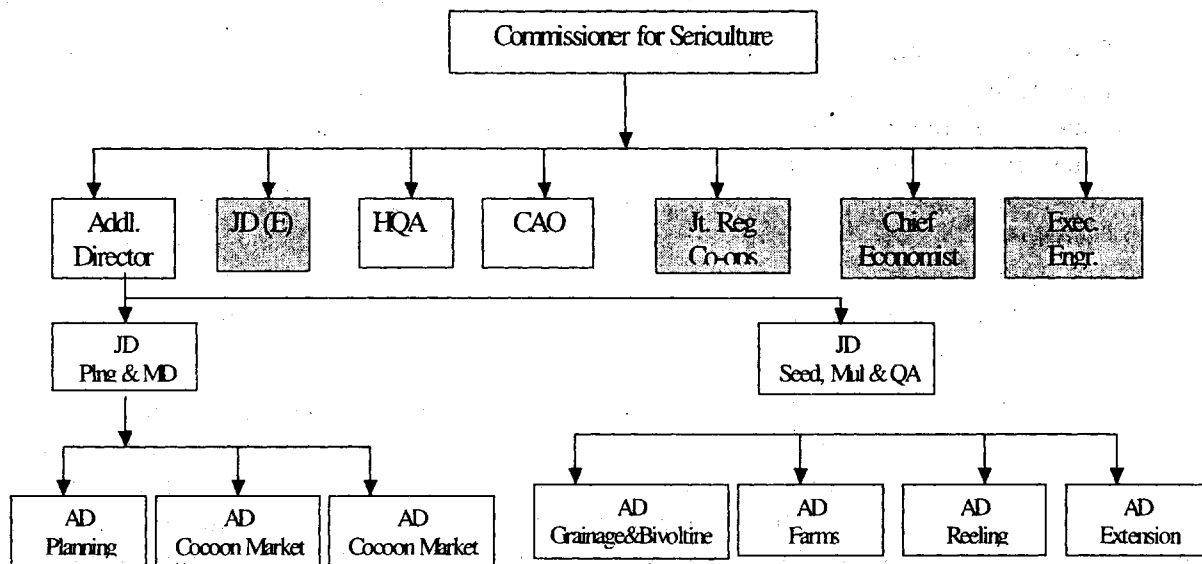


Figure 6: Proposed Structure at Commissioner Of Sericulture

The study team's analysis of the activities at the district level revealed that not all districts require to be manned by a Deputy Director. We therefore propose the creation of Category A and B districts based on current and potential for Silk production. We have identified Bangalore Rural, Bangalore Urban, Chamrajnagar, Kolar, Mandya, Mysore and Tumkur as Category A districts to be manned by a Deputy Director. An Assistant Director may be placed in charge of all other districts. We also suggest that the department reduce the number of Taluk level formations in Class B districts and instead adopt a sub-divisional structure. Category A districts would have a maximum of one Assistant Director. In all other districts the sub-divisional formations shall be manned by Sericulture Extension officers (not have more than 4 sub-divisional officers/district).

As noted earlier, a strong barrier to effective implementation of schemes is the lack of a unitary command at the district level. The deputy director reports to the Zilla Panchayat and has low linkages with the regional Joint Director who is responsible for looking after the department's interests in the region. Assistant Directors have been allocated to both ZP and the department. We recommend that DDs should be moved back into the departmental structure reporting to the Joint Director while ADs, Sericulture Inspectors and Demonstrators need to be shifted to ZP. Since the administrative control of all these officers will be within the purview of the DD, implementation would improve. Additionally, Joint Directors inputs into the CR's of the DD's would ensure smooth overlapping of the dual command between ZP and the line department.

3.2.5 Manpower Planning and Skill Development

Decisions about centralisation vs. decentralisation are based on economies of scale and speed of response. Functions such as IT, production, logistics, and quality can exploit economies of scale and therefore need to be centralised. Marketing and sales functions

need to be decentralised to exploit better customer service and speedier response. Based on these arguments, A considerable amount of rationalization of Assistant Directors, senior sericulture inspectors, Sericulture demonstrators, and Sericulture extension officers should be carried out. Some guidelines for this are indicated in the next section.

The team's analyses of the workload at various levels of the Department of Sericulture indicate substantial scope for downsizing. Based on the area under mulberry the average cover per employee in the technical cadre is 12 hectares per annum. The incremental area brought under cultivation during 2000-2001 per employee is 0.8 hectares only. These numbers highlight the extent of overstaffing within the department. The average workload of extension officers is 6 days/month in Mysore-seed area and 4 days/month in other districts. As noted earlier, an activity analysis at the Silk exchanges and Cocoon markets reveal that the staff redundancy ratios are in the region of 1:6 to 1:10, which means an over staffing of 6 to 10 times.

Rationalizing the workforce and reallocating the current roles in a more efficient manner can improve productivity. The department has recently undertaken job enlargement exercise but the need for further work in this regard continues. Introduction of computers at the marketplaces will increase efficiency and significantly reduce manpower requirements and procedural delays. The study team recommends that in the future postings at Head Office must be based on the staffing ratio indicated in Table 4.

Staff Level	Ratio
Commissioner of Sericulture	1
Additional Director	1
Joint Director	9
Asst. Director	7
Chief Accounts Officer	1
Accounts Officer	1
FD+SDA's (Data centre pool)	12

Table 4: Suggested Staffing Ratios for Sericulture Commissioner

The study team also recommends that future postings at district level office must be based on the suggested staffing ratio. The possible staffing ratio for a district, which has significant sericulture activities, is indicated in Table 5.

Name of the post	ZP	Non-ZP	KSP-II
Deputy Director	1 (1)	-	-
Asst. Director	-	1 (2)	-
Extension Officer	10 (20)	- (3)	4 (16)
GM	1 (1)	- (1)	-
Sericulture Inspector	15 (21)	2 (20)	1 (15)
FDA/SDA	4 (8)	2 (4)	-
Demonstrator	30 (105)	5 (18)	4 (26)
Operative	5 (0)	1 (13)	-
Group D	8 (16)	3 (18)	-

Note: Numbers in the brackets indicate the average numbers currently posted in a district under the jurisdiction of a Deputy Director.

Table 5: Suggested Staffing Ratios at District Level

The number of Assistant Directors, Sericulture Extension Officers, and Inspectors in the department is very high. The beneficiary feedback rates quality of inputs as unsatisfactory in some case. Interactions with the staff revealed that people trained in extension services at a great cost, especially from other countries including Japan, have been assigned to the head office to carry out desk jobs. Inappropriate allocation of resources has affected the quality of extension services. Also, many of the services are offered at a high cost compared to market. For example, the disinfection activities provided by the department in some seed areas as well as provision of bleaching powder and other chemicals to farmer groups are some of the activities from which the department may disengage itself. Moreover, some of the officials have been indicted in cases pertaining to misappropriation of nets, chaki etc highlighting the need for the Department to limit itself to provision of technical consultancy to farmers rather than being involved, howsoever indirectly, in procurement activities. The Auditor General's observation that the department has been procuring some of the inputs despite a high inventory suggests that the department needs to re-evaluate its approach to extension.

Another important area of concern is the lack of a withdrawal/disengagement strategy by the department from the areas that have a long tradition of mulberry cultivation and sericulture. In such areas the nature of activities need to be more value adding –such as introduction of new plant and seed varieties, new production techniques, etc - rather than conventional extension services, which in any case are not rated very highly by the beneficiaries. This is particularly true in the areas such as Kolar, Mysore, and Chitradurga.

Towards identifying the right ratios for the extension services, the study team obtained the views of several departmental officials and did a comparison with the Agriculture department of Government of Karnataka. Currently, the department has 33 Deputy Directors, 102 Asst. Directors of Sericulture, 318 Sericulture extension officers, 80 superintendents, 90 senior sericulture Inspectors, 715 Sericulture Inspectors, 1506 sericulture demonstrators, and 572 sericulture operatives. Based on the discussions we had with the officials and the average workload observed in the five districts effective manpower requirements have been worked out as shown below.

	Existing	Proposed
Total area under coverage (Hectares)	1, 20, 119	1, 20, 119
Total Technical cadre employees	3416	1490
Coverage/employee (hectares/month)	2.12	6.7

Table 6: Target Productivity Ratios for Sericulture Department

Under the proposed structure the department needs to employ approximately 20 Deputy Directors (both for Category A districts and Farms, Filatures), 60 Assistant Directors of Sericulture, 120 Sericulture extension officers, 40 superintendents, 50 senior sericulture Inspectors, 300 Sericulture Inspectors, 600 sericulture demonstrators, and 300 sericulture operatives. The post of Gazetted Manager's may be discontinued in the light of computerization and introduction of single file and desk officer systems.

Significant potential also exists for rightsizing the ministerial staff in the Department. Creation of a data centre at both the secretariat and the field can reduce their numbers from 672 to 112. The suggested manpower numbers are 12 stenographers, 40 FDAs, and 60 SDAs. The post of Compiler may be discontinued. The suggested numbers are based on the introduction of desk officers system, computerisation of the department and massive retraining of the ministerial staff.

To meet the challenges of the global economy and particularly challenges from countries such as China, the staff need to be trained in the areas of business analysis (market intelligence, forecasting), IT usage, and emergent issues such as IPR, WTO. At the field level training on new technologies and new methods of disease monitoring and control need to be imparted.

3.2.6 IT, Outsourcing & Transparency Issues Need for Disengagement

The analysis of the department's activities indicates that several activities that are currently carried out the department can be easily outsourced. These include:

- Quality Assurance through third party testing
- Soil testing

The department has to disengage itself from disinfection activities and distribution of chemicals such as bleaching powder. Given the changes in the markets and regulatory framework the department can completely divest itself of the silk factories. This would call for redeploying or providing an exit option such as VRS to about 494 employees associated with the silk.

The study team also recommends the introduction of single file system between head of the department and the secretariat. The desk officers system wherein section officers can be appointed as desk officers and given all the powers of the Desk Officers needs to be introduced. Requisite training may be provided for all staff to manage centralised data centre at the head quarters and computerised systems at the field officers.

3.3 Department of Sugar

3.3.1 Background of Department of Sugar

The Department of sugar has historically played an important part in the development of northern Karnataka region. Traditionally the Commissioner of sugar is involved in activities related to cane area development, allocation of sugar areas to factories, nominating the CEO to the sugar factories, approving capital investments and resolving disputes.

3.3.2 Current Structure and Issues

Given the changes in the economic context as well as regulations proposed we feel that the Commissioner's role has been rendered irrelevant. Sugar manufacturing, while an important activity that sustains several thousand farmers and earns significant revenues for the government, has been to an extent shackled by the excessive control exercised by the sugar directorate over the cooperative factories without commensurate value addition. Given this a reexamination of the roles of the Department is essential.

The sugar industry currently faces a number of issues among them:

- Decrease in cane availability as several new factories have come up in violation of the generally accepted norm of 1 factory within a 15 km radius. The problem becomes more acute due the entry of traders from Maharashtra who procure sugar cane from farmers in Karnataka.
- Delays in getting approvals for investments in plant and technology from the sugar department
- Poor management support from Department of Sugar as the CEOs appointed in these factories have a vested interest in staying at these locations. In general the quality of managerial support provided to the factory is therefore not very high.
- Despite the stated role of cane development activities, a poor track record in initiating developmental activities. Cane development activities, if any at all, are carried out the factories themselves.

3.3.3 Proposed Structure

Our analysis indicates that in the future the role of the Commissioner must relate to arbitration, nomination to the board/management of cooperative mills to protect the interest of the farmers as well as managing the interests of the government in view of the significant investments made by the government, and modernization of over all resource management plans/activities in collaboration with appropriate agencies such as ISRO for satellite mapping of sugar cane growing areas. Further we suggest that on the lines of other states the Directorate must prepare a panel of technically qualified personnel for the position of CEOs in the factories, from among whom the factory may choose.

Given the limited but strategic role expected to be played by this department in the future the study team feels that this activity does not require a separate department but may be meaningfully integrated with DIC and headed by an Additional Director. We recommend this because the new roles are mainly expected to be administrative

in nature and no technical activities that require specialization (except resource management plans, which in any case is expected to be carried out with expert help from outside) are required of the department. Further, this will in turn strengthen the individual factories by freeing them from constant supervision and control and allowing for innovation and modernization to take place at a faster pace. This is important as the team's interactions with the industry indicate that private sector producers are generally more efficient due to their ability to take product mix as well as capacity and technology related decisions relatively faster. We strongly suggest that under the revised structure the interventions of DIC in the operations of the sugar factories must be strategic rather than supervising day-to-day activities.

3.3.4 Manpower Planning

While the summary of responses indicates that adequate training is provided to all staff, our assessment is that the departmental staff need re-skilling in several areas, primarily, in integrating remote sensing maps and industry plans. Some amount of training to develop the business analysis of skills of the staff is also necessary.

Table 7 presents the existing and proposed manpower details for the sugar directorate.

	Category A	Category B	Category C	Category D	Change
Current	2	2	16	3	-
Proposed	2	2	-	-	19

Category C and D would be drawn from the common pool of DIC.

Table 7: Proposed Manpower Plan for Department of Sugar

We also suggest that the restructured department should maintain close links with other expert agencies such as ISRO to carry out the activities related to resource mapping. For a short while it may also be useful to augment its strength by obtaining an expert from an outside agency such as ISRO on deputation.

3.4 Department of Textiles

3.4.1 Background of Department of textiles

The Department of Textiles has historically been a part of the Commissioner of Industries and Commerce and separated out as a department to focus on development of the textile industry in Karnataka. Traditionally the Commissioner of Textiles is involved in technology up-gradation, distribution of power looms, development of common sheds, and marketing support. The department oversees two market making institutions viz., Karnataka Handloom development Corporation (KHDC), established in 1976 and Karnataka State Power loom Development Corporation (KSPDC). The department also has linkages with Cauvery Handloom Co-Operative federation supporting the small weavers in their textile activities.

3.4.2 Current Structure and Issues

Textiles being a central subject, policy changes by Government of India, especially the Ministry of Commerce have a wide-ranging impact on the functioning of the department at state level. According to the new Textile Policy- 2001, the textiles and

garment sector has been deserved from the small scale sector and 100% FDI has been allowed in the industry. The agreement on Textiles and Clothing (TAC) under the WTO is scheduled to take full effect from January 1, 2005 signifying the end of quota restrictions for the export. The removal of import curbs are also likely to affect access to domestic markets by raw material producers, including producers of cotton yarn. Table 8 shows the allocations of staff at head office and field. Currently the department has field formation in 20 districts and a proposal is pending before the government for establishing offices in newly formed districts. The department has posted Deputy Directors in textile dominant districts such as Bangalore Urban, Bangalore Rural, Belgaum, Gulbarga, Mysore, Bijapur and Dharwad. The field formation in other districts is headed by an Assistant Director, two textile inspectors and is supported by ministerial staff.

Staffing Level	Head office	Field	Corporation
Commissioner for Handloom Development	1	-	-
Joint Director	1	-	-
Joint Registrar (Cooperation)	1	-	-
Deputy Director	3	7	-
Assistant Director	3	11	-
TPO	3	19	2
TI	2	20	-
FDA	11	0	0
SDA	10	28	-
Superintendents	8	0	0
Stenographers	7	0	0

Table 8: Current Staffing Patterns at Headquarters and Field Levels

3.4.3 Proposed Structure

Given the limited but strategic role expected to be played by this department in the future we recommend that this activity does not require a separate department but may be meaningfully integrated with DIC and headed by an Additional Director. We recommend this because the new roles are mainly expected to be administrative in nature. . Further, this will in turn strengthen the individual factories by freeing them up constant supervision and control, allowing for innovation and modernization to take place at a faster pace. This is important as our interactions with the industry indicate that private sector producers are generally more efficient due to their ability to take product mix as well as capacity and technology related decisions relatively faster. We strongly suggest that under the revised structure the interventions of DIC in the operations of the Textiles must be strategic rather than supervising day-to-day activities.

3.4.4 Manpower Planning and Skill Development

While the summary of responses indicates that adequate training is provided to all staff, our assessment is that the departmental staff need re-skilling in several areas, primarily, in business and industry plans. These skills may be outsourced, if necessary. Given that we are proposing merger of this department with DIC, several of the posts

such as Joint Director, DDs, ministerial staff at the head become redundant. At the field, the Joint Directors or Deputy Directors of newly proposed DIC shall be representing the interests of textile sector.

3.5 Department of Mines & Geology

3.5.1 Current and Proposed Structure and Issues

The present roles of the Department of Mines and Geology relate to mineral administration and regulation, coordination with central agencies, licensing, ground water investigation, revenue collection and enforcement. The specialized nature of the activities carried out by this Department as well as the increasing importance of sustainable resource exploitation, are strong reasons for continuance of this department, albeit with some refocus and strengthening of technical capabilities. In the future, the main functions of this Department are likely to be related to resource mapping, managing regulatory issues and planning for sustainable exploitation of minerals. Several activities such as mineral exploration, image mapping and mineral planning can be outsourced, with the Department only playing a co-coordinating and supervisory role. Since extensive use of IT is possible in networking offices and in mineral exploration activities, appropriate training plans must drawn up for this department.

While the Department of Geology does not need major functional restructuring, we think some further evaluation of autonomous corporations such Mysore Minerals Ltd. is necessary. A preliminary analysis of these indicates considerable scope for divestment as well as downsizing. A detailed analysis of this is beyond the purview of this study.

3.5.2 Manpower Planning

As noted earlier the specialized function of the department as well as the strategic importance of the functions carried out rule out the need for significant functional restructuring. However as in other departments there is some potential for improving the overall manpower productivity in this department, particularly at the Group C and Group D levels. The current and proposed staffing pattern for this department is indicated in the following table 9.

Position	Existing	Proposed
Group A (Comprising Director, Addl. Director, JD, DD, Chief Drilling Engineer, Chief Geophysicst, Chief Chemist, Dy. Chief Drilling Engineer, Dy. Chief Geophysicist, Accounts Officer, Senior Geologist)	Sanctioned 32 Filled 29	Proposed 29 <i>Reduction (Abolishing vacant Posts)</i> Jt Directors (2) Chief Chemist (1)

<p>Group B Comprising Geologist, Geophysicist, Drilling Engineer, Mining Engineer, Hydrologists, Managers, Pas, Programmers</p>	<p>Sanctioned 299 Filled 220</p>	<p>Proposed 220 <i>Reduction (Abolishing vacant Posts)</i> Asst. Geologists (62) Chemist (1) Manager (1) Hydrologist (1) Asst Geophysicist (4) Asst. Chemist (7) Asst Drilling Engg (1) Junior Programmer (1)</p>
<p>Group C</p>	<p>Sanctioned 527 Filled 472</p>	<p>Proposed 310 <i>Reduction (Abolishing vacant Posts)</i> Driller-cum-mechanic (1) Asst. Drillers (1) Junior Engineer (19) Auditor (1) FDA (8) Typist (9) SDA (5) Drivers (10) Data Entry Operators (2) <i>Downsizing requirements</i> Superintendent (13) Asst. Drillers (32) Junior Engineer (3) Instrument Reader (2) FDA (27) Stenographers (4) Typists (20) SDA (60) <i>Sub total (161)</i></p>
<p>Group D</p>	<p>Sanctioned 321 Filled 321</p>	<p>Proposed 131 <i>Downsizing requirements</i> Attender (14) Helper-cum-operator (66) 'D' Group Employees (110) <i>Subtotal (190)</i></p>

Summary of Restructuring Needs			
	<i>Current (Filled)</i>	<i>Rightsizing Needs</i>	<i>Final</i>
Group A	29	(3)	29
Group B	220	(79)	220
Group C	472	(216)	310
Group D	321	(190)	131
Total	1042	(488)	690

Notes:

1. Numbers in brackets indicate reductions.
2. For Groups A& B the suggested reductions are achieved by abolishing the vacant posts.
3. For Groups C&D both abolishing vacant posts as well as downsizing is recommended.
4. The numbers of ministerial staff have been reduced on the assumption that a common pool can be created for common activities such as typing and other clerical functions. The number of FDAs and SDAs has been reduced keeping in mind the need for increasing productivity as well the reduced requirements in the new contexts.

Table 9: Current and Proposed Staffing Pattern for Department of Mines and Geology

3.5.3 Skill Development Needs

The Departmental staff's skills in use of IT applications in mineral estimation and extraction, as well as in the use of specialised software such as geographic information systems should be upgraded. The increased emphasis on sustainable development also calls for training in environmental restoration methods.

3.6 Other Departments

The study team also analyzed the continued relevance of several corporations under the purview of DIC. In particular we examined Karnataka Industrial Areas Development Board as well as Karnataka Small Industries Development Corporation.

3.6.1 KIADB

Given the specialized nature and strategic importance of the of activity, legal issues involved in land acquisition, as well as the fact that the performance of the corporation has been generally good, we recommend the continuation of KIADB as an independent entity reporting to the Additional Director (Trade & Investment). To improve the effectiveness of operations at the district level we suggest that the district level officials of KIADB be delegated the following powers:

- Repair, maintenance and improvement of the industrial estate
- Allotment letter for land approved by district level single window agency
- Change of plot numbers with the approval of district level agency
- Issue of possession certificates and the power to execute lease cum sale agreements for the plots allotted as above

- To approve the plans for construction/modernization of factory buildings, to cancel the plots with the approval of the district level agency when the implementation of the projects do not take place as per the initially approved time schedule
- To execute sale deed of plots, to condone the delay in utilizing the land with or without penalty.

At the same time the study team also strongly recommends that all infrastructural developmental activities be outsourced by KIADB. In our opinion, this is necessary to improve efficiency as well as reduce the over all costs of service provision.

3.6.2 KSSIDC

In contrast the need for a specialized function such as that performed by KSSIDC has reduced as our analysis indicates in its role as an intermediary the corporation has actually pushed up the cost providing service in many places, some times to an extremely high degree. Percent. Most of the activities currently performed by KSSIDC can be outsourced and the administrative functions transferred to KIADB.

We recommend that KSSIDC be wound up or significantly downsized. The possibility of merging KSSIDC and KIADB also needs to be examined more thoroughly, in the context of the economies of scale and scope such a merger may create.

3.6.3 KSIMC

Karnataka Small Industries Marketing Corporation (KSIMC) extends marketing assistance to SSI units by procuring bulk orders from the government and assigning them to different SSI units, bill discounting, fixation of rate contracts etc. We believe that the industry associations themselves can better manage the activity of product promotion. The role of the government should be limited to providing some support for technology up-gradation, which under the revised structure would be a function falling under the Technology Development division of DIC.

3.6.4 Stores Purchase Department

Given the changes in the economic and legislative scenario the relevance of the Stores Purchase Department has reduced significantly making the functions of this Department redundant and unnecessary. The study team recommends that the Stores Purchase Department be closed down and the staff from SPD is transferred/deputed to other departments. The possibility of a VRS also needs to be examined.

3.7 Reorganization at the Secretariat Level

Over the years due to reasons that go beyond administrative efficiency, the secretariat's functional structure has been fragmented to a large extent. This has resulted in the addition of several unnecessary administrative layers at the departmental level without any commensurate value addition. The indiscriminate fragmentation and bureaucracy that has built up in the secretariat has led to a paradoxical situation wherein the system is in effect dysfunctional (in the words of an office "*not designed to deliver*") and procedural delays are rampant. In this context the study team recommends simplification and rationalization of procedures to increase effectiveness and improve decision-making efficiency at the Secretariat level. This calls for considerable de-layering and reorganization within the secretariat.

3.7.1 Measures for Increasing Synergy and Coordination Simplification of Structure

As noted earlier a significant barrier to effective decision-making and implementation at the Secretariat level has been the continuous fragmentation of the functions of the department at the Departmental level. At the secretariat level, the Principal Secretary represents the Departments of Industries & Commerce, Sericulture, Sugar, Large & Medium Industries, and Infrastructure. The additional secretary represents Small Scale Industry, Departments of Textiles, and Mines & Geology. The beneficiary survey indicates that the service expectations of various departments from the Secretariat are mostly facilitative in nature requiring more intradepartmental coordination. The study team believes that a consolidation at the secretariat level could be undertaken by integrating ministries of large and medium industries with infrastructure. This recommendation is based on the nature of the activities expected by the beneficiaries – both other departments as well as the industry- from the Department.

The Karnataka government has placed a great emphasis on developing IT and biotechnology industries within the state. A separate ministry has been created for IT, which in the opinion of the study team adds costs without actually increasing administrative efficiency. The expected services of this department are market facilitation (Bangalore IT.com), human resource skill development, and IT diffusion. These activities are neither specialised in nature nor require a separate department for administration. Bringing together all industrial support and facilitation activities within the purview of the Department of Commerce and Industries will allow the department to plan for industrial development in a holistic and integrated manner.

Rationalisation of Structure and Procedures

Rationalization implies applying an equivalency concept to all files that arrive for clearance at the Secretariat level. For instance, under the current procedures any file processed and approved by the head of Departments from Textiles, Sugar or DIC is once again assigned to a caseworker in the secretariat, who spends a considerable amount of time in painstakingly constructing a new file on this file. However any real value addition (by way of a decision taken) occurs only at the level of the Deputy Secretary or the Under Secretary. By applying the equivalency concept we recommend that all files forwarded by Departmental heads must be directly seen by an officer at the level of Under Secretary or above. This will help in significantly improving the speed of decision-making. One way to facilitate this process would be to adopt the concept of desk officer in the secretariat, as has been successfully demonstrated in the transport, home ministries. The desk officer should the rank of an undersecretary or above all files pertaining to his/her area will be assessed at this level first.

To simplify procedures and aid faster movement of files we suggest the adoption of a single file system. This would imply that no new files are reconstructed at the secretariat level, but relevant offices make the noting in the applicants file itself. At most the secretariat may maintain photocopies of these documents. This is likely to significantly decrease the amount of work at the lower levels and prevent the unnecessary build up of documents at the secretariat.

3.7.2 Measures to Improve Effectiveness and Strategic Planning

The need of the hour is to adopt a holistic view that integrates all viewpoints for promoting industrial development in the state. However as, explained before, the continuous fragmentation of the department has resulted in the creation of several overlapping and sometimes conflicting interests. In this context the study team suggests a reorganization of the department on the following lines.

Establishment of a Consultative Committee

The need to involve stakeholders and experts in a consultative process to improve the quality of decision-making is important. For instance we recommend that the Principal Secretary should create an advisory panel comprising few industry representatives, subject and management experts and key officers of the department to develop strategic agendas for action and ultimately influence policy making within the government in an effective manner. This consultative committee could meet on a bimonthly basis and operate on an honorary basis. These Consultative Committees may look at the following issues:

- Building Synergies in Interdepartmental, interagency coordination
- Infrastructure Developmental Issues
- Regulatory Management Issues
- Stakeholder Relations and Related Issues

While the Principal Secretary is assisted by an array of staff, nearly all of them are from the secretariat service. In our analysis the job of the secretary is technical in nature and he/she needs significant inputs from subject experts. There is a need to induct experts in various areas into the Secretariat. This may be done by deputing staff from the line departments for a fixed period not exceeding 2 years at a time. At the end of this period these officers would revert back to their parent organization.

3.7.3 Measures to increase operational efficiency and productivity

The study team recommends that significant productivity increases can be made in the department simply by creating a common pool for support activities such as typing, data entry etc, except for a few key officers. The Data Centre could be established on the lines suggested for DIC.

3.7.4 Measures to increase transparency and good governance

An important indicator of good governance and level of transparency is the level of information access provided to the various stakeholders including general public, industry, media and other interested parties. The study team is of the opinion that these objectives can be achieved by moving to a system of e-governance. While the specific details of such an initiative are beyond the scope of the present study we suggest that the Karnataka Government must benchmark its activities on the e-governance model proposed by Andhra Pradesh and the Right-to Freedom of Information Act in Rajasthan. Such an approach will result in significant reductions in transaction costs for the government as well as the public. It would also increase transparency lead to greater accountability in decision-making.



**DEPARTMENT OF EDUCATION
(PRIMARY EDUCATION)**

Acknowledgements

Administrative Reforms Commission set up by the Government of Karnataka in April 2000 submitted an interim Report in January 2001. Following the Interim Report the Commission desired to get Functional Reviews of Several government departments. The ARC invited the Institute for Social and Economic Change to do a functional review of education and health departments. Prof M. Govinda Rao, Director, ISEC entrusted this study to me, monitored the progress of work and enabled me to complete the review and I thank him for this.

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I submit myself as being responsible for all the omissions and commissions in the review report. The study has been completed during a period of 5 months from May to September 2001. It has virtually been a race against time. I look forward to criticisms of the report which would serve as a feedback to me to improve its quality.

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Executive Summary

PREAMBLE

A new economic policy was adopted by the Government of India in July 1991. Several structural changes and adjustments became imminent in the light of this changing policy framework and in the areas of economy, polity and society. Rightsizing the government, outsourcing public services, ensuring 'value for money' at all levels, reforming and modernising public/development administration are integral to the programmes of structural change and adjustment. It is in this context that the Government of Karnataka set up an Administrative Reforms Commission in April 2000. The ARC submitted an interim report in January 2001. Functional Review of the Education Department has been taken up following this report. An Executive Summary of the substance of the review report is presented here.

OBJECTIVES

A summary statement of the objectives of the study would be: a study of the rationalisation and coherence in allocation of functions and portfolios within a framework of goals of the department, vertical and lateral devolution of functions within the department and across LSG institutions, streamlining of centrally sponsored and externally funded projects, existing levels of modernisation, expenditure management in the light of Medium Term Fiscal Plan of the Government and involvement of non-governmental and community-based organisations.

OUTCOMES

The review is expected to suggest restructuring of the department so as to improve efficiency and service delivery, rightsizing the department, outsourcing of activities through privatisation, devolution of powers/finances to local bodies, and finally improving systems and work methods for greater accountability and transparency in functioning.

Methodology of the Study

Descriptive Survey, Documentary Analysis and Rapid Appraisal Techniques have been adopted in this Review.

The review report has presented a historical overview and present status of school education in the State on several/usual indicators of educational performance as well as a brief overview of the history of educational administration in the State since 1813 AD and specifically between 1950 to 2000 AD.

This is followed by a MACRO-LEVEL PERSPECTIVE of functioning of the department in a framework of objectives of the study. Macro-perspectives are based on: documentary analysis, individual and group interviews of officers/others, observation at the field level and insights from an empirical study completed for the ARC review.

A MICRO-LEVEL FIELD-VIEW is presented in the report. It incorporates perceptions of parents of school-going children, Head Teachers (HT) of schools, perceptions of district and sub-district level educational administrators and LSG representatives. The field data is comprised of: 450 households from which children attend 45 schools - 15 LPS, 15 HPS and 15 High Schools; from 45 villages of 15 taluks across 5 Districts of the State namely: Uttara Kannada, Bijapur, Kolar, Gulbarga and Chamarajanagar. Due representation is given to children/households from socially disadvantaged groups of both the sexes.

The whole study/review is completed during May to September 2001.

STATE-LEVEL REFORMS

- There is a need to develop a 'Vision Document' by the State Department of Education (Secretariat) which would reset the goals of the education department within a Normative Framework and a Time Frame keeping in view contours such as present performance, potentials for growth and development, constraints and opportunities across the State, MTFP proposals, emerging scenario in regard to population changes, demand for education and scope for private participation. This vision document should have inputs from administrators, academicians, intellectuals as well as distinguished persons from public life. A brief and concise version of the vision document should be shared with all the rank and file administrators of the Department.
- Division of work of the Secretariat into school and higher education under two Secretaries of State has become more rigid and formal than it should be. Division of work and autonomy in functioning should be limited to the exercise of powers and responsibilities. It should not extend to general awareness of issues, concerns, functioning and performance of the two major sectors.
- Unexpected/random withdrawal/cuts in allocation/grants to the Education/ Secretariat from the Government/Finance should be stopped.
- The Department functions. But it is not functional. Everybody is busy. Everyone works (some of them overwork). But results are far from being commensurate with the investment of time, resources and work. There is no lack of sincerity and commitment among the officers. The problem is one of lack of perception of the significance of their everyday activities to the overall objectives of the Department. There is also no prioritisation of activities. There is a lack of self-imposed accountability.

Non-enrolment persists; 1.5 million children are still out of school [15 percent of total 6 to 14 children].

Drop-out rates at LPS stage are fast decelerating, but still the problem persists; at the HPS stage it is still around 35 per cent;

Transition rate from HPS to high school is quite low (25 per cent).

Attainment levels at LPS are very poor.

Note: Karnataka State is the lowest among 8 major States in regard to performance in class I Language and Class IV Mathematics, as per a national Mid-term Assessment Survey in 2000 AD.

TABLE
State-wise Distribution of Total Sample in which MAS test administered

Sl. No.	State	No. of Districts	No. of Schools	No. of students		No. of Teachers
				Class I/II	Class III/IV	
1	Assam	6	300	3184	2753	612
2	Haryana	3	150	2304	2564	507
3	Karnataka	7	342	5459	6902	1374
4	Kerala	3	150	2757	3920	689
5	Madhya Pradesh	15	739	9703	10073	2198
6	Maharashtra	4	200	3102	3930	691
7	Tamil Nadu	3	150	2393	2924	467
8	Uttar Pradesh	15	750	10139	8799	1654
	Total	56	2781	39041	41865	8192

Source: DPEP Calling, November 2000.

Performance of Karnataka State in regard to attainment levels is very poor. It is the poorest among the 8 States under survey.

MAS 2000, AVERAGE PERFORMANCE

56 DPEP districts, 80906 students, 8003 teachers, 2781 schools
Performance in Language and Mathematics
expressed in percentage ranges, class I and class III and IV

States of India	Class I		Class III and IV	
	Language	Mathematics	Language	Mathematics
Assam	64.4 to 76.98	70.84 to 82.54	46.33 to 58.01	46.07 to 57.27
Haryana	56.62 to 64.87	56.19 to 66.43	45.95 to 50.00	36.44 to 40.84
Kerala	71.66 to 81.25	73.02 to 76.06	54.74 to 59.19	50.45 to 56.92
M.P.	52.48 to 81.83	54.91 to 80.44	29.39 to 64.38	23.84 to 75.11
Maharashtra	65.21 to 77.69	67.49 to 76.35	47.02 to 76.35	37.36 to 62.04
Tamil Nadu	72.42 to 83.94	74.01 to 80.05	74.01 to 80.05	48.14 to 56.76
U.P.	55.72 to 88.87	58.91 to 85.11	58.91 to 85.11	31.78 to 60.44
Karnataka	42.61 to 59.67	48.32 to 66.56	48.32 to 66.56	26.92 to 55.55

- Note: 1. Assam, Kerala & Maharashtra denote Class III performance; Haryana, MP, UP, Karnataka and Tamil Nadu denote Class IV performance,
2. Comparison of Class IV MAS performance, 2000 AD with Class IV MAS performance, 1997 AD, in Karnataka showed that all the 5 districts (1997, I Phase) recorded a significant decline in language achievement. This has been true in case of 2 districts of the State in regard to Mathematics attainment.

Reservations need to be expressed about this national level survey which shows Karnataka in poor light. Stereotyped/standardised tools and testing for the whole nation needs to be rejected. Throw this mirror out. But develop your own mirror.

- The CPI needs to organise (through workshop mode) the development of a PERSONNEL – FUNCTION – OUTPUT – GOAL Chart [PFOG]. Such an exercise would make the everyday functioning of the department more and more meaningful. Every officer needs sensitisation about the PFOG Chart at the time of entry into service, promotion and later on as and when changes are introduced in functions.

A Sample PFOG Chart is presented here:

PFOG ILLUSTRATIVE CHART

Personnel	Function	Output	Goal
Head Teacher	Observe 'Prabhath Pheri' (Morning Bugle Call) regularly in the village Monitor whether school IS run as per pre-planned schedule	Improve attendance of children	UPE - retention
Educational Co-ordinator -EC	Monitor whether all children have received the textbooks	Improve efficiency of incentive delivery services	UPE - all objectives
CRC	Examine Progress Reports of all children	Feedback on levels of attainment across the class	UPE - attainments
BRC	Visit CRC at the time of monthly meetings	Improve efficiency of CRC functioning	UPE - attainments
BEO	Visit Government Primary Schools	Tone up efficiency of schools	Tone up efficiency in the system [UPE objectives]
SI of Schools	Visit high schools and sit through a period	Improve quality of instruction	Promote quality in the system
EO	Inaugurate a Talents Day in a school	Boost the morale of the school in conducting such activities	Promote excellence in the system
DDPI	Attend meeting of ECs called by the BEO	Get a feedback on problems, issues and progress of schools in the district	Promote efficiency and regional balance in development

- There is a State Survey Cell which collects and collates a large volume of useful data from schools/communities as a part of the MONITORING and INFORMATION SYSTEM (MIS) of the State. Glaring omissions in this MIS are:
 - a) very less attention to attainment levels in schools,
 - b) no information on private self financing/unaided and private aided schools except for enrolment and institutions
 - c) no information on private demand for schooling, private investments (and potentials) for schooling.

The most important report of the department which links it to its stakeholders (parents) is the Progress Report (loosely called Marks Card). Currently three reforms are being used to document/report/monitor progress of students.

Progress reports are consolidated by the CRC and sent to BRC. In non-DPEP districts EC consolidates and submits to BEO. BRC sends the report to BEO; BEO to DDPI.

There is a reporting system on attendance of children linked to issue of foodgrains under MMS.

Attendance of students to schools per se is not reported to higher authorities. Drop-out information is reported. Schools and reporting systems are not designed to take note and care of Long-Absentees/Potential Drop-outs.

There is a plan-in-operation for reentry of confirmed drop-outs – a remedial teaching programme – Chinnara Angala – a bridge course. There is also a Vidya Chethana Programme to serve non-enrolled/drop-out children from schoolless habitations.

The DPEP has information on 9 components of LPS schools in the State; school-wise/taluk/district-wise.

As of now, reverse flow of information/communication on delivery of incentives is quite weak. The Department needs to flag a calendar of supply of incentives from State to school level, incorporate review dates in the calendar, get feedback and take up corrective action.

- There is a need to create a 'STATE TESTING SERVICES CELL' (STSC). This Cell shall continuously monitor the "QUALITY" of schooling at all levels on a sample survey basis, establish cluster-wise, block-wise, district-wise norms in performance, assist the BEO/DDPI/CPI in quality grading of schools, process the school performance data to discover the determinants, facilitators and constraints, recommend intervention strategies. The STSC can be created under the existing STATE SURVEY CELL which maintains all types of MIS data except that on attainments in schools.

Sample Surveys are recommended here.

There can be ACTION RESEARCH of survey results on contract basis (using M.Ed. Departments, B.Ed. colleges faculty, research scholars or any other NGOs skilled in this regard).

- There is already a high level of Modernisation of the functioning of the Department. Computerisation of records and MIS is of a large spread. Information computerised so far are:
 - a) Education Monitoring and Information System (EMIS).
 - b) Schools Information - for all government, aided, private unaided - primary and secondary schools.
 - c) Teachers' Information - qualification, experience/seniority, training programmes attended, date of birth, etc; Seniority list of all teachers is also maintained.
 - d) Surplus teachers in government/aided schools and their deployment.
 - e) TCH and B.Ed admissions; B.Ed Common Entrance Examination;
 - f) Recruitment of Teachers - Counselling purposes; transfer of teachers - counselling purposes - showing vacancies;
 - g) Letter Monitoring system - flow of letters from Receiving section to offices within CPI.
 - h) All court cases of the CPI.
 - i) Day-to-day administration.
 - j) Pay-bills of all personnel in the Commissionerate.
 - k) Reports to MMR and KDP meetings.

Information that needs attention in future plans of modernisation are:

- 1) It has already been noted that there is a need for a State Testing Services Cell (STSC). Attainment levels of students at various stages of schooling and across the State needs to be computerised, monitored and reported.
- 2) There is a need to develop a programme/software on 'School Quality'. All the schools in the State need to be graded on school quality and components of school quality therein. Remedial action for improving school quality can begin with the most backward regions/taluks (having maximum proportion of lowest graded schools). Intervention strategies on such schools can begin with the lowest ranked component of school quality.
- 3) Information on utilisation of Incentive schemes can also be computerised. They may also be maintained in relation to the objectives for which they have been launched. For instance, utilisation of mid-day meals scheme can be compared with attendance in schools using attendance registers. This can be done on a sample survey basis.
- 4) Decisions taken/recommendations made in ZP/TPS meetings regarding education can be processed, coded and publicised.
- 5) Human resources, for promotion of schooling, in the community can be pooled, listed, classified and publicised.

- 6) School - participation and performance data by income-levels needs to be collected, collated and publicised. As of now sex-wise and social group - wise data are being subjected to such treatment.
 - 7) Student-information/data sheets need to be developed at cluster/block levels.
 - 8) Innovations in teaching/production of educational technology also deserve computerisation.
 - 9) Computer programmes on teaching difficult/complex concepts, topics and units can be managed through the use of computers in high schools (initially).
 - 10) CD Roms on methods of transacting school subjects with the help of distinguished teachers/team-teaching techniques can be developed and supplied to schools.
- There is a need to reexamine the continuation of several Incentive Schemes of the Department. They need to be targetted and phased out. Communities to which they are delivered do not expect them. The schemes were initiated in 1960s when demand for schooling was very low.

Dependence of Parents on Incentive Schemes

	Scheme	No. Eligible	No. Receiving	No. Not Dependent	% Not Dependent
a)	Textbooks	299	293	246	84
b)	Uniforms				
	I to IV LPS	150	150	-	-
	I to IV HPS	46	-	-	-
	V to VII SCG HPS	23	14	-	-
	TOTAL	219	164	127	78
c)	MMS	234	231	209	90
d)	School Bags	22	18	20	91

Note: Crude estimates indicate that the GOK spends on an average, about 35 to 40 crores (latest years) on incentive schemes which works up to 1.2 per cent of total expenditures on education and 6 per cent of plan allocations. [Central support to MMS is not included here].

Departments which are operating these schemes at the State level have an administrative cost. It is not accounted in this analysis.

Inferences on Incentive Schemes

Expenditures of the State Government on some of the Incentive schemes is as follows.

(Rs. in crores)

Scheme	1997-98	1998-99	1999-2000	2000-01	20001-02
Free Text Books	3.00	1.50	1.00	-	-
Free Uniforms	17.00	40.32	28.00	28.00	35.00
MMS	4.12	-	1.00	1.27	1.06
School Bags	2.00	2.00	2.50	2.60	2.60
State Component Total	22.00	43.32	32.50	31.87	38.60

Note: Figures are taken from two sources: (a) Performance Budget of the Education Department, GOK, 1999-2000, June 1999; Figures for 1997 to 2000 are from this document; (b) Figures for 2000-01 and 2001-02 are taken from 'Demand for Grants' submitted by the CPI, Education Department, GOK to the Subject Committee of the Legislature. It appears that the allocation to MMS during 1999 to 2002 is an additional grant of the State Government. It is in addition to the CSS scheme (MMS). State Government totals do not include Text Books Scheme for 2000-01 and 2000-02.

Crude estimates indicate that the State Government spends, on an average, about Rs.35 to 40 crores on incentives schemes. This will work out to around 1.2 per cent of total allocations for the education department, on an average, and about 6 per cent of Plan allocations. Of all the incentive schemes, free distribution of uniforms appears to be the flagship. Given the awareness levels and purchasing capacities of the people, there may be a need to reexamine these 35 years old schemes. Such a reexamination may prove to be of significance if there is any grain of truth in the reported claims of 80 per cent of eligible beneficiary parents that they are not sending their children to schools because of these benefits. They would be willing to buy textbooks/uniforms/ even if the government decides to discontinue them. It is in this context that there is a need to target the incentive schemes and phase them out in a gradual way. Alternatively, there is a need to provide all teaching-learning facilities/aids/equipments/ charts/maps/specimens/ laboratory chemicals/library books/children's literature/furniture for children/play equipments/sports and games materials/——— to all the schools. The money saved on incentive schemes can be channelised towards 'better schools'. In this way 'efficiency of public expenditures' on education may be stepped up while unnecessary/wasteful/unwanted expenditures can be plugged.

- Specific proposals of the MTFP for the Education sector are:
 - a) Increase user charges to higher and technical education,
 - b) Abolish 80 per cent of the vacant posts as per the Finance Minister's budget speech (Karnataka) of 2000-2001 which effectively means cutting down 10 per cent of the total State Government posts. Liberal exemption is allowed in case of primary and secondary education apart from a few other sectors.

- c) Leave posts when incumbents retire. One-third of such posts will be abolished. Primary and Secondary education is exempted from this measure.
- d) Improve the productivity of public spending.
- e) Ensure that assistance to SC/ST/BCM and other weaker sections will continue. Strength of social welfare hostels is expected to increase at the rate of 2 per cent per year.

Anganwadi expenditures are expected to increase at a unit rate of 20 per cent in 2001-02 and remain at that level till 2004-05. Coverage of children is expected to increase at 2 per cent per year.

Possible Inferences

Karnataka may move towards a 1 teacher per 1 standard norm in the following years, given the liberal attitude of the MTFP. However, **unviable schools with poor strength need to be merged with schools with larger strength in larger villages**. In doing so, special and specific attention needs to be given to the SC/ST/BCM/and girls in general. They may not be in a position to walk long distances for 'Viable' schools. They need to be transported back and forth to the school. Rural roads need to be of good quality for such transportation. Schools should have water facility for children from other villages. Of course mid-day nutritious food should be guaranteed to the poor and needy children. With all these caveats the State may move towards large schools with adequate facilities and standards/quality.

- Communication in the Department is by and large a one-way process. It is mostly top-down. Except for a small volume which is through printed literature, written medium/Fax message/govt. orders/Circulars, it is oral in nature.

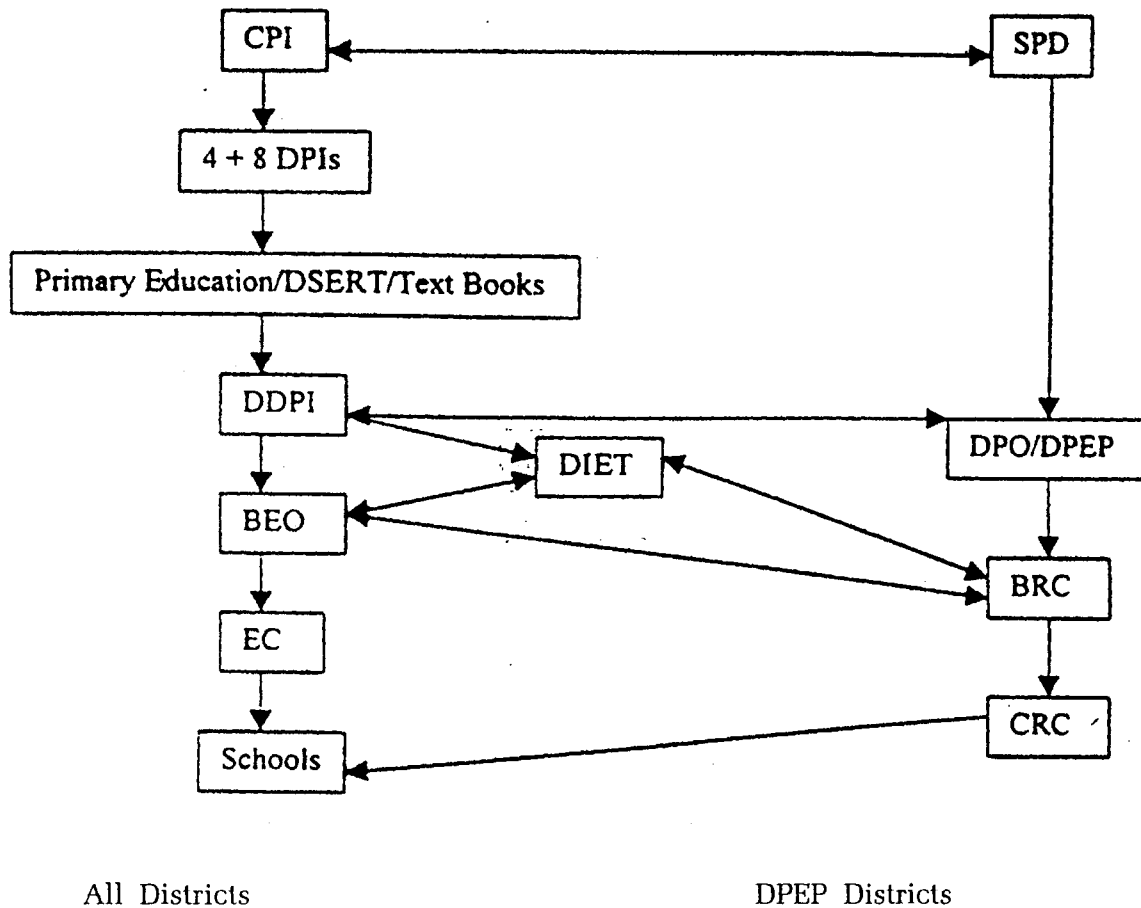
Communication across school teachers is facilitated at cluster level by CRPs at CRCs in DPEP districts (LPS).

VII Std. District level examination/SSLC examination involves communication across schools. In advanced taluqs, where Science/cultural fairs and inter-school competitions are organised, there is communication across schools. Otherwise, there is no formal networking of schools.

E-communication/networking is required for organisation and conduct of SSLC public examination. There is a need to develop a Question Bank in all High School Subjects, code them and supply to all the schools. The QB will be developed through participative workshops. The QB will be computerised. SSLC examination question-paper will be uplinked with the KSSEB through Internet/e-mail facility. A coded Question Paper (using QB Codes) will be released to the centres on the day of examination and a few hours before the examination or sent through FAX. The centre orders a Question Paper as per the QB Code, take as many copies as are required and use them. This arrangement will once for all regulate Malpractices in Public Examinations.

- The existing DPEP structures should be integrated/merged with the CPI/DDPI/BEO structures.

Existing State DPEP Structures

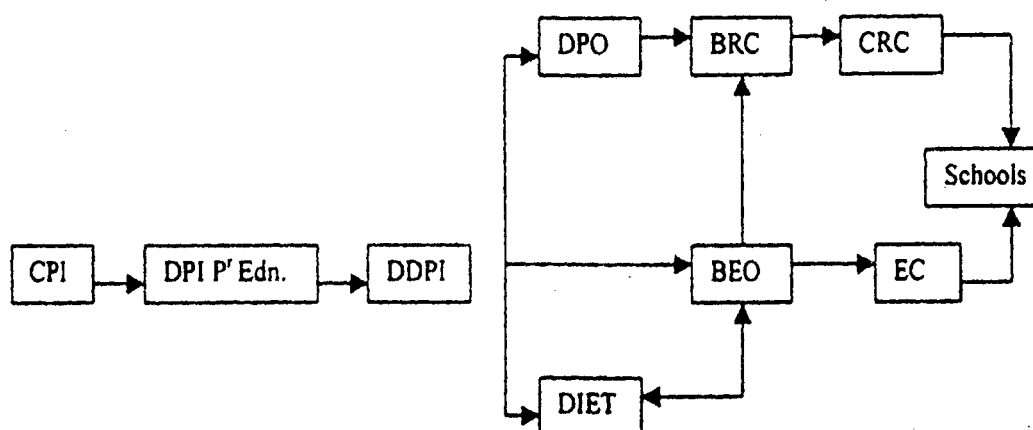


Sustainability of DPEP Structures

Sustainability of DPEP after 2003 AD when the source of EF gets terminated is a significant matter of concern for the State administration. A notable feature of the DPEP has been that it has been designed in such a way that it leaves behind very less problems requiring sustainable attention. Recruitment of personnel for the department is almost nil given the magnitude of DPEP operations. Teachers were appointed/new schools were started in only schoolless habitations which were quite scarce even by 1995. 75 per cent of funding for the district, rupees forty crores on an average for each district in a phased duration of 5 years, was on quality improvement/capacity building programmes. 11 per cent of the funds were earmarked for construction of girls' toilets/sanitation facility, compounds for schools etc; while only 14 per cent was spent on general administration/establishment costs. Almost all the personnel like DPO/BRC/CRC were appointed on deputation from the Department. Valuable infrastructure have been created by the DPEP, such as the Block/Cluster Resource Centre Buildings. Hence, sustainability of DPEP should not pose serious problems. The issue would filter down to one of administrative integration. It can be sorted out in the following way: As of now, there is a vertical structure of the DPEP from State level to the cluster of schools level. There is Co-ordination at State/District/Block levels between the DPEP and regular departmental administration.

The State level structures can be integrated as proposed below:

PROPOSED DPEP STRUCTURE



- Distinctions between Centrally Sponsored/Externally Funded Projects/ Programmes and State owned projects/programmes should be maintained only for Accounting/Auditing/Reporting purposes. Wrong messages get settled in the thinking processes of executives at the grassroots level if distinctions are carried downwards. 'He is after all an OB teacher'; 'This is a DPEP white elephant'; 'DIET is a CSS programme and DDPI has nothing to do with it' - like this, several comments are overheard reflecting the attitudes of executives/teachers/HTs.
- Functional links between BCC and the Education Dept. is necessary. The performance of children in Corporation schools, as of now, at the SSLC examination is lowest in the State, at an average of around 20 to 25 per cent success rate. Rank order of schools in regard to SSLC percentage of passes is private unaided, private aided, government urban, government rural and Corporation schools.
 - The Department should bring out a 'SDMC Training Manual'. SDMC training should be done in cooperation with NGOs.

DSERT

- DSERT to be made an autonomous organisation (academic, administrative, financial autonomy).
- A corpus fund may be created for the DSERT. Grants from donor agencies from within the country and abroad may be mobilised along with State Govt. funds.
- DSERT is a technical support wing of the Department specifically focussing on Quality, Capacity-building, pursuit of excellence, in school and teacher education. There is a need for a State-level, across the departments, ADVISORY BODY for the DSERT.
- Personnel policy for DSERT should be a mix of three blends in equal proportion: Personnel of the Department who qualify by virtue of their competence, aptitude, seniority and commitment (those who are on tenure); direct recruitment from the education-manpower market on contract basis; contracting specific projects/programmes for short-durations.

- Reorganisation of Directorate of Secondary, Pre-university and Vocational Education under a single Directorate within the CPI.
- Documentation of development programmes of the Department for their effectiveness so as to promote Accountability.
- A Review of Staff structures in School Education at the State level in lieu of creation of a new Directorate of North East Region Education at Gulbarga District (NERD).
- A review of functioning of NERD by April 2002.

CPI and the Directorates - General Administration

- A case has already been made for the phasing out and eventual abolition of nearly 200 gazetted posts of Subject Inspectors of schools. It shall not be repeated here.
- The following specific task-group exercises need to be initiated by the CPI:
 - (a) Implications of step-by-step and complete computerisation of SSLC examination and administration of other Directorates. It may be noted/recalled in passing that the use of typewriters has been totally discontinued at the CPI's office.
 - (b) Implications for the State Directorate - KSEEB and the four Regional Offices, of an alternative scenario - Decentralisation of SSLC examination to the district level on staff structures and needs.
 - (c) Implications of the MHRD/GOI proposal to move away from public examination at the X standard level and move towards a Continuous Comprehensive Evaluation System on staff structure and needs.
- Work-norms may be established by the various DPIs/CPI for a self-review of functioning and efficiency.

DISTRICT-LEVEL REFORMS

- All the secondary/senior secondary schools of a district shall come under a DISTRICT BOARD OF EDUCATION. This will be an extension of the Zilla Panchayath exclusively devoted to management of all secondary/sr. secondary schools of the district, including private aided and unaided schools. While government schools are under direct control/management of DBE, the private aided/ unaided schools will be subject to regulation, facilitation and support services. The DDPI will be Member-Secretary of the DBE. Due representation to private managements, women, socially disadvantaged groups, distinguished academicians, social workers shall be there on the DBE. A member of the ZP/may be the Chairperson of the Standing Committee on Education shall serve as President of the DBE.
- Inspection/Supervision of functioning/management of schools appears to be most unsystematic and lax as per the reports of the schools on school visits by variety of educational officers; only 0.57 visits to schools during a year are possible. Multiple visits to some schools by different educational officers are ignored in this arithmetic. Three schools in Bijapur district were not visited by any officer for a whole year. 40 per cent of the total of 126 visits from 222 educational officers in the 45 schools of the study was made 6 months earlier. School Inspection and Supervision needs to be privatised.

Supervision and Inspection of Schools

Average visits by Educational Officers

Average visits of Educaiton Officers/ others	CRC	BRC	EC	SI	EO	BEO	DDPI	Others	Total
	22	13	16	14	8	28	13	12	126
No. of Officers	120	12	30	30	10	15	5	-	222
Average Visits	0.18	1.1	0.50	0.50	0.80	1.9	2.6	-	0.57

No. of Schools : 15 LPS, 15 HPS, 15 HPS

Area : 15 Taluqs; 15 Districts; 14 of them DPEP districts

Assumptions : 10 CRCs and 1 BRC per taluk in DPEP district
2 ECs per taluq in 15 taluqs
6 SIs 5 of them for school subjects/per district.
2 EOs per district
15 BEOs, 5 DDPIs.

Periodicity	Yesterday	Last week	2 weeks earlier	Last Minute	2 Months earlier	3 Months Earlier	6 Months earlier	1 year ago
Percentage	3.97	7.94	5.55	17.46	9.52	16.66	26.19	12.69

Total Visits 126; Total Schools 45

Note: One LPS and one HPS in Muddebihal taluq and one HPS in Bijapur taluq have not received any single officer for visits during the whole year 2000-2001.

- The posts of subject Inspectors (SI) of schools was created in 1970 when there was a large proportion of untrained secondary school teachers. As of now, there is no untrained secondary school teacher.

There are 27 teams of SIs in the 27 districts. One team comprises of 5 to 6 SIs. There are 9000 schools. At the rate of 4 schools per month and 30 schools in a year per team, one school-visit in a cycle of 3 to 4 years, it would require 100 teams for a sincere/serious job of SI. As of now coverage of schools is slipshod and irregular. [unaided schools are ignored]. Subject Inspection has become a farce. A similar fate is observed in regard to Inspection of schools by the 2 Educational Officers attached to every DDPI.

BLOCK-LEVEL REFORMS

- There is a need/demand to further decentralise the management of primary schools exclusively to the Block level.

Control, Supervision and Management of Schools

	Existing Status				Proposed Status			
	P ^y Sch.	S ^y Sch.	S ^r S ^y Sch.	Total	P ^y Sch.	S ^y Sch.	S ^r S ^y Sch.	Total
DDPI	1600	270	60	1915	-	270	60	330
BEO	250	45	-	295	250	-	-	250

The BEO shall be exclusively responsible for management of primary schools. Decentralisation upto the block level would facilitate better focus, clear direction, efficient monitoring, feedback and corrective mechanisms; goal-specificity will be ensured.

Correspondingly the PANCHAYAT ACT, 1993 has to be suitably amended to empower the TPS.

- There is a need to organise Subject-Teachers Associations in every taluk. There will be around 80 teachers in every taluk teaching each one of these subjects: Physics/Chemistry, Mathematics, Biology, Social Studies, English, Kannada, Hindi/Urdu, Physical Education. The 80 subject teachers should meet regularly, monthly or bi-monthly at the taluk head quarters, at the Guru Bhavan or elsewhere, for a whole day and confer among themselves about the teaching-learning problems/issues of their subjects. Networking of subject-teachers is to be facilitated by the BEO. Content Refresher Lectures from distinguished college/university teachers/Scientists/Litterateurs can be organised at such meetings.
- The DDPI shall guide the Private Inspection teams in their work, facilitate the schools to function as per their own self-set goals as well as act on the Inspection reports of the schools.
- Taluk-level identification of Human Resources needs to be facilitated by the BEO. Folk artists, musicians, yoga teachers, painters, poets, novelists, public speakers, social workers who can enrich the cultural life of the school should be pooled together and the list circulated across the schools.
- CRCs collect progress reports from schools and submit them to BRP/BEO. There is no analysis of progress reports, feedback and corrective action.

The SIs would not analyse the school final results, school-wise, (subject-wise) in their jurisdiction, locate poorly performing schools and examine dynamics of poor performance. Everybody does work 'assigned' to them. There is neither 'pro-active' thinking nor review of work in relation to goals.

- At the monthly/periodical meetings of the ECs with the BEO, there shall be a discussion of problems/issues/performance of all the schools in the taluk. A two-way reporting system between the schools and the BEO through the EC shall be formalised. Schools which require special attention for redressal of problems shall be identified at these meetings. The BEO shall follow-up on such schools.

SCHOOL LEVEL REFORMS

A Profile of the Sample: (449 HH/45 Villages/15 taluqs/5 dists.)

Sample of this study, by and large, belong to lower strata of society. Two-thirds of the sample households belong to BPL families. 55 per cent of heads of households are labourers. There are 23 per cent households which are headed by women. There is an equal/adequate representation of SC/ST families in the sample. With a few exceptions, almost all the children have easy access to lower primary and higher primary schooling. Majority of the families have a small size. It is only in Gulbarga district that children from large families attend school.

Government schools are by and large patronised by poor families in rural areas. Urban, educated, well-to-do families depend on private schools. Government schools serve the poor, the lowly and the deprived. Those who are otherwise and still attend government/village schools are exceptions. Hence, if the performance of the public services in education has to be examined, then it should be from the perspective of the generality of the population in the State who are poor, lowly and deprived. The sample of this study, it is hoped, will be able to capture the perceptions of the households who represent the general population of the State.

- The update from this study reveals that rural communities are satisfied/have no complaints about the schools which serve them. Even the HTs of schools who function with varying levels of efficiency/inefficiency are also satisfied/have no complaints in the level and quality of support they receive from administration or about the infrastructure facilities in their schools. Even the LSG representatives - ZP Presidents/Vice-Presidents, TPS Presidents/Vice-Presidents, VP Presidents/Vice-Presidents; the VEC Representatives - have no complaint about schools and their functioning. Such a tranquil atmosphere prevails inspite of national/State updates on attainments of children in schools which show Karnataka in poor light. It is last among 8 major States where MAS 2000 (National Mid-Term Attainment Survey in Primary Schools, 2000 AD) was done.

Karnataka appears to be in a Low Equilibrium Trap in regard to quality of schooling. How to get out of this situation? The State should bring out/evolve through a participative technique, 'A HANDBOOK ON SCHOOL QUALITY'. It should have differential conceptions for LPS, HPS, HS. [Repetition of a suggestion].

Periodical review/assessment of performance of schools should be examined in the light of the given/evolved conceptions of quality. It should also be used as an input in Capacity Building Exercises for SDMC/Teachers/HTs/Educational Offices at all levels/ LSG Institutions. Sensitisation of stakeholders regarding 'quality of schooling/school' is essential for any reforms/improvements.

Every school should develop a plan of self-development and manage itself as per this plan. School-specific problems, resources available for the school, potential contributions from community, prioritisation of problems will all get into the formulation of the plan.

The schools should engage themselves in Self-Evaluation at the end of every year and prepare a brief report on performance along with explanations for non-performance, non-realisation of pre-set goals along with identification of constraints.

The whole exercise of planning, reviewing and evaluation should begin with schools in advanced taluq/regions on an experimental basis and replicated afterwards.

- **Functioning of Schools**

Inferences

People in the State have enormous faith in government schools and are by and large satisfied with their functioning. 33 per cent of the parents in the sample (parents represent the people of the State) are not aware of people's management committees (VEC/SBC) for the school. Among those who are aware, hardly 10 per cent participate in the management of the school. It is only around 15 per cent of the parents/people in general who are dissatisfied with one or the other aspects of functioning of the schools. In such a scenario as is obtained in the field, it is difficult to improve the schools. Stakeholders do not demand quality schooling. Performance of the schools on MAS 2000 and SSLC examinations is quite poor and wanting. People are satisfied! Facts of the case warrant a new rural scenario wherein people should be sensitised as to what to expect from schools and whether the schools function in the direction of the objectives for which they have been set up. Perhaps the SDMC, over a period of time, can fill up the vacuum. Capacity of the SDMC members need to be built for this purpose. Otherwise, the dream of a 'Self-Managing School' will be ever eluding.

- **Perceptions of Schools**

45 schools – 15 LPS, 15 HPS, 15 HS.

Schools in the study

Schools in the Study

DISTRICT	U.K	BIJAPUR	KOLAR	GULBARGA	C'NAGAR	TOTAL
Number	9	9	9	9	9	45
LPS	3	3	3	3	3	15
LPS Enrolment	123	307	110	325	132	997
LPS Attendance	118	287	109	283	116	913
% Attendance	95.93	93.49	99.09	87.08	87.88	91.57
No. of Teachers	5	8	7	8	4	32
T: Pupil Ratios	23.60	36.00	15.60	35.40	29.00	28.53

HPS	3	3	3	3	3	15
HPS Enrolment	1119	804	540	757	1057	4277
HPS Attendance %	93.57	92.16	97.41	89.56	83.44	90.58
No. of Teachers	23	13	15	19	17	87
T ^r Pupil Ratios	48.65	61.84	36.00	39.84	62.17	49.16
HS	3	3	3	3	3	15
HS Enrolment	555	423	582	526	985	3071
HS Attendance %	99.64	93.85	96.22	95.25	92.99	95.31
No. of Teachers	29	22	24	26	27	128
T ^r Pupil Ratios	19.13	19.22	24.25	20.23	36.48	23.99
SSLC Results 2001	57.0	67.0	46.8	28.7	40.8	-
English	66.9	68.1	69.8	41.7	59.6	-
Mathematics	52.1	72.3	47.5	26.9	42.2	-
Science	76.8	79.1	70.5	52.2	67.4	-
Social Studies	71.9	85.7	58.3	64.3	77.1	-
Kannada	97.5	86.2	84.9	80.0	89.0	-
Hindi	100.0	90.1	81.3	81.7	83.0	-
T^{rs} Commuting HS	17	16	16	19	27	95
T ^r Staying in Village	12	6	8	7	0	33
T^r Commuting HPS	12	12	11	17	12	64
T ^r Staying in Village	11	1	4	2	5	23
T^{rs} Commuting LPS	3	5	6	8	3	25
T ^r Staying in Village	2	3	1	-	1	7

Inferences

There is no norm in the functioning of schools in the State. Schools differ in their size, teacher-strength (teacher-pupil ratios), teachers' residence (and other variables which will be taken up later) etc;. Norms need to be set and as has already been referred to in Chapter III, the State Department of Education needs to bring out 'A Hand Book of School Quality' for LPS/HPS and HS stages. Every school needs to use this Handbook and engage in self-analysis periodically and especially in the light of attainment levels of their students as revealed in STSC (Survey Testing Services Cell/proposed) updates, annual examinations and specifically the public examination. Corrective/remedial actions need to be planned by the schools. Administration should be facilitative and supportive of self-help efforts of the schools. As of now, schools of the type discovered in this study in Chamarajanagar and Gulbarga districts (as elsewhere) do not know 'Why they are, what they are?' [Colloquial usage]. It is also true that the effects of low quality LPS and HPS schooling become cumulative and influence X standard performance of schools. This is also revealed from the table on schools of this study.

- As of now recruitment of teachers to schools is at the District level. It would be proper to further decentralise the recruitment process and treat the Block as the nodal point for recruitment of teachers (subject to availability of qualified candidates in at least 1 is to 3 ratio). In this process, it would be easier to get teachers who are not commuters from District Head Quarters. Posting of teachers should also be made with a view of facilitating teachers to stay in their village/near their village. Teachers should be enabled to identify themselves with the community (not political parties or religious groups) in which they function.

• Perceptions on Incentive Schemes

The schools appear to be (45 schools from 15 taluqs of 5 districts in this sample) totally satisfied with the operation of incentive schemes. Dissatisfaction, if any, is highly limited to a few HTs of a few taluqs in regard to timeliness of supply of uniform clothes to children and school bags. However, there is no total convergence between the opinions of HTs and parents and attendance of children to schools. This may be due to the indifference or insensitivity of HTs to the objectives of incentive schemes. Logic of supply of incentives to children needs to be emphasised in orientation programmes for HTs.

• Infrastructure in Schools

LPS Schools

DISTRICT	UK	Bijapur	Kolar	Gulbarga	C'Nagar	Total
LPS Schools	3	3	3	3	3	15
HT Room	-	-	-	-	-	-
Staff Room	-	-	-	-	-	-
Library	-	-	-	-	-	-
Laboratory	-	-	-	-	-	-
How do children sit?						
Bench with desk	0	-	2	-	2	4
Table with desk	0	1	-	1	-	2
Squatting Desks	2	-	1	-	-	3
Carpets	1	-	-	-	-	1
Sitting on Floor	-	2	-	2	1	5
Play Ground	0	2	2	1	0	5
Compound	0	0	2	0	0	2
Staff Toilet	0	0	0	0	0	0
Toils for Boys	0	0	0	0	0	0
Toilet for Girls	0	0	0	0	0	0
Water facility	2	0	2	0	0	4

HPS Schools

DISTRICT	UK	Bijapur	Kolar	Gulbarga	C'Nagar	Total
HPS Schools	3	3	3	3	3	15
HT Room	2	-	-	1	3	6
Staff Room	1	1	-	-	2	4
Library	0	0	0	0	0	0
Laboratory	0	0	0	0	0	0
How do children sit?						
Bench with Desk	2	0	2	2	3	9
Table with Chair	2	2	2	2	3	11
Squatting Desks	2	1	3	3	3	12
Carpets	0	1	0	0	0	1
Sitting on Floor	0	3	0	2	0	5
Play Ground	0	3	1	2	1	7
Compound	1	1	0	1	2	5
Staff Toilet	1	0	1	0	1	3
Toils for Boys	2	0	1	0	2	5
Toilet for Girls	1	0	0	0	0	1
Water facility	2	1	0	1	2	6

Note: Totals of taluks against 5 types of seating facility for children exceed 15 schools/ taluks as an HPS may have more than one type of arrangement for different standards in the **same school**.

DISTRICT	UK	Bijapur	Kolar	Gulbarga	C'Nagar	Total
High Schools	3	3	3	3	3	15
HT Room	3	-	2	2	2	9
Staff Room	3	1	2	2	3	11
Library	0	0	0	0	0	0
Laboratory	0	1	1	0	0	2
How do children sit?						
Bench with Desk	2	2	3	2	3	12
Table with Chair	3	1	3	1	1	9
Squatting Desks	1	0	0	0	0	1
Carpets	0	0	0	1	0	1
Sitting on Floor	0	3	0	0	1	4
Play Ground	3	2	3	2	2	12
Compound	0	0	0	1	1	2
Staff Toilet	1	0	3	0	0	4
Toils for Boys	2	0	2	0	1	5
Toilet for Girls	2	0	1	0	0	3
Water facility	2	1	0	1	2	6

Inferences

Status of schools in regard to infrastructure facilities is very poor in all the schools and especially so at lower levels. Some of the cumulative highlights reveal this fact.

DISTRICT	LPS	HPS	HS	TOTAL
No. of Schools	15	15	15	45
With HT Room	1	6	9	16
Staff Room	1	4	11	16
Library	1	0	0	1
Laboratory	1	0	2	3
How do children sit?				
Bench with Desk	4	9	12	25
Table with Chair	2	11	9	22
Squatting Desks	3	12	1	16
Carpets	1	1	1	3
Sitting on Floor	5	5	4	14
Play Ground	5	7	12	24
Compound	2	5	2	9
Staff Toilet	0	3	4	7
Toils for Boys	0	5	5	10
Toilet for Girls	0	1	3	4
Water facility	4	6	6	16

Status of schools in regard to infrastructure facilities is very poor in all the schools and especially so at lower levels. Some of the cumulative highlights reveal this fact.

In 14 out of 45 schools children squat on the floor. Only 4 schools (out of 45) have toilet for girls. 29 schools do not have drinking water facility. Schools function without a laboratory and a library. Among all the three levels/stages of schooling, the LPS/HPS/HS, the HPS/HS are comparable in terms of facilities (though both of them have poor facility) while the LPS should be a euphemism for a school

In a poor/developing country like India, Karnataka State, there are quite a few knowledgeable persons who believe in the dictum: 'something is better than nothing'. A few years earlier (before 1988) we did not have even these limited facilities. Intellectuals who believe in the dictum: 'nothing is better than non-sense' are branded as cynics. Leaving aside the debate on facilities between the cynics and the faithful it is better to ponder over possible alternatives to improve the state of affairs in regard to strengthening of school facilities.

The first exercise in this direction is to bring out (as has already been discussed in Chapter III) 'A Hand Book of School Quality' and sensitise the stakeholders - parents (of the SDMC), HTs, Teachers, Educational Administrators, Panchayath members at village/taluk/Zilla Panchayath levels and others (concerned) about the concept of quality and need for its enforcement in a pursuit of excellence. Quality in regard to infrastructure facilities, school plant, curricular/co-curricular/teaching-learning process, personality outputs of students would all get into the preparation of this Handbook. A participative technique involving all stakeholders would be appropriate for this purpose.

The schools should engage in Self-Assessment within this normative framework, prepare short-term/long-term plans for its own development, mobilise the support of the immediate community and engage in self-improvement/self-efforts to the extent possible. Evaluation of a school should also be set in a context of its resources/facilities/strengths/limitations/constraints.

Management of Schools

Attendance, Instructional Rooms and Space Use

DISTRICT	Talucs	LPS			HPS			HS		
		Attendance	No. of rooms	Av.St. per room	Attendance	No. of rooms	Av.St. per room	Attendance	No. of rooms	Av.St. per room
U.K	Karwar	20	2	10	117	4+1	29	102	3+2	34
	Bhatkal	67	2	33	407	7+4	58	292	7+3	42
	Haliyal	31	2	16	523	9+1	58	159	3+2	53
Bijapur	Bijapur	49	2+1	25	209	4+0	52	144	4+4	36
	Muddebihal	140	1	140	246	3+0	82	60	3+0	20
	Sindhagi	98	2+1	49	286	6+0	48	193	3+0	64
Kolar	Kolar	45	3	15	176	4+1	44	279	4+0	70
	Mulbagil	22	2	11	158	2+2	79	83	6+1	14
	Bagepalli	42	2	21	192	7+0	27	198	5+4	40
Gulbarga	Gulbarga	113	2+1	57	257	5+0	51	275	4+3	69
	Yadgir	90	2	45	188	6+1	31	81	3+1	27
	Shorapur	80	2	40	233	3+2	78	145	3+2	48
C'Nagar	C'Nagar	45	1	45	511	7+1	73	255	7+2	36
	Kollegal	57	2	29	177	5+3	36	348	6+3	58
	Gundulpet	14	2+1	07	194	7+2	28	313	4+3	78
	TOTAL	-	33	-	- -	97	-	-	95	-

Note: +1, +2, +3, +4,.....in the columns refer to the rooms which are used by the school for non-instructional purposes - HT room, Staff room, Laboratory etc;.

Table above gives information on space use in schools. Information on use of rooms is juxtaposed with normal attendance data (and not enrolment data). Average students per room is also worked out. This is a crude average as it does not take into account drop-out and re-entry information about children.

The table on Space use in schools also reveals the unsystematic way in which rooms are used by schools. Absence of norms on space use may be one of the factors for unsystematic use.

There is a LPS school where hardly 7 children are there per room (LPS, Gundulpet) while there is also a school where there are 140 children dumped in one room (LPS, Muddebihal), most probably a big hall.

Average students per classroom in higher primary schools appear to be more optimal than at the LPS stage. Still, there are schools where around 80 children are there per classroom (HPS, Muddebihal, Mulbagal, Shorapur taluqs). Likewise, there are high schools where the crude average strength is around 70 per classroom (HS, Kolar, Gulbarga, Gundulpet). Some schools manage the strength in available classrooms without bothering about HT room or staff room [Eg: HS Kolar Taluq]. They accommodate 3 standards and multiple sections within 4 classrooms. In this case, it is possible that there are 6 sections for 3 standards (8th, 9th & 10th) which work out to 46 students per section. Note that they are accommodated in 4 sections. They have no choice. Average strength per class is also 70. Alternatively, there are schools which choose to put around 70 children per classroom on an average even though they have 7 classrooms [Eg: Gulbarga and Gundulpet taluqs]. If they have 6 sections for 8th, 9th and 10th standards at an average of 46 and 52 students respectively, they put as of them in 4 sections to make way for HT room, staff room etc.;

Imbalance in class size across the schools of the sample/study is clear and transparent. This imbalance has nothing to do with availability of space. Space use has been subject, perhaps, to the discretion of the HT. In regard to average attendance of children and space use, schools function with varying levels of efficiency.

- Budgeting at all levels – from the school to the DPI – are mostly mechanical expenditure statements. **Most of the schools do not prepare their budgets.** There is no normative framework within which budgets are prepared, at any level. With the creation of SDMC, there is scope for schools to prepare budgets. A review may be made in this regard by end of academic year 2001-2002.
- There is a well set reporting system in the Department. Reporting has become mostly mechanical and routine. It does not become a basis for follow-up actions.
- Head Teachers of Schools are required to maintain 25 to 30 registers. There is no clerical assistance for a primary school. The list of records is as follows:
 1. Children's Enrolment Register, 2. Government Circulars/Orders file, 3. Staff Attendance Register, 4. Standard-wise/section-wise students' Attendance Register, 5. Stores (All Materials of the School) Acquisition and maintenance Register, 6. Library (books and other collections) Register, 7. Marks Register, 8. Teaching Equipments Register, 9. Contingency Expenditures Register, 10. Sports Materials Register, 11. SDMC Account Register, 12. Minutes books of the SDMC Meetings, 13. Public Notices and Staff Memo Book, 14. Visitors' Book, 15. School Inspection Register, 16. Record Book for free distribution of textbooks, work books and uniforms, 17. Fee Collection receipts book and Fee Register, 18. Follow up of

Inspection/Action taken Report Book, 19. Free Distribution of Food Grains Register, 20. DPEP grants, expenditures and materials Register, 21. Village Survey Register (wherever Micro-Planning Exercises have been done), 22. School Properties Records (if the school has any property), 23. School Betterment Committee Register, 24. Annual Plan, Programme of work, School time-table and Institutional plan (if any) Registers, 25. Health Examination of Children Record Book, 26. Leave Register of Staff, 26. Service Registers of self, other teachers and supporting staff.

All the registers are not uniformly maintained by all the schools.

- Financial powers for the HT are very limited. With the creation of the School Development and Monitoring Committees by the government for every school, there has been an improvement in provisions. A review of functioning of the SDMC by the end of 2001-2002 would be required.
- Most of the schools adopt a 'no detention' practice. [At lower levels, there may be a justification, but not at high school level]. This results in a crash at the SSLC examination. An existential sample is presented below:

VIII, IX and SSLC Results, GHS, Raichur

Year	Class	No. Appeared	No. Passed	Percentage of Passes
1998	VIII	90	90	100
1999	IX	85	85	100
2000	X	80	10	12.5

* The school is located on the main road near the Railway Station.

'No detention practice' should be strictly discontinued at the HS level.

- Subject-wise, Teacher-wise, School-wise training needs of teachers to be maintained by all CRCs/BRCs/DIETs (Primary - omit Subject-wise) CTEs (High Schools). Roster of teachers to be computerised. Training all teachers through classroom techniques and Satellite Technology Techniques would be impossible. **Involve NGOs in the field of education in training of teachers. Contract the work to private TCH/Bed colleges/other NGOs.**

No. of Teachers : 210000 }
 Secondary : 90000 } as on 2000 AD
 Higher Secondary : - }

Training Facility

1 IASE; 15 CTEs (HS); 20 DIETs; 190 BRCs; 570 CRCs; (Average)

570 CRCs to train 210000 Primary Teachers

15 CTEs to train 90000 High School Teachers

- 15 per cent of primary and 65 per cent of high schools are under private managements [33 per cent of H.S. are aided]. As of now, there is no training for private school teachers. Private schools have become (commercialised) teaching shops. Education in these schools has become Money-Making (in contrast to what Swami Vivekananda referred as Man-Making) both for managements & the outputs/students/ parents in later life. They are best suited for a comfort living, competitive society. Social purposes of education are lost in most of these schools (Honourable exceptions are Missionary and similar schools). Teachers in private schools need: Sensitivity to Social/national problems, Gender issues, Regional Disparities, Poverty & Inequality, Environmental Degradation, etc;. Government needs to provide ENABLING services to private schools on a Cost-Reimbursement basis. Whatever the government thinks is good for government schools should be applied to private schools also.
- There is no formal arrangement to attend to the training needs of +2 teachers. [Note: Coverage of all degree college Teachers through ASC is leading to a compounding of the wastage of resources].
- The functioning of the Anganwadi Centre should be harmonised with that of the local LPS school. This would release the time of girls from sibling care during school hours.
- Annual health check-up of children in schools should be made an obligatory duty of the district/taluk level health departmental agencies. Initiatives for this should be obligatory for all the schools. A monitoring review should be obligatory for the State educational administration.
- There is a generally shared opinion that the relationship between attendance of children as per the attendance registers maintained in schools and as certified for benefits under incentive schemes - uniforms, MMS - is poor.
- A periodical review of attendance in school and academic performance of students in SW/BCM hostels is necessary. Functional links between the warden of the hostel and HT of the HPS/HS is required for this purpose.

MISCELLANEOUS CONCERNS

- (Several) Personnel of the department are engaged in tasks/functions which are not originally expected of them. Alternatively, they are not able to adequately and efficiently carry out functions for which they are appointed.

Eg: 1. SIs of schools, EOs, BEOs, DDPI, CRCs

2. DME, DVE

Officers are not lazy or insincere. Some of them work for nearly 10 to 12 hours a day.

- It is significant to note that the DDPI (for the district), BEO (for the taluk) and Head Teacher (for the school) are not held accountable for the learning attainments of students/school final examination results.

School Inspection and Supervision needs to be privatised.

- The CPI/DSERT needs to evolve (through workshop mode) three documents:
 - (a) 'A HANDBOOK OF SCHOOL QUALITY' for LPS, HPS and HIGH SCHOOLS. Begin with High Schools.
 - (b) 'A GUIDEBOOK OF SCHOOL INSPECTION'.
 - (c) "A HANDBOOK ON AWARD (FOR INNOVTIONS) FOR TEACHERS"
- A pool/panel of private, registered, Inspectors/Supervisions of Schools willing to work on contract basis may be developed – Block/District-wise.

Every school shall subject itself to inspection/supervisors. Government shall pay for government schools. Managements shall pay for the private schools. The teams will report to the DBE.

Privatisation of Inspection/Supervision shall begin on an experimental basis in educationally advanced regions and at the high school level. Later, it can be extended to other regions/levels on the basis of initial experiences.

- There is a need to bring out A Handbook/Manual/Guidebook on State Awards for Teachers for 'INNOVATIONS'. As of now, the response to this scheme (KSTBF) is very poor. Number of entries are low and the received entries do not fit into expectations.

Community contribution to Schools

Village Communities do contribute to the improvement of infrastructure facilities in schools.

DISTRICT	TALUQS	LPS	HPS	HS
U.K	Haliyal	-	-	Furniture
	Bhatkal	-	Furniture	-
Bijapur	Bijapur	-	Furniture/others	Toilets/ Furniture/ Teaching Aids/Others
	Muddebihal	-	Compound	Others
Kolar	Kolar	Furniture	Furniture	Furniture
	Bagepalli	-	Furniture	Furniture
	Mulbagilu	-	-	Furniture/others, Teaching Aids
Gulbarga	Gulbarga	-	Furniture	Classroom, Furniture
	Yadgir	-	-	Others
C'Nagar	Kollegal	Others	Toilet/Others/ Compound	-
	C'Nagar	-	Furniture/others	Furniture/others

Contribution	LPS	HPS	HS	TOTAL
Furniture	1	6	7	14
Teaching Aids	-	-	2	2
Compound	-	2	-	2
Toilet	-	1	1	2
Classrooms	-	-	1	1
Others	1	3	5	9
TOTAL	2	12	16	30

DEMAND AND SUPPLY OF TEACHERS IN KARNATAKA STATE (2001 AD)

NORM 1 TEACHERS – STANDARD RATIOS

	No.	Standards	1 Tr./ Required Standard	T's in Position	Gap
LPS	22303	89212	-Do-	-	-
HPS	27611	191277	-Do-	-	-
Total	49914	280489	280489	210000	70489

NORM 2 ENROLMENTS; TEACHER – PUPIL RATIOS

2001 AD	842000	Children in schools LPS + HPS
	210000	Teachers in position
	41:1	Average Pupil Teacher Ratio for the State
	25:1 to }	
	30:1 }	Advanced Countries Average

Note: The problems are of two types

- Balanced Deployment of Teachers
- Imbalance in School-Size
Unviable schools

27000 Villages/29000 Habitations/49900 Schools

LITERACY RATES

TABLE 1 Literacy Rates 1961 to 2001

	1961	1971	1981	1991	1996	2001
Male	42.29	48.51	58.73	67.26	73.75	76.29
Female	16.70	24.56	33.17	44.34	52.65	57.45
Total	29.80	36.83	46.21	56.04	63.42	67.04

Source: 'Human Development in Karnataka 1999', GOK, 1999 and Census of India, 2001.

Literacy has moved up from 30 per cent in 1961 to 63.42 per cent by 1996. Male-Female differentials are narrowing though they are higher than 21 per cent for the State. Regional disparities are also quite high wherein Raichur District has recorded 36 per cent while Bangalore District displays 76.3 per cent literacy.

PRIMARY EDUCATION

Primary education has by and large remained as a responsibility of the State, though the proportion of private primary schools has increased from 3.91 per cent in 1969 to 14.16 per cent by 1998.

PRIMARY SCHOOLS

TABLE 2 Primary Schools (I TO IV, I TO V AND I TO VII)

	1969	1981	1987	1994	1997	1998	2000
Govt.	30991	33205	35304	35559	38866	40259	-
Private	1228	1911	3629	4681	6201	6641	-
Total	32219	35116	38933	40240	45067	46900	48716
% Govt.	96.19	94.56	90.68	88.37	86.24	85.84	-

Source: Commissionerate of Public Instruction, GOK.

Table 2A Break-up of 6641 Private Schools, 1998

	Aided	Unaided	Total
LPS	378	1510	1888
HPS	2058	2695	4753
Total	2436	4205	6641

Source: Commissionerate of Public Instruction, GOK.

The State Government adopted a policy of providing a primary school for a population of 200 persons as against the Government of India norm of 300 persons.

The Sixth All India Educational Survey of 1993 update for Karnataka State indicated that 91 per cent of the population within the State are served by a primary school within the habitation itself while another 5 per cent had to walk a distance of only 1 kilometer for a school. Over 60 per cent of the population are served by a higher primary school within the habitation itself while another 25 per cent had this facility within a walking distance of 3 kilometers. Government schools absorbed 90 per cent of children at the lower primary stage in rural areas while the private schools attracted 50 per cent children in urban areas. Corresponding figures for higher primary stage are 90 per cent for government schools and 55 per cent for private schools. The Government runs 85 per cent of the lower primary schools in the State while the rest are private aided and self-financing (unaided) schools.

With the demand for schooling catching up, there has been a conversion of lower primary schools into higher primary schools in recent years. As such number of higher primary schools have gone up relative to the decline of lower primary schools. The decline of primary schools may also be a result of declining growth rates in population in the State. The following table indicates the rise of higher primary schools relative to the decline of lower primary schools.

TABLE 3 Growth of Primary Schools

	92-93	93-94	94-95	95-96	96-97	97-98	98-99	99-2000	2000-01
No. of LPS	23383	22678	22768	23447	24671	23116	23226	22342	22303
No. of HPS	17157	18916	18916	19032	20345	23859	24909	26374	27611
Total PS	40540	41594	41684	42479	45016	46975	48135	48716	49914

Source: Commissionerate of Public Instruction, GOK.

Slight variation between Table 2 and table 3 in figures may be tolerated as data have been collected at two different points of time during the same year.

40 per cent of the lower primary schools are again provided with a fifth standard in order to gradually move towards 5+3+2 pattern of school education.

Incidentally, 2885 Head Teachers working at the lower primary level, nearly 13 per cent, are also teachers cum peons, cum physical education masters cum music teachers cum clerks as they are heads of Single Teacher Schools.

TABLE 4 Growth of Primary Teachers in the State

	1967	1978	1987	1994	1998	2000	2001
Male	70924	76558	79439	86620	108239	-	-
Female	20320	30250	43303	59904	83690	-	-
Total	91244	106808	122743	1465824	191929	2,10000	234100
% Female	22.27	28.32	35.28	40.86	43.60	-	-

Source: Commissionerate of Public Instruction, GOK.

There has been a steady growth of teachers. The average annual growth of teachers between 1966 to 1998 has been 3.56 per cent, wherein the growth of male and female teachers is 1.70 per cent and 10.06 per cent respectively. Table 5 shows that the number of teachers recruited has been quite high during the decade following 1990.

I to VII Stds.

TABLE 5 Growth of Teachers 1992 to 2000

	1992-93	93-94	94-95	95-96	96-97	97-98	98-99	99-2K
Teachers in position	143000	143000	148000	164000	176000	191000	204000	210000
Teachers recruited	6811	6812	16863	8527	17997	31010	-	10334

Source: Commissionerate of Public Instruction, GOK.

A total of 98354 teachers have been recruited after 1992-93 and upto 2000AD. Total attrition of teachers during this period has been 31354 giving a net strength of 210000 teachers.

TABLE 6 Enrolment in Primary Schools: (in millions)

	66-67	77-78	80-81	86-87	93-94	97-98	99-2k	2k - 2k1
Boys	2.08	2.78	2.84	3.30	4.09	4.32	-	4.39
Girls	1.43	2.00	2.15	2.60	3.49	3.90	-	4.03
Total	3.51	4.78	4.99	5.90	7.58	8.22	8.67	8.42

Source: Commissionerate of Public Instruction, GOK.

8.67 million children are in school by the turn of the century. Disparities between boys and girls have been reducing over the years. Enrolment has grown at a crude annual average rate of 4.33 per cent, 3.51 per cent and 5.47 per cent respectively for total, boys and girls. Enrolment in primary education will be on a path of decline hereafter as there has been a deceleration in population growth in the State in the last decade. Total enrolment came down from 8.62 million to 8.47 million. This is not because of increasing non-enrolments or drop-out rates.

Though 8.67 million children are enrolled in schools in 2001 AD, it is noted that around 2.61 million children are estimated to be out-of-school of who 1.53 million are girls. The figure of 2.61 million comprises 1.29 million drop-outs and 1.32 million never enrolled children. Gross enrolment ratio in I to VIII standards is estimated to be around 92 per cent, by 1996-97. However, net enrolment ratios are 65.3 per cent for rural areas and 82.4 per cent for urban areas in I to VIII standards. Overall ratio is 72.28 per cent.

TABLE 7 Drop-out Rates in Primary Schools

	1992-93	1994-95	1996-97	1998-99	1999-2000
I to IV					
Boys	24.89	23.39	16.54	14.24	14.24
Girls	29.44	30.31	23.16	12.32	11.55
Total	27.03	26.69	19.69	13.34	12.93
I to VII					
Boys	43.84	47.14	45.65	38.68	34.59
Girls	54.22	51.13	48.00	43.27	37.54
Total	48.71	49.05	46.81	40.83	35.99

Source: Commissionerate of Public Instruction, GOK.

One out of four children were dropping out from schools by the time they completed the IV standard even as recently as in 1992-93. Girls dropping out were higher than that of boys. By 2000 AD the figure came down to less than one out of eight children. While, the dropout behaviour of boys is steady in the last two years, there has been a steady and continuous decline in dropout behaviour of girls.

Every alternate student dropped out by the time s/he reached the seventh standard. This has come down to one out of every three students at present. Assuming a steady rate of 36 per cent dropouts in primary education (I to VII) standards, it may be estimated that out of 8.67 million enrolments 3.12 million dropout of schools. If we add to this figure, 1.32 million never enrolled school children then the total out of school children would have been an additional 4.44 million children. The facilities created and the teachers supplied (teacher-pupil ratios) are felt to be inadequate for the existing effective enrolments of children which is 5.55 million. It is difficult to imagine the additional demand for school facilities and teachers if even these 4.44 million children were in schools and if the dream of universalisation of primary education became a visible reality.

ATTAINMENTS OF CHILDREN IN PRIMARY EDUCATION

Achievement levels of children in primary schools of the State in Language and Mathematics are highly unsatisfactory as shown by base-line achievement level studies. The average number of correct responses for class II is 50 per cent and that for class IV is 35 per cent. Base-line studies were done in 1994-95 and 1997-98. A Mid-term Assessment Survey of Attainments (MAS) in the DPEP districts of several States of India including Karnataka State was made by the GOI. MAS data covered 80906 students, 8003 teachers and 2781 schools spread over 56 districts of 8 DPEP States. Sample coverage is as follows:

TABLE
State-wise Distribution of Total Sample in which MAS test administered

Sl. No	State	No. of District	No. of Schools	No. of students		No. of Teachers
				Class I/II	Class III/IV	
1	Assam	6	300	3184	2753	612
2	Haryana	3	150	2304	2564	507
3	Karnataka	7	342	5459	6902	1374
4	Kerala	3	150	2757	3920	689
5	Madhya Pradesh	15	739	9703	10073	2198
6	Maharashtra	4	200	3102	3930	691
7	Tamil Nadu	3	150	2393	2924	467
8	Uttar Pradesh	15	750	10139	8799	1654
	Total	56	2781	39041	41865	8192

Source: DPEP Calling, November 2000.

Performance of Karnataka State in regard to attainment levels is very poor. It is the poorest among the 8 States under survey.

MAS 2000, AVERAGE PERFORMANCE

56 DPEP districts, 80906 students, 8003 teachers, 2781 schools
Performance in Language and Mathematics
expressed in percentage ranges, class I and class III and IV

States of India	Class I		Class III and IV	
	Language	Mathematics	Language	Mathematics
Assam	64.4 to 76.98	70.84 to 82.54	46.33 to 58.01	46.07 to 57.27
Haryana	56.62 to 64.87	56.19 to 66.43	45.95 to 50.00	36.44 to 40.84
Kerala	71.66 to 81.25	73.02 to 76.06	54.74 to 59.19	50.45 to 56.92
M.P.	52.48 to 81.83	54.91 to 80.44	29.39 to 64.38	23.84 to 75.11
Maharashtra	65.21 to 77.69	67.49 to 76.35	47.02 to 76.35	37.36 to 62.04
Tamil Nadu	72.42 to 83.94	74.01 to 80.05	74.01 to 80.05	48.14 to 56.76
U.P.	55.72 to 88.87	58.91 to 85.11	58.91 to 85.11	31.78 to 60.44
Karnataka	42.61 to 59.67	48.32 to 66.56	48.32 to 66.56	26.92 to 55.55

- Note: 1. Assam, Kerala & Maharashtra denote Class III performance; Haryana, MP, UP, Karnataka and Tamil Nadu denote Class IV performance,
2. Comparison of Class IV MAS performance, 2000 AD with Class IV MAS performance, 1997 AD, in Karnataka showed that all the 5 districts (1997, I Phase) recorded a significant decline in language achievement. This has been true in case of 2 districts of the State in regard to Mathematics attainment.

Teacher-Pupil Ratios

TABLE 8 Teacher -Pupil Ratios in Primary Education

1980-81	1990-91	1997-98
44	50	43

Source: Commissionerate of Public Instruction, GOK.

Teacher pupil ratios during 1980-81 were lower than that in 1990-91 because enrolments were low and well within 5 million children. But enrolments picked up after 1986, the year of the National Policy on Education while recruitment of teachers did not keep pace even with the implementations of Operation Black Board strategy. However, by 1997-98, the momentum for recruitment of teachers had picked up and ratios came down. In spite of reinforced recruitment of teachers in the last few years the ratio remains at 43 students for every teacher in the primary schools.

Teacher-Pupil ratios will not adequately capture the quality of transactional processes in the classroom. Another indicator of value would be teacher-standards ratios. How many standards do teachers have to teach at a given point of time? In single teacher schools, whose figure is 2885 in the state, one teacher has to manage four standards.

Karnataka has set a goal/norm of one teacher per standard of instruction. It has a long way to go to reach this goal.

TABLE 9 Training status of Teachers

	LPS		HPS		Total	
	No. of Teachers	% Trained	No. of Teachers	% Trained	No. of Teachers	% Trained
1986	-	91	-	94	122743	-
1999	60540	100	142580	100	203220	100

Source: Commissionerate of Public Instruction, GOK.

Karnataka has been a well performing state in so far as the status of teachers in regard to training. It had crossed the 90 per cent mark even by 1986, the year of adoption of the National Policy on Education. By the turn of the century, there are no untrained teachers teaching at elementary level. This is true of secondary schools also.

Secondary Education

Standards VIII, IX and X constitute secondary education in the State. But most of the secondary schools carry the higher primary and lower primary stages along with them.

SECONDARY SCHOOLS

TABLE 10 Growth in the No. of Secondary Schools

	1968-69	1980-81	1993-94	1996-97	1997-98	1999-00
Govt.	611	1615	2081	2397	2637	2667
Private	1219	3239	4065	5049	5531	5480
Total	1830	4854	6146	7446	8168	8147

Source: Commissionerate of Public Instruction, GOK.

It may be noted that participation of the private sector in secondary education is quite high. It is more than double the number of government schools. Overall annual growth rate of secondary schools during 1968-69 to 1997-98 has been 11.17 per cent wherein the rates for government and private schools are 10.70 per cent and 11.41 per cent respectively.

TEACHERS IN SECONDARY SCHOOLS

TABLE 11 Growth in Secondary School Teachers

	1960-61	1968-69	1986-87	1993-94	1999-2000
Male	8544	16398	23222	42455	60000
Female	2090	4200	7172	16816	30000
Total	10634	20598	30394	60271	90000
% Female	19.65	20.39	23.60	27.90	33.00

Source: Commissionerate of Public Instruction, GOK.

90,000 teachers are serving in the 8168 secondary schools of the state of which 30,000 are women. The annual growth rate of high school teachers during the period 1960-61 to 1993-94 has been 14.14 per cent. With a weak base, the growth rate of women teachers during the reference period has been steadily improving with an annual rate of 21.35 per cent.

The number of secondary school teachers has grown from 10634 to 90,000 in a period of 40 years. The inadequate success of elementary education has been one of the reasons for a slow growth of secondary education.

TABLE 12 Enrolment in Secondary Schools

	1966-67	1977-78	1980-81	1990-91	1997-98	1999-2k
Boys	324119	413856	503482	849696	885571	-
Girls	114268	220721	286378	511070	672164	-
Total	438387	634577	789860	1330766	1557735	9912703
% Girls	26.07	34.78	36.00	38.40	43.1	

Source: Commissionerate of Public Instruction, GOK.

Enrolment of students has grown by 3.55 times in a period of 31 years. Proportion of girls has been steadily rising from 26.07 per cent in 1966-67 to 43.1 per cent in 1997-98. As of 1998, there are 1.56 million students in 3 standards of secondary education. This enrolment is against an enrolment of 8.67 million students in I to VII standards of elementary education in the state. Flow of students from elementary education to the secondary level is hardly around 20 per cent. Average annual growth rate in enrolments during 1966-67 to 1997-98 has been 8.24 per cent while the figures for boys and girls are 5.59 and 15.75 per cent respectively.

TABLE 13 Teacher-Pupil Ratios in Secondary Education

1980-81	1990-91	1997-98
26	35	23

Source: Commissionerate of Public Instruction, GOK.

Teacher – pupil ratios in secondary education has improved after 1986, the year of adoption of the National Policy on Education. If the decade of the eighties is a decade of expansion of secondary education, the decade of the nineties has been one of consolidation of gains.

Attainments of Students in Secondary Education

There is a State-level public examination at the termination of tenth standard of schooling, known as Secondary School Leaving Certificate Examination, SSLC. A pass in SSLC is the minimum qualification prescribed for organised sector employment. The Secondary Education Examination Board, a quasi-government organisation, conducts this examination. Percentage of results obtained by a school at the SSLC examination and the distinction obtained therein is treated by the general public as a reflection on the quality of the school.

It may be observed from table 12 that, except for one year, the state has recorded less than 50 per cent results at the SSLC examination. Analysis of data has revealed that there are variations across the districts, between the sexes and caste groups and across subjects. Mathematics and English record high failures. The management of the schools has been a significant variable in SSLC results. In a declining order of performance, Private self financing schools, private aided schools, Government Urban schools, Government Rural Schools and Corporation Schools, show up SSLC results. Children residing in slum areas mainly attend Corporation schools. [Details of results/ data not provided here].

TABLE 14 * Results of SSLC Examination 1996 to 2000

Type of Information		1996	1997	1998	1999	2000
Overall Results		43.46	45.33	44.55	56.72	51.85
Districtwise results -						
	} Good	7	4	7	6	5
No. of districts	} Average	3	9	5	8	10
Which are	} Poor	11	8	9	7	6
Rural	Boys	38.15	37.63	39.18	52.94	47.00
	Girls	41.47	40.70	42.01	55.72	49.75
Urban	Boys	47.75	45.97	49.50	57.87	54.51
	Girls	53.41	52.05	54.58	62.33	57.96
Govt.	Boys	28.93	31.51	32.67	46.53	29.31
	Girls	31.93	33.93	34.76	48.32	41.72
Aided	Boys	34.88	36.40	31.51	52.57	31.16
	Girls					
Unaided	Boys	58.00	60.27	60.31	65.76	63.57
	Girls	62.01	64.14	61.21	68.10	64.22
SC	Boys	29.33	31.00	30.72	43.15	39.23
	Girls	31.37	32.80	32.62	44.21	39.47
ST	Boys	29.85	32.69	32.29	42.76	39.48
	Girls	34.38	36.17	36.51	46.30	42.50

Source of basic data: KSSEEB, GOK.

Good = More than 5 per cent results than State average.

Average = Between 5 per cent less or more than State average.

Poor = Less than 5 per cent results than State average.

Pre-school Education

There are two types of pre-school education in the State. There are over 5000 pre-primary schools run by the Department of Education, which are spread across the State and mostly in urban areas. Otherwise, there is a chain of Anganwadi schools run under the Integrated Child Development Services scheme by the Department of Women and Children's Welfare. There are nearly 45000 Anganwadis spread across 29000 villages of the State. Coverage of children in the 4 to 6 age groups is around 80 per cent.

Vocational Education

Karnataka has been one of the early adopters of the centrally sponsored scheme of Vocational Education since 1978. As per periodical reviews, Karnataka has been one of the successful States in vocationalisation even with around 10 per cent of total enrolments at the +2 stage in vocational courses.

There are 642 Institutions at the + 2 level which offer vocational courses. They have an aggregate enrolment of 45687 (23053 I Year and 22634 II Year) Students.

TABLE 22 Institutions and Enrolments in Vocational Education

	PDC/J.C	+2 HSC	Total	Colleges with V.E	Degree Colleges	Degree Colleges with V.E
Institutions	360	1497	1857	642	916	112
Enrolments	171600	271049	442654	45687	346677	2500

Source: 1. Selected Educational Statistics, 1997, MHRD, GOI.

Directorate of Vocational Education, GOK, 2000.

Out of a total of 1857 institutions at the +2 level percentage of institutions which offer vocational courses works out to be 34.60. Percentage of enrolment in vocational courses at +2 level works out to be 10.30. Proportion of colleges which offer vocational courses at degree level works out to be 12 per cent while proportion of enrolment in vocational courses at degree level stands at 0.7 Per cent.

Literacy and Non-formal Education

Karnataka has gone in a big way for literacy campaigns. It has not been sympathetic to the centrally sponsored programme of non-formal education to non-enrolled and dropout children. The NFE programme has not been in operation since 1988.

Non-Governmental Organisations in Education

Before an attempt is made to describe the contributions of non-governmental organisations (NGOs) to education in the State it is essential to clarify on the concept of NGOs. There are variety of usages in NGO literature such as Voluntary Organisations (VO), Non-Governmental Development Organisations (NGDO), Private Enterprises, Intermediary Organisations etc;. In this analysis, NGOs are confined to the concept of private enterprise, by and large. Whenever a reference is made to efforts other than by private enterprise, it will be made explicit.

Private enterprise has an uneven spread in the State because of historical reasons. Out of the (27 districts of the State as at present) 20 districts of the State (before 2000 AD reorganisation), private enterprise was strong in the British Presidency ruled Madras - Karnataka region/Dakshina Kannada District (now Mangalore and Udipi districts) Bellary district as well as Bombay-Karnataka region/North Kanara, Belgaum, Bijapur and Dharwad (now North Kanara, Belgaum, Bijapur, Dharwad, Bagalkot, Haveri and Gadag) districts. In the Princely State of Mysore (earlier Bangalore, Mysore, Mandya, Hassan, Tumkur, Kolar, Shimoga, Chitradurga, Chikmagalur and now in addition Davanagere and Chamarajanagar) and in Hyderabad -Karnataka region (earlier ruled by the Nizam of Hyderabad to which Bidar, Raichur and Gulbarga, in addition to the newly carved out Koppal districts) the private enterprise is quite low. This is true of Coorg district also. Since independence, there has been a spurt in private enterprise, which gained momentum in the 1980s. Religious institutions, Mattah (as pronounced in Kannada

but written as Maths) have contributed immensely to the growth of education in the State. Jagadguru Shivarathreeswara Peetha of Suttur, the Siddaganga Math at Tumkur, the Adichunchanagiri Math at Yadiyur, the Sarana Basaveshwara Math at Gulbarga, the Tontadarya Math at Davanagere, the Sirigeri Math at Chitradurga, the Sri Saila Math at Haarihara, the Madhwa Mutts of Udipi have established a large number of educational institutions, provided free hostel facility to poor students. In addition, the Anjuman-e-Islam society, the Al Ameen Society at Bangalore, the Catholic Christian Organisations of the State (Society of Jesus, Apostolic Carmel) have also contributed to the growth of education. The Manipal Academy of General Education (founded by Dr.T M A Pai), the Hyderabad Lingayat Education Society, the Karnatak Lingayat Education Society, BLDE Trust, Bijapur, SDM Trust, Dharmastala the Siddhartha Education Society, Tumkur, the Panchajanya Education Society, Bangalore, RV Trust, BMS Trust, PES Education Society, Vidya Vardhaka Trust are all illustrations of private enterprise in the State. It is quite possible that a large number of Trusts have not been mentioned here for want of space.

It is well worth noting that private enterprise is mostly in the secondary, higher and professional education sectors. Primary education has by and large remained a responsibility of the State. 86 per cent of primary schools in the State are government schools.

There are also other NGOs (not private enterprise) who are engaged in promotion of adult literacy and primary education in the State. The Citizen's Initiatives for Elementary Education promoted by MAYA (Movement for Alternatives and Youth Action) is illustrative in this context. The ACTION AID, a well-known NGO is financing micro-educational projects. The case of SAMOOHA in Devdurg Taluk of Raichur district, where at a very low cost unemployed youth of the villages are helping the regular elementary school teachers/children in their work, is worthy of mention. The Government initiated a new scheme in education in May 2000 wherein Corporate houses, NGOs and philanthropists can adopt schools. Adoption means entering with the Government into a Memorandum of Understanding whose life is for an initial period of two years and which is renewable later depending upon interest and performance. Donors can construct or renovate school buildings, give computers/equipments/furniture, contributions to extension of school buildings/construction of compound wall, run night schools for children and do similar useful work. In return, they can display their/their parents/wards/..... names on the school board/classrooms. They can experiment with innovative teaching methods with the involvement of the school teachers/head teacher. Government schools are exposed for adoption. The Government continues to pay teachers' salaries for sanctioned posts. Donors can hire additional teachers. Nearly 400 schools have been adopted so far in different parts of the State. PACER FOUNDATION, PES Institutions, Bhoruka Charities, Lions Club, Child Care India are some of the names of adopters.

Resources for Education

Four tables are presented incorporating data on expenditures of the Government of Karnataka in the Education sector. Following insights are derived from an examination of these tables.

The Government of Karnataka spends 3.20 per cent of its total State domestic product on education. This has gone up from 1.60 per cent in 1960-61 to the present level (Table 2). The share of the budget expenditures on education has oscillated between 15.73 to 16.58 per cent in the last 20 years. It stood at 16.58 per cent in 1999-2000. In actual figures the expenditure has gone up from Rs.12.79 crores in 1960-61 to Rs.2955 crores in 1999-2000. The total outlay on education (Rs.2955 crores, Table 1) is distributed as 84.38 per cent for non-plan and 15.62 per cent for plan. The non-plan component is more than 84.38 per cent as teachers have been appointed and salaries paid to them even under Plan account. In fact salary expenditures out of total earmarked outlay for primary, university and Technical Education works out to be 86.71, 98.31 and 91.13 per cent respectively (see note under Table 3).

52.66 per cent of the total outlay on education goes for primary education and 31.06 goes for secondary education. With an 11.89 per cent outlay on university education, the total outlay on general education (primary, secondary and university) works out to be 95.61 per cent (see Table 3).

Total contributions to the state from outside the Education Department of the Government (excluding private sector) through National Literacy Mission, District Primary Education Project, Centrally sponsored schemes, Scholarships and Hostels will add up to nearly Rs.460 crores which will be around 15 per cent of the total expenditures [Note: There is a clear conceptual difference between outlay and expenditures which is not maintained in the data presented here].

Karnataka's per capita student expenditure on education (Rs.277 in 1992-93) is far less than that in Haryana (Rs.296), Tamil Nadu (Rs.298), Maharashtra (Rs.313) and Kerala (Rs.368). [Source: World Bank report No.15756 - India Primary Education: Achievements and Challenges]. As a source of income tuition fee accounts for less than 0.5 per cent of the total State expenditures on education (Table 4).

TABLE 1
RESOURCES for EDUCATION

General Update	1999-2000 (in crores)	
	Actuals	Percentages
Total State Budget Expenditures	17819.00	
Revenue Expenditures	15391.00	86.00
Capital Expenditures	2428.00	14.00
State Annual Plan Outlay	5488.00	
State Outlay on Education	2955.00	
Outlay on Education as proportion of Total State Budget Expenditures	-	16.58
Non-plan outlay on Education	2493.50	
Plan outlay on Education	461.50	
Non-Plan outlay as % of total Education Expenditures	-	84.38
Plan outlay as a percentage	-	15.62
Plan outlay on Education (461.50) as proportion of total plan outlay (5488.00)	-	8.40
Distribution of plan outlay (461.50) for State sector (out of 5488.00)	289.80	5.30
for District sector (out of 5488.00)	171.70	3.10
Other Budgetted outlays		
National Literacy Mission (GOI share)	48.13	-
Centrally Sponsored Schemes	115.74	-
DPEP (cumulative)	216.78	-
DPEP (1999-2000)	21.48	-
Scholarships and Hostels	78.59	-

TABLE 2
State Expenditure on Education over the years

Years	(in crores)	As % of State Budget	As % of State GDP
1960-61	12.79	11.61	1.60
1970-71	53.78	17.64	2.48
1980-81	167.78	15.73	2.70
1990-91	759.54	16.42	3.25
1996-97	1806.00	15.90	3.19
1999-2000	2955.00	16.58	3.20

Note: Expenditure at the All India level on Education as proportion of GDP is 3.8 per cent.

TABLE 3
Sector-wise outlays on Education 1999-2000 (in crores)

Level	Plan	% to Total	Non-Plan	% to Total	Total	% to All Total
Primary	303.71	19.5	1253.10	80.5	1556.21	52.66
Secondary	78.97	8.6	838.87	91.4	917.84	31.06
University & Higher	20.26	5.8	331.08	94.2	351.34	11.09
Technical	10.61	16.8	52.50	83.2	63.11	2.14
Adult	3.43	-	2.81	-	6.25	0.21
Lang. Dev.	3.74	-	11.70	-	15.44	0.52
General	41.58	-	3.42	-	44.98	1.52
Total	462.28	15.63	2493.48	84.37	2955.17	100.00

Note: Salary expenditures are the Non-Plan component. Salary is paid under Plan component also to primary education. Total Salary expenditures thus work out to 86.71 per cent. Salaries paid under plan grants in Collegiate Education and Technical Education bring the proportion of total expenditures on the two sectors to 98.31 per cent and 91.13 per cent respectively.

TABLE 4
Share of Fees in Total Resources 1999-2000 (in crores)

Primary	Secondary	University	Technical	Total
Free	9.37	1.76	2.30	13.43

Total Public Expenditure on the sector: 2955.17 crores

EDUCATION IN KARNATAKA STATE: ISSUES AND CONCERNS

There are several concerns in education in the State which are commonly shared in most parts of the country. There are also certain State-specific concerns and issues. They are discussed here.

1. The most important concern of the State in education is the Universalisation of Primary Education and full literacy. This is integral to the goal of Education For All. As has already been noted, 2.61 million children are still out of school. Getting them to school and more importantly, making them and the rest to stay in school is a formidable challenge. This challenge is also related to the quality of schooling and the learning that takes place within the schools. Baseline surveys of attainments have shown Karnataka in poor light. There can be no better incentive to schooling than learning. Learning is a self-reinforcer. The school needs to be made accountable for the tasks to which it has been established which includes learning apart from other aspects of total personality development. Accountability can be sought from those who are responsible for a given set of tasks. There can be no responsibility without associated powers. The school

needs to be empowered and made accountable. Head teachers and teachers function within communities. The communities and the school teachers therein need to be enlightened and empowered to develop a sense of ownership of the school, develop a vision of their goals, work towards the goals, engage in continuous self-analysis in regard to their own self-set goals for the school, for children, monitor and evaluate their own work, and plan follow-up actions. This should be a continuous process. The problems of universalisation have to be solved by a community (village/slum/tribal pockets) at its level. The government and its institutions can lend supportive hand and play facilitative role. Moving towards this style of functioning is the greatest challenge of education.

2. Karnataka has a specific problem in regard to the structure of education. The present 4+3+3 structure is distinct from the 5+3+2 structure adopted in most of the States? As of now nearly two-thirds of 4 year lower primary schools have been extended upto the 5th standard. This has not solved the problem of structures completely. The Constitution of India has specified universalisation of elementary education upto the age of 14 years, which means 8 years of length of education. Karnataka's length of elementary education is only for 7 years. The State needs to tide over this problem and conform to the expectations of the Constitution. This will be a challenge for the educational administration of the State in the foreseeable future.
3. Karnataka has an estimated 18 million illiterate persons by the turn of the century. The initial euphoria associated with literacy campaigns has waned. Non-enrolment of children to schools and drop-out phenomenon will continue for some more time which eventually adds to the volume of illiterates. There is no non-formal education component for non-enrolled and drop-out children. The State believes in the value of 'good' quality primary education (as against 'sub-standard' NFE) which it is still trying to provide. [One redeeming feature is that the minimum entry qualification for elementary school teachers is 12 year of education followed by 2 years of training and it needs to be noted that all teachers in the State are trained.] Overall dropout figures and figures of non-enrolment of children should be added to backlog of illiterates to get an idea of the challenge of illiteracy in the State. Perhaps, literacy campaigns have to be sponsored by the state itself through the composition of a State Literacy Mission. The on-going work in post literacy and Continuing Education also can be strengthened through the State Mission.
4. As in many other parts of the country, the population growth rate in Karnataka is also declining. It is expected to stabilise by 2016 AD. That is, the Net Replacement Rate may be a unity by that year. The projected growth of school age population is given below.

TABLE 23 Projected Child Population in Karnataka and India (millions)

6 to 11 age group	KARNATAKA			INDIA		
	TOTALS	BOYS	GIRLS	TOTALS	BOYS	GIRLS
1996	6.19	3.13	3.06	121.89	63.34	58.54
2001	5.78	2.93	2.85	118.26	60.42	57.84
2006	4.95	2.52	2.43	106.95	54.78	22.17
2011	4.94	2.52	2.42	109.13	56.04	53.09
11 to 14 age group						
1996	3.53	1.80	1.73	65.84	34.85	30.96
2001	3.73	1.87	1.85	74.77	38.49	35.98
2006	3.37	1.71	1.66	69.36	35.32	34.04
2011	2.85	1.45	1.40	62.52	32.10	30.42

Source: Selected Educational Statistics, MHRD, GOI, 1997

[Original data from Registrar General, Census of India, GOI]

As of now, there is inadequacy of facilities in so far as teacher-standard and classroom-standard (standard refers to the lower and higher primary standards) ratios are considered. But it would be uneconomical to create facilities without taking into account the demand for primary education in the future. Karnataka may face a problem of unviable schools as is now being faced in Kerala. To assess the future needs for places in primary education across various regions of the State and then plan for their provision is a real challenge. In fact, with the expected success of universalisation of primary education, there is a possibility of increasing (galloping) demand for secondary education.

The percentage of enrolments that get reduced over a period of 15 years from 1996 to 2011 in Karnataka (and India) assuming full enrolment of the respective age-group is as follows. 1996 eligible population is taken as the base year population of 100 units. Analysis is based on computation from Table 23.

TABLE 24 Reduction of Pressures on Enrolment 1996 to 2011 (Percentages)

LPS (6 to 11 Yrs) population	KARNATAKA			INDIA		
	TOTAL	BOYS	GIRLS	TOTAL	BOYS	GIRLS
1996	100	100	100	100	100	100
2011	79.8	80.0	79.0	90	89.8	91.7
Reduction (in 15 years)	20.2	20.0	21.0	10.0	10.2	8.3
HPS (11 to 14 Yrs) population						
1996	100	100	100	100	100	100
2011	80.8	80.5	86.7	95	92.1	98.3
Reduction (in 15 Yrs)	19.2	19.5	13.3	5.0	7.9	1.7

It may be observed from table 24 in contrast to All India trends the enrolments in Karnataka in lower primary education (I to V standard) will get reduced by more than 20 per cent by 2011. By 2000 AD there was 13 per cent non-enrolment (never enrolled) of children in schools. Even if they are accounted for by 2011, the pressure on school facilities would be far too less and this trend will continue. But the position in regard to higher primary education in the State may not be so bright (as compared to IAS) even though it would be distinctively better as compared to the All India situation. The scenario projected herein is based on crude analysis. Even this crude analysis will show the nature of challenge to be assessed and planned for. Provision of additional facilities will have enormous implications for expenditures. Meaningful costing of education based on dependable estimates would be highly cost-efficient. Arriving at such meaningful estimates is a highly sophisticated and challenging exercise.

5. Demand for secondary education would go up in future with the progress of UPE. Secondary education is the entry point for organised sector employment. It is both a terminal and a transitional stage in education. It is the stage at which diversification of life takes place. Courses on Industrial Training, Polytechnic education, (entry into 2 year courses) for general higher education, professional education, job oriented courses at higher secondary level and organised sector employment require secondary education. Provision of relevant, meaningful and facilitative (for employment) secondary education is a challenge of the day. Even after allowing a margin for malpractices, the results of the SSLC/X standard examination reflect the inegalitarian structure of Indian society. The average results decline from group to group for the following types of schools. Self-financing (private unaided) schools, private aided schools, government urban schools, government rural schools and lastly corporation schools which is located in/near slum areas. Improvement of facilities of government and corporation schools as well as efficiency of functioning is a formidable task.

The performance of schools at the SSLC examination is not uniform across subjects. Lowest performance is observed in Mathematics followed (upwards) by English. There are a large number of units/topics which are not 'easy' even for the teachers. Today's secondary school teachers would have been poor performers in Mathematics/English at their time, a few years (minimum 6 years) earlier. They would not have had opportunity to fill the gap in their learning these subjects. Mediocrity breeds mediocrity. Overcoming this stalemate situation is an important concern of the State.

6. Vocationalisation of higher secondary education has remained as a significant problem in the State. Crowding of students for certain courses which do not require workshop/laboratory/experimental farm facilities, inadequate facilities, equipments and tools, sub-standard, dated technologies, paucity of trained teachers and market irrelevance have been observed to be some of the problems in vocationalisation of higher secondary (and graduate) education apart from irrational aspirations for general graduate education.

DEPARTMENT of EDUCATION - GOALS, STRUCTURES, FUNCTIONS

HISTORICAL PERSPECTIVE

The beginnings of State interest in modern education can be traced back to the year 1833 when, Sri Krishna Devaraja Wodeyar III, the Maharaja of Mysore started the Rajah school. A number of English schools were started in the following years mostly by the Wesleyan and London Missions. By 1857, which is a landmark year in educational administration in the State, there were 26 English schools apart from a large number of vernacular and religious schools. It is significant to note that the State was providing grant-in-aid to many of these institutions.

Sir Charles Wood, President of the Board of Control of East India Company, sent a despatch to the British Government in 1854 which is referred to as the Magna Carta of English education in India. The despatch recommended the creation of a properly articulated scheme of education in India. Following Wood's Despatch, Mr. Devereux, the then Judicial Commissioner, drew up a scheme of education for Mysore and Coorg. Sir Mark Cubbon, the then Commissioner for the government, got the approval of the East India Company, the then Government of India, and set the scheme in operation in 1857. For the first time, a Department of Public Instruction was created with a Directorate of Public Instruction along with an inspectorate of only one Inspector of Schools for the entire State [12 districts of the present Mysore State] which had an enrollment of nearly 1600 children in all schools of the State.

In 1863, the Department of Public Instruction was separated from the Judicial Commissioner. 1868 is a landmark year in the history of education of the State. Mr. Lewis Rice, the then DPI drew up a scheme, popular as the Hobli school scheme, for systematic expansion of schooling and for streamlining administration. It was the first attempt of the State for a balanced growth and development of education across the length and breadth of the State. The system of administration of schools has been subject to reorganisation since then at different points of time.

After independence and before the reorganisation of States, there were two attempts at school reorganisation. One of them was based on the recommendations of the report of the Committee headed by Dr. C.R. Reddy in 1949 who was a retired Inspector General of Education. The other attempt was based on the report of a High Power Committee headed by the then Chief Minister, Sri. K. Hanumanthaiah with Sri J.B. Mallaradha, the then Director of Public Instruction, as Member Secretary.

An Educational Integration Advisory Committee, with the then Minister of Education as its Chairman, in 1956. This Committee made comprehensive recommendations which were implemented in a phased manner. Dr. A.C. Deve Gowda was appointed as Director of Public Instruction in 1958 in whose period a number of recommendations of far-reaching significance were implemented.

Primary education was made free in all government, District Board and Municipal Primary schools in 1959-60. A proposal for prescribing common Text Books for all

standards throughout the State was made and preparatory work initiated in 1959-60. Incidentally, it is noted that a Directorate of TextBooks was created in 1969-70 which was later transferred to the DSERT in 1978-79. This position continues even to this day.

Construction and maintenance of Primary School buildings was made an obligatory duty of the Taluk Boards through the Mysore Village Panchayat and Local Boards Act of 1959.

A common high school syllabus was introduced in 1960 and implemented fully by 1963. A uniform Grant-in-aid code for Private High Schools came into force in 1961-62. Secondary Education was made free for all those whose parents' annual income was less than Rs.1200/. Triple Benefit Scheme to teachers - Pension, Provident Fund and Life Insurance - was introduced in 1963. Teachers' Benefit Fund and Students' Benefit Fund were started in 1962.

The Karnataka Public Libraries Act was passed in 1965. The draft bill had been prepared by Dr S R Ranganathan in 1963. At the time of integration, the Hyderabad Karnataka regions and the Madras Karnataka regions had their own Acts passed in 1955 and 1948 respectively. There were 39 libraries in Old Mysore State running on an adhoc basis without any Act. These 39 libraries included the Educational Library and Museum started in 1891-92, Srinivasa Mandiram Library (the first public library) started in 1888-89 at Bangalore, the Oriental Library established in 1891-92 at Mysore, Sir Seshadri Iyer Memorial Public Library opened at Cubbon Park, Bangalore in 1915 and a few other District Central libraries. The library movement got a fillip after 1965. As on today there are 441 Public Libraries in Karnataka State including branch libraries funded by the State Government.

Quinquennial Education Surveys began in the country in 1957-58 and Mysore State followed suit with the issue of the First Educational Survey Report and the setting up of an Educational Survey Unit in 1963. Then onwards, every five years surveys are being conducted beginning from 1967 and reports of the progress of school education are being issued. So far, six educational survey reports have come out.

A State Educational Research Bureau and a State Bureau of Educational and Vocational Guidance were established in 1958-59 and 1959-60. State Institute of Education and a State Institute of Science were started in 1964-65. A State Evaluation Unit was started in 1963-64. A number of Advisory Boards such as for Primary Education, Secondary Education; Teachers' Training; Music, Dance and Drama Education; Sanskrit Education; Hindi Education; Arts and Crafts; Physical Education; Girls' and Women's Education; Commerce Education etc., were set up.

A Committee for Pre-Primary Education was set up in 1957 which submitted its report in 1961. However, the Department of Public Instruction did not exhibit much interest in Pre-Primary Education. As of now there are just 5536 pre-Primary Schools in the State whose number was 73 at the time of Reorganisation. It is mostly left to private initiative as well as to the Department of Social Welfare and the Department of Women & Children's Welfare. The latter created a large chain of Anganwadis under the ICDS scheme across the State, while the formers have set up Balwadis in tribal areas.

The examination for school final stage was made uniform throughout the State in 1963. The Karnataka State Secondary Education Examination Board was set up for the purpose in 1966. It was reconstituted in 1990. A District-level Common Examination for Primary Schools was implemented in the Whole State in 1964-65 which was later discontinued in 1978-79. Now, in 1996, there is again a move by the State for its revival. With all these measures it was possible to give a semblance of uniformity to the State Educational Administration. It is again noted that the period 1956 to 1965 was a time of intense educational activity in the State.

Different regions of integrated Mysore State had their own history in regard to the policy and enforcement of CPE. A comprehensive and integrated policy was the need of the day. Being sensitive to this need, the new Mysore State adopted the Compulsory Primary Education Act in 1961. As a follow up of this Act the Inspectorate was reorganised in 1961-62. Compulsory attendance was strictly enforced; and attendance officers were appointed for the purpose. Penalties were levied and prosecutions made. However, compulsion met with stiff resistance from the parents who considered a child on the field or farm to be more valuable to the household than a child in the school; the Landlords did not like to be deprived of their cheap labour and so also in general the community at large. Hence, a shift in strategy from compulsions to persuasions, wooing and incentives was made. Many of the present day incentive schemes began in 1960s. The Mid-day Meal Scheme, the Attendance Scholarship Scheme for girls, the Free Supply of TextBooks Scheme, etc, and the Pre-Matric Scholarship Scheme, which was also included later to this list, began in the 60's.

The Government of India constituted a National Commission to review education in the country under the Chairmanship of Dr D S Kothari in 1964. It submitted the report in 1966 which was adopted by Parliament in 1968. Mysore State appointed Prof A C Deve Gowda as a Special Officer for School reorganisation in the State in 1968 to suggest modalities for implementation of recommendations of the National Education Commission. There was a thorough overhaul of educational administration in Karnataka State in October 1970. The post of a Director of Public Instruction for the whole State was split up, expanded and diversified as DPI Primary Education, DPI Secondary Education, DPI Text Books as well as DPI DSERT (created in 1975) which amalgamated several State units such as State Educational Research Bureau, State Evaluation Unit, State Institute of Education, State Institute of Science, State Educational and Vocational Guidance Bureau, along with State Directorate of Text Books, DPI Adult Education (later rechristened as Department of Mass Education for which IAS Officers are appointed since 1988), Director of Pre-university Education and lastly Director of Vocational Education (since 1979). All these Directors of Public Instruction were brought under a Commissionerate of Public Instruction with an IAS Commissioner of Public Instruction since June 1979. Sri Syed Basheer Ahmed, was the first IAS Commissioner followed by Smt Achala Moulik, Sriyuths Philipose Mathai, Adhip Chaudhury, S V Ranganath, S M Acharya, Sudhakara Rao, R Suresh, Sri Sanjay Kaul and now Sri T.M.Vijaya Bhaskar.

Another important step in the reorganisation of 1970 was the appointment of an Assistant Educational Officer to be in complete charge of Primary Education in all the talukas of the State as well as educational ranges in urban areas.

Apart from these changes, other changes made were the creation of posts of JDPIs for four divisions of the State as well as for the headquarters and 21 DDPIs (formerly DEO's and now with increase of powers) assisted by 2 to 3 Educational Officers in every district. In order to improve the academic standards of school education, nearly 2 to 3 Graduate Inspectors of Schools (one for 80 villages) per taluk for the Primary Schools and over 100 Subject Inspectors of Schools for Secondary Education were also appointed.

There was again a large-scale reorganisation in 1995 when a Block Education Officer in Junior Class I scale was appointed for each taluk who would be assisted by the AEOs and the Inspectors of schools in the taluqs. It is amusing to observe in passing that there are only 5 women among more than 400 Inspectors of Primary Schools in the State.

A Congress Ministry was formed in 2000 AD. The new Chief Minister honourable Sri. S M Krishna desired to set up Advisory Committees/Task Forces for reorganisation and efficient administration of several development departments. Such a Task Force was also constituted for the Education Sector. Eminent public persons, distinguished retired civil servants, noted social workers, experienced administrators, seasoned educationists were nominated as members of this Task Force. Eminent public figure and nuclear scientist Dr.Raja Ramanna acted as Chairman of this Task Force. Apart from other recommendations, the Task Force proposed the abolition of the post of Inspectors of Schools and the existing Inspectoral System. Facilitation rather than inspection is desirable. Inspection is a feudal practice. Local level monitoring has to be entrusted to stake holders, that is parents of school-going children, through a School Development and Monitoring Committee (SDMC). The SDMC will be an extension of the Panchayath Raj System which has the school as the focus of operation. It will be a representation body of the village with representation for all cross-sections of society. With this view, the Government appointed Educational Coordinators in February 2001 in place of Inspectors of Schools. The SDMC also replaces the Village Education Committee for primary schools and School Betterment Committees for High Schools.

The Fifth Five-Year Plan of the Government of India (1974-1979) proposed Vocationalisation of Education at the +2 or higher secondary stage. Karnataka was one of the first few States which introduced vocationalisation at the +2 stage in the year 1978. As it is in other parts of the country, the vocationalisation experiment has met with limited success in the State. The total graduate enrolment in India in the 1950's and 1960's (BA/BSc/BCom) as a proportion of total enrolment used to be eighty percent out of which the enrolment in Arts courses itself (BA degree) was of the order of 55 to 60 percent. It is in this context that the Kothari Commission Report recommended vocationalisation of higher secondary education to wean away 50 percent of the intake from graduate studies in general education. This was one of the definite ways to arrest the high incidence of educated unemployment and arrest wasteful expenditure. Realising that this target of 50 percent enrolment in vocational courses at the +2 stage was unrealistic, the Fifth Five-Year Plan document brought it down to 25 percent. At the time of introduction of vocationalisation, the target was lowered to 10 percent. Periodical reviews have revealed that it has been difficult even by 1995 to reach this target of 10 percent. Even now the enrolment in graduate Arts courses is around 50 percent of total enrolment in higher education. There are several problems that impede the progress of vocationalisation.

Non-availability of skilled teachers is one of them. Economy of scale does not permit the appointment of full-time teachers for a large variety of courses. There is difficulty in offering several courses which may be needed in the employment market but require considerable capital investments for infrastructure facilities (workshop) and equipments. Colleges do not often assume responsibility for guidance and placement services. A State Department of Vocational Education was begun in 1979 as a wing of the Commissionerate of Public Instruction. District-levels units are not there. + 2 stage of education is under triple control which problem is discussed in a later section.

The decade 1986 to 1996 has been quite eventful in the history of education in Karnataka State. The Janata Government of 1977 in Delhi had set up a Committee under the Chairmanship of Sri Asoka Mehta to examine the structures desired for decentralisation of administration through LSGs. This Committee had suggested a 2-tier model of Panchayati Raj which was the basis for the PR Act of 1983 of the Janata Government in Karnataka. The bill was approved by the President in 1985 and finally PR Government came into existence on 01.04.1987. School Education was transferred to the PR bodies by the Government. Planning and Management powers and functions were transferred along with devolution of finances and resources. The State Commissionerate of Public Instruction continued with the executive functions at the District level under the guidance and control of the PR bodies. The First State Finance Commission had been set up in 1987 with Sri R M Honnavar, as its Chairman. The State Government set up a Committee under the Chairmanship of Dr K S Krishna Swamy in 1989 to evaluate the Janata Dal experiment in decentralisation. This Committee lauded the experiment in regard to attendance of students and teachers. This experiment came to an end in March 1992 and administration of school education reverted to the State Department of Education.

The 73rd and 74th Constitutional amendments conferred mandatory status to democratic decentralisation of development administration at the District level and in urban areas including school administration. The new Karnataka Panchayat Raj Act was passed in 1993. Power was retransferred to PR bodies since April 1995. Entries No.17, 18 and 19 in a direct way and 1, 20, 25 and 26 in a cognate way as they appear in the 11th schedule of Article 243G of 73rd amendment relate to the powers and functions of Panchayats in the field of education. Entry No. 13 of 12th schedule of Article 243W of the 74th amendment relates to powers and responsibilities of Municipalities in regard to education. Gram Panchayats came into office in December 1993 and Taluk and Zilla Panchayats came into being in April 1995, since when the educational administration in Karnataka State is again in the hands of LSG bodies.

The decade 1986 to 1996 also happens to be a decade of intense educational activity following the adoption of the National Policy on Education, 1986. A strategy for quality improvement of Primary Schools, especially single-teacher/single classroom lower primary schools, known as Operation Blackboard was launched in 1988. A second teacher was provided to all single teacher schools in the first phase. Beginning from 1992, the second phase of OB has been completed wherein a third teacher is also provided. The norm is to move towards one teacher and one instructional room for every standard of instruction. By now, there is no single teacher school in the State as at least two teachers are recruited for every school. However, in reality, a number of single teacher schools still exist, especially in backward regions in rural areas, as teachers get transferred to towns and cities or other convenient places.

The Government of India constituted a Committee under the Chairmanship of Sri R H Dave to specify minimum levels of learning (MLL) for the primary stage of schooling which was to be ensured all over the country. The Karnataka Government has done everything to enforce MLL in the State including training of teachers for the same. It has brought out a Kannada version, and distributed it to all the schools. All the primary school teachers have been given special orientation for realising minimum levels of learning.

In order to improve the quality of teachers and quality of teaching-learning process, the State Government has adopted a centrally sponsored scheme. Under this scheme, District Institutes of Education and Training have been set up in all Districts for quality improvement of primary education while certain selected B.Ed colleges are given the status of comprehensive teachers colleges with additional resources for quality improvement programme in secondary education.

The Government of India got a review of implementation of National Policy on Education, 1986 in 1992. The review document is known as Programme of Action, 1992 (POA, 1992). The POA 1992 recommended constitution of Village Education Committees. Following the 73rd CA, the Central Advisory Board of Education, C.A.B.E., constituted a committee in 1993 to suggest ways and means of smooth decentralisation of education. Incidentally, this committee also recommended the constitution of VECs. The Commissionerate of Public Instruction has issued orders in December 1995 for constitution of VECs in all Village Panchayats

The Commissionerate of Public Instruction has directed all the schools to replace the VECs/SBCs by School Development Monitoring Committees. SDMCs are in position since June 2001AD.

It may be inferred from the foregoing historical perspective of educational administration in the State that the department has not come on surface with the waving of a magic wand. It has grown, evolved and metamorphosed over a period of 150 years. It is possible that some sections in the administrative set-up have outlived their activity while others are yet to see the light of the day. It is in this context that the very first objective of the study is to examine the rationale for administrative structures and their internal coherence. There are 6 objectives for the study. They will be discussed in order.

OBJECTIVE NO.1

- a) "to study the rationalisation and coherence in allocation of functions and portfolios in the framework of the overall and department-specific goals of the department.

Activities no. 1, 3, 8 and 18 address this objective. They will be taken up in this order.

I Departmental functions and activities

Growth and development of educational administration in Karnataka State has been subject to the demands of time and contextual pressures. A few illustrations can be provided to explain and substantiate this view. In the year 1979, for the first time in the country, a National policy on Adult Education was adopted. There was a nation-wide enthusiasm in promotion of literacy through block-level literacy projects. A

centrally sponsored programme called Rural Functional Literacy Project was launched. Karnataka State also added its own State Functional Literacy Projects. There arose a context for management of literacy projects. A Department of Mass Education was created for the purpose in 1983. By 1990, the project approach to literacy was given up in favour of campaign approach. District-specific literacy campaigns were taken up by the DME. As of now, the DME is attending to the problems and concerns of post literacy and continuing education.

The fifth five year plan of the Government of India proposed the introduction of vocationalisation at the +2 stage. A centrally sponsored scheme of vocationalisation of higher secondary education was implemented all over the country including Karnataka State in 1979. Vocationalisation of higher secondary education picked up in the early 1980s and nearly 15 per cent of higher secondary institutions began to offer vocational courses. There arose need for management of vocational courses. Hence, a Department of Vocational education was set up in 1988. There is District Vocational Education Offices. It is managed from the Divisional level. This is not true of Mass Education. There are District Adult Education Offices in all the districts of the State. They function independently of the DDPI of the district.

By 1993, the Government of India decided to borrow from the National Renewal Fund for Social Safety Newt Projects one of which was the quality improvement of primary education in districts with low levels of female literacy. This scheme has become popular as District Primary Education Project, DPEP. 4 districts were chosen in the first phase of the DPEP in Karnataka State and each of them was to be provided with a grant of rupees 400 million over and above the regular departmental funding. A Registered Society was formed for overseeing the project and a district entity known as State Primary Education Project office for the DPEP was formed. The project was extended to seven more districts in the second phase and extended upto 2003. Apart from State level structures, District - , Block and Cluster level (cluster of villages) structures have been created. Sustainability of these vertically and horizontally spread structures and functions beyond the target year as well as management functions therein is one of the impending issues in the State educational administration.

The three illustrations indicate that functions of the department are context-specific. This does not mean that there are no regular functions. Appointment of teachers, supply of incentives, maintenance and repairs of school and other related buildings, routine administration of the department including service matters, disbursal of salaries are all regular functions. There have been other functions which have been additionalities, supplementary in nature, supportive and enabling. Sometimes the enabling functions may exert pressures on the regular functions. Even though job-specifications are spelt out at every level, the personnel at various levels, specifically at the District and sub-district levels would not be having time to attend to specified functions. Extraneous activities consume their time and cut into regular duties. On-paper rationalisation of functions fails to be coherent in regard to its delivery. For instance, reports from BEOs/DDPIs reveal that their time is consumed, many times unnecessarily, by visiting dignitaries and significant political leaders; attending meetings of the Zilla Panchayaths/Taluk Panchayath Samithis where 'Education' is one of the subject of discussion; attending to inspection as well as cultural activities of private aided schools.

Likewise, the main function of cluster resource coordinators is to give periodical dialogical training to classroom teachers and visit schools. There is a monthly pre-fixed schedule of visits to schools. They are not able to honour this schedule. They are called upon the Block Educaiton Office to collect some or the other information from schools regularly and attend meetings at the Block Office for the same. The work that is expected of them is not spurious but only unplanned.

Teachers are expected to engage in classroom transactional processes regularly. They are employed by the Department at various points of time for some or the other survey work, elections or other non-academic work.

Educational officers attached to the DDPI are expected to visit schools for routine inspection. Subject Inspectors attached to the DDPI are expected to observe classroom teaching of high school teachers in their subjects, give feedback, improve the quality of instruction and monitor the progress of the District in regard to performance in their subjects at State level public examination (SSLC). But they are not able to live upto their expectations. They are used by the DDPI for Departmental Enquiries of indiscipline among teachers and irregularities in schools.

The inference that one can draw from all these examples is that **personnel of the department are engaged in tasks/functions which are not originally expected of them. Alternatively, they are not able to adequately and efficiently carry out functions for which they are appointed.** There is a need to observe with additional emphasis that they cannot even in the least be branded as lazy, work shirkers, insincere or inefficient. They occupy their time for work of the education department. In fact some of the Block/District/ State level officers engage themselves in official work for almost 10 hours per day. But their time use is neither completely goal-oriented nor optimal. A better understanding of the situation would be possible with a review of goals, functions and activities expected of the department and other functions for which the department has a supportive role.

GOALS OF THE DEPARTMENT

Provision of 'good' quality school education for children belonging to all cross-sections of society is the only chief goal of the department. All other goals are subsidiary and complementary to this goal. Initially, the goal is to universalise primary education and then in a phased way take on the universalisation of secondary education. This chief goal is a reflection of the dream of the Constitution of India, article 45; national education policies, five year plans and similar policy initiatives. Technical, supervisory, managerial, facilitative and administrative support to government schools as well as facilitative and regulatory support to private schools are the chief functions of the education department in the realisation of the goals of education.

Structures & Functions

There are over 48716 primary (2000 AD) and 8147 (2000 AD) secondary schools directly managed by the department. Supportive structures at the State level include the Directorates of Primary Education, Secondary Education, Pre-university Education and Vocational Education. Technical support and facilitative structures include Directorate of State Educational Research and Training as well the District Primary Education Project. Facilitative structures include Directorate of TextBooks, Karnataka Secondary Education Examination Board. Regulatory functions are exercised at the District level, especially for private schools. This may also be looked at as enabling functions. The DDPI has responsibility for facilitating non-governmental organisations in opening and running of schools.

District is the nodal agency in the megalithic structures of the education department. Upward, downward and lateral communication flows and delivery services pass through the District office. Powers and responsibilities for management of schools are concentrated at the District level.

Needed Reforms

- a) On an average every district manages 16 to 18 hundred primary schools, 250 to 300 secondary schools and 100 to 150 higher secondary schools. In contrast, a block which is the unit of operation manages on an average 250 primary schools and 40 secondary schools. There has been a **demand to further decentralise the powers and responsibilities for managing primary schools to the Block level**. In this arrangement, the DDPI will be directly responsible for secondary schools and senior secondary schools which s/he will have overall supervisory responsibilities for primary schools. All the primary schools in a taluk will be entrusted to the care & authority of the BEO. The DDPI will function only as a guide and monitor. Decentralisation upto the block level would facilitate better focus, give scope for clear direction, make monitoring, feedback and corrective mechanisms more and more goal-specific.
- b) Capacity building exercises for primary teachers is being attended to under the auspices of both the DPEP/BRC/CRC network and the DIETs. It is in full swing. One time coverage of 2 lakh teachers for any training programme is a challenging exercise. There are several areas/components/aspects on which training needs for primary teachers and headmasters have been identified. Even satellite technology was tried out in the past but with limited success.

The arrangement for training high school teachers is made with the colleges of Teacher Education/CTE. CTE programmes are centrally sponsored. Though high school teachers are being trained by CTEs, there is apparently no system or order in such training. **Subject-wise and teacher-wise roster is not being maintained. Such a roster of teachers with training needs should form the basis of planning of the work of the CTEs.**

- c) There is at present no formal arrangement for attending to the training needs of higher secondary school teachers. While primary and secondary teachers are attended to by DPEP/DIETs and CTEs, the college teachers are being given Subject Refresher Training/Orientation courses by the Academic Staff Colleges (ASC). It is significant to note that the coverage of all college teachers through ASCs is a waste of resources. There is already a well known fact that 80 per cent of enrolments in higher education is in BA/BSc/Com courses and a widely shared criticism that such an imbalanced structure of enrolment is wastage of resources. Training of all subject teachers in this wasteful structure is a further waste of resources. To avail themselves of UGC scales and promotion facilities, all college teachers undergo a minimum of 2 one-month refresher/ orientation programme in a period of 5 years. This is like pouring pure ghee into over roasted and badly smelling food. Alternatively, there is no formal arrangement for training higher secondary school teachers who are all by and large subject-teachers. Only some of them may engage high school classes. **There is a need to create Capacity Building Institutional Structures for +2 stage teachers.**
- d) Nearly 15 per cent of the primary schools, 6641 schools are under private managements. Nearly 2500 schools are also patronised by the government through grant-in-aid. Likewise, around two thirds or 65 per cent of the high schools are under private management. Every alternate private high school is also under grant-in-aid of the government. Private school teachers, especially at the primary stage are not covered under any capacity building exercises as a matter of government policy. Private schools are popular, as they are adept/highly skilled in preparing students for a competitive society. With honourable exceptions private schools are examination and results oriented. In majority of cases children from private schools become successful in competitive/entrance examinations, join professional courses, become materialistic in their outlook, contribute to wealth of the private sector or put in their efforts to go out of the country, become insensitive to persisting national problems of poverty and inequality, turn out to be comfort-loving and plan to live a life of luxury. Teachers and managements are not interested in 'man-making' (usage after Swami Vivekananda; it also includes woman-making;) education, citizenship training or other social purposes of education. Money-making education has substituted man-making education. It is in this scenario that the following proposal is made.

Government needs to expand the scope of its enabling functions especially with respect to private managements. Whatever the government/department thinks as good and desirable for the government schools should be deemed as such for the private schools. There is only one difference. **While the programmes of training/orientation for government schools are sponsored, funded, organised and conducted by the government, the private schools need not be treated so.** The government can give facilitative support such as training materials and resource persons on a payment basis. **Costs of training has to be borne by the private management.** But the programmes should be made obligatory.

- e) Once a new decentralised arrangement is made for control, regulation and supervision of primary schools wherein powers and responsibilities are delegated to the BEO, then the powers and responsibilities for direct management of secondary schools/senior secondary schools will be left with the DDPI. It has already been noted that the bulk of secondary/senior secondary schools are under private managements. Let all the secondary/senior secondary schools in the district come under the purview of a DISTRICT BOARD of EDUCATION. This will be an extension of the Zilla Panchayaths exclusively devoted to management of secondary/senior secondary education. Let the DDPI act as Member-Secretary of the Board. Due representation should be given to private managements, women, socially disadvantaged groups and distinguished academicians and social workers of the district.

II Schemes from other Departments

There are quite a few government departments and other agencies which support the Department of Education. Departments of Women and Child Welfare, Social Welfare, Backward Classes and Minorities, (BCM), Health and Family Welfare apart from Urban Local-Self Governments perform functions which are supportive, facilitative and collaborative to the Department of Education.

One of the reasons, reiterated in research literature, for non-enrolment, poor attendance and drop-out behaviour of girls is that they are responsible for sibling care. A way out for this problem has been provided by the Department of Women and Children's Welfare under the centrally sponsored Integrated Child Development Services (ICDS) project. The basic unit of service is the Anganwadi; a children's gallery, which provide health care, nutrition and non-bookish education for children in 4 to 6 years age group apart from similar services to expectant and nursing mothers. A girl child in the school going age group can deposit her sibling under the care of the Anganwadi School and herself attend the regular school. There are ICDS projects both under Central sector and State sector. Still there is no full coverage. According to an estimate, nearly 40 per cent children are still uncovered in rural areas. In several places there is no convergence between the timings of the Anganwadi school and the regular/formal primary school. The problem of sibling care is observed to persist in such places. **It would be ideal if the Anganwadi Centre can be harmonised in its functioning with the regular school.** This may involve some additional cost to the government/department, as the Anganwadi teacher/assistant would have come early in the morning. She may have to be paid an additional honorarium to stay till evening. The Anganwadi scheme also helps the primary schools in other ways. It develops a mind-set of school readiness among urchins. Verbal ability such as vocabulary, communication skills; physical development including finger dexterity; social development, emotional development will all get attention which lead to harmonious personality development.

The Departments of Social Welfare as well as BCM operate two types of programmes which are supportive to the education department. They are: (i) award of pre-matric scholarships to students from VII standard onwards and upto the completion of the X standard. (ii) provision of hostel facility for children from SC/ST/BC/M communities. They also provide student support subsidies for children from these communities who are accommodated in community hostels.

There is no periodical review of the academic performance of students who avail benefits from SW/BCM departments/hostels. By and large there is no functional relationship between the head of the school in which they study (Head Teacher/Principal) and the head of the hostel (Warden) where they stay for the purposes of studies. Warden is not expected to bother about the attendance and progress of his wards in the hostel. This piquant situation can be addressed in the following way. Through a formal arrangement the hostel Warden may be supplied with regular information on the attendance and progress of children who stay in the hostel, from the school. A system of warning, repeated warning, counselling, warning, referral service to parents, suspension and dismissal can be adopted in regard to cases of repeated indiscipline/non-performance. This would tone up the efficiency of the programmes of public support. It would transform some of the hostels which are serving as feeding centres' into learning hermitages.

School children have several health problems. The incidence is quite high among children who attend government schools and especially girls. Nutritional deficiencies and malnutrition lead to partial blindness. Children find it difficult to decipher the writings on the blackboard. Unhygienic conditions in which they live and unfriendly home environment where they remain as passive smokers while their parents resort to beedi/cigarette smoking lead to respiratory problems. Anemia is most common among girls by the time they cross 11 or 12 years of age. They need medical attention, nutritional support and guidance and referral services. The Health (and Family Welfare) Department does not help/support the schools in regard to all these services. Routine annual medical check-up is done by a government doctor. It is also not a detailed/serious examination because of the number of children (large numbers) involved. **There is a need to strengthen the bonds between health and education departments.**

A detailed functional review of these supporting departments is outside the scope of the review of the education sector. It is given to understand (by the ARC) that these departments will be examined in other department-specific reviews.

The Bangalore City Corporation shares the burden of the education department to a large extent. Participation of the Corporation is quite significant in regard to provision of secondary education. Highly limited number of primary schools are run by the Corporation. Corporation schools by and large serve slum populations. Primary schooling facility for slum children is provided by the Government Department of Education. Out of the nearly 1600 government lower primary (75 per cent with facility for upper primary schools and 25 per cent with facility for high schools) schools in Bangalore City there are 325 lower primary schools (I to IV standards only) located either in slums. [A S Seetharamu: "Primary Education of the Poor in Mega Cities of India: The Case of Bangalore City" Seminar paper for the national seminar on the subject at NIEPA, New Delhi, May 1998]. They serve the poorest of the poor. However, the Corporation provides for upward mobility of these sections of urban society as it also maintains/supports general hostels in the service of slum children/SC/ST/.... With respect to performance of children at the X standard examination the record of the Corporation schools is the poorest. They average around 20 per cent success rate while the State average is around 50 per cent. Rank order of schools in regard to percentage of passes in the State is private unaided, private aided, Government urban, Government rural and finally Corporation schools.

SECRETARIAT AND THE DEPARTMENT

Education Secretariat is headed by a Principal Secretary/Education Commissioner provided the incumbent is a senior person eligible for that rank. S/he also will function as Secretary I who will be in overall charge/responsibility of the Secretariat but is specially confined to higher education including technical education. [Note: There is a separate ministry and Secretariat for Medical Education]. Otherwise s/he will act as Secretary I without being designated as Commissioner. Secretary I is supported by Secretary II who will be in charge of School education, public libraries and mass education. The two Secretaries of State are supported by 4 Deputy Secretaries (who may be IAS or senior KAS officers) and nearly a dozen Under Secretaries/Special Officers.

The Education Secretariat has interactions with the Planning, Finance, DPAR, Law, and Legislature Secretaries. The Education Secretariat is responsible for policy, planning, finance, monitoring and overall evaluation of goals of the Departments. Demands for all the departments of education across levels and within levels are consolidated, examined, prioritised and processed by the Secretariat. General guidelines of administration will be issued from time to time by the Secretariat. It also functions as a liaison between the MHRD and the State in matters relating to Education. All the negotiations between the international financial institutions interested in the improvement of the education sector and the State Government will be organised by the Secretariat. The MOU between the government and the funding organisation will also be signed by the Secretary, Education Department. The DPEP and the UN-Joint System Projects in the State have been supported by the World Bank and the UNICEF. Likewise, MOU between non-governmental organisations within India and the State government for support to education will be reached by the Secretariat. Azim Premji Foundation, Infosys, ISCKON, PACER are illustrative organisations which are supporting educational projects in the State. Agreement for all the Centrally sponsored projects are made through the Secretariat. The Secretariat will also have interactions with the UGC, NAAC, NCTE, NCERT, NIEPA, ICSSR, CSIR, MCI, DCI, AICTE and similar national level funding and standards-setting organisations.

Within the State the Secretariat has to address the concerns and issues of education at all levels and of all types. The Commissionerate of Public Instruction takes administrative and executive responsibility for school education. Primary, Secondary, higher secondary/pre-university and vocational education fall within the purview of the CPI. Both in terms of investments and the volume of work the CPI is the Ambari Elephant (Ambari is the golden howdah - an enclosure to seat two persons and having a canopy - in which the Mysore Kings used to travel every year in a public procession on the auspicious Vijaya Dashami day - tenth day of the ten day long 'Dussehra' festival - elephant was the cynosure of all the public throughout its journey in a royal procession] of the Secretariat. The CPI has several wings. There is also a Commissionerate of Collegiate Education which is incharge of all general education and law colleges in the State. The Secretariat has functional relationships with the 12 universities of the State which include the 6 traditional universities, 2 Agricultural Universities, one university each for Medicine, Engineering, promotion of Kannada. The Secretariat does not perform any executive functions of the department. The Secretariat has limited interactions with the rank and file of the department. It interacts with the heads of the Commissionerates

and at best with the heads of departments within the Commissionerates. This is as it should be.

The general impression that one gets from the functioning of the secretariat is that the division of work of the Secretariat into School and higher education under two secretaries of State has become more rigid and formal than it should be. Division of work and autonomy in functioning should be limited to the exercise of powers and responsibilities. It should not extend to general awareness of issues, concerns, functioning and performance of the two major sectors.

The Secretariat is observed to perform a variety of functions which fall under promotional, regulatory, enabling and facilitating categories. It has interactions with a large number of organisations and agencies within the State, at the national and international levels. Complexity of interactions and enormous pressure of work appear to guide the functioning of the department. On top of all these pressures of functioning, the Secretariat has to absorb invisible pressures from the political machinery in the State. Problems of the secretariat get compounded because of the unexpected/random withdrawal/cuts in allocations/grants to it from the Finance Secretariat leading to unplanned budget deficits. Alternatively the Secretariat comes under fire for non-utilisation or under-utilisation of grants under centrally sponsored schemes.

Management of projects funded by external agencies, at times poses serious problems to the Secretariat. One of these problems is that of sustainability of projects once the external funding runs to a halt after the agreed period/phase of gestation. Management of structures and programmes under the World Bank funded DPEP is a case in point. It is going to reach a terminal point after Phase III funding by 2003 AD.

Frequent changes - once in two years or whenever there is a disturbance in the political balance of the State - of Secretaries of State and senior staff adds fuel to the fire.

The net effect of all these problems is that the normal functioning of the Secretariat has become a drift of a log of wood on the high seas which is subject to momentary currents. Apparently there is no vision, no periodical review in a framework of overall goals and a set path for normative functioning. In effect, the efficiency of the Secretariat largely depends upon the interest, commitment and personality factors (leadership) of the incumbent Secretaries. The efficiency of the officer should not be in doubt as it is generally assumed that the IAS/KAS tag will automatically symbolise efficiency. The need of the hour is more away from this mechanical and routine style of functioning. A vision document needs to be developed which would inspire, subsume and integrate the piecemeal/sectoral/sub-sectoral visions of the department. Physical, fiscal (for eg: Tax concessions), financial implications of plans/strategies/programmes to realise this vision need to be examined, spelt out and estimated. It is also conceded that the realisation of the vision may depend upon several determinants on which the Education Secretariat will have no control. This unpleasant reality should not undervalue the significance of a vision. It will serve as a perpetual guidepost (a Northern Star) for the Secretariat. It will lend it stability and continuity to the functioning of the Secretariat. It needs no additional emphasis to state that the

vision document should be the fruit of a participative exercise with inputs from all stakeholders.

[Note: It is incidentally noted that the Secretariat of the Education Department had commissioned through the State Project Director, DPEP, a number of sub-sectoral studies in education for certain 'purpose-specific' consumption. The sub-sectoral studies have been completed by now. It would be advantageous to use the study reports and weave them in a comprehensive way and with a sharpened focus. The emerging document can form the basis of a vision document.

It is also noted that the Chief Minister of the Government of Karnataka had set up a Task Force on Education in April 2000 to suggest reforms in school education. This task force has submitted two interim reports to the government. Feasibility of the recommendations made by the task force has been examined at length as there was continuous and insightful participation from senior civil servants of the government, specifically the Secretary II Education, Commissioner of Public Instruction, State Project Director, DPEP and heads of departments. The two interim reports also would carry several inputs for the vision document].

State-level Interventions

The following Directorates are directly under the guidance and control of the CPI: Primary Education, Secondary Education, Examination Board, Urdu and Minority Language Schools, Research and Training. In addition, the Janashala/UN-Joint System Project and the newly created Directorate for North-Eastern Districts also fall within the purview of the CPI.

The impression one gets from a review of functioning of the Commissionerate is that the various wings, the Directorates, try and work to maximise their efficiency and effectiveness as if they are independent of each other. It is only the Commissioner who will have a overall, holistic perception of functioning of the whole Commissionerate. The senior most officers of the Department, the DPIs do not appreciate the values of interactive functioning. One illustration is submitted here in this direction of understanding.

DSERT

The Directorate of State Educational Research and Training is the Technical Support wing for the Directorate (the Commissionerate) of the Department. Capacity building of school teachers in a cascade model through CRCs, BRCs, DIETs, CTEs, State level Resource Persons is a function of DSERT. Quality improvement of school education is also one of its major functions. For instance, improvement of science education is realised through the activities of State Institute of Science/ a wing of the DSERT. Director of Public Instruction, Secondary Education has no formal role in the functioning of DSERT. Quality Improvement of Language Instruction (for eg: Urdu) is a function of DSERT. DPI, or say, Urdu and Minority Language cell does not interact with DSERT. Whatever interactions may be there are subject to self-initiatives of an imaginative and insightful DPI, DSERT or DPI, Urdu and Minority Language. There is no formal structure for functioning of the DSERT by involving other wings of the Department for which it provides technical support.

The DSERT is doing good work given the constraints of personnel and resources. It can do better work. The DSERT needs to be given (a) Academic autonomy (b) Administrative autonomy and (c) Financial autonomy within a broad framework/plan/vision of action as designed and accepted (the vision) by the Department. There is a need to set up an ADVISORY COMMITTEE for the DSERT with CPI as its Chairperson. Among the members, there shall be Heads of all departments (DPIs), two senior most principals of DIETs/CTEs, 2 National Awardee Head Teachers of schools who are still in service (1 HPS/ 1 HS), two distinguished educational researchers who have understanding of Education in the State, Director/Joint Director of DSERT and Heads of various wings of the DSERT and a distinguished Head of an NGO in Education. The total number of members shall be 18 who shall meet three times in a year - discussing an annual plan of action, a mid-year review and a end of the academic year review. Training Programmes/Capacity Building Exercises and Research Needs/Research Agenda for the various departmental felt needs as well as other needed school quality improvement interventions shall be identified and prioritised at the beginning of the year. Documentation of intervention along with expected and achieved results, constraints experienced in operation of programmes which shall serve as guides for further expansion/actions shall be reviewed at these meetings.

DSERT is not like other administrative wings of the department. It is concerned with administration of academic/technical/quality/excellence issues in the field. Personnel for DSERT should have competence, aptitude and goal-commitment. Let one-third of the positions be filled up by personnel from the department on a seniority cum merit cum willingness basis. Another one-third appointments shall be through direct recruitment on a contract basis. Rest of the one-third appointments shall be on project-mode/programme-basis on short-term contracts for training programmes/action researches/organisation of science/humanities fairs/debates/science talent search examinations/quiz competitions/folk culture activities/inter-school/inter-taluk competitions/..... and any other programmes which are not in the nature of regular/daily-work basis for the whole year. Contracting the organisation and conduct of programmes shall increase the cost-efficiency of the department. Scale of operation of programmes are also so large that it would be uneconomical to employ personnel on a permanent/tenure basis. The Department shall only play roles of facilitation/support/co-ordination/monitoring/guidance and evaluation.

Other Directorates

The Directorate of Secondary Education should effectively and vibrantly interact with the DSERT and Directorate of Vocational Education in the organisation of Career Counselling and Vocational guidance to students at the IX standard level of school education.

The government has already moved in the direction of reorganisation of +2 stage of education. +2 tail pieces of Degree Colleges, +2 extensions of secondary schools and independent +2 colleges/isolated junior colleges will fall in place under a single Directorate of +2 education. +2 education should be considered as integral to school education/senior secondary school and should fall under the control, purview and administration of the CPI. There shall arise a need for reorganisation and rationalisation of staff-needs of the Departments of Secondary and senior secondary (now Pre-University) education in the emerging arrangement. Details of staff cut/staff rationalisation may

be worked out by a special task force of the CPI that shall be set up specifically for this purpose. In a future scenario wherein the State Government will move towards a 5+3+2+2 pattern of school education as recommended by the CM's Task Force on Education, by the GOI and as is prevailing in large parts of India (Tamil Nadu, Uttar Pradesh, Andhra Pradesh, Maharashtra,.....), elementary education of 8 years duration will fall under the DPI Primary Education while the 9th, 10th, 11th & 12th grades of schooling will fall under a single Directorate of Secondary and Senior Secondary Education. Rationalisation of staffing of DPI Secondary Education and Pre-university Education will also serve the purpose of reorganisation of +2 education.

The State Government has set up a separate Directorate of Educational Development for North East Karnataka in order to address the problems and issues of persisting regional backwardness in educational development in Karnataka State (set up in August 2001). There has been a Hyderabad-Karnataka Area Development Board created in 1991 (Karnataka Act No.35 of 1991). The Board could not focus its attention on Education and specifically school education. It supported some programmes of Gulbarga University in the past. [See A S Seetharamu: "Educational Development - Constraints & Prospects" Ch. 12 in 'Regional Development' (ed.) Abdul Aziz & Sudhir Krishna, Concept, New Delhi, 1996, for a detailed review of educational backwardness of this region]. There arose a necessity to look into the issues of educational development in this region by the education department itself. Hence, the NE Region Directorate (NERD) was set up to cover the following districts: Gulbarga, Raichur, Koppal, Bidar, Bellary, Bijapur, Bagalkote. [For a detailed understanding of objectives, concerns and programmes of NERD it is better to refer to a document brought out by the CPI for submission to the Chief Minister during his visit in October 2001. There is no need to repeat them here].

What are the implications for functioning of the Department in the light of criteria of the NERD? To the extent that the NERD will concentrate on the problems of 7 out of 27 districts in the State, there is a need to have a fresh look on the workload of the State level Directorates. Is the NERD an additionality to existing administration? If it is an additionality, can it also concentrate on regular/normal functions/needs of the region as it is located in Gulbarga? The proposal here is to get into a in-house review of staff size/requirements/excess/gaps/..... for management of education in NERD region. An end of the year review (2002 March/April) of the functioning of the NERD and its impact is also needed.

Major Recommendations

1. DSERT to be made an autonomous organisation (academic, administrative, financial autonomy).
2. A corpus fund may be created for the DSERT. Grants from donor agencies from within the country and abroad may be mobilised along with State Govt. funds.
3. DSERT is a technical support wing of the Department specifically focussing on Quality, Capacity-building, pursuit of excellence, in school and teacher education. There is a need for a State-level, across the departments, ADVISORY BODY for the DSERT.

4. Personnel policy for DSERT should be a mix of three blends in equal proportion: Personnel of the Department who qualify by virtue of their competence, aptitude, seniority and commitment (those who are on tenure); direct recruitment from the education-manpower market on contract basis; contracting specific projects/programmes for short-durations.
5. Reorganisation of Directorate of Secondary, Pre-university and Vocational Education under a single Directorate within the CPI.
6. Documentation of development programmes of the Department for their effectiveness so as to promote Accountability.
7. A Review of Staff structures in School Education at the State level in lieu of creation of a new Directorate of North East Region Education at Gulbarga District (NERD).
8. A review of functioning of NERD by April 2002.

ADDITIONAL INPUTS

[A few pages from my report on School/Education Sector for the 'Sub-Sector Studies in Education' sponsored by Education Department/GOK are appended here. They form additional inputs on DSERT].

I D State level Interventions

At the State-level, and in this study personnel management is concentrated only on the DSERT, Department of State Educational Research and Training, which provides academic/technical support to the Department of Public Instruction.

The DSERT is the heart and soul of the Department of Public Instruction. It is the academic and technical support wing. There are 7 units in the DSERT. They are: State Institute of Education, State Institute of Science, State Educational Evaluation unit, State Cell for Guidance and Counselling, State Cell for Educational Technology, State Audio-Visual Educaiton Cell and State Text Books Unit. There are certain additional special cells such as Teacher Education Unit, Educaiton of Handicapped Cell, NPE Implementation Cell, Environmental Studies Cell, and National Population Education Project. The DSERT also co-ordinates projects implemented by NIEPA, NCERT, UNICEF etc;.

The DSERT is doing good work but has not been able to function upto its optimum capacity. One of the important limitations on the functioning of the DSERT is the personnel policy of the government in regard to DSERT. It is treated as one more department of the government. Postings and transfers to the DSERT are made in a mechanical way. There is a generally shared feeling that officers who do not want to be transferred to rural areas, who have vested interests to stay in Bangalore City, who are loyal to the powers of the establishment get their postings to various positions in DSERT which require technical skills, academic expertise and aptitude.

The DSERT has immense potential for alround quality improvement of education at all levels. It can perform to expected potentials only when structural adjustments are made in the power and authority structures of the DSERT. They are discussed here.

WAY-OUT for Strengthening DSERT

There is a need for granting autonomous status to the DSERT. Autonomy should be in three areas: Administrative, Academic and Financial. There can be a Board/Trust which has the powers and authority to formulate policies, examine plans and strategies, monitor progress and offer guidance and direction periodically. Seasoned administrators, professionals in education, distinguished educational researchers, representatives of teachers, principals and training institutions, representatives of the media and men/women of distinction in public life can be the members of the Board. What the DSERT should do?

- In-house and sponsored research;
- capacity-building of State-level resource persons;
- evaluation of training programmes and intervention strategies for UPE goals;
- periodical surveys of school facilities, teaching-learning processes;
- monitoring the progress of children with equity and efficiency perspectives - girls, SC/ST, minorities, regional balance in performance etc;
- advocacy through networking of private, non-governmental initiatives in schooling;
- production and distribution of an educational periodical for school teachers, heads of institutions, field-based educational administrators, training personnel, school librarians, school-centred educational technologists;
- facilitation of State-wide guidance and counselling programme through production and continuous updating of materials in career counselling, adjustment literature for SC/ST, girls and rural students;
- support services for popularisation of + 2 level vocationalisation of education like conduct of manpower surveys and sensitisation of students/parents/heads regarding potential for employment after +2 stage;
- a State-level Testing Service which continuously monitors the 'Quality' of schooling at all levels, establishes block-wise/district-wise norms in performance, assists in quality-grading of schools, processes evaluation of school performance data to discover the determinants, the facilitators and constraints of performance,
- develops an MIS exclusively on performance/attainment across the blocks/districts of the State;
- organises State-level sensitisation/training programmes for senior educational administrators;
- takes responsibility for production and periodical updating of 'good quality' textbooks, teachers guidebooks, Resource Materials for teachers [Note: this particular work is already being well attended to by the DSERT at present];
- functions as a liaison institution between NCERT, NIEPA (MHRD), Research Institutions, UNICEEF, World Bank, ADB, EC, etc; and the GOK;

- promotes the learning of science and values of science through using science-centres, the facilitation of State-level science exhibitions, quiz competitions, talent search etc; promotes the learning and values of languages, literature and humanities through similar programmes;

It can prepare a vision document and a long-range plan for the purpose along with strategies for implementation and monitoring of programmes.

It can do all these functions provided DSERT has administrative autonomy to choose and appoint/nominate the 'right' persons for the 'right' job. Persons with merit/abilities, aptitude, demonstrated expertise, a orientation for team-work, should be recruited for the organisation. There can be a mix of administrators/professionals/field researchers/ academicians/enlightened teachers/educational entrepreneurs who are appointed on a 'CONTRACT' basis. Permanent positions should be limited only to 20 to 25 per cent of the total positions/requirements.

Financial self-sufficiency, stability and autonomy are very crucial for the functioning of the DSERT and its sustainability. It is better to create and maintain a CORPUS fund, the interest proceeds of which should be able to finance the organisation.

The DSERT does not have the personnel at district level for promoting/operating its various functions. It depends upon the DDPI and his subordinate officers. Administrative culture at the District and sub-district levels [Attitudes, Values and Orientations of DDPI/BEO/EO/Others] is not facilitative of academic/technical support systems. DSERT does not enjoy much status in the State-level administrative hierarchy of the Department of Public Instruction. Maximum interaction between the DSERT and the District administration is in the distribution of textbooks. The general feeling is that DSERT is concerned with in-service/pre-service training and it has to work with DIETs/CTEs. DDPI office does not need to have much interaction with the DSERT. Quality improvement of the system of education will not happen till this type of thinking is dismantled. For the variety of potential functions envisioned in this section, there is a need for a liaison person of the DSERT located in every district at the DDPI's office. Let his rank be that of an Educational Officer. For want of a better term, let him be called as TOTAL QUALITY MANAGER (TQM). There will be 27 TQMs in the 27 districts. They will be either promoted/selected on the basis of merit, aptitude and seniority or recruited on a contract basis. The TQMs will facilitate the work of the DSERT at the District and sub-district levels. Facilitation of Research, Training, Advocacy, Networking, Guidance and Counselling, Survey Testing, Distribution of Academic Inputs, Promotion of Creativity and Innovations among Teachers and Students, Organisation of Co-curricular activities at the Taluk and District levels will be the functions of the TQMs.

TQM New Developments

There has been a criticism to the proposal of installing a Total Quality Manager (TQM) at the DDPI's office. Notwithstanding such a criticism, the Government of Karnataka/ Department of Public Instruction has issued a government order to post a TQM at the District level who is being designated as a Joint Director of Public Instruction. Formerly, Karnataka State had been divided into four administrative divisions for convenience of administration. Each division was administered by a Divisional Commissioner (DVC) whose chief function was to coordinate the balanced development

of districts following under the jurisdiction of his division. For purposes of educational administration he was assisted by a Joint Director of Public Instruction (JDPI). The JDPI was also empowered with certain functional powers as appointment of high school teachers.

Following the 73rd and 74th Constitutional Amendment and the 1993 Panchayat Raj Act that followed it, development administration including education was decentralised at the district level and Zilla Panchayaths became empowered to manage the districts. The posts of JDPI (and the DVC) were declared to be redundant and they were abolished. In its new form the former JDPI was shifted to Karnataka State Secondary Education Examination Board as a liaison officer and is now being paid his/her salary by the Board. A new post of JDPI was located at the district level for each district who would assist the DDPI in all technical/quality improvement matters. DDPI will henceforth look after general administration and guide/monitor the JDPI in quality related/teacher training affairs. The new JDPI is an equivalent of the TQM recommended in the study. Nomenclatures should not make a difference. The idea and the spirit behind the proposal is important.

CPI and the Directorates - General Administration

Enumeration of children who reach school admission age, enrolment of children, admission of children to schools, provision of building space and other infrastructure facilities, supply of equipments, furniture, library books, laboratory durables and consumables, incentives to children, recruitment of educational officers, posting and periodic transfers of personnel, organisation of capacity building exercises for teachers and officers, examination of demand for grant-in-aid to eligible institutions, administration of grants, attention to minority interests, conduct of district-level 7th standard and State level 10th standard public examinations, processing of answerscripts and announcement of results, production and distribution of textbooks whose number is nearly 240 from one to ten standards but comprising different demand schedules; maintenance of Monitoring & Information System for (a) 48000 elementary, 9000 secondary and 1900 +2 institutions; (b) 210000 elementary and 90000 secondary school teachers; maintenance of discipline across institutions, teachers and other personnel, attending to departmental enquiries and legal matters; keeping liaison with village, taluk and Zilla-Panchayaths in most of the functions of the department, maintaining liaison with the Secretariat at the State and the Centre; with national and State level academic support institutions; regular conduct of meetings of stakeholders at all levels; initiating and sustaining quality improvement measures at all levels; mobilisation of resources for the department, monitoring expenditures; disbursement of salaries, pensions, fringe benefits - medical reimbursement, encashment of earned leave, home travel concessions; representing the department at various halls of judiciary; managing Centrally sponsored schemes and externally funded projects; meeting general public who have vicarious problems; managing teachers associations, other associations; attending to legislators and legislature concerns; submitting performance report and clarifications to Public Accounts Committee, internal audit; maintenance of records; modernisation/computerisation of departmental administration and school services; arranging public functions for annual teachers' awards, red-letter days; appraising the subject-minister about the problems, issues and progress of the department; involving the Ministry in the solution of problems of the department; preparing periodical/sub-sectoral plans of development of the

department;. Like this, there are innumerable and complex functions which are attended to by the CPI and his/her Directorates.

Most of the problems get solved at lower levels of administration beginning with the school and going higher up through the offices of the BEO and the DDPI. Only a handful of individual/institutional cases go up to the State level. Otherwise problems which are of general administration and transcend solutions at lower levels have to be attended to at the State level by the CPI and his team.

Are the given structures of CPI/DPIs at the State level adequate (surplus), efficient (inefficient) and suitable (irrelevant) for attending to the variety of functions required of them and for solving the problems? Is there a need for downsizing/trimming/ right-sizing/strengthening the given administrative structure? What are the norms for organisation/reorganisation/replenishment of existing structures? Is the Department (CPI/DDPIs) performing to optimal level of efficiency? What is efficiency and how to evaluate it? Are there 'participative culture' and 'transparency' in the administration of the department? These and many other questions merit attention in a functional review of the department. Before attempting to answer these questions/address these issues, it would be better to familiarise ourselves with the existing structures.

The following three tables present the staff strength in the CPI and the team of DPIs at the State level, the 4 Regional offices of the KSEEB and the totality of District level offices. (DDPIs of the State).

[A] STAFF STRENGTH OF THE CPI and DIRECTORATES

	CPI	DPI P ^y Education	DPI S ^y Education	DPI Minority Schools	DPI KSEEB	DPI DSERT	TOTAL
Director	CPI	1	1	1	1+1*	1	1+6
Jt. Director	-	1	1	-	1	1	5
Dy. Director	-	3	1	1	1	4	10
SADPI	4	3	2	5	6	13	33
	-	-	-	-	-	(1)	(1)
ADPI	7	2	2	1	10	6	28
Superintendent	20	4	5	8+1	20	7	65
	(6)	-	-	(1)	(1)	-	(8)
FDA/Steno	60+6	26+1	28+1	2	120+4	21+1	270
	(6)	(2)	(2)	-	(5)	(1)	(16)
SDA	31	11	12	2	65	10	131
	-	-	-	-	(1)	-	(1)
Group D/Driver	39+9	8+2	8+2	3+1	33+3	37+6	151
	(10)	-	(2)	-	(9)	(6)	(27)
CAO/AO	1+1	-	-	-	-	1	3

* +1 is Director (DPI) for other exams (other than SSLC).

- NOTES: 1. Numbers in the cells refer to sanctioned posts.
 2. Numbers in the bracket refer to vacant posts.
 3. A separate Directorate of North Eastern Range has been set up to supervise the educational programmes of 7 educationally backward districts viz: Bidar, Raichur, Koppal, Bijapur and Bagalkote.

This Directorate has one Director, 2 Group B Officers and minimum clerical staff provided on OOD basis. Posts of officers are shifted from DPEP. Salary of all personnel is paid out of DPEP funds.

[B] STAFF STRENGTH OF 4 REGIONAL OFFICES OF KSEEB

Regional Secretary KSEEB & Ex-Officio JD (4 Regions)	4
SADPI	4
Manager	4
Superintendent	4
FDA/STENO	52+4 (8)
SDA	36 (2)
CCT/Typist	8+14 (2)
Group D/Drivers	36+4 (10)

Note: Figures in the column refer to sanctioned posts.

Figures in brackets refer to vacant posts.

[C] STAFF STRENGTH AT THE OFFICES OF THE DDPIs

Sl.No.		No. of Posts
1	Total No. of Educational Districts/DDPIs	32
2	Educational Officers	52
3	Graduate Assistants	22
4	Subject Inspectors of Schools 5+1 per district	192
5	Manager	24(2)
6	Superintendent	91(7)
7	FDA/STENO	261127(7+3)
8	SDA	16595)
9	CCT/Typist	28+63(4+7)
10	Group D/Drivers	226+26(14+2)

Notes: Figures in the column refer to sanctioned posts.

Figures in brackets refer to vacant posts.

Standard DDPI Office: DDPI=1; EO=1 or 2 (depending upon size of the district)
 GA/Manager = 1; Steno=1; FDA=8; SDA=6; CCT=2;
 Typist=2; Driver=1, Group D=6.

Let us concentrate on the CPI/DPI offices. In terms of sheer size, of all the DPIs, the fattest DPI (DPI refers to Directorate of Public Instruction) is the KSEEB - Karnataka Secondary Education Examination Board. It has also 4 Regional Offices.

Bulk of the staff at the CPI and the DPIs are (a) Superintendents, (b) FDAs/Stenos, (c) SDAs and (d) Group D/Drivers which are uniformly present in all offices. While the CPI and the 4 DPIs - Primary, Secondary, Minorities, Research & Training - Carry 336 posts in these categories, the DPI/KSEEB alone carries 345 posts. Regional offices which hold 118 posts under the 4 designations referred to above are not included here.

One may wonder: "So what if the KSEEB has so many posts. They are required to deal with nearly 6 to 7 lakhs of students appearing for SSLC examination apart from other examinations such as Commerce, Music, minority languages etc;". It is difficult to respond to this type of a remark. There are no norms for appointment of sub-staff. It is need-based, perhaps. However, two issues need to be addressed in this context. One of them is a minor issue while the other is a serious issue. They are as follow.

The minor issue first - There is increasing automation/computerisation of examination services everywhere including the KSEEB. Time is not far-off when we shall be reaching a scenario wherein every function/service of the KSEEB shall be computerised. [Note: Such a process of automation is invading the Banking and Insurance sectors]. What shall be the implication of increasing and complete automation of the KSEEB on personnel policies. I have no definite answers. I have only raised the issue. Only a task-group specifically set up to address this issue can come up with alternative/simulated scenarios.

Now, the serious issue - the MHRD/GOI/NCERT is contemplating on a examination - free education till the twelfth standard stage. The recommendation/proposal is not to have a tenth standard public examination. It is a proposal for examination-free education. No examination does not mean a free-for-all situation. Periodical tests, testing and retesting for learning levels, national level/regional level attainment surveys, continuous comprehensive evaluation by schools are on the agenda; but no public examination. If this proposal gains around public acceptance and the status of a public policy, it will have serious, long-ranging, may be disastrous, implications for personnel policy of the KSEEB. This issue requires concerted thinking debate and advance planning, either way.

There is also a loud thinking, a proposal flying in the air, to decentralise the planning, organisation and conduct of SSLC examinations. The KSEEB is expected to be a guide, capacity-builder, supporter, reviewer and analyst in this decentralised set-up. These are all alternative proposals for stepping up the cost and administrative efficiency of the SSLC public examination. Advantages/strengths of this proposal need to be examined along with the limitations and risks.

Specific Recommendations

- A case has already been made for the phasing out and eventual abolition of nearly 200 gazetted posts of Subject Inspectors of schools. It shall not be repeated here.

- The following specific task-group exercises need to be initiated by the CPI:
 - (a) Implications of step-by-step and complete computerisation of SSLC examination and administration of other Directorates. It may be noted/recalled in passing that the use of typewriters has been totally discontinued at the CPI's office.
 - (b) Implications for the State Directorate - KSEEB and the four Regional Offices, of an alternative scenario - Decentralisation of SSLC examination to the district level on staff structures and needs.
 - (c) Implications of the MHRD/GOI proposal to move away from public examination at the X standard level and move towards a Continuous Comprehensive Evaluation System on staff structure and needs.
- Work-norms may be established by the various DPIs/CPI for a self-review of functioning and efficiency.

The sum and substance of the arguments in this section is that the existing levels of rationalisation and coherence in allocation of functions and portfolios in the department within a framework of overall and department-specific goals of the department leave much to be desired. It is not correct to say that there is no vision/goal within the department. Likewise, to observe that such a vision/goal orientation is clear, visible and definite would be a dishonest claim. A vision needs to be developed, explicitly stated and shared by the ranks among all officers. In this way functioning of the department would become goal-oriented and not just task-driven/mechanical/routine.

SECOND OBJECTIVE of the STUDY

Another significant objective of the study (as per the TOR) runs like this: "to study the vertical and lateral devolution of functions and responsibilities within the department and between the department and local-self government institutions."

In order to address this objective the following serial numbers of the 'Activities considered for the Review' are considered: 4, 5, 6, 10, 12 and 13. It is expected that they would together adequately address the given objective.

The department has several facilitative, supportive, regulatory and review functions. These functions have evolved over a period of time along with the felt needs, powerful community lobbying, national policy directives, insights from research/systematic studies, Constitutional vision/UPE goals/EFA goals, Constitutional amendments (73rd and 74th) and similar pressures. Administrative structures were created in the government from time to time to perform these functions. There have been marginal changes, fine-tuning and strengthening of these structures. The structure of education as it exists today resembles a Big Banyan tree. It has spread from the State level to the village level. There has been a diversification of the basic structure at the State level since the early 1970s. With the diversification and downward spread of the structures there has also been a continuous delegation of powers, authority and responsibilities. A web/network of structures have been created right from and across the State level to the District and sub-district levels upto the village level. The efficiency and effectiveness of the Department as of today would rest essentially upon the vertical and lateral flow of communication and interaction processes in this network of structures.

I The DDPI

In the apparently complex web of structures of power/authority/responsibility, the District is observed to be the nodal point/junction station where there is a concentration of powers and responsibilities. State-level structures are supportive of the District authority. The district authority functions as the executive outlet of the plans, strategic interventions and programmes of the State-level administration. Creation of schooling facilities, recruitment of teachers, construction, repairs and maintenance of school buildings deployment of teachers, supply of free textbooks, uniforms, mid-day meals, school bags, scholarships, purchase of equipments, books, furniture, conduct of examinations and many other functional areas are planned at the district level. Decisions are taken at the district level. Before the adoption of the Karnataka Panchayath Act, 1993, these functions/decisions were performed/taken by the executive machinery at the district-level, by the DDPI. Since the shift of powers and responsibilities for district administration to the Local-Self Government institutions, it is the Zilla Panchayath which is vested with overall powers/authority while responsibilities for execution of decisions and executive powers/authority are still with the DDPI. DDPI acts as Member-Secretary of the Standing Committee on Education of the Zilla Panchayath.

The DDPI shares his powers and responsibilities with the Block Education Officer. The BEO will oversee the administration of primary education in the taluk/block. He is vested with powers and authority over all primary schools in the taluk except appointment of teachers. Deployment of teachers, service matters of head teachers and teachers, inspection of both high schools and primary schools, recommendations for the recognition of private primary schools, for grant-in-aid to such schools, for discontinuance of grant-in-aid to existing private aided primary/high schools, distribution of incentives/benefits, planning of school facilities are all functions for which the BEO is empowered. Any complaint against the BEO by the schools/local community will be attended to by the DDPI.

The DDPI is assisted by Educational Officers in inspection and management of schools. Subject Inspectors of schools assist the DDPI in quality improvement of classroom teaching in high schools. The EO is vested with authority and powers to initiate disciplinary proceedings against heads/teachers of high/primary schools. The SIs has no such powers/authority.

The BEO

The BEO has several academic/educational functions along with other functions. S/he is vested with administrative/financial powers/authority over all the primary schools in the taluk. The BEO works under the supervision and guidance of the Taluk Panchayath Samithi. Taluk-level educational planning is the responsibility of the BEO.

The BEO is assisted by two/three Education Co-ordinators in inspection/management of primary schools. Facilitation of smooth functioning of schools is the responsibility of the ECs. Teacher absenteeism, school repairs, management of school when teachers go on long leave, conduct of periodical tests and examinations, shortages if any in supply of incentives for children, record management in schools, deputation of teachers for training programmes, conduct of VEC/SDMC meetings and similar problem-areas in school management are reported and discussed by the ECs with the BEO.

The Head Teacher

The school is the last and final outpost in the delivery system of educational administration. All the services of the Department converge at the school level. As such the head teacher has to perform a variety of roles. There have been studies of the Role of Head Teachers in India by the World Bank (1996), [“India: Primary Education - Achievement and Challenges” Report No.15756 - 1N - 1996] and in Karnataka State by A S Seetharamu (2001) [“Role of Head Teachers in School Management - A Case Study in Karnataka State” ISEC/NIEPA, Mimeo Jan. 2001].

Head Teachers have primary responsibility on standards for student selection, evaluation and promotion of students, ensuring student enrolment and attendance, disciplining students, sanctioning teachers’ leave, collecting information for educational plans, supervising non-teaching personnel, administering tasks, raising resources, performing liaison work with the Block Education Office, involving parents in School Development and Monitoring Committees (formerly VECs/SRCs/PTAs), drawing-up timetable and monitoring its day-to-day implementation, distribution of work among teachers, deciding expenditures on teaching aids, chemicals, laboratory consumables, adopting syllabus to local conditions, planning curricular activities, organising Red letter days, excursions, receiving dignitaries, meeting parents, maintaining records, looking after school property and many other school/community related functions. The head teacher has the primary responsibility of transforming the school objectives (educational goals) into everyday realities.

It is significant to note that the head teacher is not held accountable for the level of learning attainments of children and for the school results.

As head of an institution, s/he has no control over the quality/type of teachers from whom s/he has to get work (This is true of the Panchayaths/SDMC/managing body of the school). S/he has to get work from the teachers posted to her/his school. S/he has no control over the curriculum which s/he has to operate in school. Financial powers for the head teacher are highly limited. Salaries of teachers and other staff is paid by the government, textbooks are distributed by the government, equipments, furniture, chemicals to the laboratory and library books are supplied by the government. A small amount of money is released to the school as ‘discretionary fund’ by the government for organisation of national days, sports and games, subscription to newspapers and magazines and general upkeep of the school. The school collects annual fees from students/parents on account of sports and games, library and reading room and laboratory maintenance. All expenditures require prior approval by the BEO/DDPI (or ratification).

Every child in I to V standards of government and private aided primary schools who puts in 80 per cent attendance during a month will be given 3 kilograms of rice or wheat by the Fair Price Depot which is nearest to the school. It is given for 9 months of the year; April, May and October being lean months. Certification of attendance every month is to be given by the head teacher while issue and receipt of foodgrains is to be signed by the FPS and parents/wards respectively. **By and large, there is a generally shared opinion/feeling that there will be no relationship between**

the attendance of children as per the attendance register and the certification of attendance given by the Head Teacher. However, the head teacher is subject to pressures of the community and 'humanitarian' concerns in issuing a full attendance (80 per cent minimum) certificate.

There are several problems of co-ordination in the operation of the Mid-day meal/ Nutritional support of the government. Let us begin with the grassroots situation and go upwards. The foodgrains are not distributed every month to the parents/wards of students, everywhere. They are distributed by the FPS once in 3 or 4 months. Why does it happen like this? An intensive analysis has revealed the following problem/ arrangement.

A monthly indent/requirement is prepared by the BEO for her/his taluk on the basis of information received and consolidated from schools. There will be a monthly meeting of all heads of primary schools at the BEOs office where this information is collected. It is submitted to the DDPI who consolidates the same for the district. The district-level requirement is submitted to the ZP at MMR meetings or otherwise. Non-supply or short supply is also reported at such meetings. The monthly requirement will be submitted to the Deputy Commissioner of the district who is also in overall charge of distribution of food grains. There is a Deputy Director of Food and Civil Supplies Department at the district level who issues the foodgrains to the DDPI as per the instructions (written) of the DC. The DDF&CS will not directly issue the foodgrains to the DDPI. The DDF&CS will instruct the Assistant Director of Food & Civil Supplies in the taluks to release the foodgrains to the BEO as per the written instructions of the DDPI. The BEO will submit a list of schools and their foodgrains requirements to the Asst. DF&CS along with the FPS shown against the school. The Asst. DF&CS will release the foodgrains to the FPS owner. The FPS owner will lift the stock as per his entitlement and distribute it to parents/wards of children on certification from the head teacher. A report on distribution will go upwards from parents through HT, BEO, DDPI, CEO to the ZP. Complaints are sorted out through the CEO/DC with the FCS department.

Note: There is no Dy.Dir. of FCS in Chamarajanagar District. The Asst. Director is functioning as Dy. Director. There is a Dy. Director in other 4 districts.

CRC/BRC/DPO and the Principal of the DIET/CTE

Technical support services for the Education Department are provided by the CRC/ BRC/DPO/DIET/CTE. At the State level, it is the DPEP/DSERT who provide leadership/ guidance/technical and resource support to these agencies. Following types of functions are attended by these agencies.

CRC - Cluster Resource Co-ordinator/Centre; BRC - Block Resource Co-ordinator/ Centre (Co-ordinator is called as person, CRP & BRP); DPO - District Project Officer/ Office; DIET - District Institute of Education and Training; CTE - College of Teacher Education.

Agency	Jurisdiction	Functions	Reporting Authority	Remarks
CRC	Lower Primary Schools	Production of Materials, Monthly Training Weekly visits	BRC/BEO	DPEP districts
BRC	CRC	Orientation/other training/Feedback	DPO/BEO	DPEP districts
DPO	BRC/CRC	Orientation/other training/Feedback	DPEP/DDPI	DPEP districts
DIET	Primary Schools	Pre-Service training In-Service training Preparation of Materials	DSERT/DDPI	All districts
CTE	Secondary Schools	Pre-Service and In-Service Training	DSERT	All districts
NIL	+2 Teachers	In-Service Refresher / Orientation Training	NA	NA
IASE	CTEs	In-Service Training	CPI/MHRD	One for the State
ASC	College Teachers	Refresher / Orientation	UGC	Universities
ATI, NIEPA, OTHERS	Administrators	In-Service Training	Govt. in the State, MHRD	State Govt. National Institution

Note: DPEP capacity building/cascade model training is being adopted in non-DPEP districts also.

The local-self government institutions are not concerned about the training/orientation/capacity building institutions and their functioning. At best, they may be formally informed about the programmes and coverage. The LSG bodies are vested with powers for allocation and utilisation of funds for the Education Department. The Zilla Panchayath is in charge of all development programmes in the district including education. A Committee System of Management is adopted by the Zilla Panchayath. 5 Committees assist the Zilla Panchayath in its function one of which is the Standing Committee on Education and Health.

The ZP transacts with the Department of Education at the District level through the Chief Executive Officer (a middle-level IAS or senior KAS officer). There will be a Monthly Monitoring Review (MMR) meeting of all departments, wherein a review of their functioning/problems/issues, including education is made. The DDPI attends this meeting. Sometimes the Cabinet Minister in-charge of the district may also hold such review meetings.

Review of functioning of the Department

Does the department function? Of course, it does. Is it functional? Most certainly, if not so, at least certainly, 'NO'. The Department functions, but it is not functional. What does this mean? It means that the time of all personnel/officers/teachers is occupied but not gainfully. Everybody is busy, everyone works, many of the officers from State level to taluk level over-work, but results do not reflect that. Performance is unsatisfactory on all accounts. Is there a decline, deceleration, negative outcome and retardation? 'NO'. The results are not commensurate with the investments of time and resources and efforts. Is there a lack of sincerity and commitment in officers/teachers/others in their work? 'NO'. Then what is the problem? The problem is one of lack of perception of the significance of their everyday activities to the overall objectives of the Department. It is a lack of self-imposed accountability and review in the department in a framework of goals of the department.

Take any indicator of educational development - results are not praiseworthy and satisfying. Non-enrolment persists; drop-out rates are decelerating fast but not non-existent; attainment levels are very poor at all levels. There have been three All India Surveys of attainments in primary schools. The latest survey (Government of India) of 2000AD reveals Karnataka in poor light. Attainment levels in language and mathematics I and IV standards are around 45 to 50 per cent of expected levels. Karnataka is ranked very low among 8 major States of India. Further, school final examination results have hovered around 50 per cent for the last several decades.

There is a diversification and devolution of functions and responsibilities in the Department. This devolution is operational for performing functions in a 'mechanical' way. End-use, final outcome, overall impact of activities is not kept in view. Take the instance of the 'school'. The school and the head teacher runs the school throughout the year. The school is a place where children learn. But the learning that takes place is not adequate. **The school does not evaluate itself periodically in regard to the objectives for which the school has been set up. There is no feedback and corrective mechanism for the school and by the school.**

The Educational Co-ordinator and specifically the Cluster Resource Persons/Co-ordinator has to monitor the progress of attainment in primary classes. S/he just collects all the progress reports and submits them to the BRC/BEO. There is no further analysis - student-wise, school-wise, cluster-wise. Such an arrangement is not at all there for higher primary and secondary schools/teachers. The DIETs refresh/orientate teachers about innovations, if any. There is no mechanism to get a feedback on the utilisation of training.

The Subject-Inspectors of secondary schools would not analyse the results of school-final examinations, school-wise, in their jurisdiction and get an update of location of poor performing schools as well as the dynamics of poor performance. Everybody does work 'assigned' to them. There is no pro-active thinking.

Schools practice 'no detention' policy. It is wrong to call it a policy because there is no government directive to this effect. But it happens in almost all the schools, especially government schools, and definitely in backward districts of the State. For instance, in Government High School, Raichur town, 'no detention' policy has led to a high level of failure at the SSLC examination (see, table below).

VIII, IX & SSLC Results, GHS, Raichur*

Year	Class	No. Appeared	No. Passed	Percentage of Passes
1998	VIII	90	90	100
1999	IX	85	85	100
2000	X	80	10	12.5

* The school is located on the main road near the Railway Station.

25 per cent of teachers in the State teach Mathematics/Language/History/Geography/Physics/Chemistry/Biology for classes VIII, IX, X even though they had not studied it at their graduate courses. This phenomenon is called out-of-field teaching. In this way, schools are not functional and the system tolerates it. But schools function, day-in and day-out throughout the year.

Reforms Needed:

1. **There is a need to create a 'STATE TESTING SERVICES CELL' (STSC) and locate it under the direct supervision of the CPI.** This STSC should use the present MLL norms for classes I to V and develop similar norms for higher standards and use them for Survey Testing of attainments school-wise, cluster-wise, Block-wise and District-wise. Let the testing be on a sample-basis for schools/clusters/taluks, but in all the districts. The STSC shall continuously monitor the 'QUALITY' of schooling at all levels, establish cluster-wise/block-wise/district-wise norms in performance, assist the BEO/DDPI/CPI in quality grading of schools, process the school performance data to discover the determinants, facilitators and constraints. It shall develop an MIS (as of now only school facilities MIS is being maintained by the department) on performance/attainments across the blocks/districts of the State. It shall sensitise periodically the senior educational administrators at the block/district/State levels on school/student performance in the State. Such an arrangement will make the functioning of the department functional; it will lend meaning/significance to the working of the functionaries. The Department will become more and more goal-oriented in this way. The STSC Cell can conduct ACTION RESEARCH on learning attainments in the State with the involvement of trained and appropriate field professionals on a 'Contract' basis.
2. The office of the Subject Inspectors of Schools (SI) has become a 'farce'. The person of the SI should be a scholar in his subject and skilled in its transaction with the students. If the SI finds a teacher inadequate in her/his teaching of the subject with the students, then she/he should be competent enough to demonstrate how exactly/efficiently the particular concept/problem/principle has to be taught. This is hardly being observed in the system. The SI is expected to improve the SSLC performance of schools in her/his district. Most of them are not even aware of the results in their subject in any current year and their block-wise/district-wise, SC/ST/Non SC/ST, Male/Female differentials.

It would be 'ideal' to abolish all the posts of SIs in the State and privatise the School Inspection system. SIs can be appointed on a contract basis. The BEO/DDPI can develop and maintain a pool of experts who would visit schools as a team. Just retired 'reputed' head teachers/teachers of high schools/college teachers/senior educational administrators/university teachers/principals of DIETs/CTEs/Methods Masters of BEd colleges/others with demonstrated expertise can be in the pool. They can be given training/orientation by a State-level Resource Group. Every school can be covered once in a period of a 4 year cycle. At the rate of 15 schools per month, it would require 600 teams to cover 9000 secondary schools; about 3 to 4 teams per taluk of the State. One team will comprise of 5 to 6 SIs. As of now, there are hardly 27 such teams of SIs across the State, one for each district. Coverage of schools is slipshod and irregular. 33 per cent of secondary schools (unaided) are not covered. They are mostly in urban areas; are adept in the 'tricks of the trade', the competitive, examination - centred schooling.

In fact, Inspection and Supervision can be combined together in School visits. [Supervision is a quality-improvement function. Inspection is for examining transparency, efficiency, participative structures and accountability. The term SI is a euphemism]. SIs are expected to improve quality of instruction.

Inspection of schools is the job of the BEO/EO/DDPI in the education department. As of now there is no 'Handbook of Quality for a Secondary School' and a 'Guidebook of Inspection of Secondary Schools'. The State-level administration needs to sponsor/develop such a Handbook and a Guidebook. There can also be a pool of Inspectors/EOs who would accompany SIs. The pool of Inspectors/Supervisors can be useful in contracting the whole function of Inspection of Schools. The Inspectors/Supervisors can be registered by the State Government [just like Registered Medical Practitioners, Certified Chartered Accountants, Wealth Valuers for Tax purposes, Baptised Advocates]. The system of school inspection can be privatised with the help of the pool of experts. The Schools shall be made to pay for the Inspection. Government shall pay for the government schools (meant for poor children) and managements shall pay for the private schools. This proposal is submitted as it is felt to be of inherent merits. However, if a question arises in any person's mind whether such a system of privatisation of Inspection of schools is feasible and whether it has been tried out anywhere in the world, the answer is 'YES'. It has been successfully tried out in the United Kingdom in recent years through the OFSTED - Office for Standards in Education.

A standards/quality tag can be marked on every school by the Inspection team: A = Excellent, Keep it up; B = Good, Improve further; C = Average, Rise to higher heights; D = Poor, cause for concern and E = Very Poor, immediate and radical measures required. The schools should be given facilities/encouragement to improve their grades over a period of time. The previous inspection report shall form a basis for next/current inspection. An ACTION TAKEN REPORT will be prepared on the basis of Inspection report by every school and submitted for scrutiny to the District Board of School Education.

In the process, there is a scope to do away with nearly 200 Subject Inspectors of schools and 75 Educational Officers, all Class I Senior/Junior grade posts. This can be done in a phased way/experimental way. Privatisation of inspection can begin with educationally advanced taluks/districts and proceed in a gradual way by learning and building on initial experiences.

Privatisation of Inspection should not be difficult as it come along as a component of a package of reforms and not just an isolated change. The DDPI's office becomes depleted of regular staff. But the DDPI also will henceforth function, as visualised elsewhere as a Member-Secretary of a District Board of Education, an extension of the Zilla Panchayath (details discussed elsewhere) and concentrate on all secondary schools. The BEO will hereafter focus his/her attention only on Primary schools.

3. A personnel - task/function - immediate output - overall objective/goal chart needs to be developed through a participative exercise for all levels of personnel. Such an exercise would make the everyday functioning of the department more and more meaningful. Let this be called a PFOG Chart - Personnel, Function, Output, Goal Chart. Every officer needs to be sensitised about the PFOG chart at the point of entry into service, promotion and later on as and when changes in functions are introduced. A sample PFOG Chart is presented here.

PFOG ILLUSTRATIVE CHART

Personnel	Function	Output	Goal
Head Teacher	Observe 'Prabhath Pheri' (Morning Bugle Call) regularly in the village Monitor whether school is run as per pre-planned schedule	Improve attendance of children	UPE - retention
Educational Co-ordinator -EC	Monitor whether all children have received the textbooks	Improve efficiency of incentive delivery services	UPE - all objectives
CRC	Examine Progress Reports of all children	Feedback on levels of attainment across the class	UPE - attainments
BRC	Visit CRC at the time of monthly meetings	Improve efficiency of CRC functioning	UPE - attainments
BEO	Visit Government Primary Schools	Tone up efficiency of schools	Tone up efficiency in the system [UPE objectives]
SI of Schools	Visit high schools and sit through a period	Improve quality of instruction	Promote quality in the system
EO	Inaugurate a talents Day in a school	Boost the morale of the school in conducting such activities	Promote excellence in the system
DDPI	Attend meeting of ECs called by the BEO	Get a feedback on problems, issues and progress of schools in the district	Promote efficiency and regional balance in development

Note: The monthly duties of a BEO and a DDPI from a typical taluk/district in the State is appended to the report.

II Monitoring the Delivery of Services

Directorates of Public Instruction working under the CPI at the State level monitor the delivery of services. Directorate of Primary Education, Secondary Education, Department of Backward Classes and Minorities, Directorate - Research and Training/Text Books/Science/....., are empowered and duty-bound to monitor the delivery of services. They are assisted in this work in their own Directorates by Joint Directors of Public Instruction. All the Departments of the Government/Education are assisted by a State Survey Cell. The State Survey Cell has several functions - periodic surveys

of the status of educational facilities and progress in enrolment and retention rates are chief functions of the survey cell.

Data Sources

There is a Compulsory Primary Education Act which was adopted by the integrated Karnataka State in 1962. This Act stipulates that the government/department compulsorily enumerate all the children reaching the age of 6 by June in Xth year. The enumeration will be done in December of (X-1)th year. The enumeration figure will indicate the additional pressures on the schools in the Xth year. ['X' denotes the alphabet and not the Roman Numeral]. Given the trends in non-enrolment, drop-out rates, repetition rates, over-aged and under-aged children in the system, the demand for school spaces and facilitative services are planned by the Directorates. The Survey Cell also has a Monitoring and Information System/MIS which periodically informs the department about the status of schools and progress in regard to UPE objectives **except the attainment levels in schools**. The MIS data is also collected/collected/processed at the national level by the Survey Cell of the NCERT and published once every five years. Even the Planning, Monitoring and Statistics Division of the Department of Secondary and Higher Education at the MHRD/GOI, uses State Survey Cell MIS data for publishing 'Selected Educational Statistics' every year. The NSSO takes up thematic surveys on status and progress of education periodically. The same themes are repeated so that there can be scope for comparison across time. The Census of India (Karnataka State) gives an update every ten years on such areas as literacy - general/SC/ST/Girls/States/ Districts/Taluks/Villages; population by educational levels; etc. All these data will be helpful in monitoring the work/progress of the Department. BY and large, basic information/MIS is computerised. It is available on the NICNET. **One limitation of this large data-base is that except for a few basic variables as enrolment and institutions, there is no attempt to collect information from private self-financing/unaided and private aided schools**. For instance, number of classrooms/teachers/teachers by qualification and training/teachers by refresher courses attended in the last 5 years/salary scales/facilities/.. are not available for private unaided secondary schools who constitute over 36 per cent of the total secondary schools. There is **hardly any information on private demand for schooling, private investments (and potentials therein) for schooling**.

A glaring omission in the MIS system is that attention to attainment levels in the schooling process is not continuous. This has already been referred to earlier. As of now, there is a little information from Base-line and Mid-term surveys regarding attainment levels at the lower primary stages. Information on attainment at District/Taluk level is available only at the seventh standard, terminal stage, of higher primary education. Again, information on attainments at the high school stage is available only at the X standard stage. There is no MIS which is continuous, reliable and comparable at several stages of the child's life in the school. Even the VII and X standard reporting is by and large declarative rather than diagnostic. There is **no subject-wise, sex-wise, social group-wise, region-wise analysis of school final results** that should have been the basis of corrective/remedial actions in the schooling process. A 'State Testing Services Cell' already suggested/recommended in this report should be able to attend to this MIS function.

Management of Records

Record management is the most cumbersome, tedious, time-consuming and boring work in educational administration in the State. Variety of records are to be managed at all levels. At higher levels of administration including that of high schools, there is provision for clerical support. It is available also in large higher primary schools in urban areas. The most handicapped level where record management is done is the lower primary school. There is no clerical (or menial work) assistance for a primary school.

The Head Teacher of a primary school has to maintain over 25 registers. The EC/BEO/EO/DDPI may have to look into all these records when they go on inspection of schools. The list of records to be maintained are:

1. Children's Enrolment Register, 2. Government Circulars/Orders file, 3. Staff Attendance Register, 4. Standard-wise/section-wise students' Attendance Register, 5. Stores (All Materials of the School) Acquisition and maintenance Register, 6. Library (books and other collections) Register, 7. Marks Register, 8. Teaching Equipments Register, 9. Contingency Expenditures Register, 10. Sports Materials Register, 11. SDMC Account Register, 12. Minutes books of the SDMC Meetings, 13. Public Notices and Staff Memo Book, 14. Visitors' Book, 15. School Inspection Register, 16. Record Book for free distribution of textbooks, work books and uniforms, 17. Fee Collection receipts book and Fee Register, 18. Follow up of Inspection/Action taken Report Book, 19. Free Distribution of Food Grains Register, 20. DPEP grants, expenditures and materials Register, 21. Village Survey Register (wherever Micro-Planning Exercises have been done), 22. School Properties Records (if the school has any property), 23. School Betterment Committee Register, 24. Annual Plan, Programme of work, School time-table and Institutional plan (if any) Registers, 25. Health Examination of Children Record Book, 26. Leave Register of Staff, 26. Service Registers of self, other teachers and supporting staff.

Even at higher levels, management of records is a routine function of the department. For example, various registers are maintained by the BEO. Acquittance, Pension, Teacher supply, Leave records, Provident Fund, Complaints, recognition of schools, medical reimbursement bills, Leave Encashment Register, minutes/meeting notices/agenda notes of various committees which are attended by the BEO such as those called by DDPI, Taluk Panchayath Samithi; Zilla Panchayath, Standing Committee on Education, Executive Officer of the TPS, PWD, Land Army, Co-ordination Committee meetings with other departments, CPI, private aided schools, Inspection reports. Like this there are a variety of registers/records/documents that are maintained by the BEO regularly. Some of these information will be related to all teachers/HTs/officers in the taluk. The DDPIs office also maintains a variety of records. Many of the files maintained by the BEO are also transmitted for ratification by the DDPI. Disciplinary proceedings against teachers is an illustration herein.

III Reporting Systems

There is a well set reporting system in the Department. Reporting has become mostly mechanical and routine. It does not become a basis for follow-up actions.

Attendance & Progress

The most important report of the department which links the chief stakeholders, the customers for the chief service of the department is the PROGRESS REPORTS of students, loosely referred to as Marks Card.

Currently three forms are being used to monitor/document/report progress of students. Interestingly, all the three forms seek to know the "mother's name" also along with her signature on the report card. Report of progress is competency based for classes I & II. The child is classified as a slow learner, average learner and fast learner on the basis of attainments. 80 per cent attainment qualifies the child for the next higher class. Formats for classes III & IV as well as V, VI and VII are similar except that for hps, the format provides for entry of attainment in 3 languages. Attainments are subjected to 4 periodical tests and 2 examinations. Results are periodically recorded and students are graded across 5 grades. All the three formats provide space for recording teacher's perception of a student at three points of time in a year on Punctuality, Neatness, Care of books and Conduct. Space is provided for recording students' progress on health & fitness, art and creative activities, SUPW & value education. There is also provision for recording attendance of children as against the no. of days the school worked at 5 points of school year plus the consolidated position. The report card is to be signed by class teacher, counter signed by HM, certified as seen by parents/guardians.

Scrutiny of the filled up cards in the schools during field visit revealed that except school subjects & attendance, other spaces had been left empty/blank.

Progress report cards of the schools are consolidated by the CRC and sent to the BRC. In non-DPDP districts, the EC sends a consolidated report to the BEO. The BRC sends a consolidated report to the DPO; BEO to DDPI.

There is a system of reporting on the attendance of children to schools for purposes of issue of foodgrains/mid-day meals. This report is sent periodically by the HT to the BEO through the EC. The BEOs send a consolidated demand schedule to the DDPI who will use it with the CEO/DC for release of foodgrains. There is a circular process of reporting.

Attendance of students to primary schools/high schools per se is not reported to higher authorities. Drop-out information is reported once a year but not attendance. There is a format to collect information from schools on non-enrolled and drop-out children.

It is observed that by and large long absentees from schools eventually drop-out. Prolonged absence may be due to sickness of the child or chronic health problems of parents, seasonal migration for agriculture, leaving the village for marriage at a distant place, a pilgrimage, engagement of children during harvesting season, death in the family/kinship or any other reason. Absence from school means loss of learning and continuity in understanding. Loss of learning will have spill over effects on further learning which becomes cumulative. School lessons become difficult and boring. Attendance to school becomes boring, passing time and a waste. Hence, children drop-out. There are no bridge courses/remedial classes for long absentees. Some enlightened HTs entrust the

care and learning needs of long absentees to bright student in the class. Enlightened HTs are a rare species. There is no concern, serious attention and remedial action for long absentees/potential drop-outs. **Schools and reporting systems are not designed to take note and care of Long Absentees/Potential Drop-outs.**

However, there is a plan-in-operation for reentry of confirmed drop-outs from schools. There is a Remedial Teaching Programme in schools. During vacation, a bridge course called Chinnara Angala is organised. In habitations with school-aged non enrolled/drop-out children but without a school in the habitation itself, a programme of motivation called 'Vidya Chethana' is in operation. Remedial teaching is for those children who are discovered to be backward in learning even after attending the bridge course. A report is sent to the BEO/DDPI by the ECs on the organisation and conduct of bridge courses/remedial teaching programmes.

The DPEP School Infrastructure Surveys

DPEP collects information from lower primary schools. Information is collected through a schedule which is designed to facilitate easy coding of responses, consolidation and processing. It has 9 sections: (a) Location of schools, (b) school structure and basic information, (c) teachers, (d) teaching equipment, (e) school plant, (f) furniture, (g)(h)(i)enrolment and incentives coverage - all children, SC, ST children.

As of now school-wise/taluk-district-wise information on all these 9 sections is available in the State.

Reporting on Incentive Schemes

There is a downward flow of information on distribution of incentives across the schools of the State - taluk-wise and district-wise. Normally, a feedback (upward flow of information) will not reach the State headquarters. There are cases of children who have not received textbooks. On enquiry, it is revealed by the HT that there has been a short supply. HT does not report. If HT reports to EC, EC reports the same in a routine manner to BEO. The BEO is aware of short supply but does not report it in writing to DDPI. He orally informs the EO/DDPI during their routine visits/meetings. Even the Executive Officer of the TPS was not aware of the shortfall in one of the taluks (Manvi taluq). On further follow-up of complaints of short-supply with the (State-level) DSERT, it is noted that they maintain a Demand register and a Supply register. There is district-wise data/information. Demand from districts tallies exactly with the supply and the supply/receiving receipt is pasted on the register. The problem of short-supply is only at the district and taluk levels.

A calendar of supply of incentives needs to be maintained by the District office/DDPI as well as the Block Office/BEO. Within a fortnight from the supply of incentives, there should be a compulsory review meeting from Village Panchayath/SDMC upwards at the Cluster/Block/District levels where a stock-taking of supply/short-supply is done and follow-up actions taken up. A report on supply, minutes of review meeting and Action Taken Report should be submitted by BEO/DDPI to DSERT/CPI.

Budgeting System

There is no convention for the schools to prepare their own budgets. Receipts of the schools are negligible. Still some of the schools at lower levels and higher primary/high schools prepare their own annual budget which is nothing but Receipts and Expenditure statements. Budgetting in the sense in which it is understood in the United States/Australia/Canada/.... is not done here. In the advanced countries, the school has a vision/goal orientation which is concretised into action programmes. Resources required to realise the goals are estimated. Resources are both physical/human and financial. Resources are mobilised and allocated as per priorities. A school based budgetting system will essentially comprise of these procedures. The school would evaluate itself in this framework. Schools in Karnataka State do not do/are not required to do this type of budgetting. In fact, budgetting at all levels from school to BEO/DDPI/DPI are mechanical expenditure statements of the department. It is only at the level of CPI and the Secretary II Education that the budget for school education is prepared.

There is no choice in estimation of demand for non-plan grants. Giving allowance for attrition and premature deaths, non-plan grant is estimated. Budgetting becomes meaningful only with respect to plan grants. Leaving out general administration, some of the schemes continue to remain under plan head. Items which fall under non-plan grants may be maintenance of school building, In-service teachers' training, professional growth activities, English Language and Orientation training, non-government teacher training institutions, assistance to local-self government institutions, (nearly 98 per cent under non-plan account goes under this heading), Ahara scheme, EFA grant for upgradation of elementary education and special grant for computer training to school children.

Items which fall under demand for plan grants include supply of machinery and equipment to schools, central plan scheme of educational technology, special programmes for construction of primary school buildings, Grant-in-aid to non-government schools. SOPT training for teachers, Vidya Vikas Scheme (supply of free uniforms and text books, 17 crores or 3.62 per cent of total plan budget 2001-2002), preparation of teacher guides and other materials, assistance to local-self-government institutions (70.85 per cent of budget under plan account goes to this head during 2001-2002), Vidya Vikas Scheme special component, Special Component tribal sub-plan, Ahara, repairs to classrooms, construction of classrooms for standard I, physical education, DSERT strengthening, UEE activities, UMLI academic activities, facilities for SC children in standards I to IV, Vidya Vikas under Tribal sub-plan, special programs to government TTIs, non DPEP LPS and all districts HPS school grants, reimbursement of examination fee for girls and non-government fees to SC/ST children, remuneration to contract teachers, construction of new primary schools plus toilets and drinking water to existing schools and repairs to classrooms. The implementing officer for both plan and non-plan heads of account are identified in the demand/budget document. Separate budgetting is done for primary and secondary education and then consolidation is done.

Demand for grants to education undergo a consolidation exercise in the planing department (with other departments). It is reviewed by Finance Department. Revisions are effected as per the consultations from planning, & finance. It is examined by the Subject Committee on Education of the Legislature and then finally approved by the cabinet and the legislature.

School Development & Monitoring Committee (SDMC)

The latest in school management is that the Government has directed every primary/higher primary/secondary school to constitute SDMC [G.O.No.ED 1 PBS 2001, Bangalore dated 24.8.2001]. Apart from other provisions, the SDMC is empowered to collect donations from public for the school, receive grants from government, supervise consultation and repairs works in the school with the technical support of Panchayaths, identify and motivate philanthropists to adopt the school or part of its activities, write off dysfunctional school properties - auction them and mobilise resources, auction the produce from school garden etc;. Under this arrangement the school will have opportunities for more meaningful budgetting procedures/strategies. Incidentally, it is to be noted that the creation of SDMC is as per the recommendations of the Chief Minister's Task Force on Education.

Communication Networks

Study of communication network within the department and across departments and upto school level is important within a framework of devolution of functions and responsibilities in the department and with LSG bodies. Here follows an account of such networking.

Communication in the department is by and large a ONE-WAY process. Given the division of work, hierarchy, loyalty and yes-boss culture, it is **mostly top-down**. Only a small volume of communication is through printed literature, written medium/Fax message/Government Orders/circulars. Otherwise it is oral in nature, either through informal visits or by telephone.

School-level

Communication and decision-making is a meaningless proposition in small schools. It is informal and casual in large schools. Constitution of school staff council is a rare phenomenon. Participative decision-making and review are limited to only a small proportion of schools. However, there will be a Student Council in most of the high schools with a staff adviser nominated by the HT which takes care of co-curricular activities.

The HT by and large depends upon the senior most teacher to run the school. After the constitution of VEC/SDMC many of the decisions are expected to be taken by these institutions about the day-to-day running of the school. HT is member - secretary and VP member/Vice President/President will be President of SDMC. In addition to SDMC (which is an extension of the Village Panchayath), several committees are formed as and when they are required. For instance, a village (level) Panchayath level monitoring committee for planning, organising, conducting and monitoring ENROLMENT DRIVES is formed throughout the State during April, May, June 2001. [vide circular from CPI No.A4, (Directorate of Primary Education) DPE/Enrolment Drive (ED)2/2000-2001 dated 15.4.2001]. It is noted here itself that similar committees are formed at Taluq level with TPS President as President of the ED Monitoring Committee and at District level with ZP President as President of this Committee. HT of the school where VP is located, BEO, DDPI function as Member Secretaries respectively.

Teachers maintain a Lesson Plan Diary where they record their lesson notes, lesson completion notes and related details. This is the chief document which serves as a medium of communication between the school, the EC, the CRC, the SI and other facilitating/inspecting officers.

Communication across schools is effected by the BEO wherever taluq-level science/cultural fairs are organised. In advanced regions such programmes are organised every year.

Communication across school teachers is facilitated at cluster level by Cluster Resource Co-ordinators at Cluster Resource Centres. Teachers of every cluster meet once for a whole day every month to discuss teaching-learning issues and concerns that they experience.

All schools in a taluk network themselves for the VII standard District level public examination under the guidance and leadership of the BEO. The question-paper is set at the district level and administered throughout the district. The answer-scripts of students from one taluk is evaluated by teachers of another taluk within the district. A few advanced taluks (Eg. Tirthahally taluq, Shimoga District), use common question papers for lower standards also.

Though all high schools prepare student for school final examination, only 65 per cent of high schools are given the status of centres for the State level public examination. There is a networking of schools for the school final examination. In some of the advanced districts, the District HTs association is quite strong. They commission question papers for the preparatory examination to the public examination and help students in warm-up exercises. Papers are valued by the respective schools. Communication and networking is strongest for the school final public examination. There have also been dangers/risks in networking of schools for school final examination. There have been instances of leakage of question-papers, publication of next day's papers/questions in popular newspapers, discussion of this problem in the Assembly, in the past. This phenomenon has been described as public examination scandals. It has eroded the credibility of the Department even though there is no dearth of denials of leakage by senior most officers of the Department in-charge of examinations. The problem of leakage of question-papers and the scope for scandals can be solved once for all in the following way.

e-Communication and Networking for SSLC Examination

The Department should develop a question bank in all school subjects (high school) using a work-shop/participative methodology. It will comprise of 1,2,3,5 and 10 mark questions - objective, short-answer, essay type questions. HT/Teachers should be oriented about the content and format of the question bank well in advance. The question bank will be coded in a subject-unit-question-wise manner. All the schools will be supplied with the question bank.

Every Government Secondary School/Centre for SSLC examination will have computer facilities. Let it be connected to the KSSEEB by e-mail facility. On the morning of the day of examination a coded question paper shall be released from KSSEEB,

Bangalore to all Centres. The schools will download the QP using a laser printer and xerox as many copies as are required. Downloading and xeroxing will be under the supervision of school authorities/SDMC/VP/TPS as the case may be [a small group of 3 to 4 responsible persons]. The scope for leakage in this system would be almost zero.

Taluk-level Communication

A monthly meeting of all HTs of the taluq at the BEOs office and with the BEO is the main platform for communication between the Department and the schools. Government's directives/expectations to schools, review of progress in regard to departmental programmes, feedback on problems from schools and any other matter of concern to schools are discussed at these meetings. This is followed by CRC/EC visits to schools. School problems is a passing concern of the Taluk Panchayath Samithi of their monthly meetings which is attended by the BEO. TPS is mostly interested in physical infrastructure projects of the Department.

The BEO attends meetings called by the DDPI regularly, a minimum of one meeting a month. The BEO will act as Chief guest/one of the chief guests for taluk level teachers' meeting. Most of the taluks in the State have a TEACHERS' CENTRE called Guru Bhavan that has been constructed out of Teachers' and Students' Benefit funds and public contributions by the State Welfare Association, a quasi-government unit.

District-level Communication

The DDPI is the king-pin of educational administration in the State. His/her office is the nodal point of communication for the State Departments of Education, the CPI, other Departments such as Social Welfare, Women and Children's Welfare, Minorities and Backward Classes, the ZP, sub-district offices, schools, private institutions, DIET/CTE, and all other institutions/agencies/individuals who have anything to do with schools.

The ZP has 5 statutory advisory committees one of which is the Standing Committee on Education and Health. The DDPI is the Member-Secretary of this Committee. Planning the allocation of resources for construction of buildings, purchase of furniture and equipments for schools, calling tenders, contracting works and purchase are attended to by the Standing Committee on Education. Its recommendations are ratified after scrutiny by the ZP

Reforms Needed

1. Communication in the Department, especially at the District/sub-district levels, has been archaic and time-consuming/wasting time. The DDPI/BEO have to attend variety of meetings all through the month leaving them with little scope to do justice for the main/chief function expected of them, which is facilitation of provision of 'good' quality education for all children. The DDPI/EO/BEO are expected to visit a specified number of schools. They are hardly able to do this. There is a need to privatise School Inspection which will be discussed at a later stage. In so far as communication networking is required, it would be advantageous for the DDPI/BEO offices to network themselves with the CPIs

website and modernise communication patterns. **Routine meetings by the ZP President/Vice President, CEO, MLA/MP/Ministers/VIPs to which DDPI/BEO are required to attend, stay for the whole day/half-a-day to make 5/10 minutes presentations should be stopped.** [(Attendance is to be stopped; reference is not to meetings; even if attendance is needed, let it be for a brief period and specified time of the day)].

2. As of now, there is no communication among secondary school teachers who teach different school subjects. They do not meet any time to discuss their teaching problems/subject knowledge/new developments. In contrast, it is noted that 46 per cent of secondary school students in Japan are taught by teachers who meet at least once a week in Subject Teachers' Association Meetings. Even in the UK, there are Physics Masters' Association, Mathematics Teachers' Association and similar Subject Teachers' Associations who are quite lively and active. There is a need in Karnataka State to form Subject Teachers' Association for all school subjects of secondary schools [Mathematics, Languages, Environmental Science I and II] who can meet at least once a month at the Taluq Guru Bhavans to discuss academic concerns. Leadership for such meetings has to be provided by the DDPI/BEOO. Special lectures/symposiums/orientations can also be organised during such meetings.

IV Performance Evaluation

Modern management terms as performance evaluation have no meaning in traditional departments like education. There are awards for dedicated service to teachers, recognition of talent among children, felicitation to retiring/transferred educational administrators, head teachers and teachers. But it is not related to specific and definite performance among teachers/HT/Officers. It is for life-time achievements/contributions.

Performance evaluation is possible when tasks are defined and sequentialised, personnel are identified and trained, outputs are specified, the inputs required for satisfactory completion of the tasks are provided and accountability is fixed. All this is done in a framework of goals and objectives of a system. But in the given system of education, there are several shortcomings, limitations and constraints. If children do not learn, responsibility cannot be squarely fixed on the teachers or the head teachers. If schools do not function efficiently/effectively, administrators cannot be held responsible. There are several escape routes at every level for personnel of the department to explain inadequacies, failures and disappointments. Poor infrastructure facilities, shortage of subject teachers, shortage of teachers, incidence of paid/unpaid child labour, low demand for schooling and school performance from first generation learner families and like this there can be several explanations which are apparently convincing.

Another stark reality which gets hidden is the quality of flow of teachers to the profession. Completion of PUC/+2 is the minimum required qualification for teachers at the primary stage. Even a just 50 per cent 'fellow' gets an engineering seat in the State. [Only 25 per cent of entrants complete a 4 year course in 4 years. Rest of them complete it in instalments - INSTALMENT ENGINEERS]. The **filtered lot**, the hard pressed for jobs in early life get into 2 year TCH course and compete for teachers' jobs.

Many of them would have studied in bad schools or would have been poor students of average schools. They would be 'throughout 40 per cent fellows'. Only 'a few 60 per cent SSLC/PUC pass' persons will join TCH course.

There are quite a large number of +2 graduates who get into BA/BSC courses. About 65 per cent of enrolments in higher education in India is in BA/BSc Courses. Those who do well in BA/BSc go to MA/MSc courses. The left out as well as those whose habitations are remote from PG Centres/universities (which means they have to stay in hostels) join B.Ed colleges and qualify for high school teachers' job. As such the filtered lot become primary teachers and the twice-filtered lot becomes a high school teacher. Their primary/high school content mastery is very poor. What can you expect of them? How can any system penalise them for poor performance? **They need to be given subject refresher training on Induction.** This is not being done. It would be sinful to hold them accountable, think of penalising for systemic failures.

How does the system function to its given optimum capacity as it does? There are 'sincere' teachers because of whom the system gets going. Efficiency can be trained and guaranteed but not sincerity. Sincerity is a personality attribute. There is a need for a gate control in appointment of teachers who are sincere, who have an interest in teaching and who respect the teaching profession. Aptitude should be (tested) an input for entry into the profession. As of now, it is not being tested. Mass education requires a continuous and large scale supply of teachers for relatively low salaries from all cross-sections of society. Promotion of equity and regional spread of teachers are also important/noble objectives. Modern management terms like 'Performance Evaluation' ignore/pay lip-service to Equity and Justice. It is in this context that Awards/Recognition/Incentives need to be looked into.

There is a scheme of merit scholarships at the higher primary/high school stages. This is open for the 'merited poor'. For others who are talented, irrespective of their class background, there is a recognition scheme known as National Talent Search Scheme which also has a State component. An NTS scholar will get continuous financial support once s/he qualifies for the scholarship. Further, rank-holders in SSLC examination were being felicitated by Government every year till recently. System of declaration of ranks was discontinued by the government under pressure from a large number of institutions/private management who failed to get ranks even while some of the rank-getting institutions/managements capitalised their results for donations/capitation fee from students/parents seeking seats/admissions in their institutions. Still it is observed that as students with distinction are felicitated, taluk-level and district-level. Even some public organisations like the State Bank of Mysore, some other nationalised banks, cultural associations honour student with distinction. But this is not a uniformly observed phenomenon.

September 5, every year, is observed as Teacher's Day throughout the country. It happens to be the birth day of Dr.s.Radhakrishnan who rose from the ranks of a teacher to be the President of India. Teachers' Day Flags are sold by KSTBF to the students/public and funds mobilised thereon. The State Government gives variety of awards for teachers as a part of Teachers' Day Celebrations. Even District-level Teachers' Associations honour teachers in the presence of (patronage of) District Ministers/MPs/MLAs/ Education Officers/public leaders. These awards are for life-time contributions.

The state Government also nominates teachers for National Awards. There is a scheme of awards for 'Innovations, Talent and Creativity' among teachers. Applications are invited every year in the month of June/July for the purpose. Documented innovations/action researches/new teaching methods/production of teaching materials are received for scrutiny. Primary school teachers and Secondary School Teachers are categorised separately. Response to this scheme has been quite poor all these years. There will be on average 100 entries from among 210000 primary and 90000 high school teachers. Inadequate publicity is one of the reasons. **There is a need to bring out a Handbook/Manual/Guidebook on the awards scheme and distribute it to schools. A compilation/selected collection of entries which have qualified for the awards in previous years would also be useful.**

There is no dearth of recognition of HTs/teachers at least at the time of their retirement by enlightened village/town communities. This is especially true in educationally advanced districts of the State. Taluk/District teachers associations also taking a leading role in such activities. However, there is no performance-based awards/recognition to individual teachers/schools which is continuous and fool-proof.

OBJECTIVE NO.3

“to study the streamlining of central and centrally sponsored schemes with special reference to functional distribution and delivery structures of OBB, DPDP and DIET programmes.”

Education was brought under concurrent list with the 42nd Amendment to the Constitution in 1974. Since then the State Government and the Union Government share the expenditures on education in the State. The Government of India has been sponsoring and funding a few educational projects. Centre-based literacy projects (which are now abandoned in favour of campaigns), vocational education and the Anganwadi Centres under ICDS projects were some of the earliest projects which began during the closing phase of the Fifth Five Year Plan (1974-1979).

Participation of the GOI in education in the State has been on a larger scale since the adoption of the National Policy on Education, 1986. The National Literacy Mission was set up in 1988 which has been funding literacy projects - Literacy Campaign, Post literacy and Continuing Education Projects. A State level Advisory and Monitoring Committee (Karnataka Rajya Saksharatha Samithi) was formed. The District-specific literacy projects are examined and forwarded to the NLM by the State committee. State-level support to the districts-production of primers and other learning materials, training of State-level resource persons, evaluation of projects are taken up the Directorate of Mass Education which is an executive wing of the Education Secretariat. Every District will also constitute a District Committee (Zilla Saksharatha Samithi) for which the District Collector/Deputy Commissioner is the President. This Committee receives the funds directly from NLM. It is a Committee of officials and the public. The first phase of campaigns was over long back. Second phase comprised of Mop-up/Residual coverage projects as well as Post literacy projects. As of now the Continuing Education Projects are in operation everywhere. Government of Karnataka also earmarks a negligible proportion of total expenditures for literacy projects. It was 15.44 crores, 0.52 per cent of the total education budget in 1999-2000, out of which 11.70 crores was on Non-

Plan account. During the same year funding from the NLM was 48.13 crores. For every rupee spent by the State Government on literacy projects, the GOI spends rupees three and paise twelve.

There are quite a few projects sponsored by the GOI in the area of school education. Operation Black Board Scheme/OBE, District Institutes of Education and Training/DIET, District Primary Education Training/DPEP, Nutritional Support to all children in I to V standards in government and aided primary schools/Mid-Day Meals/MDM, scholarships to disadvantaged children from classes VI to X are some of the significant centrally sponsored schemes.

OBB has three components: supply of additional teacher to single/multi teacher schools, construction of classrooms in single/instructional rooms in lower primary schools and supply of equipments required for classroom transactions. OBB stipulates appointment of female teachers to redress gender imbalances. DIETs are created at the rate of atleast one Institute for every district located away from the District Headquarters. It is purported to serve as a model for pre-service training of teachers and especially as a nodal agency for In-Service training of all primary teachers in the district. There is a similar facility for secondary teachers through a sponsor scheme covering B.Ed. colleges. The DPEP is a primary education specific, quality improvement programme with an additional focus on girls education. It is a district-specific programme planned through a people's participative technique. DPEP is being operated in 13 educationally backward (women's literacy) districts of the State. It is in its II Phase (extended) of operation and going to terminate by 2003 AD. Funding is by World Bank with technical support from State/National levels. Funds received from all the Centrally sponsored/external agency sponsored sources constitute, on an average, about 15 per cent of the total educational expenditures in the State.

Administration of Centrally Sponsored (CS)/Externally Funded (EF) Schemes

CS/EF schemes are spread across different departments of government. The OBB, MDD, DIET and Vocational Education, are looked after respectively by the Departments Primary Education, Research & Training and Vocational Education. All of them are under the direct supervision/control of the CPI. The DPEP has a separate structure from State through District and Block to Cluster levels. There is also a UN-Joint System of quality improvement of primary education operated in 10 taluks of the non-DPEP districts wherein lessons from DPEP are gainfully adopted.

Issues

Distinctions such as CS/EF and State programmes are unnecessary except for purposes of accounting/audit and reporting to sponsors. In so far as schools/users/administrators down the hierarchy, there are requirements/needs for 'good quality' schooling. They have to be met. Messages such as 'this is a CS scheme and this is a State's own programme', 'Mr/Mrs. X is a OB teacher', 'this is a non-DPEP district' 's/he is a DPEP Officer', etc; send wrong signals among the rank and file in administration. Take for instance, the case of DIETs. It is used as a rehabilitation centre by the Department to post officers eligible for the posts of DDPI/EO but not figure in the

administrative dynamics. They are posted as Principal/Senior lecturer in the DIET. Even the personnel posted there, with honourable exceptions, look at the DIET as a junction station from where to get into 'attractive' administrative posts.

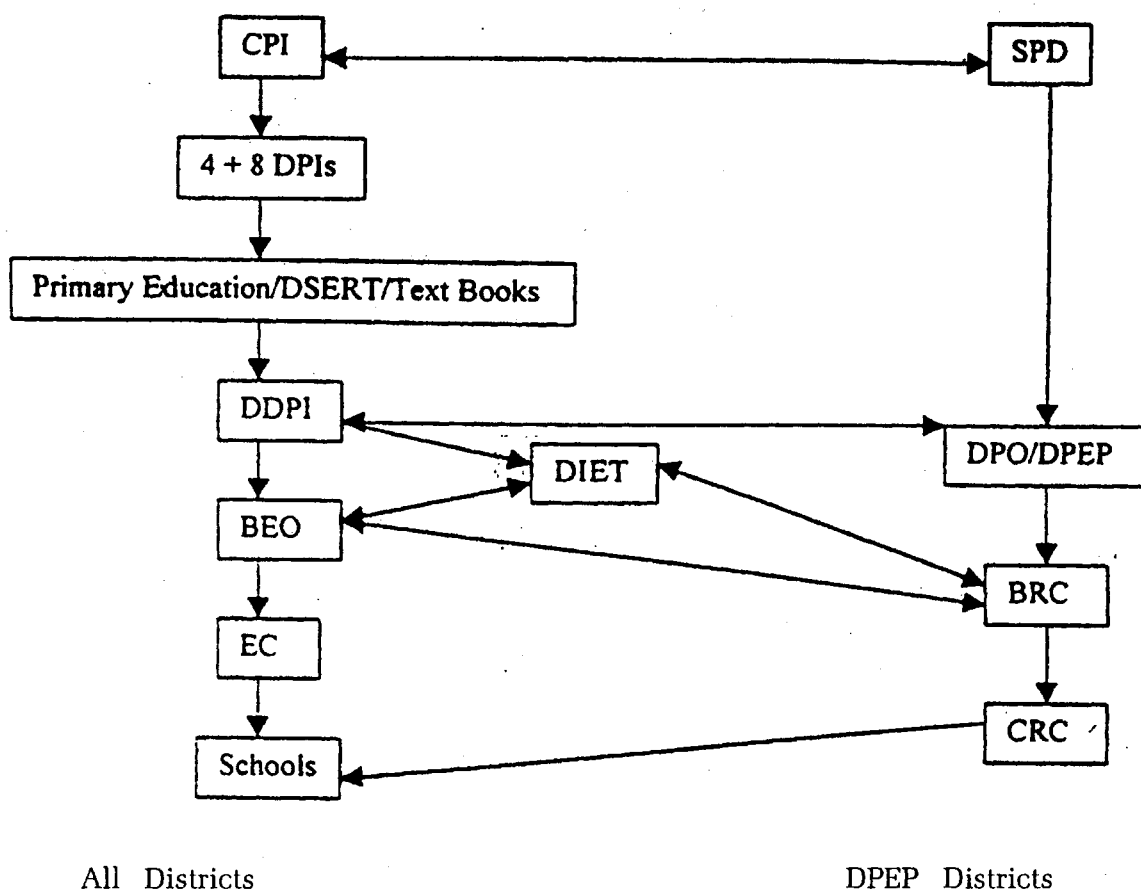
Functional links between the DDPI and the DPO/DPEP, BEO and the BRC, EC and the CRC are very weak. It is only in exceptional cases of districts/blocks where the DDPI/BEO are perceptive and concerned about quality improvement of primary education. The DPO/BRC/CRC have no authority/power/control over teachers. They have to give training to teachers deputed by the BEO/DDPI. Teachers are aware of the powerlessness/harmlessness of DPEP officers. Sometimes teachers trained by BRC/CRC are posted to teach higher standards (V and above) by their HTs (may be on demand), thereby annulling the values of the training received. Untrained, less powerful, newly posted teachers may be asked to 'handle' (not teach) lower classes.

It is also true that teachers/officers in non-DPEP districts grew to be jealous of the DPEP district teachers/schools as the latter were given additional/marginal funds by the DPEP for a few years. A primary teacher in a DPEP district was given Rs.500/- per year while a school was given Rs.2,000/- per year for improving classroom transactions and school milieu respectively. The scheme has been discontinued of late

In the DPEP districts, the DIETs have almost been ignored while the DPO/BRC/CRC have been functioning vigorously. In non-DPEP districts DIETs are taking a leading role in In-Service training of teachers. DIET is a CS programme while DPEP is a EF project. They should not run parallel to each other. There is a need to integrate the functioning of the DPO/BRC with the work-plan of the DIETs. Such a measure would need a direct intervention of the DDPI in regard to planning, organising, conducting, monitoring and evaluating of programmes of capacity-building of teachers/others. A common platform is required for the purpose.

The BRC/CRC address the training needs of I to IV (V) standards of primary schools. The DIET goes beyond the lower primary stage and takes on the training needs of V to VII (VI to VIII) classes also. It has been observed that DIETs (27 in number) find it difficult to do justice to 210000 teachers in the State. **It is advantageous to develop and maintain a pool of Resource Persons (RPs) in every block of the State and contract 1 week or 2 weeks training programmes to them.** The RPs can be retired high school teachers (with primary school experience), retired HTs of higher primary schools, retired educational officers in the district/block. They can be give Master Training and given the contracts. It is easier/efficient to cover large number/full complement of teachers. Infrastructure facilities of the Department viz; school buildings (while not in use), youth centres, Guru Bhavans, BEOs office/CRC building can be provided for the purpose. Training of teachers can be privatised under a scheme of official patronage.

Existing State DPEP Structures

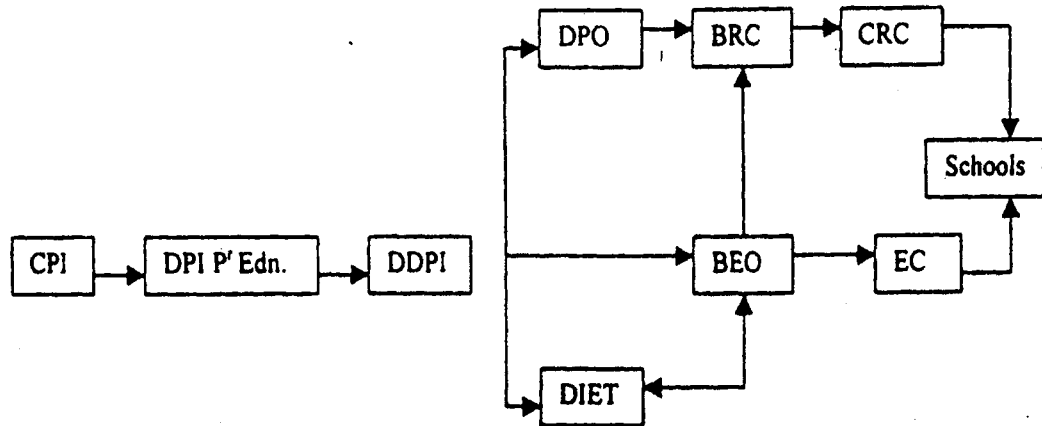


Sustainability of DPEP Structures

Sustainability of DPEP after 2003 AD when the source of EF gets terminated is a significant matter of concern for the State administration. A notable feature of the DPEP has been that it has been designed in such a way that it leaves behind very less problems requiring sustainable attention. Recruitment of personnel for the department is almost nil given the magnitude of DPEP operations. Teachers were appointed/new schools were started in only schoolers habitations which were quite scarce even by 1995. 75 per cent of funding for the district, rupees forty crores on an average for each district in a phased duration of 5 years, was on quality improvement/capacity building programmes. 11 per cent of the funds were earmarked for construction of girls' toilets/sanitation facility, compounds for schools etc; while only 14 per cent was spent on general administration/establishment costs. Almost all the personnel like DPO/BRC/CRC were appointed on deputation from the Department. Valuable infrastructure have been created by the DPEP, such as the Block/Cluster Resource Centre Buildings. Hence, sustainability of DPEP should not pose serious problems. The issue would filter down to one of administrative integration. It can be sorted out in the following way: As of now, there is a vertical structure of the DPEP from State level to the cluster of schools level. There is Co-ordination at State/District/Block levels between the DPEP and regular departmental administration.

The State level structures can be integrated as proposed below:

PROPOSED DPEP STRUCTURE



The existing arrangement DPEP which is running in an apparently parallel way but functionally complementary way can be absorbed within the State educational administrative structures.

Objective No.4

The fourth objective of the study runs as follows: “to review the levels of modernisation in the existing organisation and functioning of departmental structures.” Activity No. 14 addresses this objective. Even activity No.5 also addresses this objective and this is a overlapping activity for objective No.2 which has already been attended.

Karnataka State, in general, is far ahead of many other States in the country in regard to modernisation of administration. Bangalore City, the Capital City of the State is referred to as the Silicon City of India. Education department cannot lag behind in the enveloping process of modernisation of the State administration. Some of the information may appear repetitive though not out of context.

Information Management (IM) at the State level is highly modernised. The Department has an on-line relationship with the National Informatics Centre for Karnataka State located at Bangalore. That is the Department has logged on to kar.nic.in. A separate website is created by the CPI, the site reading as kar.nic.in/cpi. Information is also available at kar.nic.in/schools site. It is to be noted that there is no typewriter work anywhere in the CPI office. DPI Primary/Secondary/Minorities cell are part of the computerisation networking of the CPI. Following information/services are computerised at the CPI's office.

- a) Education Monitoring and Information System.
- b) Schools Information - for all government, aided, private unaided - primary and secondary schools.
- c) Teachers' Information - qualification, experience/seniority, training programmes attended, date of birth, etc; Seniority list of all teachers is also maintained.

- d) Surplus teachers in government/aided schools and their deployment.
- e) TCH and B.Ed admissions; B.Ed Common Entrance Examination;
- f) Recruitment of Teachers - Counselling purposes; transfer of teachers - counselling purposes - showing vacancies;
- g) Letter Monitoring system - flow of letters from Receiving section to offices within CPI.
- h) All court cases of the CPI.
- i) Day-to-day administration.
- j) Pay-bills of all personnel in the Commissionerate.
- k) Reports to MMR and KDP meetings.

All the secretarial assistants have been trained in the use of softwares such as MS Word/Excel and LEAP office which is a Kannada software approved by the Karnataka Government Computer Centre/Department of Information Technology.

Even the DDPIs and BEOs offices in the entire State have computerised the Pay Bills. The DIETs have computerised information on teachers in the district. The DDPIs offices have computerised information on enrolments/institutions/teachers.

Other departments of government (Education) at the state level such as the Secondary Education Examination Board, Pre-University Education and the Common Entrance Test Cell provide customer-friendly, computerised information. The DSERT/DPEP also are on the path of modernisation. Hence, it may easily be inferred that the level of modernisation and thereby the transparency in administration is quite high. This does not mean that there is no further scope for modernisation and information management. Some suggestions follow.

- 1) It has already been noted that there is a need for a State Testing Services Cell (STSC). Attainment levels of students at various stages of schooling and across the State needs to be computerised, monitored and reported.
- 2) There is a need to develop a programme/software on 'School Quality'. All the schools in the State need to be graded on school quality and components of school quality therein. Remedial action for improving school quality can begin with the most backward regions/taluku (having maximum proportion of lowest graded schools). Intervention strategies on such schools can begin with the lowest ranked component of school quality.

The plan of action is as follows:

The Department of Education needs to develop and promote a culture of Self-Assessment of schools. For this, a 'Self-Assessment of Quality Data Sheet' will be required. The Data Sheet will consist of indicators of school quality such as (i) Buildings; Play Ground; Laboratory; Library; (ii) teachers in position; teachers by training; (iii) furniture; equipments; consumables (eg: chemicals); (iv) VEC/SDMC/PTA meetings; co-curricular/activities in sports, games, literary and cultural activities; (v) results in public

examinations etc;. The schools will rate themselves on i, ii, iii, iv, v and also obtain a cumulative rating for themselves. Against an optimal composite score and discrete scores on i, ii, iii, iv and v, the schools will grade themselves into a,b,c,d,e grades on each of i, ii, iii, iv and v areas. They will also classify themselves on the basis of a composite score under A, B, C, D, E grades. When such reports are consolidated for all schools in a Cluster/Block/District/State level, a level-wise profile of number of schools falling under A, B, C, D, E will emerge. Further examination will also inform the administrators on profile of number of schools falling under a,b,c,d,e under i, ii, iii, iv and v. Corrective, remedial, intensive care treatment can be planned and prioritised accordingly. A hypothetical chart is presented for 5 schools

SELF ASSESSMENT OF QUALITY DATA SHEET

School	Areas					Composite Score	Grade
	i	ii	iii	iv	v		
School 1	c	b	b	e	d	14	C
School 2	b	a	b	c	b	20	B
School 3	a	b	b	b	a	22	A
School 4	d	c	d	b	e	12	D
School 5	b	c	b	a	b	20	B

$$a=5, b=4, c=3, d=2, e=1$$

Minimum = e rating on all 5 areas i, ii, iii, iv & v = 5

Maximum = a rating on all 5 areas i, ii, iii, iv & v = 25

Ranges = 5 to 8 E grade, 9 to 12 D Grade,
13 to 16 C grade, 17 to 20 B Grade
21 to 25 A grade

Note: Areas i, ii, iii, iv and v may be subjected to further decomposition and rating.

Important: Self-assessment data sheet will also carry a qualitative report prepared by the HT & certified by the VEC/SDMC/VP. This will include actions needed and proposed - an ACTION PLAN for remediation.

Extract for the Cluster

No. of schools against grades = A(1), B(2), C(1), D(1).

Decision/Insights

Remedial action should begin with School No. 4 and School No.1. In school No.1, action is required initially on areas iv and v. In school No. 4, action is required initially in areas v, i, and iii.

In this way a school quality improvement programme can begin with the lowest graded State/District/Block/Cluster/Schools. The interventions can also be area-specific (area meaning a,b,c,d,e). The problems of Regional Disparities in School Quality can be addressed in a systematic way.

This should not be a difficult exercise as the Department is already collecting from schools information from MIS, on schools and on teachers. Some more additional information is required. Data needs to be programmed to give a comparative picture of School Quality.

- 3) Information on utilisation of Incentive schemes can also be computerised. They may also be maintained in relation to the objectives for which they have been launched. For instance, utilisation of mid-day meals scheme can be compared with attendance in schools using attendance registers. This can be done on a sample survey basis.
- 4) Decisions taken/recommendations made in ZP/TPS meetings regarding education can be processed, coded and publicised.
- 5) Human resources, for promotion of schooling, in the community can be pooled, listed, classified and publicised.
- 6) School - participation and performance data by income-levels needs to be collected, collected and publicised. As of now sex-wise and social group - wise data are being subjected to such treatment.
- 7) Student-information/data sheets need to be developed at cluster/block levels.
- 8) Innovations in teaching/production of educational technology also deserve computerisation.
- 9) Computer programmes on teaching difficult/complex concepts, topics and units can be managed through the use of computers in high schools (initially).
- 10) CD Roms on methods of transacting school subjects with the help of distinguished teachers/team-teaching techniques can be developed and supplied to schools.

In this way there are immense possibilities for computerisation of administration and school services. Teachers would be greatly assisted in their classroom transactions. In fact, in the literature on educational technology a distinction is always made between Computer Assisted Instruction and Computer Managed Instruction, CAI and CMI. Research studies revealed that CAI is more effective than CMI. There is a realisation that teacher cannot be replaced by machines; teacher can only be assisted. Hence, CAI is recommended.

In-Service teacher training can be made more efficient using Satellite technology. It is already being trained at national level by NCERT/IGNOU. The need for School Inspection/Subject Inspection and formal/classroom training can be met through modernisation of services.

Note: 1. Other types of communication using modern media like FAX messages, electronic mail and telephonic conversations are not discussed here. Among all of them reliance on FAX services is quite high.

2. There is a scheme of introduction of computer education in high schools. It is also not discussed here.

Objective No. 5 reads as follows:

“to review the expenditure management of the department in the light of medium-term fiscal framework.”

Nearly 16 per cent of the total budget allocations in Karnataka State goes for general education. Within the education department around 53 per cent of allocation go for primary education. Another 31 per cent is allocated for secondary education. Hence, it is observed that nearly 84 per cent (5 out of every 6 rupees) are earmarked for school education.

Even though allocations for the education sector are rising year by year, still no substantive change is observed in the pattern of internal allocations within the education sector. For instance, the allocations in the total annual budget for 99-2k and 2k-2k1 went up by 14.37 and 24 per cent respectively. There was no corresponding increase in education budget allocations. It went up by 13.16 and 14.5 per cent respectively. Within the education sector, percentages of allocations for primary, secondary and other levels of education have not changed substantially.

Budget allocations for the education sector, by and large, are guided by the incremental approach as against the normative approach. In the normative approach budget estimation is goal-oriented. Limited resources of the State constrain the pursuit of a normative approach. However, additional funding/resources have been provided over and above the budgetary resources through centrally sponsored schemes (Eg: OBB) and External Funding (Eg: DPEP). Even this additional resources/funding has not been adequate enough to realise the goals of the education department chief of which is the universalisation of elementary education. Hence, it has been proposed in the Medium-term fiscal plan [2001 to 2005 AD] to provide additional resources to school education to realise the goals of UEE.

GOK BUDGETS

(in crores)

	1998-99	1999-2000	2000-2001
Total	15579	17818	22131
Increase	-	2239	4313
Percent increase	-	14.37	24.20
Educaiton Sector (School)	2510	2892	3458
Percent allocation	16.11	16.23	15.62
Increase	-	389	503
Percent increase	-	13.16	14.50
Total Education	2566	2955	-
Primary Education %	53.92	54.10	53.10
Secondary Education %	31.59	31.60	31.32
Univ. & H ^e Education %	12.26	12.10	10.90
Others	-	-	-
General Admn.%	1.51	1.55	3.98
Non-Plan Account %			
Primary Education	80.85	80.65	74.40
Secondary Education	90.31	91.40	74.40
Univ. & H ^e Education	93.65	94.23	94.66
Plan Account %			
Primary Education	19.15	19.35	25.60
Secondary Education	09.69	8.60	25.60
Univ. & H ^e Education	6.35	5.77	5.34

Medium term Fiscal Plan for Karnataka, 2000-01 to 2004-05

Economic reforms initiated by the Indian State in July 1991 threw up challenges and opportunities for catalysing economic growth and alleviating poverty through strengthening of infrastructure facilities and increasing allocations to education (health and rural development). Economic reforms triggered the need for fiscal reforms both in the areas of mobilisation of resources and State expenditures. Government of Karnataka placed a white paper on the State's finances in the budget session of the Assembly in March 2000. The white paper revealed a resource deficit of Rs.2325 crores in 1999-2000 (accounts) and a fiscal deficit of Rs.4276 crores (it constitutes 24 per cent of deficit over and above the budget allocation of Rs.17818 crores for 1999-2000). Variety of reasons have been cited for this deficit. Declining tax revenues, low and declining

cost recoveries from non-merit public services, poor performance of public enterprises, uneconomic pricing of public services, fast expansion of unproductive public expenditures, declining productivity of public expenditures, sharp increase in administrative expenditures, poor maintenance of public assets, overrun and cost-escalation of infrastructure projects, increases in debt servicing expenditures constitute the reasons cited herein.

The Medium-term Fiscal Plan (MTFP) submitted to the State Legislature in July 2001 incorporates proposals to reverse this historical trend. The MTFP has four basic assumptions for the success of these proposals. They are: achieving a steady annual real growth rate of 7.5 per cent (2000-2001 BE is 6.25 per cent), peg down inflation to 6.00 per cent by 2004-05 (2000-2001 BE is 2.05 per cent but expected to go up because of increases in salary, DA, pensions and other payments), reduction of fiscal deficit from the current (2000-2001) estimate of 3.6 per cent to 3.00 per cent of GSDP and finally the fourth assumption of Rs.8820 crores out of which Rs.6174 crores will be a loan and Rs.2646 crores will be a grant. [Total budget allocations for 2000-2001 is Rs.22131 crores and the expected World Bank grant for the period 2001-2005 would be nearly 40 per cent more of 2000-01 figure].

The MTFP proposes to maintain fiscal discipline, promote efficiency in public expenditures, safeguard adequate allocation to social sectors including primary and secondary educational collect appropriate user charges on non-merit public services including higher and technical education, (reduce subsidies on non-merit public services), improve governance and effect similar measures.

Some of the specific proposals relating to education sector are as follows:

- a) Increase user charges to higher and technical education,
- b) Abolish 80 per cent of the vacant posts as per the Finance Minister's budget speech (Karnataka) of 2000-2001 which effectively means cutting down 10 per cent of the total State Government posts. Liberal exemption is allowed in case of primary and secondary education apart from a few other sectors.
- c) Leave posts when incumbents retire. One-third of such posts will be abolished. Primary and Secondary education is exempted from this measure.
- d) Improve the productivity of public spending.
- e) Ensure that assistance to SC/ST/BCM and other weaker sections will continue. Strength of social welfare hostels is expected to increase at the rate of 2 per cent per year.
- f) Anganwadi expenditures are expected to increase at a unit rate of 20 per cent in 2001-02 and remain at that level till 2004-05. Coverage of children is expected to increase at 2 per cent per year.
- g) 50 per cent of the vacant posts to be filled in government are assumed to be transferred to education and health sectors. In estimating the salary expenditures of these sectors, additional employment has been taken into account. Additional posts are expected to ensure better spread and improvement in the quality of social services. Non-

salary component of expenditure on education (and health) is assumed to increase significantly. With these projections, it is believed that there would be adequate allocation for elementary education to achieve UEE objectives by 2007 [Sarva Shiksha Abhiyan (SSA), a project of the Government of India has set a target of provision of 5 years of primary education to all children by the year 2007; cf Sarva Shiksha Abhiyan, Report of the National Conference, 19-20 July 2000, NIEPA, New Delhi, p.3]. The State Government's target is higher than that of SSA. 8 years of completion of schooling by all children by the year 2007].

Cost recovery is proposed for secondary education and university and higher education. The strategy is as follows:

Assumptions on Cost Recovery (as %)

	Act. 1999-00	RE 2000-01	BE 2001-02	Proj. 2002-03	Proj. 2003-04	Proj. 2004-05
S ^y Edn.	1.94	0.95	1.16	1.46	1.70	2.13
Univ. & H ^y Edn.	0.00	0.30	1.30	1.40	1.60	2.20
Technical Edn.	3.40	3.20	14.30	15.20	16.90	22.50

Inferences

Expenditure management of the department in the light of medium term fiscal framework will experience quite a few reliefs along with a few pressures. There are 15000 vacancies in Education (8000 in health). Moratorium on filling up of vacant posts will not apply for education. 50 per cent of the vacant posts of various departments will be transferred to primary/secondary education (and health). 15 per cent of retiring posts in education will be retained and filled up in the education department. Non-salary revenue expenditure for Primary and Secondary education as a percentage of salary expenditure will grow from the existing 11 per cent to 32 per cent by 2004-05. Grant-in-aid to higher education will reduce by 5 per cent every year from 2002-03. Administrative expenditure for education department will be increased at the rate of 6 per cent per annum.

For the priority and importance given to the education department in the MTFP, there is also a need for a convincing response in terms of realisation of objectives of UEE. Productivity of public spending in the department needs to be stepped up. Efficiency in expenditures needs to be promoted so as to produce 'Value for Money'. [Note: Details of the MTFP in regard to allocations/estimated expenditures for the Education sector are not available. They may be obtained by the department for meaningful Projectisation of schemes.]

Karnataka may move towards a 1 teacher per 1 standard norm in the following years, given the liberal attitude of the MTFP. However, unviable schools with poor strength need to be merged with schools with larger strength in larger villages. In doing so, special and specific attention needs to be given to the SC/ST/BCM/and girls in general. They may not be in a position to walk long distances for 'Viable' schools. They need

to be transported back and forth to the school. Rural roads need to be of good quality for such transportation. Schools should have water facility for children from other villages. Of course mid-day nutritious food should be guaranteed to the poor and needy children. With all these caveats the State may move towards large schools with adequate facilities and standards/quality.

Every school should engage itself in self-analysis, self-assessment and emerge with a plan of action to realise the goals of UEE. Self-Evaluation should be obligatory for all schools. The school should develop a vision of its own. Structure of the community, entry level of children, access to physical resources, strengths of the schools in terms of infrastructure, teachers and community human resources, possible strategies and programmes, delegation of authority/power, transparency in management, individual and collective accountability of teachers, Head Teachers, students, community elders, parents and others should all be component ingredients of this vision. The objectives of the school should be integrated with the end-goals of the department in this vision. In this way, the department should move towards a system of Self-Managing Schools (SMS). The change-over can begin in an experimental way with educationally advanced taluks/regions/districts.

The Self-Managing School - Global Perspectives

The closing decades of the twentieth century heralded a sea change in the management structures and functions of education in different parts of the world. A phenomenal shift from centralised structures to decentralised arrangements is the major thrust of this transformation. An interesting feature of this structural change and adjustments therein is that this decentralisation process encompassed the schools. It is not just a movement from the Federal to the State to Local Self-Government bodies. Rather it is a grassroots decentralisation. EMPOWERMENT of the school to effectively and efficiently carryout the functions for which it has been set up is the vision with which responsibility for managing a school is shifted to the school. This phenomenon may be termed as a Movement towards SELF-MANAGING SCHOOLS. There is a concerted thinking in Karnataka State also to move towards Self-Managing Schools. This is one of the salient recommendations of the Chief Minister's Task Force on Education [See Interim Report of the Task Force, August 2000, GOK]. The proposal is to set up a School Development and Monitoring Committee (SDMC) for every school. Hence, the experiences of well-developed systems of education outside the country in promoting and sustaining school-based management would be of value for the State. With this perspective, a brief account of the genesis, nature, progress and directions of Self-Managing schools will be presented in this study. Some of the significant recommendations made in this study for structural changes in educational management in Karnataka State will have bearings with developments outside the country traced here.

SMS-a global phenomenon

It is a strange coincidence that a thinking emerged in different parts of the world at the same time that the school should be granted autonomy for carrying out its functions and be made accountable for the same. This thinking emerged in the early 1980s and got crystallised by 1990. Powers to frame a curriculum within a national curricular framework, hiring teachers and head teachers to transact the curriculum, procuring the

equipments and materials for teachers and students, preparing budgets for the school and mobilising resources for the same, engaging in self-evaluation and submitting itself for external evaluation are all the major functions for which the schools got empowered. Another interesting feature in this change is that it came about not just through a stroke of a pen as a government order/circular/policy change. Experiments in self-managing schools were tried out by self-motivated communities, experiences documented, lessons drawn and replicated elsewhere on a large scale. The experiments are spread across several countries such as Australia, New Zealand, Canada, the United States, the United Kingdom, South Korea (now Korea) and China. Making the school functional, efficient and effective is the objective of the whole movement.

What is a SMS? There are several variations in the way a self-managed school is functioning in different countries. It is also addressed by various names. Collaborative School Management (CSM), Locally Managed School (LMS), School-Site Management (SSM) are some illustrative references to such schools. Brian J Caldwell who was associated with one of the earliest experiments in CSM in Tasmania, Australia between 1982 and 1986, defines a SMS as follows: "We define a self-managing school as one for which there has been significant and consistent decentralisation to the school level of authority to make decisions related to the allocation of resources. This decentralisation is administrative rather than political, with decisions at the school level being made within a framework of local, state or national policies and guidelines. The school remains accountable to a central authority for the manner in which resources are allocated." [Brian J. Caldwell & Jim M. Spinks: "The self-Managing School" Falmer Press, Sussex, 1988, p.5] Reference to allocation of resources by the school in this definition carries the following components: Resources - goals and curriculum, technology, power, materials, people, time-use and finance. Six steps have been identified for managing a school by a school. It is presented in a chart - form (see the chart)

Chart

SMS Cycle - A Chart as can be applicable to Karnataka State (Adapted from Brian J. Caldwell)

Steps	Illustrations	Responsibility
Step 1	Goal setting & Need Identification	1. Enrolling out of School children 2. Defining Learning outcomes 3. Mobilisation of Resources SDMC/VEC/HT State guidelines / HT SDMC/VEC/HT
Step 2	Policy-formulation	1. Enrolment Drives 2. All children including girls/SC/ST to attain 80 per cent competencies 3. Mobilise Resources for building construction (2001-2002 AD) (Toilets, Classrooms) SDMC/VEC/HT SDMC/VEC/HT SDMC/VEC/HT

Step 3	Planning & Programming	<ol style="list-style-type: none"> 1. Day-to-day, House-to-house contact, Meeting employers of child labour, Production & Display of posters, Screening of video films on importance of schooling etc; 2. Classroom organisation, Teaching-Learning Programmes, Periodical Testing, Home Assignments, Remedial Teaching 3. Identification of philanthropists to be approached and scheduling of meetings, planning strategies with VP/TPS on utilisation of JRY funds. HT/Teachers/SDMC Teachers/HT SDMC/HT/VEC
Step 4	Budgetting (and Costing)	<ol style="list-style-type: none"> 1. Visits, Printing (Posters), Film show etc; 2. Teachers in position/Teachers required, materials required, 3. Estimates of costs of various programs & total costs SDMC / Teachers / HT HT HT/ SDMC
Step 5	Implementation	<ol style="list-style-type: none"> 1. Community/School 2. School./Teachers 3. Community/School SDMC/VEC/Others Teachers/HT SDMC/VEC/Others
Step 6	Evaluation	<ol style="list-style-type: none"> 1. School 2. School 3. School Teachers / SDMC / HT Teachers / SDMC/HT Teachers/SDMC/HT

There are six steps in a cycle of Self-management. They are: Goal Setting and Need Identification, Policy Formulation, Planning and Programming, Budgetting the Plans & Programmes, Implementing the Plan and finally Evaluating the Outcomes in relation to goals.

The SELF-MANAGING SCHOOL

The school is the foundational unit of the megalithic, super-imposing structure called the education department. It is the last post in the delivery system. The school should develop a vision of its own within a framework of departmental/Constitutional vision of Indian society. The immediate environment of the schools represents the context, the reality for the development of a vision. What are the ways in which the immediate environment, that includes needs, resources and opportunities has to be manipulated/managed and directed towards the national Constitutional goals of life is the vision of a school. This vision has to be developed through a participative approach by the head teacher with inputs from other teachers, students, parents, community leaders and administrators. Promoting local initiatives for global visions is expected of the school. When the values of justice, equality, freedom and fraternity are translated into village contexts of schooling it means in simple terms:

- all children should be in school
- those who are enrolled to school should remain in school for a full length of 8/10 years
- there should be day-to-day, week-by-week, month-by-month, year-by-year increment in the learning levels of children who attend school
- the children who pass out of the school should develop the knowledge, attitudes, values and other capabilities to function as efficient, effective and successful citizens and human beings
- there should be a time-frame within which the school should realise all these objectives.

The administration/managerial structures above the school, upto the State level should provide support, facilitation, guidance and regulation for the schools in realising the visions of all the schools. This is possible when the educational administrators/managers have a vision. Do they have a vision? This is a fundamental question. Are they conscious of the goals, objectives and functions for which the department was set-up, has grown and is now functioning? Are they aware of the basic minimum knowledge required of an administrator regarding the nature and magnitude of the problems, issues and performance (not details, but elementary knowledge) of the Departments? A negative answer would be painful and a positive answer would be unrealistic. Those who know are exceptions and mostly function at the top of the hierarchy. The administrators should be goal-oriented and not just task-oriented. Hence, the first proposal of the study is to sensitise/appraise all the educational administrators at all levels regarding the nature and magnitude of the problems and issues of enrolment, attendance, attainments and vision of the education department. This is a general proposal.

Towards SMS - a Road Map from CPI to SDMC

A Self-Managing school is the ultimate in democratisation of educational management which also incorporates such values as autonomy, flexibility, transparency, participation and efficiency. It will be a foolhardy adventure to go whole hog on SMS on a mass scale all over the State. There are many conditionalities/caveats which accompany the success of SMS. They are in brief: (a) an enlightened community. Enlightenment should not be equated with literacy or primary education. However, in the absence of measures of enlightenment, it would be essential to settle upon second best indicators of enlightenment. More than 80 per cent of the adult members of the community should have a minimum of fourth standard education/schooling; (b) adequate infrastructure for the school. Most of the schools do not have adequate infrastructure. Infrastructure has also been defined in a diluted way to include only buildings for classroom use. Playground, compound, space for school-level curricular activities etc; are hardly referred to; (c) adequate number of teachers, a physical education teacher, other supporting staff; (d) computer and other multi-media facilities; (e) a guidebook/handbook on effective school management; (f) capacity building exercises on effective SMS to Head Teacher/Teachers/Parents and other persons who are involved in SMS; (g)

an effective monitoring and feedback system from school-level and upwards through cluster, block, district and up to State levels. In the absence of many of these caveats/conditionalities, implementation of SMS would meet with failure. Even a thousand-mile journey begins with a small step. Somewhere a beginning has to be made, experiences have to be consolidated, reflected upon and improvements have to be effected. This process will continue in a phased way till there is full coverage along with optimum levels of excellence.

Hence, it is advantageous, profitable and necessary to begin the SMS on an experimental basis. It can begin, say, with some of the taluks in Coastal and Malnad (hilly) districts which are educationally advanced. Drawing lessons from the success/experiences of these districts, it can be extended to other blocks in a phased way.

There are also certain advance actions that are needed at the Block/District and State levels even for beginning to move towards SMS in a phased way. Goal-oriented schooling, planning school work (not calendar), preparing a school budget, mobilisation of material and monetary resources, efficient utilisation of expenditures, self-monitoring and evaluation are skills which are alien to our school teachers, specifically head teachers as well as our training programmes. There is a need to develop such capabilities for those who manage the schools at the site. For this, there is a need for key resource persons at the cluster/block levels, Master Trainers at the District levels and State level Resource Persons. The Commissionerate of Public Instruction/the Directorate of State Educational Research and Training should address these issues through production of literature, propagation of the idea of SMS, development of skills at State/District level which can reproduce similar skills in a cascade model at the block/cluster/school levels. Everything appears simple on paper. But it is hard to implement. However, somewhere/sometime it has to begin because it has been considered as a 'good idea' and implemented with 'considerable success' in many of the advanced regions of the world.

The experiment can begin with high schools and move downwards towards higher primary schools and then to lower primary schools.

DEPARTMENT of EDUCATION - A FIELD VIEW

Parents, children and the communities constitute the consumers component of the megalithic spectrum of educational administration in the State. School, Head Teachers and Teachers therein constitute the ultimate delivery points/units of this administrative spectrum. Together they constitute the field where the Battle for Education for ALL and removal of illiteracy in the State is fought. Administration from the cluster/block and district levels to the State level is facilitative and supportive of this battle against illiteracy. How do the customers/consumers and final delivery units look at this whole complex system. Are they satisfied with the services? Do they have any views in regard to improvement of the quality of services? Parents/students are not a homogenous group. Their demand patterns are differentiated by sex and social class. They may vary across different regions of the country just as their level of educational development which also differs across regions. A field-view of the departmental administration would be useful in providing a feedback on the downward flow of services and administration. Users' perception of quality of services is considered as an essential ingredient of modern management.

Community in which a school functions will be the ultimate beneficiary of the outputs of the school. In fact 'a school' is defined as 'a social invention that serves a social need' - which is the socialisation of the members of the community. Satisfaction of the community about the delivery system is very important. In the present context of decentralisation of administration of public services, the perceptions of the Zilla Panchayath and Taluk Panchayath Samithis should be considered as an important factor in judging the quality of administration and its eventual restructuring.

Customer satisfaction depends upon their day-to-day interactions with the managers/agents of the system from the school level and upwards through the BEO to the DDPI. It needs to be remembered that District is the unit of development administration in the State. How do the service delivery agents perceive the issues, problems and performance of the system just as they represent it at sub-State levels? What are their proposals for restructuring the system and improving it? Perceptions of users/parents; final delivery units/schools; the representatives/agents of the system of administration (DDPI/BEO/DPO/BRC); and the community representatives, ZP Presidents/Vice-Presidents constitute the content of this chapter which is referred to in toto as Field view.

Parents' Perceptions

As has already been described in the methodology section of this report, Chapter I, the fieldwork for the study has been set in 5 districts and 15 taluks of the State. They represent different regions of the State. In every district, a taluk with a high and a low female literacy rate as well as a taluk which is remotest from the District HQ are considered. Three villages, each one of them with a LPS, HPS and a HS are taken for village-level/school survey. 10 parents are selected using a quota-sampling

technique in every village. Thus the total sample should be 15 taluks into 3 villages into 10 parents of school-going children which would total to 450 parents/households. Eligibility for benefits, caste and sex-status are considered as bases for the quota sample. A profile of the sample thus arrived at is presented below.

Profile of the Sample

There are 223 boys and 226 girls in a total sample of 449 students. 165 students belong to SC and 46 students belong to ST category. Rest of the 238 students are in non SC/ST category. 196 out of the total 449 students are in I to IV standards. Another 150 students are in VIII to X standards. The residual of 103 children are in V to VII standards.

It may be noted that none of the parents is below 20 years. Those who are in the age-group 21-30 years are hardly 36 out of 449, about 8 per cent of parents. There are 210 parents who are in 31-40 years age-range and whose children are in schools in the study sample. There are 203 parents in the sample who have crossed 40. Children of these parents may not be the first born in the families as only 128 children in the sample are first-born children. It means that the schooling of children is not new to the rest of the parents assuming that their earlier children were not in the non-enrolled category.

It is significant to note that there are 103 families, 22.94 per cent, who have reported that 'mother' is the head of the household. Family sizes to which children in the sample belong are lowest in Bijapur (4.93 persons per family) and highest in Gulbarga (6.20 persons per family).

Majority of parents are labourers, 54.78 per cent in the sample. They are followed by parents in agriculture, 27.61 per cent. Rest of them are in other occupations including retail trade.

It is significant to note that 299 out of 449 parents, 65 per cent in the sample or two-thirds, have reported that they are Below the Poverty Line. They are BPL families. Proportion of families who have reported that they are BPL are highest in Uttara Kannada. They are followed by Gulbarga and Chamarajanagar. Their proportion is quite low in Kolar district.

Only 3 out of 90 children who form the total sample from LPS schools have to walk for more than 1 kilometer to attend a school. These 3 children are from Chamarajanagar district and one of them is a girl. It is true of HPS schools also wherein only 3 children walk a distance of more than 1 km to attend the school. It is only at the high school stage that about 34 out of 150 children walk long distances for the school.

There are 8 households, 6 from Kolar itself in the sample from where 16 children (14 from Kolar) are non-enrolled to schools. Boys are mostly the non-enrolled children. Again, there are 24 households from where 25 drop-out children are there. Drop-out children families are there in all districts except Uttara Kannada.

Inferences on the profile of the sample

Sample of this study, by and large, belong to lower strata of society. Two-thirds of the sample households belong to BPL families. 55 per cent of heads of households are labourers. There are 23 per cent households which are headed by women. There is an equal/adequate representation of SC/ST families in the sample. With a few exceptions, almost all the children have easy access to lower primary and higher primary schooling. Majority of the families have a small size. It is only in Gulbarga district that children from large families attend school.

Government schools are by and large patronised by poor families in rural areas. Urban, educated, well-to-do families depend on private schools. Government schools serve the poor, the lowly and the deprived. Those who are otherwise and still attend government/village schools are exceptions. Hence, if the performance of the public services in education has to be examined, then it should be from the perspective of the generality of the population in the State who are poor, lowly and deprived. The sample of this study, it is hoped, will be able to capture the perceptions of the households who represent the general population of the State.

Delivery of Incentives to School Children

It is already noted that the State government/Education Department provides several incentives to school-going children. An examination of the delivery of these incentives will be taken up here.

Supply of Free Text Books

The GOK gives free textbooks to all children in I to VII standards in government primary schools. Their coverage in the sample is as follows.

Districts	Eligible Total Children	Total Received	Not Received					
			Boys	Girls	SC	ST	Others	Total
U.K	60	56	2	2	-	-	4	4
Bijapur	59	59	-	-	-	-	-	-
Kolar	60	59	1	-	-	-	1	1
Gulbarga	60	60	-	-	-	-	-	-
C'Nagar	60	59	-	1	-	-	1	1
Total	299	293	3	3	-	-	6	6

Note: 2 boys of U.K district are in I and II standards; 2 girls of U.K district are in I standard; 1 boy and 1 girl each of Kolar and C'Nagar districts belong to VI standard. All the 6 children belong to non SC/ST category.

It is to be noted that only 6 out of 299 parents/children in the total sample have reported that they have not received textbooks. This is a negligible figure. It is also not clear as to how many textbooks they have not received. Hence it may be inferred that there is (almost) complete coverage of parents/children in delivery of textbooks.

Textbooks (Contd.)

It is noted that 6 parents reported that their wards did not receive the textbooks. Only one of them complained to the Head Teacher about it and there ended the matter.

276 out of 293 parents responded to the question regarding the timing of issue of the textbooks. Of them, 259 reported that their children received the textbooks at the beginning of the year. 19 parents, 17 of them from Chamarajanagar reported that the textbooks were received during the middle of the year. Again 287 parents reported that the condition of the books was good at the time of issue.

It is significant to note that 246 out of (299 eligible parents) 293 parents whose children received the textbooks have reported that they are not sending the children to school because the government is giving free textbooks. They would have purchased it for their children if such a free supply were not to be there. Of the 42 parents who report that they depend on the scheme, a notable proportion are from Kolar and Chamarajanagar districts. This scheme is more than 35 years old. Awareness of parents regarding the value of schooling was not high then. Further, their purchasing capacity (of goods and services) was also very low. As of now, general levels of awareness of the values of schooling as also the purchasing capacity of people have appreciated significantly. Hence, there is a need for a rethinking on the continuation of this scheme on such a large, State-wide scale. **The supply of free textbooks scheme can be targetted towards the poor and needy children and phased out in a gradual way.**

It is also to be noted that even though 42 parents have reported that they are sending their children to schools as free supply of textbooks is an incentive for school participation, still 18 out of these 42 parents have reported that they do not desperately depend on the scheme. They would have purchased it for their children in case government had not supplied the textbooks free of cost.

There are 150 parents in the sample whose children attend high schools. Of them 95 parents have reported that they did not find any problem in procuring (purchasing) textbooks from the market, on time. In descending order of frequency of parents who have reported that they face problems, the districts appear to be Kolar, Uttar Kannada, Bijapur and Chamarajanagar and finally Gulbarga.

Supply of Free Uniforms

The GOK gives free uniform to all the students in class I to IV and SC/ST girls in classes V to VII. The provision of this incentive is subject to a minimum of 80 per cent attendance of children during the year. Their coverage in the sample is as follows:-

Supply of Free Uniforms

Districts	Eligible Children				Total Received		Not Received	
	I to IV Standards			V to VII Stds SC/ST Girls	I to IV Stds	V to VII SC Girls	I to IV in HPS	SC Girls
	Total	LPS	in HPS	Schools				
U.K	40	30	10	5	29	2	10	3
Bijapur	38	30	8	5	30	3	8	2
Gulbarga	37	30	7	4	30	3	7	1
Kolar	37	30	7	8	30	5	7	3
C'Nagar	44	30	14	1	30	1	14	0
Total	196	150	46	23	150	14	46	9

It is observed (from the table) that 150 students in I to IV standards and 14 SC/ST girls have received free uniforms. 46 eligible I to IV children and 9 SC girls have not received it. One explanation for non-receipt of uniforms by I to IV children may be - children in all LPS schools have received the uniforms while all LPS standards children in HPS schools have not received it. The figure of eligible SC girls is based on enrolments. The 9 SC girls who have not received the uniforms may be short of attendance. Free uniforms scheme has covered all LPS schools. LPS schools are perhaps not 'very strict' in regard to linking of attendance with supply of uniforms. Alternatively, the HPS schools may be strict in regard to attendance of children in general and SC girls in particular.

There appears to be a full coverage of all children in LPS schools (irrespective of attendance as the State reports about 12 per cent drop-out rates at LPS stage) while there may be partial coverage of SC girls. Partial coverage of SC girls is not district-specific. It may be a general phenomenon.

164 parents have reported that their children have received free uniforms and 55 parents of eligible children have reported in the negative. Though 55 (parents) children did not receive the uniform, hardly anybody complained about it to the head teacher. 18 parents purchased the uniforms for their children while 33 parents sent their children to schools without the uniform dress. 10 out of these parents have reported that the school to which their children attend does not have the practice of uniform dress code for all children.

118 out of 164 parents of children who have received uniform clothes report that the dress material given to them was of sufficient measure for their children. 43 parents, more than one out of every four parents have experienced difficulty in regard to sufficiency of measure of the clothes to their children. An equal proportion of parents have also difficulties in paying for stitching charges.

Of the 163 parents whose children have received uniform clothes, 127 parents, 78 per cent of the total, have reported that they are not sending their children to schools just because the government is providing free uniforms. However, it is noted that across all stages of schooling, LPS/HPS/HS, parents believe that there should be a uniform dress code for children.

MID-DAY MEALS

The GOK provides mid-day meals to all children in I to V standards of primary schools. Incidentally, this is a centrally sponsored scheme. The provision of this incentive is linked to a minimum of 80 per cent attendance of children month-by-month, every month. Benefit is given in the form of 3 Kgs of Rice/Wheat after the completion of the month on certification by the Head Teacher and through a Fair Price Depot. Coverage of children in the sample is as follows:

District	Total Eligible Children	Total Receiving Children			Total	No. Not receiving
		SC	ST	Others		
U.K	47	19	2	26	47	Zero
Bijapur	45	27	1	17	45	Zero
Gulbarga	46	10	6	29	45	One
Kolar	45	14	7	22	43	Two
C'Nagar	51	24	7	20	51	Zero
Total	234	94	23	114	231	Three

Note: Parents of One SC V std. Boy from Kolar; one SC IV std girl & one V std. Girl from Gulbarga have reported that they do not receive mid-day meal. They may be treated as exceptions. It is inferred that there is total coverage of children under the mid-day meal scheme.

Mid-day Meals (Contd.)

Three children who are not receiving food grains (mid-day meal scheme) are reported to be short of attendance to be eligible for the benefit. One of them met the Head Teacher for the benefit. Among those who receive foodgrains, 28 parents have reported that they experience difficulty in getting foodgrains. Of them 21 have reported that they do not receive the foodgrains throughout the year. But all those parents who receive the foodgrains have reported that they do receive the specified quantity, that is 3 kilograms of cereals per month.

It is significant to note that 209 parents, 89 per cent of eligible parents, have reported that they are not sending their children to school just because the government gives free food grains for doing so.

The Mid-day meal scheme should be literally run (not figuratively) as such and be faithful to its nomenclature. Supply of free foodgrains will not help in the nourishment of children. Arrangements should be made to supply nutritious food to children. This is also a recommendation of the Chief Minister's Task Force on Education.

There are several avenues for this arrangement. In villages where an Anganwadi is functioning, there is a scheme for supply of nutritious food to the tiny tots attending the Anganwadi school. The mid-day meal scheme of the primary school can be integrated (in organisation) with the arrangement available with the Anganwadi scheme. Alternatively a central kitchen scheme can be tried out wherever it is feasible. Collection of cooked food/distribution to schools is a matter of concern in such an arrangement which has to be sorted out. The Village Panchayaths can be approached for cooperation/support in this regard. Supply of cooked food can also be privatised and entrusted to village tea/coffee shops/hotels who have a reputation for good quality service.

The Mid-day meal should not be treated as an incentive for school attendance but an educational facility for children belonging to poor families. It is noted in passing, that the NSSO large sample survey of 2000 AD has estimated that nearly 250 million families in India are still below the poverty line of income (25 per cent of families in the country). However, there is a scope for targetting the scheme for schools/villages belonging to most backward regions (backward villages) and to deserving families/children. Quantity of benefit can be calibrated with such targetting as the number of eligible beneficiaries will experience a decline while the quantum of total benefit will not decrease.

The Mid-day meal scheme incorporates a clause of a minimum of 80 per cent attendance of children to school to be eligible for the benefit. There is a feeling/complaint/allegation/—— that all children do not put in the required attendance, but insist on the head teacher to certify on full attendance to get qualified for the benefit. This feeling has been examined in this study by juxtaposing the coverage of children under MMS as reported in E1 schedules with the information on attendance to schools as reported by Head Teachers in E2 schedules. A word of caution is advanced before such a relationship is examined. There need not be full congruence of the attendance data reported in E1 & E2 schedules though the schools in which the E1 schedules (parents) and E2 schedules (Head Teachers) are canvassed are the same.

234 children are eligible to receive mid-day meals. There is full coverage of children (231 children) under the MMS in the study sample. It implies that there is full attendance in case of all children receiving the benefit (231 out of 234 children or 98.71 per cent to be precise). However, attendance data from the same schools to which these children attend (E2 schedule, Table 2) reveals that only 91.57 per cent of enrolled children attend school. District-wise tally is as follows.

Districts	U.K	Bijapur	Kolar	Gulbarga	C'Nagar	Total
No. eligible MMS	47	45	46	45	51	234
No. receiving MMS	47	45	45	43	51	231
Percentage receiving	100	100	97.8	95.5	100	98.71
Percent attendance E2 schedule	95.93	93.49	99.09	87.08	87.88	91.57

Note: MMS coverage is for all LPS school children and V standard children in HPS schools. Incidentally it is noted that nearly 70 per cent of LPS (I to IV) schools in the State have been upgraded to have V standard also in order to move in the direction of 5+3+2 pattern of schooling prevailing in large parts of the country. Attendance data is for LPS schools.

The inference that can be drawn, though it may not be fully comprehensive, is that there is at least 7 per cent of spurious cases (on an average) in regard to issue of food grains. 'Spurious' refers to children not having full attendance as specified in the scheme. The figure varies across districts. Chamarajanagar district has recorded the highest incidence of gap between attendance as reported for MMS and attendance reported independently by the Head Teacher.

It is also significant to note that another important scheme of the government, supply of free uniforms, is also linked to attendance. The E1 schedule information on this scheme reveals full coverage of children in all LPS schools. Hence, it may be inferred that even the free supply of uniforms scheme is not so fastidious about the attendance of children to school as revealed by attendance data in E2 schedules canvassed to Head Teachers of schools which includes questions on attendance in their schools.

School Bags for SC/ST Girls in HPS

The GOK distributes school bags for girls belonging to Scheduled Castes and Scheduled Tribes and studying in higher primary schools, standards 5, 6 and 7. Coverage of children in the sample is as follows:-

Districts	Eligible Children	No.(SC) Received	No. (ST) Received	Total Received
U.K	4	4	-	4
Bijapur	5	5	-	5
Gulbarga	4	3	1	4
Kolar	7	4	3	7
C'Nagar	2	2	-	2
Total	22	18	4	22

Participation of SC/ST children at the higher primary stage of schooling is very low. This is especially true of girls. Hence, the number of eligible beneficiaries is expected to be low. However, it is observed that all eligible children in the sample of this study have received the benefit. It may be inferred that there is full coverage of children.

Hardly 22 children are eligible and all have been covered. 18 of them were given the bag at the beginning of the year and the rest during the middle of the year. The school bag was reported to be in good condition at the time of supply.

It is significant to note that 20 out of 22 (eligible) beneficiaries have reported that they would have themselves purchased a bag for their wards even if the government had not supplied the same. This report, again raises the issue of targeting the benefit and phasing it out over a period of time. However, this scheme should not be treated on par with uniforms/textbooks/MMS schemes in regard to its continuation as it is concerned with the education of Scheduled Castes girls whose educational status in the State/Country is abysmally low.

Work-Books to Children

This is not a priority scheme of the Department. Work Books are given in DPEP districts and in 10 taluks covered by the UN-Joint System across the State. Here is an update on the distribution of workbooks among students of this study (sample).

Districts	U.K	Bijapur	Kolar	Gulbarga	C'Nagar	Total
Eligible	30	89	90	90	90	389
Received	7	11	4	13	7	42
SC	4	11	3	4	4	26
ST	0	0	1	6	0	7
Others	3	0	0	3	3	9

42 children (less than 10 per cent of the sample) have received the work-books. Majority of them belong to the SC and ST categories.

Pre-matric Scholarships

Several types of scholarships are given to school children by various departments of the Government. There is a centrally sponsored 'pre-matric' scholarship which is given to children studying from VI standards onwards. Apart from this there are 'Merit' scholarships to SC/ST children by the Social Welfare Department. Labour Department gives scholarships to selected children whose parents are in the Beedi industry. There are also scholarships given to children belonging to Backward Communities/Classes, Minorities and children who are physically handicapped. Finding out the eligibility of children for scholarships of various departments (that is 'who is eligible for what scholarship' in a colloquial usage) is outside the scope of this study. The study had sought to know from parents whether their children/wards received any scholarships. Parents of children studying in standards I to X have reported in the affirmative. Details of the scholarships that they are receiving are not clear. Coverage of children under various scholarship schemes is presented in the following table.

Districts No. getting	U.K		Bijapur		Kolar		Gulbarga		C'Nagar		Total	
	29		26		35		29		38		157	
Boys	14		12		16		14		17		73	
Girls	15		14		19		15		21		84	
SC	11		24		14		21		28		98	
ST	4		0		4		8		5		21	
Others	14		2		17		0		5		38	
Standards	I	II	III	IV	V	VI	VII	VIII	IX	X	Total	
Total	2	12	13	20	12	16	16	18	24	24	157	

It is not clear from this table as to 'who gets what scholarship' (colloquial usage). What is clear and visible is that students studying in all the standards get scholarships though the incidence is relatively high in higher standards.

Amount Received (in rupees)

Rupees	75	100	200	250	300	450	500	600	700	Total
Frequency	91	44	2	1	1	1	5	11	1	157

Majority of students get 75 rupees per month for ten months of the year. There are 44 out of 157 students who get rupees 100 per month for 10 months of the year. Those who get higher amounts are only a few in number. All the parents have reported that they receive scholarship amount for a particular year only at the beginning of the next year. Only 4 parents have reported that they experience problems in receiving the scholarship amount. One possibility of parents reporting higher amount (Rs.600 or Rs.700) is that they may be getting NTS scholarships. This has not been ascertained in the study.

Inferences on Incentive Schemes

Expenditures of the State Government on some of the Incentive schemes is as follows.

(Rs. in crores)

Scheme	1997-98	1998-99	1999-2000	2000-01	2001-02
Free Text Books	3.00	1.50	1.00	-	-
Free Uniforms	17.00	40.32	28.00	28.00	35.00
MMS	4.12	-	1.00	1.27	1.06
School Bags	2.00	2.00	2.50	2.60	2.60
State Component Total	22.00	43.32	32.50	31.87	38.60

Note: -Figures are taken from two sources: (a) Performance Budget of the Education Department, GOK, 1999-2000, June 1999; Figures for 1997 to 2000 are from this document; (b) Figures for 2000-01 and 2001-02 are taken from 'Demand for Grants' submitted by the CPI, Education Department, GOK to the Subject Committee of the Legislature. It appears that the allocation to MMS during 1999 to 2002 is an additional grant of the State Government. It is in addition to the CSS scheme (MMS). State Government totals do not include Text Books Scheme for 2000-01 and 2000-02.

Crude estimates indicate that the State Government spends, on an average, about Rs.35 to 40 crores on incentives schemes. This will work out to around 1.2 per cent of total allocations for the education department, on an average, and about 6 per cent of Plan allocations. Of all the incentive schemes, free distribution of uniforms appears to be the flagship. Given the awareness levels and purchasing capacities of the people, there may be a need to reexamine these 35 years old schemes. Such a reexamination may prove to be of significance if there is any grain of truth in the reported claims of 80 per cent of eligible beneficiary parents that they are not sending their children to schools because of these benefits. They would be willing to buy textbooks/uniforms/ even if the government decides to discontinue them. It is in this context that there is a need to target the incentive schemes and phase them out in a gradual way.

Alternatively, there is a need to provide all teaching-learning facilities/aids/equipments/charts/maps/specimens/ laboratory chemicals/library books/children's literature/furniture for children/play equipments/sports and games materials/——— to all the schools. The money saved on incentive schemes can be channelised towards 'better schools'. In this way 'efficiency of public expenditures' on education may be stepped up while unnecessary/wasteful/unwanted expenditures can be plugged.

Perceptions of parents (continued)

Do the schools function regularly? There are complaints that schools do not function for the specified number of 210 days in a year and the specified duration of 2040 minutes (34 hours) per week. Almost all the parents of this sample have reported that the schools function regularly and they are opened and closed as per schedule. This information may be received with caution as majority of parents are labourers/agricultural workers and may not be in a position to be watchful of the school and its timings. Likewise, they have no complaints regarding the practice of home-assignments given/corrected by the school.

However, 63 out of 449 parents have reported that the schools do not issue progress cards of their wards regularly. These 63 parents are spread across LPS/HPS/HS, though their proportion is more among LPS parents. Parents are nevertheless satisfied about the progress of their wards.

27 parents (out of 449) have reported that teachers beat children regularly. Such teachers are more in number among high schools and lower primary schools. 22 out of these 27 parents also believe that beating of children by teachers is for the well-being of the children. They have no objections.

VEC/SBC participation

Till 2001 June VECs were there for LPS schools and SBCs were there for HPS/HS. About 33 per cent of parents in the sample on an average were not aware of the existence of VEC/SBC for schools. This figure is quite high for Chamarajanagar district. Though 294 parents (out of 449) have reported that they are aware of the VEC/SBC in their schools, hardly 28 (out of 294) in the sample of this study are members of VEC/SBC.

Are the parents satisfied with their school? (in general). By and large, all the parents appear to be satisfied about the school to which their children attend. In a society where 40 per cent of the parents are non-literate and for majority of villagers the government school being the only educational facility, it is not surprising to receive such a positive attitude towards the schools.

However, there are 68 parents (out of 449) who believe that private schools are better than government schools. They constitute around 15 per cent of the total sample and are spread across LPS/HPS/HS stages of education.

Inferences

People in the State have enormous faith in government schools and are by and large satisfied with their functioning. 33 per cent of the parents in the sample (parents represent the people of the State) are not aware of people's management committees

(VEC/SBC) for the school. Among those who are aware, hardly 10 per cent participate in the management of the school. It is only around 15 per cent of the parents/people in general who are dissatisfied with one or the other aspects of functioning of the schools. In such a scenario as is obtained in the field, it is difficult to improve the schools. Stakeholders do not demand quality schooling. Performance of the schools on MAS 2000 and SSLC examinations is quite poor and wanting. People are satisfied! Facts of the case warrant a new rural scenario wherein people should be sensitised as to what to expect from schools and whether the schools function in the direction of the objectives for which they have been set up. Perhaps the SDMC, over a period of time, can fill up the vacuum. Capacity of the SDMC members need to be built for this purpose. Otherwise, the dream of a 'Self-Managing School' will be ever eluding.

SCHOOL as an ANGLE of VISION of ADMINISTRATION

As has already been reported in the methodology section of Chapter 1, 45 schools have been selected for the study. The arithmetic is as follows. 5 Districts; 3 taluqs in each district; 3 schools from each taluq which comprise of an LPS (village) school, a HPS (village) school and a high school (village). Hence, there will be 15 LPS, 15 HPS and 15 HS from the 15 taluqs of 5 districts. Time was not available to follow scientific criteria and select all types of schools. The study had to be completed within 4 months (schools begin to function from June every year) including survey of 450 households of children attending 45 schools, survey of 45 schools, interviews of administrators at taluq/district levels, representatives of LSG institutions at taluq/district levels, State-level documentary analysis of data/visits to offices; then, computer coding, feeding, analysis of data, preparation of tables and report drafting. The purpose of school-coverage is to get a feedback from schools in a general way. One assumption in selection of schools which may overcome the limitations of non-use of scientific criteria is that the selection of villages/schools is such that they represent small/medium and large villages. This criteria may lend some representativity to the sample. The villages/schools have been selected in a random way (not random sampling). It is with these caveats that field view from schools is being presented.

Schools in the Study

DISTRICT	U.K	BIJAPUR	KOLAR	GULBARGA	C'NAGAR	TOTAL
Number	9	9	9	9	9	45
LPS	3	3	3	3	3	15
LPS Enrolment	123	307	110	325	132	997
LPS Attendance	118	287	109	283	116	913
% Attendance	95.93	93.49	99.09	87.08	87.88	91.57
No. of Teachers	5	8	7	8	4	32
T: Pupil Ratios	23.60	36.00	15.60	35.40	29.00	28.53

HPS	3	3	3	3	3	15
HPS Enrolment	1119	804	540	757	1057	4277
HPS Attendance %	93.57	92.16	97.41	89.56	83.44	90.58
No. of Teachers	23	13	15	19	17	87
T ^r Pupil Ratios	48.65	61.84	36.00	39.84	62.17	49.16
HS	3	3	3	3	3	15
HS Enrolment	555	423	582	526	985	3071
HS Attendance %	99.64	93.85	96.22	95.25	92.99	95.31
No. of Teachers	29	22	24	26	27	128
T ^r Pupil Ratios	19.13	19.22	24.25	20.23	36.48	23.99
SSLC Results 2001	57.0	67.0	46.8	28.7	40.8	-
English	66.9	68.1	69.8	41.7	59.6	-
Mathematics	52.1	72.3	47.5	26.9	42.2	-
Science	76.8	79.1	70.5	52.2	67.4	-
Social Studies	71.9	85.7	58.3	64.3	77.1	-
Kannada	97.5	86.2	84.9	80.0	89.0	-
Hindi	100.0	90.1	81.3	81.7	83.0	-
T^{rs} Commuting HS	17	16	16	19	27	95
T ^r Staying in Village	12	6	8	7	0	33
T^r Commuting HPS	12	12	11	17	12	64
T ^r Staying in Village	11	1	4	2	5	23
T^{rs} Commuting LPS	3	5	6	8	3	25
T ^r Staying in Village	2	3	1	-	1	7

Schools in Karnataka State are functioning across the State with differing levels of efficiency and performance. This is a well known fact. Degree of inefficiency and depths of dismal performance are not well known. The table on 'Schools in the Study' gives insights into the degree and nature of inefficiency and failure across the 5 districts of the study.

Results of SSLC examination, 2001, are dismal in Gulbarga district and quite poor in Chamarajanagar and Kolar districts. Poor results on an average correspond with similar poor results in Mathematics in all the three districts and also with English in Gulbarga district.

Gulbarga and Chamarajanagar have also reported lowest attendance rates of students at the LPS and HPS stages. Attendance of children at the HS stage is lowest in Chamarajanagar district. All the teachers in the three taluqs of Chamarajanagar district commute from outside to the school. Identification with the local community would be next to impossible among teachers who commute to a school. They cannot function as community members/leaders. They will function as government employees posted

to high schools. An academic institution school/college/university/research institute should not function for fixed hours in a day like a government office in big cities. This is what will happen with most of our schools. Proportion of teachers who commute to work (the village) & get back to their place of residence, at the LPS, HPS, HS stages are 78,73 and 74 per cent respectively. It is lowest in Uttara Kannada district.

Teacher-pupil ratios are 23.99, 28.53 and 49.16 respectively at the HS, LPS and HPS stages. The ratios are as high as 62.17 and 61.84 in Chamarajanagar and Bijapur districts respectively (HPS). Again, the ratios are high in Bijapur and Gulbarga districts at the LPS stage. In fact, Bijapur district is a mystery. Schools have reported highest SSLC performance even with high teacher-pupil ratios at lower stages. There may be other variables in relatively better performance which need to be examined.

School strength is usually high in high schools and higher primary schools of Chamarajanagar district. In contrast, the LPS schools are quite big in Bijapur and Gulbarga districts.

Inferences

There is no norm in the functioning of schools in the State. Schools differ in their size, teacher-strength (teacher-pupil ratios), teachers' residence (and other variables which will be taken up later) etc;. Norms need to be set and as has already been referred to in Chapter III, the State Department of Education needs to bring out 'A Hand Book of School Quality' for LPS/HPS and HS stages. Every school needs to use this Handbook and engage in self-analysis periodically and especially in the light of attainment levels of their students as revealed in STSC (Survey Testing Services Cell/proposed) updates, annual examinations and specifically the public examination. Corrective/remedial actions need to be planned by the schools. Administration should be facilitative and supportive of self-help efforts of the schools. As of now, schools of the type discovered in this study in Chamarajanagar and Gulbarga districts (as elsewhere) do not know 'Why they are, what they are?' [Colloquial usage]. It is also true that the effects of low quality LPS and HPS schooling become cumulative and influence X standard performance of schools. This is also revealed from the table on schools of this study.

As of now recruitment of teachers to schools is at the District level. It would be proper to further decentralise the recruitment process and treat the Block as the nodal point for recruitment of teachers (subject to availability of qualified candidates in at least 1 is to 3 ratio). In this process, it would be easier to get teachers who are not commuters from District Head Quarters. Posting of teachers should also be made with a view of facilitating teachers to stay in their village/near their village. Teachers should be enabled to identify themselves with the community (not political parties or religious groups) in which they function.

HEAD TEACHER'S PERCEPTIONS

The Head Teachers of schools constitute the last posts in the delivery of public services/educational administration. Their perceptions of the supportive/facilitative/regulatory system/services above them will be presented here.

Incentive Schemes

The Head Teachers, views on the adequacy (quantity), timeliness (supply on time) and quality of incentive schemes was sought by the study. In general, the Head teachers appear to be satisfied on all the three counts. Hence, special attention will be bestowed on those HTs who have expressed dissatisfaction.

Free Supply of Text Books

There is no dissatisfaction in any of the taluqs/districts of the study in regard to adequacy of supply, timeliness of supply or the condition of textbooks at the time of supply. The HTs are fully satisfied with the operation of the scheme.

When HTs, reports are juxtaposed with the parents' reports of the same schools, a marginally insignificant anomaly is observed. 6 parents (4 from Uttara Kannada, 1 each from Kolar and Chamarajanagar districts) had reported about short supply/no supply. There are three explanations for this anomaly: (a) parents tell lies; (b) HTs tell lies; (c) HTs have ignored the short supply. The net inference is that though short supply should not be ignored, there is nothing serious about the functioning of textbook supply scheme.

Free Supply of Uniforms

There is no dissatisfaction regarding the operation of the scheme in Uttara Kannada, Kolar, Gulbarga and Chamarajanagar districts. It is only in LPS/HPS schools of Bijapur taluq that 2 HTs have expressed dissatisfaction regarding the adequacy of supply.

There is no dissatisfaction regarding the timeliness of supply of uniforms in UK, Bijapur and Kolar districts. HTs of HPS in Gulbarga taluq, HPS in Chamarajanagar taluq and Kollegal taluq as well as Gundulpet taluq (all the three in Chamarajanagar district) have expressed dissatisfaction on the timely supply of uniforms.

All the HTs of all the taluqs are satisfied with the quality of clothes supplied through their schools.

When HTs reports are juxtaposed with the parents' reports (E1 schedule), several anomalies get revealed. There is short supply in all the districts as reported by eligible children/parents. Children of LPS standards in HPS schools have been left out. HTs have no complaints regarding this except the 2 HTs from Bijapur taluq. Quite a few parents [43 out of 163 who received among total 218 eligible children/parents] complained about the shortage of measure of the cloth. HTs are silent about it. Perhaps HTs are not sensitised enough about the end-objectives for which free uniforms are supplied by the government.

MID-DAY MEAL SCHEME

Except the LPS/HT in Karwar taluq of UK district who is dissatisfied with both the adequacy of supply and quality of foodgrains supplied, all the other HTs of villages/schools of the other 14 LPS taluqs are satisfied with the operation of the MMS.

While the HT of HPS in Gulbarga taluq is unhappy about the timeliness in supply and quality of foodgrains, the HTs of HPS in Shorapur taluq (Gulbarga district) as well as Chamarajanagar and Kollegal taluqs are dissatisfied with the timeliness of supply.

There can be 90 instances of discontent in the operation of the MMS, the arithmetic being discontent on adequacy, timeliness and quality from HTs of 15 LPS and 15 HPS schools. The number of HTs expressing discontent on one or the other components of MMS adds up 8 instances. 8 out of 90 is a low proportion. HTs are by and large satisfied with the functioning of the MMS.

When the functioning of the scheme is juxtaposed with the perceptions of parents, there appears to be a perfect harmony. Hence it may be inferred that the MMS is being operated in such ways as to satisfy both the schools and the parents. It is incidentally noted that the MMS is a centrally sponsored scheme.

Distribution of School Bags

School Bags are given to SC/ST girls in HPS standards, V, VI and VII. By and large all the HTs of all schools appear to be satisfied with the operation of the scheme. It is only the HT of HPS in Gulbarga taluq who is dissatisfied with both the adequacy and timely supply of the bags. While the HT of HPS in Gundulpet taluq is dissatisfied with the adequacy of supply, the HTs of Chamarajanagar and Kollegal taluqs are dissatisfied with the timeliness of supply. Reports from parents (from E1 schedule) indicate that they are also satisfied with the scheme. Hence, it may be inferred that this scheme which has a highly limited reach is functioning to the satisfaction of both the parents and the schools.

INFERENCE

The schools appear to be (45 schools from 15 taluqs of 5 districts in this sample) totally satisfied with the operation of incentive schemes. Dissatisfaction, if any, is highly limited to a few HTs of a few taluqs in regard to timeliness of supply of uniform clothes to children and school bags. However, there is no total convergence between the opinions of HTs and parents and attendance of children to schools. This may be due to the indifference or insensitivity of HTs to the objectives of incentive schemes. Logic of supply of incentives to children needs to be emphasised in orientation programmes for HTs.

Infrastructure in Schools

Provision of adequate infrastructure of given quality is an enabling/supportive function of educational administration. Supply may be directly organised by the Department or through the Zilla/taluq Panchayaths. Government schools languish for want of infrastructure facilities is a well-known fact. Here follows an update in this regard in the schools of this study.

LPS Schools

DISTRICT	UK	Bijapur	Kolar	Gulbarga	C'Nagar	Total
LPS Schools	3	3	3	3	3	15
HT Room	-	-	-	-	-	-
Staff Room	-	-	-	-	-	-
Library	-	-	-	-	-	-
Laboratory	-	-	-	-	-	-
How do children sit?						
Bench with desk	0	-	2	-	2	4
Table with desk	0	1	-	1	-	2
Squatting Desks	2	-	1	-	-	3
Carpets	1	-	-	-	-	1
Sitting on Floor	-	2	-	2	1	5
Play Ground	0	2	2	1	0	5
Compound	0	0	2	0	0	2
Staff Toilet	0	0	0	0	0	0
Toils for Boys	0	0	0	0	0	0
Toilet for Girls	0	0	0	0	0	0
Water facility	2	0	2	0	0	4

LPS schools are very poor in regard to infrastructure facilities. [Instructional rooms analysis will be taken up later]. Only one of the 15 schools of the study, located in Chamarajanagar taluk has an independent room each for the HT and the staff. Only one school located in Gulbarga taluk has a separate library/laboratory facility. Otherwise the schools are no different from 'Coolie Mathas' of 19th century. Perhaps they are different in the sense that they have an RCC building because of improvement in construction technology during the 20th century. The DPEP LPS schools are far better. Though the number of rooms are limited, they are brimming with a learning/joyful atmosphere inside the rooms. Learning cards, pictures, drawings, charts are displayed all around the room and down the ceiling.

Toilet is an alien concept in India's villages. This is applicable to schools also. In fact many villagers make fun of urban houses as they have the kitchen/cooking place, eating place and the toilet under the same roof/in the same building. It is not surprising that LPS schools do not have toilets for boys/girls or staff. It is to be remembered that LPS schools also have women teachers and some of them commute to school from other places. 4 schools have drinking water facility.

Play ground should not be problem in village schools. Children play wherever there is open space. However, 5 schools have reported that they have a play ground of their own. 4 schools also have a compound. 11 LPS schools do not have a compound.

It means, that it is not difficult for village animals/cattle - cows, buffaloes, goats, donkeys, sheep, hen etc; to stray around the school/classrooms and distract the attention of the children in the classrooms.

The most pitiable story in regard to provision of infrastructure facility is that tiny tots of 5 government LPS schools squat on the floor. God only knows (if s/he exists) whether the floor is dusted regularly. Incidentally it is noted that the administrators are not weary of this reality. Their stock reply would be: "what is so annoying about LPS children squatting on floor? In many plays even HPS children, why? even HS children squat on floor and learn". This is true and painful. Acceptable sitting/furniture for children is available in only 6 LPS schools located (in 6 taluqs) of the study. Atleast carpets could be provided by the TPS/ZP/private philanthropy/department to LPS schools where children squat on floor. When children squat on floor, it will be difficult for them to do writing work and copying teacher's writings on the blackboard. They normally bend their back forward and perform this task.. There are children (significant numbers) who have to squat on floor for all the 10 years of their school education and forced to bend their back as they attend poorly provided LPS/HPS/HS. This practice may lead to an early on set of a disease called LUMBAGO which would also deprive them of their fitness. What they learn and profit from school may be uncertain. Contracting this disease would be certain. The school becomes an instrument of ill health and lack of fitness; the very opposite of one of the objectives of education - physical development as a part of total personality development.

HPS Schools

6 taluqs/schools have facility for an independent HT room and 4 taluks have staff room. Kollegal and Gundulpet taluq HPS schools have both HT room and staff rooms (Chamarajanagar District). Bhatkal and Haliyal taluks of Uttara Kannada district, Shorapur of Gulbarga district and Chamarajanagar taluq of the district have separate HT rooms in the schools. Karwar taluk (UK), Muddebihal taluk (Bijapur District) have staff rooms shared by the HT. In 9 higher primary schools/taluqs there is no independent seating facility either for the staff or for the HT.

The HPS schools of this study do not have either a library room or a laboratory hall. It is a matter of wonder as to where they keep teaching aids/specimens/charts/maps and other equipments. 9 schools/taluqs do not have a staff/HT room also. Many schools keep them in an iron/crude steel box (may be locked all the times).

HPS Schools

DISTRICT	UK	Bijapur	Kolar	Gulbarga	C'Nagar	Total
HPS Schools	3	3	3	3	3	15
HT Room	2	-	-	1	3	6
Staff Room	1	1	-	-	2	4
Library	0	0	0	0	0	0
Laboratory	0	0	0	0	0	0
How do children sit?						
Bench with Desk	2	0	2	2	3	9
Table with Chair	2	2	2	2	3	11
Squatting Desks	2	1	3	3	3	12
Carpets	0	1	0	0	0	1
Sitting on Floor	0	3	0	2	0	5
Play Ground	0	3	1	2	1	7
Compound	1	1	0	1	2	5
Staff Toilet	1	0	1	0	1	3
Toils for Boys	2	0	1	0	2	5
Toilet for Girls	1	0	0	0	0	1
Water facility	2	1	0	1	2	6

Note: Totals of taluks against 5 types of seating facility for children exceed 15 schools/ taluks as an HPS may have more than one type of arrangement for different standards in the **same school**.

Unlike LPS villages, HPS schools are normally located in bigger villages. It is observed that in 5 schools/taluqs children squat on the floor even in hps schools. There is no uniform facility for seating children across I to VII standards in the same school. While children squat on floor/sit on carpets in the lower standards, children of higher standards in the same school may have bench with desk/table with chair/squatting desk facility.

7 HPS schools have a play ground and 5 HPS schools do not have a compound. Alternatively 10 HPS schools do not have a compound. Only 1 out of the 15 HPS schools have a facility of girls' toilet. Other 14 HPS schools/taluqs do not have such a facility. [If this reported information from 14 HPS schools is true]. This is a matter of concern and shame. Girls who attend higher primary schools attain puberty normally at the age of 12 (in India). That is the time when they are expected to be in VI standard of the HPS. The hps are located in medium-sized villages to which girls from neighbouring villages which have only LPS facility (feeder schools/villages) also attend. They cannot be expected to ease themselves in open fields or suppress nature call for the whole day. Deprivation of toilet facility is attributed to be one of the reasons for non-enrolment/drop-out of girls at the HPS. Provision of toilet for girls with sanitary

facility should be treated on top priority by the government. Government is well aware of this problem/DPEP is seized with the problem/the fact is well known in concerned circles, but still the update from this study reveals a serious deprivation (14 out of 15 taluq/hps)) in schooling facility. The schools are also poor in regard to staff toilets and water facility.

HIGH SCHOOLS

High schools are located in villages which are much bigger than those where only hps facility is located. A relatively better position is expected of villages/taluqs/high schools in regard to infrastructure facilities. Data are presented here and analysis will follow.

DISTRICT	UK	Bijapur	Kolar	Gulbarga	C'Nagar	Total
High Schools	3	3	3	3	3	15
HT Room	3	-	2	2	2	9
Staff Room	3	1	2	2	3	11
Library	0	0	0	0	0	0
Laboratory	0	1	1	0	0	2
How do children sit?						
Bench with Desk	2	2	3	2	3	12
Table with Chair	3	1	3	1	1	9
Squatting Desks	1	0	0	0	0	1
Carpets	0	0	0	1	0	1
Sitting on Floor	0	3	0	0	1	4
Play Ground	3	2	3	2	2	12
Compound	0	0	0	1	1	2
Staff Toilet	1	0	3	0	0	4
Toils for Boys	2	0	2	0	1	5
Toilet for Girls	2	0	1	0	0	3
Water facility	2	1	0	1	2	6

High schools are a shade better than higher primary schools in regard to infrastructure facilities. 9 high schools have a HT room and 11 HS have staff rooms. High schools which do not have either a HT room or a staff room are located in villages of Muddebihal and Sindhagi taluqs of Bijapur district, Shorapur taluq of Gulbarga district and Kolar taluq of Kolar district.

It is a strange and unpleasant reality that none of the HS in the sample of this study has a library hall while just 2 schools have a separate laboratory hall. There are 3 HS in Bijapur district where children (may be lower standards) squat on the floor. 12 out of 15 schools have bench with desk facility supplemented by other types of furniture.

12 HS have a playground of their own while only 2 HS have a compound. Perhaps, the concept of a school may not include a compound. 12 HS do not have toilet facility for girls. In the entire Bijapur and Gulbarga districts, HS/taluqs do not have toilets for the boys, girls or even the staff. These are sub-human conditions of existence and work/service. 9 HS do not even have drinking water facility. How can the High Schools which are attended by grown up/mature children be expected to perform in these appalling conditions. It may be mentioned in passing that the VI All India Education Survey, 1993 (report published in 1998) also revealed horrendous state of secondary schools in Karnataka State.

Inferences

Status of schools in regard to infrastructure facilities is very poor in all the schools and especially so at lower levels. Some of the cumulative highlights reveal this fact.

DISTRICT	LPS	HPS	HS	TOTAL
No. of Schools	15	15	15	45
With HT Room	1	6	9	16
Staff Room	1	4	11	16
Library	1	0	0	1
Laboratory	1	0	2	3
How do children sit?				
Bench with Desk	4	9	12	25
Table with Chair	2	11	9	22
Squatting Desks	3	12	1	16
Carpets	1	1	1	3
Sitting on Floor	5	5	4	14
Play Ground	5	7	12	24
Compound	2	5	2	9
Staff Toilet	0	3	4	7
Toilets for Boys	0	5	5	10
Toilet for Girls	0	1	3	4
Water facility	4	6	6	16

In 14 out of 45 schools children squat on the floor. Only 4 schools (out of 45) have toilet for girls. 29 schools do not have drinking water facility. Schools function without a laboratory and a library. Among all the three levels/stages of schooling, the LPS/HPS/HS, the HPS/HS are comparable in terms of facilities (though both of them have poor facility) while the LPS should be a euphemism for a school

In a poor/developing country like India, Karnataka State, there are quite a few knowledgeable persons who believe in the dictum: 'something is better than nothing'. A few years earlier (before 1988) we did not have even these limited facilities.

Intellectuals who believe in the dictum: 'nothing is better than non-sense' are branded as cynics. Leaving aside the debate on facilities between the cynics and the faithful it is better to ponder over possible alternatives to improve the state of affairs in regard to strengthening of school facilities.

The first exercise in this direction is to bring out (as has already been discussed in Chapter III) 'A Hand Book of School Quality' and sensitise the stakeholders - parents (of the SDMC), HTs, Teachers, Educational Administrators, Panchayath members at village/taluk/Zilla Panchayath levels and others (concerned) about the concept of quality and need for its enforcement in a pursuit of excellence. Quality in regard to infrastructure facilities, school plant, curricular/co-curricular/teaching-learning process, personality outputs of students would all get into the preparation of this Handbook. A participative technique involving all stakeholders would be appropriate for this purpose.

The schools should engage in Self-Assessment within this normative framework, prepare short-term/long-term plans for its own development, mobilise the support of the immediate community and engage in self-improvement/self-efforts to the extent possible. Evaluation of a school should also be set in a context of its resources/facilities/strengths/limitations/constraints.

Community contribution to Schools

Village Communities do contribute to the improvement of infrastructure facilities in schools.

DISTRICT	TALUKS	LPS	HPS	HS
U.K	Haliyal	-	-	Furniture
	Bhatkal	-	Furniture	-
Bijapur	Bijapur	-	Furniture/others	Toilets/ Furniture/ Teaching Aids/Others
	Muddebihal	-	Compound	Others
Kolar	Kolar	Furniture	Furniture	Furniture
	Bagepalli	-	Furniture	Furniture
	Mulbagilu	-	-	Furniture/others, Teaching Aids
Gulbarga	Gulbarga	-	Furniture	Classroom, Furniture
	Yadgir	-	-	Others
C'Nagar	Kollegal	Others	Toilet/Others/ Compound	-
	C'Nagar	-	Furniture/others	Furniture/others

Contribution	LPS	HPS	HS	TOTAL
Furniture	1	6	7	14
Teaching Aids	-	-	2	2
Compound	-	2	-	2
Toilet	-	1	1	2
Classrooms	-	-	1	1
Others	1	3	5	9
TOTAL	2	12	16	30

Such contributions are observed in all the 5 districts and in 11 taluks of the State. Contributions are in the form of furniture, teaching aids, compound, toilets, classroom and other utilities. Contribution to LPS is exceptional. It is only in Kolar taluq of Kolar district that the LPS school is given furniture by the community. Community contribution is relatively higher to the high schools than to the higher primary schools. Poverty and backwardness is also more among small/remote villages which only have an LPS school while medium-sized and larger villages with HPS and HS have better-off/educated farmers/villagers who have higher stakes in schooling. By and large, the most common contribution is furniture for the schools. In 8 out of 15 taluks where no contribution from the community to the schools is reported from the community to the schools is reported are: Karwar (U.K), Sindhagi (Bijapur Dt.), Shorapur (Gulbarga Dt.) and Gundulpet (C'Nagar Dt.). The general impression about some of these taluks is that they are not so backward that they are not in a position to offer any contributions. Contributions from the community to the school depends upon two factors: (a) willingness and ability of a community to contribute and (b) initiative taken by local school administration, VEC/SDMC/HT/Teachers to mobilise community support. It is possible that sufficient initiatives have not been taken by the HT/SDMC/VEC to mobilise resources. Incidentally it may be recalled that large number of teachers (in this sample) do not stay in the village (where they teach) and identify themselves with the community.

Management of Schools

Annual Plans

All the schools in this study prepare annual plans. This is true of LPS/HPS. Number of working days, holidays, periodical test dates, mid-term and final examination dates, vacation, announcement of results, plan of completion of prescribed syllabus in different subjects as per a time-schedule. Celebration of Red Letter Days, consideration for local/folk/community festival days etc; are part of this exercise of preparation of Annual Plans.

It is only in 3 LPS schools, Karwar/Chamarajanagar/Gundulpet taluqs, that HTs have reported that they themselves prepare the annual plans. Otherwise in all the other 42 schools of the study the HTs have reported that preparation of the annual plan is a participative exercise with contributions from all participative exercise with contributions from all teachers. This is as it should be.

By and large, the schools adhere to the annual plans in their functioning. Only three HTs (out of 45) have expressed difficulty in confirming to the plan- LPS HPS in Bhatkal and Yadgir; HPS HT in Gundulpet. Long leave of teachers/mid-year transfers/similar unexpected events come in the way of loyalty to the annual plans.

School Budgets

None of the LPS schools prepare a school budget. 6 HPS and 10 HS have reported that they prepare school budgets. All the 45 schools in the sample are government schools. Out of the 16 schools which prepare budgets, 5 are from UK. 3 each are from Bijapur, Kolar and C'Nagar districts and 2 are from Gulbarga district.

Use of school building/rooms

15 LPS schools in this study possess 33 rooms. There are 8 schools who have just 2 rooms. All the LPS schools use both the rooms for instructional purposes. They have no choice. They need to run I to IV standards. There are 5 LPS schools which possess 3 rooms each. The school in Kolar taluq of Kolar district uses all the three rooms for instructional purposes. Schools in the other 4 taluqs - Bijapur and Sindhagi; Gulbarga; and Gundulpet - use one of the 3 rooms for non-instructional purposes. There are two schools, one each in Muddebihal and Chamarajanagar taluqs who have to be content with only one room. The Chamarajanagar school is also a Single-Teacher school.

15 HPS schools in this study possess 97 rooms of which 79 are used for instructional purposes. Likewise, 15 HS have 95 rooms of which 65 are used for instructional purposes and the rest for non-instructional purposes.

Attendance, Instructional Rooms and Space Use

DISTRICT	Taluks	LPS			HPS			HS		
		Atten dance	No. of rooms	Av.St. per room	Atten dance	No. of rooms	Av.St. per room	Atten dance	No. of rooms	Av.St. per room
U.K	Karwar	20	2	10	117	4+1	29	102	3+2	34
	Bhatkal	67	2	33	407	7+4	58	292	7+3	42
	Haliyal	31	2	16	523	9+1	58	159	3+2	53
Bijapur	Bijapur	49	2+1	25	209	4+0	52	144	4+4	36
	Muddebihal	140	1	140	246	3+0	82	60	3+0	20
	Sindhagi	98	2+1	49	286	6+0	48	193	3+0	64
Kolar	Kolar	45	3	15	176	4+1	44	279	4+0	70
	Mulbagil	22	2	11	158	2+2	79	83	6+1	14
	Bagepalli	42	2	21	192	7+0	27	198	5+4	40
Gulbarga	Gulbarga	113	2+1	57	257	5+0	51	275	4+3	69
	Yadgir	90	2	45	188	6+1	31	81	3+1	27
	Shorapur	80	2	40	233	3+2	78	145	3+2	48
C'Nagar	C'Nagar	45	1	45	511	7+1	73	255	7+2	36
	Kollegal	57	2	29	177	5+3	36	348	6+3	58
	Gundulpet	14	2+1	07	194	7+2	28	313	4+3	78
	TOTAL	-	33	-	-	97	-	-	95	-

Note: +1, +2, +3, +4,.....in the columns refer to the rooms which are used by the school for non-instructional purposes - HT room, Staff room, Laboratory etc.;

Table above gives information on space use in schools. Information on use of rooms is juxtaposed with normal attendance data (and not enrolment data). Average students per room is also worked out. This is a crude average as it does not take into account drop-out and re-entry information about children.

The table on Space use in schools also reveals the unsystematic way in which rooms are used by schools. Absence of norms on space use may be one of the factors for unsystematic use.

There is a LPS school where hardly 7 children are there per room (LPS, Gundulpet) while there is also a school where there are 140 children dumped in one room (LPS, Muddebihal), most probably a big hall.

Average students per classroom in higher primary schools appear to be more optimal than at the LPS stage. Still, there are schools where around 80 children are there per classroom (HPS, Muddebihal, Mulbagal, Shorapur taluqs). Likewise, there are high schools where the crude average strength is around 70 per classroom (HS, Kolar, Gulbarga, Gundulpet). Some school manage the strength in available classrooms without bothering about HT room or staff room [Eg: HS Kolar Taluq]. They accommodate 3 standards and multiple sections within 4 classroom. In this case, it is possible that there are 6 sections for 3 standards (8th, 9th & 10th) which work out to 46 students per section. Nut they are accommodated in 4 sections. They have no choice. Average strength per class is also 70. Alternatively, there are schools which choose to put around 70 children per classroom on an average even though they have 7 classrooms [Eg: Gulbarga and Gundulpet taluqs]. If they have 6 sections for 8th, 9th and 10th standards at an average of 46 and 52 students respectively, they put as of them in 4 sections to make way for HT room, staff room etc;.

Imbalance in class size across the schools of the sample/study is clear and transparent. This imbalance has nothing to do with availability of space. Space use has been subject, perhaps, to the discretion of the HT. In regard to average attendance of children and space use, schools functions with varying levels of efficiency.

Management of School while Teachers are on Long leave

Redistribution of work among teachers on duty is the normally adopted strategy by the HTs when their school teachers go on long leave. 11 LPS, 10 LPS and 13 HS have responded to this question in E2 schedule. 28 out of 34 HTs have reported that they follow the redistribution strategy. Another HT uses this strategy while s/he also makes an attempt to get substitute teachers. The LPS schools appear to get substitute more often than the HPS and HS schools. There is a solitary case of a HT (Karwar LPS) who has reported that s/he left the children as s/he failed to get either a substitute or arrange for redistribution of work.

Periodical Tests in the School

There is a circular/guideline from the Department/CPI that every school must conduct 2 unit tests before the mid-term examination and another 2 unit tests between the mid-term and annual examination. All the LPS/HPS/HS of this study report that they are very prompt in conducting periodical tests.

Files maintained by the HTs

The schools are expected to maintain 25 to 30 types of files on an average. While some of them maintain all the files, there are other who maintain as minimum number as possible. Files maintained by a school reflect/record the quality of management of the school. It is useful for inspection of schools by the visiting educational officers.

Health Check-up of children

The HTs are expected to organise the routine health check-up of children in their schools every year. HTs of all the 9 schools, LPS/HPS/HS, of both UK and C'Nagar districts have reported that they had got it done during the previous year. This could not be done in 3 LPS schools - Sindhagi; (Bijapur district), Yadgir and Shorapur (Gulbarga

district) taluqs; 3 HPS schools - Sindhagi, Mulabagil (Kolar Dist.) and Shorapur taluqs; and 3 high schools - Bijapur taluq, Mulabagil and Gulbarga taluqs. Partial blindness, anemia, lung/respiratory infections, scabies/skin problems are common among children. They need preliminary examination through health check-up and treatment through referral services.

Hostel students of the school

A small section of students who have no school facility at their place of residence are constrained to stay in hostels and pursue their studies. In the physical separation/absence of parents, the school/HT has a little responsibility in managing the welfare/attendance/progress of such students. However, their number is quite low. There are hardly 145 students in the entire sample of 7348 children in HPS/HS standards who stay in hostels. [Hostel life is not open for LPS children]. This will be just 2 per cent of the total sample. The incidence is relatively more in HS of Gundulpet taluq (50 students); HS of Gulbarga and Shorapur taluqs (38,30). Hence, management of hostel students is not a uniformly experienced significant problem.

Visits by Educational Officers to Schools

The CRC and the BRC are two officers (of the DPEP) who visit primary schools EC visits primary schools and assist the BEO in his/her work. The SI is expected to visit high schools, supervise and guide the teachers in their teaching work. The EO works with the DDPI and assists in School Inspection, especially high schools and private aided schools. The BEO will be primarily focussing his attention on lower and higher primary schools and also assists the DDPI in inspection of high schools. The DDPI may visit/inspect any school in his district but normally is expected to visit high schools. There are other dignitaries/officials who may also visit the schools and report about its functioning to the BEO/DDPI. EO of TPS, CEO, VP President/Vice President/members, TPS/ZP representatives, members of the Standing Committee of the ZP on Education, MLA/MP of the constituency, District/other ministers, Education Minister or for that matter any 'significant' individual can visit the schools. They are treated as 'others' in this study. Here follows an update on visits to 45 schools of this study.

There is one LPS and one HPS in Muddebihal taluq and one HPS in Bijapur taluk (both Bijapur district) which have not been visited by any 'Adhikari Pillai' (usage similar to 'Nara Pillai') during the whole year, 2000-2001.

5 DDPIs have visited 13 of the 45 schools during the last year - 3 LPS, 5 HPS and 5 HS. 4 of the 5 HS had been visited one year ago. Maximum number of visits have been by the BEO during 2000-2001. 28 visits are reported from among 15 BEOs.

Together the CRCs and BRCs have paid 35 visits across 30 LPS and HPS during last year. Lowest number of visits are by 10 EOs of 5 districts - 8 visits only. There are 25 SIs (excluding SIs for PE) in the 5 districts who have paid 14 visits out of which 10 are for High Schools of the 15 taluqs. There are 30 ECs in the 15 taluqs who have together covered 16 visits one of which is also to a high school. Here follows a crude average of visits by educational officers/others.

Average visits by Educational Officers

Average visits of Educaiton Officers/ others	CRC	BRC	EC	SI	EO	BEO	DDPI	Others	Total
	22	13	16	14	8	28	13	12	126
No. of Officers	120	12	30	30	10	15	5	-	222
Average Visits	0.18	1.1	0.50	0.50	0.80	1.9	2.6	-	0.57

No. of Schools : 15 LPS, 15 HPS, 15 HPS

Area : 15 Taluqs; 15 Districts; 14 of them DPEP districts

Assumptions : 10 CRCs and 1 BRC per taluk in DPEP district
2 ECs per taluq in 15 taluqs
6 SIs 5 of them for school subjects/per. district.
2 EOs per district
15 BEOs, 5 DDPIs.

Limitations

It is possible that an officer (for eg: CRC) has a visited a school (for eg: LPS) more than once during a year. But only one visit has been counted here.

Periodicity	Yesterday	Last week	2 weeks earlier	Last Minute	2 Months earlier	3 Months Earlier	6 Months earlier	1 year ago
Percentage	3.97	7.94	5.55	17.46	9.52	16.66	26.19	12.69

Total Visits 126; Total Schools 45

Note: One LPS and one HPS in Muddebihal taluq and one HPS in Bijapur taluq have not received any single officer for visits during the whole year 2000-2001.

Visits by Educational Officers to schools in very poor. School visits have become a highly unsystematic exercise. Sometimes the same schools are visited by a variety of officers while others are completely left out. By and large, educational officers visit schools which are easily accessible and leave out those which are in remote/inaccessible regions. Educational officers are expected to spend 40 to 50 per cent of their office time (in an average working month) on visits. Educational Officers who are quite serious about school visits are exceptions [There are some such officers].

On an average [0.57 visits per school per year taking all educational officers into account] 57 visits (multiple visits for some schools) are paid from among every 100 officers in the Department, during a year.

Inference on Management of Schools

The schools of the study function. They are run throughout the year. There is no breach of faith in regard to management of minimum functions.

All the schools of the study prepare annual plans - plan of work for the school for the entire year - and also adhere to the plan during the year. Preparation of annual plan is a participative exercise in all hps and high schools.

16 out of 45 schools prepare school budgets - none of the LPS schools is included here. Budgeting for the school is not a uniformly observed phenomenon even in hps and hs. This is true of management of records also. All the files specified by the Department are not maintained by all the schools. While some schools have reported that they maintain all the files, others maintain the minimum number of files.

Uniformity in functioning is also not observed in regard to organisation of health check-up of students. It is total and complete (all LPS/HPS/HS schools) in Uttara Kannada and Chamarajanagar district. There are lapses in this regard in the other three districts. Incidentally, management responsibility of schools in regard to students who stay in hostels is not an issue as hardly 2 per cent of student (in this rural sample of 7348 students) stay in hostels.

Management of schools while teachers go on leave is also not reported to be a big problem by schools except some of the LPS schools. Redistribution of work among rest of the teachers is a common strategy adopted by all the schools.

Management of space of the school for conducting classes is a serious problem faced by schools. Schools functions with varying levels of efficiency in regard to space use. There is a case of an LPS with 4 teachers and 140 students which has only one classroom/hall. In many hps/lps average class size is 70 children and above that.

There are hps who crowd seven standards in 4 classrooms while maintaining a separate HT room and a separate staff room. Some of the other hps sacrifice HT/ Staff room in favour of class rooms/instructional rooms.

Inspection/Supervision of functioning/management of schools appears to be most unsystematic and lax as per the reports of the schools on school visits by variety of educational officers, only 57 visits to schools during a year are possible. Multiple visits to some schools by different educational offices are ignored in this arithmetic. Three schools in Bijapur district was not visited by any officer for a whole year. 40 per cent of the total of 126 visits from 222 educational officers in the 45 schools of the study was made 6 months earlier.

Reforms Needed

The proposal for the preparation of a Handbook on School Quality referred to earlier gets strengthened after an analysis of data on school management. The Handbook may also address the problems of space-use in schools and give proper guidance to HTs so that a comparable quality can be ensured in functioning of schools.

The case for privatisation of supervision/inspection is already made in Chapter III. Empirical data from this study (field view) strengthens this proposition. There is no use of continuing with an unsystematic, lax, imbalanced and inefficient supervision/inspection system. All the posts of SIs/EOs can be phased out and abolished. A contract system of supervision/inspection of schools as has already been discussed in Chapter III may be adopted.

There is also a need to bring out 'A Guidebook of Inspection' by the State/CPI/DSERT administration that can be used for training Registered Private Inspectors of Schools as well as for use during Inspection visits.

DISTRICT	LPS	HPS	HS
U.K			
Karwar	EC4	CRC 7 EC 3 Others 6	EC 4 EO 7 BEO 8
Bhatkal	DDPI7	SI 8 DDPI 6	SI 5 BEO 4
Haliyal	CRC 2 BRC 7	CRC 4 EC 4 BEO 5	SI 7 BEO 6
Bijapur			
Bijapur	CRC 7 SI 8	ZERO	BEO 6 DDPI 8 others 7
Muddebihal	ZERO	ZERO	SI 7 BEO 7
Sindhagi	CRC 4 EC 6 BEO 7	CRC 3 BRC 4 EC 4 EI 5 BEO 5	SI 6 BEO 7 EO 7 Others 7
Kolar			
Kolar	CRC 8 EC 8	CRC 6 BEO 4	SI 5 BEO 5 DDPI 8
Mulbagil	CRC 7 BEC 3	Others 3	SI 7 BEO 7 DDPI 6 others 6
Bagepalli	BRC 4 BEO 4	CRC 1 BRC 7 EC 4 EO 1 BEO 1 DDPI 1	SI 5 BEO 4
Gulbarga			
Gulbarga	CRC 6 BRC 8 EC 4	CRC 6 BRC 7 EC 6 BEO 7 DDPI 6	SI 8 DDPI 8
Yadgir	CRC 7 DDPI 7	CRC 6 BRC 5 EC 4 BEO 5 DDPI 4 others 6	BEO 6
Shorapur	CRC 7	CRC 4 EO 3	BEO 6
C'Nagar			
C'Nagar	CRC 2 BRC 7 BEO 7 DDPI 7	CRC 2 BRC 4 EC 2 BEO 4 DDPI 4 others 2	SI 2 BEO 7 DDPI 8 others 6
Kollegal	CRC 7 BRC 6 EC 6	CRC 7 EC 3	EO 7 BEO 5
Gundulpet	CRC 2 BRC 4 SI 8 BEO 4 DDPI 8	CRC 1 BRC 2 EC 2 SI 7 EO 8 BEO 2 others 8	SI 8 EO 8 BEO 7 DDPI 7 others 7

Note	LPS	HPS	HS
Taluqs without a visit of any officer during 2000-2001	Muddebihal	Bijapur Muddebihal	Nil

VISITS BY EDUCATIONAL OFFICERS

Officers	LPS									HPS									HS									Total	
	1	2	3	4	5	6	7	8	T	1	2	3	4	5	6	7	8	T	1	2	3	4	5	6	7	8	T		
CRC	-	3	-	1	-	1	5	1	11	2	1	1	3	-	3	2	-	11	-	-	-	-	-	-	-	-	-	0	22
BRC	-	-	1	2	-	1	2	1	7	-	1	1	3	1	-	1	-	6	-	-	-	-	-	-	-	-	-	0	13
EC	-	-	-	2	-	3	-	1	6	-	2	2	4	-	1	-	-	9	-	-	-	1	-	-	-	-	-	1	16
SI	-	-	-	-	-	-	-	2	2	-	-	-	-	-	-	1	1	2	-	1	-	-	3	1	3	2	10	14	
EO	-	-	-	-	-	-	-	-	0	1	-	1	-	1	-	-	1	4	-	-	-	-	-	-	3	1	4	8	
BEO	-	-	-	4	-	-	2	-	6	1	1	-	1	4	-	1	-	8	-	-	-	2	2	4	5	1	14	28	
DDPI	-	-	-	-	-	-	3	-	3	1	-	-	1	1	2	-	-	5	-	-	-	-	-	-	1	4	5	13	
Others	-	-	-	-	-	-	1	-	1	-	1	1	-	-	2	1	1	5	-	-	-	-	-	3	3	-	6	12	
TOTAL	-	3	1	9	-	5	13	5	36	5	6	6	10	7	8	5	3	50	-	1	-	3	5	8	15	8	40	126	

SUMMARY OF THE WORK DONE, FINDINGS AND RECOMMENDATIONS

Perspective

The Government of India adopted a new economic policy in July 1991. Liberalisation of controls on the production, distribution and marketing of goods and services, privatisation of public services, globalisation of trade and investments, decentralisation of development administration are the chief goals of the new economic policy. Some of the values accompanying these goals are transparency in administration, promotion of participative culture, fixing norms for work and accountability in performance, improving efficiency of public expenditures, optimising use of resources and harmonising public and private interest in production and provision of services. Several structural changes and adjustments became imminent in the light of this changing policy framework and in the areas of economy, polity and society. Rightsizing the government, outsourcing public services, ensuring 'value for money' at all levels, reforming and modernising public/development administration are integral to the programmes of Structural Change and Adjustment. It is in this context that the Government of Karnataka set up an Administrative Reforms Commission (ARC) in April 2000. The ARC submitted an interim report to the government in January 2001. Functional Review of several departments of the government including the EDUCATION department have been taken following the interim report. The substance of the present report carries the functional review of the Education Department.

Context

Karnataka is a better performing State from among 15 major States of India. It is a middle ranking State in the field of education. It faces several problems. Though the situation is not very bad in regard to non-enrolment and drop-out rates, at least at the Lower Primary Stage, it is so in regard to attainment levels as revealed by Baseline and Mid-term All India Attainment Surveys.

There may be several systemic and extraneous factors that contribute to poor performance of students/regions in national attainment surveys and State level public examinations and poor performance of the system on several other indicators of educational performance. Infrastructure facilities, teacher quality and adequacy, sub-optimal functioning of schools, poverty of parents which is a proxy for several school-related indicators, low levels of awareness of the community in regard to intrinsic values of education/schooling may all be considered as determinants of inadequate/poor performance. One significant determinant that deserves special mention is the quality and efficiency of administrative/managerial support for the schooling process. Administration is one of the major determinant variables in the efficient and effective realisation of goals of education. This study is a review of functioning of educational administration in the State in a framework of goals/objectives of education and prevailing status of grassroots (school/village level) organisation and management of children.

Objectives of the Study

The objectives of the study, the corresponding activities considered for the review and expected outcomes/key deliverables are presented here [They are repetitions from the first Chapter. Repetition cannot be helped].

- a) to study the rationalisation and coherence in allocation of functions and portfolios in the framework of the overall and department-specific goals of the education department,
- b) to study the vertical and lateral devolution of functions and responsibilities within the department and between the department and local-self government institutions;
- c) to study the streamlining of Central and Centrally sponsored schemes with special reference to functional distribution and delivery structures of OBB, DPEP and DIET programmes;
- d) to review the levels of modernisation in the existing organisation and functioning of departmental structures;
- e) to review the expenditure management of the department in the light of medium-term fiscal framework
and finally,
- f) to examine the involvement/participation of non-governmental/community based agencies in delivery of services.

The objectives of the study have been proposed to be realised through an examination of the following set of activities.

Activities considered for the Review

1. Departmental functions and activities - Directly managed by the department, Enabling functions.
2. Nature and spread of schemes - State Govt., Central Government/Centrally sponsored, Externally aided.
3. Schemes for school education from other departments such as Women & child Welfare, Social Welfare, Backward Classes and Minorities, Health and Family Welfare departments, Urban Local-Self Governments (Eg: Bangalore City Corporation).
4. Planning process for schemes of the department; Distribution of powers and responsibilities for operation of schemes (Level of decentralisation); Efficiency of delivery of services; Mechanisms of feedback and corrective action.
5. Monitoring the delivery services - Records management and reporting systems; management of budget for the department.
6. Network of communication within the department and across the department and upto school level;

7. Welfare of students, teachers and officers - TBF, SBF, Officers' Association, Teachers' Association, Welfare of Women employees.
8. In-service education programmes for Teachers at Primary and Secondary levels; for educational administrators; for senior officers in the government;
9. Organisation and management of the Secretariat - Relations between the Secretariat and the Department across various levels of administration;
10. Performance Evaluation Mechanisms for students, teachers, head teachers, Educational administrators at Block level, District level and State level; Recognition of good work and reward systems.
11. Quality of involvement of ZP, TPS, Standing Committee on Education and Health at District and taluk Levels; VEC, SDMC, SBC and NGOs in the work of the department.
12. Quality of administration of major schemes of the department - clarity of goals and outputs; Indicators of performance; Methods of designing and implementing the programmes; Flow of funds; Delegation of authority; Involvement of Local government.
13. Methods of identification of beneficiaries for various schemes; Role of the Gramsabha and Village Panchayaths in, beneficiary identification; Beneficiary perceptions of benefits received.
14. Information management from State to District to Block to Village to Households; Departmental and LSG body responsibilities in information management; Transparency in information flow and decision-making processes; Use of IT in information management; use of annual reports and other reporting systems.
15. Users' perceptions of delivery of services of the department - parents, community leaders.
16. Teachers'/Head Teachers' perceptions of satisfaction of parents with the Department.
17. Citizens' perceptions of benefits from the Department.
18. Issues of equity across groups and regional imbalances in the access, utilisation and quality of services.

Functional review of the education department through the activities set out for the study in the framework of objectives of the study is expected to lead to the following key areas where specific recommendations will be made.

Key Deliverables

Based on the functional review, the key deliverables must contain recommendations on -

- Restructuring/reorganisation/merger of departments to improve efficiency and better service delivery mechanisms.

- Rightsizing of the departments and staff, redeployment of the staff, abolition of surplus redundant posts with specific reference to all cadres and levels in the departments.
- Activities to be outsourced/privatisation of any activities.
- Devolution of powers/finances to local bodies, both rural and urban.
- Improving systems and work methods for greater accountability and transparency in departments functioning.

The objectives set out for the study, activities identified for review and key deliverables proposed area as per the Terms of Reference set out for the study by the ARC.

Methodology

The study has adopted Descriptive Survey, Documentary Analysis and Rapid Appraisal Techniques.

Parents perceptions about the school, schooling and the benefits received by their children, School Head's perceptions about problems and issues in management of their schools and their interactions with the administration, ZP/TPS President/Vice-President perceptions about the schools in their district/taluq were all captured through Descriptive Survey. Files, reports, records of the department at various levels are illustrative of the Documentary Analysis. Individual/Focussed group interviews (of administrators/experts/ others) are used as Rapid Appraisal Techniques.

The study is limited to school education. The empirical study is spread across 5 districts of the State viz; Uttara Kannada, Bijapur, Kolar, Gulbarga and Chamarajanagar. Three blocks including the District HQ are selected within the districts. Three villages in each block which respectively have an LPS, a HPS and High School are selected. In this way 45 schools are covered in the survey. Using criteria of social class and sex 10 children are selected from each school adding up to 450 children. Households survey was made of these 450 households.

Data are subjected to descriptive/quantitative analysis as well as qualitative analysis.

Scope and Limitations

Being a functional review and not a research study, there is no explicit discussion of a theoretical framework as well as a review of research literature. This review will not include pedagogical processes, content and techniques of capacity building exercises, curriculum analysis, textbooks review and similar technical aspects of education. It is essentially a functional review of the department of education in the light of objectives of the department.

Time available for the study has been very/very short - May to September 2001. Schools also reopened in June 2001. Justice for the realisation of the objectives of the study has been attempted in the limited available time. This study has been a race against time.

Organisation of the Report

This report is presented in two volumes. Volume 1 incorporates the technical report of the functional review. Volume 2 incorporates the detailed tables, interview reports from DDPIs, BEOs, ZP President, Vice-President, Executive Officers of TPS etc; and profiles of certain significant government departments of education.

Vol. 1 is spilt up into 5 Chapters. Chapter 1 is a Perspective chapter which outlines the context, objectives, methodology, scope and limitations. Chapter 2 gives an update on the Status of Education in Karnataka State. This chapter is a revised and updated (upto 2001) version of a similar chapter contributed by the author/Project Director to the Sub-Sector Study on Management of School Education in Karnataka State completed earlier for the GOK (2001, April). Chapter 3 provides a Macro Perspective of the functioning of the Department of Education. It begins with a historical perspective of the evolution of educational administration in the State beginning from 1833 AD and upto 2000 AD [Incidentally this section is a revised version of a contribution by the author/Project Director to an edited volume on 'Landmarks in Karnataka Administration' (ed.) by Sri S Ramanathan for the IIPA, Karnataka Branch (2000, January)]. This is followed by an examination of goals, structure and functions of various wings of the department at State/ District and Block level, a review of the functioning of the Secretariat, the office and functions of the District and sub-district level educational officers, administrative practices and process, State level finances etc;. Chapter 4 presents an update on the functioning of schools. It is a Micro-level report on the grassroots/ earthworm's view of educational administration in the State. Chapter 5 provides a summary report of the work done, consolidation of findings of the study and recommendations for reforms.

Findings of the study

Findings of the study will be consolidated and listed here. Implications of these findings will be addressed later/separately.

MICRO-LEVEL PERCEPTIONS (EMPIRICAL STUDY)

[A] PARENTS' VIEW

Profile of Parents: There are 449 parents (households) whose views/perceptions/experiences are captured in this study. 65 per cent of these parents belong to BPL families. 55 per cent of parents are labourers. Another 27 per cent are cultivators. In 23 per cent of cases (out of 449), mother is the head of the household. 223 out of 449 children are girls, 165 and 46 children belong to SC and ST categories respectively. Almost all the children have easy access to schooling while a marginal proportion (23 per cent) attending high schools have to walk long distances to the school. Majority of children belong to families whose size is 5 and less than that while it is only in Gulbarga district that family size of children attending schools is 6 and more than that.

Perceptions of Parents

People in the State (parents of this sample) have enormous faith in government schools and are by and large satisfied with their functioning. It is only around 15 per cent of the parents spread across LPS/HPS/HS samples who believe that private schools are better than government schools.

One third of the parents in this study are not aware of the existence of VEC/SBC/SDMC. Only 28 parents (out of 294 who have reported that they are aware) in this sample are members of VEC/SBC/.....

85 per cent of parents have reported that they receive progress reports from the schools. parents are satisfied about the progress of their wards. They are satisfied with the practice of home assignments. Over 5 per cent of parents report that teachers are in the habit of beating their children. Most of them have no objection to such beating.

Perceptions on Incentive Schemes

Textbooks

There is almost complete coverage of parents/children in the delivery of textbooks (293 out of 299 eligible children covered).

With marginal proportion of exceptions (in Chamarajanagar District) parents have reported that textbooks were delivered on time (beginning of the year) and were in good condition at the time of delivery.

Note: 246 out of 293 parents/beneficiaries [84 per cent] have submitted that they are not sending the children to schools just because the government is giving free textbooks. They would have purchased it for their children even if such a free supply were not to be there.

Parents of 95 out of 150 children who attend high schools have reported that they did not find any problems in procuring textbooks from the market. Districts which face problems arranged in descending order of frequency are: Uttara Kannada, Kolar, Bijapur, Chamarajanagar and finally Gulbarga.

Uniforms

150 students in LPS (I to IV standard) schools and 14 SC/ST (out of 23 eligible in VI to VIII) have received uniforms. 46 eligible I to IV children in HPS schools have not received it. There is full coverage in LPS schools irrespective of attendance.

None of the parents whose children did not receive uniform complained to the Head Teacher about it. In 18 cases parents got it from their purse; in 33 cases children attended without uniform dress; in 10 out of these 33 cases parents report that the school does not practice any uniform dress code.

26 per cent of parents have reported that the measure of the cloth given to their children was not sufficient. An equal proportion have submitted that they had difficulties in paying stitching charges.

Note: 78 per cent of parents have submitted that they are not sending their children to school just because the government is giving free uniforms.

Across all stages of schooling, LPS/HPS/HS, parents believe that there should be a uniform dress code for children.

MID-DAY MEAL SCHEME

231 out of 234 eligible children receive mid-day meals. It implies that there is full attendance (98.71 per cent). However, attendance data from schools to which these children attend (E2 schedule) reveals only 91.57 per cent attendance. 7.14 per cent may be 'spurious' cases of beneficiaries (spurious means gap between attendance data as maintained in the school attendance register and attendance as certified for MMS benefit). Chamarajanagar has recorded the highest incidence of gap.

Note: 90 per cent of parents have submitted that they are not sending their children to school just because government gives free food to do so.

School Bag for SC/ST Girls (HPS Stage)

All eligible 22 children in this sample have received school bags which are reported to be in good condition at the time of supply. In only 4 cases it was given during the middle of the year.

Note: 20 out of 22 parents have reported that they themselves would have purchased the bag even if government had not supplied it.

Work Books to Children (DPEP and UNJS)

Only 42 children (out of 389 eligible children) have received the workbooks of whom 33 are SC/ST children. This is not a priority scheme of the government.

Scholarship

Students studying in all the standards, I to X, get scholarships (as reported by parents) though the incidence is relatively high in higher standards. 157 out of 449 children of this study get scholarships. The amount varies from Rs.75/- to Rs.700/- per month.

Expenditures on Incentive Schemes

Crude estimates indicate that the State Government spends on an average, about 35 to 40 crores (latest years) on incentive schemes which works up to 1.2 per cent of total and 6 per cent of plan allocations. [Central support to MMS is not included here].

[B] School as an Angle of vision

Profile of Schools

There are 45 schools in the study: 15 LPS - small villages; 15 HPS - Medium-sized villages; and 15 HS - fairly big villages; from 5 districts and 15 taluqs at the rate of 3 taluqs per district.

Results of SSLC examinations, 2001, are dismal in Gulbarga district (in all sample schools) and quite poor in Chamarajanagar and Kolar districts.

Poor results in general correspond with similar results in Mathematics in all 3 districts and with English in Gulbarga district.

Gulbarga and Chamarajanagar schools have also reported lowest attendance rates of students at LPS and HPS stages.

Proportion of teachers who commute to work (to the village school) at the LPS, HPS and HS stages are 78, 73 and 74 per cent respectively.

Teacher-Pupil ratios are 23.99, 28.53 and 49.16 respectively at HS, LPS and HPS stages. The (HPS) ratios are as high as 62.17 and 61.84 in Chamarajanagar and Bijapur districts respectively. Schools have reported highest SSLC performance (67.00 per cent in 2001) in Bijapur district.

School strength is usually high in high schools and higher primary schools of Chamarajanagar district. In contrast, the LPS schools are quite big in Bijapur and Gulbarga districts.

Perceptions of Head Teachers (HTs)

Incentive Schemes

In general, HTs appear to be satisfied on all three counts: adequacy of supply (quantity), timelines of supply and quality of incentives. Those HTs who have expressed any type of reservations are exceptions.

Following divergences in perceptions regarding the operation of incentives schemes are observed between the HTs and parents.

Parents report (E1 Schedule) short supply of uniforms; children of LPS standards in HPS schools have been left out under uniforms scheme; 26 per cent of parents are disturbed about shortage of measure of the clothes supplied; HTs are silent on all these feelings of parents.

There is near total convergence between the perceptions of parents and HTs in regard to operation of Textbooks, MMS and School Bags schemes.

Infrastructure in Schools

Infrastructure facilities in the sample schools of this study are very poor. In 14 out of 45 schools children squat on the floor. The LPS is a euphemism for a school. LPS schools in DPEP districts are exceptional. They are brimming with a learning/joyful environment within the classrooms.

In 9 HPS schools and 4 HS there is neither a HT room nor a staff room. Only one out of 15 HPS schools and 3 HS have toilet facility for girls.

Community contributions for strengthening infrastructure facilities in schools is observed in 11 taluqs and across all the 5 districts of the State. Contributions are in the form of furniture, teaching aids, compound, toilets, classroom and other utilities. It is relatively high for high schools and higher primary schools. Furniture grant is the most common contribution.

Management of Schools

All the schools of the study prepare an annual plan (plan of work) and in 42 schools (except 3 LPS) it is a participative exercise. The HTs report that by and large they adhere to the plan.

Out of the 45 schools, 6 HPS and 10 HS prepare school budgets.

15 LPS schools together have 33 rooms. 8 LPS schools have only 2 rooms each, 5 LPS schools have 3 rooms each and 2 LPS schools are single instructional room schools. One of them is also a single teacher school located in Chamarajanagar taluq. The other is in Muddebihal taluq and has 4 teachers.

Space use in schools (use of classrooms for instructional/non-instructional purposes) is unsystematic. There is an LPS (Gundulpet) with 2 rooms where hardly 7 children are there per room. There is another LPS (Muddebihal) where 140 children belonging to I to IV standards are 'dumped' in one classroom in hall, may be a hall.

Imbalance in class size across the schools of the sample/study is clear and transparent. This imbalance has nothing to do with availability of space. Space use, perhaps, is subject to discretion of the HT [classroom, HT room, Staff room, laboratory, etc;]. Perhaps, there are no norms. As such, schools function with varying levels of efficiency in space use.

28 out of 34 HTs (only 34 out of 45 responded to this question) have reported that they redistribute the work among themselves when their school teachers go on long leave. LPS schools are more hard pressed in this regard.

All the HTs of all the schools have reported that they are very prompt in conducting periodical tests.

Schools are expected to maintain 25 to 30 files and some of them have reported that they maintain all the files.

All the 9 schools of both Uttara Kannada and Chamarajanagar districts have reported that they got health check up of children during the previous year. 3 LPS, 3 HPS and 3 HS across other 3 districts could not organise health check-up of children during last year.

Hardly 2 per cent of students from HPS/HS schools of this study (total 7348 students) stay in hostels and study. They do not pose any management problem to HTs.

Supervision and Inspection of Schools

One LPS and one HPS in Muddebihal taluq and one HPS in Bijapur taluq (both Bijapur District) have not been visited by any 'Adhikari Pillai' (usage similar to 'Nara Pillai') during the whole year 2000-2001.

Visits by educational officers to schools is very poor. School visits have become a highly unsystematic exercise. Sometimes the same schools are visited by a variety of officers while others are completely left out.

Educational Officers are (DDPI, EO, BEO, SI, EC.....) expected to spend 40 to 50 per cent of their office time (in an average working month) on school visits. There are some officers who are reported to be quite serious/committed about school inspections (they are exceptions). The update from this sample does not reflect seriousness in coverage of schools for inspection.

222 Educational Officers have paid 126 visits among themselves across 45 schools. 15 BEOs have paid 28 visits and 5 DDPIs have paid 13 visits during last year (LPS/HPS/HS).

Average visit by all educational officers of all the schools across all the taluqs is 0.57 (not even one visit per school in one full year).

Macro-Level Perspectives

[Documentary Analysis and Rapid Appraisal Techniques]

Attainment

Mid-term Assessment Survey (MAS) in the DPEP districts of several States of India including Karnataka State was made by the GOI in 2000AD. Performance of the State reveals that it is the poorest among 8 States under Survey.

Nearly 90 per cent of passes are observed at the VII standard district level examinations. Around 50 per cent of students (on an average) successfully complete SSLC examination. The average for government schools in the State is around 35 per cent.

Findings and Recommendations in relation to Objectives of the Study

Objective No.1

Rationalisation and Coherence of functions:

Personnel of the department are engaged in tasks/functions which are not originally expected of them. Alternatively, they are not able to adequately and efficiently carry out functions for which they are appointed. [Eg: of SIs of schools engaged for Departmental Enquiries; CRCs used by ECs/BEOs for MIS Survey, textbook distribution;].

Subject-wise and Teacher-wise roster is not being maintained for training of teachers by many of the CTEs/some of the DIETs.

There is no institutional structure to organise Capacity Building Exercises for +2 level teachers.

Private school teachers (15 per cent LPS and 65 per cent High Schools are under private management) are not covered under any Capacity Building Exercises. A large proportion of private schools are moneyminded/commercialised. Swami Vivekananda had said that Education should be Man-Making. Now it has become Money-Making. Children from private schools/colleges grow up without any sensitivity to national problems of poverty and inequality, caste/sex discrimination, turn out to be comfort-loving persons. They become luxury loving individuals bereft of citizenship values and insensitive to other social purposes of education. Teachers of private schools require orientation/training in development of nation-friendly, modern, pluralistic attitudes/values. Whatever the government thinks is good for government schools should be expected of private schools. Unaided private school teaching should not be a pastime for teachers from well-to-do families. The cost of training has to be borne by the managements. Government shall give, on a cost basis, training materials and resource persons.

Let there be a decentralised structure of management of school education wherein the BEO shall be vested with total responsibilities for primary schools of his block. Let the DDPI assume facilitative and supportive role in regard to primary education. Even the recruitment of teachers can be limited to the block level. Exceptions can be made to this arrangement in such blocks where qualified and trained aspirants for teachers' jobs are not available in adequate numbers.

DDPI will be in full charge of secondary and senior secondary schools of the district. As of now 65 per cent of secondary schools are under private managements. Let there be a DISTRICT BOARD of EDUCATION which would manage secondary/senior secondary education. The DDPI will act as Member-Secretary of the Board. The ZP President/Vice-President or the Chairperson of the Standing Committee on Education of the ZP can act as the President of the District Board. The Board will give due weightage to representation of members from different social groups, sexes and also from private managements apart from government officers and distinguished intellectuals.

Let the working of the Anganwadi centres be harmonised with the timings/functioning of the local LPS school. As of now, there is lack of harmony giving scope to the persistence of the problems of sibling care to school-aged girls and depriving them of their time for attending school.

There is no periodical review of the academic performance of students who avail benefits from SC/BCM departments/hostels. There is no functional relationship between the head of the school in which they study and the head of the hostel (warden) in which they stay.

Relation between the health department (PHC/PHU) and the local schools are not uniformly strong and fruitful.

Corporation (BCC) runs secondary schools and hostels in Bangalore City. They are by and large useful to the slum children. The performance of Corporation schools in the SSLC examination is not even 50 per cent of the State average (around 25 per cent success rate). There is no functional relationship between the Government Department of Education and the Corporation except for conducting SSLC examination and declaring results.

Secretariat

The general impression that one gets from the functioning of the Secretariat is that the division of work of the Secretariat into school and higher education has become more rigid and formal than it should be. Functioning of the Secretariat reminds one of a log of wood on the high seas which is subject to momentary currents. Apparently there is no vision, no periodical review in a framework of overall goals and a set path for normative functioning. Vision, if any, is not explicitly stated.

The sum and substance of arguments in this section is that the existing levels of rationalisation and coherence in allocation of functions and portfolios in the department within a framework of overall and department-specific goals of the department leave much to be desired.

Second Objective of the Study

Functions and Responsibilities within the department

Does the department function? Of course, it does. Is it functional? Most certainly, "NO". **The Department functions, but it is not functional.**——— What does this mean? It means that the time of all personnel/officers/teachers is occupied but not gainfully. Everybody is busy, everyone works, many of the officers from State level to taluk level over-work, but results do not reflect that. Performance is unsatisfactory on all accounts. Is there a decline, deceleration, negative outcome and retardation? 'NO'. The results are not commensurate with the investments of time and resources and efforts. Is there a lack of sincerity and commitment in officers/teachers/others in their work? 'NO'. Then what is the problem? The problem is one of lack of perception of the significance of their everyday activities to the overall objectives of the Department. It is a lack of self-imposed accountability and review in the department in a framework of goals of the department.

The school does not evaluate itself periodically in regard to the objectives for which it has been set up. There is no corrective mechanism both for the school and by the school. Eg: No feedback on progress reports collected by CRCs from schools (ECs are not bothered); No feedback by DIETs/CTEs on training given by them; SIs do not analyse SSLC results school-wise, block-wise; Perceptions on quality of schooling is either poor or absent among functionaries.

A large data base is developed by the Department through the MIS. Glaring omissions of this data base are - no attention to attainment levels in schools; no information on private demand/private investments (and potentials therein) for schooling; no information on private self-financing/unaided and private aided schools; no subject-wise, sex-wise, social group-wise, region-wise analysis of school final results.

HTs have to maintain 25 to 30 registers. There is no uniform practice in maintenance of registers across LPS, HPS, HS and higher offices. HTs are held accountable to several functions except the non-attainment of children.

Attendance of students to primary schools/high schools is not reported to higher authorities. Drop-out information is reported once a year. Schools and reporting systems are not designed to take note and care of long absentees/potential drop-outs. As of now, school-wise/taluk/district-wise information on the following 9 areas are available at the State level in all DPEP districts: Location of schools, school structure, teachers, teaching equipments, school plant, furniture, enrolments and incentives coverage - SC, ST, General.

Flow of information and communication is by and large a one-way process, top-down. Feedback (upward flow) is highly limited. There is no formal mechanism for two-way communication.

Budgetting at all levels from school to BEO/DDPI/DPI are mechanical, routine expenditure statements

The quality of teachers at both primary and high school levels is very poor at the point of entry into service. While primary teachers are a filtered lot of the +2

completed persons, high school teachers are twice-filtered lot à first filtering at the +2 stage when they go for BA/BSc courses and second filtering is after graduation when they fail to get PG admissions. They do not have content competence at the point of entry.

'Performance Evaluation' is a modern management phrase which should not be strictly applied to the teaching profession/education department personnel. Mass education requires a continuous and large supply of teachers for relatively low salaries from all cross-sections of society. Promotion of equity and regional spread are also noble objectives to be fulfilled in recruitment. Further, their performance depends on several factors outside their control.

There are several schemes of teacher-awards; recognition of merit and sincerity among teachers. Some of them are through nominations while other are through open competition. Participation of teachers/awareness of teachers for schemes which expect innovativeness is very poor.

Objective No.3: (Centrally sponsored Schemes)

Distinctions such as CS/EF and State programmes are unnecessary (at the field level) except for purposes of accounting, auditing and reporting to sponsors. They send wrong signals and messages down the line.

Functional links between DDPI and the DPO, BEO and the BRC, EC and the CRC are very weak. Teachers trained by CRC/BRC to manage lower classes are posted to higher classes by HTs of HPS. Training goes as a waste. Untrained, less favoured, newly posted teachers are given lower classes. BRC/DPO have no say in choice/roster of teachers for training.

DIETs have been marginalised in DPEP districts as compared to their status in non-DPEP districts. Number of teachers to be trained and the variety of training needs for them suggest that the existing machinery is far from adequate. Even Satellite technology was not successful to expected levels.

There is a problem of sustainability of DPEP structures after the termination of the scheme by 2003 AD.

Objective No.4 (Modernisation in the Department)

Information Management at the State level is highly modernised. The Department has created (CPI) a separate website and is uplinked to kar.nic.in. There is no typewriter (work) anywhere in the CPI's office. Nearly a dozen information services are computerised at the CPI's office. There is further scope for modernisation and IM in the department. A programme of improvement of School Quality using modern IM techniques is missing in the Department.

Objective No.5 (MTFP Framework)

Nearly 5 out of every 6 rupees of the total budget of the education department goes for school education. Specifically 53 per cent and 31 per cent go for primary and secondary education (2000-01 budget).

Budget allocations for the education sector, by and large, are guided by the incremental approach as against the normative approach (goal-oriented).

Expenditure management of the Department in the light of the MTFP will experience quite a few reliefs along with a few pressures. For instance, moratorium on filling up of vacant posts will not apply for education (15000 vacancies in education). 50 per cent of vacant posts from other departments will be transferred to primary/secondary education (and health). 15 per cent of the retiring posts will be retained. These reliefs will facilitate the Department to move towards one teacher per standard of instruction in the following years and realise the dream of EDUCATION FOR ALL.

CONCLUSIONS

Educational Administration in Karnataka State has been in a state of dynamic and progressive flux in the last two to three years. The initiatives for change were taken in the early period of the last decade, gained momentum by the middle years of the decade and crystallised by the end of the decade. Even now several initiatives for change are on the anvil. Leadership is in right hands at all levels at the top. There is no reason to disbelieve that Karnataka would be on top of the educational map of India in the coming years. In fact, while the Sarva Shiksha Abhiyan set up by the Government of India has set a target of Education for All upto 5th standard by 2007 AD, the GOK has set a target of EFA upto 8th standard by the same year. May the Goddess of Learning bless the State.

The foregoing perceptions and hopes do not imply that there is neither scope nor need for changes. There is definitely a scope and a need for administrative reforms in education in the State taking 2001 May/June as the base period of the status quo. The CM's Task Force on Education (set up in 2000 May) and the dialogical process in the State initiated through Sub-Sector Studies since September 2000 AD have been instrumental in substantive initiatives for change/reforms. As such, the recommendations for change proposed in this study go beyond the current initiatives and are set in an entirely distinctive framework as set by the Administrative Reforms Commission.

It is significant to observe that the achievements in the field of education as reflected in several indicators such as enrolment, retention and attainment levels in school education do not match with the serious and sincere efforts of the State Educational Administration. Of all UEE objectives, the attainment levels have been consistently low as discovered by national level base-line and mid-term assessment surveys.

Why is the performance low in the State? What types of reforms in educational administration would of value in improving performance?

The Department functions, but is not functional. Officers down the line are busy without relating their specific offices/functions/behaviours to overall goals and objectives of the Department. First of all, there is no conception of quality and efficiency which should have been shared by the rank and file of the department.

Village Communities, parents of school-going children are happy/satisfied about the schools to which their children attend. They are satisfied, with exceptions, about

the delivery of incentive schemes. Schools/HTs are happy about the functioning of their schools. They are satisfied with the level and quality of administrative support to the schools. But the update from this study and national surveys show the schools in poor light. Still the parents and HTs are satisfied. In the absence of a perception of what is 'good' and 'of quality', whatever is available becomes 'good' and 'of quality'. There are no norms for performance. Programmes are operated without ensuring whatever they are needed/in demand from the communities to which they are intended. 80 per cent of parents of school going children do not feel the need for incentive schemes of the government. They submit that they would buy textbooks/uniforms/school bags to their children even if the government does not provide them. Still, these programmes are operated. Some of these schemes were launched in 1960s which awareness levels for schooling was very low and general literacy in the State was very low and general literacy levels is over 65 per cent and awareness levels are quite high. Time is ripe to reexamine the need for continuation of these schemes. There is a need to target the schemes to the needy and deserving poor and phase them out over time.

Resuming the discussion on quality of schools, it is observed that there are schools where children squat on the floor, get crowded in classrooms, do not have toilet facility (girls) and are taught by teachers who are themselves of poor quality. There is a case of a LPS with 4 teachers and 140 children. There is an HPs with 7 rooms of which 6 are used for 7 standards. There is another HPs with 7 rooms of which 7 standards are accommodated in 4 rooms and three are used by the HT and the staff. There are schools where children are not subjected to health check up. Not even one visit per school on an average is possible from 222 officers in the 5 districts/15 taluqs. The average of visits is 0.57 per school. Some schools have been thoroughly omitted for a whole year in school visits. School inspection and supervision has become a 'farce'. There is no comprehensive and meaningful coverage of schools. There is no norm in running a school. Supervisors are assigned jobs for which they were not appointed. Subject Inspectors of schools are sent for departmental enquiry of undisciplined school teachers, staff and sub-staff. There is no self-assessment, accountability and self-evaluation at any stage. Feedback on efforts and its analysis is hardly observed. The administrative personnel are at best concerned about immediate outputs which is also rarely observed. They are hardly aware of long-term outcomes of their actions in a framework of goals of the department. It is with this perspective that the following recommendation are made in this study.

RECOMMENDATIONS FOR REFORMS

Recommendations are made in response to 'KEY DELIVERABLES' expected from the study as per the TOR. The key deliverables are:

- Restructuring/reorganisation/merger of departments to improve efficiency and better service delivery mechanisms.
- Rightsizing of the departments and staff, redeployment of the staff, abolition of surplus redundant posts with specific reference to all cadres and levels in the departments.
- Activities to be outsourced/privatisation of any activities.

- Devolution of powers/finances to local bodies, both rural and urban.
- Improving systems and work methods for greater accountability and transparency in departments functioning.

Recommendations

Reforms are outlined at 4 levels - State, District, Block and School levels. Interface across levels in reforms are not separately discussed. They are addressed at one of the levels where they are considered most appropriate.

State level Reforms

1. There is a need to develop a 'Vision Document' by the State Department of Education (Secretariat) which would reset the goals of the education department within a Normative Framework and a Time Frame keeping in view contours such as present performance, potentials for growth and development, constraints and opportunities across the State, MTFP proposals, emerging scenario in regard to population changes, demand for education and scope for private participation. This vision document should have inputs from administrators, academicians, intellectuals as well as distinguished persons from public life. A brief and concise version of the vision document should be shared with all the rank and file administrators of the Department.
2. A "PERSONNEL - FUNCTIONS - OUTPUTS - GOALS" (PFOG) Chart should be developed within the department and at all levels. Such a chart would lend meaning into everyday activities. Unproductive activities get exorcised through this effort. Administration will get transformed from its present Task-orientated Exercises into a Goal-oriented Activity. [An illustrative PFOG chart is presented in the report]. Prioritisation of Functions should be integral to the PFOG exercise. Workshop mode can be adopted to develop PFOG charts.
3. Distinctions between Centrally Sponsored/Externally Funded Projects/Programmes and State owned projects/programmes should be maintained only for Accounting/Auditing/Reporting purposes. Wrong messages get settled in the thinking processes of executives at the grassroots level if distinctions are carried downwards. 'He is after all an OB teacher'; 'This is a DPEP white elephant'; 'DIET is a CSS programme and DDPI has nothing to do with it' - like this, several comments are overheard reflecting the attitudes of executives/teachers/HTs.
4. There is a need to reexamine the continuation of several Incentive Schemes of the Department. They need to be targetted and phased out. Communities to which they are delivered do not expect them. The schemes were initiated in 1960s when demand for schooling was very low.

Dependence of Parents on Incentive Schemes

	Scheme	No. Eligible	No. Receiving	No. Not Dependent	% Not Dependent
a)	Textbooks	299	293	246	84
b)	Uniforms				
	I to IV LPS	150	150	-	-
	I to IV HPS	46	-	-	-
	V to VII SCG HPS	23	14	-	-
	TOTAL	219	164	127	78
c)	MMS	234	231	209	90
d)	School Bags	22	18	20	91

Note: Crude estimates indicate that the GOK spends on an average, about 35 to 40 crores (latest years) on incentive schemes which works up to 1.2 per cent of total expenditures on education and 6 per cent of plan allocations. [Central support to MMS is not included here].

Departments which are operating these schemes at the State level have an administrative cost. It is not accounted in this analysis.

5. The update from this study is rural communities are satisfied/have no complaints about the schools which serve them. Even the HTs of schools who function with varying levels of efficiency/inefficiency are also satisfied/have no complaints in the level and quality of support they receive from administration or about the infrastructure facilities in their schools. Even the LSG representatives - ZP Presidents/Vice-Presidents, TPS President/Vice-President, VP President/Vice-Presidents; the VEC Representatives - have no complaint about schools and their functioning. Such a tranquil atmosphere prevails inspite of national/State updates on attainments of children in schools which show Karnataka in poor light. It is last among 8 major States where MAS 2000 (National Mid-Term Attainment Survey in Primary Schools, 2000 AD) was done.

Karnataka appears to be in a Low Equilibrium Trap in regard to quality of schooling. How to get out of this situation? The State should bring out/evolve through a participative technique, 'A HANDBOOK ON SCHOOL QUALITY'. It should have differential conceptions for LPS, HPS, HS.

Periodical review/assessment of performance of schools should be examined in the light of the given/evolved conceptions of quality. It should also be used as an input in Capacity Building Exercises for SDMC/Teachers/HTs/Educational Offices at all levels/LSG Institutions. Sensitisation of stakeholders regarding 'quality of schooling/school' is essential for any reforms/improvements.

6. Inspection and Supervision of schools has become a 'farce' as it prevails today. Update from sample schools indicates this stark reality.

Average Visits by Educational Officers

The CRC and the BRC are two officers (of the DPEP) who visit primary schools EC visits primary schools and assists the BEO in his/her work. The SI is expected to visit high schools, supervise and guide the teachers in their teaching work. The EO works with the DDPI and assists in School Inspection, especially high schools and private aided schools. The BEO will be primarily focussing his attention on lower and higher primary schools and also assists the DDPI in inspection of high schools. The DDPI may visit/inspect any school in his district but normally is expected to visit high schools. There are other dignitaries/officials who may also visit the schools and report about its functioning to the BEO/DDPI. EO of TPS, CEO, VP President/Vice President/ members, TPS/ZP representatives, members of the Standing Committee of the ZP on Education, MLA/MP of the constituency, District/other ministers, Education Minister or for that matter any 'significant' individual can visit the schools. They are treated as 'others' in this study. Here follows an update on visits to 45 schools of this study.

There is one LPS and one HPS in Muddebihal taluq and one HPS in Bijapur taluk (both Bijapur district) which have not been visited by any 'Adhikari Pillai' (usage similar to 'Nara Pillai') during the whole year, 2000-2001.

5 DDPIs have visited 13 of the 45 schools during the last year - 3 LPS, 5 HPS and 5 HS. 4 of the 5 HS had been visited one year ago. Maximum number of visits have been by the BEO during 2000-2001. 28 visits are reported from among 15 BEOs.

Together the CRCs ad BRCs have paid 35 visits across 30 LPS and HPS during last year. Lowest number of visits are by 10 EOs of 5 districts - 8 visits only. There are 25 SIs (excluding SIs for PE) in the 5 districts who have paid 14 visits out of which 10 are for High Schools of the 15 taluqs. There are 30 ECs in the 15 taluqs who have together covered 16 visits one of which is also to a high school. Here follows a crude average of visits by educational officers/others.

Average visits by Educational Officers

Average visits	CRC	BRC	EC	SI	EO	BEO	DDPI	Others	Total
of Education Officers/ others	22	13	16	14	8	28	13	12	126
No. of Officers	120	12	30	30	10	15	5	-	222
Average Visits	0.18	1.1	0.50	0.50	0.80	1.9	2.6	-	0.57

No. of Schools : 15 LPS, 15 HPS, 15 HPS

Area : 15 Taluqs; 15 Districts; 14 of them DPEP districts

Assumptions : 10 CRCs and 1 BRC per taluk in DPEP district
2 ECs per taluq in 15 taluqs
6 SIs 5 of them for school subjects/per district.
2 EOs per district
15 BEOs, 5 DDPIs.

Limitations

It is possible that an officer (for eg: CRC) has visited a school (for eg: LPS) more than once during a year. But only one visit has been counted here.

Periodicity	Yesterday	Last week	2 weeks earlier	Last Month	2 Months earlier	3 Months Earlier	6 Months earlier	1 year ago
Percentage	3.97	7.94	5.55	17.46	9.52	16.66	26.19	12.69

Total Visits 126; Total Schools 45

Note: One LPS and one HPS in Muddebihal taluq and one HPS in Bijapur taluq have not received any single officer for visits during the whole year 2000-2001.

The office of the Subject Inspectors of Schools (SI) has become a 'farce'. The person of the SI should be a scholar in his subject and skilled in its transaction with the students. If the SI finds a teacher inadequate in her/his teaching of the subject with the students, then she/he should be competent enough to demonstrate how exactly/efficiently the particular concept/problem/principle has to be taught. This is hardly being observed in the system. The SI is expected to improve the SSLC performance of schools in her/his district. Most of them are not even aware of the results in their subject in any current year and their block-wise/district-wise, SC/ST/Non SC/ST, Male/Female differentials.

It would be 'ideal' to abolish all the posts of SIs in the State and privatise the School Inspection system. SIs can be appointed on a contract basis. The BEO/DDPI can develop and maintain a pool of experts who would visit schools as a team. Just retired 'reputed' head teachers/teachers of high schools/college teachers/senior educational administrators/university teachers/principals of DIETs/CTEs/Methods Masters of BEd colleges/others with demonstrated expertise can be in the pool. They can be given training/orientation by a State-level Resource Group. Every school can be covered once in a period of a 4 year cycle. At the rate of 15 schools per month, it would require 600 teams to cover 9000 secondary schools; about 3 to 4 teams per taluk of the State. One team will comprise of 5 to 6 SIs. As of now, there are hardly 27 such teams of SIs across the State, one for each district. Coverage of schools is slipshod and irregular. 33 per cent of secondary schools (unaided) are not covered. They are mostly in urban areas; are adept in the 'tricks of the trade', the competitive, examination - centred schooling.

In fact, Inspection and Supervision can be combined together in School visits. [Supervision is a quality-improvement function. Inspection is for examining transparency, efficiency, participative structures and accountability. The term SI is a euphemism]. SIs are expected to improve quality of instruction.

Inspection of schools is the job of the BEO/EO/DDPI in the education department. **As of now there is no 'Handbook of Quality for a Secondary School' and a 'Guidebook of Inspection of Secondary Schools'.** The State-level administration needs to sponsor/develop such a Handbook and a Guidebook. There can also be a pool of Inspectors/EOs who would accompany SIs. The pool of Inspectors/Supervisors can be useful in

contracting the whole function of Inspection of Schools. The Inspectors/Supervisors can be registered by the State Government [just like Registered Medical Practitioners, Certified Chartered Accountants, Wealth Valuers for Tax purposes, Baptised Advocates]. The system of school inspection can be privatised with the help of the pool of experts. The Schools shall be made to pay for the Inspection. Government shall pay for the government schools (meant for poor children) and managements shall pay for the private schools. This proposal is submitted as it is felt to be of inherent merits. However, if a question arises in any person's mind whether such a system of privatisation of Inspection of schools is feasible and whether it has been tried out anywhere in the world, the answer is 'YES'. It has been successfully tried out in the United Kingdom in recent years through the OFSTED - Office for Standards in Education. The scheme can be phased out in an experimental way. Over a period of time nearly 200 SIs and 75 EOs (all Class I senior/junior grade posts) can be given up.

The State Department of Education can develop/evolve "A GUIDEBOOK OF INSPECTION". A pool/panel of Inspecting Officers can be (identified) registered and maintained, taluk-wise/district-wise. The work will be contracted to the team of Inspectors/supervisors.

Every school, including private schools on payment basis, shall prepare itself for School Inspection/Supervision. The school shall prepare a Self-Assessment Report and submit it to the Department. The supervision/Inspection team will use it for submitting a quantitative (school grading) and qualitative report. The school will improve itself using this inspection report. It will prepare and submit a periodical ACTION TAKEN REPORT to the ZP/DDPI/DBE thereon. The next Inspection team which may visit the school after 4 to 5 years will use the previous report and periodical ATR reports.

Privatisation of Inspection can begin with advanced districts/taluqs and expand later on the basis of initial experiences to other regions of the State.

7. The State Government should create formal structures/agencies/institutions for orientation/refresher courses to +2 teachers in the State.
8. A 'STATE TESTING SERVICES CELL' (STSC) needs to be created. Continuous and comprehensive Sample Surveys of Attainments of children be taken up by this cell. Quality improvement of schools should be related to the results of these surveys. The existing MIS does not address the component of attainments.
9. There is a need to establish norms for the establishment and running of LPS/HPS/HS. The present norms confine only to enrolment/school strength. Teachers and buildings are provided as per this norm. The norm proposed here extends to all other aspects of school quality. Schools should be classified into A,B,C,D,E grades in the State as per these norms. Quality improvement of schools should begin with E type of schools and go through D, C and B towards A.

Unviable LPS schools in an area may be merged together with a (bigger village having) HPS. Children can be transported to bigger villages on both free (BPL families) and payment basis (well-to-do families). Village roads have to be maintained properly for this purpose.

10. Existing Capacity Building Machinery - through CTEs/DIETs/BRCs/CRCs is inadequate to address the training needs of 3,00,000 teachers in the State. Established NGOs in the field of education may be involved in this work on a contract basis.
11. There is a need to bring out A Handbook/Manual/Guidebook on State Awards for Teachers for 'INNOVATIONS'. As of now, the response to this scheme (KSTBF) is very poor. Entries do not fit into expectations.
12. There is a need to develop a Question Bank in all High School Subjects, code them and supply to all the schools. The QB will be developed through participation workshops. The QB will be computerised. SSLC examination question-paper will be uplinked with the KSSEB through Internet/e-mail facility. A coded Question Paper (using QB Codes) will be released to the centres on the day of examination and a few hours before the examination or sent through FAX. The centre can take as many copies as are required and use them. This arrangement will once for all regulate Malpractices in Public Examinations.

DISTRICT-LEVEL REFORMS

13. There is already a high level of Modernisation of the functioning of the Department. Computerisation of records and MIS is of a large spread. Information computerised so far are:
 - a) Education Monitoring and Information System (EMIS).
 - b) Schools Information - for all government, aided, private unaided - primary and secondary schools.
 - c) Teachers' Information - qualification, experience/seniority, training programmes attended, date of birth, etc; Seniority list of all teachers is also maintained.
 - d) Surplus teachers in government/aided schools and their deployment.
 - e) TCH and B.Ed admissions; B.Ed Common Entrance Examination;
 - f) Recruitment of Teachers - Counselling purposes; transfer of teachers - counselling purposes - showing vacancies;
 - g) Letter Monitoring system - flow of letters from Receiving section to offices within CPI.
 - h) All court cases of the CPI.
 - i) Day-to-day administration.
 - j) Pay-bills of all personnel in the Commissionerate.
 - k) Reports to MMR and KDP meetings.
14. There is a need for a further decentralisation or school management from District to the Block levels.

As of now, on an average, a ZP/DDPI is in charge of 1600 primary and 330 high schools. S/He is assisted by the TPS/BEOs in this work. The BEOs will be looking

after 250 primary schools and 50 high schools on an average. It would be ideal to entrust the TPs/BEOs with complete responsibility for the primary schools and leave high schools to the care and concern of the ZP/DDPI. ACCOUNTABILITY gets focussed in this arrangement.

Recruitment of Teachers can also be focussed to the taluk wherever there is a market supply of trained/qualified teachers. This arrangement would help the administration to overcome the problem of community involvement of teachers. As of now 75 per cent of teachers commute to schools. This can be contained when teachers are from within the block.

15. There are nearly 9000 high schools in the State and 1850 higher secondary schools. 65 per cent of high schools are under private management. 35 per cent of high schools are unaided. Leaving out Bangalore city district, there can be a DISTRICT BOARD of EDUCATION in every district (DBE). The DBE will be an extension of the ZP. Let all the secondary and senior secondary schools be entrusted to the DBE, ZP President/V.P/Chairperson of the Standing Committee on Education & Health can be the President of the DBE. The DDPI can be the Member-Secretary.
16. The DDPI will supervise the functioning of the DIET and the training of all Key Resource persons at the district level. S/he will address all the problems related to Universalisation of Secondary Education within a time-frame. The time-frame shall differ across the districts.
17. The DDPI shall guide the Inspection teams in their work and facilitate the schools to function as per their own self-set goals as well as the Inspection reports for the schools.
18. The DDPI shall not be required to be present throughout the day to make 10 Minutes presentations at meetings called by ZP President, Vice-President, CEO, Minister-in-Charge of the district, MP/MLA etc;. They shall not also be required to accompany visiting dignitaries on their routine visits. Such attendance disturbs them from their normal work.

Block-level Reforms

19. The BEO will develop functional relationship with the BRC in systematic organisation of training of all primary teachers. A roster will be maintained for training of teachers.
20. At the monthly/periodical meetings of the ECs with the BEO, there shall be a discussion of problems/issues/performance of all the schools in the taluk. A two-way reporting system between the schools and the BEO through the EC shall be formalised. Schools which require special attention for redressal of problems shall be identified at these meetings. The BEO shall follow-up on such schools.
21. There is a need to organise Subject-Teachers Associations in every taluk. There will be around 80 to 100 teachers in every taluk teaching each one of these subjects: Physics/Chemistry, Mathematics, Biology, Social Studies, English, Kannada, Hindi/Urdu, Physical Education. The 80-100 subject teachers should meet regularly,

monthly or bi-monthly at the taluk head quarters, at the Guru Bhavan or elsewhere, for a whole day and confer among themselves about the teaching-learning problems/issues of their subjects. Networking of subject-teachers is to be facilitated by the BEO. Content Refresher Lectures from distinguished college/university teachers/Scientists/Litterateurs can be organised at such meetings.

22. Taluk-level identification of Human Resources needs to be facilitated by the BEO. Folk artists, musicians, yoga teachers, painters, poets, novelists, public speakers, social workers who can enrich the cultural life of the school should be pooled together and the list circulated across the schools.

Information that needs attention in future plans of modernisation are:

- 1) It has already been noted that there is a need for a State Testing Services Cell (STSC). Attainment levels of students at various stages of schooling and across the State needs to be computerised, monitored and reported.
- 2) There is a need to develop a programme/software on 'School Quality'. All the schools in the State need to be graded on school quality and components of school quality therein. Remedial action for improving school quality can begin with the most backward regions/taluks (having maximum proportion of lowest graded schools). Intervention strategies on such schools can begin with the lowest ranked component of school quality.
- 3) Information on utilisation of Incentive schemes can also be computerised. They may also be maintained in relation to the objectives for which they have been launched. For instance, utilisation of mid-day meals scheme can be compared with attendance in schools using attendance registers. This can be done on a sample survey basis.
- 4) Decisions taken/recommendations made in ZP/TPS meetings regarding education can be processed, coded and publicised.
- 5) Human resources, for promotion of schooling, in the community can be pooled, listed, classified and publicised.
- 6) School - participation and performance data by income-levels needs to be collected, collected and publicised. As of now sex-wise and social group - wise data are being subjected to such treatment.
- 7) Student-information/data sheets need to be developed at cluster/block levels.
- 8) Innovations in teaching/production of educational technology also deserve computerisation.
- 9) Computer programmes on teaching difficult/complex concepts, topics and units can be managed through the use of computers in high schools (initially).
- 10) CD Roms on methods of transacting school subjects with the help of distinguished teachers/team-teaching techniques can be developed and supplied to schools.

23. The BEO will harmonise the functioning of LPS schools with that of the Anganwadis wherever they are functioning. S/He has to work with the CDPO of the block for evolving an integrated plan.

School-level Reforms

24. Every school should develop a plan of self-development and manage itself as per this plan. School-specific problems, resources available for the school, potential contributions from community, prioritisation of problems will all get into the formulation of the plan
25. Bi-monthly review of functioning of the school and by the school at staff meetings called by the HT should be made obligatory for every school.
26. The schools should engage themselves in Self-Evaluation at the end of every year and prepare a brief report on performance along with explanations for non-performance, non-realisation of pre-set goals along with identification of constraints.
- The whole exercise of planning, reviewing and evaluation should begin with schools in advanced taluq/regions on an experimental basis and replicated afterwards.
27. Health check-up of children is highly unsystematic as of now. There is a need to maintain a health-card for every child and monitor its growth and development.
28. Hostel facility for students should be related to their attendance and performance in the school. The HT should be taken into confidence in management of hostels.
29. The Department should bring out a 'SDMC Training Manual'. SDMC training should be done in cooperation with NGOs.

**DEPARTMENT OF
FOOD AND CIVIL SUPPLIES AND
CONSUMER AFFAIRS**

Acknowledgements

Studies and reviews, seminar and workshops are always considered as a part of academic pursuits. The Academic and professional institutes have naturally become resource centres for any such Governmental efforts. However, KARC departed from this trend and entrusted functional review of two departments to an inhouse team of officers. We, the members of the said in-house team, therefore, extend our grateful thanks to Sri. Haranahalli Ramaswamy, Chairman, and other Members of the Commission for the confidence reposed in us.

The experience gained over the years and exposure to the functioning of various departments helped us establish rapport with the officers and staff of the departments concerned almost instantaneously. This gave us an insight into the strengths and weaknesses of these organisations adding a new dimension to the functional review.

We acknowledge the help and support extended by the officers and staff of the departments of Food and Civil Supplies & Legal Metrology and the Karnataka Food and Civil Supplies Corporation Limited.

We are extremely grateful to Smt. Latha Krishna Rao, I.A.S., Secretary, K.A.R.C., for her unstinted support and guidance, which helped us to successfully accomplish the task.

This experience has given us confidence that with proper support and guidance, government officials can successfully undertake such assignments and complete them.

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INTRODUCTION

1. The Karnataka Administrative Reforms Commission took up in-house Functional Review of the Department of Food, Civil Supplies, and Consumer Affairs including the implementation of schemes and enforcement of Central and State enactments.

1.2 A team of officers of the KARC was entrusted with the task of conducting Functional Review of Food, Civil supplies, and Consumer Affairs Department. The terms of reference issued by KARC for conduct of Functional Review is placed in Annexure-I

1.3. Methodology:

1) Collection of Information

- Collection of Information on the departmental objectives, structure, programmes, activities, and achievements from published data, field visits and focus group interactions.

1.4 Scope-

- Review of structure and functions
- Understanding of existing Organisational Structure;
- Understanding of functions and schemes;
- Review of the tasks required to be performed for implementation of programmes;
- Review of the tasks involved in enforcement of enactments;
- Review of procedures to bring in transparency and accountability;
- Delegation of Powers and exercise of delegated powers;
- Training needs;

1.5. The Karnataka Administrative Reforms Commission Teams conducted the field visits from last week of May 2001 to July 2001. Districts and Talukas selected by KARC for the functional review of the Department were the same as given to the other agencies.

DISTRICTS:	TALUKS:
Gulbarga	Yadgir Shorapur Gulbarga
Uttara Kannada	Haliyal Karwar Bhatkal
Bijapur	Sindagi Muddebihal Bijapur
Kolar	Kolar Mulbagilu Bagepalli
Chamarajnagar	Chamarajnagar Gundlupete Kollegal

1.6 The team also visited the Offices of the Commissionerate of Food & Civil Supplies, Karnataka Food & Civil Supplies Corporation Ltd. and Controller of Legal Metrology at Bangalore on 25.07.2001 and held detailed discussions with the officers.

1.7 Specific views and opinions of officers and staff, both at the State level and at the district level and downwards were taken in the questionnaires. General as well as department specific Questionnaires had been evolved. A separate Questionnaire was given to all the officers of the Department, except the Head of the Department for obtaining their individual opinions.

1.8. Departmental Officers at the district level were kept informed in advance about the team visit and most officers and staff were present. They accompanied the team to the visits to the villages and the fair price shops.

1.9. The Questionnaires were administered to the following:

Districts and Taluka Offices :

TABLE - I
Food, Civil Supplies & Consumer Affairs Department

Sl.No.	Designation	Head Office	Field	Total
1	Deputy Director of F&CS	1	5	6
2	HQA to Commissioner	1	-	1
3	Chief Accounts Officer	1	-	1
4	HQA to Chief Acts. Officer	1	-	1
5	Division Accounts Officer	1	-	1
6	Accounts Officer	1	-	1
7	Assistant Directors	1	2	3
8	Food Shirasthedars	-	16	16
9	Food Inspectors	-	29	29
10	Ministerial Staff	33	32	65
11	Fair Price Shop Owners	-	45	45
12	Ration Cardholders	-	494	494
	Total	40	623	663

TABLE - 2
Karnataka Food & Civil Supplies Corporation Ltd.

Sl.No.	Designation	Head Office	Field	Total
1	Finance Manager	1	-	1
2	Senior/ Dy. Gen. Manager	2	1	3
3	Deputy Controller (Intl. Audit)	1	-	1
4	Accounts Officer	1	-	1
5	Senior Assistants	-	3	3
6	Auditor	-	1	1
7	Ministerial Staff	-	14	14
	Total	5	19	24

TABLE -3

Department of Legal Metrology

Sl.No.	Designation	Head Office	Field	Total
1.	Deputy Controller	-	1	1
2.	Assistant Controllers	2	4	6
3.	Inspectors	-	14	14
4.	Ministerial Staff	9	5	14
5.	Manual Assistants	1	2	3
	Total	12	26	38

1.10 The questionnaires for Ration Card holders were administered to the cardholders gathered near the FPS and also to individual households. Many persons filled the questionnaires themselves and some sought others' assistance. In several cases the team members also assisted the public in filling the questionnaires.

1.11 Interactions were held with the general public, individually or in groups, and also with the departmental officers and Deputy Commissioners.

1.12. The functioning of the Departments of Food, Civil Supplies and consumer affairs and Legal Metrology; responsiveness of employees to stake holders, quality and effectiveness of service delivery/enforcement machinery are the areas which were covered during the review.

1.13. While the above is an account of our first impressions of the working of the field departments under Food, Civil Supplies and consumer affairs, full chapters would examine in detail the genesis of the departments their organisational structures, roles and functions of the staff, effectiveness of the departments at the field level and finally conclude with recommendations on restructuring of the departments to bring in greater efficiency and accountability.

FOOD, CIVIL SUPPLIES AND CONSUMER AFFAIRS DEPARTMENT

1. Secretariat:

The Minister of State for Food and Civil Supplies heads the department at Government level. The Principal Secretary to Government, Food, Civil Supplies and Consumer Affairs Department handles all matters pertaining to policy and budgeting of both the field departments and Corporation coming under the Secretariat administrative control.

2. Field Departments:

There are two field departments and a Corporation under the administrative control of the department. The Organisational chart of the Dept is at Annexure-II.

They are

- ◆ Commissionerate of Food, Civil Supplies And Consumer Affairs
- ◆ Karnataka Food And Civil Supplies Corporation Ltd.
- ◆ Controllerate of Legal Metrology

2.2. The State Consumer Disputes Redressal Commission and 21 District Forums also come under the Administrative Control of the Department.

2.3 The Principal Secretary is assisted by an Additional Secretary, 2 Under Secretaries 4 Section Officers and supporting staff.

2.4 The field Department of Food, Civil Supplies and Consumer Affairs is headed by a super time scale IAS Officer and has a three-tier structure at State level, District level and Taluka level. It has sanctioned staff strength of 1589 against which there are 1439 persons working.

2.5. The Karnataka Food and Civil Supplies Corporation have a senior scale IAS Officer as its Managing Director and is mainly focusing on the public distribution system. It has sanctioned staff strength of 1836 posts. That is comparatively more than the strength of the Department and there are 1676 persons working in the Corporation.

2.6. The Department of Legal Metrology is headed by the Controller who is either a senior scale IAS Officer or Selection Grade KAS Officer. At present selection grade KAS officer is heading the department. The Department has 4 levels of administration i.e., at State level, Division level, District level and Taluka level. It has sanctioned staff strength of 512 persons and 416 persons are working against these posts.

2.7 The State Consumer Disputes Redressal Commission and 21 District Forums have sanctioned staff strength of 239 and out of which 65 posts are vacant.

2.8 Detailed reports on each of these sub-ordinate wings of the Department are given in separate chapters.

History: -

1.1 The Department of Food & Civil Supplies started its operations during the II World War, as part of the World War efforts of British Empire. On 13th July 1942, the then Government of His Highness Maharaja of Mysore, issued Food Grains Control Order, 1942 under the Defence of India Rules. The Revenue Commissioner of the State of Mysore was the Ex-Officio Director of Civil Supplies in the than Mysore province.

1.2. During August 1943, the Govt. sanctioned the appointment of a full time officer of the Revenue Department as the Director of Food Supplies with the status of Head of the Department. The Govt. later appointed a Controller of Civil Supplies and the designation of Director of Civil Supplies was changed into Director of Food Supplies on 6th Feb. 1944.

1.3. The two main functions of the Director of Food Supplies as per the manual of the department published in 1946, were:

- I) Procurement and Control of distribution of food grains and other essential commodities produced in the State and obtaining such supplies of the food, as is necessary from outside;
- II) Arranging for the equitable distribution of these supplies in all parts of the State.

1.4 On bringing Kerosene Oil and Jaggery also under the control orders, the Director of Food Supplies was also designated as the Ex-Officio Sugar, Jaggery and Kerosene Oil Controller.

1.5 For the acquisition of food grains and other controlled commodities within and outside the State, the Director of Food Supplies was given the assistance of an officer of the rank and status of a Deputy Commissioner and he was designated as Special Officer, Food Supplies.

1.6. The Deputy Commissioners of the districts were responsible for the supply, transport and distribution of food grains within their districts. To carry on these operations in the district the Deputy Commissioner was given the assistance of a Gazetted Officer as Food Assistant.

1.7. To enlist the advice and cooperation of non-officials including the representatives of consumers, merchants and other interest groups the Govt. constituted the following Councils in 1942:

1. Central Food Council
2. Food Councils for the Cities of Bangalore & Mysore
3. District Food Councils for each District
4. Taluka Food Councils for each Taluka

1.8. The Government notified eight food grains as controlled commodities Paddy, Ragi, Jawar, Wheat, Harako, Navane, Save and Sajje and also brought 16 other commodities like Jaggery, Sugar, Chili, Potatoes, and Onions etc. under the Control Order, 1942.

1.9 Except, for the separation of duties and responsibilities at the State level between the Revenue Commissioner and Controller of Civil Supplies, the enforcement of all the Control Orders issued under the Defence of India Rules, was vested with the Revenue Department both at the district and at Taluka level. Even now the officers of Revenue Department continue to exercise powers along with officers of Food and Civil Supplies Department, both at the district and Taluka level.

1.10. The Department has since been doing the same regulatory functions. However, the focus has gradually shifted from regulation of essential commodities to implementation of the public distribution system as a part of the social security measures initiated by the Government to provide food grains at affordable prices to the families Below Poverty Line and other target groups. Another function is collection of levy for Central Pool of food stocks maintained by Food Corporation of India (F.C.I.).

2.1 Structure of the Department: The field Department has a three-tier structure with the Commissioner/Director of Food & Civil Supplies as the Head of the Department at the State level. The Deputy Commissioners who are nominated as District Food Commissioners head the department at the District level. The Revenue Tahsildar of the Taluka is also the Food Tahsildar at Taluka level and is supported by the field staff of the Civil Supplies Department. Please Refer Annexure-3.

2.2 Staff Details: The department has sanctioned cadre strength of 1589 posts out of which 150 are vacant. 13 officers of KAS are working in the department on deputation. In all 349 posts are filled by deputation. The C&R Rules of the department have been framed in March 1984.

TABLE-3

Sl.No.	Cadre	Sanctioned	Filled up	Vacant
1	Group-A	45	44	1
2	Group-B	33	32	1
3	Group-C	1314	1189	125
4	Group-D	197	174	23
	Total	1589	1439	150

2.3 Head Office: The Commissioner, a supertime scale IAS officer is the Head of the Department. 2 Joint Directors – One for Civil Supplies and Consumer Affairs and another for the Informal Rationing Area of Bangalore City, assist the Commissioner. As the office of the Joint Director (PD) is located within the Commissionerate, the officer has become part of the head office and assists the Commissioner in discharging the day-to-day administration. The post of Joint Director (CS & CA) was vacant at the time of study.

TABLE-4

Sl.No.	Cadre	Sanctioned	Filled up	Vacant
1	Group A	11	10	1
2	Group B	10	10	-
3	Group C	90	79	11
4	Group D	29	18	11
	Total	140	117	23

2.4 There are 11 posts of group-A officers in Head Office. There are 10 posts of Group-B officers; and as on the date of report, there are no vacancies. There are 90 posts of Group-C, out of which 11 are vacant. There are 11 vacant posts in Group-D against the sanctioned strength of 29 posts. Please Refer Annexure-4 for functional setup at head office.

2.5. The Joint Director (Civil Supplies & Consumer Affairs) deals with matters pertaining to petroleum products, Monitoring the enforcement of control orders on petroleum products, edible oils and other essential commodities. Joint director(PD) is in charge of consumer affairs also. Basically consumer awareness programmes are taken up through NGO's.

2.6. The Chief Accounts Officer is in charge of all financial matters including Budget and Monitoring of expenditure. He also functions as Financial Advisor to the Commissioner. The department has an accounts wing headed by an Asst. Controller of State Accounts at the Divisional level to conduct the internal audit of all the accounts of the offices of the Deputy Directors of Food & Civil Supplies and the Tahsildars. These accounts wings function under the control of Chief Accounts Officer.

3. District Level: At the District Level, the Deputy Director, a Group-A officer, assists the Deputy Commissioner of the District. One Superintendent, one Food Inspector, and other Ministerial staff assist him. The Assistant Director of Informal Rationing Area assists the Deputy Commissioner of the concerned district.

3.1 There are 10 Assistant Directors assisting the Deputy Directors in 10 districts. There are 12 more Assistant Directors separately for Informal Rationing Areas. The criteria for posting these 10 Assistant Directors outside the Informal Rationing Area and in District Offices are not clear. Neither the number of Fair Price Shops (F.P.S.) nor the number of ration cards appears to have any bearing on the posting. For instance, there is one Assistant Director each for Shimoga and Bhadravathi Informal Rationing Areas. In spite of this, there is one more Assistant Director attached to the office of Deputy Director of Food & Civil Supplies in Shimoga.

3.2 The Deputy Director in the district and the Assistant Director in Informal Rationing Area play a very vital role in the functioning of the Department, especially in implementation of the P.D.S. They are also empowered to enforce control orders issued under E.C.Act. The officer has to collect the information about the quantity of food grains required for P.D.S. from all the Talukas every month and ensure the supply of

food grains and Kerosene to all the F.P.S. through wholesale dealers. He also monitors and supervises the functioning of the P.D.S. with the assistance of Food Inspectors. Each district has about 700 F.P.S. and about 3.5 to 4 lakhs of ration cards. The officer is also required to take action to weed out the bogus cards, monitor the issue of fresh cards etc. conduct inspections of wholesale points and F.P.S. The job also involves the collection of levy for the central pool and also releasing of subsidy and payment of transportation bills to the wholesalers with the approval of Deputy Commissioner.

- ◆ During field visits it was observed that there is lack of supervision of public distribution system by the Deputy Directors. Except in Uttara Kannada Dist. nowhere else the Deputy Director's appear to have inspected the F.P.S. There are more Green cards and Saffron cards than the number of Household in several Talukas, like Bhatkal, Haliyal, Bijapur, all taluks of Kolar district, Gundlupet, Chamarajanagar. There has been very little effort to weed out bogus cards.
- ◆ Kerosene is being sold in all places at higher price and no authority seems to have enforced any control over the retailers.

3.3. Informal Rationing Area: The concept of Informal Rationing Area dates back to the period when the Rationing was confined to urban areas. The cities with a population of 40,000 and above have been notified as Informal Rationing Area (IRA), and there are 50 such cities in the State. Out of these 50 Informal Rationing Areas, the work of 12 of them is carried out by Assistant Directors and in the other Informal Rationing Areas; the work is handled by Tahsildars.

3.4. A Joint Director (Public Distribution) manages the Bangalore Informal Rationing Area and 5 Deputy Directors who are working as Range Officers assist him. 50 Food Inspectors assist the Range Officers.

3.5 Even with the expansion of coverage of Rationing to rural areas, the distinction of Informal Rationing Area is maintained. The distinction may be maintained in Bangalore City considering the magnitude of coverage. However, there appears to be no justification for having Assistant Directors exclusively for Informal Rationing Area's(I.R.A) in the following places. The jurisdictional district office of the department itself can manage the Informal Rationing Areas also.

- (1) Davanagere I.R.A
- (2) Shimoga I.R.A
- (3) Bhadravathi I.R.A
- (4) Belgaum I.R.A
- (5) Hubli-Dharwad I.R.A
- (6) Mangalore I.R.A
- (7) Bellary- I.R.A
- (8) Gadag - Betageri I.R.Area
- (9) Mysore-IRA
- (10) Gulbarga-IRA
- (11) K.G.F-IRA
- (12) Bijapur-IRA

- ✍ Therefore it is recommended that the offices of Informal rationing Areas outside Bangalore be abolished. The 12 posts of Assistant Directors in these informal rationing areas may be abolished.
- ✍ Likewise as explained earlier, there is no meaningful justification for posting of 10 Assistant Directors to the Office of the Deputy Director's in Districts. These 10 posts of Assistant Directors may also be abolished.
- ✍ There are 35 posts of Deputy Directors in the Department and 24 Departmental Officers are working against these posts (two officers are under suspension). K.A.S. officers have been posted to 13 posts. These 13 KAS officers may be repatriated and 11 posts of Deputy Directors may be abolished and the work of these 11 offices is allocated to Assistant Directors from the I.R.Areas and District Offices. The remaining Assistant Directors are to be put in surplus pool and offered Voluntary Retirement or redeployed.

4.1 Taluka Level: At the Taluka Level, a Food Shirasthedar for one or two Taluka and one or two Food Inspectors for each Taluka assist the Tahsildar. Please refer the detailed Job Chart at Annexure-5.

Food Shirasthedar and Food Inspectors

4.2 The Food Shirasthedar and the Food Inspectors are the functionaries of the Department at the service delivery end. They work under the supervision and control of the Tahsildar of the respective Taluka. Food Shirasthedars are also called Grade I Food Inspectors. Their cadre is equivalent to that of the Managers/Office Superintendents. Likewise Grade II Food Inspectors are equivalent to a First Division Assistants. Each Food Inspector in Rural Area will have jurisdiction over nearly 50 Fair Price Shops and about 60 Fair Price Shops in Urban Areas.

4.3 Both the Food Shirasthedars and Food Inspectors are enforcing authorities under the control orders. The Food Inspectors have been made responsible, since January 2000, to issue fresh Ration Cards and weed out Bogus/Ineligible Ration Cards, which was hitherto done by Tahsildars.

4.4 The Food Inspectors have to accompany the vehicle transporting ration commodities from wholesale points to the FPS. He has to monitor the distribution of food grains by making Inspections, collecting the stock balance from each FPS at the end of every month to determine the quantity to be released for the next month. He has to assist the Tahsildar in levy collection.

- ◆ Even though the issue of new cards has comedown considerably, there was very little effort either by Food Shirasthedars or by Food Inspectors to weed out bogus cards.

4.5 The Food Inspectors rarely accompany the ration to FPS. The FPS. are not being inspected regularly. It is not clear as to the means of ascertaining the balance of stock available at FPS. to determine the quota of food grains for next month.

Cadre Management

4.6 The mode of recruitment for Assistant Directors is, 20% by Direct Recruitment, 60% by Promotion from the Cadre of Shirasthedars/Managers and 20% by Deputation of Tahsildars. As of now all the posts are filled up.

- ◆ The motivation level in the Department is very low. There is lack of involvement and commitment at the service delivery level. The same is the case with a few of the officers also.
- ◆ The Food Inspectors and Shirasthedars are demotivated by the lack of career prospects in the Department. There is little scope for vertical movement and horizontal movements do not involve any change in the nature or kind of work. A sense of complacency has set on. The field level staff are requesting for merger with Revenue Department – both of cadres and the activities.

4.7 The Cadre & Recruitment Rules provide for filling up of 50% of the posts of Joint Directors by promotion and 50% on deputation. The posts of Deputy Directors can be filled up by Direct Recruitment and Promotions only in the Ratio of 50:50. The Government has gone in for Direct Recruitment at the level of Deputy Directors – Group 'A' Junior scale. These D.R. officers are all young and there is only one promotional post. The mode of Direct Recruitment is required to bring in young blood and groom young officers to take over the management. But the departmental present structure does not provide sufficient scope for promotion to these officers. Hence, even the directly recruited officers are already demoralized and are suggesting for merger of Food and Civil Supplies Department with Revenue Department.

- ◆ In all these demands for merger the career prospects or the lack of it in the Department is the main factor. The effective implementation of programmes and the activities are not at all the issues.

4.8 The C&R Rules do not provide for filling up of the posts of Deputy Directors on deputation. However, as on 31.7.2001, 13 KAS officers are working as Deputy Directors. This has affected the promotional avenues of Assistant Directors and also the consequential denial of promotion to all the other officials at the lower levels.

Salary, Wages and all Administrative Expenses

TABLE -15

(Amount in Lakhs)

Head of Account	1997-98	1998-99	1999-2000	2000-2001
2408-01-001-0-01	994.21	1118.71	1412.91	1424.97
3546-00-01-01	26.92	28.34	38.44	39.25
Total	1021.13	1147.05	1451.35	1464.22

Salary and Allowances

TABLE-16

Head of Account	1997-98	1998-99	1999-2000	2000-2001
2408	932.51	1033.90	1311.60	1324.89
3456	22.74	27.75	38.47	38.47
Total	955.25	1061.65	1350.07	1363.36

4.9 The Administrative expenditure of the department during 2000-2001 is Rs.14.65 crores including the expenditure of Rs.13.63 crores on salary and other allowances.

4.10. Main functions of the Department: -

The main functions of the department are -

- (i) Enforcement of the Essential Commodities Act 1955 and the Control Order issued there under.
- (ii) Administration of Public Distribution system
- (iii) Consumer Affairs

Public Distribution System (PDS)

5.1 **Objectives of P.D.S.:** It is a national programme and all the State Governments are implementing the scheme. The objectives of the PDS are mainly:

- ◆ Distribution of essential commodities equitably and ensuring food security;
- ◆ Control Prices of essential commodities.

5.2 Karnataka is now implementing the Targeted Public Distribution system. Food grains are provided at subsidised rates to Below Poverty Line families and at economic cost to Above Poverty Line families. Government of India provides the food grains required for this purpose through Food Corporation of India out of its buffer stock. A detailed note on P.D.S is placed in Annexure-6

5.3 During 1997, the Government of India has identified 28.75 lakh families in Karnataka as BPL families and after 2000 it is 31.29 lakh families. Each BPL family is eligible for 20 Kgs of Rice and 5 Kgs of Wheat per month (w.e.f.12/7/01) at subsidized price for which the Government of India allots the required quantity of food grains for distribution to State Government at subsidised price.

6. The following Ration Cards are in circulation as on Oct 2001

- ◆ **Green Cards:** Any family having an annual income of not more than Rs.6400 in Rural Areas and family living in urban slums and having an annual income of not more than Rs.11,850.00/-

- ◆ **Yellow Cards:** Introduced during the current year for the benefit of BPL families. Distribution and allotment of food grains for cardholders currently (Oct 2001) being done only in 6 districts of Bellary, Bangalore (Urban), Kodagu, Mysore, Bagalkot and Dakshina Kannada. 2.34 lakh cards have been issued. Each cardholder is eligible for 20 kgs of Rice and 5 kgs of Wheat. 8 kgs of Rice will be issued at Rs.3.50 per kg and additional 12 kgs of Rice at Rs.6.15 per kg to each cardholder. 2 kgs of Wheat will be issued at Rs.2.75 per kg and additional 3 kgs of Wheat at Rs.4.65 per kg.
- ◆ **Anthyodaya Anna Cards:** 15% of the poorest of the Poor BPL families is eligible for these cards. 3.80 lakh cards have been issued as on 30.9.2001.
- ◆ **Saffron Cards:** Issued to families in rural areas who are not eligible for the issue of green cards but needing rations from public Distribution System. They are also known as APL cards. There are 21.67 lakh families holding Saffron Cards. Each cardholder is eligible for 20 Kgs of Rice at Rs.9.00 per Kg and 5 Kgs of Wheat at Rs.6.70 per Kg. (W.E.F 12.07.2001).
- ◆ **Photo Cards:** Issued to the urban Families with annual income of more than Rs.11,850/- per annum. They are also known as APL cards. There are 27,54,352 card holders in Urban Area and are eligible for food grains on par with the Saffron Cardholders.
- ◆ **Computerised Cards:** The department has taken up the computerization of ration Cards in Bangalore IRA and Bailahongal taluks. It is being substituted for saffron cards/Photo cards and also being issued to honorary cardholders.

7. Identification of BPL families and Issue of Ration Cards

Government of India has projected that there will be 520.91 lakh population as on 1.3.2000 in Karnataka. According to 1991 Census, the average size of a Household in Karnataka was 5.52 and therefore it was determined that there are 94.37 lakh households. The percentage of BPL families in the State is taken as 33.16% as per the Lakadwala Committee Report. Based on these factors, the Government of India has determined that there are 31.29 lakh BPL families in Karnataka.

7.1 Poverty Estimates for 1999-2000

The planning Commission has estimated the state specific poverty lines based on reports of NSSO and also on the lines identified by the lakdawala Committee updating them to 1999-2000 prices. (Please see Annexure-7)

7.2 According to these estimate 20.04% of the population ie. 104.40 lakh of people in Karnataka are below the poverty line. The breakup is

(FIGURES.IN LAKHS)

AREAS	PERSONS	PERCENTAGE
URBAN	44.49	25.25%
RURAL	59.91	17.38%
TOTAL	104.40	20.04%

7.3 It is estimated that on an average there are 5.52 persons in every family. Therefore there are 8.06 lakh BPL families in Urban Area and 10.83 lakh BPL families in Rural Area. In Other words there are 18.89 lakh BPL families in Karnataka.

According to 2001 census there are 65.95 lakh families in Rural Area and 29.53 lakh families in Urban Area. In other words a total of 95.47 lakh families in the State, where as 112.72 lakh ration Cards have been issued.

7.4 Each family having a Green Card is eligible for 20 Kgs of Rice at Rs.6.15 per Kg. and 5 Kgs of Wheat at Rs.4.65 per Kg (w.e.f.12/7/01). These cardholders are also eligible for 2 Kgs of Sugar at Rs.13.25 per Kg and 3.5 to 6 Litres of Kerosene.

Yellow ration cards

8.1 The government of India revised the C.I.P. with effect from 1.4.2000. The Central Government has decided to double the quantum of food grains and fixed the Central Issue Price of food grains at 50% of economic cost. This resulted in upward revision of rates for food grains through P.D.S Therefore, the State Government decided to supply food grains to the BPL cardholders at pre-revised 1.4.2000 rates, by issuing them different type of Ration Card. The Government for issue of new type of Ration Cards, now called yellow cards has decided to identify the beneficiaries in rural areas based on the BPL list of RDPR Department. It was also decided to replace the Green Cards in Urban Areas. The Government thinking is that this process would result in reduction in the number of bogus cards.

8.2. During 1997-98, the RDPR department has conducted an economic survey for the 9th Plan period. The families whose income was below Rs.20,000 per annum were considered as BPL families and were eligible for assistance under IRDP programmes. The State Government decided to issue Yellow Cards to these 20.35 lakhs rural BPL families based on this list prepared by the RDPR department. (There was a difference of 108371 BPL families between the figures available with RDPR Secretariat and the lists provided by concerned districts). In addition all the 5.5 lakhs BPL families in Urban, Towns and I.R.A. who have the Green cards are also to be brought under the scheme of yellow cards.

8.3 Government issued an order dated 8.8.2000 directing that the RDPR list be sent to Grama Panchayaths. The Grama Panchayath had to place the list before the Gramasabha for deletion of ineligible persons and addition of eligible persons. The list Prepared by the Gramasabha has to be sent to Deputy Commissioners' who in turn will submit to the Commissioner. The Grama sabhas have identified 19.28 lakh families out of the RDPR list and also have identified additional 31.30 lakh families for issue of Yellow cards. In all 50.58 lakh families are eligible for Yellow cards in Rural Area. Apart from this 5.50 lakh Green Card holders living in urban slums are also eligible for Yellow Cards. Therefore the total number of families identified for Yellow cards is 56.08 lakhs.

8.4 The Government vide letter dated 8.2.2001 has authorised the issue of yellow cards to the BPL families selected by Grama Sabhas out of the RDPR list. The distribution of yellow cards for families identified afresh has to await Government sanction. Accordingly the Deputy Commissioners has started distribution of yellow cards to the families identified out of original list of RDPR i.e., to 19.28 lakh families. It has been issued in the following districts (as on 31.9.2001):

- ◆ Bangalore Urban
- ◆ Bagalkote
- ◆ Bellary
- ◆ Dakshina Kannada
- ◆ Kodagu
- ◆ Mysore

8.5 Because of the action of limiting the issue of yellow cards only to the 19.32-lakh families identified out of RDPR list, the other BPL families were left with green cards only.

8.6 This has led to lot of resentment. Therefore except for the 6 districts mentioned earlier, the yellow card system has not been implemented. The yellow cardholders in other districts are treated as green card holders.

8.7 The Commissioner for Food and Civil Supplies sought the orders of the Government as to whether yellow cards have to be issued or not to 31.30 lakh additional BPL families identified by Grama Sabhas. The Government has not issued orders in this regard (as on 31.10.2001). According to news paper reports, a group of Ministers is examining the matter and is contemplating to order for conducting fresh survey for identifying the beneficiaries.

8.8 At the end of Sept.2001, there were 63.42 lakh BPL cards (Green+Yellow cards and Anthyodaya Anna Cards) in the State. The yellow card system is in existence in only the 6 districts mentioned earlier.

8.9 The summary of Government Orders and Circulars issued regarding the yellow cards make an interesting study. In August 2000, a detailed procedure was laid out to identify and distribute yellow cards. However, on the ground that this would take more time, the same was withdrawn. The income limit for obtaining yellow cards is not clear. Once it was mentioned that it would be less than Rs.12,000/-per annum. Finally it was left to the discretion of Grama Sabhas, to delete and include the BPL families to the list of RDPR Department. A summary of circulars and orders are placed in Annexure-8.

Chronology of Orders issued on Yellow Cards:

TABLE - 5

No.	Reference Number	Particulars
1	2	3
1.	FCS 292 DRA 2000, Dated 8.8.2000	The State Government accorded approval for issue of new cards of a different colour to replace Green cards. BPL families to be identified by Department with ref.to Socio-Economic Survey conducted by RDPR Department. During 1997-98. The G.O. further authorised the issue of 8 kgs of Rice at Rs.3.50 per kg & 2 Kgs of Wheat at Rs.2.75 per kg and additional quantities at Green card rates.

1	2	3
2.	CFS/PD/11/10/2000-01, Dated 10.8.2000	D.O.letter of Commissioner of Food & Civil Supplies to all Deputy Commissioners, giving guidelines for issue of Yellow cards to all the families having Income of below Rs.21,000/- per annum and to follow the RDPR list.
3.	CFS/OD/II/10/2000-01, Dated 16.12.2000	The date of implementation was postponed beyond 1st Nov.2000. The income limit of the BPL families was mentioned as below Rs.12,000/- per annum and several parameters were laid down for the identification of BPL families.
4.	FCS/192/DRA/2000, dated 8.2.2001	Government Circular issued staying all instructions issued earlier and to place the RDPR list before Grama Sabha. To issue Yellow cards to the families approved by Grama Sabha. New inclusions to be considered on further Instructions.
5.	FCS/192/DRA/2000, dated 8.2./2001	The Government letter clarifying the parameters to be followed for issuing Yellow cards in Urban areas. Fixes Rs.17,000/- as the base income and all recognised slums in Urban areas are to covered. Excludes villages included
6.	CFS/PD.II/10/2000-2001, dated 17.8.2001	in any Municipal limits. Telex of Commissioner of FCS to all Deputy Commissioners to issue 20 Kgs of Rice and 5 Kgs of Wheat to all the Green cardholders at old rates wherever Yellow cards are not issued.
7.	CFS/PD.II/10/2000-2001, dated 18.8.2001	Telex of CFCS to all Deputy Commissioners to issue food grains in the revised scale as BPL rates and to distribute Yellow cards to families selected for anthyodaya Anna scheme by Rubber Stamping them.

8.10 There is lot of confusion in the approach to the scheme of yellow cards. The orders, letters and circulars issued raise several vital questions about the economic criteria adopted for identification of beneficiaries under the scheme.

Economic Criteria for Yellow Cards

9.1 The base annual income for RDPR beneficiary list was Rs.20,000/-. The Food and Civil Supplies Department started at Rs.21,000/- per annum and Rs.12,000/- was also mentioned as the income limit. This yellow card is expected to replace green cards for which the income limit is Rs.6400/- p.a. in Rural Areas and Rs.11,850/- p.a. in Urban Areas. Surprisingly the Department has fixed lower amount of Rs.17,000/- as the annual income limit, based on the Planning Commission norms, for urban families. This income limit for urban families is less than the one being adopted for families in rural areas by RDPR.

9.2 Now as the RDPR list forms the basis for selection in Rural Area, and Rs.17000/- is the annual income limit for families in urban areas all the green card holders and even most of the saffron cardholders will become beneficiaries for yellow cards.

9.3 The Government has clarified vide Letter No.FCS/192/DRA/2000, dated 8.2.2001 that the residents of all slums recognised by Karnataka Slum Clearance Board/ City Municipal Corporations/ City Municipalities/ and Town Municipalities may be considered for issue of yellow cards. As there is no stipulation about other families with annual income of less than Rs.17,000/= it is open to interpretation that all the Residents of Recognised Slums as well as those families living elsewhere in the city/Towns and whose annual income is less than Rs.17,000/- may be considered for yellow cards. But on the other hand there is a stipulation that yellow cards may be issued only to families living in Recognised Slums in Town Panchayat Areas. What distinction the Government is drawing between the families living in Slum Areas in all other Municipal Areas and Town Panchayath Area, is not clear.

9.4 The Government vide the same letter dated 8.2.2001 has clarified that all the villages recently included in the City Municipality limits need not be considered for Yellow cards unless they are Slum Areas. This is a strange condition. The income limit of Green card holders in these erstwhile villages was Rs.6,400/- and after merger, the income limit actually goes upto Rs.11,850/- per annum. This economic status may not drastically change by the merger of village with City Municipality. Therefore the logic behind such clarification escapes comprehension.

Visit to Bellary District

10.1 To study the implementation of the scheme of yellow cards, the commission sent a team of officers to Bellary on 25th and 26th August 2001. Prior to the implementation of the yellow cards system, there were 3,89,918 cards in the district.

TABLE-6

TYPE OF CARD	NUMBER
Green Cards-Rural	1,96,962
Green Cards-Urban	26,573
Saffron Cards	77,245
White Cards	89,138
Total	3,89,918

10.2. The Department based on the list received from Grama Sabhas has substituted 96,218 yellow cards and Anthyodaya Anna Card for Green/Saffron cards in Rural Areas. Therefore after the introductions of yellow cards, the details of various ration cards in the district is as follows (as on 31.3.2001).

TABLE-7

TYPE OF CARD	NUMBER
Yellow Cards (Rural)	81,190
Green Cards (Rural+Urban)	1,51,803
Saffron Cards	71,440
White Cards	89,086
Anthyodaya Anna Cards	15,028
Total	4,08,547

10.3 The Department has recently initiated action through Municipalities to identify the families for issue of yellow cards in Urban Slums.

10.4 Even after the introduction of the yellow cards there are 100,744 Green Cards in rural area.

10.5 The situation that existed during Aug 2001 was that the Green card holders in other districts and urban areas in Bellary district get 16 Kgs of Rice at Rs.6.15 per Kg and 4 Kgs of Wheat at Rs.4.65 per Kg. But the 100,744 BPL families in Bellary District still having green cards have to purchase 8 Kgs of Rice at Rs.6.15 per Kg and additional 8 Kgs at Rs.9.00 per Kg. Likewise 2 Kgs of Wheat at Rs.4.65 per Kg and additional 2 Kgs of Wheat at Rs.6.70 per Kg i.e., more than the price of Rice. In other words, during August 2001 in Rural Areas of Bellary district, the introduction of yellow cards has created a new group of Green card holders, who have to pay more than the Green card holders in Urban Areas of Bellary district and all other parts of Karnataka to get their food grains. The department has since issued order for supply of commodities to all green card holders at the old rates even in Bellary district.

Process of selection of beneficiaries

11.1 The process of selection of beneficiaries for Yellow cards was studied during field visits to villages. Most of the Gramapanchayaths have forwarded the lists of beneficiaries to the Tahasildars through the Executive Officers. There were complaints from the public that the Grama Sabhas have not been conducted properly or that the list contains many ineligible families. The names of the persons who have died or moved out of villages were only deleted. The names of most of the families have been included in the list. It was observed that the total number of families recommended for in each village is more than the number of households in that village as per 2001 census. In spite of all this there were several genuine BPL families left out and this has led to resentment.

11.2 It was explained that many of the families are living under the same roof even after partition of the family and hence have secured separate cards. Even though the possibility of the same could be accepted, the fact that there are other families who don't have ration cards or other type of ration cards is also have to be taken into account.

11.3 It is to be noted that 8 Kgs of Rice would be available at Rs.3.50 per Kg and the card holders would have to pay only 50% of the cost of Rice and hence there would be more demand for yellow cards. The other implication of yellow cards is that 50% of the Rice issued to yellow cards will be highly subsidised and will be almost 25% of the market price. Unless the department ensures proper control over distribution the eligible families will not be getting the benefit of yellow cards.

11.4 During the field visits the KARC teams made efforts to analyze the process of selecting the beneficiaries for Yellow Cards. The total house holds in the district as per both the 1991 and 2001 census figures were compared with the total number of Green & Saffron Cards in the district and also with the list being prepared for issue of Yellow Cards based on the RDPR list. The total number of Green Cards and saffron cards in the district is more than the total number of households as per 1991 census. On the same lines the total number of families identified for yellow Cards is more than the total number of House Holds as per 2001 census. Please Refer Annexure-9.

- ◆ All the yellow cardholders will be issued coupons for purchase of food grains. The coupons will be having the Identification number of yellow card, the quantity of food grain and the month of issue. The family has to give these coupons to F.P.S. at the time of purchase of ration.
- ◆ The problem would be that the cardholder has to purchase all his entitlement in lump sum. He cannot purchase the ration in installments. Whether the family would have that kind of purchasing power?

12. *Anthyodaya Anna Yojana*

12.1. Government of India has instituted a new scheme from this financial year of 2001-2002. This scheme has been named as *Anthyodaya Anna Yojana*, which is targeted at supplying food grains to the poorest of poor people at a highly subsidized price. 20 Kgs of Rice at Rs.3.00 per Kg and 5 Kgs of Wheat at Rs.2.00 per Kg per family per month will be given to each family.

12.2. According to Government of India only 15% of the Below Poverty Line families will be considered as poorest of the poor and are eligible for rations under this Scheme. In this ratio 4.797 lakh families out of 31.29 lakh BPL families in the State have to be identified under this scheme.

12.3 Under the scheme the Government of India releases the food grains at the central issue price of Rs.3.00 per Kg for Rice and Rs.2.00 per Kg for Wheat. The State Government has decided to distribute the food grains at the same prices to the BPL families. The administrative cost would be approximately Rs.0.50 per Kg of food grain. Annual additional expenditure on this account will be around Rs.6 crores to the State Exchequer to implement this programme.

12.4. The identification of eligible families has to be done through the Grama Sabha. The poorest of the poor families have to be listed and approved by the Grama Sabha.

The State Government has decided to identify the families eligible for Anthyodaya Anna Yojana in the Grama Sabha along with the identification of families for yellow cards. According to the latest figures available the Government of India has accepted only 3.80 lakh families.

12.5 The Department has decided to implement Anthyodaya Anna Scheme from August 2001 only. The district authorities have been asked to affix rubber stamps on yellow cards and the coupons indicating that these families are covered under Anthyodaya Anna Scheme.

12.6 There were telex messages to Deputy Commissioners on 17th August and 18th August 2001 from Commissioner of Food and Civil Supplies requesting for lifting the food grains for the scheme from FCI, even though many districts are yet to complete the distribution of yellow cards and Anthyodaya Anna cards.

12.7 Further affixing of rubber stamp on yellow cards and coupons may lead to duplication and Bogus Anthyodaya beneficiaries. It would be advisable to print new and distinct cards for this scheme and distributed to beneficiaries.

13. REVISION OF RATES AND QUANTITY

The Government of India has reduced the Central Issue Price of Rice and Wheat. Consequently the State Government has revised the costing sheets with effect from 12.7.2001 to be in force upto 31.3.2002 or until further orders. The letter was issued on 4.8.2001 giving effect retrospectively from 12.7.2001

13.1 With this revision in CIP, the retail price of commodities for APL cardholders has come down. Rice will now cost Rs.9.00 per Kg and Wheat will cost Rs.6.70 per Kg.

13.2. Further the subsidy component on Rice for EBPL cardholders has been reduced from Rs.570/- per Quintal to Rs.266.65 per Quintal. The subsidy for wheat has come down to Rs.183/- per quintal from Rs.408/- per quintal. There is no variation in subsidy component on Rice for BPL cardholders (Green cards).

13.3. As the State Government proposes to substitute Green cards with Yellow cards, the subsidy component for the food grains to be issued to Yellow cardholders has been related to the CIP for BPL cardholders. The retail price for commodities for Yellow cards is less than the Green cardholders. Therefore, the State Subsidy for Rice is Rs.260.65 per quintal and Wheat Rs.170/- per quintal.

13.4. The Government has further approved for increasing the quantity of food grains to Green cardholders. Now Green cardholders are eligible for 20 kgs of Rice and 3 kgs of Wheat w.e.f. August 2001.

Payment of Market Cess

14.1 Another feature of this order is that Separate Costing Sheet was issued for the levy Rice procured in the State and the quantum of subsidy is more than the amount provided for rice procured from outside the state and also a new component of Market Cess was added to the sheet.

14.2 The Food and Civil Supplies Department has clarified that as per the APMC Act, the FCI is required to pay the market cess of 1% on the levy Rice procured in

the State. FCI has requested to waiver of the cess. The State Government has decided that the Food and Civil Supplies Department should bear the Market Cess on Levy Rice procured in the State and only to the extent of levy Rice released by FCI to the State during the current Kharif season only. However this would increase the subsidy.

DISTRIBUTION MECHANISM UNDER THE P.D.S.

15.1 The Public Distribution System is a mammoth operation. This has to be in continuous operation through out the month and year. This operation is carried out under the Karnataka Essential Commodities (Public Distribution System) Control Order 1992. The Government of India releases the allotted quota to the State Government for distribution of food grains at C.I.P. every month. The F.C.I. make available the food grains. The Commissioner in turn allocates the quantity to the districts based on the requirement.

15.2 For the purpose of distribution of food grains the department has authorised 275 sale nominees for lifting from F.C.I. and Sugar Factories. 152 of the wholesale points are managed by KFCSC and 123 are run by Co-operative Institutions. The food grains will be collected by the wholesalers from the F.C.I. godowns and supplied to the retailer at the Fair Price Shop. The Government will reimburse the transportation charge to the wholesaler.

15.3 In respect of Kerosene Oil, KFCSC manages 5 wholesale points, Co-operative Societies run 9 points and 323 are managed by Private Individuals. There is no transportation cost involved and the retailer has to transport the kerosene at his own cost to the retail point.

15.4 The department has established a network of 20404 Fair Price Shops as on 31.1.2001 through out the State:

TABLE-14

Area	No of FPS
I.R.Area	4155
Urban Area	1301
Rural Area	14948
Total	20404

15.5. The Government assigns not less than 300 cards in Rural Areas and 500 cards in Urban Areas. In exceptional cases to serve the needs of the isolated settlements or layouts the limit can be reduced to 200 cards.

15.6 KFCSC, Co-operative Societies and Individuals manage the Fair Price Shops:

TABLE-15

Managed By	No
K.F.C.S.C.	288
Co-operative Societies	9497
Individuals	10619
Total	20404

15.7 While allocating the fair price shops to private individuals Government has ordered that preference be given to SC, ST, Women, OBC and Handicapped persons. 3064 FPS. have been allotted to these categories i.e., nearly 28.85%.

15.8 The FPS. shall be open on all days except Tuesday between 8.30 A.M. to 12 Noon and from 4.00 P.M. to 7.30 P.M. The timing is the same for both the Urban and Rural Areas. The cardholder can procure their entitlement in one lump sum or in installments.

15.9 Each fair price shop is required to display the rate for each commodity, the stock available. Each FPS is required to issue bills for all the sales and maintain proper account books including Sales Register and Stock Register. Timing urban/rural issue of grain – always given in lump sum.

15.10 During the field visits it was observed that except in Uttara Kannada district:

- ◆ The Bills are not being issued regularly by FPS.;
- ◆ Daily Sales Registers and Stock Register is not maintained regularly by FPS;
- ◆ Kerosene is being sold at higher rate from 8.50 per litre to Rs.10.00 per litre (including Uttara Kannada District);
- ◆ The shops are not opened regularly;
- ◆ The Stock Board is not displayed prominently by the FPS;
- ◆ The Food Inspectors are not inspecting the FPS regularly in some cases like, in Bijapur and Gulbarga districts for more than 6 months.

15.11 The Inspector of Food and Civil Supplies is supposed to verify at the end of each month the balance of stock of food grains available in each FPS. After ascertaining the balance of food grains available with wholesalers and retailers, the quantity of food grains required for the next month is released by the Deputy Commissioner out of the allotment received from the Commissioner of Food and Civil Supplies.

- ◆ During field visits it was noticed that the FPS. are not regularly being inspected by Food Inspectors. Then how they would arrive at the closing balance is a mystery.

15.12 The FPS. remits by way of D.D., the necessary amount for the quantity of food grains required for distribution to card holders. The wholesaler in turn remits the amount necessary to lift the total quantity of commodity to Food Corporation of India, lifts the stock and distributes to FPS. The bags have to be weighed at the wholesale point in the presence of the FPS owner/representative and transported to the FPS. The wholesaler furnishes the bill for Subsidy portion and Transportation charges to the Deputy Director who after verifying the claims authorizes the payment of subsidy out of budgetary allocation provided for this purpose with the approval of the Deputy Commissioner.

15.13 The Inspection of FPS. has become very cursory and left to Food Inspectors/ Shirasthedars and Tahsildars. The cursory nature of inspections has adversely affected proper implementation of PDS.

15.14 Therefore the Deputy Commissioners, who are also District Food Commissioner, must be asked to conduct every month a fixed number of inspections of FPS, Godowns, and Kerosene Dealers. The Commissioner and Senior Officers at the State level should also conduct a fixed number of inspections every month. This would send necessary signals to officers and officials at the lower levels resulting in improved services and the allegations of poor quality and less quantity of food grains would be drastically reduced.

15.15 The food grains thus received at FPS are distributed to Ration Card Holders.

WHOLE SALE MARGIN

16.1 The Government provides Retail and Wholesale margins for every quintal of commodity sold, as below: -

TABLE-16

After 12.7.2001

No.	Food grains	Wholesaler						Retailer		
		BPL	EBPL	APL	Yellow Card	BPL	EBPL	APL		Yellow Card
								Urban	Rural	
1.	Rice	25.00	25.00	25.00	25.00	26.00	26.00	29.00	26.00	20.65
2.	Wheat	19.00	19.00	19.00	15.00	19.00	19.00	28.00	25.00	15.00
3.	Sugar	26.58	26.58	26.58	—	6.05	6.05	6.05	6.05	—

16.2 The average off take of Rice and wheat under BPL & APL categories from April 2001 to September 2001 is as follows;

	OFF TAKE PER MONTH	MARGIN RATE	MARGIN PER MONTH	MARGIN PER YEAR
BPL Rice	51320	50	25.66	350.92
APL Rice	34236	250	85.59	1027.08
BPL Wheat	12777	90	11.50	138.00
APL Wheat	7573	190	14.39	172.68
TOTAL			137.14	1645.68

16.3 The wholesale margin is about Rs.16.46 Crores on account of rice wheat only- the same would increase in case the percentage of off-take also increases.

16.4 There are 275 wholesale points in the state. KFCS corp. is managing 152 of them. The wholesale margin realized during 2000-01 by Corporation is Rs.2436 lakhs. That is Rs.16.03 lakhs per point. Based on the same average factors the total wholesale margin is Rs.4408.25 lakhs.

16.5 Out 20404 retail outlets 10619 are managed by private Individuals. In other words 50% of the retail outlet is already privatized. The retail outlet is by selection and allotment by the department. But considering the Business Volumes involved, the wholesale distribution under Public Distribution Systems could be privatized by competitive bidding. This would certainly reduce the wholesale margin and the savings can be adjusted towards administrative costs.

- ◆ It is therefore recommended that the wholesale distribution under Public Distribution Systems Privatized

16.6 The Retailer besides the margin is allowed to retain the cost of the gunny bags.

Subsidies and Transportation

17.1 There are more than one crore twelve lakh ration cardholders as on 31.9.2001, out of which 63.61 lakh Green cards have been issued to BPL families.

17.2 According to Government of India, the number of BPL families is 31.29 lakh families. The State Government has issued 63.61 lakh cards i.e., 32.32 Lakh Extra BPL families. The food grain given to these additional 31.38 Lakh cards attract heavy subsidy. The rate of subsidy is different for each of card. The Government also bears the cost of transportation-an indirect form of subsidy.

17.3 Green Cardholders: The subsidy component is Re.1/- per quintal of Rice for 31.29 lakh BPL families holding Green cards. The green card holder is eligible for 20kgs of rice every month (since Aug2001). Each family will be utilizing 240 kgs of Rice in a year and therefore the subsidy will be Rs.2.40 per BPL family. Therefore the Subsidy for 31.29 lakh green cards is Rs.75.00 lakhs per annum.

17.4 The EBPL families, that is BPL families in excess of Govt. of India figure of 31.29 lakh, also get 20kgs of Rice and 5kgs of wheat every month (since Aug 2001). Each family will be getting 240 kgs of Rice and 60 kgs of Wheat in a year. That is a subsidy of Rs.638.40 towards Rice and Rs.109.80 towards Wheat. In all each Extra BPL family will get a subsidy of Rs.748.40 per year.

17.5 Each Yellow cardholder is eligible for 8 kgs of Rice and 2 kgs of Wheat at Rs.3.50 per kg and Rs.2.75 per kg respectively, and additional quantity at BPL rates. A subsidy of Rs. 250.22 is incurred to supply 96 kgs of Rice per year and 24 kgs of Wheat get subsidy of Rs.40.80. In all, each Yellow cardholder will get a subsidy of Rs.291/- for the allotted quota and another Rupee for additional quota i.e., Rs.292/- per Yellow card per year.

Subsidy per Year per Card

TABLE-13

Card	Subsidy Amount
Green Card (BPL)	Rs.2.40
Green Card (EBPL)	Rs.748.40
Yellow Card	Rs.292.00

Note: - It is not clear when Yellow cards will be issued in all the districts and also the number of other card that would be left with. Hence it is difficult to project the subsidy outflow for the remaining period of the current financial year 2001-2002.

17.6 A budget provision of Rs.14,000 lakhs was provided during 1997-98 towards Food Subsidy. Even though it was later revised by 22% to Rs.171.00 crores, the actual expenditure was Rs.156.56 crores. During the year about 4,77,760 new cards were issued and a total of 11,39,648 bogus cards were detected during the period. Probably this is the reason for saving in actual subsidy when compared to the Revised Estimate. But it should also be noted that the subsidy has actually increased by 11% over the Original Estimate.

17.7 On the other hand during 1999-2000, the original estimated subsidy of Rs.231.00 crores was revised and reduced by 10.68% to Rs.251.00 crores. But the actual expenditure was Rs.261.99 crores i.e., an increase of Rs.10.99 crores over the revised estimate.

17.8 As already discussed the subsidy component on food grains to BPL families is very meager. The subsidy on food grains supplied to EBPL families is very high and has increased by 74.21% over the last four years.

TABLE-17

Expdr.	1997-98		1998-99		1999-2000		2000-2001	
	Est.	Actual	Est.	Actual	Est.	Actual	Est.	Actual
Subsidy	14000	15655.57	15300	15237.00	28100	26198.72	27124	27274.00
Transportation	2000	1819.70	2400	1868.58	2400	2939.06	2832	2283.31
TOTAL	16000	17475.27	17700	17105.58	30500	29137.78	29956	29557.31

17.9 The number of green cards increased by 5.58% on the last 4 years, whereas the subsidy has increased by 74.21%. In other words, the subsidy component increased by 13.33 times for every increase by 1% percentage point of Green Cards.

17.10 During 2000-01 the state government has spent **Rs.2790.52 crores** on subsidy on various programmes both under Plan and Non-plan. The food subsidy component is 9.77% of total subsidy expenditure of the State government.

17.11 It is clear that most of the subsidy given by the Government is going to EBPL cardholders. The parameters followed by Government of Karnataka and Government of India is different.

18.1 The Bogus Cards: The menace of Bogus Cards is old as the Rationing System.

The Bogus Cards can be classified as:

- ◆ Cards issued to ineligible people;
- ◆ Additional/Extra cards received by the same family;
- ◆ Cards issued in favour of non-existing families.

18.2 The Enigma of Bogus Cards

During 1997-98, the department cancelled 11,39,648 Bogus cards. But immediately afterwards i.e., during 1998-99 there was a net increase of 8,18,477 cards after cancellation of 1,65,841 cards. In other words, there was a cancellation of 10% cards one year and the increase by same percentage next year.

18.3 During 1999-2000, the number of Bogus cards detected is 1,13,612 and fresh cards issued are 1,11,774. During 2000-2001, the number of cards increased by 31,960 and the number of bogus cards cancelled are 1,06,273.

18.4 During the early days of Rationing, it was the greed for additional quantity of Food grains or controlled commodities prompted the inclusion of non-existing persons to the list of family members. The practice at that time was to determine the quantity of ration based on the number of adults and children in the family. Further the names of the persons who have died and also of persons who have moved out of the household continued to be reflected in the ration cards.

18.5 After the introduction of fixed quantity of ration for each card the circulation of bogus/ineligible cards assumed menacing proportion. The practice was that the fair price shop owners themselves getting new ration cards, in favour of fictitious families allocated to their shop. The highly subsidized ration received for these fictitious/bogus cards would ultimately end up in black market.

18.6 The very system of issuing of Ration Cards has the potential for mischief. No systematic and scientific approach was neither devised nor followed for issue of Ration Cards. The system put in place for verification has never been effective.

18.7 In the initial stages for the issue of ration cards the IRDP list was borrowed and followed. But the question that still remains unanswered is that "Why a corrective mechanism was not put in place when the beneficiaries number crossed the TOTAL NUMBER in the original IRDP list". The RDPR list was not only used for Identification of beneficiaries for ration cards but also for shifting the blame. The economic criteria followed by RDPR Dept being on the higher side, the list would have covered all the families falling within the income limit fixed for Ration cards. Therefore the point already raised requires a very close scrutiny.

18.8 The total number of BPL cards projects an exaggerated status of poverty in the State. Obviously the number of poor families in the State is less than the number of cardholders. In other words, large number of bogus cards is in circulation. In spite of this there is always a demand for BPL cards. Several families who are genuinely in need of the BPL cards have not received them. The department may collect the list of Old Age Pensioners, Widow Pensioners and the Handicapped Pensioners and ensure that the BPL cards are issued to such families. These persons, even if they were to attend, always find that their voices are not heard in the Grama Sabhas. Simultaneously the Food Inspectors, Tahsildars and Deputy Directors should be given definite targets to detect and weed out bogus cards and bring the number of BPL cards nearer to the acceptable limits.

20. Computerization of Ration Cards

20.1. The Government of Karnataka has launched a scheme to computerize the whole process of issue of ration cards to the families. The ration card has become an important document not only for drawing food grains from the fair price depots, but also as an important document of identification and proof of residence for many other purposes. As a pilot project, the scheme has been taken up in Bangalore Informal Rationing Area and Bylahongala Taluk of Belgaum District. The issue of issuing computerised cards has just begun in other places.

20.2. The advantages of this scheme are :

1. The applicant will be issued with the ration card on the spot.
2. The information with regard to the families of ration cardholders will be computerized and will be available for studies and analysis.
3. This will avoid the menace of bogus ration cards, which are in circulation, thereby saving lot of subsidy.

20.3. The computerized cards will replace the old cards. Each one has to furnish all personal details along with address proof, Income Certificate and the details of Ration Card held by the family, the number of family members etc. The area Food Inspector is required to verify the information furnished by the applicant and certifies the same.

20.4 The head of the household has to be present, for being photographed for issuing the computerized card. Electronic Corporation of India is issuing computerized cards in Bangalore. According to the Electronic Corporation of India, the cards are being issued Area wise, and the software does not accept another entry for the same address or by the same name. A database for the whole of Bangalore City will be prepared once the Area wise issue of cards completed, thereby eliminating the chances of obtaining bogus cards by the same family in two separate Areas.

20.5 The holders of computerized cards will be issued Ration Coupons through the FPS. The coupons indicate the month year and the quantity of commodity that could be purchased. The ration will be issued by the FPS on collecting the coupons from the cardholders. The coupons have to be collected by FPS while issuing the ration. The coupons collected back from the cardholders determine the quantity of ration sold by that FPS. This process is expected to reduce the misapplication of unutilised portion of the Subsidised Commodities.

'Annapurna' Programme:

21.1 The Government of India has introduced a 100% Centrally Sponsored Scheme entitled "ANNAPURNA" during 2000-2001. The scheme proposes to issue 10 kgs of Rice FREE OF COST to a destitute who is more than 65 years of age. The person shall not be in receiving of Rs.75/- monthly pension under National Old Age Pension Scheme (NOAPS). The Government of India has fixed a numerical ceiling of 68040 persons for Karnataka under the scheme.

21.2 The Department of Food and Civil Supplies is the nodal agency. The Department of Rural Development, Government of India will be releasing funds directly to State Government. The State Government was requested to open a Bank Account and

communicate the Account number to Government of India for release of funds. The D.C's of the districts can purchase the Rice required from F.C.I. and distribute it through F.P.S. to the eligible persons.

21.3 The Revenue Department, Government of Karnataka has stated that the State Government is receiving the funds under NOAPS and paying Old Age Pension after adding Rs.25/- under the State Government programme.

21.4 The Food & Civil Supplies Department has stated that it was earlier decided not to implement the programme. But now the Government is reconsidering the matter.

Vigilance Committees:

22.1 The Government with a view to ensure proper distribution of food grains to the Ration Cardholders has authorised the Deputy Commissioners to constitute Vigilance Committees for each of the fair price shops. The composition of the Committee provided for proper representation to Women, SC, ST and Other State holders.

22.2 Specific questions were asked about these Committees to the Ration cardholders, Fair Price Shop Owners and Food Inspectors. The issue was also discussed with Senior Officers of the Department.

22.3 Even though these Committees have been constituted in compliance to the orders of the Government nobody appears to take the committees seriously. The cardholders were skeptic about, if not out rightly contemptuous about them. The Food Inspectors and Fair Price Shop Owners consider these committees as only a nuisance value.

22.4 The impression gathered is that these committees have not been effective and have contributed little to either streamlining of public distribution system of identification of bogus cards.

22.5 The Government has not constituted the District level and State level Vigilance Committees. The regular and effective functioning of these Apex Committees would have provided important inputs and feedback to streamline the implementation of Public Distribution System. The Government now vide G.O.No. B/4ñâ 18 ¥BÊÝH 2000, dated 30.10.2001 has ordered for reconstitution of Vigilance Committees for Fair Price Shops. It has further ordered that these Vigilance Committees should meet every month under the supervision of the Deputy Director of Food & Civil Supplies of the District.

22.6 The Commissioner of Food & Civil Supplies has also recommended for the Constitution of District Level and State Level Vigilance Committees. However, the Government has not taken any decision in this regard.

23.1 Kerosene: Kerosene is another commodity, which is distributed through P.D.S. Each cardholder in rural area will get 3.5 to 6 litres; in urban areas the quota is 6 to 10 litres and for the cardholders in Informal Rationing Areas it is 10 to 12 Litres. The L.P.G. cylinder holder will get only 2 litres of Kerosene and two cylinder holders do not get any quota.

23.2 There are 337 Kerosene Wholesale Points in the State. KFCSC manages 5 Wholesale Depots, Co-operative Societies have 9 depots and private individuals manage 323 wholesale depots.

23.3 The price of Kerosene varies from Rs.7.90 to 8.50 per Litre depending upon the place of sale.

23.4 During the field visits, the publics have complained in all the 45 villages visited, about the sale of Kerosene at higher rate. The extra rate varied from 50 Ps. Per litre to Rs.1.50 per litre in the villages. There were complaints about the measurement also.

23.5 Kerosene is not supplied at the doorstep of FPS as is being done for other PDS commodities. Further more it is not available on all days at FPS. The retailer comes once twice in a month and sell the kerosene. He has to bear the Transportation cost.

23.6 The irregularity in availability and transportation charges are said to be reasons for sale of Kerosene at higher price. But actually, the high cost of Kerosene in the open market is the main reason for Black marketing.

ESSENTIAL COMMODITIES ACT 1955 AND CONTROL ORDERS

24.1 The Department basically addresses the issue connected with food procurement and distribution. The Department has yielded enormous powers under essential commodities Act 1955.

24.2 This is an Act to provide in the interests of the general public for the control of the production, supply, distribution and trade and commerce in certain commodities. This Act was enacted for dealing more efficiently with persons indulging in antisocial activities like hoarding and black-marketing and evils of inflationary prices of essential commodities and also for ensuring their availability at fair prices.

24.3 The Act has been amended during 1971, 1981, 1984, and twice in 1986. There have been local amendments made in Maharashtra, Himachal Pradesh, Uttar pradesh, Bihar and orissa.

24.4 The all encompassing provisions of the Act, the rules made there under and nearly two dozen control orders issued have empowered the authorities beyond all expectations and not even to be held responsible for any 'actions' taken in 'good faith.' The Department and the authorities could intervene and play a regulatory role in all aspects of Production, Marketing, Storage and Distribution of food grains and other essential commodities.

24.5 This was probably justifiable when the Act was enacted, nearly 45 years ago (The country has just started the plan process. Industrial and Agriculture sectors were the thrust areas. The lack of necessary infrastructure facilities like Irrigation, Power, Roads, Marketing facility and sluggish agricultural production in most parts of the country has created food scarcity. Many people did not have the necessary purchasing power). The socio-economic scenario existing at that time probably required a very regulated and controlled regime. The succeeding amendments brought out made the act more stringent and further empowered the authorities to have a vital role (stranglehold) in all aspects of agricultural marketing, production, storage, movement and distribution of food grains. The need for more stringent provisions would only indicate that the method adopted had failed to achieve the objectives of the Act.

24.6 The Govt. of Karnataka has issued several Control Orders under the Provisions of the Essential Commodities Act 1965. Now 27 Control Orders are in force. The list of Control Orders, their purpose and the power under each of the order are given in Annexure-10.

25. Role of the Department:

25.1 Due to the liberalized economy, the focus of the Department is now mainly on the Public Distribution System and collection of Levy for Central Pool. The contribution of the State for Central Pool through procurement is very meager – about 2.5 lakh Metric Tons of Rice. This activity is restricted to few districts and for a limited period.

25.2 The Department has booked on an average 1050 cases during the last three years. More than 50% of these cases against Fair Price Shops were closed with warnings. The license of F.P.S. in only 12% of the cases has been cancelled and license of F.P.S. in about 25% of cases have been suspended. Penalty of about Rs.6 lakhs has been collected.

TABLE-18

Action Taken Against Fair Price Shops for Violations:

Year	Action initiated	Warning Issued	Penalty Imposed	Penalty Collected	License Suspended	License Withdrawn
1998-1999	1041	359	595	7,24,824	188	112
1999-2000	1198	691	468	6,20,934	280	113
2000-2001	1068	611	180	5,26,197	279	124

25.3 The Department was requested to provide details of the cases booked under each of the control orders during the last three years. The Commission was provided information about the cases booked under Control Order (Public Distribution System) only.

25.4 The Department has conducted 1150 raids during the previous year and registered 614 cases. All the cases pertain to black marketing of food grains, kerosene and sugar. The cases are against the persons indulging diversion of food articles and kerosene meant for public distribution system. Otherwise the availability of these articles in the open market do not need any intervention of the Department, as the market forces themselves regulate their price, supply and availability.

25.5 Under the P.D.S. Control Order, the Deputy Commissioner is the Authorised Authority, the Commissioner of Food and Civil Supplies is the Appellate Authority. Revision Petitions can be filed before the Government ie. Minister for Food and Civil Supplies.

25.6 The KARC made efforts to ascertain the number of Revision petitions pending, but could not get the figures. However, the Commission was informed that there are more than 1000 cases pending since 1991. In most of the cases, the orders of the Appellate Authority have been stayed and F.P.S. are allowed to function.

25.7 Therefore the Assistant Commissioner be made the Authorised Authority, the Deputy Commissioner to be made the Appellate Authority and the Revision petitions can be filed before the Commissioner for Food & Civil Supplies. The aggrieved party can go in an appeal before the High Court of Karnataka.

25.8 Most of the empowered authorities under the Act, Rules, and orders are from the Departments of Revenue and Police. The enforcement of these Act, Rules and orders were part of and along with other duties and responsibilities of the authorities of these Departments. During 1964 the Department of Food and Civil Supplies was virtually carved out of Revenue Department at the field level. Initially the officers and staff of the Revenue Department managed the affairs. The Department created its own officers and officials by way of absorption/direct recruitment during 1983.

25.9 The strange aspect is that a new Department was created when the socio-economic scene, especially the increase in Agricultural production (Green Revolution) has reduced the role of the Department in its dealing with essential commodities.

25.10 Now the Department is finding it self in cross roads, the enforcement responsibility of the department in the liberalized economy of the Country has sharply comedown and the department is now mainly focusing of Public Distribution System. The functioning of the department in respect of Public Distribution System has been discussed in detail in the foregoing paragraphs. The one issue, which stands out is that, the food security measure is required to be continued. However, the departmental personnel are not motivated enough to address the issue of large number of bogus cards which involve huge subsidy. Therefore there is an urgent need for motivating departmental Officers and Officials to sensitize them about food security measure and its proper implementation. Further Commissioner and other Senior Officers of the department including Deputy Commissioner should conduct random and surprise inspections of Godowns and Fair Price Shops which would send right signals to the lower order and all the agencies involved to implement Public Distribution System for the benefit of poor people only.

25.11 Government has been adopting different parameters to select BPL families for various Poverty Elevation Programmes. There is an urgent need to determine definite indicators and design scientific methodology to determine the poverty of the families to provide them assistance not only under all Poverty Elevation Programmes, but also to provide food security.

25.12 The Government of India has been following the poverty lines as determined by Lakadwala committee and also the National Sample Survey Organisation indicators. The 2001 Census figures and that of BPL families determined by Government of India is nearly 50% of the BPL families having Green and Yellow Cards issued by State Government. Therefore the immediate concern of the department is to limit the number of BPL cards to the figures atleast closest to that of the Government of India.

25.13 There is another side to the picture of Bogus Cards. It has been pointed out that in spite of more number of BPL cards in circulation; nearly 10% of the genuine families are out of the food security measures. Therefore the department has to identify these families with the help of list of Old Age Pensioners, Widow Pensioners, Handicapped Pensioners etc., and even Grama Sabha and issue them BPL cards.

25.14 The 62.65 lakh BPL families figure in Karnataka is by all means does not reflect the reality, i.e., almost 60% of the families in Karnataka are supposed to be BPL. As the EBPL families have been utilizing the maximum subsidy, there should have been a very concerted and serious attempt to determine the number of BPL families, which would have resulted in lot of savings. Even CAG has commented on this issue.

25.15 Public distribution system being the main function of an exclusive department having staff strength of about 1594 persons this work should have been taken up long ago. The reduction in number of cards would also result in reduction in subsidy cost but also in transportation, other overheads and administrative costs.

25.16 Considering the cost benefit that would accrue in the long run, an investment in organizing and conducting a scientific survey of BPL families based on well-defined indices would be a worthwhile investment.

25.17 The department is monitoring and implementing P. D. Scheme which reach more than one crore families through a net work of 250 wholesale units and more than 20,000 retail units, apart from – wholesale and – number of retail kerosene dealers.

25.18 Besides this the other important activity is procurement levy. During 2000-2001 for a target of levy Rice of 2.5 lakhs metric tons, 164,759 MTs have been collected an achievement of 75%.

25.19 The regulatory and enforcing mechanism for procurement of levy is already in place, which would ensure compliance to a greater extent from Rice millers and traders, without much effort in the part of the department. Further more the levy procurement activity is only for a period of 2-3 months every year.

25.20 Therefore the existing line department is mainly focusing on PDS with all its drawbacks and conducting the levy procurement activity as an additional activity.

25.21 In the existing liberalized economy these two activities appear to have no meaningful relevance. Still it is also a fact that these are packets of poverty, which need the helping hand of PDS. A lean and efficient organization would suffice to address this, than the existing structure.

COMMISSIONERATE OF FOOD AND CIVIL SUPPLIES

Staff Strength

(As On 31/3/2001)

GROUP	SANCTIONED STRENGTH	WORKING	VACANT
Group-A	45	44	1
Group-B	33	32	1
Group-c	1314	1189	125
Group-D	197	174	23
TOTAL	1589	1439	150

PUBLIC DISTRIBUTION SYSTEM

Whole Sale Points	275
Kerosene Whole Sale Points	337
Fair Price Shops	20404
BPL Cards (Green Cards)	63.42 lakhs
Other Cards	49.30 lakhs
Total Cards (As on 30th Sept 2001)	112.72 lakhs
Urban House Holds	25.29 lakhs
Rural House Holds	56.49 lakhs
Total House Holds (2001 Census)	81.78 lakhs

- The figures above clearly show that the total number of cards in the State clearly outnumbers the number of families, which implies that there are bogus and ineligible cards in circulation.
- The following findings during the field visits further validate the existence of bogus/ineligible cards.

NAME OF THE TALUKS WHERE THE NUMBER OF CARDS IS MORE THAN THE HOUSE-HOLDS

Taluk	No.of Households	No.of Cards
Bhatkal	23799	33825
Haliyala	31168	33148
Gundlupet	44841	48819
Mulabagilu	35212	41544
Bagepalli	30759	52147

**Statement showing the District-wise Green Cards, Number of Families identified as BPL by the RDPR Department in the Survey.
New BPL Families identified in the Gram Sabhas and the Number of Beneficiaries for Anthyodaya Scheme etc.**

1	2	3	4	5	6	7	8	9	10	11	12	13
SI. No.	Name of the District	BPL Cards	Eligible families identified as per 97-88 RDPR List for Yellow Cards as per H.O.	Eligible families identified as per 97-88 RDPR List for Yellow Cards as per Dist. Reports	Eligible families identified in the Grama Sabhas	Ineligible families identified in the Grama Sabhas	New beneficiaries identified in the Grama Sabhas	BPL families in Urban/Towns & Cities	Total Number of families eligible for Yellow Cards	Number of families identified for Anthyodaya Anna Yojane by Head Offices	Number of families identified by District Offices	Difference between existing Green Cards & Yellow Cards
	Bangalore (IR)	140246										
1.	Bangalore (U)	175334	22132	22132	17223	4909	64991	0	82214	7915	2583	-5332
2.	Bangalore (Rural)	349204	80049	102862	99621	3241	170652	228770	270273	12719	12719	0
3.	Bagalkote	203440	51990	51990	27086	24904	72845	22870	122801	19933	16155	-3778
4.	Belgaum	447201	116108	107512	91461	16051	229244	7186	327891	37925	35298	-2627
5.	Bellary	223495	103858	103858	100187	3671	0	0	100187	27744	15028	-12716
6.	Bidar	239328	70979	70781	70662	119	48545	0	119207	20381	10888	-9493
7.	Bijapur	211151	101864	104369	94910	9459	140343	4956	240207	25959	25959	0
8.	Chamarajanagar	178151	53889	56750	51860	4890	101580	0	153440	13935	9100	-4835
9.	Chikkamagalore	163571	48960	45538	44936	602	118629	0	163565	9765	6848	-2917
10.	Chitradurga	213404	94343	93908	92727	1181	151591	0	244318	16158	16158	0
11.	Dakshina Kannada	104351	45842	50894	43836	7058	26843	0	70679	8535	6363	-2172

1	2	3	4	5	6	7	8	9	10	11	12	13
12.	Davanagere	220884	70198	78416	73298	5118	149964	0	223262	21439	21439	-5968
13.	Dharwad	153310	43794	59461	57085	2376	82179	0	139264	14530	8562	0
14.	Gadag	131826	69504	54327	42350	11977	52157	0	94507	14179	14179	0
15.	Gulbarga	426509	126586	135298	133009	2289	171740	0	304749	44169	44169	0
16.	Hassan	254881	63451	63951	61225	2726	96010	0	157235	8157	8157	-12567
17.	Haveri	217187	66843	66843	61810	5033	125932	0	187742	21838	9271	-1046
18.	Kodagu	63132	17836	17836	13189	4647	28451	0	41640	3179	2133	-489
19.	Kolar	360528	134461	137816	131471	6345	111856	12469	255796	21971	21482	0
20.	Koppal	149921	77802	93066	88756	4310	80458	0	169214	18453	18453	0
21.	Mandya	274939	82604	83914	80755	3159	163280	0	244035	15199	15199	0
22.	Mysore	330089	100674	98081	83406	14675	283833	0	367239	18023	18023	-6055
23.	Raichur	176802	95352	114939	109178	5761	116217	19686	245081	25308	19253	0
24.	Shimoga	189454	65044	64465	49445	15020	115310	0	164755	17232	17232	-308
25.	Tumkur	407903	129664	129664	129664	0	0	0	129664	18570	18262	12
26.	Uttara Kannada	182267	54539	54601	52744	1857	108912	0	161656	7883	7895	-3992
27.	Udupi	76802	35173	37638	30431	7207	17287	0	47718	8601	4609	0
	Total	6265310	2023539	2100910	1932325	168585	2828849	295937	4828339	479700	405417	-74283

Subsidy: - The State Govt. supplies the food grains to BPL Card holders at subsidised rates. The Government of India supplies food grains to 31.29 lakh BPL families at reduced prices and the state procures additional quantity of food grains from Govt. of India at Central Issue Price. Therefore the subsidy to 31.29 lakh is very meager. But for the 32.13 Extra BPL families the state purchases it at higher cost and subsidises it to bring it down to the level of BPL rates. An allocation of Rs.267.54 Crores has been provided for the year 2001-02 towards Subsidy and Rs.26.46 crores towards Transportation. The state reimburses the cost of transportation to the wholesaler for shifting food grains from FCI godown to wholesale point and also to FPS. This amounts to indirect subsidy even though it is budgeted differently.

The following tables indicate the entitled quantity and the rate of food grains to different type of ration cards. The subsidy component on each card and also the total subsidy liability on all the cards are also given: -

QUANTITY, RATE OF FOOD GRAINS AND SUBSIDY

CARDS	COMMODITY	CENTRAL ISSUE PRICE	RETAIL PRICE PER KG	QUANTITY PER MONTH	SUBSIDY	ANNUAL ENTAI TLEMENT	SUBSIDY PER CARD
GREEN CARDS 31.29 LAKH BPL	RICE	5.65	6.15	20 K.G	Rs.0.01 Per Kg	240kg	Rs.2.40
	WHEAT	4.15	4.65	5 K.G	NIL	60kg	NIL
GREEN CARDS 32.13 LAKH EBPL	RICE	8.30	6.15	20 K.G	Rs.2.66 Per Kg	240 kg	Rs 638.40
	WHEAT	6.10	4.65	5 K.G	Rs.1.83 Per Kg	60kg	Rs.109.80

QUANTITY, RATE OF FOOD GRAINS AND SUBSIDY

CARDS	GOMMODITY	CENTRAL ISSUE PRICE	RETAIL PRICE PER KG	QUANTITY PER MONTH	SUBSIDY	ANNUAL ENTAI TLEMENT	SUBSIDY PER CARD
YELLOW CARDS	RICE	5.65	3.50	8 K.G	Rs.2.60 Per K.G	96kg	249.60
			6.15	12 K.G	Rs.0.01 Per K.G	144kg	1.44
	WHEAT	4.15	2.75	2 K.G	Rs.1.70 Per K.G	24kg	40.80
			4.65	3 K.G	NIL	36kg	NIL
SAFFRON CARDS	RICE	8.30	9.00	20 K.G	NIL	240kg	NIL
	WHEAT	6.10	6.70	5 K.G	NIL	60kg	NIL
ANTHYO- -DAYA ANNA	RICE	3.00	3.00	20 K.G	Government of India Programme	240kg	NIL
	WHEAT	2.00	2.00	5 K.G	Government of India Programme	60kg	NIL

FOOD SUBSIDY FOR EBPL CARDS

(A) C.I.P: Rs.830/- per Quintal
 Subsidy for Rice: Rs.266/- per Quintal
 Retail Price Rs.615/ Quintal
 Annual Off-take by Cardholder 240kg
 ie. Rs.638.40 per Card per Year for Rice

(B) C.I. P Rs.610/- per Quintal
 Subsidy for Wheat: Rs.183/- per Quintal
 Retail Price Rs.465/- per Quintal
 Annual Off-take by a Cardholder 0.60 Quintal
 i.e., Rs.109.80 for Wheat

(A+B) Annual Subsidy:
Rs.748.40 per card
 Subsidy For 32.13 lakh EBPL cards is Rs.240.46 Crores
 Transportation Extra

Subsidy per Year per Card

Card	Subsidy Amount
Green Card (BPL)	Rs.2.40
Green Card (EBPL)	Rs.748.40
Yellow Card	Rs.292.00

During the last 4 years, the subsidy component has increased from Rs.156.56 crores to Rs272.74 Crores. The number of BPL cards has increased by 5.58% while the subsidy has increased by 74.21%.

Details of Photos, Green Cards and Saffron Cards in the State at the end of September 2001

No.	Name of the District	I.R.Area		Urban Areas		Rural Areas		Total
		Photo R.C.	Green R.C.	Photo R.C.	Green R.C.	Saffron R.C.	Green R.C.	
1	2	3	4	5	6	7	8	9
1.	Bangalore (IR)	932231	140191	-	-	-	-	1072422
2.	Bangalore (Urban)	-	-	13550	7179	136937	173808	331474
3.	Bangalore (Rural)	35678	15226	23103	17570	56964	316342	464883
4.	Bagalakot	33799	25834	16254	16880	70879	178769	342415
5.	Belgaum	118353	4028	69823	10188	289277	444806	936475
6.	Bellary	68213	17324	20825	6081	72724	223270	408437
7.	Bidar	28664	7815	12225	11247	23908	220266	304125
8.	Bijapur	44707	6023	20551	7084	105613	197727	381705
9.	Chamarajanagar	20090	4735	5497	1148	35697	172166	239333
10.	Chickmagalore	19914	2581	17104	4754	38951	151214	234518
11.	Chitradurga	14263	6760	9016	7789	47003	198396	283227
12.	Davanagere	62495	11964	4438	1637	73079	206581	360194
13.	Dak.Kannada	76860	1020	22413	4358	124204	103608	332463
14.	Dharwad	140719	17641	10726	6057	39312	129637	344092
15.	Gadag	27558	3427	19859	20847	38740	109918	220349
16.	Gulbarga	109637	7184	29553	20069	94426	394706	655575
17.	Hassan	22750	5659	26929	12549	53273	237386	358546
18.	Haveri	23170	4410	13039	4629	54733	207156	307137

1	2	3	4	5	6	7	8	9
19.	Kodagu	-	-	7117	-	44372	68541	120030
20.	Kolar	81746	6723	31461	4788	78825	348621	552164
21.	Koppal	16120	12144	-	-	64609	137775	230648
22.	Mandya	26419	6766	20502	8766	115708	259386	437547
23.	Mysore	178649	8325	19501	12687	76050	322714	617926
24.	Raichur	38247	12576	12100	3498	94879	159682	320982
25.	Shimoga	68695	13463	18764	3480	70793	172524	347719
26.	Tumkur	42448	20567	22545	15221	102656	371814	575251
27.	Udupi	31486	634	10290	1710	80286	74425	198831
28.	Uttara Kannada	34218	1124	20964	3073	51105	183105	293589
	Total	2297129	364144	498149	213289	2135003	5764343	11272057

The issue of Yellow Cards to BPL families:

- During 1997-98 RDPR identified 20.35 lakh BPL families with an annual income of less than Rs.20,000-00 per annum. This is adopted as the Base list in Aug 2000 by F & CS Department for identification of BPL families to be given Yellow Cards.
- According to 2001 census there are 65.95 lakh families in Rural Areas and 29.53 lakh families in Urban Area. A total of 95.47 lakh families in the state where as 112.08 lakh Ration Cards have been issued.
- Applying the percentage of 33.16% of BPL families as determined by Lakadwala Committee to the 2001 census figure of 95.47 lakh total families the number of BPL families will be 31.66 lakh, in the state
- Further assuming that 32.33% and 40.52% are BPL families in rural and urban areas respectively, there are 21.32 lakh BPL families in rural area and 11.96 lakhs in urban area. A total of 33.28 lakh families.

According to Government of India, there are 31.29 lakh BPL families in the state, but where as 63.42-lakh BPL cards have been issued.

- Food and Civil Supplies Department did not indicate any criteria, only RDPR list to be presented for consideration in Grama Sabha for Abolition/Deletion/Approval of cardholders.
- Grama Sabhas have selected 50.58 lakh rural families, and there are 5.50 lakh green cards in urban areas. Therefore total number of yellow cards will be 56.08. The reduction in number of BPL cards is 7.34 lakh only.
- Yellow Cards have been issued in Bellary, Dakshina Kannada, Bangalore (Urban), Bagalkot Districts, Kodagu, and Mysore Districts.

- The yellow cards issued to families in other districts are treated as green cards for rations. Yellow cards have not been issued to 31.30 lakh additional families identified by Gramasabhas. Total Number of cards increased by 4.8% in Bellary District.

Off-Take Of Food Grains And Wholesale Margin

- The average off-take of rice and wheat by APL cardholders during the last five-years is 67.32% and 37.68% respectively. It only indicates that these cardholders are not solely dependent on Public distribution Systems.
- The wholesale points on an average get about Rs44.00 Crores as wholesale margin for collecting the food from FCI and distributing to FPS.

Ration Cardholders Perceptions

- There were no complaints on Quality and Quantity of food grains by the BPL families.
- Majority of the Ration cardholders were dissatisfied with the irregular functioning of Fair Price Shops since they did not maintain regular timings, have not displayed stock boards, do not issue bills.

Vigilance Committees

- The Government has constituted Vigilance committees for each FPS. It was observed that these committees are not effective and no one takes these committees seriously.
- Majority of Ration cardholders were cynical of Vigilance Committees.

Other Observation

- Fair Price Shops allotted to women are maintained properly and there were no complaints, while those allotted to cooperative societies are not managed properly.
- Kerosene is sold at higher rates (from Rs.9 to Rs.11 per litre) in all the villages visited.
- Computerised Ration Cards are being issued to Above the Poverty Line Families in Bangalore city and Bailahongala Taluk.
- Issue of Computerised Ration Cards to Below the Poverty Line Families is stopped.

Departmental Issues

- The Government has made direct recruitment to the posts of Deputy directors, for whom there is little scope of promotion as there is only one post of Joint Director. It has brought in demoralization.
- The Department has accounts wing at the division level and very large accounts establishment at the state level.
- Food Inspectors and Sheristedars have little interest in the work – complacency has set in.

- Food Inspectors are not regularly accompanying the Lorries to Fair Price Shops and are not regularly inspecting the fair price shops.
- Motivational level among staff is low
- Assistant Directors posted to District Offices do not have any direct responsibility and adequate work.
- Deputy Directors are not pro-actively involved in implementation of PDS.
- Records maintained by Sheristedars and Food Inspectors have not been inspected by Deputy Directors.
- Deputy Directors' offices of the 5 districts visited by the team have not been inspected by head office during the last 3 years.
- The officers and officials themselves do not see any future for the Department. Requests for merger with Revenue Department.

ENFORCEMENT OF CONTROL ORDERS

The Food & Civil Supplies enforces EC Act-1955 and Control orders Issued.

- More than 95% of the Cases booked during 2000-01 are under PDS Control order.
- Action Initiated against FPS in 1068 Cases.
- Of these 611 FPS were warned and let off
- Penalty was imposed in 180 cases i.e 16.85% of the cases booked.
- The license of 188 FPS were suspended i.e 17.6% of the cases booked.
- The license of 112 FPS i.e 10.49% of the cases.

RECOMMENDATIONS

- The P.D.S needs to be continued, as there are several families who need food security.
- The Public Distribution Systems should be limited only to BPL families as the APL cardholders are not dependant on it completely. The off-take by APL families is less than 50% during the last 5 months.
- All other types of ration cards should be with drawn
- The State Government has been following different parameters to identify poor people for different programme to identify BPL families. The Government must define "Urban Poor" & "Rural Poor" and it should be applicable for not only obtaining BPL cards under Public Distribution Systems but also for all other programme being implemented by other departments
- The Subsidy on one yellow card is Rs.292.00 per year. Even in case the number of yellow cards is brought down to the number of 31.29 lakh BPL families, the annual subsidy will be Rs91.37 Crores. Therefore, it is recommended that all

other type of cards including green cards should be abolished and only about 31.29 lakh cards holders allowed access to Public Distribution System.

- There is no need to maintain Informal Rationing Areas outside of Bangalore city. It is recommended that all Informal Rationing Areas outside of Bangalore city be abolished. It would result in abolition of 12 offices of Assistant Directors functioning in these Informal Rationing Areas
- The Assistant Directors functioning in the offices of Deputy Directors do not have adequate work. Therefore all these Assistant Directors should be with drawn.
- As a consequence of abolition of the offices of Assistant Directors in 12 Informal Rationing Areas and withdrawal of 10 Assistant Directors attached to the officer Deputy Directors, the persons working against the following posts become surplus.

Assistant Directors	18
Managers	12
First Divisions Assistant	12
Second division Assistant	12
Typists	12
Group 'D'	24
Drivers	02

- Out of these 18 Assistant Directors, 11 of them may be posted to districts in place of Deputy Directors, which would leave 7 Assistants Directors with out posts. The 12 managers may be posted as Food Shirasthedar, Food Inspector Grade-I and like wise 12 First Division Assistants may be posted as Food Inspectors.
- 12 Second Division Assistants be posted to vacant posts, 6 of the typist to be posted to vacant posts and the remaining 6 be trained and posted as data entry operators. The Group-D and drivers be posted to Vacant posts
- Assistant Directors to be in charge of the following districts having less than 3.50 lakh Ration Cards:
 1. Bidar
 2. Chamarajanagar
 3. Chikamagalur
 4. Chitradurga
 5. Gadag
 6. Haveri
 7. Kodagu
 8. Koppal
 9. Raichur
 10. Udupi
 11. Uttara kannada

- As a consequence of posting 11 Assistant Directors to District, 11 posts of Deputy Directors become surplus. These posts may be abolished and KAS officers working against these post redeployed
- Abolition of divisional accounts wing or reduction in the accounts section in head office.
- Officials in head office have to do regular inspection of district offices and records maintained by taluk functionaries.
- Work done by Food Shirasthedars and Inspectors is to be evaluated with surprise inspections of FPS & wholesale points by Deputy Commissioners, Commissioner, and other senior officers of the department.
- Training programme to increase motivational level and effectiveness of officers and staff at all level.
- Redraft the Citizens charter.
- Issuing of Computerised Cards to be taken up on Top Priority – even in Rural Area to reduce Bogus Cards.
- The Assistant Commissioner may be declared as Authorised Authority under the PDS control order.
- The Deputy Commissioner may be declared as the Appellate Authority under the PDS Control Order.
- Revision Petition can be filed before Commissioner of Food & Civil Supplies and Consumer Affairs.
- Alternatively, the functions may be transferred to Revenue Department.

KARNATAKA FOOD AND CIVIL SUPPLIES CORPORATION LIMITED

1. The Karnataka Food & Civil Supplies Corporation Limited was incorporated as a Company under the Companies Act during September 1973. The Corporation has its registered office at Bangalore and the main objective of the Corporation is

“To engage either on its own or as the agent of Government in the production, purchase, processing, storage, transport, distribution and sale of food grains, foodstuffs and such other essential commodities as it may choose and to provide assistance, advice and services therefore, including capital, resources, technical, managerial and other services ”.

2. The Hon'ble Minister of State for Food & Civil Supplies is the Chairman of the Corporation. An IAS Super time Scale Officer is the Managing Director of the Corporation. A General Manager assists the Managing Director. A Finance Manager is incharge of Finance and Accounts. There are three Senior Deputy General Managers and two Deputy General Managers, one Corporation Secretary, one Internal Audit Officer (on Deputation from State Accounts Department) and Accounts Officers. Please see the Organisation Chart.

3. The Memorandum of Association of the Corporation authorizes the taking over any of the Government projects or services whose objectives are similar to those of the Corporation. It also authorizes the Corporation to plan, to formulate and execute the projects including establishment of Rice Mills, Flour Mills or any such processing or manufacturing establishment. And any other activities, which are considered to be incidental, or ancillary to attain the main objectives.

4. The authorised share capital of the Corporation is Rs.3 crores and the paid up capital is Rs.2.25 crores. Government of Karnataka holds the 22,500 equity shares of the Corporation.

5. The Corporation has received Rs.9.34 crores as subsidy and grant from Government of Karnataka for purchase of vehicles, computers and construction of godowns. The General Reserves and Surplus of the Corporation as on 31.3.2001 is Rs.14.98 crores. The Corporation has Rs.16.59 crores of secured loans and Rs.1.46 crores of unsecured loans.

6. During the last 27 years the Corporation has incurred losses for 7 years. During the year 1999-2000 the Corporation has made a profit of Rs.1.69 lakh only and during 2000-2001 the profit has increased to Rs.48.56 lakhs.

7. The sanctioned staff strength of the Corporation is 1836. Against this 1836-sanctioned strength, 1676 are working and there are 160 vacancies. Out of this 1676 working strength, 510 people are Group-D employees' -nearly 1/3rd of its working strength. The statement is given in the Annexure.

Head Office:

8. One post of Deputy General Manager is vacant. The Commission has administered the questionnaire to the officers and ministerial staff of the Corporation. On the perusal of questionnaires of the senior officers it was noticed that they are attending to one

attending to one or other functions connected with the Public Distribution System. During personal discussions with the senior officers, it was clarified that the senior Deputy General Manager (Marketing) is handling all the matters connected with the procurement and sale of Edible Oils, LPG and other petroleum products. There is another post of Senior Dy.General Manager who is incharge of sale of Non-Controlled Essential Commodities. That is the management of COMNAP. A Deputy General Manager is exclusively in-charge of Public Distribution System and operation of the Government scheme of Market Support Prices.

9. During the year 2000-2001 the total turn over of the Corporation was Rs.979.43 crores. This includes a total turn over of 4% in non-controlled commodities, which were carried out on consignment basis. In such circumstances, the workload of the 2 seniors Deputy General Managers in charge of Marketing and Commercial is very less. Even the officers themselves concede that and suggested that the functions of these posts can be merged.

10. Marketing and Commercial Sections have 29 posts. Considering that the contribution of these two sections to the total turn over is only 4%, these two sections can be abolished. The procurement section can handle the work of these sections.

11. Likewise there is no need for 3 Managers in the Corporation Secretary section. 2 of these posts could be abolished.

12. Out of the 132 posts in the Head office, 40 posts can be easily abolished by Rationalizing the Cadres and Streamlining the office procedure.

13. The Corporation has an office of District Manager in 19 old Districts and 4 more in Bangalore (Urban) area. It has not opened any district offices in any of the new 7 districts. It has an office for LPG headed by an Officer in the cadre of District Manager.

14. The disposition of staff in Head Office is given in the table:

In the Administration Section including the Personal Establishment of the Managing Director and a Senior Deputy General Manager, there are 37 persons working in various capacities, assisting the officers. There are 15 Group-D officials, 2 Assistant Managers and 3 office Managers. There is a need to cut the number of posts in all these three cadres working in this section atleast by 50%.

Statement showing the number of Officers/Officials working in Head Office of Karnataka Food and Civil Supplies Corporation Ltd. as on 28.8.2001

Sl. No.	Designation	Admn. Sectt. MD/GM	A/C Sectt.	Mkt. Sectt.	Proc. Sectt.	C.S. Sectt.	Comm. Sectt.	IAO Sect	Total
1.	Chairman	01	-	-	-	-	-	-	1
2.	Managing Director	01	-	-	-	-	-	-	1
3.	General Manager	-	-	-	-	-	-	-	0
4.	Sr. Dy. Gen. Manager/ Dy.Gen. Managers	01 (Sr.DGM)	01 (DGM)	01 (Sr.DGM)	01 (DGM)	-01 (cs)	01 (Sr.DGM)	01 (IAO)	7
5.	Asst.Manager	02	01	-	-	-	01	01	5
6.	Office Managers	03	02	01	05	03	01	05	20
7.	Senior Assistant	04	09	03	04	-	-	-	20
8.	Senior Stenographer	03	01	-	-	-	-	-	4
9.	Stenographer	01	-	01	-	-	-	-	2
10.	Junior Assistant	05	05	01	03	01	04	01	20
11.	Drivers	02	-	01	04	01	01	01	10
12.	Clerk-cum-Typist	02	01	02	-	01	01	01	8
13.	Class IV Officials	15	02	07	04	01	05	01	35
	Total	40	22	17	21	08	14	11	133

15. The Corporation had established 2 sachet units for sale of Palmolin Oil, an essential commodity. But now both these sachets units at Hassan and Bangalore have been given on lease to Mysugar Corporation for packaging of Arrack.
16. The Corporation has established 152 Wholesale units for distribution of commodities under the Public Distribution System and it has 288 retail outlets.
17. The Corporation has got 194 godowns under its control. During 1992-93 the Corporation has taken up the construction of 6 godowns under the Centrally Sponsored Scheme. Out of this, only one godown at Aurad has been completed. The work of construction of godowns in Chamarajanagar, Sindagi, Afzalpur, Aland and Chitapur is reported to be still under progress even after the lapse of 8 years.
18. The Corporation has established 4 Kerosene Bunks in Bangalore, Udipi, Pandavapura, Yellapura, Tumkur and KGF. It has also 5 more retail outlets in Bangalore for distribution of Kerosene. It has taken up the distribution of LPG in Mangalore, Hassan, Yeshwanthpur, Lingarajapur, and Kudremukh. It has also got license on an ad-hoc basis for distribution of LPG in Mandya and Bhadravathi.
19. Karnataka Food and Civil Supplies Corporation Limited is one of the wholesale nominees under the Public Distribution System. The Corporation procures food grains for the PDS from the Central Pool based on the allotment received from the Deputy Commissioners in the Districts and the Joint Director at the Informal Rationing Area, Bangalore. The Fair Price Shops and Retail Outlets will be remitting the amount required for the quantity of food grains for distribution. The Corporation in turn procures the required quantity of food grains by making payment to the Food Corporation of India at Central Issue Price. Later, the Corporation would seek the reimbursement of the differential cost of purchase and sale and also its wholesale margin from the department of Food and Civil Supplies. The Government will also reimburse the transportation cost incurred by the Corporation.
20. The off-take of commodities for the public distribution system has been decreasing over the last 2 years. The Government has now discontinued with the distribution of sugar to all cardholders except green card holders. Consequently the turn over of the Corporation has been adversely affected and thereby the profitability of the operation of PDS.

**STATEMENT SHOWING THE ALLOTMENT & LIFTING OF RICE,
WHEAT AND SUGAR DURING THE YEAR 1997-98,98-99,99-2000**

SL. NO.	YEAR	RICE		WHEAT		SUGAR	
		ALLOTMENT	LIFTING	ALLOTMENT	LIFTING	ALLOTMENT	LIFTING
1.	1997-98	5275643	4877086	1494647	1433243	1499752	1499652
2.	1998-99	5605226	5346283	1775653	1736975	1518081	1516404
3.	1999-00	5358305	4872818	2266768	1186202	1511387	1509649

21. As already explained the Corporation has got an office at the District Headquarters headed by the District Manager. He is assisted by an Assistant Manager and other supporting staff. The wholesale and retail godowns will be having a Depot Manager, Bill Clerk and Manual assistant. It was observed during the field visit that there are too many number of staff in each office at district level. It appears that there is no norm for fixing the requirement at the district office. During the field visits of the review teams there have been complaints from most of the Fair Price Shops about the weightment of commodities. The FPS complained that the commodities received from wholesale points would always weigh less atleast by 1 to 2 kgs per quintal. It was explained that the weightment is always made in the presence of the representative of FPS. May be the pilferage occurs during the transit. Considering the fact that the complaint was there in all the 5 districts, the Corporation has to take immediate measures to address this issue, as it would be affecting the credibility of the organisation.

**Karnataka Food & Civil Supplies Corporation
Administrative Strength of K.F.C.S.C. Limited.**

Sl. No.	Designation	Sanctioned Strength	Working	Vacant
1	2	3	4	5
1.	Chairman	1	1	-
2.	Managing Director	1	1	-
3.	General Manager	1	-	1
4.	Finance Manager	1	1	
5.	Sr.Dy.Gen.Managers	3	3	-
6.	Dy Gen.Managers	3	2	1
7.	C.S.	1	1	-
8.	I.A.O.	1	1	-

1	2	3	4	5
9.	Dy.Managers/Acs.Officers	26	25	1
	Asst. Managers/Sr.Auditors	36	32	4
11.	Office Managers/Jr.Auditors	144	129	15
12.	Senior Stenographers	7	4	3
13.	Stenographers	5	3	2
14.	Sr.Assistants/Sr.Assts.A/cs.	247	235	12
15.	Jr.Assts./Clerk-cum-Typists/Typists	707	644	63
16.	Senior Drivers	18	14	4
17.	Drivers	73	62	11
18.	Electrician	2	2	-
19.	Mechanic - Vehicle	2	-	2
20.	Mechanic - LPG	4	-	4
21.	Machine Operators	7	6	1
22.	Attenders	30	12	18
23.	Class IV / H.O. / Lift Operators / Watchmen / Cleaners	516	498	18
	Total	1836	1676	160

Findings / Issues

1. KFCS Corporation was established in 1973 with an authorised share capital of Rs.3.00 crores and paid up capital of Rs.2.25 Crores.
2. The main activity of the corporation is handling of Food Grains under PDS. It has established 152 Wholesale points, 288 Retail points for this purpose. It has also 6 kerosene Wholesale points and 5 Kerosene Retail outlets. It has taken up distribution of LPG in 7 locations and has a Petrol Bunk in Basavakalyan, Bidar district.
3. The corporation has sanctioned Staff strength of 1836 posts and out of which the working strength is 1676. The ministerial staff strength is 1015 and there are 510 Group-D Employees.
4. There are more employees in the Corporation than in the Commissionerate of Food, Civil and Supplies and Consumer Affairs.

Financial Results for 2000-2001

A	Reserves And Surplus	Rs.14.98 Crores
B	Secured Loans	Rs.16.59 Crores
C	Unsecured Loans	Rs.01.46 Crores
D	Current Assets	Rs.46.80 Crores
E	Administrative Cost	Rs.20.22 Crores
F	Annual Turn Over	Rs.979.43 Crores
G	Profit	Rs.48.56 Lakhs

- The corporation has made the profit for the second consecutive year. The profit was Rs.1.69 Lakhs during 1999-2000 and has increased to Rs.48.56 Lakhs during 2000-2001.
- The Administrative expenses during 1998-99 were Rs.17.25 Crores. It rose to Rs.17.85 crores next year and during 2000-01, it was Rs.20.22 crores- an increase of 13.20%.
- The salary component including expenditure towards encashment of earned leave has increased by a total amount of Rs.2.00 Crores during the last two years.
- The main source of revenue for the Corporation is the margin received by wholesale points and retail outlets under Public distribution System and it generates 92.93% of total revenue income. Only 7.07% of revenue is generated out of Non-Controlled Commodities. These figures indicate the extent dependency on Public Distribution Systems.

WHOLESALE MARGIN

Earned during 2000-2001	(RS. IN CRORES)
Rice	16.85
Wheat	3.57
Sugar	3.72
Other	0.22
TOTAL WHOLESALE MARGIN	24.36
Retail Margin	0.75
Mobile Margin	0.17
CONTROLLED COMMODITIES	25.28
Non-Controlled Commodities	1.93
GROSS MARGIN	27.21

9. The Annual Turnover Details: Rs.979.43 Crores for 2000-2001

RICE	54%	84%
WHEAT	10%	
SUGAR	20%	
MAIZE (Minimum Support Price)		12%
LPG Kerosene Corporation & Others		4%

10. Two senior Officers of the Corporation, the senior DGM (Marketing) and the Senior DGM (Commercial) manage the activities, which contribute only 4% of the turnover.
11. The corporation has taken up the construction of 6 godowns during 1992-93. Except for one godown, the construction of the other 5 godowns is still incomplete even after 8 years.
12. During field visits it was observed that there are too many employees in Kolar and Bijapur Districts. (62 persons in all)
13. There were complaints in all the districts that the weight of Food Grains supplied to Faire Price Shops is always less than the billed quantity.
14. It was observed that there is indiscipline amongst the employees both in district and Head Office. The posting to wholesale or retail point is preferred than a posting to office.

RECOMMENDATIONS

1. Considering the huge volume of transaction in Food Grains, Computerisation and Networking of Wholesale points, Retail points and controlling offices is to be taken up on top-priority for proper inventory maintenance, supervision and control. (Rs.23.88 crores worth of Stock in trade and transit as on 31.3.2001)
2. The construction of 5 godowns should be completed immediately to avoid cost escalation and avoid rental charges for the godowns hired.
3. Considering the fact that 71.88% of the revenue goes towards administrative costs, the number of employees need to be reduced.
4. All the 160 vacant posts should be abolished.
5. The Marketing and Commercial sections-each headed by a senior DGM may be abolished and work Distributed amongst other sections.
6. The Administrative Section And Personal Establishment of Managing Director together has 37 posts. (3 office managers, two Assistant mangers, 15 Group-D Officers and others). The three post of office managers, 4 posts of junior Assistant and 8 posts of Group-D be abolished.

7. 2 posts of Managers in the section of Company Secretary may be abolished.
8. 50% posts of each of Group-D; Senior\Junior Assistants may be abolished in the Head office.
9. The scale of posting to District Offices, Wholesale\Retail Points to be reduced to make each of the trading units profitable.
10. The surplus staff may be given Voluntary Retirement.
11. The corporation should diversity its activities and may take up (1) the export of Food Grains other commodities procured locally, (2) Food processing and other allied activities.
12. The complaint of shortage in weighment should be addressed immediately to regain credibility.
13. The Corporation may be made the Sole wholesale distributor of commodities under P.D.S.
14. In case the Government decides to privatise the Wholesale distribution of commodities under P.D.S, the Corporation may be closed.

DEPARTMENT OF LEGAL METROLOGY

INTRODUCTION:

The Department of Legal Metrology is one of the Major Heads of Departments in the State. This department is concerned with ensuring accuracy in Weights and Measures used in consumer transactions by enforcing the various enactments in relation thereto. A functional review of this department was undertaken with a view to -

- i) have a re-look at how far this has been achieved and to suggest ways aimed at improving the system to make it more effective and people friendly;
- ii) Suggest modifications to the relevant enactments & Rules and Orders issued thereunder to be in consonance with the changes that have taken place in the society in terms of consumer needs, consumer rights etc. ;
- iii) suggest ways to bring about overall efficiency in the administration by restructuring and rightsizing the department and employing Information Technology and all other tools of modern administration;
- iv) clearly define the role of the officers and the staff and ensuring accountability through proper control mechanism;
- v) create an environment where the officers and staff are motivated to respond to the needs and grievances of the people with courtesy, service mindedness and a spirit of understanding.

APPROACH AND METHODOLOGY:

The in-house team of Officers of the Commission conducted field studies in five districts of the State during May-June 2001. The team also visited the Office of the Controller of Legal Metrology at Bangalore on 25.07.2001 and held detailed discussions with him covering various aspects of the functioning of the department. The department's role, whether it needs to be redefined in the context of the consumer becoming more aware of his rights, the relevancy of certain enactments, rules and orders and the expediency of bringing about suitable changes in them for effective enforcement and implementation are the other issues covered.

Specific views and opinions of officers and staff, both at the State level and at the district level and downwards were taken in the questionnaires. General as well as department specific Questionnaires had been evolved. A separate Questionnaire was given to all the officers of the Department, except the Head of the Department for obtaining their individual opinions. These Questionnaires, inter alia, contained the following indicators:

- Aims and expectations of the Department.
- Responsibilities of the Officers and the Staff.
- Jurisdiction.
- Number of Inspections and the time spent thereon.
- Delegation of Powers.

- Training Requirements.
- Computerisation, constraints if any.
- Reformative steps that could be taken.
- Staff Reduction and Rationalisation.
- Amalgamation of Units/Sections.
- Transparency etc.

STUDY SAMPLE SIZE:

The study covered the employees of the Department of Legal Metrology and the employees in turn were graded into two categories depending upon their cadre:

- Officers - Deputy Controllers and Assistant Controllers of Legal Metrology
- Staff - Inspectors of Legal Metrology, First Division Assistants, Second Division

Assistants & Manual Assistants.

The total number of employees of the Department of Legal Metrology are 416 (current working strength) and the sample study covered 38 employees.

HISTORY OF THE DEPARTMENT:

In 1902, the then Government of Mysore province had enacted a Law viz., the Mysore Weights and Measures Act, 1902. The provisions of this enactment were enforced by the Revenue as well as the Police Departments. The Weights and Measures were manufactured both in the Government factories and by M/s Massey and Company, Madras. The Standards of these Weights and Measures were kept in safe custody in the offices of the Deputy Commissioner, Tahsildar and in Police Stations. A Tester had been appointed in the year 1910 for the purpose of verification and stamping of Weights and Measures and these Weights and Measures were sold to the merchants through Government Treasuries.

In 1929, the Director of Industries and Commerce was empowered to appoint the Testers and the Inspectors for the purpose of implementation of the provisions of the Mysore Weights & Measures Act, 1902. In 1931, the first batch of 5 Testers were appointed for verification and stamping of Weights & Measures in the Municipal limits of Mysore, Bangalore and Davanagere respectively. There is also an instance of imposing a heavy penalty of Rs.3000-00 on an erring merchant during 1936-37. In the year 1942, the provisions of the Mysore Weights & Measures Act, 1902 were extended to the other urban areas of the Mysore Province as also to certain important shandees.

The Weights & Measures Wing, which was hitherto under the administrative jurisdiction of the Industries & Commerce Department was brought under the administrative control of the Marketing Department, which was headed by the Registrar of Co-operative Societies as Chief Marketing Officer, in the year 1949. In other words, it came under the administrative control of Co-operation Secretariat at Government level.

After the Metric System of Measurement had been brought into force in the then State of Mysore, the new enactment viz., the Mysore Weights & Measure (Enforcement)

Act, 1958 was promulgated w.e.f. 14.1.1959. Later the Mysore (now Karnataka) Weights and Measures (Enforcement) Rules 1959 came to be issued. The Act of 1958 was amended twice in the years 1975 and 1976 through the Karnataka Weights and Measures (Enforcement) (Amendment) Act, 1975 (Karnataka Act No. 17 of 1975) and the Karnataka Weights and Measures (Enforcement)(Amendment) Act, 1976 (Karnataka Act No. 58 of 1976) respectively. The Department of Weights and Measures came into existence as an independent department w.e.f. 28.1.1976 and continued to be under the Administrative control of Co-operation department at Government level. With effect from 4.1.1989, the department came to be renamed as 'the Department of Legal Metrology and Consumer Protection' and brought under the administrative control of the Food and Transport Department at Government Level. Again in 1990 i.e. w.e.f. 28.5.1990, the nomenclature of the department was changed as 'Department of Legal Metrology'. The administrative control of the department was brought under the newly created Department of Food and Civil Supplies at Government level.

AIMS, OBJECTIVE AND FUNCTIONS OF THE DEPARTMENT:

The main aims of the Department are :

- a) maintenance of accuracy in Weights, Measures, Weighing and Measuring Instruments used in trade, commerce and industry by verifying them with the Standards.
- b) inspection of trading and industrial establishments to detect cases of short weighment and measurement ;
- c) verification of Auto-rickshaw and Taxi Meters and inspection of these Meters to detect cases of tampering;
- d) Enforcement of the provisions of the Standards of Weights and Measures (Packaged Commodities) Rules, 1977.

The main objectives of the department are to prevent the misuse of Weights and Measures and thereby protect the interest of the consumers; to protect the interest of farmers in ensuring fair weighment and measurement of their produce at the time of sale; and to create awareness among the consumers about the enactments to ensure their protection and to take adequate precaution against being cheated by vendors/traders.

The main functions of the Department of Legal Metrology are registration, verification, and calibration of Weights, Measures, Weighing, and Measuring Instruments and licensing of the dealers and manufacturers of these items and equipments as also enforcement of the various Acts and the Rules relating to Standards of Weights and Measures. The details of these functions are given in **Annexure - I**.

ORGANISATIONAL STRUCTURE OF THE DEPARTMENT:

At Government level:

The Department of Legal Metrology has a five tier administrative structure. It is under the administrative jurisdiction of the Food and Civil Supplies Department at the Secretariat level. The Food and Civil Supplies Department at the Secretariat level is comparatively a smaller department vis-à-vis the departments like Health and Family Welfare, Education and Finance Departments of Government. It has total cadre strength of 44.

At the apex level, the Minister for Food and Civil Supplies holds overall control over the affairs of the department of Legal Metrology and the Principal Secretary/Secretary to Government advises him.

At the second level is the Controllerate of Legal Metrology. The Controller is a State level Officer and a major Head of the Department. Generally, a Senior Scale IAS Officer or a Senior/Selection Scale KAS Officer holds the post.

The Department has a sanctioned strength of 512 employees against which 416 are working. The larger employee component comprise of 107 Inspectors of Legal Metrology, 126 Manual Assistants and 128 Group 'D' employees (Jamedars, Attenders, Peons and Watchmen).

Sl. No.	Designation Strength	Sanctioned Strength	Working	Vacancies
1.	Controller of Legal Metrology	1	1	0
2.	Joint Controller of Legal Metrology	1	0	1
3.	Deputy Controller of Legal Metrology	6	3	3
4.	Asst.Controller of Legal Metrology	36	34	2
5.	Inspectors of Legal Metrology	107	107	0
6.	Superintendents	3	3	0
7.	FD.As.	21	19	2
8.	Stenographers	6	5	1
9.	S.D.As.	32	28	4
10.	Typists	33	23	10
11.	Manual Assistants	126	96	30
12.	Drivers	12	10	2
13.	Group 'D' Employees (Attenders, Peons, Watchmen etc.)	128	87	41
	Total	512	416	96

The chart of the Organisational structure of the department of Legal Metrology is at **Annexure-II**.

At the Controllerate, the Controller is assisted by a Headquarters Assistant of the rank of a Deputy Controller in respect of administrative matters and an Assistant Controller as regards technical matters. Two Superintendents one for each of them and the supporting staff, both ministerial and technical, in turn assist these officers.

Cadre Strength at the Controllerate of Legal Metrology

Sl. No.	Designation Strength	Sanctioned Strength	Working	Vacancies
1.	Controller	1	1	0
2.	Joint Controller	1	0	1
3.	Deputy Controller (Admn.)	1	0	1
4.	Assistant Controller (Tech.)	1	1	0
5.	Superintendents	2	2	0
6.	F.D.As.	5	5	0
7.	Stenographers	3	3	0
8.	S.D.As.	7	4	3
9.	Typists	4	4	0
10.	Driver	1	1	0
11.	Jamedars	1	1	0
12.	Peons	5	5	0
	Total	32	27	5

A Central Laboratory headed by an Assistant Controller of Legal Metrology is housed in the State Headquarters. Two Assistant Controllers head each of the Flying Squad Units I & II and one Assistant Controller heads the Autorikshaw and Taxi Unit.

The Central Laboratory maintains the Secondary Standards of Weights and Measures for the purpose of verification of Working Standards. It consists of an Assistant Controller of Legal Metrology, 3 Manual Assistants, a Driver and a Peon.

Each of the Flying Squads consists of 1 Assistant Controller, 1 Inspector, 1 FDA, 1 Manual Assistant, 1 Driver and 1 Peon respectively. Whereas the Auto-rickshaw and Taxi Unit consists of 1 Assistant Controller, 6 Inspectors, 1 Manual Assistant, 1 Driver and 5 Peons respectively. One of the Flying Squads is stationed at Hubli having jurisdiction of Gulbarga and Belgaum Divisions and Flying Squad No. I having jurisdiction over Bangalore and Mysore Divisions and the Auto-rickshaw & Taxi Unit are stationed at Bangalore. The Organisational Chart of the Controllerate of Legal Metrology as also that of the Flying Squads, Central Laboratory and Auto-rickshaw and Taxi unit is at **Annexure-III**

As the main objective of the department is to maintain accuracy in the Weights, Measures, Weighing and Measuring Instruments used in trade and industry, the department has to physically verify these items annually and also to conduct inspections of trading and industrial establishments. Keeping the number of trading and industrial establishments as a parameter, the tiers have been categorized as Division, District/Circle and Sub-division levels and this parameter has been in force since the inception of the department.

Divisional Level:

Thus the third level is the divisional level. Each divisional level office of the Department is headed by a Deputy Controller of Legal Metrology. The post of Deputy Controller of Legal Metrology belongs to Group 'A' cadre and carries the time scale of pay of Rs. 9580-14200. As per the Cadre and Recruitment Rules, this post is filled by promotion from the feeder cadre of Assistant Controller of Legal Metrology on the basis of seniority-cum-merit. The divisional level office consists of 1 Deputy Controller, 1 FDA, 1 Stenographer, 1 SDA, 1 Typist, 1 Driver and 1 Peon respectively. There are five divisional level offices — four located at the revenue divisions of Mysore, Bangalore, Gulbarga and Belgaum and the Bangalore Urban and Rural Districts put together comprise the fifth one having regard to the concentration of trading and industrial establishments in this region. The Division comprising the Bangalore Rural and Urban Districts has an additional post of 1 Office Superintendent and besides this office, the divisional level offices at Bangalore and Mysore have each 1 post of Stenographer.

Cadre Strength at the Divisional Level Offices

No.	Cadre/Pos	Bangalore Urban & Rural Dists.Division					
		Sanctioned Strength	Working	Vacancies			
1.	Deputy Controller	1	1	-			
2.	Superintendents	1	1	-			
3.	FD.As.	1	1	-			
4.	Stenographers	2	2	-			
5.	S.D.As.	2	1	1			
6.	Typists	1	-	1			
7.	Drivers	1	1	-			
8.	Peons	1	1	-			
		Bangalore Division		Mysore Division			
		Sanctioned Strength	Working	Vacancies	Sanctioned Strength	Working	Vacancies
		1	-	1	1	1	-
		-	-	-	-	-	-
		1	1	-	2	1	1
		1	1	-	1	1	-
		1	1	-	1	1	-
		1	-	1	1	1	-
		1	1	-	1	1	-
		1	1	-	1	-	1

Belgaum Division			Gulbarga Division		
Sanctioned Strength	Working	Vacancies	Sanctioned Strength	Working	Vacancies
1	-	1	1	1	-
-	-	-	-	-	-
1	1	-	1	1	-
-	-	-	-	-	-
1	-	1	1	1	-
1	1	-	1	1	-
1	-	1	1	1	-
1	1	-	1	-	1

District Level:

The fourth tier is the District level Office. There are 25 District level Offices and 4 Circle Offices in the Bangalore Urban District each headed by an Assistant Controller of Legal Metrology. Each District Level /Circle office consists of 1 Assistant Controller of Legal Metrology, 1 FDA or 1 SDA, 1 Typist, 1 Manual Assistant and 1 Peon respectively.

Sub-divisional Level:

The fifth and the final level is the sub-divisional level. Unlike the revenue sub-divisions, the sub-divisions in this department vary from 1 to 4 taluks depending on the concentration of trading establishments. For example, there is one Inspector for Karwar alone in Uttara Kannada District whereas in Kolar District, one Inspector is in charge of Chikkaballapura, Bagepalli, Gudibande and Gouribidanur taluks. Each sub-divisional level office is headed by an Inspector of Legal Metrology. The post of Inspector is in the Group - C cadre and carries the timescale of pay of Rs. 4575-8400. As per the Cadre and Recruitment Rules, this post is filled 90% by direct recruitment through the Karnataka Public Service Commission and 10 % by promotion from the cadre of Manual Assistants. Every sub-divisional level office consists of 1 Inspector, 1 Manual Assistant and 1 Peon respectively.

ACTS AND RULES BEING ENFORCED: -

The Department of Legal Metrology is entrusted with the responsibility of enforcing the following Acts and Rules to ensure accuracy in weights and measures used in consumer transaction:-

- i) The Mysore (now Karnataka) Weights and Measures (Enforcement) Act, 1958 as amended from time to time and the Rules issued there under;
- ii) The Mysore (now Karnataka) Weights and Measures (Enforcement) Rules, 1959;
- iii) The Standards of Weights and Measures Act 1976
- iv) The Standards of Weights and Measures (Packaged Commodities) Rules, 1977 as amended from time to time;
- v) The Standards of Weights and Measures (Enforcement) Act, 1985.

- vi) The Standards of Weights and Measures (General) Rules 1987.
- vii) The Standards of Weights and Measures (Interstate Verification and Stamping) Rules 1987.
- viii) The Standards of Weights and Measures (Approval of Models) Rules 1987.
- ix) The Standards of Weights and Measures (Numerical) Rules 1987.
- x) The Karnataka Standards of Weights and Measures (Enforcement) Rules, 1988
- xi) The Standards of Weights and Measures (National Standards) Rules 1977.

The department of Legal Metrology is predominantly enforcing the provisions of the Karnataka Weights and Measures (Enforcement) Act, 1958 as amended from time to time and the Karnataka Weights and Measures (Enforcement) Rules, 1959 issued thereunder, the Standards of Weights and Measures Act, 1976, The Standards of Weights and Measures (Enforcement) Act, 1985 and the Rules issued thereunder namely The Karnataka Standards of Weights and Measures (Enforcement) Rules, 1988 as also the provisions of The Standards of Weights and Measures (Packaged Commodities) Rules, 1977 as amended from time to time respectively.

The Karnataka Act of 1958 provides for enforcement of Standards of Weights and Measures specifying the Standards of Weights and Measures, verification and stamping of Weights and Measures, etc.

The Standards of Weights and Measures Act, 1976 (Central Act No. 60 of 1976) came to be enacted with the objective of regulating INTERSTATE trade or commerce in Weights, Measures and other Goods which are sold or distributed by weight, measure or number and to provide for matters connected therewith and incidental thereto. The provisions of this Act extend to the whole of India.

The Standards of Weights and Measures (Packaged Commodities) Rules, 1977 specifies the details to be declared on every package like net weight, sale price, month and year of manufacturing and packing, the address of the manufacturer etc. These Rules have been amended forty six times to be in tune with the demands of consumer needs and consumer protection. Under these Rules, packaged commodities include the automobile spares, sanitary wares, stationery, readymade garments, hardware fittings, electrical and electronic equipments, surgical equipments, industrial tools, sports materials, novelties, confectioneries etc.

The Standards of Weights and Measures (Enforcement) Act, 1985 mandates that the Users of Weights and Measures should register themselves with the authorities concerned i.e. the Controller of Legal Metrology.

JOB ROLES – FUNCTIONS AND DUTIES :

CONTROLLER OF LEGAL METROLOGY:

Like all other Heads of Departments, the Controller of Legal Metrology is appointed under Section 5 of the Standards of Weights and Measures (Enforcement) Act, 1985 has the power of general superintendence and control over the subordinate officers like the Deputy Controllers, Assistant Controllers and Inspectors of Legal Metrology respectively and specific powers of licensing, inspection, hearing appeals etc under the Act. Section

30 of the Act empowers the Controller to search or authorize any officer not below the rank of an Inspector to search for and seize the weight or measure, document or thing, if he has reason to believe that such weight or measure, document or thing in relation to the said weight or measure is secreted in a place and liable to be seized under the Act. He also exercises powers in financial as well as administrative matters. The details as to the powers, duties, and responsibilities of the Controller of Legal Metrology are at **Annexure-IV**.

DEPUTY CONTROLLER OF LEGAL METROLOGY:

The powers, duties and responsibilities of Deputy Controller of Legal Metrology comprise of verification of railway and lorry Weigh-bridges, Storage Tanks used in Petroleum Refineries, Petroleum Depots and Ports, Storage Tanks and Vats used in Breweries and Distilleries and Overhead Measures used in Kerosene Depots respectively. This is to ensure correct weightment of commodities sold or purchased in bulk and proper payment of Central and State excise duties and other commercial taxes.

He also discharges quasi-judicial functions under the Packaged Commodities Rules, which includes granting sanction for prosecution of manufacturers who violate the provisions of the Rules, compounding of cases booked against the manufacturers of packaged commodities and compounding of cases of short weightment and measurement detected by the Assistant Controllers. This apart, he performs administrative functions in respect of the offices subordinate to him. The details of the powers, duties and responsibilities of the Deputy Controller of Legal Metrology are at **Annexure - V**.

ASSISTANT CONTROLLER OF LEGAL METROLOGY:

The Assistant Controller of Weights and Measures is entrusted with the responsibility of verification of -

- i) Weights and Measures, Weighing and Measuring Instruments (including electronic instruments) used in the industries;
- ii) Petrol Pumps;
- iii) Tank lorries carrying Petroleum and other allied products;
- iv) New Weights and Measures, weighing and measuring instruments manufactured in the State and those obtained from outside the State including the ones imported from abroad.

He also exercises authority in inspecting and checking of establishment like manufacturing, packing as also retail premises, Petrol Pumps, industries and shops to detect cases of short weightment and measurement and enforcing the provisions of the Standards of Weights and Measures (Enforcement) Act, 1985. Besides, he also performs quasi-judicial functions under the Packaged Commodities Rules which include compounding of cases booked by them and the Inspectors against the wholesale and retails traders for violation of the provisions of the Rules and compounding of cases booked by the Inspectors for short weightment and measurement. The details of the powers, duties and responsibilities of the Assistant Controller of Legal Metrology are placed at **Annexure -VI**.

INSPECTOR OF LEGAL METROLOGY:

The powers, duties and responsibilities of an Inspector of Legal Metrology comprise of verification of Weights and Measures, Weighing and Measuring Instruments used in the wholesale and retail trade and verification and stamping of Auto-rickshaw and Taxi Meters. The Inspector exercises authority under the Standards of Weights and Measures (Enforcement) Act, 1985 and the Rules issued thereunder to conduct inspection of –

- i) Trading establishments to detect cases of short weighment and measurement and to detect use of substandard weighing and measuring instruments;
- ii) Shops to detect use of unstamped Weights and Measures and violations of the provisions of Packaged Commodities Rules;
- iii) Auto-rickshaw and Taxi Meters to detect cases of tampering of Meters and collection of excess fares; and
- iv) Filing and prosecution of cases in the jurisdictional Courts, respectively.

He also exercises quasi-judicial powers in compounding cases booked by him for violation of the provisions of Standards of Weights and Measures (Enforcement) Act, 1985 and the Standards of Weights and Measures (Enforcement) Rules, 1988. Sections 27 to 29 of the Act empowers the Inspector to enter any trading premises within his jurisdiction, at all reasonable times, and inspect any weight or measure or the net contents by weight or measure or number of any package and may also examine any document or record in relation thereto. And Section 31 *ibid* empowers him to seize and detain any weight or measure in relation to which an offence under the Act, is being or appears to have been committed or which is intended or likely to be used in the commission of such offence. He may also seize and detain any goods sold or delivered, or caused to be sold or delivered, by such weight or measure. Further, Section 32 of the Act empowers the Inspector to forfeit to Government any seized weight or measure. The details of the powers, duties and responsibilities of the Inspector of Legal Metrology are placed at **Annexure – VII**.

OBSERVATION, ANALYSES AND CONCLUSIONS :

During functional review, it was observed that the department does not have any major scheme for implementation. Nonetheless, there is a small component under Plan connected with purchase of machinery and equipment like Verification Punches and Dies, procurement of Working Standard Weights & Measures and for payment of verification fees for Secondary Standards to the Regional Reference Standards Laboratory located at Jakkur in Bangalore and managed by the Government of India. This Laboratory undertakes the calibration of the Secondary Standards Weights and Measures maintained by the departments of Legal Metrology of the southern States.

This apart, the department is also implementing the Consumer Awareness Programmes (under non-plan) through distribution of pamphlets, booklets & conducting Seminars, with a view to create awareness among the consumers as to their rights as contained in the Standards of Weights & Measures enactments. However, the department does not seem to have been able to achieve the desired objective. During the field visits of the Commission's in house team, it was observed that not even the semi-urban,

let alone rural, population is fully aware of the role and functions of the department of Legal Metrology nor of its Officers. It would therefore be desirable for the department to take up awareness building among the consumers using the mass media like the television through display of slides, production of documentaries to reach the remoter parts of the State and also involve the Consumer Organizations to supplement its efforts. More and more Consumer Awareness Programmes have to be organized across the State, particularly in the semi-urban and rural areas where people are susceptible to being cheated by the vendors/traders exploiting their ignorance. Besides educating the Consumers as to their rights, the department should also aim at motivating them to assert their rights and be vigilant against getting cheated. This will not only augur well for the consumers but also help the department in bringing the erring traders to book. An aware Consumer is itself a deterrent for the traders and establishments and prevents them from illegal practices. This trend has already started in urban areas. The department should channelise its efforts in this direction.

Rules 14 to 16 of the Karnataka Standards of Weights and Measures (Enforcement) Rules 1988 make it mandatory that the Weights or Measures should be verified or re-verified and stamped once in every twelve months.

There are different types of weights, measures, weighing and measuring instruments in use in the trade and industry. They are: Weights, Carat Weights, Liquid Capacity Measures, Dispensing Measures, Liquor Measures, Length Measures, Folding Scales, Fabric or Plastic Tape Measures, Steel Tape Measures, Surveying Chains, Tapes for use in measurement of oil quantities, Beam Scales, Counter Machines, Steel Yards, Platform weighing machines, Spring balances, Weigh bridges, Crane Weighing Machines, Automatic Weighing Machines, Self-indicating and Semi-self-indicating Counter type Weighing Machines, Person Weighing Machines, Totalising Weighing Machines, Baby Weighing Machines, Wheel Weigher, Dispensing Pumps, Volumetric Container Filling Machines, Bulk Meters, Water Meters, Meters for Liquids (Other than Water), Volumetric Container type Liquor Measuring Device, Clinical Thermometers, Taxi Meters, Kitchen Scale, Bathroom Scale, Calibration of Vehicle Tanks for Petroleum products and other liquids, Calibration of Vertical Oil Storage Tanks, Electronic Weighing Instruments.

The above-mentioned weights, measures, weighing and measuring instruments are verified / calibrated with reference to the working standards. The procedures and the methods of calibration of these weights, measures, weighing and measuring instruments are provided under the Standards of Weights and Measures (General) Rules 1987. The field officers follow these procedures to verify the weights, measures, weighing and measuring instruments.

The verification of weights, measures, weighing and measuring instruments used in the retail and wholesale trade is done by the inspectors and the verification of the weights, measures, weighing and measuring instruments used in the industry, kerosene wholesale depots, petroleum depots, breweries and distilleries and the verification of petrol pumps, tank lorries etc, is done by the Assistant Controllers.

The procedure adopted by the Department for calibration of Overhead Measures used in Kerosene Depots, Storage Tanks/vats used in petroleum refineries etc. and the railway and lorry weigh bridges is given below:

(a) Overhead Measures: The overhead measures are calibrated using a 20 liters conical test measure which is pre-calibrated using 10 liters working standard measure. The overhead measure is filled up to its marked capacity with Kerosene. The Kerosene filled in the overhead measure is measured with the help of 20-litre test measure. If the overhead measure is found to hold the exact quantity of kerosene within the permissible error as prescribed under the rules, it is sealed using the twisted wire and the lead seal.

(b) Storage Tanks: The Storage Tanks being very large in capacity, they are calibrated by taking the measurements of their internal circumference and the height. The volume per cm of the storage tanks for its entire height is calculated mathematically and a chart is prepared giving the volume of liquid at different heights in the storage tank. The volume of the product filled in and drawn out of the storage tank is measured using the dip-chart.

(c) Vats: As vats are normally irregular in shape, they are calibrated physically. They are filled with measured quantity of water and the level of water after each filling is recorded with the help of a steel tape, which is fixed vertically along the vat. Using these measurements a dip chart is prepared which indicates the volume of the product in the vats at various heights.

(d) Weigh Bridges (both railway & lorry): The weigh Bridges are tested for sensitiveness when they are fully loaded and the error in excess or deficiency when they are fully loaded. Each graduation of the dial of the weigh -bridge is verified for its accuracy. Test weights of 20 kg capacity are used along with some dummy weights to verify the weigh- bridges. The sensitiveness and the maximum permissible error when the weigh- bridges are fully loaded should be within the limits prescribed under the Standards of Weights and Measures (Enforcement) Rules 1988.

The details of the number of establishments reportedly covered by the department during the year 2000-2001 or the purpose of verification of Weights, Measures, Weighing and Measuring Instruments and the total verification fee collected thereon are given in the table below:

No. of establishments covered	4,16,233
No. of Weights Verified	25,42,706
No. of Measures verified	9,47,740
No. of Weighing Instruments verified	6,18,762
No. of Measuring Instruments verified	1,01,577
Total Amount of Fee collected	Rs.3,22,20,678

The provisions of Standards of Weights and Measures (Enforcement) Act, 1985 mandates that every person/firm using Weights and Measures should register its name with the department of Legal Metrology and it is renewable every 5 years. During the year 2000-2001, a total of 14,825 registration/renewal has been done and a fee of Rs. 71,650 collected as fee therefore. Similarly, the Standards of Weights and Measures (General) Rules, 1987 provides for issue of licensing of Manufacturers/Dealers/Repairers of Weights and Measures.

Dealers in relation to any weight or measure, means a person who, or a firm or a Hindu undivided family which, carries on, directly or otherwise, the business of buying, selling, supplying or distributing any such weight or measure, whether for cash or for deferred payment or for commission, remuneration or other valuable consideration, and includes: -

(i) a commission agent who carries on such business on behalf of any principal;

(ii) an importer who sells, supplies, distributes or otherwise delivers any weight or measure to any user, manufacturer, repairer, consumer or any other person, but does not include a manufacturer who sells, supplies, distributes or otherwise delivers any weight or measure to any person or category of persons referred to in this clause.

There are a large number of manufacturing units of weighing and measuring instruments exist in the State. The list of the manufacturing units is given in annexure-1. In addition to the weights and measures manufactured by these units, the state is getting the weights, measures, weighing and measuring instruments from the other states also.

The details as to the total number of Dealers and Repairers of Weights and Measures in the State are given in the table below:

Total Number of Licensed Dealers of Weights and Measures	86
Total Number of licensed Repairers of Weights and Measures.	35

The department of Legal Metrology reportedly has conducted inspections of various trading establishments to bring the errant traders to book. The details of the number of inspections and the surprise checks conducted during the year 2000-2001 by the department are detailed below:

Number of Inspections	2,01,196
Number of Surprise Checks	24,410
Total	2,25,606
% of Inspections/ surprise checks vis-à-vis total establishments	54%

Further, the details as to the total number of cases booked during 2000-2001, the number of cases compounded and convicted are given in the table below:

Total No. of Ests.	No. of cases booked			Percentage of cases booked	No. of cases compounded	Compounding fee collected	No. of Convictions
	1985 Act	PC Rules	Total				
4,16,233	28,780	2,476	31,256	7%	30,817	78,92,617	745

Thus going by the figures furnished by the department, the number of offenders works out to only 7% of the total number of establishments and out of which 98% of the cases have been compounded by the authorities and the number of convictions is only 745 i.e. a fractional percentage of 0.17% against the total number of establishments in the State. Even going by the number of establishments inspected/surprise checked by the department, the percentage of convictions works out to only 0.33%. **Is it indicative of the fact that the traders in the State of Karnataka are very much law-abiding and that the number of offenders of the Standards of Weights and Measures Enactments in the State are very negligible? Or Is the Department of Legal Metrology effective at all to justify its existence?** Random checking in some establishments by the in-house team of Officers of the Commission during the field studies in Bijapur Taluk revealed that there were more number of Weights and Measures than the certified ones. A similar exercise done in Havagi, Kesarolli and Yogada Villages in Uttara Kannada District showed that most of the shops had more number of Weights and Measures than the verified and stamped ones. There were also complaints of licensed repairers of Weights and Measures charging more than the charges prescribed by the Department for the service rendered. All these factors are indicative of the enforcing authorities of the department, particularly at the lower level, not being effective.

The details of the number of Auto-rickshaw and Taxi Meters verified and Stamped by the department during the year 2000-2001 and the fees collected thereon are given below:

Total Number of Auto-rickshaw and Taxi Meters verified	1,00,546
Total of Verification and Stamping Fee collected	Rs. 16,02,471

As per the information furnished by the Transport Department, there were 1,51,373 Auto rickshaws alone in the State as up to the end of December 2000 and an average of 8000-10000 Auto-rickshaws are getting added every year. The Department of Legal Metrology although has covered 63 – 66% of this number in so far as Calibration, Verification and Stamping is concerned, yet there are complaints of Auto-rickshaws and Taxis overcharging by manipulating the Meters.

During the field studies in Gulbarga District it was found that as against 3963 Auto-rickshaws registered, only 950 were metered. The officers of the department of Legal Metrology stated that they had no authority to enforce installation of Fare Meters in Auto-rickshaws and that the Regional Transport Authority should do so. The situation being thus, it is imperative that these two departments should work in tandem to ensure that all the Auto-rickshaws have the calibrated, verified and stamped Fare Meters.

As per the provisions of the Karnataka Standards of Weights and Measures (Enforcement) Rules 1988 every fare meter has to be verified and stamped once in a period of twelve months. If the Meter is repaired before the due date, it has to be re-verified and stamped before it is fixed to auto-rickshaw or taxi. The Assistant Controller, Auto & Taxi Unit reportedly undertakes the calibration of new Auto-rickshaw and Taxi Fare Meters in the Dealer premises. The Inspectors of Auto & Taxi Unit undertake the annual recalibration of these Fare Meters in their respective Offices. The Fare Meters are calibrated to ensure that the said Meters register the fares according to the tariff fixed by the Transport authority within the permissible error prescribed under the Standards of Weights and Measures (General) Rules 1987. The maximum permissible error as prescribed under the said rules is 2%.

The department is said to have evolved a new method of sealing, which prevents the tampering of the Fare Meters. Earlier Lead seal and twisted Wire were used for sealing the Meters. The twisted wire was passed through the holes provided in the bolt heads used to fix the back cover of the fare Meter to its body and the ends of the twisted wire passed into the holes provided in the Lead seal and departmental Stamp was affixed on the Lead seal using a plug, thereby preventing the ends of the twisted wire to come out of the Lead seal. However the drivers used to enlarge the holes provided in the Lead seal using any sharp instrument and pulling out the ends of the twisted wire. After adjusting the meter they again would insert the ends of the twisted wire into the holes of the lead seal and press the lead seal to hold the wires intact.

This type of tampering of Fare Meters was noticed by the department at the time of inspections. A number of cases were reportedly filed by the department against the Auto-rickshaw drivers who resorted to tampering of the meters in this manner. In spite of intensive inspections and launching of prosecutions it was not possible to satisfactorily control the tampering of the Auto-rickshaw Fare Meters with the method of sealing prevalent at that time. Therefore, in order to improve the method of sealing the fare Meter after calibration/recalibration and making it tamper-proof, the department reportedly held discussions with the manufacturers of Fare Meters and evolved a new method. The Companies manufacturing the Auto-rickshaw and Taxi Fare Meters are M/s Super Meters Manufacturing Company, M/s Standard Meter Manufacturing Company, M/s Dighe Electronics, M/s Ashoka Manufacturing Company, all based at Pune in the State of Maharashtra and M/s Perfect Engineering Works manufacturing electronic Meters & M/s Pukar Technologies Limited both based at Bangalore.

This method aims at preventing the accessibility to the gears in the gearbox of the meter as well as in the meter by fixing the gearbox to the meter with the help of two bolts, which are fitted from inside the meter. After fixing the back cover to the meter using the bolts two cups were provided over these bolts diagonally opposite to each other with the internal diameter of the cups tapering upwards. After calibration of the meters the molten lead is poured into the cups and the stamp is affixed on the lead. Since the internal diameter of the cups is more at the bottom and less at the top, it is not possible to remove the lead without mutilating the seal affixed on the lead. The department is said to have adopted this method of sealing now. With this new method of sealing the instances of tampering of the meters is said to have come down drastically as noticed during inspections.

Although tampering of meters have reportedly come down drastically yet the drivers have found an ingenious method of making fare meters to show excess fare by replacing twenty teeth (20) gear provided in the Adopter with (18) eighteen teeth gear. This adopter is provided to connect the Fare Meter with the engine of the auto-rickshaw and also to reduce the number of revolution transmitted to the fare meter. The twenty teeth gear provided in the adopter exactly matches the constant 'K' of the meter with the co-efficient of the Auto. If eighteen (18) teeth gear is used instead of twenty (20) teeth gear in the adopter then the number of rotations transmitted to the fare meter is increased and the fare meter shows excess fare, even though the meter is not tampered with. To prevent the changing of the gear in the adopter, the department has proposed to seal the adopters also. For this purpose, the department is proposing to shift the Offices of the Inspectors of Legal Metrology to the respective Regional Transport Officer's Office and thereafter take up sealing of the Adopters. **Although this**

problem is predominantly confronted with by the urban commuters, more particularly in Bangalore City, yet the department should take all remedial steps as indicated above to ensure that they are not exploited by the drivers of auto-rickshaws and taxis through series of surprise checks and launching of prosecutions against the erring drivers in order to gain the goodwill of the people.

Next comes the Petrol/Diesel Pumps. There are complaints of under-delivery of Petrol/Diesel by tampering the Pumps thereby cheating the consumers. According to the provisions of the Karnataka Standards of Weights and Measures (Enforcement) Rules, 1988, the Petrol/Diesel Pumps are required to be calibrated at least once in a period of twelve months. If the pumps are repaired within the due date, they are again required to be calibrated and stamped before putting them to use. The Petrol/Diesel Pumps are calibrated to maintain the accuracy in the delivery of the product within the prescribed limits of error and such calibration is done in the premises of the Petrol Bunks. There are said to be 1039 Petrol/Diesel Pumps in the State. The Assistant Controller of Legal Metrology calibrates the Petrol/Diesel Pumps.

The present method of sealing of the petrol/diesel pumps is said to be tamper proof. Adjusting the metering unit provided in the pump can alter the delivery of the product from the petrol/diesel pump. The design of the metering unit in all the models of the pumps is identical except in the case of MIDCO Pumps. In the L&T Avery Pumps, securing all the cylinders of the metering unit using the twisted Wire and the Lead seal seals the metering unit. The Stamp is affixed on the Lead seal, which holds the two ends of the wire. In the case of MIDCO Pumps, the adjusting knob provided in the metering unit is secured by covering it with a metallic cup, which is fixed to the metallic plate and which in-turn is fixed to the metering unit. The sealing is done by inserting the twisted wire through the holes provided for this purpose in the bolt heads holding the plate and the cup. The stamp is affixed on the lead seal holding the ends of the twisted wire. The above method of sealing is reported to be tamper-proof and the adjustment in the delivery of the product is not possible without removing the seal. For a common man whether the pump is calibrated or not, it is stated by the Controller that he can examine the seals affixed on the metering unit of the petrol/ diesel pumps and he can also see the verification certificate issued by the department and that if he still has any doubt about the delivery of the product, he can check the delivery using the verified five-litre measure, which is kept in the petrol bunks. But how far this is going to be allowed by the owners of the Petrol Bunks is a moot question. **There are several instances where the Petrol/Diesel Delivery Boys, let alone the owner of the Petrol Bunk, have behaved very rudely with the consumer when he tried to assert his right for correct measurement. There are also instances where although the rate of outflow of Petrol/Diesel is the same, yet the Meter will be running at varying speeds giving an impression that the delivery-boy could manipulate it at the delivery end. This aspect needs to be properly explained to the Consumers as to whether it can really be done like that and if so how do they do it? Besides, during the Awareness Programmes and through mass media, the Controller should inform the consumer to complain against such petrol bunk owners so that stringent action against them could be taken.**

The Controller should therefore gear up his enforcing machinery to address these issues and take remedial steps.

Since the Transport Department is concerned with issue of Licenses to the Drivers, Registration of new Transport vehicles, issue of Fitness Certificate to the existing Transport Vehicles etc., it would be appropriate if the responsibility of ensuring installation of Fare Meters in the Autorikshaw and Taxis and Calibration, Verification and Stamping of these Meters is entrusted to that Department only so that the Department of Legal Metrology could concentrate more on its other duties and responsibilities. The Transport Department may utilize the services of the Inspectors of Legal Metrology for this purpose by taking them on deputation basis or any other convenient method.

The Controller should also establish close liaison at all levels with other departments like the Commercial Taxes Department which registers the trading, industrial and other commercial establishments; the Labour Department which registers the manufacturing establishments; as also the Industries and Commerce Department and Transport Department as functions of all these departments are **complementary** to each other.

The Department of Legal Metrology is maintaining 14 sets of Secondary Standards of Weights and Measures at Bangalore Central Laboratory, Mysore, Mangalore, Hassan, Shimoga, Karwar, Belgaum, Hubli, Bijapur, Gulbarga, Raichur, Bellary, Chitradurga and Kolar respectively for the purpose of verification and stamping of Workings Standards which is done once a year under the provisions of the Karnataka Standards of Weights and Measures (Enforcement) Rules, 1988.

A set of Working Standards of Weights and Measures consists of the following: -

1. Working Standard weights of the denomination 1 mg to 20 kgs.
2. Working Standard Capacity Measures of the capacity 20 ml to 10 liters.
3. Working Standard Length Measure.
4. Working Standard balances of the capacities of 2gm, 200 gm., 5 kg and 50 kg.
5. Working Standard Pipette Measures of the capacity 10 ml-1, 5ml-2.

The Secondary Standards so maintained are verified once in two years with reference to the Reference Standards maintained by Government of India in its Regional Reference Standards Laboratory located at Jakkur in Bangalore to be in consonance with the National Standards. This Laboratory caters to the needs of the four Southern States in regard to verification of the Secondary Standards maintained by these States. **In order that the traders in the State have the facility of having their Weights, Measures, Weighing and Measuring Instruments verified/calibrated in the proximity of the place of their business and also to ensure that they get it done regularly without fail, it may be necessary to establish more and more Centres having Secondary Standards in a phased manner covering all the districts in the State.** The details as to the meaning and definition of 'Reference Standards', 'Secondary Standards' and 'Working Standards', 'Calibration', 'Verification' & 'Stamping' are given in **Annexure -VIII**.

The Department is said to have recently established a Tank Lorry Calibration Unit, the first of its kind in the Country, in the premises of the Central Laboratory at Bangalore. This has been done with a view to achieve accuracy in the measure of the fuel like Petrol, Diesel, Kerosene, Spirit, Furnace Oil etc. through standardization and calibration of Tank Lorries transporting these fuels. A Tank Lorry Calibration Unit

is a fixed Unit and consists of a 1000 Litre overhead Measure which is mounted on a rigid framework, an underground water sump, a overhead water tank, a 3 H.P. Water Pump and concrete Platform for parking the Tank Lorry. The cost of this Unit is around Rs. 4 lakhs.

A tank lorry is a capacity measure, which delivers a fixed quantity of petroleum products. It will generally have 3 compartments, each having a capacity of 4000 liters. The quantity of the product in each compartment is measured using a square metal bar of brass or aluminum, which is known as the dip-rod.

Placing the tank lorry on the levelled platform does the calibration of the tank lorry. Each compartment of the vehicle is filled with water using the overhead measure up to the marked capacity of the compartment. The dip-rod is inserted in to each compartment through a dip-pipe, which is vertically fixed to the compartment, and a line is cut on the dip-rod at the point where the surface of water touches the dip-rod. Each face of the dip-rod is used for marking the capacity of each compartment. While filling the tank lorry at the petroleum depot, each compartment of the tank lorry is filled up to the marked level of the dip-rod. While delivering the products at the petrol bunks the level of the product in each compartment is again checked using the dip-rod. If the level of the product in each compartment is exactly equal to the dip level mark on the dip-rod, then the petrol bunks take the delivery of product.

As per section 22 of the Standards of Weights and Measures (Enforcement) Act 1985 the tank lorry is required to be calibrated at least once in a period of 12 months. Failure to produce the tank lorry for calibration will attract the penal provisions as provided under the section 45 of the said Act. If the tank lorry is used without calibration, the owners of the tank lorry would be punished with imprisonment for a term which may extend to six months or with fine which may extend to one thousand rupees or with both, and for the second or subsequent offence, with imprisonment for a term which may extend to one year and also with fine.

It may be pertinent to state here that **the Karnataka State Road Transport Corporation is the largest consumer of Diesel in the State and as such to ensure that the measure of Diesel supplied to it is accurate, the Corporation could think of establishing Tank Lorry Calibration Units in each of its Divisions. Similarly, the Karnataka Co-operative Milk Producers' Federation (KMF) can also procure and install a Tank Lorry Calibration Unit in its premises for accurate measurement of milk it procures and supplies to the consumers.**

Since the Tank Lorry operators are required to have their lorry tanks calibrated once in every twelve months in accordance with the provisions of the Karnataka Standards of Weights and Measures (Enforcement) Rules, 1988 and that it may be difficult and highly inconvenient for them to all the way come to Bangalore for the said purpose and that the said reason may also become an excuse for them to delay or avoid periodical calibration of their lorry tanks, it is perhaps necessary for the Department to establishment more number of Tank Lorry Calibration Units in the State. The Controller has already proposed to the Government to establish more Tank Lorry Calibration Units and locate them at Mysore, Mangalore, Shimoga, Belgaum, Hubli, Raichur and Gulbarga. Government may consider according necessary approval in this regard keeping in view the rationale contained therein.

Once a year. Special Camps are organized by the Department of Legal Metrology in the respective jurisdictions for the purpose of verification of Weights, Measures, Weighing and Measuring Instruments of traders and others concerned who have to bring such items to the said Camps and get them stamped and revalidated. During field studies in Uttara Kannada District, it was noticed that the traders are informed about these Camps through despatch of post cards, by handbills and public announcements.

Much of the time of the enforcing authorities is utilized for the above exercise owing to the enormity of the trading/commercial establishments, which have grown manifold over the years while the Department is still using the traditional Working Standard Balances for verification of Commercial Weights. Having regard to this position, the Central Government has incorporated the specifications of the Electronic Working Standard Balances in the Standards of Weights and Measures (General) Rules, 1987 by Notification No. GSR 27(E) dt. 22.1.1997. Taking cue from this, the Controller of Legal Metrology reportedly has requested for providing the Department Electronic Working Standard Balances the use of which would not only save much of the time of the officers and enable them to concentrate more on inspections. Government may therefore consider the proposal favourably having regard to the advantages explained.

WORKLOAD AND ACCOUNTABILITY:

The department of Legal Metrology is a service-oriented department in that it enforces the provisions of various enactments and the rules issued thereunder in regard to accurate weightment and measurement of commodities and takes penal action against the erring traders as contemplated in the said enactments and rules. In other words, the main objective of this Department is to sub-serve the interest of the consumer in protecting him from unscrupulous traders. In this backdrop, each enforcing authority has to have a definite target to achieve in this regard in order that the department functions more effectively and earn the goodwill of the consumers. This was found to be absent during the functional review of the Department. That is to say that the Controller as not fixed any annual target for each of the enforcing Officers of the Department as a result of which accountability factor is also absent. The Officers of the Department Viz. the Deputy Controllers, the Assistant Controllers and the Inspectors, going by the very nature of their duties and responsibilities have to visit wholesale and retail trading establishments and industrial establishments for the purpose of verification and calibration of Weights or Measures and various Weighing and M Measuring equipments. Besides, they are also to calibrate Tank Lorries, Weigh Bridges, check & calibrate the Meters in Petrol Pumps, Auto-rickshaws and Taxis. More particularly, the establishments trading in Cement, Steel, packaged consumables where there is scope for cheating the Consumers on a large-scale.

Therefore the Controller should undertake an exercise to fix measurable key parameters for performance both in terms of quality and quantity across all grades of officers and staff to ensure their accountability. The quantity for the purpose of fixing the target for each of the enforcing functionary could be the number of establishments falling within his powers and jurisdiction that have to be covered per annum for the purpose of calibration and/or verification& stamping as the case may be. The parameter of quality could be the number of inspections and surprise checks, the number of cases booked against the erring traders and the number of cases ending

in convictions as also the number of awareness programmes organised. To ensure that the enforcing functionaries do their job more effectively, **the Controller should undertake inspection tours more frequently to supervise and monitor the work of his subordinates i.e. to conduct 'enforcement audit' for the purpose of assessing their performance. In order to make this mechanism a continuing one, he could also constitute what could be known as a 'Vigilance Squad' comprising of 1 Dy. Controller, 1 Assistant Controller, 1 Inspector and an FDA.** This Squad could undertake tours on regular basis and give feedback to the Controller as to the performance of his subordinates at the field level.

NEED FOR MAKING THE ACTS AND RULES MORE STRINGENT:

The Controller of Legal Metrology has felt that the department could work more effectively if the penal provision in the enactments and rules it is enforcing is made more stringent. Therefore there is an urgent need to make the penal provisions in the enactments and Rules relating to Standards of Weights and Measures more stringent in order to discipline the erring traders. The Controller is said to have sent a proposal to Government for recommending to Government of India to bring about necessary amendments in this regard by upwardly revising the maximum penalties so that such penalties only serve as a deterrent. Having regard to this, Government in Food and Civil Supplies Department may follow up the matter with the concerned Ministry in the Government of India to its end.

OUTSOURCING:

The functional study revealed that areas like office security, maintenance of buildings Cleaning and gardening could be outsourced.

TRANSPARENCY:

Transparency could be brought about by making the consumers aware of the provisions of the Enactments and Rules relating to the Standards of Weights and Measures, educating them as to the method and procedure by which verification of Weights and Measures is done and also to enlightened them as to how they are cheated by the traders.

TRAINING REQUIREMENTS:

At the time of their entry into service, the Inspectors and the Assistant Controllers of Legal Metrology are given basic training in Weights and Measures of four months duration at the Indian Institute of Legal Metrology, Ranchi, Bihar State. They are also deputed for refresher training programmes of shorter duration in this Institute from time to time to get themselves acquainted with the latest development and technology in connection with verification of Weights, Measures, Weighing and Measuring Instruments of different categories.

As part of the process of modernization of Government Offices and to bring about reforms in administration, Government, as a matter of policy, has decided to introduce Management Information System in all Government Departments. In view of this, it is necessary that each enforcing functionary in the department of Legal Metrology is

trained in Computers to make him relevant and suitable to the changed environment. Besides, they should also be trained to handle the latest electronic Weighing and Measuring Instruments for effective verification and certification.

INTRODUCTION OF MANAGEMENT INFORMATION SYSTEM:

Although there is good potential in the department for introduction of the Management Information System, the department is not fully geared up for its introduction. The main activities of the department pertaining to registration of the trading, commercial and industrial establishments, various enactments and the Rules issued thereunder, number of cases booked, compounded, convicted, important case laws, staff details, dossiers of all officers, performance records, etc could be computerized.

MERGER OF CERTAIN ENACTMENTS:

The Department of Legal Metrology is mainly enforcing the following enactments made by the Central Government:

- (1) The Standards of Weights and Measures Act 1976.
- (2) The Standards of Weights and Measures (Enforcement) Act 1985.
- (3) The Standards of Weights and Measures (General) Rules 1987.
- (4) The Standards of Weights and Measures (Packaged Commodities) Rules 1977.
- (5) The Standards of Weights and Measures (Inter State Verification & Stamping) Rules 1987.

In addition to the above enactments, the Department is enforcing the Karnataka Standards of Weights and Measures Rules 1988, which is framed by the State Government.

The Standards of Weights and Measures Act 1976 prescribes the units of Standards of Weights and Measures and also regulates the inter-state transactions relating to weights, measures, weighing and measuring instruments and packaged commodities.

The Standards of Weights and Measures (Enforcement) Act 1985 regulates the intra-state transactions relating to weights, measures, weighing and measuring instruments and the packaged commodities.

The Standards of Weights and Measures (General) Rules 1987 prescribes the specifications, method of calibration and the tolerance of various types of weights, measures, weighing and measuring instruments.

The Standards of Weights and Measures (Packaged Commodities) Rules 1977 prescribes the mandatory declarations required to be made on any commodity in the packaged form, the manner of declaration of these mandatory declaration, the method of net content checking of Packaged Commodities at the manufacturer as well as retailer premises and the tolerance fixed for various commodities in packaged form.

The Karnataka Standards of Weights and Measures (Enforcement) rules 1988 prescribes the period of verification, the verification fees, the licensing fees, the procedure to be followed for undertaking the verification, the forms and certificates to be issued by the Department etc.

As the subjects covered by the above enactments are different in nature, it is found to be not possible to merge any of the above enactments.

RATIONALISATION OF HIERARCHICAL STRUCTURE:

The Administrative Reforms Commission in its Interim Report submitted to Government, had recommended abolishing all divisional level posts wherever they exist. On the basis of this recommendation, Government has taken a decision to abolish all divisional level posts. In this backdrop, the divisional level offices of the department of Legal Metrology should be abolished to be in tune with the above decision of Government and the Deputy Controllers of Legal Metrology heading these offices should be re-deployed to important districts where there is larger concentration of commercial, trading and industrial establishments. In other words, the Deputy Controllers of Legal Metrology presently holding the divisional level offices at the four divisional headquarters viz. Mysore, Bangalore, Belgaum and Gulbarga may be posted to the respective district offices. As of now, there is already a Deputy Controller of Legal Metrology heading the Bangalore District Division, which comprises of Bangalore Urban and Rural Districts put together. His jurisdiction may now be restricted to Bangalore Agglomeration area only and the Deputy Controller of Legal Metrology, Bangalore Division may be assigned the remaining areas both in Urban and Rural Districts of Bangalore.

As a consequence of the above exercise, 4 posts of the Assistant Controllers of Legal Metrology, 1 post of First Division Assistant, 4 posts of Second Division Assistants, 4 posts of Typists and 4 posts of Peons are going to be rendered surplus. However, going by the number of vacancies existing in the department in these cadres, these surplus officials could be adjusted in these vacancies except two Assistant Controllers of Legal Metrology who have to be declared as surplus. The 44 vacancies, which still remain in the department, may be abolished. A detailed statement in this regard is placed at **Annexure - IX**.

RECOMMENDATIONS:-

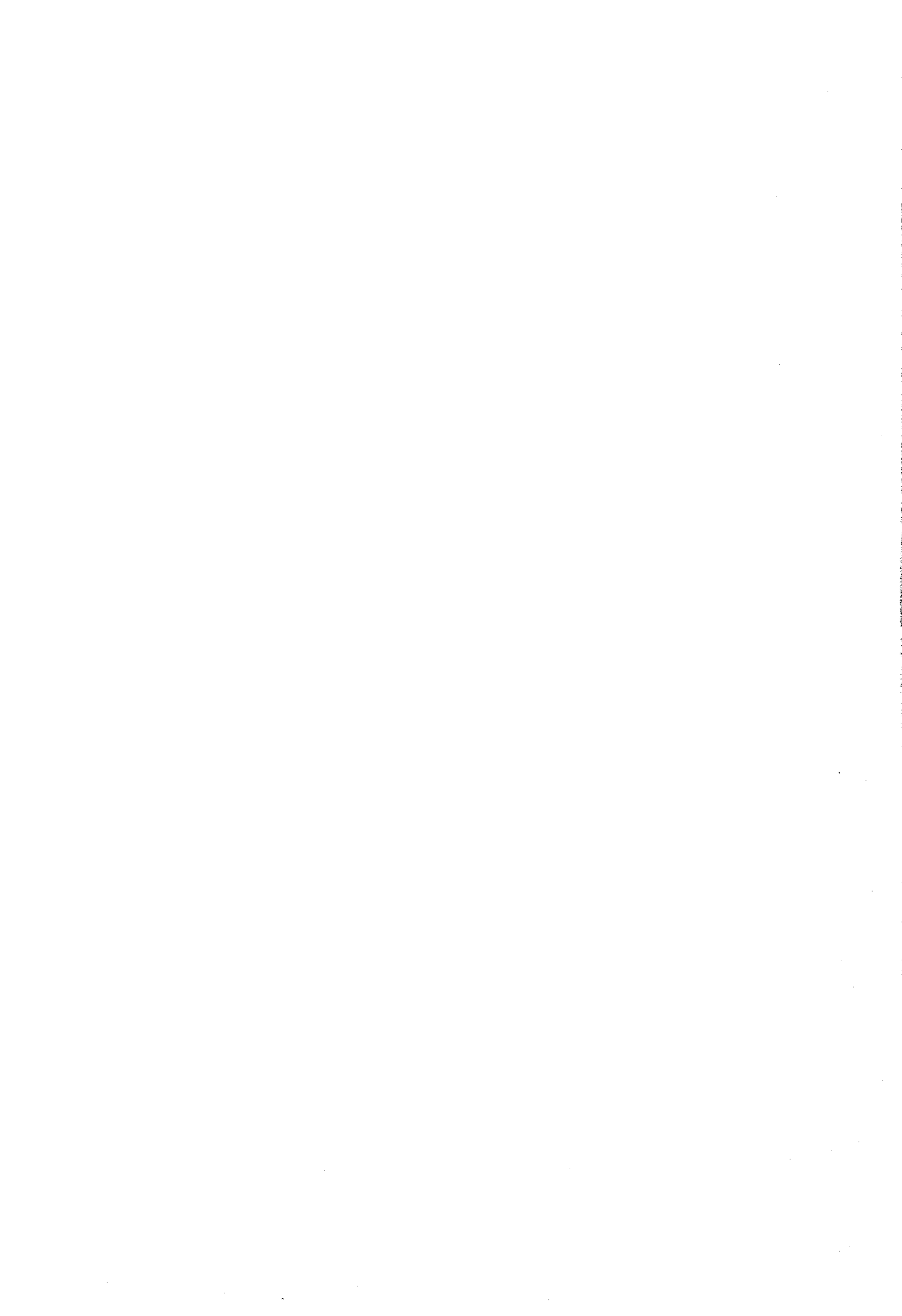
- The Controller should fix measurable key parameters for performance both in terms of quality and quantity across all grades of officers and staff to ensure their accountability.
- The existing Flying Squads should either be strengthened or more such Squads constituted for increased number of surprise checks to bring the erring traders to book. At the same time, number of inspections by the enforcing authorities should also be increased substantially to keep sufficient vigil on the unscrupulous traders.
- The role and functions of the department should be given wide publicity using the mass media like the Television and the Radio and at the same time more and more Consumer Awareness Programmes have to be organized across the State by involving the Consumer Organisations to create awareness among the consumers to be vigilant against being cheated by unscrupulous traders in their transactions of daily needs.
- The responsibility of installation, calibration, verification and stamping of Auto-rickshaw and Taxi Meters could be entrusted to the Transport Department and the services of the officers of legal metrology could be lent to that department.

- The department of Legal Metrology should establish close liaison with Transport, Labour, Commercial Taxes and Industries & Commerce Departments respectively for the purpose of collecting and updating data relating to trading, commercial and industrial establishments.
- The divisional level offices of the department of Legal Metrology should be abolished to be in tune with the recent decision of Government and the Officers heading these offices should be redeployed to important districts Viz. Mysore, Belgaum, Gulbarga and Bangalore respectively where there is larger concentration of establishments. The jurisdiction of the Deputy Controller of Legal Metrology presently heading the Division comprising of the Bangalore Rural and Urban Districts put together may be restricted to the Bangalore City Agglomeration area and the remaining areas both in Bangalore Rural and Urban Districts may be allocated to the Deputy Controller of Legal Metrology presently heading the Bangalore Division. As a consequence of this action, the powers under the provisions of various enactments relating to enforcement of the Standards of Weights and Measures and the Rules issued there under hitherto exercised by the divisional level officers i.e. the Deputy Controllers of Legal Metrology be delegated to all the district level officers and the administrative powers be vested with Controller of Legal Metrology. The officials rendered surplus i.e. 4 Assistant Controllers of Legal Metrology, 1 F.D.A, 4

S.D.As., 4 Typists and 4 Peons may be redeployed against the available vacant posts and 2 posts of Assistant Controllers of Legal Metrology declared as surplus. The 44 vacancies that remain in the department thereafter may be abolished.



FOREST DEPARTMENT



Acknowledgements

The study team from IIMB places on record the cooperation that it received from officers and staff of Karnataka Forest Department. In the course of the field visits, officials of Karnataka Forest Department were generous with hospitality and also spent ample time with the study team in giving information and sharing problems and concerns. The study team also acknowledges the help received from members and office bearers of Staff Associations of Karnataka Forest Department who gave their representation to the study team.

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List of Abbreviations

ACF	Assistant Conservator of Forest
CCF	Chief Conservator of Forests
CF	Conservator of Forest
CITES	International Commission on Threatened and Endangered Species
CR	Confidential Report
DCF	Deputy Conservator of Forest
DPAP	Drought Prone Area Programme
DWDO	District Watershed Development Organisation
EAS	Employment Assurance Scheme
EWRT	Evaluation, Working plans, Research & Training
FIR	First Information Report
FORTI	Forest Research and Training Institute
GOI	Government of India
GOK	Government of Karnataka
HQ	Headquarters
HRD	Human Resources Development
IIFM	Indian Institute of Forest Management
IFS	Indian Forest Service
IIMB	Indian Institute of Management Bangalore
ISRO	Indian Space Research organisation
JBIC	Japan Bank for International Cooperation
JFPM	Joint Forest Planning and Management
KARC	Karnataka Administrative Reform Commission
KFD	Karnataka Forest Department
KFDC	Karnataka Forest Development Corporation
KFIC	Karnataka Forest Industries Corporation
KFS	Karnataka Forest Service
KRSRUTC	Karantaka State Remote Sensing Utilisation and Training Centre
MMR	Monthly monitoring and Review
MPM	Mysore Paper Mills
MR	Muster Roll
NGO	Non-Government Organisation
NRSA	National remote Sensing Agency
OECD	Overseas Economic Cooperation Fund
PCCF	Principal Chief Conservator of Forests
PCP	Petty Cash Payment
PRA	Participatory Rapid Appraisal
PRI	Panchayath Raj Institutions
PWD	Public Works Department
RFO	Range Forest Officer
UK	Uttara Kannada
VFC	Village Forest Committee
WGFP	Western Ghats Forestry Project
ZP	Zilla Parishad

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INTRODUCTION

1.1 Why the study, who has sponsored it, who is involved in it.

The Government of Karnataka has resolved to take concrete steps to enhance transparency and accountability in Government operations and streamline administrative procedures for dealing with citizens.

Karnataka Administrative Reforms Commission (KARC) requisitioned services of Indian Institute Of Management Bangalore (IIMB) to conduct functional review of Karnataka Forest Department (KFD).

1.2 Objectives of the study

- To examine the planning and decision making process in the light of current objectives of KFD.
- To examine organisational capabilities of KFD to meet current problems and emerging challenges.
- To examine HRD policies and their implications for making KFD a responsive organisation.
- To highlight the concerns of field level staff of KFD by examining their working conditions.

1.3 Scope of the Study:

The scope of the study includes

a) Detailed analysis

- Of the structure, functions, cadres and manpower at different levels in KFD.
- The linkages of the main line department with other statutory bodies such as KFDC, KFIC and
- Programs and schemes are analysed for better functioning of the main line department.

b) Policy level discussions regarding

- Organisation structure and functions of various schemes, programs, decentralization, people participation at different levels in the hierarchy of KFD.
- With special focus on (1) conformity to set objectives, (2) shortfall in achieving targets and the risks thereof and (3) workload of officers at different levels and constraints faced by them.

The term of reference for this study indicated that the functional review of the Forest Department should cover three taluks of each of the five districts. The taluks were identified on the basis of lowest level of female literacy, distance from district

headquarters, and district-headquarter taluka. The selection of villages within each of these taluks was left to the study team. The districts, the taluks and the basis for selection are as indicated below:

District	Taluks	Basis of Selection
Uttara Kannada	Karwar Haliyal Bhatkal	District Head Quarter Taluk Lowest level of Female Literacy Farthest from District Head Quarter
Chickmangalur	Chickmangalur Koppa	District Head Quarter Taluk Lowest level of Female Literacy
Gulbarga	Gulbarga Yadgir Shorapur	District Head Quarter Taluk Lowest level of Female Literacy Farthest from District Head Quarter
Kolar	Kolar Mulbagil Bagepalli	District Head Quarter Taluk Lowest level of Female Literacy Farthest from District Head Quarter
Chamarajnarag	Chamarajanagar Kollegal Gundlupet	District Head Quarter Taluk Lowest level of Female Literacy Farthest from District Head Quarter

1.4 Methodology

Methodology for this study included desk research, consulting research papers and reports on the forestry sector, interviews and meetings. Field visits to cover perspectives from the head office, circle and field level staff, VFCs, NGOs, beneficiary groups, were conducted. The schedule for interviews and the persons that the study team met are indicated in Annexure.1.

The interviews, the papers and visits gave the team an extensive amount of information about the problems of the Karnataka Forest Department and the constraints under which they are working, all of which have not been reported here. The report attempts to draw conclusions around issues and individual perceptions have not been highlighted. The study team has tried to sift fact from opinion as far as possible. All interviews were prefaced by an explanation that the data provided by the interviewees would be kept strictly confidential and individual identities would not be disclosed.

The team presented its preliminary conclusions on 1st October 2001 at Bangalore. The comments received from those present have been used in modifying and finalising its recommendations. We hope this functional review serves the purpose of not only KARC and KFD but also others engaged in forestry sector reform in India and public sector reform in general.

1.5 Expected outputs

The Government of Karnataka has resolved to take concrete steps to improve the efficiency and economy at all levels, enhance transparency in government operations in dealing with citizens and streamline administrative procedures for improving accountability. The Karnataka Administrative Reforms Commission proposed to undertake a functional review of major departments of the Government. The review was to be done in the overall context of its recommendations for promoting good governance, effective and responsive administration, reform in civil services based on a detailed review of the concerned departments. The present study is not an intensive research project, but a systematic review of the functioning of the KFD on policy making and operational levels, based on certain parameters and concerns for good governance. As specified in the terms of reference, the key deliverables for the study were defined as recommendations on:

1. Restructuring/reorganisation/merger of departments to improve efficiency and mechanisms for service delivery.
2. Right sizing of the department, redeployment of staff, abolition of surplus posts and retaining posts with specific reference to all cadres and levels in the department.
3. Activities to be outsourced or privatised
4. Devolution of power to local bodies
5. Improving systems for greater accountability and transparency in the functioning of the department.

1.6 Brief outline of Forest Department

1.6.1 History of Karnataka Forest Department

The Karnataka Forest Department is one of the oldest government departments in this State and has been functioning since 1885. The Department is managing 38 lakhs hectares of forest area with multiple objectives such as protection and conservation of forest resources, maximizing the productivity of the forest, increasing the access and benefits to local people for meeting their livelihood needs. The Karnataka Forest Department has around 15,000 permanent staff and 4500 daily wage employees (MRES). The main activities of the forest department are: protection and management of the forests, logging work, afforestation of degraded forests and waste land and

providing various kinds of services to the local people. The work done by Karnataka Forest Department can be classified into four broad categories based on the nature of functions performed. These are:

- Territorial work
- Wild life protected area
- Social forestry, and
- Working plan and research.

Some of the major activities of the department are:

1. The protection and conservation of forests from various types of pressures is one of the main functions of KFD. Activities include, fire protection, boundary management and encroachment prevention, prevention of illicit felling of timber and firewood indiscriminate harvest of minor forest produce and prevention of poaching of wild animals.
2. The production function is aimed at increasing the productivity of the forest. Activities undertaken include thinning, pruning, soil and water conservation work, gap planting and re-generation works. Timber and firewood logging, harvesting of NTFP, bamboo and cane harvesting, seed collection are other important activities.
3. Afforestation work is a key activity of the KFD. Annually 50000 – 90000 hectares of afforestation work is done in the department. KFD also supports farm forestry and other types of planting programs by providing seedlings at concessional rates.
4. KFD generates revenue by harvesting of dead and fallen timber, sale of NTF products etc. Annually the department earns a revenue of 100 crores. Timber is also harvested and sold in the open auction to the public and to the timber traders.
5. The KFD grows and supplies various types of agro-forestry species to the farmers individually and to various institutions for raising trees. KFD annually supplies 60-70 million seedlings to encourage tree planting on private lands.
6. KFD provides services to the public like running forest guesthouses in national parks and sanctuaries by organising nature camps and trekking visits to school children and undertakes several educational programs to create awareness amongst public about nature and forests.

1.6.2 Importance of forests in Karnataka

Karnataka State has a geographical area of 19.2 million hectares of which 3.82 million hectares (19.96%) is under the control of the forest department. Of the total geographical area in Karnataka, only 11% is well wooded. The remaining is under different stages of degradation. Among the 27 districts in Karnataka, Uttara Kannada stands first with a record area under forests which amounts to 8,29,156 hectares i.e. 81% of the geographical area in Uttara Kannada district comes under forest cover. About 75% of the geographical area in Karnataka is under reserve forests and 28% of the total area is unwooded.

Over the years there has been a considerable loss of forest cover in the state. The extent of forest loss varies from 13% to 53%. The loss in few districts in the Western Ghats region is mostly due to extension of cultivation and coffee plantations and to some extent due to submergence under reservoirs.

Though Karnataka has been endowed with particularly rich forest cover, Karnataka's post-independence record to preserve them has hardly been encouraging. Forests have declined significantly, particularly in quality, and regeneration efforts have had only a marginal impact in addressing the problems. Hence adequate and effective efforts are to be made in order to conserve our rich forests.

1.6.3 Land use and forest cover in Karnataka

Agriculture constitutes the major use of land in Karnataka. Taking together, net sown area and fallow accounted for 59.1% of total geographical area in 1958-59 and 56.9% in 1995-96 in Karnataka. Though the proportion of land under agriculture has declined slightly, in Karnataka it still remains larger than the rest of the country. The proportion of land under forests as per legal status (not necessarily under actual tree cover) increased in the state from 14.4% to 16.1%. This is in contrast to the rest of the country where as per legal status it went up from 17.9% to 22.4% during the same period. Thus, in spite of Western Ghats, the area under forests is lower than the country's average.

Permanent pastures, cultivable wastes and other fallow lands taken together constitute common property resources used for grazing. The proportion of state lands declined from 15.4% in 1958-59 to 14.5% in 1995-96 in Karnataka. The role of common property resources as a source of fodder has been declining over the years and the role of fodder raised in private holdings has been increasing. With population increase and economic development, prices of livestock products have increased significantly over the years to make such a shift affordable to farmers. However, it has effected landless labour and marginal farmers who have limited or no land of their own as a source of fodder. Irrespective of trends, common property resources appear to have declined in quantity, quality and productivity.

The forest cover in Karnataka has also declined over a period of time. This is quite apart from the fact that even unencroached lands legally under the forest department, have lost tree cover due to unauthorized cutting and exploitation by people around the forests. The official land use data on forests does not really represent the physical condition of lands. In Uttara Kannada district for example, forest land submerged under reservoirs or leased out for cultivation totaling over 1000 square kilometers was still reported as forest land in land use statistics. On the other hand, in Shimoga, Chickmangalur and Dakshina Kannada, these statistics underestimate the extent of forest cover. This is because significant fractions of physically forested land are under the jurisdiction of the revenue department. In official statistics only land under the forest department is accounted for as forestland irrespective of its physical condition. This has been a source of major problems in Chickmagalur and Chamrajnagar districts.

The most recent and reliable estimate of forest cover – natural and artificial, dense and open – in Karnataka as a whole comes to 13 – 14 % of the state's geographical area (NRSA 1983). The forest cover estimated by NRSA in India as a whole is also 14%. The district wise distribution is not precisely known but the districts with greatest proportion of forest cover are Uttara Kannada (70%), Dakshina Kannada (60%), Shimoga (40%) , Chickmagalur (35%), Kodagu (35%), and Mysore (30%). Over the years, there has been a considerable loss of forest cover in the State. Taking a long period 1920-1990 in five Western Ghats district, (Menon and Bawa 1998¹) concluded that the extent of forest loss varied from 13 – 53% mostly due to cultivation and coffee plantations and very little due to submergence under reservoirs. The largest loss of forests seems to be in Chickmagalur and Kodagu districts where coffee plantations now dominate.

¹Menon.S and K.S. Bawa, 1998; 'Land cover change in Western Ghats:1920-9-' Department of Biology, University of Massachusetts.

Estimates of loss of forests in the state as a whole are available from official sources for the period 1956-1981 and from 1981 – 1989. In both periods extension of cultivation has accounted for the largest share among all factors accounting for almost 2/3rd during the latter period and development projects accounting for 1/3rd of the loss. These figures however are over estimated to an extent because it does not account for increase in forest area as a consequence of afforestation.

Forest degradation has adversely affected the availability of fuel wood and small timber to local communities depending on them in certain areas. The ban on green felling has reduced the official supply of commercial fuel wood and timber. Certain species like bamboo had depleted significantly even before the ban on green felling (around 1983) as the then system offered bamboo to paper mills at a nominal price and there was no incentive for regeneration.

Till mid 80s afforestation was mainly oriented towards meeting commercial species like timber, softwood and fuel wood. Even under social forestry phase from 1983-1992, the focus on this species was not changed. In many cases social forestry cultivation reduced the availability of grazing land to villagers who had to be content with lops and tops.

1.6.4 Historical Context of Forest Service

Forestry in India has been closely linked with the day-to-day life of the people right through ages. Despite invasions and foreign rule, forests remained generally in a good shape and were sufficient to sustain the demands up to a point of time.

Till about the end of the 18th century the Indian State treated forests as open access resource. The enactment of the forest act in 1865 facilitated the acquisition of forests by the State. The Forest Act of 1878 expanded the powers of the State by providing for reserve forests which were closed to the people and empowered the forest administration to impose penalties for any transgression of the act. The forest policy statement of 1894 further consolidated the position of the state by enabling it to forcibly take over forests including traditional and community forests. The Forest Act of 1927 provided further teeth to these provisions and specifically denied people any rights over forest produce "simply because they were domiciled there".

Even after independence, realization of maximum revenue from forests was considered a vital national need and the relevance of forests to meet the needs of defense, reconstruction schemes such as river valley projects, development of industries and communication was asserted by the national forest policy of 1952. The state subsidized the industrial consumers of forest products in the name of national interest. As a consequence it encouraged commercial interests to not only maximize the exploitation of forest resources but also pay little attention to avoiding waste and thereby lead to their fast depletion and degradation. This policy also had the effect of alienating people who are traditionally involved in protecting the forests sometimes to the extent that they have turned hostile to the cause of conservation and joined hands with forces destroying the forests.

The almost negligible efforts made to improve the availability of fuel wood and fodder to forest dwellers intensified social conflicts and increased pressures on the State

for reorientation of policies. This led to the adoption of a massive social forestry program towards the end of 1970s. By 1988, nearly Rs. 60 million had been spent on it and the program failed to make a significant dent on the worsening fuel wood and fodder crisis in India. As the shortcomings of the social forestry program came to the forefront, there were increasing pressures to involve people in the protection and management of forest resources

1.6.5 Specific need based forests

In addressing specific and exclusive development needs, a variety of corporations were set up. They are KFDC, KFIC, etc.

1.6.5.1 Karnataka Forest Development Corporation (KFDC)

KFDC was established to meet the exclusive demand of pulpwood for MPM at Bhadravathi. Later on, with the establishment of Harihar Polyfibres, at Harihar, KFD had an additional commitment of supplying pulpwood.

The demand for bamboo by MPM was met by removing the stock in the natural forest. However, after a while as a result of technological advancement in the manufacturing process, eucalyptus was also supplied from exclusive plantations. Similar plantations of eucalyptus were established to meet the demand of Harihar Polyfibres. To meet the demand forestland was leased to KFDC to raise the plantations. Initially, KFDC supplied eucalyptus at a very nominal price. In 1997-98 it was revised to market price which pushed this corporation into a financial loss.

The staffing pattern in this corporation is also on the lines of KFD. All the cadres in KFD have been replicated in KFDC. However, as the activities at the field level are restricted to planting and logging, KFDC is saddled with huge staff strength of 1150.

The viability of KFDC as a corporation is linked with the offtake from MPM. With MPM incurring huge losses, KFDC has also been affected. In fact, at the time of visit, salary for nearly six months was due to staff in KFDC.

As most of the plantations of KFDC are located in the midst of territorial range, the watch and ward staff find it difficult to keep a strict watch. Consequently, even the safety of forest within the territorial range is endangered. Forest guards of the territorial range find it difficult to book those who cause damage to the forest.

1.6.5.2 Karnataka Forest Industries Corporation (KFIC)

KFIC's objective is to act as a commercial entity and add value to forest products. It also caters to the demand for fuel wood in the urban areas.

With ban on selection, felling and extraction of old and mature trees from the natural forests, KFIC is totally dependent on collection of dead and fallen trees from the forest. Consequently, the supply is restricted.

KFIC faces competition from the co-operative societies of labourers involved in felling and extraction. KFIC has to share work with these co-operatives. Incidentally, more than 50 per cent of activities of this corporation is in Uttara Kannada district. It is in this district that KFIC faces tough competition from these co-operatives.

KFIC owns 9 saw mills. With ban on logging and clear felling, these units are of not much use and they are under loss. The study team feels that these units can be disposed off.

1.6.5.3 Jungle Lodges and Resorts

When the demand for Eco-tourism is replacing normal tourism, Government of Karnataka initiated a new corporation called jungle lodges and Resorts. In five places, jungle lodges are built and tourists are attracted. All jungle lodges function under the control of Karnataka Tourism Department.

1.7 Schemes

The two kinds of schemes handled by KFD are state sector schemes and central sector schemes. This classification is based on the sources of funds.

There were 18 state sector schemes prior to 2001-2002. In the year 2001-2002, six schemes having less than rupees ten lakhs as annual budget were merged into one scheme and one scheme has been discontinued. Consequently, there are 11 schemes being operated with funds from the state. The total outlay of all the schemes is Rs.4985 lakhs, out of which, Rs.3312.31 lakhs has been spent.

There are only four central sector schemes with a budget outlay of Rs.3, 087.35 lakhs, out of which only, Rs.2959.69 has been spent.

Of the eleven schemes under state sector, six schemes have an outlay of less than Rs.10 lakhs. The scheme for supporting Village Forest Committees has an outlay of Rs.2 lakhs for 2001-02 as the JFPM scheme under WGFP has come to an end.

Among the remaining five schemes, the highest outlay (Rs.330 lakhs) is for special component plan (to uplift the scheduled caste from poverty and to make them self-reliant) for 2001-02 and the allocation for tribal sub-plan is Rs.108 lakhs. The activities covered by both the schemes are similar and relate to supply of bamboo and cane, housing materials etc.,

In the field visit, a meeting with members of a co-operative society involved in basket making brought out the fact that, the cane and bamboo supplied by the department is insufficient to meet their requirements. The artisans either purchase from private parties or from the smuggler. Most of these artisans have to earn their living by making and selling baskets made from cane or bamboo. With the demand for these products going down and the prices demanded by the private parties going up, these artisans have no other way than to depend totally on the forests. The artisans can be dissuaded from going to the forest if they are provided with cane and bamboo at a cheaper rate.

A scheme with highest outlay is greening of urban areas. Under these schemes, activities are becoming showpieces for the KFD for their abilities to turn barren urban areas into roads with trees on either side. Beautiful parks are also developed under this scheme.

Among the central sector schemes, the scheme with highest outlay is for raising of fuel wood and fodder for distribution to the local people. Of the five districts visited, this was in operation in all of them. However, much of the amount is spent on raising saplings and meeting the requirement for fodder has become secondary. The rising demand for fodder is leading to a situation where farmers are encroaching core forest area for grazing. As a result of this, the objective of conservation of core areas gets defeated.

1.8 Constraints faced by KFD

A review of functioning of KFD has to take into consideration five types of constraints faced by KFD. The constraints are budgetary, personnel, political, revenue and developmental. Each one of them comes in the way of KFD achieving its targets.

1.8.1 Budget

In spite of KFD protecting forests which represent 20 per cent of the geographical area of the state, the annual allocation in the state budget is only one per cent of the total expenditure. This has prevented KFD from protecting the assets of the state and providing the required equipment and facilities to its staff.

To overcome low budgetary allocations KFD has tried raising funds from international donor agencies, but these efforts have not been very successful in meeting the deficits.

1.8.2 Stricture from High Court

As a result of a stricture passed by the high court of Karnataka, KFD is not in a position to recruit staff on a permanent basis. The efforts of KFD to keep encroachment to a minimum even with many vacancies in the front line is commendable.

1.8.3 Political intervention

Another constraint is that of political intervention in terms of interference in day to day affairs especially in posting and transferring of officials. Many political parties had targeted forest area to bring about equity in land holding or to equip landless with land. Such advocacy has often been at the cost of KFD.

1.8.4 Revenue Department

Apart from political constraint, another constraint that KFD has to face is from the revenue department. To protect the forests on lands owned by the state government, KFD officials impose section.4 to notify it as fit case for declaration as reserved forests. In making such declaration KFD is not able to garner support in the revenue department or in its own secretariat. All the efforts of officials of KFD go in vain because of resistance from the lowest official at the village level (village accountant) and delays in making declaration under section 4 by the FSO. In the secretariat the process requires long time while the conditions at the site keep changing. In spite of all these delays and opposition, officials have been able to declare almost 70 per cent of forests on state owned land as reserve forests.

1.8.5 Police

Even though both front line staff of KFD and Police are involved in checking crimes on forest, there seems to be lack of co-ordination between the two in nabbing the criminals or in passing on the information. In a few districts, they almost act as parallel departments.

1.8.6 RTO

As per the financial code, officials have to seek the opinion of RTO on value to be realised through auction of confiscated vehicles. As a result of prolonged delays in getting the opinion of RTO, vehicles are parked in an open area for long periods. Consequently, the value realized through auctions depreciates considerably and results in losses to KFD.

1.8.7 Developmental Programmes

In the country as a whole, 4291 dams have more or less submerged about 40 million hectares of forest area. This does pose a constraint in meeting the objectives of conservation.

PLANNING AND DECISION MAKING

A review of planning and decision making within KFD identified three crucial phases. First phase is up to 1973; the second phase is from 1973 to 1993 and the third phase is from 1993 to date. Each phase provided a new turn to the Department from the previous phase.

2.1 Up to 1973:

2.1.1 Political philosophy

This period after independence and up to 1973 was most crucial since policy of several political parties and that of the nation as a whole was against the department. The political philosophies to bring about equity in land holding dealt a severe blow to forests by encouraging encroachments. This was not just an issue for KFD but was a phenomenon witnessed throughout the country.

2.1.2 Construction of dams

The developmental plans drawn for the country especially to construct 4291 dams to increase the area under irrigation and to increase production of power submerged several thousands of hectares of prime forests.

2.1.3 End of working plans

As a result of having to respond to such onslaughts on forests, KFD like all other forest departments in the country failed to prepare working plans. This activity which is of prime importance got relegated to the background.

2.1.4 Impact due to loss of working plans

Working plans are essential for a state such as Karnataka where the diversity and uniqueness of forest is very high. With its rich rainforest (evergreen), shola and mangroves forests effective plans are required to conserve this richness. The bio-diversity that these kinds of forests provide is enormous and cannot be duplicated in any way. It is essential that the forests which are rich in bio-diversity be protected. In the absence of working plans conservation of bio-diversity was affected.

In the absence of working plans extraction and logging was done through adhoc methods causing damage to the forest. This invited criticism from the environmental groups.

In the absence of working plans, staff had to confine themselves to the activities of raising nurseries and guarding plantations. As a result professional standards of work began to decline. This trend may continue in the future and may become a stumbling block for many officials aspiring for key positions at the centre.

2.1.5 Demand from industries

In addition to having to contend with an hostile environment, forests were made to address bulk consumers such as paper mills and rayon industries. Special plantations had to be raised for these industries by clearing huge tracts of forests. This new act of addressing client based needs resulted in drawing new plans based on the needs and requirements of industries rather than focus on conservation of natural resources.

2.1.6 Loss of direction and long term vision

As a result of emphasis on programmes and schemes, KFD suffered from the absence of long term vision. This prevented senior officers from providing support and guidance to front line staff in decision making.

2.2 From 1973 to 1993

2.2.1 Programmes to community needs

This twenty-year period witnessed two kinds of planning within KFD. Based on the recommendations of National Agriculture Commission, the department started addressing the needs of the communities through various schemes. A highlight of these schemes is that they relied for funds from external agencies such as World Bank and ODA. Among such schemes, social forestry was the dominant one in Karnataka, from 1976 to 1993. From 1993 onwards Western Ghats Project dominated the scenario up till a project funded by Japanese Government came into existence to afforest eastern plains.

As these schemes were to meet the needs of the communities located away from the forest, for the first time department had to start planning for the non-forested areas and work with communities who live in remote areas.

2.2.2 Environmental movements

An interesting turn of events is that for the first time in the midst of hostile environment, response of civic society emerged in favour of forest department in the form of environmental movements. These environmental movements were of two kinds. The first one prevented the submersion of forests in the name of construction of dams. Such protective movements generated strong protests throughout the country and were responsible for shelving several plans to submerge forests. The second kind of movement was for conservation of wildlife for the sake of posterity. This resulted in creation of several exclusive national parks and sanctuaries. This turn of events made the officials in the department more receptive to conservation of forests and the wild life.

2.2.3 Ban on logging and extraction

These movements did influence the planning process and especially influenced the conventional mode of logging extraction and selection felling of trees. In order to balance the requirement for revenue generation, meet commitments of the department to local communities and meet the objectives of conservation, logging activities had to be planned in each forest. Logging for revenue generation alone had to be given up.

2.2.4 Losing long term vision due to annual plans

While addressing the demands of the community and environmental movements, the foresters were forced to move out totally from working plans and depend largely on schemes and programmes. These schemes and programmes were highly target oriented and commodity specific and were drawn more from the point of view of a developmental need than conservation of natural resources. To a large extent these schemes planned to meet the forest needs of the people in areas closer to their place of living in order to reduce the pressure on the prime forests. Consequently, foresters got used to a new system of annual plans and lost sight of long term plans required to manage forest in ecologically efficient ways.

2.2.5 Peoples' participation

While making plans to meet the needs of the community, one important event which brought a paradigm change in ways of functioning of officials was the incorporation of people's participation in all kinds of plans that foresters were required to prepare. From a policing department, KFD had to change its approach to work with people as partners in development and conservation of forests. As this was a major change for foresters, people's participation was taken up on an experimental basis in Western Ghats project. In this project KFD had to learn about respecting plan by the people to meet their own needs. When the PRA and the micro-plans drawn were not that effective to meet the needs of the people, KFD had to go in for planning based on different models to meet specific needs of various sections in the subsequent eastern plains programme launched with financial assistance from Japan.

2.2.6 Emergence of JFPM

A major impact of working through annual schemes was in terms of peoples' participation. It was an experiment in implementation of Western Ghats projects but soon the programme had to be renamed as Joint Forestry Planning and Management (JFPM). This scheme evolved as a response to legislation from Central Government in 1993. With this KFD had to step in to a new domain where it had to stop suspecting and treating communities around forests as enemies and to invite them to be partners in protecting and conserving forest resources.

2.3 From 1993 to date

In this period, planning in KFD underwent two major changes. One of these was to work along with a decentralised system of administration and the other one was to work with other departments in site specific programmes.

2.3.1 Part of Decentralised Administrative System

Apart from working through annual plans, KFD had to work through decentralised system of administration. After 1997, with introduction of three tiers Panchayath Raj system, KFD started working through Zilla Parishad (ZP) for implementation of social forestry programme. This was a new method of working through and in accordance with the plans drawn by the elected representatives. This was also a methodology wherein the plans of the KFD had to integrate with other plans drawn for the developmental needs of the people.

2.3.2 Area Specific Planning

KFD, along with other line departments had to plan to meet the needs of development based on requirements of a specific area through programmes called Watershed Programmes. KFD is presently working on a number of projects in collaboration with the Department of Watersheds. The plans drawn in this programme are also through people's participation.

2.3.2.1 No relevant training

There were no attempts to provide training to foresters to respond to the emerging challenges. As a result, no measures were taken to visualise the demands in the future or to meet the contingencies. When the objective changed from guarding to conservation by joining hands with the communities, foresters were unable to develop a long-term plan for community participation.

2.3.2.2 Fund based plans

Apart from plans, which are, scheme and programme based, KFD also has plans based on source of funds. Such plans were drawn on an annual basis and lacked long term perspective.

2.4 Process of annual plan

The process followed for flow of funds, implementation of plan and deployment of manpower, activities and above all achievements.

2.4.1 Flow of funds

None of the officers can say with any degree of probability the allocation for the next financial year. The steps followed are

1. Allocations: In the month of April and May every year a communication from HQs will inform DCFs about allocations for each scheme.
2. Based on the allocation, a programme of work is drawn up that is called action plan. This action plan is sent back to the HQs for approval.
3. Uncertainty looms till an approval comes back for action plans. Many officers in the field believe, how soon a clear picture can emerge depends on the influence that a field officer has with higher up at headquarters. Incidents of receiving of approvals as late as September and October have come to light. This forces the field staff to make a very uncomfortable decision of either missing a season or investing from personal funds with the hope of receiving the funds later on. As missing a chance to implement the plan for that year will invite official action, many officials take the risk of investing personal funds.

2.4.2 Deployment of Manpower

Two methods are adopted for deployment of manpower. First method is that of official allocations. Through this method allocation of sufficient manpower is not possible due to lack of staff at the field level. The second method is hiring of daily wage staff to meet the requirements. This method has resulted in three types of manpower. They are super numeric MR, MR and PCP.

2.4.3 Limited Activities

Due to annual plans the activities of entire KFD except wild life conservation, is focussed on afforestation. This leads to activities related to raising seedlings, selection of a site for afforestation for planting or selecting beneficiaries for distribution of saplings. In the afforested areas, another sets of activities are fencing and de-weeding. Annually, new saplings replace the dead ones.

2.4.4 Shared responsibility

The proposed action plan will be implemented according to the approved action plan even in the absence of flow of funds. To achieve these at each level an investment is made by the concerned official based on the activity to be performed at that level. For example, supply of plastic bags is the responsibility of RFO, supply of manure and sand is by the forester but making available of labourers is responsibility of guards and watchers.

2.5 Weakness in the annual plans

2.5.1 Gloss over

One of the activities of KFD is the distribution of saplings to farmers. This is normally done in August or September. In order to distribute at least six-month-old saplings, KFD has to sow the seedlings in February or March. If the KFD officials would get a clear picture of the allocation by April and the allotments actually received by early May, it will be more realistic for the field staff to plan and implement their activities. In the present situation, when allocations and allotment do not come even as late as September, KFD officials invest personal funds for this activity. Even though this is a persistent problem for the field staff, it has been glossed over.

2.5.2 Made good, no complaints

Instead of changing the system the officials have resorted to investment of personal funds to be prepared for the planting season. Even when this reflects the commitment of the staff, a few problems do exist.

By chance if there is a mismatch between the allocations made and the preparedness, one does not understand as to how it is to be handled. If allocations are made far below the preparedness, an official has to own up or a false report is to be filed. On the other hand, if the allocations are far higher than the preparedness, either the shortfall is to be reported or unspent money has to be returned.

2.5.3 Difference in monitoring and reporting

When personal funds are invested, the basis for monitoring becomes complimenting the subordinate for his ability to foresee and prepare, rather than comply with the approvals received. In this system, estimates are padded to realize better returns on personal investments made.

2.6 Problem due to stoppage of extraction

With ban on extraction of dead and fallen trees the department has been faced with a problem of meeting its commitment made to supply fuel wood and timber. In the Malnad region, in every major town, KFD supplies fuel wood through depots

established by an approved agent. In this depot, public can purchase wood by producing ration cards. To meet the commitments, in a few places KFD is encouraging VFC to harvest the acacia ariculiformis and share 50% of the earnings with the VFCs. In some instances, roadside plantations are being harvested to meet the demand.

2.6 Problems due to stoppage of selection felling.

From 1987-88, KFD has been ordered by the Supreme Court to stop selection felling. Consequent to such an order the sale in the timber yard has gone down. Only timber extracted prior to submergence of forest in the Sharavathi Tail Race Project is being used to supply wood. As a consequence working plans have to be modified.

2.7 State Forestry Action Programme (1997-2017)

KFD has prepared an action programme for 20 years. This plan document of KFD has the objective of creating an ecologically friendly environment by need based natural resources management having due consideration to the explosion of human and cattle population. In addition to the conventional approach of protection, the plan has taken into consideration various needs of people and their participation in achieving targets. Sustainable development is another key factor in the new action programme. Towards this end, the action programme plans to adopt watershed approach on a large scale within the forest region.

The action programme speaks about forest area within Karnataka and mentions that about 30.18 per cent of area is un-wooded and occupies an area of 11254 sq.km. This happens to be the biggest chunk next only to scrub and thorny forest (21.11 per cent or 8180 sq.km).

Major threats listed in the action programme happen to be through cattle grazing. Quoting various studies the document proves the point that grazing comes in the way of regeneration. Fieldwork in a few parts of the state has proved this point. Additionally, the team learnt that if the forest area is huge, normally in a walk towards the forest area, the un-wooded region comes first, followed by scrub and thorny areas. This is followed by the forest area with low density of crown and goes on increasing. The grazers move through these areas in succeeding manner. If the forest area is small the grazing can go up to the core region or even within the core zone.

No specific plan appears to be there for these un-wooded regions, which may be the entry points for forests. One of the related measures is to protect degraded areas from grazing by cattle through afforestation programmes. Emphasis in all such programmes should be to provide fodder and fuel yielding trees. Another idea to reduce the cattle population is to encourage stall-feeding by sharing the cost of sheds for stall-feeding. The document speaks about use of VFC for checking grazing, but no concrete plans have been drawn. The document should have aimed at utilising VFCs in checking grazing through converting the resilient un-wooded region to grass lands or pastures. This can be achieved by educating the farmers and involving them in social fencing and rejuvenating the area. There seems to be a difference between the farming community and the foresters in the concept of grazing. For farmers grazing over a large area is essential as the cattle can cut and chew few blades of grass, for them fodder from trees is only an alternative in times of crisis rather than a normal way of grazing. Foresters consider that fodder from trees can help in stall-feeding and it can replace grazing. This difference is highlighted in the action programme.

Afforestation programmes in the scrub and thorny regions are feasible only when the un-wooded region is converted into pastures. These should appear in the working plans.

2.7.1 Inability to shift from revenue orientation to conservation.

In spite of implementing various schemes, KFD is yet to strike a balance between working plans and annual plans. Most of the strategies are to protect the revenue-oriented segments such as bamboo, teak, rose wood and sandal. Even though the new action programme speaks of formation of 6000 VFCs, it has not addressed the developmental needs of the farmers. If action programme had taken care to identify the developmental needs of Non-timber forest produce, green leaf manure, agricultural implements etc., through the VFCs, plans could have been drawn on how to meet these and incorporated into action plans.

The new action plan is yet to address international issues such as conservation of bio-diversity, CITES and climatic change. This is due to inability of KFD to move away from revenue orientation.

2.8 Recommendations

2.8.1 Working plans for afforesting non-forest areas

To reduce pressure on the existing forests and to afforest the non-forest districts in the eastern plains, it is essential that in these districts working plans should be drawn for all the districts. In fact, it is more required for non-forest districts to address the question of converting at least the available C and D lands. These lands should be identified, surveyed and long-term plans drawn after imposing section.4. VFCs should be involved after imposing section.4 and should be responsible for afforestation and protection of the area.

2.8.2 Separate Development Division

Separate Development division has to be set up within KFD and at each district level to handle all developmental demands.

The basic objective of this developmental division is to prepare working plans not only for the forest areas but also for the non-forest areas for afforestation. Even when new schemes are formulated, they should be within the framework of this working plan. If change is required, a change has to be incorporated in the working plan.

This developmental division will be responsible for conducting the survey of the entire C and D lands in the district and develops schemes either to afforest or to develop it as pastures. The other objective is, it acts as an extension and education centre. All forest information centres such as the one is Chikkamagalur should be under this division. This developmental division with working plan for afforestation will be addressing all the afforestation activities in urban areas, school compounds, road side plantations, tank foreshore areas etc.,

At the district level the DCF of developmental division will be reporting to DFO/ Conservator of Forests at the district level. At the state level the existing CCF for development will continue. With these changes, the working plan circles can be revamped at the district level and secondly, all the social forestry and forest survey

activities will be within this division. If this recommendation is accepted, the entire manpower in the social forestry and working plan division will be clubbed together and there will not be any additional recruitment.

2.8.3 Train staff in preparation of working plans

There is a need to train staff in preparing working plans using the methodology of people's participation. Training should also be in techniques such as Participatory Rapid Appraisal (PRA), micro-plans, Geographical Information System (GIS) and in use of Remote Sensing.

2.8.4 Raising nurseries to be outsourced

To enable officials to invest their professional knowledge in activities related to conservation of forests, it is necessary to outsource raising of nurseries and protection of plantations.

2.8.5 Flow of funds

To avoid delays in sanctioning of action plans, the authority to approve action plans can be vested with circle level CF. This will check the delay in flow of funds.

2.9 New Strategic Trends

2.9.1 Policy of GOI

The strategies and the methods used in the past have not been effective in achieving the goals of KFD. There is a growing realisation that the tasks are so complex and difficult that the Forest Department alone cannot accomplish them. The national forest policy of 1988 spells out that, subject to carrying capacity of the forest land meeting basic needs of people especially fuel wood, fodder and small timber for the rural and the tribal people must be given high priority. This will lead to conservation and preservation of bio-diversity and national heritage. Thus the Karnataka Forest Department needs a new paradigm which has thrust on participation, co-operation and specialisation.

2.9.2 Global level Policies

After the earth summit of 1991, there are many policies that are emerging at the global level. The most important global forums which are developing policies are the International Commission on Threatened and Endangered Species (CITES), World Commission of Dams (WCD), Forest Security Council (FSC), Commission of Climatic change and Global Programme for Forests (GPF). Additionally, agencies such as World Wild Life Fund (WWF) and UNEP are all developing policies for the conservation of forests and wild life from the conservation point of view. Networks are being developed at Global level for the conservation of rainforests, mangroves and shola forests. Similarly, for protection of wild animals also, forums are being developed. Few organisations such as European Commission (EC) and Codex have all developed certification systems for export of forest items along with FSC. Already, a few countries in Europe are insisting on certification of NTFPs to be certified for sustainability of forest while collection of the produce. Globally, few NGOs are addressing issues arising from such certification measures. Unless KFD addresses these policies and their implications on the forests of Karnataka it will be difficult to keep pace with international developments. The planning wing in KFD has to examine each of these issues and prepare plans for it.

ORGANISATION STRUCTURE AND CAPABILITY OF KFD

3.1 Introduction

This chapter deals with the positive and negative aspects of institutional capability in the Karnataka Forest Department. Institutional capability in the context of the present chapter refers to the capability of KFD to deal with current and emerging challenges and to maintain a good fit between itself and its external environment.

This chapter describes the structure of KFD and an analysis of strengths and weaknesses of KFD as perceived by staff and officers. This is followed by analysis of questionnaire data on various aspects of the role as perceived by grade 'A' & 'B' officers. The recommendations are then discussed towards the end.

The Karnataka Forest Department is headed by Principal Chief Conservator of Forests who is the Apex head of the department. He is assisted by PCCF (Wildlife) and PCCF (EWRT). In addition, several CCFs report to him directly. These are:

1. CCF (Protection and Management)
2. CCF (Social Forestry)
3. CCF (Development)
4. CCF (EWRT)
5. CCF Western Ghats Forestry (WGFP)
6. CCF (Headquarters).

All the above CCFs are heads of the respective departments. The Principal Chief Conservator of Forests is in charge of establishing budget and finance, Audits and Accounts etc. CCF (Development) is entrusted with all development works. CCF (Social Forestry) is also project director for the JBIC aided eastern plains project of Karnataka. The Forest mobile squads headed by the Deputy Conservator of Forests, which were earlier under the direct control of Conservator of Forests (Territorial), is under the control of Chief Conservator of Forests (Vigilance). The detailed organisation chart of the department is shown in Annexure.2

The Forest Department consists of a number of divisions. At the field level these divisions are territorial, social forestry, working plan and research, wild life and Corporations. Each division is expected to play a crucial role in the working of the forest department.

The territorial division forms the basic administrative unit of the forest department. The primary function of the territorial division is regulatory in nature. However, it also undertakes activities that lead to revenue generation and development. In the territorial division the field formations are divided into nine forest circles, 38 forest divisions. A Deputy Conservator of Forests assisted by the Assistant Conservator of Forests at sub-divisional level and Range Forest Officers at the range level manages

the forest area in each division. Each sub-division is further divided into 3 or 4 ranges, which are headed by a Range Forest Officer. Each territorial range is further divided into 3 or 4 sections each headed by a Forester and each section is further sub-divided into 3 or 4 beats headed by Forest Guard.

The Wild life division is headed by a Principal Chief Conservator of Forests who is responsible for managing 60% of the total forest area of the State designated as protected areas which are rich in wild life. Wild Life division in Karnataka has been divided into two circles. The Southern Zone Wild Life circle is headed by Conservator of Forests and comprises Mysore and Kodagu. Headquarters of this circle is located in Mysore. The Northern Zone Wild Life circle is headquartered at Shimoga and headed by Conservator of Forests. In addition, there are two Conservators functioning as field directors for Project Tiger, Bandipur and Bannerghatta National Park, Bangalore.

The Social Forestry division is involved in community facility activities and works with people in areas like farm forestry, school forestry and watershed development. The Social Forestry Wing is headed by CCFs. For purposes of administrative control it is again divided into four circles, each headed by Conservator of Forests. These circles are further divided into divisions, which are co-terminus with the districts. The Deputy Conservator of Forests (Social Forestry) is working under the administrative control of the Zilla Panchayat of each district with the technical control from the various departments. The Social Forestry circles are located in Bangalore, Hassan, Dharwad and Gulbarga and implement social forestry programs including externally aided projects under JBIC. The working plan division is required to formulate and develop plans for the forests. They also survey and demarcate the forests.

The working plan wing is headed by the PCCF (EWPRT) assisted by a Chief Conservator of Forests working plans. The main function of the working plan wing is to prepare working plans for each forest division for a period of 10 years based on the current forest management practices and objectives. There are six DCFs (Working Plans) each located in Shimoga, Belgaum, Mysore, Bellary, Chickmangalur and Dharwad. Each of the DCFs are assisted by 3 or 4 Assistant Conservator of Forests and 6 - 10 Range Forest Officers and other staff.

A Chief Conservator of Forests heads the Research Wing and Director FORTI is responsible for conducting research and managing the training agenda of the forest department. There are four silviculturists located in four climatic zones of the state. The headquarters of the silviculturists is at Bangalore, Bellary, Madikere and Dharwad. The silviculturists conduct research in the field on forest management, tree improvement, and plantation management and share the research annually with the field foresters.

3.2 Strengths and Weaknesses of the KFD

The strengths and weakness analysis of the Karnataka Forest Department was conducted based on interviews with officers and staff at the field level. The strengths of the department are:

3.2.1 Dedication and commitment of field staff

A large number of IFS officers despite very difficult conditions are achieving outstanding results. However, there is no institutional mechanism by which their achievements can be recognized and disseminated to other officers in the department.

3.2.2 Officers Competent in Traditional Skills

The officers in KFD have a good appreciation and knowledge about the technical aspects of forestry and can rise to challenges when required. A large number of field staff have been trained in traditional forestry and some have also been trained in the use of computers. The feed back from those who have attended these courses is positive and they all found this experience useful.

3.2.3 Positive Attitude of villagers towards KFD Staff

In areas where village forest committees are functioning, there is significant change in the relationship between the forest guards and the villagers. The villagers have more positive attitudes towards KFD staff. Senior officers in KFD, frontline staff, NGOs and VFC members shared this perception. The power distance between the villagers and the forest guards has been reduced. The villagers no longer hesitate in complaining about forest guards to the officers when the latter visit the villages.

3.2.4 Capacity to work with NGOs

The Karnataka Forest Department is beginning to develop the capability to work with Non-Governmental Organizations (NGOs). In the districts visited, growing mutual respect between them was found. It was reported that they were becoming more aware of each other's specialist roles and skills. However, in the early stages when KFD started working with NGOs in UK, in the Western Ghats Forestry project it found it difficult to work with NGOs involved in advocacy and acting on behalf of the foresters and the forest dependent people. KFD felt that NGOs were acting as critics rather than allies of the department.

3.3 WEAKNESSES

3.3.1 Role Conflict

Many staff at the field level is experiencing a serious conflict between the traditional regulatory role and the new role as a Forester under JFPM. As a result many were sceptical about JFPM and doubted KFD's commitment especially in the absence of strong signals from the top. Traditionally KFD has treated villagers as potential forest offenders. They were now expected to treat the same people as partners in forest management. Since the forest laws had not been amended to recognise the villager's traditional albeit informal access to forests and utilisation of certain forest products such as grass, dead wood and even small timber for domestic use, they continue to be forest offenders in the eyes of the law. Government of Karnataka may like to consider the desirability of removing the stigma of being forest offenders from the minds of villagers by recognising their traditional rights. This will enable the forest department to get wholehearted co-operation in protection and management of forests. The duties and responsibilities of forest officers at all levels need to be redefined according to their changed role and functions.

3.3.2 Over-burdened Field Officers

The persistent theme that emerged in the course of our discussion with the field staff was that the field officers spent nearly 70% of their time in either attending to courts or on administrative matters which leaves very little time for them for technical supervision or spending time with staff. Field officers believe that they are required to attend too many meetings and file too many returns that serve no purpose. The DCFs who believe that there is duplicate reporting of information in several reports also shared this view.

3.3.3 Centralised Structure

Authority in KFD is getting centralised due to a shift from working plans to annual plans. With the uncertainty looming large, every executive at the field level has to wait for the orders from the top. Consequently, entire planning and allocation of funds have been centralised. This uncertainty compels every official to accord higher powers to his/her superior to make good for the investments made awaiting approvals. In the words of officials at district level, an engineer in PWD can stop the work if allocated amount is not received in time, where as forest officials cannot even when funds are not received. Each field level official in KFD is compelled to implement various activities in spite of no funds.

Centralised system of execution at the field level is found to be at the DCF and RFO level. At the DCF level, the official is supposed to be in the field for nearly 20 to 25 days. However, due to intervention in all kinds of activities, such as even sanctioning leave to a class IV, these officials have no time to attend to fieldwork. Officially, this has to be Gazzeted Manager of the office who has to sanction leave to Class IV. The same official is supposed to post drivers, but DCF intervenes. All incoming mail and out-going has to be initialed by the DCF. On the other hand, DCF should be evaluating the work report of the officials rather than looking at mail and marking it to concerned caseworker. Since, this activity consumes time, DCFs have little time to look at the work report and to comment on the work of field executives. As this is not done, the act of reporting is routine and many a time it is not filed.

At no point did the study team come across a DCF who could boldly say that he has delegated to ACF at least the role of attending routine meetings at various offices at the district level.

Officially cheques have to be signed by both the DCF and the Gazzeted Manager. The signature of manager is to ensure that the officials responsible for an activity submit proper reports. Unfortunately, DCF compels the manager to sign the cheque without the reports. Consequently, many activities have no reports.

MMRs are routine and in the absence of work reports, it is becoming a get together for many officials. Demand for reports from the higher officials are generated over night without basing them on the work reports.

At the RFO level, the big list of vacancies and lack of promotions has equipped this official with enormous power. RFO is responsible for all the activities (financial and administrative) in the range. Neither the forester nor any other member of staff has any power. Consequently, the official by the rank of forester who has to be link between the field staff and the RFO is more a position rather than having a role. In

fact, these foresters equate themselves with Police Sub-Inspector but repent for having no power. One of them equated himself as a messenger at the office of RFO.

Even activities such as posting and transferring the front line officials are taken off from the DCF. In the transfer and posting of RFOs, opinion of DCF is not sought.

The vertical split of the department into territorial, wildlife, social forestry, working plans etc, has also centralised authority at the level of Conservators of each wing. It is so surprising that if wild life DCF has to seek any assistance from territorial DCF the entire request has to go up to the head quarters of Conservator of wildlife and then it has to pass on to conservator of the territorial and then to the concerned DCF. This is due to absence of a responsible official for co-ordination between various sectors (wings) between level of execution and that of administration. Consequent to absence of such co-ordinating positions, the decision making power is at Head Quarters which systematically erodes the enforcement ability of officials at the field level.

3.3.4 Weak Frontline

The time taken for a non-gazetted employee to get a promotion in Karnataka Forest Department is once in a lifetime. While the posts at the top of the hierarchy have expanded with each new scheme, at the level of the Forester and Forest guards it has not increased for a very long time. The total number of vacancies that have not been filled up at the level of the Forester and the Forest guard is nearly 2000. This has lead to frustration and stagnation at the lower levels. Even at the level of a Range Forest Officer, the time taken to get a promotion on an average is 20 years. There are several other sources of dissatisfaction for the field staff. They are required to work under difficult and dangerous conditions without proper equipment like shoes, raincoats, or vehicles to move about. They also need communication equipment which is often in short supply.

3.3.5 Redundant Positions

The DCF at the district level are burdened with several responsibilities in spite of the presence of ACFs. The position of ACF was created to relieve the DCF of work pressure. The ACF was expected to act as nodal point for all decision making at the sub-divisional level (taluk level). Over a period of time all positions at the ACF level were filled up. At present even though there are several officers who are designated as ACFs at the sub-divisional level, they are unable to make the required contribution. The position of ACF at the divisional level is weak because he does not have an establishment of his own nor does he have any supporting staff. In several cases they do not have a jeep or other required infrastructure to run the office.

Even though ACFs are expected to be decision-makers at the sub-divisional level, they have no financial powers delegated to them. The independent study group has studied the working of ACFs in some depth and has recommended that ACFs must have the financial powers to sanction expenditure up to Rs.1 lakh. This recommendation has not yet been implemented.

In the course of the study team's meetings, several ACFs pointed out that the only major task that they perform is to do check measurements and any other work assigned by the DCF. In the existing form there are two options for KFD. If measures

are not taken to strengthen the role of the ACF at the sub-divisional level it may be worthwhile to abolish this position altogether. Alternatively, if the necessary infrastructure can be created for the ACFs it will strengthen the role of the ACF and also provide more free time for the DCF to co-ordinate with NGOs, other departments and higher levels in the organisation and also provide guidance and leadership to the sub-divisional officers in this division.

3.3.6 Uneven Workload

The workload is very uneven for officers in different divisions of the department. The Social Forestry Division faces a crisis. The crisis has resulted due to the creation of an umbrella organisation for watershed development in each district. With the district watershed development officer as the head they have an umbrella organisation having Horticultural, Agricultural and Forestry Wings of its own. As per the Government Order of Government of Karnataka dated 31.12.1999 all the schemes being implemented on watershed basis shall be implemented by this agency. As the Social Forestry is not a part of this agency, all the centrally sponsored schemes viz. EAS, DPAP and WGFP are to be implemented through a watershed development agency. For example, these three schemes taken together account for 95% of the development funds available under non-OECF schemes. As a result there is hardly any work left for the Social Forestry staff. The Government of Karnataka is therefore left with huge expenditure to the tune of 40-50 lakhs on establishment with a large compliment of staff left with not much work today. Many officers in the field felt that under the existing circumstances, the social forestry division must be closed and wound up.

3.3.7 Delegation of Powers

The delegation of powers to forest officers at the field level is an area of concern. The DCF is a key officer at the district level and is responsible for the execution of projects. There are several instances where CCF counter signature is required for withdrawal of funds even where allocation have been made by the Government. The present powers of DCF in Karnataka for technical work is only Rs.50,000. These limits were fixed in 1984. As a consequence DCFs have to frequently refer matters to the CCF for approval of works leading to inordinate delays in execution.

3.3.8 Poor Inter-divisional Co-ordination

As already been discussed, there is a proliferation of position at the middle management level. The Forest Department has several parallel establishments at the district level. There is a Conservator of Forests who is in charge of one or two districts. Reporting to him is Deputy Conservator of Forests who have functional jurisdiction for territorial, Wild Life, Working Plans, and Social Forestry. In districts like Shimoga, Uttara Kannada and Chickmangalur there are 8 - 10 DCFs.

The co-ordination of activities between the division heads at the district level is a problem area. There is no single point of contact with one person who has the authority to represent the Forest Department viewpoint relating to a district. Many of the officers interviewed felt that the problem of encroachment could be handled more effectively if there is a single point contact in the whole division. The co-ordination between the divisions also gets complex since the DCFs report to different bosses who sit at different stations. For example, in the Chickmangalur district the position is as indicated below:

Officers	Report to	Location
DCF (Social Forestry)	CF (Social Forestry)	Hassan
DCF (Territorial)	CF (Territorial)	Shimoga
DCF (Working Plans)	CF (Working Plans)	Bangalore
DCF (KFDC)	CF (KFDC)	Hassan

Several officers at the district level report to different bosses. These add further to the issue of inter-divisional co-ordination. KFD has initiated moves on reorganisation of circles to address this issue.

3.3.9 Poor Inter departmental Co-ordination

3.3.9.1 Revenue department

Apart from political constraint, another constraint KFD has to face is from the revenue department. To protect the forests on those lands whose owner is identified as state government, KFD officials impose section.4 to notify it as a fit case for declaration as reserved forest. After such declaration, KFD is not finding friends either in the revenue department or in its own secretariat. All the efforts of all officials of KFD go in vain because of resistance from the lowest officials of revenue department at the village level (village accountant) and by the forest settlement officer through delaying declaration. In the secretariat the processes requires long time while the conditions at the site keep changing. In spite of all these delays and opposition, officials have been able to declare almost 70 per cent of forests on state owned land as reserved forest.

3.3.9.2 Police

Even though both front line staff of KFD and Police are involved in checking crimes on forest, there seems to be lack of co-ordination between the two in nabbing the criminals or in passing on the information. In few districts they almost act as parallel departments.

3.3.9.3 RTO

As per the financial code of KFD, the officials of KFD have to seek the opinion of officials of RTO in issues such as auctioning of vehicles and in seeking replacements of vehicle parts. Due to the delay in seeking opinion of the RTO officials, the vehicle seized and auctioned off lose their value for being parked over a long time. Consequently, KFD does not realise the value fixed by the RTO.

3.3.10 Support from the Top

The lower level staff in the forest department feels alienated and de-motivated because of lack of support of Senior Officers in the department. The study team did come across some honourable exceptions. The team heard of a number of cases in the field where various staff risks their lives fighting armed gangs of sandalwood smugglers and poachers. Many of them even though seriously hurt felt compensated when they had the backing and support of their officers. In one of the cases where staff morale is high, DCF holds regular staff welfare programs where grievances relating

to payment of wages, increment were heard and prompt action taken to redress them. The morale of the staff in this project was high and people were enthusiastic about their work.

3.3.11 Administrative Culture

The organisational culture in KFD can be characterised as administrative in nature. The focus is more on following rules and procedures as contrasted with a managerial culture where emphasis is on accomplishment of targets. The field staff including the forester and the Range Forest Officers feels that they are mere instruments whose role is to follow instructions given from the top. They do not feel that they had the freedom to experiment since they have to follow instructions from the top. They feel that they do not have adequate financial powers. They also believe that senior officers in KFD do not trust them.

3.3.12 Low Morale

The success of any organisation depends on its ability to mobilise energies of its employees to achieve the objectives of the organisation. A serious weakness of the KFD is the absence of a developmental orientation in HRD. The indiscriminate expansion of posts in the department, adhocism in posting and transfers have caused stagnation and erosion of professionalism in the department. There is widespread discontentment and frustration at all levels of the hierarchy. In the present set of circumstances, it is very unrealistic to expect employees to give their best.

3.3.13 Blue eyed Boys and Ordinary Folks

One of the impressions shared by a wide cross-section of officers from the IFS cadre is that only blue eyed boys are selected for manning the territorial division. The "ordinary folks" get a posting to research, working plans and such other departments where the pay is less and opportunities to make money is limited. It is widely believed that posting to territorial divisions are rewards from political figures and these can be obtained by auctions and bidding. There is widespread dissatisfaction amongst the project staff due to unequal treatment within the department. The territorial posts generally are considered more glamorous due to their exercising regulatory authority as well as the control over development programs. The Project posts are perceived, as temporary and mainly performing staff functions. Even in terms of financial and administration powers or personal perquisites, the territorial officers have a distinct edge over the project posts.

3.3.14 Outdated Legal Framework

The legal framework within which the Karnataka Forest Department is operating is in many respects outdated. There are two areas, which need immediate attention. The first one is prevention for minimum punishments in cases of various offenders. Under the existing laws a fine that can be levied on various offenders is Rs.50/- which makes mockery of the whole process. It is therefore necessary that the amount of financial punishment should be inflation indexed so that it can have a deterrent effect and contemporary relevance.

The number of cases pending in various cases relating to forest offence is very high. There is a need to evolve a mechanism whereby speedy disposal of such cases can be effected. The creation of sub courts to deal with forest related offences needs to be given priority so that cases can be settled speedily.

3.3.15 Lack of Funds and Outdated financial system

The challenges facing the Forest Department in the State have multiplied over a period of time. However, the availability of funds and budgetary support has declined. The Officers in the Forest Department complained that even the available funds are not channeled to them directly. The inadequacy of infrastructure facilities for communication and mobility are serious constraints on the Forest Department. Given the financial position of the State Government it may be difficult to increase budget allocation for the Forest Department. However, availability of funds from international sources has been increasing and the Karnataka Forest Department must utilize this opportunity to mobilize funds from external sources.

One of the de-motivating forces for officials is the continuation of financial code of 1984. Financial authority provided to various officials according to this code is insufficient. To cite an example, many district officials are provided with vehicles such as Tata Sumo. Even for an ordinary service the charges are over and above Rs.2, 000. But the annual vehicle maintenance charges allowed by this financial code is Rs.2000. Similarly, this code restricts the total financial power of DCF at Rs.25, 000 and that of RFO to Rs.10, 000. Many of the activities cost more than the permitted level. Consequently, the officials raise separate work schedules to be within the limits sanctioned to them. This increases the workload. The limit set for purchase of stationery is Rs.2, 000 per annum. The limit set for DCF to provide incentive to those who provide information on major crimes is Rs.1000 per year. As this amount is not sufficient in those areas where crimes are of high value, this amount is not at all an incentive. To keep the information flowing, officials pay from their pockets.

Another weakness in the financial management is with regard to paying of daily wages to labourers. KFD engages labourers for various activities in the forest. While engaging labourers the norm is to follow the wages fixed by PWD. Unfortunately, even when the PWD rates are Rs.60 per day of eight hours, KFD still pays only Rs.40, which is below the minimum wages. Compared to activities of PWD, the activities of KFD will be in terrain difficult to walk through and interspersed with danger of wild animals. Many a time the labourers had to walk for longer distances in forest regions. This makes the work of officials difficult in hiring labourers. To meet the situation two options are followed, firstly, meet the expenses from personal funds and secondly, by inflating the number of labourers who have worked.

A complaint from a colony within the forest region is that the villagers are forced by the guards to contribute free labour for certain activities within the forest. A villager in close proximity echoed the same voice but added that it is inevitable for asking the guards to close eyes for few of the activities of villagers within the forest region.

3.4 Attitude Survey of A & B Category Officers

The present survey of attitudes of forest officers was undertaken to get an idea on the readiness of the organization for change. The findings of the survey were cross-checked in interviews with clients to see if there is a relationship between the attitudes as reflected in the findings of the survey and compare it with change in behaviour in the field.

The questionnaire used for the survey was designed to cover a range of relevant attitudes and perceptions. In addition to seeking factual information on several aspects of their work they were presented with a series of statements and were required to agree or disagree with each statement of a five-point scale. The options on this scale were Agree Strongly, Agree Slightly, Neutral, Disagree Slightly and Disagree Strongly. A copy of the questionnaire is attached in Appendix.3.

3.4.1 Findings of the Survey

The total numbers of questionnaires returned were 23. The analysis of the data is made on the basis of this sample. In view of the small number of questionnaires it is not possible to make generalization of the findings to the entire organization. However, they are indicative of prevalent attitudes and also given some pointers for actionable areas.

3.4.1.1 Respondents Profile

50% of the respondents had a graduate degree (B.Sc.) and the remaining had Masters Degree. Five of the respondents had work experience in the range of 6 – 10 years while 13 of them had less than five years experience.

3.4.1.2 Need for Downsizing

A large number of respondents (17 out of 23) felt that there was no overmanning in KFD. However, it was borne out subsequently from interviews later. The respondents were mainly referring to the shortage of forest guards and foresters in the field. This seems to be across the whole organization.

3.4.1.3 Outsourcing

The views of the respondents on benefits of outsourcing were divided. 50% of the respondent's felt that services could be outsourced and the balance felt that outsourcing was not required. Some of the areas where outsourcing of services could benefit KFD were identified as logging operations, maintenance of records, intelligence gathering, eco-tourism and reception to dignitaries and visitors.

3.4.1.4 Training

The areas where the respondents felt training could enhance effectiveness at work were in the areas of legal aspects, HRD and Computers. A small number also expressed a desire to undergo training in detection and dealing with forest offences.

3.4.1.5 Use of Computers

A majority of the respondents (19 out of 23) indicated that they use computers primarily for official letters, reports and preparation of budget. None of them have been provided with internet connectivity.

3.4.1.6 Work Activities

The respondents were asked to indicate the amount of time that they spend on various activities at work. The data indicates that a major portion of the time is spent in the following:

1. Attending meetings
2. Paper work and clearing files
3. Travel.

3.4.1.7 Work Attitudes

A majority of respondents seem to believe that People's participation has great value in forest management. A majority of them felt that people's participation improves forest protection and also helps foresters to be more effective in their work.

3.4.1.8 Relation with Senior Officer

A large majority of respondents indicated that they have good relationship with senior officers and feel free to discuss their work related problems with them. However, the same does not seem to be true with respect to what frontline staff feel about the A & B category officers.

3.4.1.9 Managerial abilities

A large majority of respondents feel confident in their own abilities to deliver on the job. However, they feel constrained and disempowered because of lack of delegation of powers.

3.5 Recommendations

3.5.1 Reorganisation at the District Level

In order to provide a single point of co-ordination, a senior most DCF must be designated as the District Forest Officer with authority to commit department on behalf of the divisions at the district level. This will not entail any promotions or creation of any additional positions. However, this may run into administrative problems in deciding who happens to be the senior DCF, is it based on the seniority list of DCFs or on the basis of service rendered at the district level. Any mishap can result in conflict and factionalism within the cadre.

An alternative is, Conservator of Forests (CF) may be appointed to head KFD at district level and act as a single point of co-ordination. He/She will be accountable for all KFD activities at district level. This entails creation of at least 27 new positions and may provide promotional opportunities. However, when seen in the context of the recommendations to close down social forestry and corporations, this may result only in reallocation.

3.5.2 Linkages with Other Departments

Many of the causes for degradation and encroachment of forests lie outside the purview of the Forest Department. One such problem is with revenue department where the title of ownership is frequently changed. In order to avoid this, there is a need to develop a mechanism wherein the inter-departmental misunderstanding is warded off.

KFD is facing problems in timely approvals from RTO and also co-operation from police. Above all, forest settlement is taking long time.

3.5.3 Linkages with NGOs

A number of Government Departments and NGOs function in various areas and frequently their goals and strategies are not in consonance with that of the Forest Department. Since Forests cannot be protected or developed by The Forest Department alone, it is necessary that co-operation of other departments like revenue and police is sought and sustained. Such co-operation can be built through co-ordination committees at the district and state levels. The Forest Department needs to develop the capability to work with NGOs for promoting involvement and participation of local people in the management of forests. The KFD needs to take initiative to educate other departments at the district level about its vision and seek support from them.

3.6 Rightsizing

3.6.1 Too many PCCFs

In the last few years many positions at the top most level (PCCF) have been created due to pressures. This has led to situation where each PCCF looks to his own section as an independent unit resulting in a vertical split across the organisation. To avoid this vertical split and lack of co-ordination all additional PCCF positions must be done away with and only one PCCF position be retained as head of the organisation.

3.6.2 Conservators as Co-ordinators

Due to the vertical split each programme has different CF posted at different level as co-ordinators. If the suggestion to appoint CF as co-ordinator of all activities of KFD at district level is accepted, then these positions have to be done away with and these CFs may be posted as co-ordinators at the district level.

3.6.3 Redundant Positions

The position of ACF was created to relieve the DCF of work pressure. The ACF was expected to act as nodal point for all decision making at the sub-divisional level (taluk level). Over a period of time all positions at the ACF level were filled up. At present even though there are several officers who are designated as ACFs at the sub-divisional level, they are unable to make the required contribution. If measures are not taken to strengthen the role of the ACF at the sub-divisional level, it may be worthwhile to abolish this position altogether.

3.6.4 Social forestry division

In view of heavy expenditures incurred on establishment expenses and the setting up of DWDO, it is recommended that the social forestry division at the field level be closed down.

3.6.5 Corporations

In case of KFDC it can be closed down and the activities presently being performed can be transferred to the territorial division. Similarly KFIC can also be closed down and the activities presently performed can be outsourced to the labour co-operative societies.

3.7 Outsourcing and Privatisation

3.7.1 Opinion of Officials

Among the DCF and ACF who had responded to the survey, 50% of the respondents identified activities such as logging operations, various jobs of preparing roads, de-weeding, putting up fences etc, maintenance of equipment and weaponry, surveying canopy for density, eco-tourism and management of guesthouses to be outsourced to contractors. In addition to this list, the study team recommends that raising of nursery, collection of NTFP be outsourced. However, if any of the VFC is willing to carry out these activities they should be given priority over others. The study team strongly recommends that the survey of canopy and classification of forests on the basis of density be outsourced to specialised organisations such as ISRO or KSRSUTC or IIFM.

Necessary equipment such as wireless has to be sent to head quarters for repair and not to be attended locally. In the words of an official, it is as good as lost, as the time taken for repairs is inordinate

3.8 Decentralisation and People's Participation

3.8.1 Financial Delegation

3.8.1.1 Outdated financial code

Financial delegation of powers to officers in Karnataka Forest Department has not been reviewed for several years. As a consequence implementation of schemes gets delayed. The independent study group has recommended that the financial power of DCFs approved estimates of works need to be increased from the present level of Rs. 50,000 to 5 lakhs. It is also recommended that the limit for advance to RFOs needs to be increased to Rs. 1 lakh from the present level of Rs. 15,000 and RFO may be delegated power to sanction estimates up to Rs. 50,000 to enable them to make prompt payments to workers engaged to carry out field work. The present practice brings uncertainty as regards the final approved amount for works already undertaken and leads to unhealthy practices in the Department.

3.8.1.2 Cheques on personal name

One of the practices that have continued from several decades is the practice of issuing cheques to officials on personal name for the work to be carried out within the forest. For all the maintenance work carried out within KFD, cheques are issued

on the personal name. Many staff at field level believe that this provides a chance for unethical practices. As this practice is not to be found in any other department, this should be called off and if needed maintenance work should be out sourced.

3.8.1.3 Erosion of powers

Over the years, a few of the powers of the officials at the field level have been taken over by the officials at the higher levels. For example, the power to transfer RFOs, Guards and watchers was with DCFs, it is now taken over by the CFs. In many cases, the concerned DCF is not even consulted. DCF had the power to appoint guards and watchers, even these powers is taken away from the DCF.

With redundancy of financial powers, many officials have no power to penalise many criminals. Due to escalation of cost such powers have gone to officials at higher levels.

3.8.2 VFCs

1. It is desirable that KFD evolves a clear and balanced policy with regard to the range and scope of VFCs functions, relating to livelihood needs of the members, which go beyond forestry. This will enable the planning process to take into account and remove ambivalence relating to KFD responses to micro planning exercises and avoid consequent frustration to the villagers.
2. KFD must make serious effort to improve the process of preparing working plans to give effect to national forest policy of involving local communities in the management of forest resources. It is desirable that the experiences of the Western Ghats forestry projects in developing new tools for decentralised planning such as site specific plans are integrated into the working plan process. Any technical assistance needed for achieving this should be given high priority.
3. A widely prevalent impression that exists amongst members of VFCs is that they are funded by overseas money. This has been reinforced after the flow of resources has stopped to VFCs as a result of the completion of the Western Ghats Forestry project. There is a considerable degree of demoralisation among VFC members due to lack of funds for undertaking schemes at that level. It is therefore necessary to pump resources into the VFCs so that those schemes could be undertaken. If this is not done, all the gains and momentum will soon be lost and a fresh beginning will have to be made.
4. There is widespread belief amongst members of VFCs that the "seed money" is not to be spent but only to be "grown" as a deposit at the bank. The reluctance to spend money is also there because the forester as a member secretary feels accountable for the expenditure incurred. He is, therefore, extremely cautious in signing cheques and authorising any expenditure in VFC.

3.9 Shift from Administrative to Managerial Culture

- I A shift from administrative culture to a managerial culture is the task of senior officers in KFD, which cannot be delegated. The top management of KFD will have to collectively address the following questions:
- a. Where do KFD need to be going strategically as an organisation?
 - b. Where is KFD now as an organisational culture?
 - c. What are the gaps between where it is as a culture and where it should be?
 - d. What is the plan of action to close the gaps?
- II. Although change in culture is a “soft” issue, it calls for hard decision on the part of top management of KFD. The following are some of the specific areas where the process can be initiated
1. **Decision-making:** At present decisions relating to schemes are made by senior officers on the basis of general information or assumptions. The senior officers are far removed from field level. The field officers who are located closest to action are in the best position to make decisions. A serious look at decentralization of decision making is required. The structural changes recommended in this report are a step in this direction.
 2. **Managerial Roles:** The new role for the top management of KFD is to create a “shared vision” and to support and encourage team spirit in KFD. The primary responsibility of senior officers in KFD is to protect field staff from top down pressures and to find additional resources rather than to instruct and control. The new roles for senior officers in KFD will have to be specified in detail by organising a series of workshops.
 3. **Management Style:** A shift from administrative to managerial culture also requires a change in the management style from a top down command and control style to a bottom up support and incentive style. It is necessary for this change to take place across entire organisation because it is impossible to maintain a participatory style between project and client and a command style between senior officers and field staff.

III. Capitalisation of new Technologies

New technologies are constantly presenting KFD with new challenges and opportunities to work more effectively. The Karnataka Forest Department must explore ways to incorporate these technologies into its day to-day work. The use of high-speed data transmission can save the Forest Department money on office costs. The use of videoconferencing and tele-conferencing can save money on travel costs. Use of the internet can promote better understanding of the mission, the goals and the programs of the various departments. A well-established management services department can compile and distribute information and also provide training to employees on the use of internet, tele-conferencing and other information sharing systems

IV. Staff Morale

A responsive Forest Department is an essential ingredient of natural resources management and one of the best guarantees for effective conservation. The officers and staff in KFD lack the enthusiasm and are demotivated. The poor morale in KFD can be attributed to political interference in their work, prejudiced and motivated transfers, illegal forest cuttings, support to forest offenders by politicians and feeling of powerlessness amongst officers as they are not consulted while making decisions. The following measures may help in improving the morale.

1. Encouraging Forest Officers to work in other departments of the Government at the district level
2. Banning political interference through legal measures in the transfers of RFOs, Foresters and Forest guards.

V. Image Building

It is important to create a department at the Head Office to facilitate communication to employees and outside public about the good work being done by the department. Employees of the department should be motivated to act as goodwill ambassadors of KFD.

VI. Building Intelligence Network

As part of the preventive approach to organise it is necessary to build an effective intelligence network which can give early warning signals. Emphasis on peoples participation will strengthen this capacity. The funds available for rewards to informers also need to be enhanced.

HRD IN KARNATAKA FOREST DEPARTMENT

Human Resources Development has been regarded as one of the important aspects of the development requirements of KFD. KFD as one of the oldest departments in the state, has undergone number of changes as a result of increasing population accompanied by mounting pressure on the forest land, forest produce and increasing threat of forest degradation. The KFD has not brought about necessary changes in the HRD to meet the current and future challenges. The efforts to improve HRD in the past has been non systematic, unplanned and highly inadequate. A meaningful HRD effort requires looking at the issues of human resources in an integrated manner right from the stage of recruitment to retirement. This is because ultimately, the ability of KFD to reorient itself to the needs of the ever-changing environment would largely depend on the capabilities and attitudes of the staff of the department. The objective of the KFD should be to develop a competent and efficient work force to serve the organizational objectives.

Personnel at KFD can be categorized into administrative and field based. Exclusively for administrative purposes, there are two categories of officials; they are IFS and State Forest Service cadre. This division is based on the mode of recruitment. In one, it is through passing out all-India competitive examination and subsequent training they are identified as Indian Forest Service (IFS) official. These are governed by the rules of the Central Government. Those officials who are recruited by the state government at the level of Assistant Conservator of Forest (ACF) and those who could reach this rank by promotion are called officials of state forest service. They are recruited by the Departmental Recruitment Committee of the State Government and then trained for two years, before postings.

The field-based staff has two kinds of officials, one who acts as a link between the field staff and that of administration and those who manage the field staff. The position which acts as a link between the administration and the field staff is called Deputy conservator of Forests (DCF), the same position was earlier designated as District Forest Officer (DFO). Both the IFS and state officers normally fill this position.

Below this rank, which can be identified as field staff or front line staff, in declining order are Range Forest Officer, Forester, Guards and Watchers. In addition to this field staff there are the office staff (supporting staff) such as Second Division Clerk, First Division Clerk, Managers, Gazette managers, Attenders and Drivers.

4.1 Appointments

The normal procedure for appointment of field staff is by direct recruitment, either through calling for application or based on the recommendations of employment exchange.

A number of positions of the field staff such as RFOs, Foresters, Guards and Watchers, are vacant for more than 15 years. No recruitment has been made since 1986. There are a sizeable number of positions vacant even in the cadre of administrative staff. Since the frontline staff provides the most critical input into the forest management in Karnataka, this component of the manpower is one of the weakest in KFD.

4.2 Adhoc Appointments:

One of the mechanisms adopted by the officials to fill the vacancies of the frontline staff is to go in for temporary staff or for ad-hoc appointment. Three kinds of staff are utilised to fill the vacancies. Firstly, muster roll guards, watchers and drivers waiting to be absorbed. Secondly, there are a number of watchers who are appointed on a contract basis, a very ambiguous appointment called as "PCP" which means raising a bill as petty cash payment. The third category are those who are employed on daily wages. Within muster roll employees there are again two kinds; those who have served for more than 15 years called super-numery and those with less years of service. The number of years of service put in by these employees range 5 years to 17 years.

In case of PCP employees learning from an earlier experience, officials have taken all the care to leave no trace of record anywhere. There are employees who have put in more than 5-10 years of service as PCP. In this category KFD has appointed computer operators who work at taluk or district offices. Since they are not on pay roll, there is no evidence that these employees have served the departments. This is an inhuman practice and needs to be discontinued..

Another category, which is confined only to social forestry section, is called "Motivators" These appointments were made against the JFPM scheme and JBIC programmes. In order to motivate rural population to go in for afforestation and for agro-forestry these positions were created. The motivators were paid a modest honorarium of Rs.1000 per month. They were trained only to motivate not to guard the forest or the plantations nor in afforestation techniques. It is unfortunate, that a decision has been made to absorb these motivators as regular employees while those who are guarding the forest as part of front line staff have not been absorbed.

4.2.1 Implications of Adhoc Appointments

As a result of many vacancies the guards and watchers have to cover more beats and it is a common scene to find the same guard and watchers in 2 or 3 shifts. Needless to say this affects the quality of work and even supervision by foresters, as the field staff have to cover a large area of land without any modern equipment to handle crime. There is no strong input into protection function of the forest.

Table.1
Statement showing the compensation paid to wildlife victims in Chikkamagalur Forest division

S.No.		1999-2000		2000-2001	
		No of Cases	Rs.	No of Cases	Rs.
1	Cattle Killed	32	32,000	135	1,12,350
2	2.2 Crop Damage	102	74,000	115	69,150
3	Injury	06	15,742	12	15,000
4	Human death	05	4,20,000	03	2,50,000
	Total	145	5,41,742	59	4,46,500

(Source: KFD: Chikkamagalur Forest Division.)

A number of foresters are expected as part of their job to catch the criminals and file a FIR as that of a police. A police official is trained in filing the FIR and is assisted by an exclusive official called writer stationed in each police station. No such facilities are made available for the guards or other forest officials. As the legal process has become more complicated over the past few years, foresters do not receive any useful training to update their legal knowledge in handling legal cases. In fact almost 15 days in a month foresters spend in handling court cases. While criminals have the access to much better legal help than the forest department, the latter loses many of the cases booked against forest offenders.

There is no career planning in the division. People who are appointed on daily wage basis were regularised in 1996. Since the minimum qualification was overlooked, there are a large number of such people who are not competent to carry out their duties. Under this condition KFD has not really thought of a well-structured career plan including substantial component of training for the field staff.

While the IFS cadres are recruited through a quota allotted by the centre, this number has increased over a period of time. Currently there are 165 IFS officers working in Karnataka. A number of IFS and the state cadre officers feel that the forest department (KFS) is top heavy with a very weak frontline. There is also a feeling among the IFS that when the officers are recruited from the central quota they are posted to those departments by creating new positions, which are not essential. At any given point of time 20 IFS are supposed to be on central government deputation, whereas currently only 4 are on deputation. As a result of this, number of state cadre officers positions are occupied by IFS personnel besides two CCF positions meant for state cadre is again occupied by IFS. As more and more IFS occupy even the DCF positions meant for state cadre, it creates stagnation down the line.

In addition the IFS and the state cadre, ACFs or DCFs are appointed either by promotion of RFOs or recruitment at ACF level. These officers are promoted under the state cadre to DCFs and even CFs. There is a general feeling in the KFD that a number of CCFs and additional CCFs positions were created only to accommodate the expanding number of IFS. There is a feeling that the Government of Karnataka (GOK) at the appropriate time did not say no to Government of India (GOI). This has resulted in IFS officers occupying positions reserved for state cadre. Consequently the promotional avenues for state cadre officers has become restricted.

4.3 A re-look at the recruitment in the changing scenario

The very function of KFD has changed in the last 2-3 decades. The objectives of KFD are no longer mere protection. Its scope of activities has enlarged substantially. There was a time when KFD was supposed to protect its resources from encroachment and degradation of forest. With the tremendous population growth, the numbers of people who are living in the catchment area of the forest have increased. Their needs from the forest such as timber, fuel, bamboo and other resources have increased. As a result, the Government has also changed its role in preservation. The people in the vicinity of the forest need to be educated and involved both in planning and implementing schemes for protection of forest. KFD should accept the reality that the local people are highly dependent on forest resources.

Given this paradigm shift, there is no corresponding change in the recruitment strategies of the KFD. There is no well thought out recruitment plan within KFD. It is not thinking of attracting people with the right combination of knowledge, experience, skills and attitude needed to achieve the changed objectives of KFD, especially when group C and D personnel are recruited. The emphasis is only on minimum educational qualification and some physical standards. Quite a few of the watchers and guards recruited (especially the muster role and PCP workers) are drawn from local community. They are not well trained both in their attitudes and approach as to how they should play the appropriate role in protecting the forest resources. As a result, many a times they come in conflict with the local community to which they belong and this conflict leads to dilution in carrying out their responsibilities as front line staff. This can be traced to lack of appropriate recruitment policies and appropriate training immediately after recruitment.

KFD must plan its recruitment including present needs and anticipating future needs. The recruitment must not be just limited to the functional expertise but should include attitudes and approaches that fit the KFD objectives and culture. There is a need for a periodical review and updating of recruitment and promotion policies of KFD. In the changing social and working environment, especially keeping in mind the high level of stagnation in the cadres of KFD, the periodic reviews becomes a must.

4.4. Recruitment of women

With the changed objectives of KFD, the number of women who are either involved as encroacher or illegal collector of forest products for household purposes or user of bamboo and cane for basket making need to be dealt with by the forest officials. In this situation, a number of cases of atrocities on poor women are reported. While KFD emphasizes its priority to work with the community; there are no women forest personnel in B, C and D categories. There are a handful of women officers only at the level of ACF and above. There is a need for KFD to make efforts to encourage women to apply to KFD so that more of them can be recruited as frontline staff and as officers.

4.5 Rethinking on staff pattern

The forest personnel, whom the study team has interviewed, specifically talk about the need for re-looking at the staff pattern and their responsibilities. There is a feeling that a professional body like IIFM, Bhopal should come up with scientific study to redefine the beats and sections of watchers and guards. In the absence of such a scientifically based staff pattern, while the number of encroachment have increased in the last 2 decades, the number of watchers and guards remain the same. Besides, the criminals are well equipped with the latest gadgets whereas a guard or watcher has nothing but a stick or a sickle to scare them. This all the more justifies the need to re-look at the staff pattern.

The kind of job the forest officials are doing have changed in the last 2 decades. The numbers of court cases they have to handle have increased by leaps and bounds. Encroachment cases, Illegal felling, smuggling of teak and sandalwood are on the rise. The increase in the number of positions and how well they are equipped and trained is not commensurate with the nature and growth of forest related crime. More than

this, the KFD is also involved in developing VFCs, community participation, bio diversity, working with the Zilla Parishad (ZP), and rising medicinal plants. All these require a re-look at the staff pattern both in terms of workload and need for additional training.

The average age of beat guards and watchers is increasing. This is because of lack of promotional opportunities. As a result guards and foresters who are not physically fit continue to work in the field. If fresh recruitment is not made in the near future, it can be highly damaging to KFD. It seems that a male dominated department, fewer intake of young and physically fit persons, infrequent recruitment of field staff are some of the major concerns of KFD in this area.

4.6 Promotion Policy

As there is a ban on recruitment and some of the foresters and guards have been promoted to higher level, their positions in the previous cadre has remained vacant. There are Foresters, Guards and Watchers whose average age is about 48 years and some of them are even 50-53 years. At this age they are certainly not physically fit to walk long distances, do physical work in the forest and apprehend the criminals. As a result there is an urgent need to recruit young physically fit and qualified people in the frontline in order to carry out the protection function of the forest. This lack of career plan has brought about tremendous dissatisfaction and indiscipline within the rank of front line forest staff.

A number of frontline staff does not get promotion even after serving 15-20 years in one position. Besides, there are inter circle disparities in the promotion of frontline staff. For example in the western ghats circle when new schemes are taken up, due to increased work load the frontline staff move up in a span of 3 to 4 years. Whereas, their counterparts in other circles, remain in the same positions for over 10-15 years. This results in wide disparity between two circles. They also do not receive any time bound increments.

Among the IFS they receive atleast three to four promotions in their career. Some times they receive two or three time bound increments. The state cadre officers do not get the same promotional opportunities like the IFS. There are state cadre ACFs who have not been promoted to DCF positions even after 20-26 years of service. They retire as ACF only. These disparities to be addressed urgently.

4.7 Lack of Career Plan:

When the issue of career planning of IFS is looked at, the situation is unsatisfactory. An IFS will at least get one promotion, though the argument is that he must get at least 3 promotions. However, he gets 3 time bound increments in his service. Career planning is still absent. In other words, there is no plan in KFD which says how many years an IFS has to spend in territorial, social forestry, wild life, working plan and training departments. There is no map, or a career path, which informs a fresh IFS recruit as to what assignments he will handle in the next 10 or 15 years. The reality is, those who have the right contacts, political influence and lobbying power, end up in important positions and remain there for a very long period. One or two examples to bring home this point are an IFS officer who is in a senior position in GOK, about to retire, but has not served in a territorial wing at all. On the other hand,

there are also a number of IFS officers who have not put in any experience in wild life or social forestry. The perception in the IFS which the study team has been able to analyse through intense interview is that, territorial is the most attractive posting and then comes (in order of priority) wild life, social forestry, working plan and training. One of the reasons for this may be the nature and activities carried out in the territorial wing, the amount of budget which they control, the number of officers and staff, office vehicles and several other unwritten perks, which go with the positions. KFD should plan for a career path for the IFS. In other words, any IFS who retires after 25 - 30 years of service should have typically worked in all the wings of the KFD, say at least for a period of 3 years in each wing and must have had adequate exposure both at the divisional level and at the circle level. When this career path is well laid out and every officer knows that this is the only route he has to move, it will remove all the unhealthy practices existing today.

4.8 Transfer Policy:

There is no transparent transfer policy in the KFD. The DCFs who had the powers to transfer the subordinates has been done away with. Since there is a ban on transfer, political interference is very high. A DCF or ACF cannot discipline a forester or guard as he either gets his transfer cancelled or get a posting to his place of preference. This is again related to lack of career plan which has been discussed under a different section.

4.9 Training

The comments made in 4.7 and 4.8 are based on the data relating to courses offered at the Forestry Training Institute, Gungaragatti.

Most of the time, training is imparted at the induction level. After induction training, the frequency and quality of training do not seem to be satisfactory. There are a number of forest guards and watchers who were not trained, even once, (at the time of recruitment) because of ad-hoc appointments made. A large number of field staff are untrained even after serving the KFD for 15-20 years. All that they have learnt is from word of mouth and from their colleagues and superiors. There is no systematic training. In fact, for forester to write FIRs for an encroachment case or any other offence, no basic legal input is provided in the form of training. Most of them depend on others to help them out.

This is a matter of grave concern. While KFD puts bio-diversity as a predominant issue, there is no intensive training. The team did not come across any well thought out training after promotion. As promotion itself is not based on any career path, the question of providing training in certain areas of specialisation, keeping in mind the next position where he will be promoted seems to be nobody's concern.

The work force at the field level especially the state cadre should get some general management training of a few weeks duration at least once in a year which helps them to keep abreast of the changes in the forest department and in general will enhance their general managerial capabilities.

There is no training need analysis on a scientific basis. This is because clear-cut job description and delineation of roles in conformity with the changing objectives of KFD are not well articulated. When such a need analysis is not done, the personnel look at training more as a ritual. Therefore, the training courses conducted by various Institutes are usually trainer centred and not trainee centred. For example, in a group there will be officers who are serving in different departments and their specific needs are not met in the training. Besides, in the absence of appropriate HRD policy, these trainees do not know where they will go after 2 years and hence they are not able to articulate their training needs. In fact, most of the transfers are based on individual power, political contacts and the nature of network with politicians. In such a situation, it is not possible to scientifically plan the movement of staff and hence lack of appropriate training strategy.

The posting in the training department itself is looked at more as a punishment than a fulfilling job. Even then, some staff who develop a liking for training and make an attempt to bring about some changes are transferred to the field abruptly. When these trainers are frequently shifted, there is no scope for planning and implementation of quality training. Training of trainers is a highly neglected concept.

4.10 Strengthen Training Institute

The training circle in KFD must play the role of a training manager rather than trainer. The demand for training in the key areas would be enormous and it may not be possible for training wing to deliver all programs that are required. The first step should be to assess the resources available and develop institutional links with a group of people in identified organizations. The core group of resource persons would have to spend their time in developing understanding of the forestry sector.

The training circle should cover all levels of KFD hierarchy and organise programs to cover strategic, managerial and operational issues in KFD. Forestry Training Institute, Gungargatti may be revamped as a management-training institute with a wider mandate.

The training institution may also be used as a vehicle for ushering a managerial culture in KFD. KFD may use participatory forums for developing a distinctive culture suitable for the changed working environment. The true value of such an effort will be enormous when it is initiated and endorsed by participation of top managers of KFD.

It is extremely important that the training wing in KFD follows a program of faculty development in interactive training techniques, consultancy and research, besides professional development programs in their respective disciplines. The training methodologies should go beyond classroom teaching to experiential learning and must be backed up with project work to be done by participants in the field.

To cater to the needs of transforming KFD from administrative culture into managerial culture, it is essential that the training institute should get equipped with the following;

4.10.1 Faculty

It is very essential that the quality and standard of present faculty at FTI, Gungargatti be upgraded through two ways. Firstly, by enlisting the qualified technical faculty from other institutes as guest faculty and secondly, by enabling that officials at the rank of CF to spend at least one term as faculty before being promoted to higher rank.

4.10.2 Courses

Keeping in view the recommendations made in the section 2.9.2 it is essential that both long term and short-term courses are offered at the institute to meet the global and national level demands. Few courses such as use of GIS, remote sensing and GPS should be carried out on a priority basis.

Exclusive courses on conservation of bio-diversity, threatened and endangered animals, medicinal plants, etc, have to be incorporated at the earliest. Officials of KFD have to be trained in certification of forest products at the earliest.

4.11 Performance Appraisal

There is no scientifically based performance appraisal system existing in KFD. The present system of evaluation suffers from lack of a development-oriented approach and transparency. The present practice of writing confidential reports (CR) is highly resented by the staff. The staff are very much critical of the present CR systems because of the following reasons: (1) When the CRs are written by the Reporting Officer and reviewed by the Reviewing Officer, only adverse remarks are communicated to the employees. There is no mechanism by which even favorable remarks are communicated to the concerned employees. Any employee can appreciate the adverse remarks only in the context of both favorable comments and adverse remarks. In the absence of a total perspective, no employee will be in a position to accept adverse remarks in the right spirit. (2) There are significant delays while communicating the remarks to the employees. The staff is in favor of a transparent performance appraisal system, which focuses on feed back, providing training and meeting the development needs of the employee. (3) The present system of CR is highly biased in favor of personal traits rather than professional capabilities of the employees. (4) It is highly subjective and no objective criteria exist. (5) The officials who write CR are not trained to evaluate and write specific comments about an employee. (6) While adverse comments are used to deny promotions to a person, favorable comments are not used to promote an employee.

4.12 Frontline staff: some major grievances:

The study team has interviewed a number of frontline staff who have very specific problems in the field which are either directly related to their work or to their welfare. These problems are listed below:

- 1) Most of the frontline staff who are posted outside the district headquarters do not have proper housing and education for their family and children. They end up running two establishments, one at the site and another at a district headquarters, which becomes very expensive given their meagre salaries.

- 2) Those who are working in the wild life division are not well equipped with modern equipment and arms to prevent criminals from poaching on the wildlife. The arms and ammunition carried by the criminals are far superior to that of the front line staff.
- 3) Frontline staff (working in the wild life division) constantly faces danger to life both from wild animals and criminals. Neither they receive any compensation, nor insurance or additional allowance.
- 4) Question of providing insurance is raised time and again by the frontline staff in all the districts under study. These people especially, the forest guards and watchers do not get access to any vehicles, not even a two wheeler, which acts as a major disadvantage in chasing the criminals.
- 5) Whenever they move to the district headquarters or police stations or court, they do not receive any reasonable travel allowance. Even the meagre TA fixed by the KFD is not paid to them on time and when bill for actuals are submitted, only a rough figure is paid at the end of the financial year by the RFO with an explanation that there are no sufficient funds.
- 6) The Foresters and Guards would very much like the KFD to provide motorbikes and reimburse their petrol expenses.
- 7) Uniform has been a major problem with the frontline staff. While the Foresters and Guards get some uniform, they do not get it as a total package, but items are given piece meal. Quality of supplied materials is extremely poor. One of the suggestions of the frontline staff was that they should be provided better uniform like the police department and as a total package.
- 8) While RFO has the secret amount to pay for the informants, the KFD rule to pay the informants only after the court case comes to a logical end is not at all practical. In order to retain the trust of the informants, it is important that this amount is to be paid to them as soon as a case is filed.
- 9) Since RFO is the critical link between the frontline staff and forest administration, the office needs better communication facilities. He needs to be provided with proper wireless sets, mobile phone and more powerful communication equipment.
- 10) As a large number of rangers and watchers positions are not filled, there is a substantial rise in the compensation paid to the victims of wild life havoc. This is directly related to lack of proper supervision of the movement of watchers and thus leading to lack of prevention of increase in the number of victims.
- 11) Some times, watchers and guards are used by the KFD officials for other kinds of duties such as running errands, working as drivers, dispatchers, and even some time as cooks in the forest guest houses. In addition to this, whenever there is extra work to be done they are posted to the

adjoining sections and beats to help other guards and watchers either in handling encroachment or chasing criminals. While the staff is doing all these kinds of activities, with the consent of RFOs, if there is an illegal felling in the beat allocated to a guard or watcher, their superiors immediately suspend them. Some of the employees remain suspended for a very long period before they are reinstated.

4.13 RECOMMENDATIONS

1. It is important to develop a comprehensive performance appraisal system for all the cadres of the employees in KFD. Specialised services of professionals may be utilised to design formats to initiate self-appraisal systems and providing feed back and comments to employees. Such a well-developed performance appraisal system should also be linked to the career path of an employee and fulfilling his training needs in KFD.
2. The strength of the IFS may be reduced from the present 165 to 100.
3. State cadre officers should be posted to positions reserved, but currently occupied by IFS.
4. Filling the frontline positions by open recruitment at the forester, guard and watchers level by attracting people with the right combination of knowledge, skills and attitude for the job.
5. It is important to come up with a well thought out recruitment policy that will enable KFD to induct more women officers into the state cadre.
6. It is recommended that in order to create healthy competition among officers, one gold medal and one silver medal should be awarded every year to two kinds of employees.

(a) Two officers

(b) Two frontline staff consisting of foresters, guards and watchers.

Some of the following criteria may be used for selection of candidates:

- a) Outstanding fieldwork relating to development of projects, maintenance and repairs of projects, unusual creative activities undertaken in protection.
 - b) Outstanding drive, motivation and initiative displayed in organising and getting work done in emergencies
 - c) Outstanding contribution made in research or designing work
 - d) Completion of a novel scheme or a complex project as per approved plan without cost or time over run.
7. A grievance redressal committee of senior officers who have an appreciation for field problems should be constituted. Its task should be to develop a time bound program for prioritising and taking decisions on employee grievances listed in this report (Annexure.4).

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

The Government of Karnataka has resolved to take concrete steps to enhance transparency and accountability in Government operations and streamline administrative procedures for dealing with citizens.

Karnataka Administrative Reforms Commission (KARC) requisitioned services of Indian Institute Of Management Bangalore (IIMB) to conduct functional review of Karnataka Forest Department (KFD).

The objectives of the study are to examine organisational capabilities of KFD to meet current problems and emerging challenges, the planning and decision making process in the light of current objectives of KFD and to assess the HRD policies and their implications for making KFD a responsive organisation. Additionally, to examine the working conditions of field level staffs of KFD and express the concerns.

The scope of the study includes a)-detailed analysis of the structure, functions, cadres and manpower at different levels in KFD. The linkages of the main line department with other statutory bodies such as KFDC, KFIC and Programs and schemes are analysed for better functioning of the main line department. b) Policy level discussions regarding organisation structure and functions of various schemes, programs, decentralization, people participation at different levels in the hierarchy of KFD, with special focus on (1) conformity to set objectives, (2) shortfall in achieving targets and the risks thereof, and (3) workload of officers at different levels and constraints faced by them.

Methodology for this study included fieldwork in three taluks in each of the five districts in different parts of the state. At each district head quarters, officials were interviewed along with field visits to various sites of afforestation and protection to forests. Beneficiaries were interviewed to identify the problems faced by them in accessing services from KFD.

Interviews were conducted at the secretariat level, head office and at field level. Interviews covered officials, front line staff, administrative staff, VFCs, NGOs and beneficiary groups.

Questionnaires were administered to officials at field level (A&B category) and beneficiary survey was conducted.

The key deliverables are:

- 1 Restructuring/reorganisation/merger of units to improve efficiency and better service delivery mechanisms.
- 2 Right sizing of the departments, redeployment of staff, abolition of surplus posts with specific reference to all cadres and levels in KFD.
- 3 Activities to be outsourced or privatised

4 Improving systems for great accountability and transparency in the functioning of KFD.

The review of the performance of KFD indicates that it is positive in terms of the increase in forest area, afforestation in areas outside the forest regions and in establishing sanctuaries and parks for conservation of wild life, in spite of several constraints. However, performance is negative in terms of productivity and regeneration of forests.

Review of planning and decision making within KFD shows three shifts, firstly, calling off working plans due to hostile environment, secondly, embarking on new schemes and programmes, which are for a specific objective and highly target oriented. These schemes made KFD to depend on annual plans than on long term plans. The last change was a paradigm shift in terms of embracing to a new process of functioning through identifying the stakeholders as partners. Joint Forest Planning and Management launched as experiment in Uttara Kannada has proved to be effective. This experiment has enabled officials of KFD to learn new tools of planning and management.

Excessive dependency on annual plans has reduced number of activities of KFD to afforestation and associated activities such as raising saplings, planting and activities associated with the growth of plants such as weeding and guarding. Consequently, long term plans for enhancing regeneration and productivity has taken the back seat. There is a strong doubt among the larger public about the efficacy of the amount invested over last 20 to 25 years and the area afforested in the state.

In order to bring 33 per cent of geographical area under forest cover, KFD has initiated site specific programmes such as watershed programmes and also in afforesting foreshore areas of tanks and on roadside. How in these programmes KFD interacts with PRI or with Department of Watersheds is not spelt out clearly. One of the opinions of the public is that with loss of gomal lands and other common property resources, areas for afforestation is restricted to play ground around the schools.

One of the strategies to overcome constraints and achieve targets is through long term planning both for the areas where the area under forests is quite substantial and also for areas where it is not. In fact, working plans are highly essential for those districts where the area under forest is low. Available C and D lands have to be identified in these districts and long term plans have to be drawn. For the areas with forests, there is a need to plan for increased regeneration and productivity. This is possible only with good working plans.

The present Forest Policy and the Action Programme for 20 years are laudable for the efforts but Policy document lacks a vision and measurable goals. Secondly, the Policy has not covered many of the sectors such as wildlife, planning and silviculture. The policy focuses largely on afforestation and adoption of watershed techniques in protection of forests. It does not address the issues except grazing and no vision is set on the global issues.

The action plan fails to incorporate JFPM philosophy. Further, it has not moved out of traditional revenue orientation. Thirdly, it is focussed too much on afforestation but fails to spell out clearly the strategy for non-forested areas.

The existence of policy and action plan should not only be felt by higher echelons but must serve as guide for day to day activities of officials at the field level especially of the front line. The former appears to be a truth than the latter in KFD.

The structure of KFD has undergone change to manage various schemes and programmes. Consequently, there is a vertical split in the department on the lines of the schemes and programmes and in most of the districts, one can find several DCFs manning different programmes and schemes. There is no coordination mechanism among these DCFs. Many a times, as the head quarters of immediate reporting officer (CF) will be different from the other, it is very difficult to coordinate with one another. Consequently, the position of district level authority is weak and less effective.

With the existence of several parallel positions the workload is not uniform across the divisions. This is resulting in not only wastage of manpower but also the morale of the officials. It is recommended that CF be made the head at the district level to bring about co-ordination among the divisions.

Within the structure the technical capabilities are traditional, yet effective in protecting the forests. Due to lack of long term vision and planning, the technical requirements for officials is not visualised for the changed circumstances especially after accepting JFPM. The failure to upgrade skills and techniques at various levels is due to consideration of the fact that JFPM as a scheme would conclude soon. However it is not looked at as a new process and new philosophy for conservation of forests. Within a short time there is a significant change in the approach of the officials towards rural communities and the rural community towards officials. A few of the officials have been able to fill enthusiasm to VFCs.

Due to annual plans and absence of long-term vision, centralisation is high and it is causing long delays. Approvals of action plans reach the field level staff some time in September and October, which happens to be the concluding session for planting. Such delays have implanted a strong impression among the front line staff that delays happen due to failure of officials to invest time and funds at the head office. The speed with which approvals are sought is directly linked to proportion of time and funds spent at the head quarters in Bangalore. At the field level similar opinion is widely prevalent and executives at field level evaluate the DCF/ RFO based on the same criteria.

Annual plans, centralisation and investment of time and funds are all the contributory factors for few of the officials to serve in territorial sector for a long time, there by denying a chance for others and also being posted at Bangalore or nearby districts. These favoured few are not only spreading discontent among the staff and officials but also are bringing down the morale and have replaced the work ethics. They are setting standards for others in equipping oneself to offset transfers to far off places and non-remunerative positions. Such examples are eating into the capital asset formation and assets existing in the forests.

Centralisation of power has made several positions redundant. Of such, ACF is one. Even though Forest Code of 1980 defines the power and authority of ACF, due to consistent denial of place to work, supporting staff and by passing crucial papers, it is almost equivalent to executive office assistant for personnel errands of DCF. Consequently, the power of this official is so weak that none in the department takes him / her seriously. Surprisingly, the senior officers have also closed their eyes to the happenings.

Centralisation seems to be necessary for personal growth in terms of getting into preferred place of posting. This is coming in the way of efficient monitoring and evaluation of fieldwork. To be aware of all the financial transactions and to guard the papers from prying eyes of the lower officials, DCFs work beyond the normal office timings so as to examine all the incoming and outgoing tapal. In spite of increase in workload due to new schemes, the need for additional office assistants is not felt by many DCFs as they physically look into all papers including leave applications of lower staff. Consequently, more than 70 per cent of time is spent in the office and only 10 per cent of time is spent in the field..

There are two kinds of cadres at KFD. Firstly, those IFS officers who are through a competitive examination and as a central cadre. The other one is the state cadre who is recruited at the ACF level and move up into IFS cadre. Supplementing these administrative officials are the field staff. They are recruited by the state.

Irony is that for a department that has to watch, guard and protect 20 per cent geographical area of the State, has more than 2000 vacancies at the front staff level. On the contrary, at the administrative level it is over staffed. At top and middle level all the positions are filled up. There are 165 IFS officers at the top and at the middle about 975 staff of state cadre are working.

With regard to working conditions, at all top and middle levels, at least the basic necessities are fulfilled. Only RFOs had to be equipped with telephones. On the contrary, the working conditions of front line staff are lacking in terms of housing, health and education for children. The conditions in the camps conducted within the forest and where the front line staff had to stay for weeks together is highly demanding in terms of basic necessities to stay.

Uniform provided, travelling allowance and incentives paid to front line staff fall short of motivating the staff. These grievances have to be addressed on a priority basis.

Due to many vacancies, the front line staff are expected to work continuously in more than two to three shifts in a day, but also in places away from the regular place of work. The front line staff is punished to the extent of suspension for any offence committed when they are performing duty elsewhere.

The large numbers of vacancies have provided a leverage for each official at the district level to employ front line staff, not only on daily wages but also on various dubious accounts such as "PCP". These empower the official not only to exercise unlimited power, but also to exploit the employee, even if one is educated. There are employees who have put in more than 10 to 15 years of service and yet do not have any record and live at the mercy of the officials.

The front line had to act as police and have the responsibility to arrest those who perpetuate crime on forest. In the absence of power to hand cuff, absence of a cell to guard the criminal and also with no facilities of a vehicle to transport criminals, many a time these front line staff yield to the political pressure and give in.

In the absence of legal training, this front line staffs end up preparing bad FIR, which cost not only their time but also the case for KFD. Absence of sufficient funds

to attend courts or to transport the seized material as evidence acts against the enthusiasm and morale of these officials.

There is no career plan either for the administrative staff or for the front line staff. Consequently, many of them do not receive any training to improve their career nor the training went through is put into any use.

The promotion policy for the administrative officials even if delayed is compensated with time bound scales. However, this benefit is largely confined to IFS and not to state cadre. Consequently, the morale of state cadre is low. The posting of IFS officers to those positions which are reserved for state cadre is not only regarded as dominance of IFS or central cadre over the state, but also as a denial of promotion to many. In contrast to administrative officials, the conditions of front line staff in terms of promotions, in spite of vacancies, is hard to come, even after putting in more than 15 to 20 years of service. There are many that have not received any promotion in their lifetime. This lack of promotional opportunity has resulted in aged guards being posted at the front line.

Above all, what the front line staff wants from the higher officials is sympathetic attitude and co-operation in times of crisis.

5.1 FIELD INSIGHTS

In the course of field visits, the study team found certain practices, which are existing in KFD, which are not healthy for a government organisation. Some of these practises are

1. Structurally, DFO will approve the action plans such as de-weeding, watering nursery, road making, fencing and fire protection etc., For these works, the DCFs will get the necessary budget in the form of a cheque on his personal name and on to his personal account.
2. Eliciting free labour from villagers who use forest for grazing and collection of fuel wood. However, bills are raised against their jobs.
3. Forest officials use the KFD guesthouse quite frequently. However, no proper records are maintained for their stay.
4. DCFs get a lot of personal work attended to by the lower staff.
5. The financial limits set for several accounts (vehicle repairs, fuel and maintenance) is very unrealistic. This forces officials to compel the lower officials into unhealthy practices.
6. Field staffs are also not paid TA on actual. They make up the deficits through undesirable practices.

5.2 Recommendations

5.2.1 Strategies

While going in for recommendations, the study has largely identified four strategies for bringing in efficiency at the field level and to boost up the morale of the staff in KFD.

The first strategy brings the working plans back into focus. These working plans need not be on the traditional lines but should be responsive to new demands of conservation. These plans also have to take into consideration various types and kinds of forest and their uniqueness and take into account the increasing population and its demand in the non-forest regions. In fact the study feels strongly that to reduce the pressure on the existing forests, working plans have to be made for the non-forest regions with definite time frame to identify the C and D land and prepare plans jointly with VFCs.

The vision for the forest policy and plans have to be broad based and all the schemes and programme should be drawn from it. The vision must serve as a guide to all activities that field level officials have to carry out. This will help in not only eliminating the ad-hocism in the annual plans but also focus activities on better conservation.

The second strategy that the study recommends is that of utilising the software for evolving a transparent policy for promotions and transfers. If a transfer policy can specify the rationale for transfers and the nature of experience to be gained by an officer, on the basis of a career plan, it will check the heartburn caused by a few blue eyed boys to the rest of the officials and also help in acceptance of the policy.

The third strategy is to move from administrative mode of functioning to managerial mode of functioning. This has to be a process initiated through a policy and plan that can enable cadres and members of VFC to participate in identifying the objectives and goals based on the needs, necessities and vision.

The fourth strategy will be to develop sound HRD policies within the department through transparent and participatory approach.

5.3 Specific recommendations relating to KFD are discussed below:

5.3.1 Planning and decision-making

5.3.1.1 Working plans for afforesting non-forest areas

To reduce pressure on the existing forests and to afforest the non-forest districts in the eastern plains, it is essential that in these districts working plans should be drawn for all the districts. In fact, it is more required for non-forest districts to address the question of converting at least the available C and D lands. These lands should be identified, surveyed and long-term plans drawn after imposing section.4. Such plans should be through people's participation and should include all developmental needs. VFC should be developed while reclaiming land under section.4 and VFC in the concerned area should be responsible for afforestation and protection of the area.

5.3.1.2 Separate Development Division

Separate Development division has to be set up within KFD and at each district level to handle all developmental demands.

The basic objective of this developmental division is to prepare working plans not only for the forest areas but also for the non-forest areas for afforestation. Even when new schemes are formulated, they should be within the framework of this working plan. If change is required, a change has to be incorporated in the working plan.

This developmental division will be responsible for conducting the survey of the entire C and D lands in the district and develop schemes either to afforest or to develop it as pastures.

The other activity of the developmental division is to serve as an extension and education centre. All districts must be encouraged to open information centres has been done at Mathavaram in Chikkamagalur district.

This developmental division with working plan for afforestation will be addressing all the afforestation activities in urban areas, school compounds, road side plantations, tank foreshore areas etc.,

At the district level, the DCF of developmental division will be reporting to DFO/ Conservator of Forests at the district level. At the state level, the existing CCF for development will continue.

If this recommendation is accepted, the entire manpower in the social forestry and working plan division at the district level will be clubbed together and there will not be any need for additional recruitment.

5.3.1.3 Train staff in preparation of working plans

There is a need to train staff in preparing working plans using the methodology of with people participation. Training should also be in techniques such as Participatory Rapid Appraisal (PRA), micro-plans, Geographical information system (GIS) and in use of remote sensing.

5.3.1.4 Outsourcing of nursery

To enable officials to invest their professional knowledge in activities related to conservation of forests, it is necessary to outsource raising of nurseries and protection of plantations.

5.3.1.5 Policy of GOI

The strategies and the methods used in the past have not been effective in achieving the goals of KFD. There is a growing realisation that the tasks are so complex and difficult that the Forest Department alone cannot accomplish them. The National Forest policy of 1988 spells out that, subject to carrying capacity of the Forestland meeting basic needs of people especially fuel wood, fodder and small timber for the rural and the tribal people must be given high priority. This leads only to conservation and preservation of bio-diversity and national heritage. Thus the Karnataka Forest Department needs a new paradigm which has thrust on participation, co-operation and specialisation.

5.3.1.6 Global level Policies

After the earth summit of 1991, there are many policies that are emerging at the global level. The most important global forums which are developing policies are the International Commission on Threatened and Endangered Species (CITES), World Commission of Dams (WCD), Forest Security Council (FSC), Commission of Climatic change and Global Programme for Forests (GPF). Additionally, agencies such as World Wild Life Fund (WWF) and UNEP are all developing policies for the conservation of forests and wild life from the conservation point of view. Networks are being developed at Global level for the conservation of rainforests, mangroves and shola forests. Similarly, for protection of wild animals also, forums are being developed. A few organisations such as European Commission (EC) and Codex have all developed certification systems for export of forest items along with FSC. Already, a few countries in Europe are insisting on certification of NTFPs to be certified for sustainability of forest. Globally, a few NGOs are addressing issues arising from such certification measures. Unless KFD addresses these policies and their implications on the forests of Karnataka, it will be difficult to keep pace with international developments. The planning wing in KFD has to examine each of these issues and prepare action plans for it.

5.3.2 Restructuring and Reorganisation of KFD

5.3.2.1 Reorganisation at the District Level

In order to provide a single point of co-ordination, the senior most DCF must be designated as the District Forest Officer with authority to commit department on behalf of the divisions at the district level. This will not entail any promotions or creation of any additional positions. However, this may run into administrative problems in deciding who happens to be the senior DCF, is it based on the seniority list of DCFs or on the basis of service rendered at the district level. Any misinterpretation can result in conflict and factionalism within the cadre.

As an alternative, a Conservator of Forests (CF) may be appointed to head KFD at district level and act as a single point of co-ordination. He/She will be accountable for all KFD activities at district level. This entails creation of at least 27 new positions and may provide promotional opportunities. However, when seen in the context of the study team's recommendations to close down social forestry and corporations, this may result only in reallocation.

5.3.2.2 Linkages with Other Departments

Many of the causes for degradation and encroachment of forests lie outside the purview of the Forest Department. One such problem is with revenue department where the titular ownership is frequently changed. In order to avoid this there is a need to develop a mechanism wherein the inter-departmental misunderstanding is warded off.

KFD is facing problems in timely approvals from RTO and also co-operation from police. Above all forest settlement is taking long time. The KFD needs to initiate action to set up interdepartmental co-ordination committees at the district and state level and also educate staff in these departments on the problems of KFD.

5.3.2.3 Linkages with NGOs

A number of Government Departments and NGOs function in various areas and frequently their goals and strategies are not in consonance with that of the Forest Department. KFD officers need to enhance their capability to work with NGOs.

5.3.2.4 Too many PCCFs

In the last few years many positions at the top most level (PCCF) have been created due to pressures. This has led to a situation where each PCCF looks to his own section as an independent unit resulting in a vertical split across the organisation. To avoid this vertical split and lack of co-ordination, all additional PCCF positions must be done away with and only one PCCF position be retained as head of the organisation.

5.3.2.5 Conservators as Co-ordinators

Due to the vertical split each programme has different CF posted at different level as co-ordinators. If the suggestion to appoint CF as co-ordinator of all activities of KFD at district level is accepted, then these positions have to be done away with and these CFs may be posted as co-ordinators at the district level.

5.3.2.6 Redundant Positions

The position of ACF was created to relieve the DCF of work pressures. The ACF was expected to act as a nodal point for all decision making at the sub-divisional level (taluk level). Over a period of time all positions at the ACF level were filled up. At present even though there are several officers who are designated as ACFs at the sub-divisional level, they are unable to make the required contribution. If measures are not taken to strengthen the role of the ACF at the sub-divisional level, it may be worthwhile to abolish this position altogether.

5.3.2.7 Social forestry division

In view of heavy expenditures incurred on establishment expenses and the setting up of DWDO, it is recommended that the social forestry division at the field level be closed down.

5.3.2.8 Corporations

KFDC can be closed down and the activities presently being performed can be transferred to the territorial division. Similarly KFIC can also be closed down and the activities presently performed can be outsourced to the labour co-operative societies.

5.3.2.9 Outsourcing and Privatisation

Among the DCF and ACF who had responded to the survey, 50% of the respondents identified activities such as logging operations, various jobs of preparing roads, de-weeding, putting up fences etc, maintenance of equipment and weaponry, surveying canopy for density, eco-tourism and management of guesthouses to be outsourced to contractors. In addition to this list, the study team recommends that raising of nursery, collection of NTFP be outsourced. However, if any of the VFC is willing to carry out these activities, they should be given priority over others. The study team

strongly recommends that the survey of canopy and classification of forests on the basis of density be outsourced to specialised organisations such as ISRO or KSRSUTC or IIFM.

All repairs and maintenance of wireless equipment may be out sourced.

5.3.2.10 Financial Delegation

Financial delegation of powers to officers in Karnataka Forest Department has not been reviewed for several years. As a consequence implementation of schemes gets delayed. The independent study group has recommended that the financial power of DCFs an approved estimate of works needs to be increased from the present level of Rs. 50,000 to 5 lakhs. It is also recommended that the limit for advance to RFOs needs to be increased to Rs. 1 lakh from the present level of Rs. 15,000 and RFO may be delegated power to sanction estimates up to Rs. 50,000 to enable them to make prompt payments to workers engaged in carrying out field work.

5.3.2.10.1 Cheques on personal name

One of the practices that have continued from several decades is the practice of issuing cheques to officials on personal for the work to be carried out within the forest. For all the maintenance work carried out within KFD cheques are issued on the personal name. Many staff at field level believe that this provides a chance for unethical practices. As this practice is not to be found in any other department, this should be called off and if needed maintenance work should be out sourced.

5.3.2.10.2 Erosion of powers

Over the years, the officials at the higher levels have usurped a few of the powers of the officials at the field level. For example, the power to transfer RFOs, Guards and watchers was with DCFs, it is now taken over by the CFs. In many cases, the concerned DCF is not even consulted. DCF had the power to appoint guards and watchers, even these powers is taken away from the DCF. With redundancy of financial powers, many officials have no power to penalise many criminals. Due to escalation of cost such powers have gone to officials at higher levels. All these powers need to be restored to DCFs. This will result in KFD becoming a decentralised organisation

5.3.2.11 VFCs

1. It is desirable that KFD evolves a clear and balanced policy with regard to the range and scope of VFCs functions relating to livelihood needs of the members, which go beyond forestry. This will enable the planning process to take into account and remove ambivalence relating to KFD responses to micro planning exercises and avoid consequent frustration for the villagers.
2. KFD must make serious effort to improve process of preparing working plans to give effect to national forest policy of involving local communities in the management of forest resources. It is desirable that the experiences of the Western Ghats forestry projects in developing new tools for decentralised planning such as site specific plans are integrated into the working plan process. Any technical assistance needed for achieving this should be given high priority.
3. A widely prevalent impression that exists amongst members of VFCs is that they are funded by overseas money. This has been reinforced after the flow of resources

has stopped to VFCs as a result of the completion of the Western Ghats Forestry project. There is a considerable degree of demoralisation among VFC members due to lack of funds for undertaking schemes at that level. It is therefore necessary to pump resources into the VFCs so that those schemes could be undertaken. If this is not done all, the gains and momentum will soon be lost and a fresh beginning will have to be made.

4. There is widespread belief amongst members of VFCs that the "seed money " is not to be spent but only to be "grown" as a deposit at the bank. The reluctance to spend money is also there because the forester as a member secretary feels accountable for the expenditure incurred. He is, therefore, extremely cautious in signing cheques and authorising any expenditure in VFC. The president of the VFC may be authorised to clear cheques subject to the approval of the general body.

5.3.2.12 Shift from Administrative to Managerial Culture

- I. A shift from administrative culture to a managerial culture is the task of senior officers in KFD, which cannot be delegated. The top management of KFD will have to collectively address the following questions:
 - a. Where do we need to be going strategically as an organisation?
 - b. Where are now as an organisational culture?
 - c. What are the gaps between where we are as a culture and where we should be?
 - d. What is our plan of action to close the gaps?
- II. Although change in culture is a "soft" issue it calls for hard decision on the part of top management of KFD. The following are some of the specific areas where the process can be initiated
 1. **Decision-making:** At present decisions relating to schemes are made by senior officers on the basis of general information or assumptions. The senior officers are far removed from field level. The field officers who are located closest to action are in the best position to make decisions. A serious look at decentralization of decision making is required. The structural changes recommended in this report are a step in this direction.
 2. **Managerial Roles:** The new role for the top management of KFD is to create a "shared vision" and to support and encourage team spirit in KFD. The primary responsibility of senior officers in KFD is to protect field staff from top down pressures and to find additional resources rather than to instruct and control. The new roles for senior officers in KFD will have to be specified in detail by organising a series of workshops.
 3. **Management Style:** A shift from administrative to managerial culture also requires a change in the management style from a top down command and control style to a bottom up support and incentive style. It is necessary for this change to take place across entire organisation because it is

impossible to maintain a participatory style between project and client and a command style between senior officers and field staff.

III. Capitalisation of new Technologies

New technologies are constantly presenting us with new challenges and opportunities to work more effectively. The Karnataka Forest Department must explore ways to incorporate these technologies into its day to-day work. The use of high-speed data transmission can save the Forest Department money on office costs. The use of videoconferencing and tele-conferencing can save money on travel costs. Use of the internet can promote better understanding of the mission, the goals and the programs of the various departments. A well established management services department can compile and distribute information and also provide training to employees on the use of internet, tele-conferencing and other information sharing systems

IV. Staff Morale

A responsive Forest Department is an essential ingredient of natural resources management and one of the best guarantees for effective conservation. The officers and staff in KFD lack the enthusiasm and are demotivated. The poor morale in KFD can be attributed to political interference in their work, prejudiced and motivated transfers, illegal forest cuttings, support to forest offenders by politicians and feeling of powerlessness amongst officers as they are not consulted while making decisions. The following measures may help in improving the morale.

1. Encouraging Forest Officers to work in other departments of the Government at the district level
2. Banning political interference through legal measures in the transfers of RFOs, Foresters and Forest guards.

V. Image Building

It is important to create a department at the Head Office to facilitate communication to employees and outside public about the good work being done by the department. Employees of the department should be motivated to act as goodwill ambassadors of KFD.

VI. Building Intelligence Network

As part of the preventive approach, it is necessary to build an effective intelligence network, which can give early warning signals. Emphasis on people's participation will strengthen this capacity. The funds available for rewards to informers also need to be enhanced.

5.3.3 Human Resources Development

5.3.3.1 Performance Appraisal

It is important to develop a comprehensive performance appraisal system for all the cadres of employees in KFD. Specialised services of professionals may be utilised to design formats to initiate self-appraisal systems and providing feed back

and comments to employees. Such a well-developed performance appraisal system should also be linked to the career path of an employee and fulfilling his training needs in KFD.

5.3.3.2 State and Central Cadre

The strength of the IFS may be reduced from the present 165 to 100. State cadre officers should be posted to positions reserved for them but currently occupied by IFS.

5.3.3.3 Recruitment

It is important to come up with a well thought out recruitment policy to recruit the frontline positions by open recruitment at the forester, guard and watchers level by attracting people with the right combination of knowledge, skills and attitude for the job. The policy must encourage more women employees to apply for front line positions and also as officers in state cadre.

5.3.3.4 Professional Recognition and Rewards

It is recommended that in order to create healthy competition among officers, one gold medal and one silver medal should be awarded every year to two kinds of employees. (a) Two officers (b) Two frontline staff consisting of foresters, guards and watchers. Some of the following criteria may be used for selection of candidates:

- a. Outstanding fieldwork relating to development of projects, maintenance and repairs of projects, unusual creative activities undertaken in protection.
- b. Outstanding drive, motivation and initiative displayed in organising and getting work done in emergencies
- c. Outstanding contribution made in research or designing work
- d. Completion of a novel scheme or a complex project as per approved plan without cost or time over run.

5.3.3.5 Training

The training imparted to guards and foresters needs to be improved. The Training Institute at Gungargatti needs to be revamped by improving faculty and courses. Some of the steps to be taken for such improvement are discussed in section 4.7 and 4.8

5.3.3.6 Redressal of Grievances

A grievance redressal committee of senior officers who have an appreciation for field problems should be constituted. Its task should be to develop a time bound program for prioritising and taking decisions on employee grievances listed in this report (Annexure.4).

**HEALTH & FAMILY WELFARE
DEPARTMENT**



Acknowledgements

The setting up of the Karnataka Administrative Reforms Commission (KARC) is a bold initiative taken by the state government to provide necessary inputs to streamline the existing administrative machinery and service delivery system in the state. The commission desired to conduct functional reviews of major departments in this regard. As requested by the KARC, the functional review of the Department of Health and Family Welfare was conducted by ISEC during May to September 2001. Prof. M Govinda Rao, Director of ISEC, entrusted this important task to me and gave necessary support and encouragement to complete the review in time. I gratefully acknowledge this opportunity given to me and thank him for it.

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This review gave me an unique opportunity to have useful insights into the functioning of Health Department, both from the service provider and beneficiary perspectives. Within the limited time, I tried my best to do justice to the Terms of Reference given by the KARC. I alone hold responsibility for any omissions and commissions in the review report. I sincerely hope this report serves its purpose and helps the Commission in formulating its recommendations to the government.

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Executive Summary

INTRODUCTION

In recent years, we have witnessed a growing disappointment and dissatisfaction among the public on the performance of various government departments delivering basic public services. Though measures were initiated in the wake of economic reforms, efficient delivery of public services has remained a neglected area. Public service performance, in general, depends on many factors such as organizational structures, financial resources, transparency and accountability, attitudes and perceptions of people towards service delivery, interaction between service providers and clients, and above all, the functioning of government machinery and its linkages with other departments including local self-governments:

In Karnataka, significant developments are taking place for improving the performance of government and local elected bodies. Setting up of the Karnataka Administrative Reforms Commission (KARC) is one such initiative taken by the state government, which intended to provide necessary inputs to streamline the existing administrative machinery and service delivery system. To meet its mandate, the KARC decided to undertake functional reviews of various state departments. As requested by KARC, the functional review of the Department of Health and Family Welfare was conducted by ISEC during May to Sept. 2001. This review pertains to policy - making and operational aspects of the Department keeping in view the overall objective of improving efficiency, service delivery, transparency, people's participation and devolution of power. However, for want of time, the Directorate of Medical Education is not included in the functional review.

Objectives of the Review

- a) To conduct an objective assessment on the functioning of the state health department at policy - making and operational levels.
- b) To study the organizational structure of the department and its effectiveness including manpower planning.
- c) To study the functioning of the health department at district level and below under the decentralized set-up.
- d) To understand the availability and utilization of public health services at various levels.
- e) To examine the clientele perceptions and for suggesting measures for enhancing better interaction between service providers and beneficiaries for providing quality health care services.
- f) To suggest specific recommendations to the state government for improving efficiency, economy, accountability and service delivery at all levels in the health department for promoting responsive administration and civil service reforms.

Methodology

A review of this nature and magnitude demands not only information from macro levels but also insights from grass roots. A two-pronged approach was adopted for the study. Firstly, discussions were carried out with health functionaries at all levels, starting from Principal Secretary and Commissioner of Health Department to ANMs and male health workers in the villages. Officials at the State Secretariat, Directorate, Divisional, district and taluk levels were interviewed for this purpose. Institutions such as District and taluk hospitals, community health centres, Primary health centres and sub-centres were visited and their functioning was examined. Functionaries of Panchayati raj Institutions at district, taluk and Gram Panchayat levels were interviewed to seek their views and concerns. Detailed discussions were carried out with Deputy Commissioners and Chief Executive Officers of Zilla Panchayats to assess the performance of the department and the existing inter-sectoral and inter-departmental co-ordination. Data were also obtained from Training Institutions of the Department at various levels. Secondly, to understand the effectiveness of service delivery from clientele perspective, a sample survey was conducted among 454 service seekers of public health facility. In addition to these information, the findings and recommendations of major surveys, reports and research studies were reviewed for this purpose.

Five districts in the state - Kolar, Uttara Kannada, Gulbarga, Chamarajanagar and Bijapur were selected for detailed investigation. These districts broadly cover all the administrative divisions and geographical regions of Karnataka. From each district, three taluks were identified based on certain criteria to undertake sample survey, focus group discussions (FGDs) and in-depth analysis.

Major Findings and Recommendations

Keeping in mind the stated objectives of the functional review and the mandate of the Administrative Reforms Commission, the following recommendations have been suggested.

Health Infrastructure

1. Department of Health and Family Welfare is one of the major departments in the state in terms of institutions and personnel. As on 31st August 2001, the staff position in the state health department is as follows.

Staff Position in Karnataka Health Department as on 31.08.2001

Sl.No.	Group*	No. of Posts Sanctioned	Working	Vacant	Percentage of Vacant Posts
1	A	5610	4592	1018	18.14
2	B	537	323	214	39.85
3	C	40,535	30,606	9929	24.49
4	D	17,291	12,918	4373	25.29
	Total	63,973	48,439	15,534	24.28

In the state as a whole, around 24 percent of posts are vacant considering all categories. However, in certain crucial cadres, the vacancy position is alarming. Nearly 50 percent of pharmacist posts and 39 percent of lab-technician posts are lying vacant. Even in the case Medical Officers, the vacancy level is around 17 percent.

Staff Position (Cadre-wise) in Health Department as on 31.08.2001

Sl.No.	Cadre	Sanctioned	Working	Vacant	Percentage of Vacant Posts
1	Medical Officers/ Specialists	5089	4249	840	16.51
2	Senior Health Assistant (Male)	1317	797	520	39.48
3	Junior Health Assistant (Male)	5854	3738	2116	36.15
4	Senior Health Assistant (Female)	1219	980	239	19.61
5	Junior Health Assistant (Female)	10,255	8867	1388	13.53
6	Pharmacist	2719	1352	1367	50.27
7	Lab Technician	2440	1482	958	39.26
8	Staff Nurse	4717	4237	480	10.17
9	Block Health Educator	782	402	380	48.59

2. But what is shocking is the regional disparities in the staff position at different centres.. The following table illustrates the existing situation among the five study districts. In Gulbarga district, nearly 42 percent of posts of Medical Officers are vacant even after the appointment of contract doctors. 74 percent of pharmacists are not in position in Chamarajnagar district. The vacancy level of Lab Technician is as high as 37 percent both in Uttara Kannada and Chamarajnagar districts. In the category Male health workers, 67 percent of posts are not filled in Kolar whereas the crucial category of ANMs, the real link between the health department and public, about 36 percent of posts are vacant in backward Gulbarga district.

Percentage of vacancy in Selected Districts as on 31.8.2001

Cadre	Chamaraja Nagar	Bijapur	Gulbarga	Kolar	Uttara Kannada
Doctor	14.74	28.33	41.57	24.77	31.02
Pharmacist	74.24	48.48	51.70	61.67	69.39
Lab Tech	36.84	31.82	19.15	25.00	37.18
Jr. H A (M)	48.00	30.60	29.62	67.37	20.28
Jr. H A (F)	29.17	17.59	35.54	16.45	1.34
Staff (Group A+B+C+D)	39.88	22.99	34.03	28.72	25.51

All existing vacancies, particularly in the categories of PHC Medical Officer, pharmacist, lab-technician, staff nurse and ANMs, must be filled at the earliest. A special recruitment drive to fill these crucial posts must be undertaken with all seriousness.

3. The health infrastructure in the state, in terms of number of institutions, is quite satisfactory. The average area and population covered by a PHC or sub-centre is well within the prescribed national norm and comparatively better than some southern states. However, many new PHCs were started in certain locations based on political considerations, rather than following any criteria. Attention should be paid to location of primary health centres and sub-centres with the view of greater integration of the staff with the local population. Instead of sanctioning new health Institutions, Government should focus on strengthening the existing institutions in terms of infrastructure and manpower, to make it really functional.

4. The mere existence of a health institution does not ensure its satisfactory functioning and utility to common man. Many of them lack basic facilities like electricity, water, telephone and vehicle and are located in rented buildings. Measures should be initiated to improve the infrastructure and its proper maintenance.

5. The main reason for the poor functioning and low utilization of PHC facilities is the absence of the Medical Officer / Lady Medical Officer at the head quarters. In most of the PHCs, there are no staff quarters; wherever it is available, it is in a dilapidated condition. Facilities should be made available for the stay of crucial medical staff at the PHC compound itself. However, it was also observed that in some cases where residential facilities are available, Medical Officers are reluctant to stay there. This should not be allowed to continue. This is also applicable to other health personnel.

6. Soft loans should be provided to ANMs and Medical Officers to purchase two wheelers. This will facilitate field visits and supervision in the villages as well as their availability in PHCs and Sub-centres.

Recruitment and Transfer Policies

7. Though attempts were made at district levels to recruit contract doctors, in many areas it is not very successful. The remuneration paid to these Medical doctors, (some of them are post-graduates), is abysmally low. Their salary should be raised on par with regular doctors. There is no systematic attempt to regularise the services of these doctors working in difficult situations even after many years, which in a way affects their morale. At the time of regularising the appointments within a stipulated period, their performance should be assessed and those found unsatisfactory can be dropped.

8. In a service department like health, abolition of existing posts must be done with extreme caution. The blanket decision of abolishing certain percentage of posts with immediate effect may not be feasible in this case. However, we need to differentiate between the posts "providing health care services" and posts of purely "administrative" nature in the health Department. There is no need for divisional level set up as it exists today. The posts of four Divisional Joint Directors can be abolished. The supporting staff working in these divisional offices can be re-deployed in district level offices, wherever positions are vacant.

9. Regarding the appointment of Medical Officers, tenure - specific posting should be given and rural service should be made compulsory for initial years. Those doctors/paramedical staff working in the remote and backward areas of the state must be encouraged with certain incentives, both in terms of cash and promotion. Government should immediately announce a transfer policy, based on tenure-specific appointment and compulsory rural posting. Fixed tenures for functionaries from Health Secretary to ANM, would greatly improve efficiency.

10. A highly responsible post like District Health and Family Welfare Officer (DHO) should have tenure - specific appointments. Most of the newly appointed DHOs are having only few months of service before their retirement and they have no interest to initiate any improvement. For example, during the 10 year period (April 1991 to July 2000) there were 16 DHOs in Bijapur district. Those promoted to become DHO and not having a minimum of two years of service to retire, should not be allowed to take up this important position.

Structure and Functions

11. To ensure proper supervision of the functioning of PHCs, the position of the Taluk Health Officer (THO) should be strengthened. In most of the taluks, the THO is the chief Medical Officer in-charge of taluk hospitals / CHCs and he/she has very little time to monitor the functioning of PHCs. It is recommended that THO should be given full administrative powers and time to discharge duties as a supervisory officer, rather than a mere 'Manager' of a particular hospital in the taluk.

12. The Administrative structure of the department at state and district levels, as proposed by Task Force on Health and Family Welfare, is appropriate in terms of improving efficiency and responsive administration. However, at the district level

the two posts of the District Medical Officer (DMO) and District Health Officer (DHO), may lead to dual centres of authority and lack of co-ordination. Necessary administrative procedures must be evolved to avoid this.

13. At district level, it was observed that many posts of programme officers are lying vacant, adversely affecting the implementation and monitoring of public health activities. At the same time, some programme officers have very limited work and occasional responsibility confining to a particular national programme like control of malaria, leprosy or tuberculosis. Considering the workload and the shortage of qualified officers, it is possible to entrust more than one programme to an officer, without compromising on the quality of supervision.

14. Though the government has provided a large network of health facilities throughout the state, the utilization of these facilities by public is considerably low. There are many factors such as distance, lack of health personnel, non-availability of medicines, unruly behaviour of health staff, absence of doctors etc., which determine the utilization of services. It is a well known fact that people have a very poor image of government health facilities. It is the responsibility of the government to ensure the availability and accessibility of quality health care to the needy, particularly poorer segments of the society, at an affordable price.

Training

15. A review of training Programmes of the department reveals that it is more "project-driven activity" rather than a regular responsibility of the department, based on any need based appraisals. It was also found that the four Regional Health and Family Welfare Training Centres (RHFWTC) are mostly inactive. For example, the RHFWTC at Gulbarga, with all staff in position and required infrastructural facility, undertook only few training programmes (altogether 66 days of training in a year) and, even in this, achieved only less than 50% targets in attendance. This regional training centre could utilise only 32 percent of the released funds last year. Now almost all the districts are having district training centres (DTC). It is necessary to 'redefine' the roles and responsibilities of RHFWTCs. Majority of the Medical Officers contacted by the review team stated that they were not given any training including pre-induction training in administrative aspects. Administrative training should be made compulsory for all PHC Medical Officers, Taluk Health Officers and DHOs. At least once in five years, every staff member of the department should receive refresher training. Department should chalk out an action plan for future training programmes, in accordance to a need based appraisal.

16. State Institute of Health and Family Welfare (SIHFW) should be strengthened with capable faculty and facilities to discharge its responsibility as an apex training Institute in the State. In this context, the Health Education and Training (HET) wing (Additional Director, Joint Directors and Supporting staff) in the Directorate becomes irrelevant and there is no need for a separate wing for training in the Directorate.

Health Services under Panchayati Raj set-up

17. Decentralization of health services through intervention of Panchayati Raj Institutions is expected to provide better service delivery and make health personnel accountable to public. To some extent this is true in Karnataka. It has resulted in better functioning of PHCs and improved attendance of doctors and paramedical staff. But in many instances, this study observed lack of faith and respect between health functionaries and panchayat leaders which adversely affected the services .

18. Though the overall supervision of Zilla Panchayat (ZP) on the functioning of health Department is required and desirable, certain administrative procedures can be simplified – a) DHOs spend considerable time to attend all ZP meetings and unable to devote much time for field visits and supervision of programmes. The number of meetings in which DHO's presence is required need to be regulated and provision should be made wherein DHO can depute programme officers to the ZP meetings, depending on the issues coming up for discussion; b) 60 percent of drugs and equipments are purchased from the ZP budget. DHO in consultation with Taluk Health Officers prepare the inventory of items to be purchased, and sends the list to the standing committee on health for deliberations and later to ZP general body for approval. It was observed that in some instances, the list of medicines and manufacturers were altered in these meetings, which results in not only delay in procuring medicines but also poor quality drugs. One should not forget the fact that the ZP in no way qualified to decide on a technical matter like this. The list submitted by DHO, if it is within the prescribed norms, should be approved, and c) for the repair of vehicles, which costs more than Rs. 1500, the DHO need to take prior permission and approval of ZP. In many cases, this led to delay in repairing vehicles, affecting the supervision of field programmes. DHO may be allowed to use his discretion upto Rs. 10,000 for repair of vehicles .

19. Though at the district level, frequent interaction and supervision is taking place between ZP and district health office, at the taluk and village levels practically there is no interaction and involvement. The health committees rarely meet and even in taluk and gram panchayat meetings, health issues were seldom discussed. There is an urgent need to activate the health committees for the benefit of the community.

20. Training and orientation programme on health and related issues to be given to all panchayat members at the beginning of their tenure. This will help them to realise their responsibilities and the need for co-operating with health functionaries at all levels.

Drug Management

21. Regarding drug management, certain new procedures need to be adopted. In many instances, the drugs purchased are not utilized in time. Many medical officers felt that some essential drugs which are frequently required are supplied in lesser quantity whereas some medicines which are not much in demand were given in large quantity. There were frequent delays in supply of medicines from the General Medical Stores. Irrespective of the coverage of population and staff strength of PHCs, medicines were supplied to all PHCs with similar quantity . This has resulted in acute shortage of drugs in some places and waste of medicines in some other places. Distribution of medicines should be based on the criteria of its demand.

22. A corporation may be set-up to take care of procurement, storage and distribution of drugs, medicines and others ancillary items. In Tamil Nadu, it was reported that in the very first year of operation of Tamil Nadu Medical Supplies Corporation, 20 percent of the overall budget towards drugs could be saved on account of economies of scale, rationalisation of procedures and incorporation of various safeguards. A similar attempt may help in more efficient and cost-effective drug supply in the state.

Drugs Control Department

23. The efficient functioning of Drugs department is adversely affected due to vacancy of Drug Inspectors and shortage of chemicals and equipments in Drug testing laboratory.

Indian System of Medicine and Homeopathy

24. The Directorate of Indian Systems of Medicines and Homeopathy (ISM & H) is presently has divisional level offices. These can be converted to district level offices for better monitoring, by redeployment of personnel, without creating any new posts.

Privatisation of non-clinical services

25. Department should seriously consider "privatising" the non-clinical services in hospitals/CHCs/PHCs. The experience of few hospitals under KHSDP, where the non-clinical services has been contracted out, is encouraging. Along with the notified schedule of work, the security of hospitals can also be contracted out. Through such measures, the hospitals can be better maintained and unnecessary "burden" of appointing many regular employees can be avoided.

User charges

26. The user charges are expected to provide additional revenue for maintaining hospitals. Recognising the patients ability to pay, certain sections of the people can be targeted for levying user charges. While doing so, the poor must be protected, since most of the people availing government health facilities are from poorer segments of the society. Our review shows that there is scope for improving the collection of user charges in many district and taluk level hospitals. Since the user charges do not accrue to the individual institution, there is a laxity in enforcement of the prescribed user charges. But the functioning of District Level Health Committees, responsible for monitoring the collection and dispersal of funds generated through user charges, are far from satisfactory. Taluk Health Officers complained that though they were able to collect the money, they were not allowed to use it for the improvement of their hospitals, due to delay in getting approvals from the committee. The District Level Health Committees should be made functional and procedures regarding allotment of funds to hospitals should be simplified.

Private Practice of Doctors

27. Private practice of government doctors can be allowed under certain conditions. However, their presence in the PHCs/hospitals during the working hours must be made compulsory and strict action should be initiated against those who violate the rules.

Finance

28. The per capita expenditure on health in Karnataka, which includes public health, medical and family welfare, in 1999-00 was Rs. 185.10 and compares favorably with those in the neighbouring states. The comparatively larger figures in Karnataka in some years are related to injection of funds through Externally Aided Projects (EAPs). The overall expenditure on health and family welfare is hovering between 1.1 and 1.4 of net state domestic product, but the reliance on EAPs is increasing. Considering that EAPs are more of loans rather than grants, utilisation of these funds demands utmost care and efficiency.

Awards

29. Appreciation and recognition of individual contributions are motivational factors for committed personnel. However, outstanding contributions of some of our health administrators, specialists and health personnel have never been recognised by the state government. Like in the neighbouring state of Kerala, awards should be instituted for noteworthy performances of doctors and field workers. This will boost individual and the group's morale and also instill pride in undertaking a certain task.

Health and Population Policy

30. Many states have formulated their own population policies which gave an added thrust and direction to their efforts to address state specific problems (for example, Andhra Pradesh government announced the state population policy in 1997). The results of 2001 Census indicate that Karnataka is the laggard among the South Indian states with regard to demographic transition. State should formulate a population and health policy within the broad frameworks of National Population Policy (2000) and draft National Health Policy (2001).

INTRODUCTION

In recent years, we have witnessed a growing disappointment and dissatisfaction among the public on the performance of various government departments delivering basic public services. Though measures were initiated in the wake of economic reforms, efficient delivery of public services has remained a neglected area. Public service performance, in general, depends on many factors such as organizational structures, financial resources, transparency and accountability, attitudes and perceptions of people towards service delivery, interaction between service providers and clients, and above all, the functioning of government machinery and its linkages with other departments including local self-governments:

In Karnataka, significant developments are taking place for improving the performance of government and local elected bodies. Setting up of the Karnataka Administrative Reforms Commission (KARC) is one such initiative taken by the state government, which intended to provide necessary inputs to streamline the existing administrative machinery and service delivery system. To meet its mandate, the KARC decided to undertake functional reviews of various state departments. As requested by KARC, the functional review of the Department of Health and Family Welfare was conducted by ISEC during May to Sept. 2001. This review pertains to policy - making and operational aspects of the Department keeping in view the overall objective of improving efficiency, service delivery, transparency, people's participation and devolution of power. However, for want of time, the Directorate of Medical Education is not included in the functional review.

Objectives of the Review

- a) To conduct an objective assessment on the functioning of the state health department at policy - making and operational levels.
- b) To study the organizational structure of the department and its effectiveness including manpower planning.
- c) To study the functioning of the health department at district level and below under the decentralized set-up.
- f) To understand the availability and utilization of public health services at various levels.
- g) To examine the clientele perceptions and for suggesting measures for enhancing better interaction between service providers and beneficiaries for providing quality health care services.
- f) To suggest specific recommendations to the state government for improving efficiency, economy, accountability and service delivery at all levels in the health department for promoting responsive administration and civil service reforms.

Methodology

A review of this nature and magnitude demands not only information from macro levels but also insights from grass roots. A two-pronged approach was adopted for the study. Firstly, discussions were carried out with health functionaries at all levels, starting from Principal Secretary and Commissioner of Health Department to ANMs and male health workers in the villages. Officials at the State Secretariat, Directorate, Divisional, district and taluk levels were interviewed for this purpose. Institutions such as District and taluk hospitals, community health centres, Primary health centres and sub-centres were visited and their functioning was examined. Functionaries of Panchayati raj Institutions at district, taluk and Gram Panchayat levels were interviewed to seek their views and concerns. Detailed discussions were carried out with Deputy Commissioners and Chief Executive Officers of Zilla Panchayats to assess the performance of the department and the existing inter-sectoral and inter-departmental co-ordination. Data were also obtained from Training Institutions of the Department at various levels. Secondly, to understand the effectiveness of service delivery from clientele perspective, a sample survey was conducted among 454 service seekers of public health facility. In addition to these information, the findings and recommendations of major surveys, reports and research studies were reviewed for this purpose.

Five districts in the state - Kolar, Uttara Kannada, Gulbarga, Chamarajanagar and Bijapur were selected for detailed investigation. These districts broadly cover all the administrative divisions and geographical regions of Karnataka. From each district, three taluks were identified based on certain criteria to undertake sample survey, focus group discussions (FGDs) and in-depth analysis.

Selected Study Areas

Districts	Taluks	Basis of Selection
Uttara Kannada	Karwar Haliyal Bhatkal	District Headquarter Taluk Lowest level of Female Literacy Farthest from District Headquarter
Bijapur	Bijapur Muddebihal Sindagi	District Headquarter Taluk Lowest level of Female Literacy Farthest from District Headquarter
Gulbarga	Gulbarga Yadgir Shorapur	District Headquarter Taluk Lowest level of Female Literacy Farthest from District Headquarter
Kolar	Kolar Mulabagil Begepalli	District Headquarter Taluk Lowest level of Female Literacy Farthest from District Headquarter
Chamarajanagar	Chamarajanagar Gudlupet Kollegal	District Headquarter Taluk Lowest level of Female Literacy Farthest from District Headquarter

Health and Development

Health is a function of the overall integrated development of the society and health status is one of the indicators of the quality of life. How the socio-economic status influences the health status of people is well established in many ways. Therefore, the health development is defined as “the process of continuous progressive improvement of the health status of the population. Its product is rising level of human well – being not only by reduction in the burden of the disease, but also by the attainment of positive, physical and mental health related to satisfactory economic functioning and social integration” (Park and park, 1990). **World Health Organisation (WHO) has defined health as a state of complete physical, mental and social well - being, and not merely the absence of disease or infirmity.** Winslow (1951), in defining health, states that it includes “preventing diseases, prolonging life, promoting physical health and efficiency”. Thus, the elements of preventive, curative and rehabilitative and promotive aspect of social welfare are involved in the complex gamut of health administration. Public health administration is an area of activity which calls for specialized knowledge and techniques which can help the people to achieve the health care. In the administration of health department, Freeman and Holmes (1960) have put forward the following steps:

- a) Planning, including community diagnosis, forecasting, setting objectives, budgeting and phasing.
- b) Mobilising, including motivation of staff and community staffing, functional team organisation, organisational structure and delegating.
- c) Co-ordinating all different elements and groups engaged in health problem for preventing duplication
- d) Guiding, including reconciliation of programme, preventing duplication, establishing communication.
- e) The control of quality and quantity, evaluating outcome, establishing policies and procedures.
- f) Liberating, including discovering worker, developing people, providing diversified experience and opportunity, developing community leadership.
- g) Accounting, including reporting to people or representatives of public about fiscal management.

‘Better Health’ is a goal which everybody aspires for. The health of an individual is influenced by the surrounding environment, his living conditions, the socio-economic background and the community at large. The health of the child is dependent upon the health of the mother, socio-economic conditions of the family, the environmental factors and a host of others. Similarly, community health is influenced by the conscious efforts made by the community itself, surrounding environment and governmental efforts to promote health of the individuals and the community. Therefore, while assessing health situation in any given area one should understand the plans, programmes and strategies carried out by the respective governments to promote individual as well as

community welfare. This would include not only the health sector but also other sectors. The efficiency with which the programmes are formulated and implemented by the governments will have their effects in the success of the programme.

The most important problem of health care in India and in states in particular, lies in the field of organisation and management of health services and its efficient utilisation. Poor utilization of government health services underline the fact that mere expansion of health infrastructure will not yield the desired results. Appropriate administrative measures can solve this problem to a great extent.

Poor health and human sufferings of the large masses of rural and urban poor is essentially a 'failure' of the health administration to deliver public health services. **Whenever there is an outbreak of epidemic killing large number of people, the public health care system comes under severe criticism. However, what is really happening every day but not noticed by the public, is the deaths and sufferings of thousands of women, children and poor due to diseases which are entirely preventable and easily curable.** In this context, the overall improvement in the functioning of health services and its efficient utilisation by public assumes great importance.

Health Administration in India

Health care system in India is operationalised on a three-tier system – Central, state and local levels. The responsibility of the centre consists mainly of policy making, planning, guiding, assisting, evaluating and co-ordinating the work of state health ministries. The responsibility for implementing the policies and programmes rest with state governments which are constitutionally bound to provide medical and health care for the people living in their jurisdictions. Actual implementation takes place at the district level with the office of the district medical, health and family welfare serving as the nerve centre for integrating all health activities in rural areas. In urban areas, the health departments of municipalities and corporations are mainly responsible for providing preventive and curative health services.

The Indian Constitution (Article 246) states that subjects like public health, sanitation, hospitals, and dispensaries fall under the state list, implying devolution of responsibilities to states. Subjects like population control, family planning, medical education, adulteration of food stuff and other goods, drugs and poisons, medical profession, vital statistics, are all in the concurrent list where responsibilities are shared by both the Centre and the states. The state ministries receive funds for the programmes on the concurrent list and are responsible for implementing those that are identified as of national importance, namely, family welfare, primary health care, prevention and control of diseases and such others.

The Union Ministry of Health is headed by a Minister either of the Cabinet or State rank. The Union Health Ministry has two Departments – Department of Health, and the Department of Family Welfare which were created in 1966. The official organs of the health system at the national level consist of (a) Ministry of Health and Family Welfare, (b) The Director General of Health Services, (c) The Central Council of Health and Family Welfare. The Director General of Health Services is the principal advisor to the Union Government on medical and public health matters. The Directorate of Health Services comprises of three main units such as medical care and hospitals, public

health and general administration. It is appropriate to mention here that the significant landmark in state health administration was in 1919, when the states (provinces) obtained autonomy concerning matters of public health from the Central Government. As a consequence of this, most of the states had developed some form of public health organisation by 1922. At the state level the management of health consists of State Ministry of Health, and a Directorate of Health and Family Welfare. The state ministry is headed by a minister. The state health secretariat is the official organ of the State Ministry of Health and Family Welfare and headed by a Secretary who is assisted by other staff. The Director of State Health and Family Welfare is the Chief Technical Advisor and Administrator to the State Government on all matters relating to medical, health and family welfare. He is responsible for the organisation and direction of all health activities. A development in recent years is the bifurcation of the directorate of Medical Education mainly in view of increase in the number of medical colleges. The regional and divisional directors inspect all aspects of health within their jurisdiction while functional directors are specialists in the areas of family welfare, maternal and child health, malaria eradication, leprosy control, etc. Public health engineering is a new development which has been treated as a separate department entrusted with the job of providing drinking water in the rural areas.

Health Planning

Health Planning in India is an integral part of national planning. The guidelines for national health planning were provided by a number of committees dating back to Bhore Committee in 1946. These committees were appointed by the Government of India from time to time to review the existing situation and recommend suitable measures to improve the situation. A brief review of the recommendations of the important committees has been provided here. It is needless to say that these recommendations and their implementation have far reaching consequences on the states.

The first and the most often cited report on health policies and programmes was the Bhore Committee Report. The Bhore Committee (named after Sir Joseph Bhore) put forward, for the first time, comprehensive proposals for the development of a national programme of health services. It observed that the health programme should be developed on a foundation of preventive health along with curative services in an integrated manner. The Bhore Committee report and its recommendations became the basis for most of the subsequent planning in the country. Consequently, the office of the Director General of Health Services was established in the country in 1947. Simultaneously, the Directorates of Health were established in the states as well. In 1948, India joined the World Health Organisation which meant free flow of information, initiation of programme, exchange of personnel, and so on.

After independence the "Health Survey and Planning Committee" was set up in 1959 under the chairmanship of Dr. A. Lakshmanaswamy Mudaliar to have a fresh look at the health needs and resources. The Committee, among others, recommended strengthening of primary health centres and hospitals at the district and lower levels. It also recommended constitution of All India Health Services on the pattern of the Indian Administrative Service. The Chadha Committee, in 1963, mainly looked at the issues relating to National Malaria Eradication Programme. The Mukherjee Committee was appointed in 1965 to review the strategy for the National Family Planning Programme.

Among others, the Committee recommended setting up of separate staff for carrying out family planning activities in the country. The N. Jungalwalla Committee recommended in 1967 an integrated health services instead of segmented approach from the highest to the lowest level in the services, organisation and personnel. The Kartar Singh Committee in 1973 opted for a system of multi-purpose workers and a change in their designations and their workload. The most important recommendation of the Shrivastava Committee (1975) was that the primary health care should be provided within the community itself through trained workers so that the health of the people could be placed in the hands of the people.

The Alma Ata declaration in 1978 and the formulation of National Health Policy in 1983 gave a new direction to the health policy and planning in India, making primary health care the central function and main focus of the national health system. The goal was to attain Health for All by 2000 A.D. The Alma Ata international Conference on primary health care re-affirmed 'health for all' as the major social goal and this was to be achieved by providing primary health care at the doorsteps of the people. This conference called upon the governments to formulate national policies, strategies and plans of action to launch and sustain primary health care as part of a national health system. It was left to each country to develop its norms and indicators for providing primary health care according to its own needs and taking into account its resources. In pursuance of the above objective two important reports were prepared: (1) "Health for All – An Alternative Strategy" sponsored by the ICSSR and ICMR (1981); and (2) "Health For All by 2000 A.D.", - a report of the Working Group (1981). Both the reports considered in detail the various issues involved in providing primary health care, and based on these reports, a national health policy was formulated which was approved by the Parliament in 1983.

The National Health Policy was evolved keeping in view the national commitment to attain the goal of "Health for all by 2000 A.D.". The policy laid stress on the preventive, promotive, public health and rehabilitative aspects of health care and pointed to the need for establishing comprehensive primary health care services to reach the population in the remote areas and difficult terrains. There was a need to view health and human development as a vital component of overall integrated socio-economic development and decentralised system of health care delivery with maximum community and individual self-reliance and participation. To achieve this, the health policy laid down certain specific goals to be achieved by 1985, 1990 and 2000 A.D. The recent draft National Health Policy (2001) recognises the fact that, despite all that may be guaranteed by the Central Government for assisting public health programmes, public health services would actually need to be delivered by the state administration.

Health Programmes and Strategies

Health programmes initiated in the country and Karnataka state can be grouped into curative care, preventive or communicable disease control, nutritional improvement, public sanitation and environmental protection and population control. Several strategies have been evolved to take these programmes to the nook and corner of the state and they have met with varied success. A brief account of the programmes aimed at prevention and control of communicable diseases has been given below.

The National Malaria Eradication Programme came into being in 1958 by reformulating the National Malaria Control Programme of 1953. It has remained a vertical programme under the supervision of District Malaria Control Officers. Though this programme met with success during the initial years, the resurgence of malaria since 1970s posed a major hurdle in its total eradication. At present, the PHCs are involved in the collection and examination of blood smears. The National Filaria programme, initiated in 1955, continues to be a partial programme covering a limited number of districts. The National Tuberculosis programme has been in operation even though BCG vaccination programme began as early as 1951. This programme operates through district tuberculosis units. Immunization against BCG has been included as an item under the Universal Immunization programme (U.I.P.). The National Leprosy Eradication Programme has been in operation since 1955 and Leprosy services are provided within the framework of existing PHCs. The revised strategy is based on early detection, drug therapy, health education and rehabilitation. The National Diarrhoeal Diseases Control Programme was intensified in 1990. The use of ORS and ORT have been promoted on a large scale in recent years. The National programme for the Control of Blindness was launched in 1976 with the aim to control the incidence of blindness through provision of Vitamin 'A' prophylaxis among other measures. Iodine deficiency disorders have been tackled beginning with Goitre Control programme in 1962. The use of iodised salt has been propagated under this programme for the control of the disease. There are several other programmes which have been launched to tackle problems such as Sexually Transmitted Diseases (AIDS Control), National Diabetes Control, Guinea Worm Eradication Programme. There are other schemes such as Smallpox Eradication programme which was started in 1962, Expanded programme of Immunization in 1974 which has been christened as Universal Immunization programme in 1985 to prevent six childhood diseases and tetanus among pregnant women, which have been effective in controlling these diseases to a great extent. There are a number of area specific programmes which can be added to this list.

The National Water Supply and Sanitation programme was initiated in 1954. After 1975, the Rural Water Supply scheme was given a big boost and most of the villages have been provided with safe drinking water. However, the public sanitation through the provision of latrines has not met with any success.

The primary health care is to be provided by a network of institutions such as community health centres, primary health centres and sub-centres. Apart from these, the other providers of health services include rural hospitals, taluk hospitals, district hospitals, specialist hospitals and teaching institutions. Employees State Insurance scheme, also provides services to state government employees. At the village level, the following schemes are in operation: (1) Village Health Guide scheme, (2) Training of village Dais, and (3) Integrated Child Development scheme. Village Health Guide scheme, introduced in Karnataka on an experimental basis, has been slowly withdrawn. In order to promote safe deliveries in rural areas, local dais were given training, and in Karnataka, this was done on a large scale. The emphasis has been on conducting home deliveries under hygienic conditions. Under ICDS, there is an anganwadi worker for every 1,000 population. The worker, selected from the community, is expected to provide supplementary nutrition, health care including immunization and pre-school education to children and expectant and nursing mothers.

Family Planning is a centrally sponsored scheme and the states receive 100 per cent assistance from the Central government. Since most of the policy decisions are made by the Centre, the pattern of organisation and system of delivery are standardised at the state level. The sub-centres are the grass-root level centres where health workers provide the required motivation. In addition, family welfare services are also provided by the private sector and voluntary organisations which are partly funded by the government and/or other national or international organisations. The post-partum centres located in different hospitals also cater to women who come for maternal services.

A separate department for Family Planning was created in 1966 in the Ministry of Health (Government of India). In 1972, Medical Termination Pregnancy Act was passed. In 1977, the Department of Family Planning was renamed as Department of Family Welfare. In 2000, the National Population Policy was announced by the government.

Health Administration in the erstwhile State of Mysore

Health administration in the erstwhile state of Mysore was very well ahead of its neighbouring provinces. Prior to 1864, four hospitals and 24 dispensaries of the British administration were in existence and these were handed over to the then Government of Mysore in 1884. A medical school was established as early as 1881, for the purpose of training Hospital Assistants (Govt. of Karnataka, 1983).

In 1907, the re-organisation of the health services took place and a Public Health Department was created. In 1913, the head of the Medical Department was designated as the Sanitary Commissioner. In Mysore state, a Bboard of Health was appointed in 1929 to act as an Advisory Body on public health matters. **Mysore state is the first in the country to establish Rural Health Centres in 1931, which can be considered as a milestone in the health administration of the state.** The important activities of these centres were improvement of village sanitation, investigation and control of the outbreak of epidemic diseases, immunization services, chlorination of drinking water sources and reporting of births and deaths. A Bureau of Maternal and Child Health, and a Bureau of Malariology were started in 1934 and a Health Training-cum-Demonstration Centre was opened in 1936 (Govt. of Karnataka 1983). Mysore was one of the earliest states to establish a Health Education Bureau in the Department of Health in 1929, to promote health consciousness among people.

The erstwhile state of Mysore occupies a unique position in the field of family planning programme. The World's first official family planning clinic was established in Mysore in 1930. The University Medical School in Bangalore was started in 1917 and in 1924, the first medical college was opened. In Appendix, the evolution of health services in the state is portrayed starting from the establishment of an asylum for leprosy patients, as early as 1847.

After the re-organisation of the state with parts of erstwhile Mysore, Bombay, Madras, Coorg and Hyderabad in 1956, it was felt that there was need to co-ordinate

the medical and health services, and accordingly, the medical department and public health department were amalgamated into a single department –The Department of Health Services.

The phasing out of the Indian Medical Service (IMS) of the pre-independence era had a major impact on the administration of health services in the states (Banerji, 1985). **This had led to considerable erosion in the competence of health administrators at a time when they were required to show much greater initiative, enterprise and administrative vision in the face of the rising expectations and aspirations of the people.** In the first instance, health being essentially a state subject, the administrators were expected to develop their own pattern of health services to suit the conditions prevailing in individual states. In the absence of such action, the state officials had to depend on the 'standard pattern' prescribed by the Central government.

There has been a rapid expansion of medical facilities in the state during the last three decades, both in government and private sector. Many specialised health care institutions of national importance started functioning in Bangalore. They are NIMHANS, Kidwai Memorial Institute of Oncology, National Tuberculosis Institute, Jayadeva Institute of Cardiology, Sanjay Gandhi Institute of Accident Relief, All India Institute of Speech and Hearing, Rajiv Gandhi Institute of Child Health etc. The establishment of Rajiv Gandhi Health University was a step to streamline the rapidly expanding medical education sector in the state.

What is now required is the improvement in the qualitative aspects of the health care system. The reluctance on the part of health functionaries to work in rural areas is evident from the existing gap between the number of sanctioned posts and the number of positions filled. Appropriate administrative measures can solve this problem to a great extent. The managerial skills of health functionaries also need to be improved. This can be done through in-service training and refresher courses.

A look at the scenario in Karnataka reveals that the situation is not very different from the general picture, specifically with regard to government health services. But more importantly, an enormous expansion of the profit-seeking private health sector can be observed in the state, especially during the last two decades. The consequent impact is an increasing trend towards privatization of medical services. This is more so in the case of medical education. **The rapid growth of private sector is essentially the natural consequence of an inadequate public health care system. It is, therefore, the responsibility of the government to strengthen the efficiency of our health care services and this calls for better management and planning.**

HEALTH MANPOWER

In terms of manpower, Department of Health and Family Welfare is one of the major departments in the state. Under various categories, there are 63,973 sanctioned posts in the department as on 31st August, 2001. A break-up of Group categories (A, B, C and D) and the latest vacancy positions are presented in Table-1. (each cadre-wise details in Appendix-B). In the department as a whole, nearly one-fourth of the posts are lying vacant. However, in certain important and crucial categories, the vacancy level is as high as 50 percent. Fifty percent posts in the Pharmacist category, and 39 percent posts in the Lab. Technician category are vacant now. In the case of Block Health Educator, another important health functionary responsible for health education programmes in the PHC under their jurisdiction, about 49 percent of posts are vacant (Table - 2). As shown in the table, most of the crucial field level positions like that of Jr. Health Assistant (Male and Female) and Senior Health Assistant (Male and Female), large number of vacancies still exist. Further, even after the contract appointment of Medical Officers, nearly 17 percent of posts in this cadre are still vacant. **One can very well imagine the functioning of a PHC and its utility without a Medical Officer and the provision of maternal and child health services in villages without the ANM.** If we are not able to place these functionaries at the primary health care level, public will lose faith in the governmental set-up.

However, what is more worrying is the existing regional disparities in the availability of health manpower. We have information from the five selected districts regarding staff position of five crucial cadres at the primary health centre/sub-centre level (Table -3). **At the Medical Officer/Doctor cadre, 42, percent of posts are vacant in backward Gulbarga District. In the category of Pharmacist, 74 percent of posts are vacant in Chamarajanagar District.** 37 percent of Lab. Technician posts are vacant in Uttara Kannada and Chamarjanagar Districts. In the case of ANM, the real link between the health department and public, 36 percent of posts are not filled in Gulbarga district. How can we expect the PHCs to function and provide services to people, when positions are vacant for many years? **All existing vacancies must be filled at the earliest. A special recruitment drive to fill these crucial posts must be undertaken with all seriousness.**

The level of vacancies of important categories by Divisional and District levels are presented in Table - 4. **In the cadre of doctors, ANMs, Staff Nurses and X-ray Technicians, Gulbarga division is having highest level of vacant positions. Consequently, good number of PHCs and Sub-centres are not functional in the districts under this division. This emphasises the need for specifically addressing the manpower shortage in the backward regions of the state.** In general, health personnel are reluctant to go to these districts, particularly to rural PHCs. Department has been waging a losing battle to deploy medical manpower to these under-served areas. The reluctance of medical officers to work in rural areas of Hyderabad-Karnataka region is evident from the gap between the number of sanctioned positions and the number of positions filled. What is more important is the proportion of functionaries in position who also make

themselves physically present at the work place. **Government should initiate measures and certain incentives to attract the health personnel to these backward districts.**

Facility Survey (IIPS, 2001), provides detailed information about the staff positions in PHCs, CHCs and District Hospitals. Out of a sample of 854 PHCs in the

Table 1. Staff Position in Karnataka Health Department as on 31.08.2001

Sl.No.	Group*	No. of Posts Sanctioned	Working	Vacant	Percentage of Vacant Posts
1	A	5610	4592	1018	18.14
2	B	537	323	214	39.85
3	C	40,535	30,606	9929	24.49
4	D	17,291	12,918	4373	25.29
	Total	63,973	48,439	15,534	24.28

Note: Group A – consists Director of Health and Family Welfare Services, Director – State Institute for Health and Family Welfare, Additional Director, Joint Director, Joint Director (IEC), Health Officer Class 1 Senior, Surgeons, TB Hospital Superintendents, Chief Administrative Officer, Special Officer: Legal Cell, Chief Accounts Officer-cum-Financial Advisor, Deputy Director (Pharmacy), Deputy Director (Transport), Deputy Director (SHE), Deputy Director (Nutrition), Demographer, SSPL/DCMO/SPL/SMO/GDMO, Dental Surgeons (Chief Dental Health Officer), Deputy Dental Surgeons (Senior Dental Health Officer), Assistant Dental Surgeons (Dental Health Officer), Chief Chemists and Public Analyst, Chief Pharmacists, Senior Chief Chemists and Public Analyst, Health Equipment Officer, Accounts Officer (FW), Account Officer (Transport), Assistant Executive Engineer – Vaccine Institute- Belgaum, Assistant Director (Nursing), Assistant Director (Medical), Assistant Director (PH), Bio-Chemist, Senior Entomologist, Administrative Officer, Principal (College of Nursing), Professor (College of Nursing), Assistant Professor (College of Nursing), Statistical Officer – I, Material Manager, Speech Pathologist & Audiology, Assistant Ophthalmic Surgeon, Joint Director Group – A Senior Scale (under KHSDP), Health Equipment Engineer Grade – I – Group – A (under KHSDP), Health Equipment Engineer Grade – II Group – A (under KHSDP), Technical Officer.

Group B – includes Lay Secretary/Gazetted Assistant, Graduate Pharmacist, Chemist/Food Analyst, Assistant Nutrition Officer, Scientific Officer, Technical Officer (FSDC), Assistant Deputy Director (HE and SH), Technical Officer (Exhibition), Junior Physicists, Assistant Entomologist, Medical Record Officer, Technical Officer (Goitre), Service Engineer, Lecture (College of Nursing), Principal (School of Nursing), Nursing Superintendent Grade – I, District Nursing Supervisor, Health Supervisor (Gazetted), District Health Education Officer, Health Education Officer (IPP – IX)/Health Education Inspector/Health Science Instructor, Social Scientist, Assistant Director (Press), Statistical Officer, Micro-Biologist, Clinical Psychologist, Cold Chain Officer, Communication Officer, Clinical Instructor, Health Equipment Engineer Grade – III – Group – B (under KHSDP).

Group C – contains Deputy Health Education Officer, Block Health Educator, Projectionist, Junior Projectionist, Nursing Superintendent Gr. II (P.H.) (F.W.), Lady Health

Visitor, Junior Health Assistant (Female), Asst. Leprosy Officer, Health Supervisor, Senior Health Assistant (Male), Junior Health Asst. (male), Senior Non-Medical Supervisor, Junior Non-Medical Supervisor, Para-Medical Worker, Nursing Superintendent Gr. II (Medical), Senior Staff Nurse, Staff Nurse, Clinical Instructor – College of Nursing, Nursing Tutor, Senior Pharmacist, Pharmacist, Driver, Skilled Tradesman, Skilled Assistant, Asst. Statistical Officer, Office Superintendents, First Division Assistant, Second Division Assistant, Clerk – Cum –Typist, Stenographer, Junior Stenographer, Senior Typist, Typist, Lady Housekeeper/Linen Keeper, Senior Librarian Gr. I, Librarian Gr. I, Librarian Gr. II, Library Assistant, Senior Laboratory Technician, Junior Laboratory Technician, Insect Collector, X – Ray Technician, Radiographer, E.C.G. Technician, Refractionist, Ortho-Opist, Asst. Medical Records Officer, Medical Record Technicians, Physiotherapist (General), Physiotherapist (Leprosy), Electrician, Clinical Psychologist, Dental Mechanic, Food Analyst, Junior Chemist, Dental Hygienist, Dietician, Social Worker (STD), Mechanical Class – I, Occupational Therapist, Modellar, Artisan Cum Photographer, Artist, Draftsman, Physical Cultural Instructor, Junior Engineer (Electrical), Junior Engineer, Pathological Assistant, Scientific Assistant, Air Conditioning Operator, Superintendent (Technical), Weaving Instructor, Loom Mechanic, Sub-Editor, Home Science Assistant, Orthopaedic Technician, Optical Mechanic, Teacher, Speech Pathologist, Speech Therapist, Refrigerator Mechanic, Research Assistant, Needle Work Teacher, Electrical Supervisor, Dialysis Therapist, Psychiatric Social Workers, Health Equipment Technical Group – C (Under KHSDP), Senior Compositor, Compositor, Junior Compositor, Junior Composer, Printing Instructor, Supervisor/Overseer (Offset Press), Process Operator, Asst. Process Operator, Senior Offset Printer, Offset Printer (Plate Maker), Asst. Offset Plate Griner, Machine Binder, Sr. Binder, Binder, Asst. Binder, Sr. Proof Examiner, Second Division Compositor (Offset Press).

Group D – covers Pump Mechanic, Wire Man, Dark Room Assistant, Leather Worker, Carpenter, Cleaner, Junior Lab. Attendant, Plumber, Cook, Wireless Operator, Sanitary Worker, Ward Boy, Packer, Dresser, Silk Screen Technician, Superior Field Worker, Field Worker (Plague) etc.

Table 2. Staff Position in Karnataka Health Department as on 31.08.2001

Sl. No.	Cadre	Sanctioned	Working	Vacant	Percentage of Vacant Posts
1	Medical Officers/Specialists	5089	4249	840	16.51
2	Senior Health Assistant (Male)	1317	797	520	39.48
3	Junior Health Assistant (Male)	5854	3738	2116	36.15
4	Senior Health Assistant (Female)	1219	980	239	19.61
5	Junior Health Assistant (Female)	10,255	8867	1388	13.53
6	Pharmacist	2719	1352	1367	50.27
7	Lab Technician	2440	1482	958	39.26
8	Staff Nurse	4717	4237	480	10.17
9	Block Health Educator	782	402	380	48.59

Source: Directorate of Health and Family Welfare, Government of Karnataka

Table 3. Staff Position: Percentage of vacancy

(As on 31.8.2001)

Cadre	ChamarajaNagar	Bijapur	Gulbarga	Kolar	Uttara Kannada
Doctor	14.74	28.33	41.57	24.77	31.02
Pharmacist	74.24	48.48	51.70	61.67	69.39
Lab Tech	36.84	31.82	19.15	25.00	37.18
Jr. H A (M)	48.00	30.60	29.62	67.37	20.28
Jr. H A (F)	29.17	17.59	35.54	16.45	1.34
Staff (Group A+B+C+D)	39.88	22.99	34.03	28.72	25.51

Source: Collected by Author

Table 4. Percentage of Vacancy Position in Major Categories by Divisions as on 1.9.2000

Sl. No.	Category of Post	Division and Average (Percentage)	District			
			Highest Percentage		Lowest Percentage	
1	Doctors	Bangalore - 14.42	Kolar - 25.86	Bangalore Urban - 3.58		
		Mysore - 17.14	Kodagu - 35.94	Mysore - 8.13		
		Belgaum - 18.20	Bagalkot - 32.31	Belgaum - 9.54		
		Gulbarga - 24.73	Koppal - 31.37	Bidar - 15.60		
2	Staff Nurses	Bangalore - 11.33	Tumkur - 25.82	Bangalore Urban - 1.51		
		Mysore - 12.66	Mandya - 33.54	Udupi - 1.20		
		Belgaum - 8.67	Haveri - 24.10	Dharwad & Gadag - 0.00		
		Gulbarga - 41.21	Koppal - 64.71	Bidar - 33.82		
3	Junior Health Assistants (Male)	Bangalore - 37.42	Davangere - 50.75	Bangalore Urban - 22.34		
		Mysore - 45.52	Dakshina Kannada - 60.25	Mysore - 32.51		
		Belgaum - 27.72	Haveri - 37.16	Uttar Kannada - 19.81		
		Gulbarga - 33.47	Koppal - 44.08	Bidar - 22.47		
4	Junior Health Assistants (Female)	Bangalore - 11.49	Davangere - 28.02	Bangalore Urban - 0.00		
		Mysore - 12.03	Udupi - 29.28	Kodagu - 0.92		
		Belgaum - 9.49	Bijapur - 20.69	Dharwad - 1.49		
		Gulbarga - 26.79	Raichur - 41.98	Bidar - 9.43		
5	X - Ray Technicians	Bangalore - 20.00	Kolar - 35.29	Chitradurga - 7.14		
		Mysore - 29.76	Dakshina Kannada - 75.00	Mysore - 5.00		
		Belgaum - 32.01	Gadag - 50.00	Dakshina Kannda - 0.00		
		Gulbarga - 45.77	Bidar - 62.50	Koppal - 37.50		
6	Pharmacist	Bangalore - 40.48	Bangalore Rural - 63.54	Bangalore Urban - 2.50		
		Mysore - 59.53	Kodagu - 78.95	Chikmagalur - 37.50		
		Belgaum - 50.82	Uttar Kannada - 77.50	Bagalkot - 0.00		
		Gulbarga - 48.04	Koppal - 76.60	Bidar - 5.00		

Source: Directorate of Health and Family Welfare, Govt. of Karnataka, as cited by CESCEN (2001).

state, only 24 percent of PHCs have Lady Medical Officers. This is low compared to other south Indian states. Only 29 percent of Medical Officers are staying in the headquarters/PHC compound (Table-5). Only 49 percent of CHCs in Karnataka have at least one Lab. Technician (Table-6). The availability of a Paediatrician is only 33 percent and that of a Gynaecologist is 42 percent in CHCs in the state. For the implementation of RCH programmes, the availability of Gynaecologist and Paediatrician is very important. In the case of district hospitals, most of them are having at least one gynaecologist, paediatrician and anesthesiologist (Table-7) .

Contract Appointment

One immediate solution to overcome the rampant vacancy position existing in the department is contractual appointments at district levels. This is more important in the cadres of Doctors, ANMs, Lab. Technicians and Drivers which are crucial for the functioning of PHCs and CHCs. Instructions were given by the government to all Deputy Commissioners to fill up vacancies on contract basis. Though attempts were made at district levels to recruit contract doctors, in some districts it is not very successful (Table - 9). The remuneration paid to these medical officers (some of them are post-graduates) is very low. Considering their qualifications, the salary offered initially to these doctors (Rs. 6000/- per month) is abysmally low and less than half the salary of a newly recruited doctor in the department. This kind of treatment to qualified medical practitioners is not justifiable. Their salary should be raised on par with regular doctors.

Contract appointments are only temporary solutions. Appointments made on contract basis must be regularised. However, there is no systematic attempt by the department to regularise the services of these doctors. During this Functional Review, we came across many Medical Officers working in remote areas for the last five years on contract appointment. This has affected their morale and interest. **Regularisation of contract appointments must be made within a stipulated time period. However, at the time of regularising the appointments, their performance should be assessed and those found unsatisfactory can be dropped.**

What is more important is a continuous monitoring and assessment of vacancy positions and the posts likely to become vacant in the near future. Government should initiate the recruitment process well in advance. Transparent and quicker recruitment procedures must be adopted based on merit criteria. Cutting down on interviews in the selection procedure will not only speed up the recruitment process but also reduce the scope for manipulation and corruption in appointments. It is also a fact that many vacancies arise due to delay in recruitments as a result of cumbersome recruitment procedures followed in the department.

Table 5. Staff Position in Primary Health Centres

State	No. of PHCs	Percent of PHCs having at least one						
		Medical Officer			Health Assistant		Female Health Worker	Laboratory Technician
		All	Medical Officer (Female)*	Staying in PHC compound	Male	Female		
Andhra Pradesh	622	77	32	11	22	73	99	70
Karnataka	854	96	24	29	19	45	95	24
Kerala	790	98	33	11	59	55	93	15
Tamil Nadu	672	79	50	9	51	75	100	50
INDIA	7959	88	20	34	34	53	91	46

Note: * - included in Medical Officer Category

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 6. Staff Position in Community Health Centres

State	No. of CHCs	Percent of CHCs having at least one								
		Obstetrician/ Gynecologist	Paediatrician	RTI/STI Specialist	Pathologist	Anaesthe- Siologist	General Duty Doctor	Staff Nurse/ Midwife	Female Health Worker	Laboratory Technician
Andhra Pradesh	63	35	21	8	8	17	64	83	51	70
Karnataka	69	42	33	0	4	12	61	90	75	49
Kerala	107	27	25	1	4	11	89	94	85	78
Tamil Nadu	41	24	22	2	5	10	59	83	5	44
INDIA	886	28	19	3	6	10	81	87	58	74

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 7. Staff Position in District Hospitals

State	No. of DHs	Number of DHs having at least one								
		Obstetrician/ Gynecologist	aediatrician	RTI/STI Specialist	Pathologist	Anaesthe- Siologist	General Duty Doctor	Staff Nurse/ Midwife	Female Health Worker	Laboratory Technician
Andhra Pradesh	12	11	10	5	3	10	12	11	9	11
Karnataka	10	10	8	7	2	10	6	10	10	8
Kerala	12	9	11	6	2	9	12	12	9	12
Tamil Nadu	12	12	11	6	1	11	12	12	3	12
INDIA	210	163	163	73	95	147	198	198	136	196

Source: India – Facility Survey under RCH Project, IIPS (2001)

Table 8. APPOINTMENTS MADE DURING 1998-99, 1999-2000 AND 2000-2001 ON REGULAR/CONTRACT BASIS

Sl. No.	Name of the Cadre	No. of Appointments made					
		1998-99		1999-2000		2000-2001	
		Regular	Contract	Regular	Contract	Regular	Contract
1	General Duty Medical Officers	-	*	-	*	568	*
2	Dental Health Officers	-	-	-	-	113	-
3	Junior Chemist	-	-	16	-	-	-
4	Dietician	-	-	2	-	-	-
5	Social Worker	-	-	4	-	-	-
6	Dental Mechanic	-	-	3	-	-	-
7	Physiotherapist	-	-	9	-	-	-
8	Staff Nurses	1633	-	-	-	46	-
9	X-Ray Technician	101	-	4	-	-	43
10	Jr. Lab. Technician	-	-	-	-	-	885
11	Junior Health Asst. (F)	464	-	-	-	22	110
12	Refractionist	-	-	-	-	7	27
13	First Division Asst.	123	-	-	-	-	-
14	Stenographers	-	-	-	-	13	-
15	Typist	-	-	-	-	11	-
16	Drivers	167	-	-	-	-	296
	Total	2488	0	38	0	780	1361

Note: '1253 doctors are appointed on contract basis. Year-wise breakup is not readily available.

Source: Directorate of Health and Family Welfare.

Privatisation of 'non-clinical' services

Most of the hospitals in the state portray a very dismal picture in respect of its poor maintenance and inadequate supervision. This has resulted mainly due to lack of timely repairs and maintenance of buildings and equipments and poor house-keeping. In some hospitals, many Group -D posts are lying vacant. Even where they are in position, the general impression is that of their indifference towards work and neglected supervision by concerned authorities, making it impossible to maintain the services at a satisfactory level. The issue of poor maintenance and support services in our hospitals could not be addressed by merely filling up the vacancies in the non-clinical cadres. Many of the existing staff members are unwilling to perform certain jobs like cleaning of toilets and bathrooms. The deteriorating conditions in our hospitals forced the state government to contemplate appropriate measures including 'privatization' of these services. Privatization has now become an accepted reality at various levels, it is important to adopt certain innovative and cost-effective measures to streamline the hospital administration. In this context, innovative steps have been undertaken by KHS DP in their secondary level hospitals. The scheme of contracting-out maintenance of non-clinical services was primarily based on the specific activities to be regularly undertaken in the hospitals. The schedule of work for the contractor encompassed areas which were hitherto not efficiently maintained by the Group D workers, as well as those being maintained by a non-health sector department like Public Works Department. The areas included maintenance of structures and non-medical equipments as well as delivery of support services (Table-9). KHS DP has implemented this scheme in 32 of its hospitals between 1997 and 2000.

An evaluation of this scheme (KHS DP,2000) shows that by and large, all stakeholders of the hospitals welcomed this arrangement and advocates its continuation. Contracting-out the maintenance of non-clinical support services in hospitals to private sector has been considered as an important viable option as it has been proved efficient and cost-effective. Government also consider this as an opportunity for encouraging the role of private sector in public health sector. The viability and sustainability of the scheme can be ensured by introducing some pre-conditions before contracting-out the services. **The most important one is that the hospital should have a minimum of 50 percent vacancy of Group D staff and the vacancy will be maintained as long as the services are contracted out. Although this provision has been prescribed by the government, it has not been strictly followed.**

Government should seriously consider contracting out the 'non-clinical' services in all district and taluk level hospitals. Administrative instructions should be issued at the earliest regarding the deployment of Group D personnel only in such areas of hospitals where they are absolutely needed. **This scheme can be expanded by including the provision of security in the hospital premises.**

Table 9. Schedule of Work for the Contractor at Secondary level Hospitals

Sl.No.	Nature of Maintenance	Type and Description of Work
1	Preventive Maintenance	a) Indiscriminate fixing of posters. b) Oiling hinges, painting rusted parts of furniture, equipment, electrical poles, defaced parts of building. c) Cleaning, drains, soak pits, chambers, refixing chambers, covers & sink. d) Functionality of wheel chairs, stretcher & wheelbarrow, wooden furniture & macintosh, descaling sterilisers.
2	General Maintenance	a) Vacuum cleaning of corners, sweeping & moping of all areas of hospital including toilets & wash basins. b) Disinfecting all area with appropriate Disinfectant. c) Ensuring functionality of flush tanks in toilets. d) Cleaning rooftops, ensuring patency of drainpipes & drainage system.
3	Repairs & replacements	a) Refixing loose glass panes,, stoppers, etc., b) Replacing broken glass, tiles within stipulated period. c) Repair leaks from drain pipes,, sinks,, flush tanks, etc., d) Repair switches, plugs & replace bulbs & tubes, starters, ceiling fans, defective taps & non-serviceable inen.
4	Providing utility materials, service accessories and interior decorations	a) Providing hand towels, soaps, water mugs, fresh disinfectant, hand lotion, fresh linen. b) Ensuring continuous supply, functioning water meter, rectifying leaks, cleaning overhead tanks, maintaining solar water heating system. c) Maintaining electrical Supply, cleaning fans. d) Maintaining potted plants as part of interior decoration.
5	Maintaining Exteriors	a) Maintenance of lawns & garden, approach roads to garages, water storage, electrical installations, waste disposal areas, postmortem room quarters of staff and cowcatcher.
6	Waste Management	a) Cleanliness of waste bins, wheebarrows. b) Maintenance of Waste store. c) Proper disposal of Waste. d) Provision of Personal Protection.
7	Maintenance of Safety	Ensuring safety of control panels, wiring, Generator system & functionality of fire extinguishers
8	Maintaining Information Display (IEC) for public and Staff	

Source: KHSDP.

Health Care Institutions and Infrastructure

The health care delivery system in Karnataka, structured mainly on the basis of national norms, has seen tremendous growth in terms of number of health institutions. Over the years, a larger number of health institutions have been established in the state to take health care services closer to the people. There are 249 Community Health Centres, 1562 Primary Health Centres, 567 Primary Health Units and 8143 Sub-centres in the state (Table -1). The annual growth rate of health and medical institutions between 1960-61 and 1996-97 works out to a little above 3 percent. The rate varies from 0.06 percent in Kodagu district to 8.33 percent in Raichur district (Table - 2). With regard to medical practitioners, the major chunk are in the private sector. **Of the 17,000 practicing doctors, about 11,000 are estimated to be in the private sector and only 35 percent are in the government sector** (Govt. of Karnataka, 1999). More than 80 percent of the government doctors are general duty doctors and only 18 percent are specialists. The number of beds in government hospitals in Karnataka increased from 13,786 in 1960-61 to 43,867 in 1996-97.

The availability of infrastructure assumes greater importance in rural areas since there is a feeling of strong urban bias in health facilities. In this context, the national norms in the provision of rural health care can be summarized as follows-

1. At least one trained dai- for each village
2. One trained village Health Guide – for each village/1000 population
3. Sub-centres – for every 5000 population in plain areas and for 3,000 population in tribal and hilly areas
4. Primary Health Centre (PHC) – for every 30,000 population in plain areas and 20,000 in hilly and tribal areas
5. Community Health Centre (CHC) – for every 80,000 to 1.2 lakh population, serving as a referral institution for four PHCs
6. Population covered by a Health Worker (male and female) – 5,000 in plain areas, 3,000 in tribal and hilly areas
7. Population covered by a Health Assistant (male and female) – 30,000 in plain areas, 20,000 in tribal and hilly areas.

Against this prescribed norms/targets, it is important to examine the infrastructural situation in Karnataka. Distribution of CHCs, PHCs and Sub-centres by Divisions in Karnataka is presented in Table- 3. With regard to Community Health Centres, the average population covered in the state is 1.44 lakhs. In the case of Primary Health Centres, the average population served by a PHC is about 23,000. Only in Gulbarga division, it is above 25,000 population per PHC, whereas in Mysore Division, it is much low (nearly 19,000). A Primary Health Unit (PHU) is the norm for every 15,000

population headed by a Medical Officer assisted by paramedical and non-paramedical staff. This is a feature peculiar to Karnataka. There are 567 PHUs in the state. With regard to Sub-centres, the average population per Sub-centre in the state is 4409. In Mysore Division, it is as low as 3275. However, in Gulbarga Division, it is 5183 (slightly more population than the prescribed norm).

A comparison of Southern States in terms of infrastructure for rural health services is presented in Table – 4. Regarding the number of Sub-centres per PHC, the situation in Karnataka is far better than other states. It is the same case with number of PHCs per Community Health Centre. In fact, the average rural population covered by a health worker is lowest in Karnataka. Government of India had prescribed a norm of one bed per thousand population, including both government and private sector. In Karnataka the bed-population ratio is much better than the national norm. It is less than 500 population in Mysore Division, whereas in Gulbarga Division, it is 1004. The availability of hospital beds in government and private sectors is presented in Table- 5. The bed per population in government sector is 1:1317. In private sector, it is 1:1286. The bed availability taking government and private sectors together is 1:651 in the state.

The size and contribution of private sector in providing health care is significant in the state. According to a survey conducted in 1995-96 (STEM,1997), the private health sector in Karnataka comprises of 1709 medical institutions (nursing homes, hospitals etc.). **The number of beds in the private sector is 40,900 compared to 43,868 beds in public sector hospitals. Out of 83,000 hospital beds in the state, 16,000 are in Bangalore Urban District.** Government should seriously deliberate on the scope and coverage of non-governmental health care providers in the state.

The health infrastructure in the state, in terms of number of institutions, is quite satisfactory. The average area and population covered by a PHC or Sub-centre is well within the prescribed national norm and comparatively better than some southern states (Tables- 3 & 4). However, many new PHCs have been started in certain locations based on political considerations, rather than following any population criteria. Instead of sanctioning new health institutions, government should focus on strengthening the existing institutions in terms of infrastructure and manpower, to make it really functional.

The mere existence of a health institution does not ensure its satisfactory functioning and utility to common man. Many of them lack basic facilities like water, electricity, telephone and vehicle and are located in rented buildings. As per the Facility Survey (IIPS, 2001), the status of infrastructure in PHCs of southern states is presented in Table- 6. Based on the information collected from about 50 percent of PHCs in Karnataka, the survey shows that 99 percent of PHCs in the state function in its own building. However, only 73 percent of PHCs have at least one bed for in-patients. In any health facility, continuous supply of water is one of the critical inputs. Continuous water supply is available in 72 percent of PHCs. For communication purpose, especially as the PHCs are supposed to refer the complicated cases to higher health facilities, the telephone is very important. Only 22 percent of PHCs in the state have telephone facility.

In the context of out-reach programme of the PHCs and referral of the complicated cases to higher health facilities, the availability of a vehicle in working condition becomes a critical input. With regard to vehicles, the situation is far from satisfactory. Only

21 percent of PHCs in the state have a functional vehicle. We collected information from five selected districts. As indicated in the following table, in many districts, good number of vehicles are off the road. For example, in Bijapur district, out of 53 vehicles, 30 are not in working condition. In Gulbarga district also, out of 98 vehicles, 38 are off the road.

Number of Vehicles as on 31. 8. 2001

Districts	Total	On Road	Off Road
Bijapur	53	23	30
ChamarajaNagar	27	17	10
Gulbarga	98	60	38
Kolar	81	61	20
Uttara Kannada	67	49	18

The new National Population Policy (2000) has set a goal of ninety percent institutional deliveries. In this context, the availability of labour room is critical facility for PHCs. Only 58 percent of PHCs in the state have labour room. PHCs are supposed to provide medical services for in-patients and hence are expected to have at least six beds. 73 percent of PHCs in the state have at least one bed.

Table- 7 provides the status of adequately equipped PHCs by specific components. Just the availability of PHCs is not sufficient for the effective delivery of services. They should also have essential infrastructure, staff, equipments and supplies. Though the availability of 100 percent of all the inputs is essential, the availability of 60 percent critical inputs is considered as adequate. 64 percent of PHCs are adequate in equipments and about 45 percent in infrastructure and supplies.

Though not designated as such, community health centres are also first referral units where referral cases sent from lower level health care establishments whom they have to take care, besides the usual health care activities of these centres. The status of infrastructure in PHCs of southern states is presented in Table – 8. In general, electricity is available in all parts of the health centres in almost all CHCs in the state. 97 percent of CHCs in Karnataka have delivery facility and Operation Theater. However, only 59 percent of CHCs have a generator. 81 percent of CHCs are adequately equipped in infrastructure and 68 percent in equipments. However, the major problem is with regard to availability of staff and supply of drugs (Table-9). Similar information is available for district hospitals also (Tables-10 &11).

The main reason for the poor functioning and low utilization of PHC facilities is the absence of the Medical Officer/Lady Medical Officer at the head quarters. In most of the PHCs, there are no staff quarters and wherever they are available, they are in a dilapidated condition. **Facilities should be made available for the stay of crucial medical staff at the PHC compound itself.** However, it was observed that in some cases where residential facilities are available, Medical Officers are reluctant to stay there. **This should not be allowed to continue.** This is also applicable to other health personnel. As per Facility Survey (IIPS, 2001) it was reported that only in 29 percent of PHCs in Karnataka, Medical Officers stay in the PHC compound.

**Table 1. Number of Health and Medical Institutions in
Karnataka
(Govt. only)**

District/State	Hospitals	CHCs	PHCs	PHUs	Sub-Centres
Bagalkote	1	10	43	1	295
Bangalore	12	3	28	42	140
Bangalore - Rural	-	11	66	29	286
Belgaum	1	15	130	12	161
Bellary	6	9	50	17	264
Bidar	1	6	40	13	231
Bijapur	2	8	61	1	598
Chamrajanagar	1	4	48	7	252
Chickmagalur	2	8	47	40	202
Chitradurga	1	12	49	31	132
Dakshina Kannada	3	7	60	5	335
Davangere	4	7	64	33	326
Dharwad	4	3	27	3	174
Gadag	3	6	27	6	126
Gulbarga	1	19	100	21	512
Hassan	1	15	76	49	463
Haveri	1	11	45	21	296
Kodagu	2	7	28	4	163
Kolar	5	13	76	36	375
Koppal	1	9	38	4	172
Mandya	2	9	67	37	376
Mysore	4	15	88	45	488
Raichur	1	5	45	4	206
Shimoga	2	9	50	38	380
Tumkur	1	10	90	39	418
Udupi	2	6	59	11	456
Uttara Kannada	2	12	60	18	316
STATE	66	249	1562	567	8143

Source: Government of Karnataka (2001).

Table 2. Growth of Medical Institutions, 1960-61 to 1996-97

District	1960-61	1970-71	1980-81	1990-91	1996-97
Bangalore	122	168	237	182	189
Bangalore Rural	-	-	-	91	113
Belgaum	53	74	115	140	166
Bellary	40	51	77	97	111
Bidar	17	23	43	50	60
Bijapur	44	61	90	94	125
Chikmagalur	88	59	75	88	98
Chitradurga	77	76	103	125	148
Dakshina Kannada	72	126	130	145	163
Dharwad	52	93	120	143	167
Gulbarga	31	66	91	122	147
Hassan	94	73	94	117	139
Kodagu	48	44	45	43	47
Kolar	96	86	109	118	133
Mandya	68	61	82	99	116
Mysore	120	117	149	194	220
Raichur	26	52	79	82	104
Shimoga	88	86	109	126	144
Tumkur	70	73	98	116	137
Uttara Kannada	42	52	63	87	97
KARNATAKA	1248	1441	1909	2259	2624

Source: Directorate of Health and Family Welfare, GoK.

Table 3. Distribution of CHCs, PHCs and Sub-Centres by Divisions - Karnataka

Item	DIVISIONS				State
	Bangalore	Mysore	Belgaum	Gulbarga	
Community Health Centre (CHC)					
No. of CHCs	65	71	65	48	249
Population / CHC (in lakhs)	1.62	1.26	1.42	1.50	1.44
Primary Health Centre (PHC)					
No. of PHCs	423	474	393	273	1563
Population / PHC (in '000)	24.89	18.90	23.51	26.30	22.97
Sub-centres					
No. of Sub-centres	2057	2735	1966	1385	8143
Population / Sub-centre	5118	3275	4700	5183	4409

Centre	Population Norm (Government of India)	
	Plain Area	Hilly/Tribal Area
Sub-centre	5,000	3,000
PHC	30,000	20,000
CHC	120,000	80,000

Source: Government of Karnataka (2000).

Table 4. Rural Health Services

Particulars		Karnataka	Andhra Pradesh	Kerala	Tamil Nadu	All India
Average Rural Area (Sq. KM covered by a	Sub Centre	23.03	25.54	6.97	14.27	22.89
	PHC	117.13	202.18	36.98	86.27	136.22
	CHC	774.88	1303.93	443.76	1720.58	1154.82
Average Radial Distance (KM) covered by a	Sub Centre	2.71	2.85	1.49	2.13	2.70
	PHC	6.10	8.02	3.43	5.24	6.58
	CHC	15.70	20.37	11.88	23.40	19.17
Average Number of Villages Covered by a	Sub Centre	3.32	2.52	0.27	1.82	4.29
	PHC	16.91	19.91	1.44	11.02	25.54
	CHC	111.84	128.43	17.30	219.75	216.53
Number of Sub Centres per PHC		5.09	7.92	5.31	6.05	5.95
Number PHCs per CHC		6.62	6.45	12.00	19.94	8.42
Average Rural Population (1991) covered by a MPW (F)/ANM		3837	4466	4748	4305	4707

Source: Rural Health Statistics in India, June 1998. Bureau of Health Intelligence, Govt. of India.

Table 5. Availability of Hospital Beds by Divisions in Karnataka

Sl. No.	Particulars	DIVISIONS				State
		Banaglore	Mysore	Belgaum	Gulbarga	
I	No. of beds					
I	Government Sector	13594	12082	7938	5925	39539
ii	Private Sector	13373	12802	10861	3474	40510
iii	Both	26967	24884	18799	9399	80049
iv	Percentage of Govt. sector to total	50.41	48.55	42.23	63.04	49.39
II	Population/Bed in					
I	Government Sector	1343	970	1598	1592	1317
ii	Private Sector	1365	915	1168	2716	1286
iii	Both	676	471	675	1004	651

Source: CESC, 2001.

Table 6. Status of Infrastructure in Primary Health Centres

State	No. of PHCs	Percent of PHCs having								Percent of PHCs with at least one bed
		Own Building	Toilet Facility	Water @	Electricity	Labour Room	Laboratory	Telephone	Vehicle \$	
Andhra Pradesh	622	74	67	52	96	41	56	9	26	77
Karnataka	854	99	80	72	92	58	61	22	21	73
Kerala	790	87	95	80	95	24	19	14	18	30
Tamil Nadu	672	96	84	65	99	62	68	19	43	60
INDIA	7959	92	79	62	82	48	46	20	29	69

@ - continuous supply of water \$ - functional vehicle

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 7. Percent of Adequately Equipped PHCs by Specific Components

State	No. of PHCs	Percent of PHCs adequately Equipped in*				
		Infrastructure	Staff	Supply	Equipments	Training
Andhra Pradesh	622	32	50	16	84	21
Karnataka	854	47	24	45	64	7
Kerala	790	19	46	10	44	3
Tamil Nadu	672	52	55	65	67	39
INDIA	7959	36	38	31	56	12

Note: * - having at least 60 percent of critical inputs.

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 8. Percent of Adequately Equipped CHCs

State	No. of CHCs	Percent of CHCs adequately Equipped in*			
		Infrastructure	Staff	Supply	Equipments
Andhra Pradesh	63	62	32	11	52
Karnataka	69	81	26	17	68
Kerala	107	79	27	1	41
Tamil Nadu	41	39	20	2	34
INDIA	886	66	25	10	49

Note: * - having at least 60 percent of critical inputs.

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 9. Status of Infrastructure in CHCs

State	No. of CHCs	Percent of CHCs having														
		Sources of Water		Tank & Pump Facility	Electricity (in all parts of the Hospital)	Generator	Telephone	Vehicles (Functional)	Laboratory (Adequately Equipped)	Operation Theatre	Separate OT for Gynecology	Separate aseptic labour room	Delivery Facility	Gynecology OPD Facility	RTI/STI OPD Facility	Linkage with district blood bank
		Tap	Well													
Andhra Pradesh	63	41	52	71	90	61	65	29	49	94	37	43	86	41	16	18
Karnataka	69	51	49	86	96	59	77	67	48	97	54	57	97	64	30	9
Kerala	107	54	41	95	97	65	77	77	51	91	61	35	73	17	1	5
Tamil-Nadu	41	44	54	88	80	41	34	41	41	66	34	12	88	20	0	2
INDIA	886	46	51	71	92	52	62	61	60	86	57	28	84	43	7	9

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 10. Status of Infrastructure in District Hospitals

State	No. of DHs	Number of DHs having														
		Sources of Water		Tank & Pump Facility	Electricity (in all parts of the Hospital)	Generato	Telephone	Vehicles (Functional)	Laboratory (Adequately Equipped)	Operation Theatre	Separate OT for Gyneco- logy	Separate aseptic labour room	Delivery Facility	Gynecology OPD Facility	RTI/ STI OPD Facility	Linkage with district blood bank
		Tap	Well													
Andhra Pradesh	12	7	5	11	11	12	12	12	12	12	9	7	11	11	4	9
Karnataka	10	7	3	10	10	9	10	10	10	10	9	7	9	10	8	7
Kerala	12	9	3	12	12	12	12	12	8	12	9	6	9	7	5	6
Tamil-Nadu	12	10	1	11	12	12	12	12	10	12	12	7	12	12	10	7
INDIA	210	152	57	182	206	181	201	192	173	206	179	92	191	173	104	139

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 11. Number of Adequately Equipped District Hospitals

State	No. of DHCs	Number of DHCs adequately Equipped in*			
		Infrastructure	Staff	Supply	Equipments
Andhra Pradesh	12	12	12	1	12
Karnataka	10	10	10	4	10
Kerala	12	12	12	0	12
Tamil Nadu	12	12	12	11	12
INDIA	210	198	176	59	186

Note: * having at least 60 percent of critical inputs.

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Structure and Functions

For improving service delivery and to provide responsive administration, an efficient organizational set-up is very important. The roles and responsibilities of the health functionaries, particularly at managerial cadre, must be specified. However, at the Directorate of Health and Family Welfare, there is lack of clarity in the roles among various functionaries. There is also a lack of adequate administrative accountability. The State Task Force on Health and Family Welfare deliberated on this issue and has suggested a re-organization of administrative structure at state, district and taluk levels. It also suggests the basic functions, duties and responsibilities of functionaries at various levels. During our interactions with officers at different levels, we sought their opinion regarding the proposed organizational structure for the Department. Majority of the officers are in agreement with the proposals though some have expressed reservations on certain points like giving over emphasis on public health and abolition of Divisional Offices.

As per the proposed structure by the Task Force, the Directorate of Health Services will be headed by Commissioner/Director General of Health Services, who will report to the Principal Secretary. The main function of this position would be to bring about better internal and inter-sector-co-ordination and to achieve a greater degree of accountability in health services both in financial and administrative terms. Under the Commissioner, Director (Medical) would head the clinical and curative services of the Directorate. The Director (Public Health) will be the overall 'in-charge' of the public health programmes. It was also presumed that various divisions in the Directorate need to be re-organized based on similarities in their functions and responsibilities.

At the same time, the Task Force has opposed the abolition of posts in the Health Department. In a 'service department' like Health, abolition of existing posts must be done with extreme caution. In view of this the blanket proposal for abolishing certain percentage of posts with immediate effect may not be feasible in this case. However, in this review study it is felt that there is a need to differentiate between the posts "providing health care services" and the posts of purely "administrative" nature in the Health Department. There is no need for Divisional Level Offices as it exists today. The posts of four Divisional Joint Directors (DJD) can be abolished. The supporting staff working in those divisional officers can be re-deployed in district level health offices wherever positions are vacant.

District Level

The District Health and Family Welfare Officer (DHO) is the administrative head of the department at the district level. Presently this officer is responsible for the implementation of all programmes, management of PHCs, CHCs and Taluk hospitals. The DHO is answerable to both Zilla Panchayat and State Health Directorate. The District hospital is not coming under the administrative purview of DHO and is managed by a District Surgeon. During this review, there was an opportunity to closely interact

with DHOs of the five selected districts. The first impression of a DHO is of an 'overburdened' officer with limited power and authority, and a 'slave' in an administrative set-up tangled between Zilla Panchayat and State Directorate, having responsible for the administration as well as public health care and clinical services in the district. All the DHOs complained about the "lack of authority and power" and "harassment by politicians" at all levels. At the same time, ZP being the administrative authority, it has an important role to play at the implementation of health and family welfare programmes.

There are many programme officers working under the DHO:-

- District Malaria Officer
- District Leprosy Officer
- District Surveillance Officer
- District RCH Officer
- District Tuberculosis Officer
- District Health Education Officer

At the district level, it was observed that many posts of programme officers are lying vacant, adversely affecting the implementation and monitoring of public health activities. At the same time, some programme officers have very limited workload and responsibility, confining only to a particular national programme like control of malaria, leprosy and tuberculosis. **Considering the work load and shortage of officers, it is possible to entrust more than one programme to an officer, without compromising on the quality of supervision.**

After detailed deliberations, the State Task Force on Health and Family Welfare suggested a new organisational pattern at the District level. (See Chart 1 and 2). Accordingly, the District Health Officer and the District Medical Officer would be designated as the district health chiefs and be made responsible for all concerned activities in the district. District Health Office (DHO) will take care of all the programmes, surveillance, family welfare and nutrition programme and IEC activities. District Medical office will manage the district hospitals and taluk level/ general hospitals.

The administrative structure suggested by the Task Force gives equal importance to clinical and public health activities. It is acceptable mainly because, if implemented, it substantially reduces the present burden of DHO. However, **at the district level the two posts of the District Medical Officer (DMO) and District Health Officer (DHO), may lead to dual centre of authority and lack of co-ordination. This review, therefore, suggests that necessary administrative structures must be evolved to avoid this.**

Further, the review also suggests that a highly responsible post like District Health and Family Welfare Officer (DHO) should have tenure-specific appointments. Most of the newly appointed DHOs, purely based on seniority criteria, are having only few months of service before their retirement. They have no interest to initiate any improvement in the programme implementation. Surprisingly, during the last 10 year period (April 1991 to July 2000), there were 16 DHOs in Bijapur district. **Those promoted**

to become DHO and not having a minimum of two years of service to retire, should not be allowed to take up this important job.

Taluk Level

Taluk Health Officer (THO) is the supervisory authority for Medical officers of PHCs. He is also responsible for distribution of drugs, equipments and materials as supplied by district office. He represents the health department in Taluk Panchayat meetings. The implementation of national disease control programmes through a network of PHCs and sub centres is a major task of THOs. He should periodically monitor the functioning of PHCs, PHUs and CHCs in his taluk through field visits and monthly meetings (Chart-3).

Surprisingly, out of 175 taluks in the state, 110 posts of Taluk Health officers are vacant. In Uttara Kannada district, out of six taluks, only one THO is presently in position. In Chamarajnar, out of 4 taluks, THO is in position only in Kollegal taluk. To ensure the proper supervision of the functioning of PHCs, the position of the Taluk Health Officer (THO) should be strengthened. In majority of the taluks, the Chief Medical Officer of the taluk hospital/CHC hold the additional responsibility of the Taluk Health Officer. In reality, they are unable to discharge the responsibilities of a THO due to lack of time. **It is recommended that THO should be given full administrative powers and time to discharge duties as a supervisory officer, rather than a "mere manager" of a particular hospital in the taluk.**

PHC Level

Primary health centres are the focal points for the delivery of health and family welfare services. They are the primary units of our primary health delivery system and needs to special attention. Its functions include—

- Medical care (curative services)
- Maternal and Child health services
- Surveillance and control of communicable diseases
- Health education
- Collection of vital statistics
- Training of Village Health Guides/Dais
- Improvement of environmental sanitation
- Implementation of relevant national health programme

However, the poor utilization of PHC services as illustrated by many studies, must be considered as a 'failure' in the functioning of our PHCs. Medical Officer is the administrative head of the PHC. His responsibilities include managing out-patient section, allotment of duties to subordinates, supervision of sub centres and field level health personnel, provision of basic MCH services including immunization and nutrition programmes. Few PHCs also have Lady Medical Officer, to assist the Medical Officer

in overall management of PHCs. Interestingly, we came across many PHC Medical Officers also in-charge of neighboring PHCs. In the process, he is not able to concentrate on his regular work in the PHC and spends considerable time travelling from one PHC to the other. Bhatia (1999), based on an assessment of time spend by Medical Officers, stated that the administrative Medical officer spent less than 10 percent of the time on the management of the PHC, which was one of his primary responsibilities.

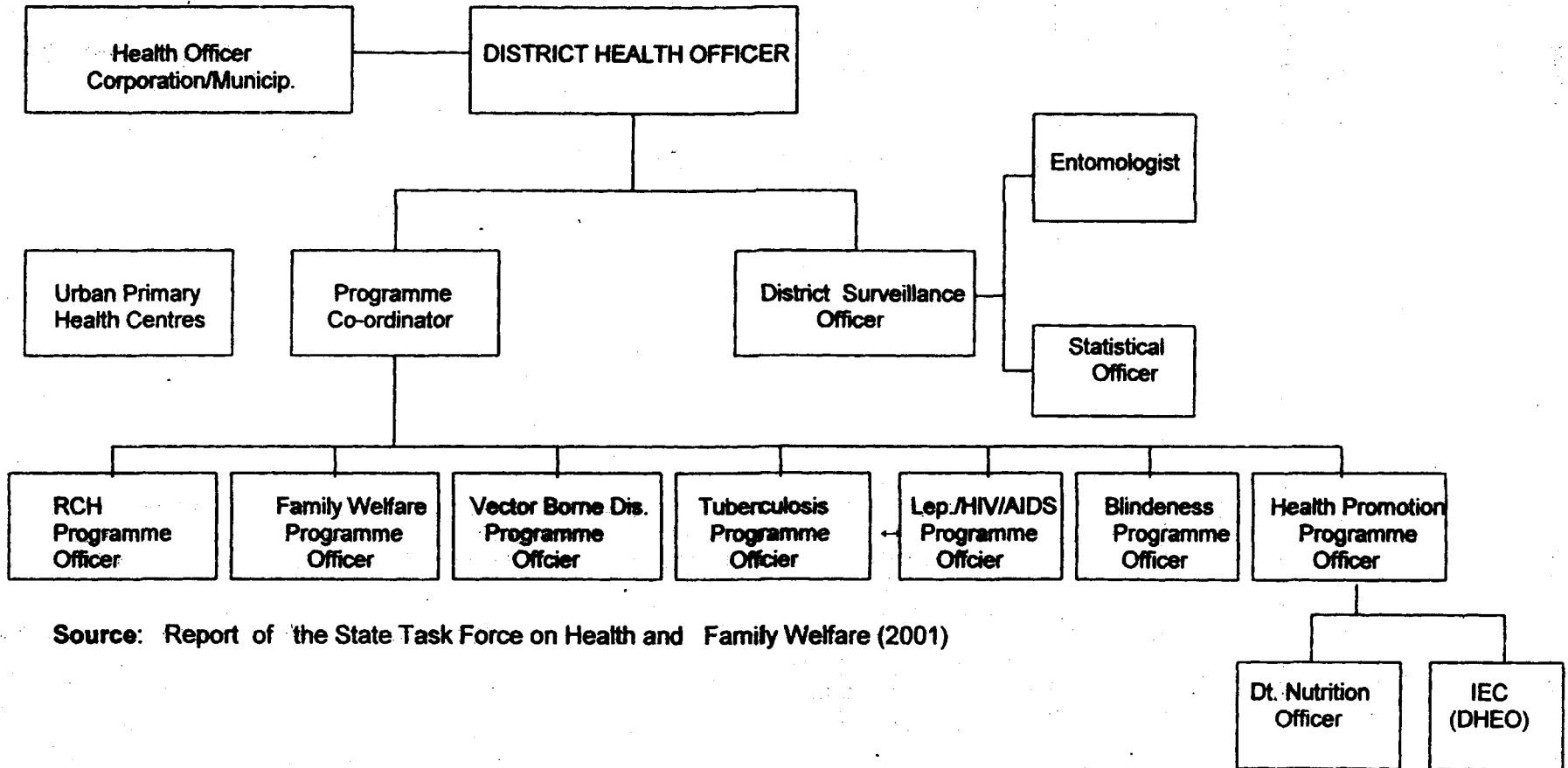
The organizational structure proposed by the Task Force is in tune with the national pattern (Chart 4). However, the main problem in the functioning of PHCs is the absence of Medical Officers. **Regarding the appointment of PHC Medical Officers, tenure-specific posting should be given and rural service should be made compulsory for initial years. The doctors working in the remote and backward areas of the state must be encouraged with certain incentives, both in terms of cash and promotion.** Facilities should be made for the stay of Medical Officers in the PHC compound/nearby.

Most of the Medical Officers have no experience in administrative aspects of PHC. The Pre-induction training should be made mandatory for PHC Medical Officers. Demand for service provision and multiplication of programmes has put heavy burden on the Medical officers. But the supportive systems have remained far below the expected level of service provision.

**CHART NO. 1
DEPARTMENT OF HEALTH AND FAMILY WELFARE – ORGANISATIONAL STRUCTURE PROPOSED**

DISTRICT LEVEL

STRUCTURE AT DISTRICT HEALTH OFFICE



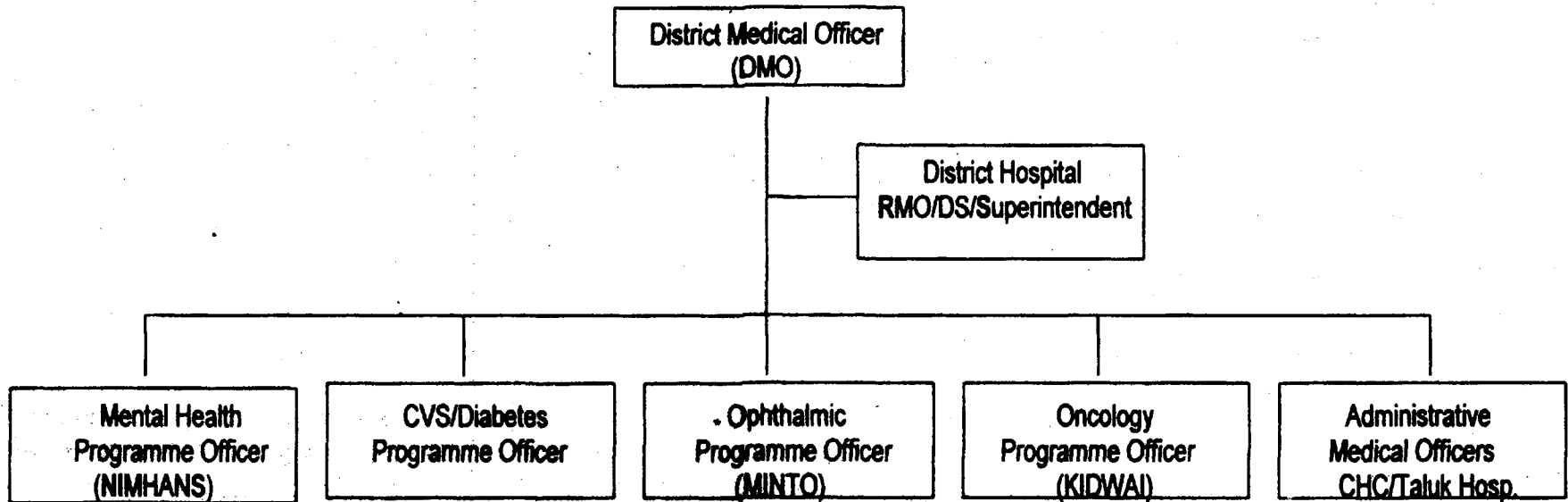
Source: Report of the State Task Force on Health and Family Welfare (2001)

CHART NO.2

DEPARTMENT OF HEALTH AND FAMILY WELFARE – ORGANISATIONAL STRUCTURE PROPOSED

DISTRICT LEVEL

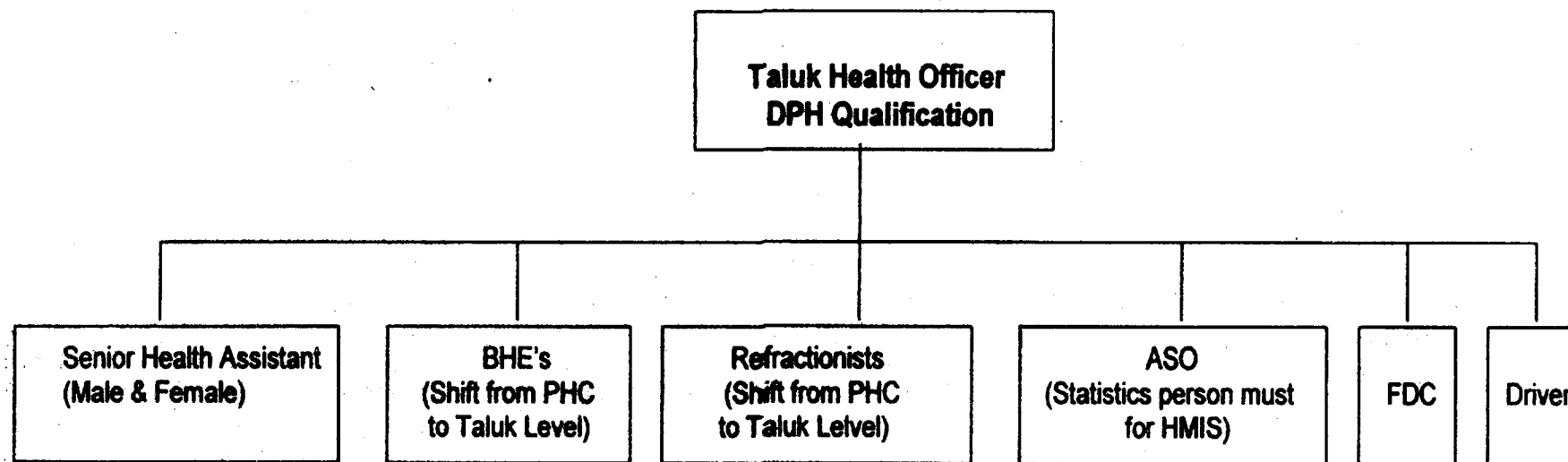
STRUCTURE AT DISTRICT MEDICAL OFFICE



Source: Report of the State Task Force on Health and Family Welfare (2001)

CHART NO. 3
DEPARTMENT OF HEALTH AND FAMILY WELFARE – ORGANISATIONAL STRUCTURE PROPOSED
DISTRICT LEVEL

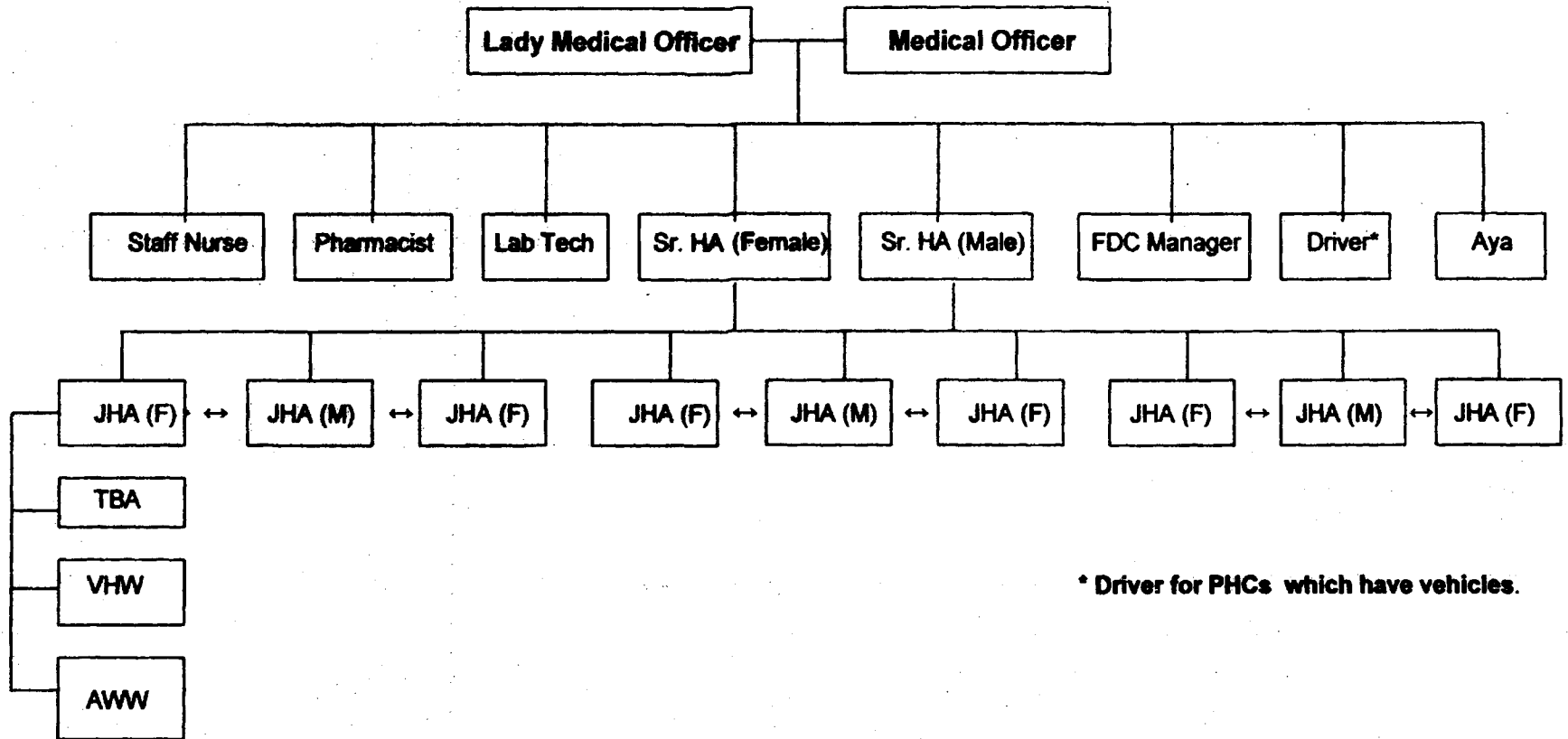
TALUK HEALTH OFFICE - PROPOSED



Source: Report of the State Task Force on Health and Family Welfare (2001)

CHART NO. 4

**DEPARTMENT OF HEALTH AND FAMILY WELFARE – ORGANISATIONAL STRUCTURE PROPOSED
DISTRICT LEVEL
STRUCTURE OF PRIMARY HEALTH CENTRE**



Source: Report of the State Task Force on Health and Family Welfare (2001)

Utilization of Public Health Care Services

Though the government has provided a large network of health institutions throughout the state, the utilization of these facilities by public is considerably low. There are many factors such as distance, public perception of the PHCs, lack of personnel and medicines, absence of doctors, unhygienic atmosphere in PHCs, unruly behaviour of health staff, etc. which influence the utilization of health facilities. Many studies illustrated that people have very poor image of government health facilities. In many cases, only 10 to 20 percent of the population in the villages utilised the PHC services in India (John Hopkins University, 1975; Chuttani et.al, 1976). Ghosh and Mukherjee (1989) argued that the utilisation of health care services varied with educational level of housewife, income of the family and distance to the PHC. The reasons for not getting treatment are many, ranging from ignorance to lack of medical facility in the vicinity. National Sample Survey in its 42nd (1986-87) and 52nd (1995-96) rounds indicated that good number of people could not avail health care inspite of being sick. Major reasons cited for not taking treatment from the public health facility are financial reasons, no medical facility, ailment not considered serious and lack of faith in the system of medicine (Table-1). In rural areas of karnataka, nearly 23 percent cited financial reasons and 8 percent cited lack of medical facility for not availing treatment from government health institutions. This is also an indication of the poor state of health amenities as well as social backwardness of people. Access to health care is increasingly becoming difficult for the poor. Urban areas and economically developed regions have attracted a larger share of health resources while economically backward and remote areas have remained consistently under-served (Iyer and Sen, 2000). Though 70 percent of Indians live in rural areas, only 32 percent of hospitals, 20 percent of hospital beds and 41 percent of all trained doctors are there in rural areas (Duggal et.al, 1995). The proportion of those who were unable to access health services in rural Karnataka because of " financial reasons" increased from 15 percent in 1986-87 to 23 percent in 1995-96. This is also reflected in the NSS survey which showed differentials in health service utilisation not only among different socio-economic groups in Karnataka but also the increasing rural -urban disparities.

The percent of out-patient utilization of public health facilities has declined over the years (From 1986-87 to 1995-96) both in rural and urban areas of the state. In rural Karnataka, it declined from 32 to 26 percent and in urban Karnataka, from 30 to 17 percent. In the case of in-patient care in public sector, out of every 1000 rural in-patients, 458 went to public facility in Karnataka. However, out-of every 1000 urban in-patients in the state, only 298 went to government hospitals for treatment in 1995-96 (NSSO, 1998).

It has been well documented that physical access to health services is key to their utilisation, particularly in districts that are characterised by low levels of economic and social development. Many villages lack basic transport facilities and this has made it difficult for people to reach the PHCs or hospitals for treatment. The distance an individual has to travel to reach a health care facility has a direct bearing on the extent

Table 1. Reason for not Taking Treatment from the Public Health Facility

(In percentage)

Reasons	Karnataka				India			
	Rural		Urban		Rural		Urban	
	1986-87	1995-96	1986-87	1995-96	1986-87	1995-96	1986-87	1995-96
No Medical Facility	5.3	7.5	0.7	-	2.9	9.0	0.1	1.0
Lack of Faith in the System of Medicine	3.4	4.8	1.7	1.6	1.9	4.0	1.8	5.0
Long Waiting	0.2	-	-	-	0.3	1.0	1.0	1.0
Financial Reasons	14.6	22.7	11.3	11.6	15.3	24.0	9.6	21.0
Ailment Not Considered Seriously	67.6	58.4	81.6	73.7	74.6	52.0	81.1	60.0
Other Reason	8.9	5.4	4.7	12.9	5.0	10.0	6.3	12.0
Total	100.0	100.0	100.0	100.0	100.0	100.0	100.0	100.0

Source: NSSO, 42nd and 52nd Rounds.

to which he/she will use it. Travelling a long distance to make use of a health care facility will affect the actual use of it, as it involves loss of time, effort and money (Muraleedharan, 1993). Women in the villages in and around PHC/Sub-centre have greater utilization of maternal and child health services as compared to those in other villages (Murthy, 1999). According to a study, the effective coverage by PHCs is restricted largely to villages within a distance of five kilometers (Udupa, 1991). People living in far away villages either are unaware of the services or find it difficult to reach them because of poor transport facilities and distance. In Karnataka, it was found that nearly three-fourths of villages have access to some kind of health facility within the village itself or within a distance of 5 KM. One-fourth of the villages have a sub-centre or a Primary Health Centre in the village. The median distance from the village to a health facility of any kind is 2.4 KM (Table - 2).

A major survey carried out by ISEC in Karnataka provides very important information about people's perception about government health facility. Those who have not visited any public health facility during the three months prior to the survey were asked to identify the main reason for not utilising government health services. (Table-3). Among them, 55 percent stated that there was no need to seek any medical treatment during that 3 months. However, the reasons given by the remaining 45 percent of respondents for non-utilisation of services ranged from preference for private doctor (21 percent), poor quality of services in government centres (8 percent), place and working time of PHC not convenient (6 percent) and improper behaviour of doctors and other staff (3 percent). Some of them stated non or rare availability of doctors (2 percent) and lack of medicine as important reasons for not visiting government facility.

Interestingly, in the minds of people, the concept of government as a provider of free services was there. This is reflected in this survey when one percent of the respondents attributed their non-use of government health centres to the charges, though nominal, being now collected by government for the provision of health services.

We also have detailed information on the type of government health facilities visited by people in Karnataka. ISEC (2001) survey shows that only 20 percent of respondents/their family members visited government health facility during the three months prior to the survey. Considerable variations across districts also noticed in this regard.

Table 2. Percentage Distribution of Villages According to Distance from the Nearest Health Facility, Karnataka

Distance	Primary Health Centre	Sub-Centre	Either PHC or Sub-Centre	Hospital	Dispensary/ Clinic	Any Health Facility
Within village	8.9	23.4	25.7	7.4	23.2	35.0
< 5 km	17.5	34.8	35.6	23.4	25.2	38.7
5-9 km	28.9	34.5	33.5	26.6	34.8	22.7
10 + km	42.4	5.1	3.7	41.3	14.8	3.7
Don't know/missing	2.3	2.2	1.5	1.3	2.0	—
Median distance	8.2	3.3	2.9	7.8	5.2	2.4

Note : — less than 0.05.

Source: National Family Health Survey - 1, 1992-93.

Table 3. Main Reason for Not Visiting Public Health Facility

District	No Need	Place/Time Inconvenient	Poor Quality of Service	Heavy Rush	Non/Rare Availability of Doctors/ Staff	Doctors/ Workers Do Not Examine/	Medicine Not/Rarely Given/ Are of	Services Are Charged Doctor Behave Properly	Prefer Private Clinic/ Bad Quality	Other Reasons	Number of Women Respondents
Bangalore Rural	66.7	4.4	5.8	1.2	0.5	1.2	0.3	0.6	18.4	0.5	580
Bellary	57.3	6.9	11.8	0.6	1.8	8.2	0.9	0.7	10.7	0.6	774
Bijapur	55.2	5.3	4.8	0.0	0.8	2.8	0.1	4.0	24.9	1.8	866
Chitradurga	55.9	2.5	7.7	1.2	0.5	0.4	0.2	0.7	29.8	0.5	697
Dharwad	37.1	12.9	15.1	2.3	3.2	10.8	0.3	1.7	15.8	0.3	803
Hassan	72.3	4.1	3.8	2.3	1.3	1.5	0.1	0.6	13.6	0.0	600
Kolar	60.9	1.8	7.9	0.5	0.2	1.0	0.1	0.2	26.4	0.5	756
Mysore	64.3	5.5	7.2	1.0	0.5	0.7	0.4	1.1	17.9	1.1	703
Shimoga	31.7	8.4	11.4	3.2	4.6	5.8	4.0	1.2	26.0	3.2	648
Uttara Kannada	50.1	6.0	5.7	3.1	3.0	1.1	1.7	0.1	28.1	0.7	632
KARNATAKA	55.15	5.78	8.12	1.54	1.64	3.35	0.81	1.09	21.16	0.92	7059
INDIA	60.0	6.9	5.5	1.1	1.6	2.1	3.6	1.2	16.3	1.8	198691

Note: Respondents are currently married women in the age group 15-44 years.

Source: Rapid Household Survey – Reproductive and Child Health, 1998 and 1999, ISEC Report, 2001.

In Bijapur only 7 percent and in Gulbarga only 12 percent made use of public health facilities. In Chickmagalur, Kodagu, Mandya, Tumkur, Hassan and Bangalore rural districts, it is above 25 percent. Among those who visited public health institutions, half of them went to government hospitals/CHCs and another half went to primary health centres. Those who sought services from sub-centres are very few (Table -4). Having created a network of institutions in the vicinity of people, the government should now focus on improving the services provided there. This will lead to higher utilisation which in turn will result in improved health status of the people.

The Rapid Household Survey in Karnataka (ISEC, 2001) also provides details about the level of utilization of various services, both in public and private sector. Nearly 45 percent of women surveyed stated that they went to government centres for treating pregnancy related complications. Half of the respondents sought public health facilities for delivery and post-delivery complications. But only 25 percent of Diarrhoeal and Pneumonia cases were treated in government facility. On the other hand, two areas wherein the government services were most sought after were vaccination and family planning. Nearly three-fourth of the vaccinations were done at government health facility. Vaccination of children against six serious but preventable diseases - tuberculosis, diphtheria, pertussis, tetanus, poliomyelitis and measles - is considered essential for promoting child health and survival. The government has been providing free vaccination services and also, free oral doses of vitamin A supplementation to children under age five. This survey also indicated that for 79 percent of users of family planning, the major source of supply of method was government health facility.

Table 4. Type of Govt. Health Facilities Visited

District	Type of Facility			
	Hospital/ CHC	PHC	Sub- centre	Total
Bangalore	12.2	0.8	0.0	13.1
Belgaum	6.8	9.7	0.8	17.5
Bidar	5.9	5.9	1.2	13.1
Chikmagalur	10.4	16.3	0.1	26.9
Dakshina Kannada	8.6	9.0	0.8	18.4
Gulbarga	8.5	4.0	0.0	12.6
Kodagu	19.5	8.3	0.4	28.3
Mandya	10.9	15.4	0.0	26.4
Raichur	5.3	6.7	1.0	13.1
Tumkur	8.6	17.6	0.7	27.0
Bangalore Rural	19.2	9.7	0.1	29.1
Bellary	10.5	1.4	0.1	12.1
Bijapur	2.4	3.7	0.9	7.1
Chitradurga	9.8	9.3	0.0	19.3
Dharwad	5.2	4.7	0.5	10.6
Hassan	14.4	13.8	1.1	29.5
Kolar	9.6	8.6	0.5	18.9
Mysore	12.5	10.1	0.6	23.4
Shimoga	14.0	9.4	0.3	23.8
Uttara Kannada	10.4	7.9	0.6	19.0
Karnataka	10.3	8.6	0.5	19.5

Note: Respondents are currently married women in the age group 15-44 years.

Source : Rapid Household Survey – Reproductive and Child Health, 1998 and 1999, ISEC Report, 2001.

One of the most important factors influencing family planning acceptance is the quality of services, which has been receiving increasing emphasis in the government's reproductive and child health care (RCH) efforts. According to National Family Health Survey-2 (ISEC & IIPS, 2000), in Karnataka, majority of contracepting couples (85 percent) obtain their method from a public-sector source and this is as high as 93 percent for rural users.

As part of this functional review, a sample survey was carried out among seekers of government health facilities in the selected taluks of five districts. This includes out-patients and in-patients to PHCs, taluk hospitals and district hospitals. 454 patients were randomly identified and using a structured questionnaire, information was gathered. In the case of children, the persons who accompanying/attending them were contacted for eliciting required information. It was observed that most of the prevailing health complaints and problems in rural areas are addressed at the PHC level. More complicated and serious cases are referred to secondary level hospitals. Majority of the respondents of this survey stated that working hours of PHCs were by and large convenient to them. **The two main reasons for availing services from government health facility are the free treatment and convenient to reach there.** It was also observed that most of the patients interviewed are aware about the type of facilities available in PHCs/hospitals. Majority felt that the treatment given was effective. In the case of 61 percent of respondents, they received the medicines from the centre. 35 percent stated that they purchased medicines from outside.

During our fieldwork, we had extensive discussions with visitors to the PHCs/CHCs/Taluk hospitals as well as elected members and members of Health Committees. It has found that poor people rely more on public health services. They cannot afford to pay the expenses in the private hospitals. In many PHCs, we found patients waiting for their turn in queue. In some PHCs in Bijapur and Gulbarga districts, when we reached there, the PHC buildings were locked and nobody was there to answer our questions. A Gram Panchayat President in Gulbarga district commented about the functioning of the PHC in his jurisdiction. According to him - "Whenever there is doctor at the PHC, there is no paramedical personnel; whenever they are available, no medicines are available; whenever whenever medicines are there, no refrigerator to keep that". Nearly 5 percent of patients also opined that they had to pay bribes to health staff including Medical Officers to get treatment. This finding corroborates the findings in a recent study (Dadibhavi & Bagalkoti, 2001) which illustrated that nearly 4 percent of the rural beneficiaries, when enquired, revealed that hospital authorities demand bribe for providing treatment and also show unfriendly behaviour towards the patients. **The impression we got during our own discussions with panchayat members in different villages is that people perceive the government health care institutions as a failure in providing basic services to the poor and are also becoming corrupt to a great extent.** The State Task Force has also underlined the existence of growing 'corruption' at various levels of the system and, in all aspects and sectors of health care in the state (Government of Karnataka, 2001). It is now a well known fact that health personnel demand money for services that are supposed to be free.

The existence and mushrooming growth of unqualified “doctors” or ‘quacks’ in the rural areas is an indicator of the poor quality of the public health care system and the fact that people have no choice but to depend these “alternative” providers. In most of the villages, now there is a person who calls himself a doctor but not qualified at all, and is known as ‘quack’. They treat for any ailment and are interested in only making money. Unfortunately, even now they are the first resort for many villagers and poorer communities. During our fieldwork, we came across many quacks and their popular “clinics”. Why do people go to them for treatment? A Gram Panchayat President in Bijapur has a ready answer to this question - “They are available in the village whenever we need their services. Can you ensure the presence of a doctor in the PHC at least one hour every day?” Many others also reported that the ‘fees’ charged by these ‘quacks’ are sometimes lesser than the ‘amount’ they have to pay to PHC doctor/nurse for getting ‘free treatment’. Some of these ‘unqualified practitioners’ are more popular in the village than the ‘visiting Medical Officers’ of the PHCs.

Table: 5 Responses of Health Service Seekers (N = 454)

1	Treatment at the centre is effective	54 %
2	Medicines are available at the centre	61 %
3	Working hours of the centre is convenient	90 %
4	Cleanliness at the health facility	77 %
5	Convenient to reach the centre	79 %
6	Privacy is maintained at the centre	72 %
7	Doctors/staff behaved properly	81 %
8	Waited more than one hour for services	42 %
9	Centre is good enough to recommend to others	60 %
10	Centre’s location is convenient	79 %
11	Treatment at the centre is free	32 %
12	Test facilities are available at the centre	58 %

Source: survey data (2001).

Visit of Health Workers:

Junior Health Assistant (Female) or Auxiliary Nurse-Midwife (ANM) is the direct link between government health care system and the public. As service providers, ANMs come into direct contact with the beneficiaries in the village. The role of ANMs has changed markedly over the past four decades. Their increasing visibility in the community and accountability and popularity have transformed them into key workers at the interface of health services and community. In general, ANMs are widely appreciated as hard working and “the only health personnel doing anything in public health”. ANMs are posted either at a PHC or at any of the sub-centres under its jurisdiction. The expected coverage of population of an ANM is 5000 (3000 in tribal and hilly areas). The general complaint about the ANMs is that they are not visiting

villages regularly and providing services. In our survey of health care seekers, we asked them about the frequency of visit by ANMs [Jr. Health Assistant (Female)] to their households.

The percentages of responses are given below:

Once in a week	10%
Once in a fortnight	18%
Once in a month	22%
Very rarely	14%
Never visited	36%

In many instances, even if she visits the village, she is not able to visit all households. In rural areas, health workers are expected to visit the households for providing ante-natal, natal and post-natal care and family planning services. The Rapid Household Survey (ISEC,2001) provides information regarding the visit of health workers (Table - 6). **Only 37 percent of women interviewed (total sample 15156 covering all districts of Karnataka) reported that health workers visited them during the three months prior to the survey.** In 90 percent of the cases, it is the ANM who visited the households. Only 11 percent of respondents stated that male health worker visited them. Interestingly, 82 percent of women expressed satisfaction over the time spent by the health worker, particularly ANM, during their home visits. In some districts, (Gulbarga, Bidar, Raichur, Dharwad and Chitradurga) the percent of households visited by health workers is less than 20 percent. We should also keep in mind, in a district like Gulbarga, 36 percent of ANM posts are vacant. It was also observed that many field ANMs were asked to work in CHCs/PHCs, due to shortage of staff there. As a result, the area to be covered by ANMs has increased many fold, making it impossible for them to do justice to their job. In the absence of LHVs in PHCs, the supervision of ANMs becomes practically nil.

Table 6. Household Visits by Government Health Personnel, Karnataka, 1998-99.

District	Percent of households visited three months prior to the survey by health workers	Type of health workers visited		Percent of women's satisfaction over the time spent by the health workers during home visits	Number of women
		ANM/ LHV	Male Health Worker		
Bangalore	29.2	94.7	31.5	92.1	130
Belgaum	36.4	31.0	11.4	62.0	700
Bidar	18.0	87.3	15.8	73.0	699
Chikmagalur	43.2	97.2	13.9	88.8	661
Dakshina Kannada	48.9	95.8	4.5	97.7	544
Gulbarga	13.8	98.8	1.1	80.0	615
Kodagu	87.0	97.2	1.5	99.0	875
Mandya	60.0	94.9	29.1	90.1	830
Raichur	18.3	91.0	21.0	84.0	544
Tumkur	44.1	99.1	5.2	94.2	826
Bangalore Rural	32.2	98.4	1.5	68.5	819
Bellary	20.7	93.4	9.8	84.1	881
Bijapur	26.1	99.1	1.2	86.4	933
Chitradurga	19.1	97.5	3.6	86.6	864
Dharwad	12.5	92.9	15.0	76.9	899
Hassan	58.5	100.0	3.8	66.9	853
Kolar	28.6	97.0	5.2	84.6	933
Mysore	38.4	93.2	7.0	69.4	918
Shimoga	39.0	77.1	25.6	69.8	851
Uttara Kannada	68.3	96.2	17.6	93.4	781
Karnataka	37.1	91.6	11.3	82.4	15156

Note: Respondents are currently married women in the age group 15-44 years. Total may exceed 100 due to multiple responses.

Source : Rapid Household Survey - Reproductive and Child Health, 1998 and 1999, ISEC Report, 2001.

As part of this review, we had detailed discussions with field ANMs and collected required information through a structured questionnaire. It was found that 51 percent of them were required to cover 3 to 4 villages. 24 percent of ANMs presently managing 5-6 villages. Whenever there is a vacancy in some areas, the ANM from the adjoining centre has to cover those villages also, which adversely affects her performance and reputation.

No of villages allotted	Percent of ANMs
1 to 2 villages	17.5
3 To 4 villages	50.8
5 to 6 villages	23.8
7+ villages	7.0

Surprisingly, seven percent of ANMs were asked to 'look after' more than 7 villages which are scattered. It is practically impossible for this 'superwoman' to visit every household and provide maternal and child health services to the needy.

While examining the services of health workers at the grass-root level, Bhatia (1999) observed that place of residence of health workers has more impact on their service delivery as compared to other aspects. The ANM residing at the head quarters provide better services and spend more time for service delivery as compared to those who stay far away and not able to cover all the priority households. Bhatia (1999) argued that their non-residence acts as a barrier to building confidence and establishing rapport with the community. They are forced to spend considerable time and money for transportation and usually not available to attend emergency cases like deliveries, which take place at odd hours. During our Focus Group Discussions (FGDs) with ANMs, the most important problem mentioned by them was lack of living quarters at the villages. Most of them commute to their field villages by public transport, which is often irregular and unreliable. Besides, many of the sub-centres and ANMs living quarters in the villages, as we observed, are devoid of basic amenities like water, toilet facilities and electricity. This has resulted in many workers staying far away from their place of work. In our sample, only 41 percent of ANMs stay in the head quarter or within the village. The lack of housing facilities and poor transport and road networks, large area/villages of operation in a way restrict these workers to fully provide their services for the benefit of rural population. To avoid these problems, wherever possible, ANMs should be posted in their home villages. Though the state government initiated the provision of soft loan to buy two-wheelers few years back, only few ANMs benefited out of this scheme. **Government should take immediate steps to provide loan facility to all ANMs and male health workers who are willing to avail it. Undoubtedly, this will give greater mobility for workers as well as better and more efficient functioning at the local level.** Our survey shows that 90 percent of ANMs spent more than 50 percent of their working time in the villages.

Based on continuous observations, Bhatia (1999) studied the time utilisation pattern of ANMs (Table 7).

**Table 7. Time Utilisation Pattern of ANMs at a Rural PHC:
Kolar District.**

Activity	Average no. of minutes spent per ANM per day	Percentage of total work time spent per day
Service	161	65
Travel	47	19
Personal	39	16
All activities	247	100

Note: No. of ANMs observed -7, No. of ANM-days observed -249

Source: Bhatia (1999).

As shown in the table, the average duration of work for each ANM was 247 minutes per day. Approximately 65 percent of their time was used for providing services and 19 percent on travel to reach places of work. In other words, the ANMs' average workday was only little more than 4 hours and their effective working time is below 3 hours. The medical officers and LHVs are responsible for supervising ANMs in the PHC set-up. Supervision should consist not only technical guidance but also support and encouragement. They are supposed to make regular visit to sub-centres and villages. During interviews, many ANMs complained that there were no field supervision of their work by LHVs and Medical Officers rarely visit the field, leaving the ANM to handle the field problems on her own.

Apart from heavy workload, lack of residential facilities, poor transportation, absence of supervision, inadequate training, many ANMs also complained about the treatment meted out to them by the Panchayat leaders. If they are not able to satisfy the demands of local leaders, they were threatened, harassed, transferred and ridiculed in the community. It is high time, government should realise that under the present working and living conditions, no ANM can meet the work expectations of the community and the department.

Functioning of Training Centres

One of the reasons often cited for the poor performance of health functionaries is the lack of orientation and adequate skills. To improve the quality of services, the skills of health workers need to be enhanced through refresher and specialised in-service training. At the time of entry into the service majority lack basic skills to function effectively. Proficiency in service provision requires maintaining service providers at an optimum level of competence. To develop and maintain competency, training and re-training of service providers is an essential requirement. All training should be competency based with ample scope for development of skills. Periodic refresher courses would reinforce the capabilities of service providers. Considering the staff strength and nature of work of personnel, the functioning of training centres in the health department is far from satisfactory. During the functional review, our visit to state, regional and district training centres reinforced this view.

Over a period of time, the health department has established a network of training institutions at the state, divisional and district levels. **The State Institute of Health and Family Welfare (SIHFW) at Bangalore, and the four Regional Health and Family Welfare Training Centres (RHFWTCS) at Gulbarga, Hubli, Bangalore and Mysore are the most important centres. In 19 Districts, District Training Centres (DTCs) are in place. In addition to these centres, there are 19 ANM Training Centres and 4 LHV training centres functioning under the department.** In terms of institutions, this is impressive. But, how far these training centres are functional and effective?

GOVT. HEALTH TRAINING INSTITUTES IN KARNATAKA

STATE INSTITUTE OF HEALTH AND FAMILY WELFARE

**REGIONAL HEALTH AND FAMILY WELFARE
TRAINING CENTRES**

(4)

DISTRICT TRAINING CENTRES

(19)

LHV TRAINING CENTRES

(4)

ANM TRAINING CENTRES

(19)

To understand the inadequacies in in-service training at various levels, an analysis of status of training of health personnel at PHCs, CHCs and District hospitals are presented in Tables 1,2 and 3. In-service training enhances the skills and utility of medical and paramedical staff in PHCs. According to Facility Survey (IIPS, 2001) based on data collected from 854 PHCs of Karnataka, only 10 percent of PHCs have at least one Medical Officer trained in deliveries and MTP. 24 percent of PHCs have Medical Officer trained in handling RTI/STI cases and 11 percent in sterilization. In case of Community Health Centres (CHCs) in Karnataka, only less than one-fourth of CHCs have doctors trained during the last one year in emergency contraception and obstetric care. Out of 69 CHCs surveyed, only 39 have at least one doctor trained during the last one year in sterilization. Only 30 percent of district hospitals have at least one doctor trained during the last one year in sterilization and IUD insertion. Compare to neighbouring states of Andhra Pradesh and Tamil Nadu, the status of training in Karnataka at PHC, CHC and District Hospital levels are far from satisfactory.

Most of the regional training centres are inactive and dysfunctional, and there is no effort from any quarter to streamline their functioning. From the two RHFWTCs (Gulbarga and Bangalore), the information regarding their activities during the last one year was collected (Table-4). At RHFWTC Gulbarga, with sufficient staff strength and required facilities, only few training programmes were conducted (altogether 66 days of training in a year). Even in these few training programmes, the level of attendance is less than 50 percent of the target. 11 training programmes for Medical Officers were conducted where, only 162 were trained against the expected number of 330. Same is the case with the 3 days training of Block Health Educators (BHE). **Most of the training centres could not utilise the funds allotted to them. For example, Gulbarga RHFWTC could only utilise 32 percent of the released funds last year.**

Table 1. Training Status of Medical Officers in PHCs

State	No. of PHCs	Percent of PHCs having at least one Medical Officer Trained in				
		Deliveries	Laparotomy/ Caesarian	Sterilization	MTP	RTI/STI
Andhra Pradesh	622	29	5	32	14	17
Karnataka	854	10	3	11	10	24
Kerala	790	3	2	8	18	29
Tamil Nadu	672	24	9	21	35	55
INDIA	7959	11	4	16	13	25

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 2. Status of Training of Medical Officers in CHCs

State	No. of CHCs	Number of CHCs with at least one doctor trained during the last one year in					
		Sterilization	IUD Insertion	Emergency Contraception	RTI/STI	New Born Care	EmOC*
Andhra Pradesh	63	54	41	13	10	19	16
Karnataka	69	39	48	14	35	32	13
Kerala	107	4	4	2	4	4	1
Tamil Nadu	41	29	56	37	20	32	20
INDIA	886	21	22	11	21	17	11

Note: * EmOC = Emergency Obstetric Care.

Source: India - Facility Survey under RCH Project, IIPS, 2001.

Table 3. Status of Training of Medical Officers in District Hospitals

State	No. of DHCs	Number of DHCs with at least one doctor trained during the last one year in					
		Sterilization	IUD Insertion	Emergency Contraception	RTI/STI	New Born Care	EmOC*
Andhra Pradesh	12	7	5	3	5	3	2
Karnataka	10	3	3	1	2	2	2
Kerala	12	0	0	0	1	1	0
Tamil Nadu	12	9	10	10	8	9	10
INDIA	210	68	53	40	50	44	39

Note: * EmOC = Emergency Obstetric Care.

Source: India - Facility Survey under RCH Project, IIPS, 2001.

**Table 4. Training Programmes Conducted at RHFWTC
During 2000- 01**

Regions	Name of the Training Programme	Health Personnel	Duration (days)	Target	Achieved	Trainees	
						Target No	Attended
Bangalore	Management IEC	Medical Officers	5	13	13	390	252
		Block Health Educator	3	3	3	85	65
Gulbarga	Management IEC	Medical Officers	5	18	11	330	162
		Block Health Educator	3	3	2	72	39

What we observed during our discussions with officials, is that the training is accorded very low priority in the department. There were no need-based appraisals or systematic planning about the future training requirements. In the past, meager funds were allotted for training activities and posting in a training centre is the last preference for medical personnel. **Many doctors never attended any training in their carrier in the department including pre-induction training.** One reason for poor attendance in training programmes is that it is not compulsory for the staff to undergo training. It was also observed that many health personnel got trained at the fag end of their carrier.

In our survey, nearly 50 percent of the PHC Medical Officers reported that they were not given 'induction-training' and also training in "administrative aspects". Same is the case with refresher training of ANMs and Male Health Workers. Many ANMs joined the service 3 to 5 years after completing their course and it is very essential to give them refresher training. Most of the Medical Officers interviewed by us stated that they face lot of difficulties in managing finances and administering the PHCs, due to lack of "induction-training". Those who underwent training in clinical aspects were not able to utilise their skills due to lack of equipments and technical support.

In general, it was observed that at all levels of health functionaries, lack of training has adversely affected their performance and confidence in carrying out their tasks. **Administrative training should be made compulsory for all PHC Medical Officers, Taluk Health Officers and District level officers.** At least once in a five years, every staff member of the department should receive refresher training. Department should chalk out an action plan for future training programmes in accordance to a need-based appraisal.

The State Institute of Health and Family Welfare (SIHFW) should be strengthened both in terms of faculty and infrastructure. It should be made the apex-training institute and made responsible for developing training materials, designing training courses and

monitoring training programmes. To strengthen its capacity, experts from outside the department can be appointed as faculty for a fixed tenure. Those who have some background in training and public health and interested in conducting training courses should be appointed as Director and Senior Faculty, rather than treating it as a place for “accommodating” senior officials. Based on our observations, the performance of SIHFW has been considerably low both in terms of training courses conducted and the number of personnel trained over the last three years. The Institute failed to provide the required ‘leadership’ in streamlining the training programmes at regional and district levels, and in evolving innovative and effective training methods/materials.

With the establishment of district training centres in most of the districts, the roles and responsibilities of RHFWTCs need to be redefined. Now the training of para-medical staff and field level health workers are undertaken by DTCs, RHFWTCs should focus on specialised training for Medical Officers taking into consideration of the regional requirements. Unfortunately, no attention is paid in this regard and the available technical and infrastructural resources in the 4 regional centres are grossly under-utilised, when large number of health personnel never had an opportunity to get trained.

Though most of the District Training Centres (DTCs) now have own building and good training infrastructure, they are not able to function effectively in the absence of skilled trainers. Most of the staff positions at DTCs are vacant. We also observed that many DTCs do not have a regular training calendar/schedule. There are the instances, the funds were released at the end of the year.

At the time, there are many training programmes carried out by externally aided projects like India Population Project and Karnataka Health Systems Development Project (KHSDP). These projects have set their own training agendas based on their immediate requirements and fund them. Of course, this has helped in a big way in strengthening the training infrastructure and imparting specialised skills. But no co-ordination can be seen between the training wing of the department and the externally aided projects. On one side, the externally aided projects spend large amount on training but the training wing (HET) at the Directorate have no funds to work. **A review of training programmes of the department reveals that it is more a “project-driven activity” rather than a regular responsibility of the department.** In the process, the routine training activity of the department is forgotten and training wing in the Directorate has been sidelined. Two issues need special consideration in this regard. Firstly, If we agree that the State Institute of Health and Family Welfare is the apex body for managing training in the department, all the training programmes should be routed through it. In that case, **there is no need for a separate training wing in the Directorate. The posts of Additional Director and Joint Director and supporting staff of HET becomes irrelevant.** Secondly, **once the externally funded projects are completed, what is the sustainability of the training on a regular basis?** When asked about this, the usual reply from the department is like this “some other projects will fund the training programmes”! It also raises a major question about the capacity of the department to meet the additional costs in training after the completion of the projects. In brief, **“the adhoc approach” towards training has to be changed and based on an objective assessment of training requirements, appropriate strategies have to be evolved to make in-service training an important responsibility and priority of the health Department.**

Health Services under Panchayati Raj

In recent times, much emphasis is being placed on devolution of authority to the grassroots level elected bodies for local self-governance as these have been accepted as the micro-level instruments of change and social development. This decentralisation of governance was encoded within the Indian set up under the 73rd Constitution Amendment Act which decentralises rural governance. As part of this decentralisation process Panchayats have been constituted at the district, intermediary/block and village levels. At the District level there is Zilla Panchayat; at the Block level there is a Panchayat Samiti and at the Village level a Gram Panchayat. All members at the three levels are directly elected. The institution of Panchayati Raj, in its rejuvenated form following the 73rd Amendment Act, seeks to realise the goal of people-centered governance in order to accelerate socio-economic development and bring about equity and social justice. The re-emergence of Panchayati Raj Institutions (PRIs) in India is, thus, an organised response to compulsions and preferences of locals in rural society.

In India, there exists significant inequities between states and regions with regard to health care facilities. To overcome these imbalances, Government of India established national health norms and directly funds many health and family welfare programmes. Despite the existence of an extensive rural health infrastructure, vast majority of rural population in India have no access to basic health care facilities. In this context, decentralised planning assumes importance to address the issues like regional disparities in health care facilities (World Bank, 1993). Health care cannot be achieved only through Department of Medical Service. Experiences all over the world suggest that one pre-condition for enhancing health status is the community participation. This, to a great extent, can be ensured through the active involvement of locally elected leaders in health programmes. The involvement of Panchayati Raj Institutions in implementation and management of health services (see Chart A) would facilitate focussed attention on vulnerable social groups, more emphasis on preventive measures and the programmes can be reoriented to meet specific local needs. Any meaningful involvement of grassroot level leaders can only be possible by creating health awareness and impart training about their duties and responsibilities in the provision of primary health care for the communities.

The ICSSR / ICMR report of 1981 categorically states that the overall improvement in health conditions is only possible under the Panchayati Raj Institutions. This would rightly return the health and illness care to the people to whom it rightly belongs. Based on Karnataka's experience in eighties, it was observed that an overall improvement in mobilising local resources for strengthening the health infrastructure and greater accountability of health workers under the decentralised set up (Satishchandran, 1993). By analysing the decentralised health planning in two districts, Murthy (1998) argued that even within the existing administrative structures, the district health planning can be made meaningful by focussing on the implementation constraints of service delivery and meeting client needs. Women and children comprise over 70 per cent of our population

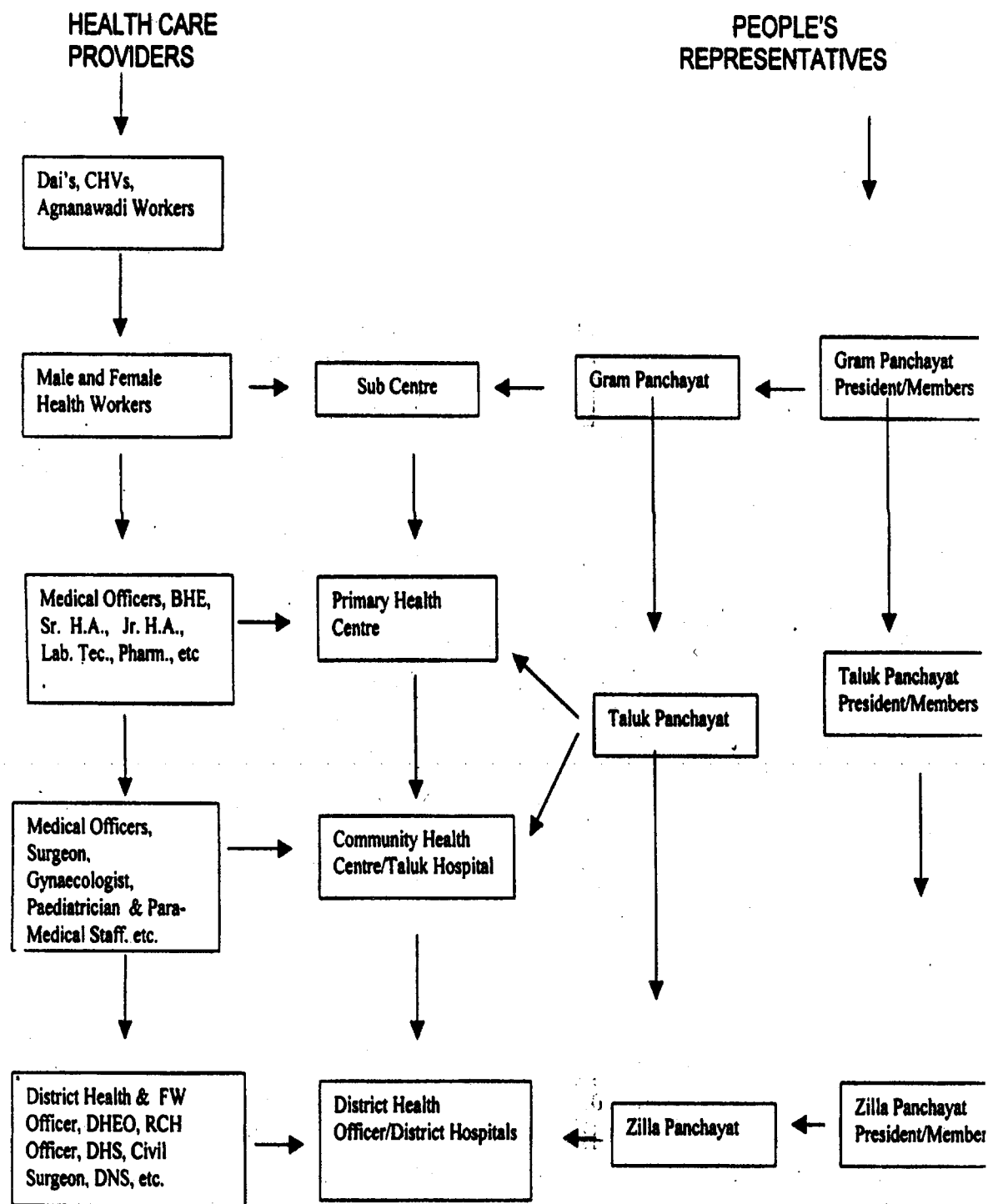
and the problems of health and nutrition primarily affect this segment of society. In fact, most of the health problems can be solved at the local level by imparting health education and provision of primary health care, within a relatively low cost which people can afford (Antia and Bhatia, 1993). In brief, the Panchayati Raj system is being looked upon as a major vehicle of decentralised planning and implementation of Health and Family Welfare Services.

To understand the functioning of health services under the panchayati raj set-up, we conducted detailed discussions with district, taluk and gram panchayat level officials and elected representatives. This includes ZP president and members, chairpersons of standing committees on education and health, CEOs of Zilla Panchayats, DHOs, taluk health officers, CHC/PHC Medical Officers, ANMs and members of few taluk and gram panchayats from the selected districts.

As per the Karnataka Panchayati Raj Act of 1993, Zilla Panchayats are to look after district level health care institutions and programmes, except the District Hospital. Being the head of the Health Department at district level, DHOs were wielding considerable power and authority over the institutions and personnel of the health department. But placing DHO under the Zilla Panchayat has resulted in a reversal of authority and many times in confusion and conflicts. It is also a fact that when the three-tier set-up of decentralised governance was introduced in Karnataka in 1980s, a strong resistance was visible from senior Health officials. What are the reasons for the conflict between health functionaries and panchayat leaders?

Chart A

Linkages Between Panchayati Raj and Health Care Delivery System (District Level); Karnataka



Decentralisation of health services through interventions of Panchayati Raj Institutions (PRIs) is expected to provide better service delivery and make health personnel accountable to public. To some extent, this is true in Karnataka. It has resulted in better functioning of PHCs and improved attendance of doctors and para – medical staff. ZP members felt that, earlier doctors were not answerable to anybody and behaved as they liked. They were never ready to respond to local situations and requirements. They spent considerable time on private practice either in a clinic or at home. But after the emergence of grass-root level elected bodies, representatives started monitoring the activities of health personnel. Many ANMs never visited villages to provide basic services. Drugs supposed to be given to the patients free of cost were sold out or charged and bribes became a normal thing in the day to day functioning of government hospitals. Many ZP members, during our discussions, claimed that they were able to contain these misuses and, also, check the irresponsible conduct of health functionaries to a great extent.

At the same time, our discussions with medical officers and ANMs also gave another perspective in the regard. Good number of them expressed unhappiness over the type of treatment meted out to them by the local leaders. According to them, Zilla Panchayat is not concerned about the improvement of health services and health care is the last item in their priority list. The elected leaders interfere with the day to day functioning of hospitals and some times, even threatening the doctors, if they are not yielding to pressures.

However, notwithstanding the two sides of the picture, it is a fact that decentralised set – up is here to stay. Medical professionals, particularly officials need to adjust to the changing circumstances and expectations of the public. DHO, once considered as a very influential and prestigious position in the district administrative set-up, is now at the receiving end. He has to attend all the ZP meetings and provide explanations for any health problem in the district. In the process, he has very little time to attend to his regular duties and supervision of public health programmes. Some DHOs even felt that their valuable time is wasted this way. He cannot exercise any power and initiate disciplinary action against erring staff, due to political pressure. In one case, it came to the notice of the review that a Chairperson of a Standing Committee on Health at the Bijapur Zilla Panchayat occupied an office room in District Health Office and regularly used a vehicle, meant for programme implementation. The DHO was totally helpless. **DHOs also complained that ZP and Taluk Panchayat members interfere in the recruitments, transfer and purchase of medicines and equipments.**

In brief, **what this review observed is the lack of faith and respect between health functionaries and panchayat leaders which adversely affected the delivery of services.** Though the overall supervision of Zilla panchayat on the functioning of Health Department is required and desirable, certain administrative procedures can be simplified.

1. DHOs spend considerable time attending all ZP meetings and are unable to devote much time for field visits and supervision of programmes. **The number of meetings in which DHO's presence is required need to be regulated and provision should be made wherein DHO can depute programme officers to the ZP meetings, depending on the issues coming up for discussion.**

2. Sixty percent of drugs are purchased from ZP budget. DHO in consultation with Taluk Health Officers prepare the inventory of items to be purchased and sends the list to the ZP standing Committee on Health for deliberations and later to ZP General Body for approval. **It was observed that in some instances, the list of medicines and manufactures were altered in these meetings, which results in not only delay in procuring medicines but also poor quality drugs. One should not forget the fact that the ZP in no way qualified to decide on a technical matter like this. The list submitted by DHO, if it is within the prescribed norms, should be approved.**

3. For the repair of departmental vehicles, which costs more than Rs 1500, the DHO needs to take prior permission and approval of ZP. In many cases, it was found that this led to delay in repairing vehicles, affecting the supervision of field programmes. **DHO may be allowed to use his discretion up to Rs. 10, 000 for repair of vehicles.**

Though at the district level, frequent interaction and supervision is taking place between ZP and district health office, at the taluk and village levels practically there is no interaction and involvement. The health committees rarely meet and even in taluk and gram panchayat meetings, health issues were seldom discussed. During our discussions with chairpersons of Gram Panchayats, the impression given was that of total neglect of health issues in programme implementation. By activating village level health committees, this can be changed to a great extent.

The elected members of Panchayati Raj Institutions need to be educated and motivated on health problems and programmes. At the beginning of their tenure, training and orientation programmes on health and related issues must be given to all panchayat members. This will help them to realize their responsibilities and the need for co-operating with health functionaries for the benefit of the community. In this regard a training experiment was carried out in chitradurga district which was very encouraging. It not only enhanced the awareness of elected members, but also improved their performance in providing and supervising basic health facilities (Sekher, 2001).

The health bureaucracy and Zilla Panchayat should work more closely and need to understand their complementary role. After all, the ultimate objective of both is to ensure the provision basic health care facilities to the needy. This can be achieved only through the co-ordinated efforts of all concerned.

Other Issues

1. User Charges

The user charges are expected to provide additional revenue for providing health care to the public and to strengthen quality and efficiency of services. Recognizing the patients ability to pay certain sections of the people can be targeted for levying users charges. Studies have shown that imposition of user fees accompanied by improvement in quality can lead to increased utilization. Cost recovery would result in improvements in the quality of care if the resources generated internally are ploughed back for improving the availability of drugs and maintenance of facilities.

According to a survey by CESCEN (1998), about 46 percent of in-patients and 39 percent of out-patients of government hospitals expressed their willingness to pay for various services. Among them, about 70 percent were willing to pay charges in the range of 25 to 50 percent of those prevailing in private nursing homes. The user charges are considered as a way for augmenting resources for public health care. However, full cost recovery in government hospitals is not feasible or desirable. But the idea behind levying the user charges is to recover a part of the expenditure for hospital services from patients who can afford to pay. While doing so, the poor must be protected, since most of the people availing government facility are from poorer sections of the society.

In 1995, state government constituted the District Level Health Committee and assigned the responsibility of monitoring the collection of user charges and its distribution for maintenance and repair of hospitals. This also encouraged the doctors to insist on collection of user charges from the patients who are willing to pay and this amount can be used for better hospital maintenance like repair of vehicles and generators, setting right the water and sanitary conditions etc.. But it was found that in most of the districts, the amount collected has been put for partial use only (Table-1). As on 30th July 2001, an amount of Rs.4.1 crore has been collected as user charges in KHS DP hospitals alone, out of which only 43 percent has been utilized so far.

The District Level Health Committees are not meeting regularly to decide how to spend the fund collected. CEO of Zilla Panchayat is the chairman of the committee and DHO and District Surgeon are the members. Many Taluk Health Officers complained that, though they were able to collect the user charges, they were not able to use it for the improvements in their hospitals, due to delay in getting approvals from the committee. In two districts, they were not able spend any amount, mainly because of the non-functioning of the committee. But in some districts, like Davanagere and Dakshina Kannada, these committees meet regularly and spent it for hospital improvements, as requested by Chief Medical Officers/Taluk Health Officers. In brief, our review shows that, **there is a scope for improving the collection of user charges in many hospitals. But, the District Level Health Committees, the monitoring authority, should be made functional.**

**Table 1. Status of User Charges of K.H.S.D.P. Hospitals as
on 30.07.2001**

Sl. No.	District	User fee collected in Rs.	Amount Utilised in Rs.	Balance Amount in Rs.
1	Bangalore (R)	578767	179180	399587
2	Bangalore (U)	1758493	297140	1461353
3	Chitradurga	1832312	351494	1480818
4	Davanagere	5282370	3988226	1294144
5	Kolar	1132887	521350	611537
6	Shimoga	1114342	472613	641729
7	Tumkur	2463096	791254	1671842
8	Chikkamagalur	1850171	898782	951389
9	Chamarajanagar	23423	0	23423
10	Hassan	2025564	660684	1364880
11	Kodagu	1287735	481226	806509
12	Mandya	2032661	572041	1460620
13	D.K	4296702	2711740	1584962
14	Mysore	748547	177305	571242
15	Udupi	706665	266276	440389
16	Bagalkote	40090	14982	25108
17	Bijapur	1262199	115603	1146596
18	Belgaum	4917179	1405075	3512104
19	Dharwad	946714	426265	520449
20	Gadag	99258	28689	70569
21	Haveri	208518	4033	204485
22	Uttara Kannada	414020	92839	321181
23	Bidar	1975421	1441937	533484
24	Bellary	129160	0	129160
25	Gulbarga	2532209	1497794	1034415
26	Raichur	1633604	520949	1112654
27	Koppal	17818	7140	10678
	Total	41309925	17924617	23385307

Source: KHSDP

2. Drug Management

Sixty percent of drugs are purchased by Zilla Panchayats and the remaining 40 percent by the Government Medical Stores (GMS) in Bangalore. **Due to lack of co-ordination between ZP and GMS, some drugs are purchased in excess. The delay in finalisation of the drug list and tender process, has resulted in late supply of medicines, affecting the functioning of PHCs/hospitals.** It was also observed that procurements of drugs at the Zilla Panchayats were always delayed due to one reason or other. At district level, the DHO in consultation with Taluk Health Officers prepare the inventory of items to be purchased based on the requirements and sends the list to the standing committee on Health for deliberations and later to ZP General Body for approval. In some districts, it was found that the list submitted by DHO were altered in the ZP meetings for obvious reasons. This raises a fundamental question. Is the ZP technically qualified to change the list of drugs? The list submitted by DHO, if it is within the prescribed norms, should be approved by the ZP.

Regarding drug management, certain new procedures need to be adopted. In many instances, the drugs purchased are not utilised in time. **Many Medical Officers felt that some essential drugs which are frequently required are supplied in lesser quantity whereas some medicines which are not much in demand were given in large quantity. There were frequent delays in supply of medicines from the GMS.**

Irrespective of the coverage of population, staff strength and requirements of PHCs, equal quantity of medicines were supplied to all PHCs. A PHC covering 10,000 population and another covering 40,000 population get same quantity of medicines. **This has resulted in acute shortage of drugs in some places and waste of medicines in some other places. Distribution of medicines should be based on some justifiable criteria and requirements.**

A Corporation may be set-up to take care of procurement, storage and distribution drugs, medicines and other ancillary items. **In Tamil Nadu, it was reported that in the very first year of operation of Tamil Nadu Medical Supplies Corporation, 20 percent of the overall budget towards drugs could be saved on account of economies of scale, rationalisation of procedures and incorporation of various safe guards.** A similar attempt may help in more efficient and cost-effective drug supply in the state.

3. Drugs Control Department

The Government of India Task Force appointed to suggest measures for enforcement has recommended that, for every one hundred sales establishments there should be one Drugs Inspector and for every 25 manufacturing licensees, there should be one Drugs Inspector. **Considering the work load covering more than 13,000 licensees, the Department is understaffed. Presently only 38 Drugs Inspectors are managing this task.** The efficient functioning of Drugs Department is adversely affected due to vacancy of Drugs Inspectors and shortage of chemicals and equipments in Drug testing laboratory.

4. Indian Systems of Medicine and Homeopathy (ISM &H)

There are four Deputy Directors in four revenue divisions in the Directorate. There is a need for district level officers for better monitoring. **By redeployment of**

existing personnel and without creating any new posts, the District level officers can be appointed. The existing senior doctors may be designated as District Officers of the respective districts. Based on appraisals, the appointments of contract doctors can be regularised within a stipulated time period.

Under the Directorate of Indian Systems of Medicine and Homeopathy, there are 83 hospitals with a bed strength of 1333. There are 584 dispensaries.

5. Finance

Health is a state subject and the primary responsibility of providing health care is with the state governments. State's expenditure accounts for around 90 per cent of all public expenditure on the health sector. Central funds for the states are in the form of grants for particular programmes, e.g. family planning or sponsored programmes.

The per capita expenditure on health in Karnataka, including public health, medical and family welfare, was Rs. 185.10 in 1999-00 (see tables 2,3,4). This is relatively better in comparison to other southern states. The comparatively larger figures in Karnataka in some years are due to injection of funds through Externally Aided Projects (EAPs). The overall expenditure on health and family welfare is hovering between 1.1 and 1.4 of net state domestic product, but the reliance on EAPs is increasing. Considering that EAPs are more of loans rather than grants, utilisation of these funds demands utmost care and efficiency. Of the 22 external aided projects in the state for the year 2000-01, 3 are in health sector. If we include all the EAPs, the total external aid for health projects would be about 965 crores. Nearly 19 per cent of the total external assistance is for the health sector.

It is noticed that the amounts spent on public health services is declining over a period of time which will have serious implications. Karnataka is among the states which spend more money on health administration. The major expenditure is on the production of doctors and nurses. The state is having a large number of medical colleges. The expenditure on production of doctors and nurses, however, does not reflect their availability although trained at public cost. For every three the government trains for its health services, seven are trained for the private sector at public cost and a good number of them migrate abroad (Duggal, et al 1995).

6. Population Stabilisation

During the eighties and nineties, the state has experienced a considerable reduction in fertility, but lower in scale and slow in pace in comparison with its neighbouring states of Kerala, Tamil Nadu and to a certain extent, Andhra Pradesh. With regard to many health and demographic indicators, there exist considerable regional disparities. In other words, the high fertility in the state is essentially a problem of few districts in northern Karnataka, characterised by low literacy, low female age at marriage, poor health infrastructure and low status of women. The just released results of the 2001 census indicate that Karnataka is the laggard among the south Indian states with regard to demographic transition. State should formulate a Population Policy to address region-specific problems.

Table 2. Per capita expenditure on health and family welfare

Year	Per Capita expenditure at Current Prices	Per Capita Expenditure at Constant Prices
1993-94	127.9	127.9
1994-95	132.3	123.7
1995-96	134.5	117.2
1996-97	126.6	102.6
1997-98	143.1	110.4
1998-99	174.1	125.74
1999-2000	185.1	

Table 3. Plan and non-plan expenditure on Health in Karnataka

Year	At Current Prices Plan	At Constant Prices Plan	Base year 1993-94 at Current Prices Non Plan	At Constant Prices Non Plan Base year • 1993-94
1993 - 94	122.02	122.02	269.22	269.22
1994 - 95	163.84	153.15	293.91	274.73
1995 - 96	206.35	179.75	290.11	252.71
1996 - 97	218.89	177.34	306.20	248.08
1997 - 98	263.81	203.53	360.55	278.16
1998 - 99	232.32	167.79	476.08	343.84

Source: Report of the Task Force on Health and Family Welfare (2001).

Table 4. Health and Family Welfare Head-wise Expenditure (plan) (Rs. in Crores)

Year	Current Prices			Deflator	Constant Prices		
	M&PH	FW	Total		M&PH	FW	Total
1990-91	41.68	35.17	76.85	88.94	46.86	39.54	80.41
1991-92	39.39	50.38	89.77	90.25	43.65	55.82	99.47
1992-93	52.92	54.98	107.90	94.33	56.10	58.28	114.39
1993-94	62.60	59.42	122.02	100.00	62.60	59.42	122.02
1994-95	87.29	76.55	163.84	106.98	81.59	71.56	153.15
1995-96	119.54	86.81	206.35	114.80	104.13	75.62	179.75
1996-97	144.26	74.63	218.89	123.43	116.88	60.46	177.34
1997-98	157.72	106.09	263.81	129.62	121.68	81.85	203.53
1998-99	147.47	84.85	232.32	138.46	106.51	61.28	167.79
1999-2000 RE	160.04	167.85	327.89	—	—	—	—
2000-2001 BE	177.69	195.21	372.90	—	—	—	—
				Avg. Growth	9.55	4.99	7.65

Source: Finance Department, GOK, as cited by Indira and Vyasulu (2001).

Findings and Recommendations

Keeping in mind the stated objectives of the functional review and the mandate of the Administrative Reforms Commission, the following recommendations have been suggested.

Health Infrastructure

1. Department of Health and Family Welfare is one of the major departments in the state in terms of institutions and personnel. As on 31st August 2001, the staff position in the state health department is as follows.

Staff Position in Karnataka Health Department as on 31.08.2001

Sl.No.	Group*	No. of Posts Sanctioned	Working	Vacant	Percentage of Vacant Posts
1	A	5610	4592	1018	18.14
2	B	537	323	214	39.85
3	C	40,535	30,606	9929	24.49
4	D	17,291	12,918	4373	25.29
	Total	63,973	48,439	15,534	24.28

In the state as a whole, around 24 percent of posts are vacant considering all categories. However, in certain crucial cadres, the vacancy position is alarming. Nearly 50 percent of pharmacist posts and 39 percent of lab-technician posts are lying vacant. Even in the case Medical Officers, the vacancy level is around 17 percent.

2. But what is shocking is the regional disparities in the staff position at different centres. The following table illustrates the existing situation among the five study districts. In Gulbarga district, nearly 42 percent of posts of Medical Officers are vacant even after the appointment of contract doctors. 74 percent of pharmacists are not in position in Chamarajnagar district. The vacancy level of Lab Technician is as high as 37 percent both in Uttara Kannada and Chamarajnagar districts. In the category Male health workers, 67 percent of posts are not filled in Kolar whereas the crucial category of ANMs, the real link between the health department and public, about 36 percent of posts are vacant in backward Gulbarga district.

**Staff Position (Cadre-wise) in Health Department as on
31.08.2001**

Sl.No.	Cadre	Sanctioned	Working	Vacant	Percentage of Vacant Posts
1	Medical Officers/Specialists	5089	4249	840	16.51
2	Senior Health Assistant (Male)	1317	797	520	39.48
3	Junior Health Assistant (Male)	5854	3738	2116	36.15
4	Senior Health Assistant (Female)	1219	980	239	19.61
5	Junior Health Assistant (Female)	10,255	8867	1388	13.53
6	Pharmacist	2719	1352	1367	50.27
7	Lab Technician	2440	1482	958	39.26
8	Staff Nurse	4717	4237	480	10.17
9	Block Health Educator	782	402	380	48.59

***Percentage of vacancy in Selected Districts as
on 31. 8. 2001***

Cadre	Chamaraja Nagar	Bijapur	Gulbarga	Kolar	Uttara Kannada
Doctor	14.74	28.33	41.57	24.77	31.02
Pharmacist	74.24	48.48	51.70	61.67	69.39
Lab Tech	36.84	31.82	19.15	25.00	37.18
Jr. H A (M)	48.00	30.60	29.62	67.37	20.28
Jr. H A (F)	29.17	17.59	35.54	16.45	1.34
Staff (Group A+B+C+D)	39.88	22.99	34.03	28.72	25.51

All existing vacancies, particularly in the categories of PHC Medical Officer, pharmacist, lab-technician, staff nurse and ANMs, must be filled at the earliest. A special recruitment drive to fill these crucial posts must be undertaken with all seriousness.

3. The health infrastructure in the state, in terms of number of institutions, is quite satisfactory. The average area and population covered by a PHC or sub-centre is well within the prescribed national norm and comparatively better than some southern states. However, many new PHCs were started in certain locations based on political considerations, rather than following any criteria. Attention should be paid to location of primary health centres and sub-centres with the view of greater integration of the staff with the local population. Instead of sanctioning new health Institutions, Government should focus on strengthening the existing institutions in terms of infrastructure and manpower, to make it really functional.

4. The mere existence of a health institution does not ensure its satisfactory functioning and utility to common man. Many of them lack basic facilities like electricity, water, telephone and vehicle and are located in rented buildings. Measures should be initiated to improve the infrastructure and its proper maintenance.

5. The main reason for the poor functioning and low utilization of PHC facilities is the absence of the Medical Officer / Lady Medical Officer at the head quarters. In most of the PHCs, there are no staff quarters; wherever it is available, it is in a dilapidated condition. Facilities should be made available for the stay of crucial medical staff at the PHC compound itself. However, it was also observed that in some cases where residential facilities are available, Medical Officers are reluctant to stay there. This should not be allowed to continue. This is also applicable to other health personnel.

6. Soft loans should be provided to ANMs and Medical Officers to purchase two wheelers. This will facilitate field visits and supervision in the villages as well as their availability in PHCs and Sub-centres.

Recruitment and Transfer Policies

7. Though attempts were made at district levels to recruit contract doctors, in many areas it is not very successful. The remuneration paid to these Medical doctors, (some of them are post-graduates), is abysmally low. Their salary should be raised on par with regular doctors. There is no systematic attempt to regularise the services of these doctors working in difficult situations even after many years, which in a way affects their morale. At the time of regularising the appointments within a stipulated period, their performance should be assessed and those found unsatisfactory can be dropped.

8. In a service department like health, abolition of existing posts must be done with extreme caution. The blanket decision of abolishing certain percentage of posts with immediate effect may not be feasible in this case. However, we need to differentiate between the posts "providing health care services" and posts of purely "administrative" nature in the health Department. There is no need for divisional level

set up as it exists today. The posts of four Divisional Joint Directors can be abolished. The supporting staff working in these divisional offices can be re-deployed in district level offices, wherever positions are vacant.

9. Regarding the appointment of Medical Officers, tenure - specific posting should be given and rural service should be made compulsory for initial years. Those doctors/paramedical staff working in the remote and backward areas of the state must be encouraged with certain incentives, both in terms of cash and promotion. Government should immediately announce a transfer policy, based on tenure-specific appointment and compulsory rural posting. Fixed tenures for functionaries from Health Secretary to ANM, would greatly improve efficiency.

10. A highly responsible post like District Health and Family Welfare Officer (DHO) should have tenure - specific appointments. Most of the newly appointed DHOs are having only few months of service before their retirement and they have no interest to initiate any improvement. For example, during the 10 year period (April 1991 to July 2000) there were 16 DHOs in Bijapur district. Those promoted to become DHO and not having a minimum of two years of service to retire, should not be allowed to take up this important position.

Structure and Functions

11. To ensure proper supervision of the functioning of PHCs, the position of the Taluk Health Officer (THO) should be strengthened. In most of the taluks, the THO is the chief Medical Officer in-charge of taluk hospitals / CHCs and he/she has very little time to monitor the functioning of PHCs. It is recommended that THO should be given full administrative powers and time to discharge duties as a supervisory officer, rather than a mere 'Manager' of a particular hospital in the taluk.

12. The Administrative structure of the department at state and district levels, as proposed by Task Force on Health and Family Welfare, is appropriate in terms of improving efficiency and responsive administration. However, at the district level the two posts of the District Medical Officer (DMO) and District Health Officer (DHO), may lead to dual centres of authority and lack of co-ordination. Necessary administrative procedures must be evolved to avoid this.

13. At district level, it was observed that many posts of programme officers are lying vacant, adversely affecting the implementation and monitoring of public health activities. At the same time, some programme officers have very limited work and occasional responsibility confining to a particular national programme like control of malaria, leprosy or tuberculosis. Considering the workload and the shortage of qualified officers, it is possible to entrust more than one programme to an officer, without compromising on the quality of supervision.

14. Though the government has provided a large network of health facilities throughout the state, the utilization of these facilities by public is considerably low. There are many factors such as distance, lack of health personnel, non-availability of medicines, unruly behaviour of health staff, absence of doctors etc., which determine the utilization of services. It is a well known fact that people have a very poor image of government health facilities. It is the responsibility of the government to ensure

the availability and accessibility of quality health care to the needy, particularly poorer segments of the society, at an affordable price.

Training

15. A review of training Programmes of the department reveals that it is more "project-driven activity" rather than a regular responsibility of the department, based on any need based appraisals. It was also found that the four Regional Health and Family Welfare Training Centres (RHFWTC) are mostly inactive. For example, the RHFWTC at Gulbarga, with all staff in position and required infrastructural facility, undertook only few training programmes (altogether 66 days of training in a year) and, even in this, achieved only less than 50% targets in attendance. This regional training centre could utilise only 32 percent of the released funds last year. Now almost all the districts are having district training centres (DTC). It is necessary to 'redefine' the roles and responsibilities of RHFWTCs. Majority of the Medical Officers contacted by the review team stated that they were not given any training including pre-induction training in administrative aspects. Administrative training should be made compulsory for all PHC Medical Officers, Taluk Health Officers and DHOs. At least once in five years, every staff member of the department should receive refresher training. Department should chalk out an action plan for future training programmes, in accordance to a need based appraisal.

16. State Institute of Health and Family Welfare (SIHFW) should be strengthened with capable faculty and facilities to discharge its responsibility as an apex training Institute in the State. In this context, the Health Education and Training (HET) wing (Additional Director, Joint Directors and Supporting staff) in the Directorate becomes irrelevant and there is no need for a separate wing for training in the Directorate.

Health Services under Panchayati Raj set-up

17. Decentralization of health services through intervention of Panchayati Raj Institutions is expected to provide better service delivery and make health personnel accountable to public. To some extent this is true in Karnataka. It has resulted in better functioning of PHCs and improved attendance of doctors and paramedical staff. But in many instances, this study observed lack of faith and respect between health functionaries and panchayat leaders which adversely affected the services .

18. Though the overall supervision of Zilla Panchayat (ZP) on the functioning of health Department is required and desirable, certain administrative procedures can be simplified - a) DHOs spend considerable time to attend all ZP meetings and unable to devote much time for field visits and supervision of programmes. The number of meetings in which DHO's presence is required need to be regulated and provision should be made wherein DHO can depute programme officers to the ZP meetings, depending on the issues coming up for discussion; b) 60 percent of drugs and equipments are purchased from the ZP budget. DHO in consultation with Taluk Health Officers prepare the inventory of items to be purchased, and sends the list to the standing committee on health for deliberations and later to ZP general body for approval. It was observed that in some instances, the list of medicines and manufacturers were altered in these meetings, which results in not only delay in procuring medicines but also poor quality

drugs. One should not forget the fact that the ZP in no way qualified to decide on a technical matter like this. The list submitted by DHO, if it is within the prescribed norms, should be approved, and c) for the repair of vehicles, which costs more than Rs. 1500, the DHO need to take prior permission and approval of ZP. In many cases, this led to delay in repairing vehicles, affecting the supervision of field programmes. DHO may be allowed to use his discretion upto Rs. 10,000 for repair of vehicles.

19. Though at the district level, frequent interaction and supervision is taking place between ZP and district health office, at the taluk and village levels practically there is no interaction and involvement. The health committees rarely meet and even in taluk and gram panchayat meetings, health issues were seldom discussed. There is an urgent need to activate the health committees for the benefit of the community.

20. Training and orientation programme on health and related issues to be given to all panchayat members at the beginning of their tenure. This will help them to realise their responsibilities and the need for co-operating with health functionaries at all levels.

Drug Management

21. Regarding drug management, certain new procedures need to be adopted. In many instances, the drugs purchased are not utilized in time. Many medical officers felt that some essential drugs which are frequently required are supplied in lesser quantity whereas some medicines which are not much in demand were given in large quantity. There were frequent delays in supply of medicines from the General Medical Stores. Irrespective of the coverage of population and staff strength of PHCs, medicines were supplied to all PHCs with similar quantity. This has resulted in acute shortage of drugs in some places and waste of medicines in some other places. Distribution of medicines should be based on the criteria of its demand.

23. A corporation may be set-up to take care of procurement, storage and distribution of drugs, medicines and others ancillary items. In Tamil Nadu, it was reported that in the very first year of operation of Tamil Nadu Medical Supplies Corporation, 20 percent of the overall budget towards drugs could be saved on account of economies of scale, rationalisation of procedures and incorporation of various safeguards. A similar attempt may help in more efficient and cost-effective drug supply in the state.

Drugs Control Department

24. The efficient functioning of Drugs department is adversely affected due to vacancy of Drug Inspectors and shortage of chemicals and equipments in Drug testing laboratory.

Indian System of Medicine and Homeopathy

25. The Directorate of Indian Systems of Medicines and Homeopathy (ISM & H) is presently has divisional level offices. These can be converted to district level offices for better monitoring, by redeployment of personnel, without creating any new posts.

Privatisation of non-clinical services

26. Department should seriously consider "privatising" the non-clinical services in hospitals/CHCs/PHCs. The experience of few hospitals under KHSDP, where the non-clinical services has been contracted out, is encouraging. Along with the notified schedule of work, the security of hospitals can also be contracted out. Through such measures, the hospitals can be better maintained and unnecessary "burden" of appointing many regular employees can be avoided.

User charges

27. The user charges are expected to provide additional revenue for maintaining hospitals. Recognising the patients ability to pay, certain sections of the people can be targeted for levying user charges. While doing so, the poor must be protected, since most of the people availing government health facilities are from poorer segments of the society. Our review shows that there is scope for improving the collection of user charges in many district and taluk level hospitals. Since the user charges do not accrue to the individual institution, there is a laxity in enforcement of the prescribed user charges. But the functioning of District Level Health Committees, responsible for monitoring the collection and dispersal of funds generated through user charges, are far from satisfactory. Taluk Health Officers complained that though they were able to collect the money, they were not allowed to use it for the improvement of their hospitals, due to delay in getting approvals from the committee. The District Level Health Committees should be made functional and procedures regarding allotment of funds to hospitals should be simplified.

Private Practice of Doctors

28. Private practice of government doctors can be allowed under certain conditions. However, their presence in the PHCs/hospitals during the working hours must be made compulsory and strict action should be initiated against those who violate the rules.

Finance

29. The per capita expenditure on health in Karnataka, which includes public health, medical and family welfare, in 1999-00 was Rs. 185.10 and compares favorably with those in the neighbouring states. The comparatively larger figures in Karnataka in some years are related to injection of funds through Externally Aided Projects (EAPs). The overall expenditure on health and family welfare is hovering between 1.1 and 1.4 of net state domestic product, but the reliance on EAPs is increasing. Considering that EAPs are more of loans rather than grants, utilisation of these funds demands utmost care and efficiency.

Awards

30. Appreciation and recognition of individual contributions are motivational factors for committed personnel. However, outstanding contributions of some of our health administrators, specialists and health personnel have never been recognised by

the state government. Like in the neighbouring state of Kerala, awards should be instituted for noteworthy performances of doctors and field workers. This will boost individual and the group's morale and also instill pride in undertaking a certain task.

Health and Population Policy

30. Many states have formulated their own population policies which gave an added thrust and direction to their efforts to address state specific problems (for example, Andhra Pradesh government announced the state population policy in 1997). The results of 2001 Census indicate that Karnataka is the laggard among the South Indian states with regard to demographic transition. State should formulate a population and health policy within the broad frameworks of National Population Policy (2000) and draft National Health Policy (2001).

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APPENDIX: A

List of Individuals interacted with by the Review Team

- Shri. Harnahally Ramaswamy
Chairman, Administrative Reforms Commission, Govt. of Karnataka
- Smt. G. Latha Krishna Rao, IAS
Secretary, Administrative Reforms Commission, Govt. of Karnataka
- Sri. V. Balasubramanian, IAS (Retd)
Member, Administrative Reforms Commission, Govt. of Karnataka
- Sri. Blazius. M. D'souza
Member, Administrative Reforms Commission, Govt. of Karnataka
- Sri. Shantanu Consul, IAS
Principal Secretary, DPAR (AR), Govt. of Karnataka
- Sri. A.K.M. Nayak, IAS
Principal Secretary, Department of Health and Family Welfare, Govt. of Karnataka
- Sri. Sanjay Kaul, IAS
Commissioner, Health and FW services, Govt. of Karnataka
- Sri. G V Krishna Rau, IAS
Project Director, India Population Project VIII and IX, Govt. of Karnataka
- Dr. H Sudarshan
Chairman, Task Force on Health and Family Welfare, Govt. of Karnataka
- Dr. Mark Robinson
Program Officer, The Ford Foundation, New Delhi
- Shri. P Padmanabha, IAS (Retd.)
Formerly Registrar General and Census Commissioner of India
- Dr. G V Nagaraj
Director, Health and Family Welfare Services, Govt. of Karnataka
- Dr. Guruswamy,
Director, Indian Systems of Medicine and Homeopathy, Govt. of Karnataka
- Dr. KurthoKodi,
Director, State Institute of Health and Family Welfare, Govt. of Karnataka

- Shri. Jayaram
Additional Drugs Controller, Govt. of Karnataka
- Shri. Suresh
Chief Administrative Officer, KHSDP, Govt. of Karnataka
- Dr. M.V. Murugendrappa
Project Director, RCH, Directorate of Health and Family Welfare, Govt. of Karnataka
- Shri. Nilaya Mitash,
IAS, Deputy Commissioner, Uttara Kannada District
- Shri. Rakesh Singh, IAS
Deputy Commissioner, Bijapur District
- Shri. B. Bheemaiah, IAS
Deputy Commissioner, Chamarajanagar District
- Shri. M. Maheswar Rao, IAS
Chief Executive Officer, Gulbarga Zilla Panchayat
- Shri. B. Dasharath
Chief Executive Officer, Chamarajnaragar Zilla Panchayat
- Shri. S.B.Thirlapur
Chief Executive Officer, Uttara Kannada Zilla Panchayat
- Shri. Ramakrishna,
Chief Administrative Officer, Directorate of Health & Family Welfare, Govt. of Karnataka
- Shri. M. Sadashivappa Shetty
Chief Administrative Officer, Directorate of ISM&H, Govt. of Karnataka
- Shri. R.S Rayakar
Zilla Panchayat President, Uttara Kannada District
- Shri. Vrushabendrappa
Former President, Mysore Zilla Panchayat
- Dr. P J Bhattacharjee
Former Director, Population Centre, Bangalore
- Dr. K N Kumaraswamy
Joint Project Director, RCH, Directorate of Health & Family Welfare, Govt. of Karnataka

Dr. Dhanya Kumar
Deputy Director, KHSDP, Govt. of Karnataka

Prof. C V Nagaraj
Officer on Special Duty, KHSDP, Govt. of Karnataka

Shri. Prakasam
State Demographer, Directorate of Health and Family Welfare, Govt. of Karnataka

District Health Officers of Bijapur, Chamarajanagar, Gulbarga, Kolar, Uttara Kannada Districts.

Director i/c, Population Centre, (Govt. of Karnataka) Malleswaram, Bangalore

Principals of RHFWTC at Gulbarga & Bangalore

District Surgeons of Bijapur, Chamarajanagar, Gulbarga, Kolar & Uttara Kannada

Principals of District Training Centres at Bijapur, Gulbarga & Kolar

Additional and Joint Directors of Directorate of Health and Family Welfare, Govt. of Karnataka

Programme Officers at D H & F W Os in Bijapur, Chamarajanagar, Gulbarga, Kolar & Uttara Kannada Disticts

Appendix: B

Staff Position of the Directorate of Health and Family Welfare Services, Government of Karnataka as on 31st August 2001

Sl.No	Name of the Cadre	Sanctioned	Working	Vacant
GROUP 'A'				
1	Director of Health & FW Services	1	1	0
2	Director State Institute for Health & F.Welfare	1	1	0
3	Project Director, R.C.H	1	1	0
4	Additional Director	8	7	1
5	Joint Director	20	11	9
6	Joint Director (I.E.C.)	1	0	1
7	Joint Director (nutrition)	1	1	0
8	Health Officer Class 1 Senior			
9	Surgeons	148	106	42
10	T.B Hospital Superintendents			
11	Chief Administrative Officer	2	2	0
12	Special Officer: Legal Cell	1	1	0
13	Chief Accounts Officer-Cum-Financial Advisor	1	0	1
14	Deputy Director (Pharmacy)	1	1	0
15	Deputy Director (Transport)	1	1	0
16	Deputy Director (S.H.E.U)	1	1	0
17	Deputy Director (Nutrition) (Upgraded)	1	1	0
18	Demographer	1	1	0
19	S.S.PL/ D.C.M.O/ S.PL/ S.M.O/ G.D.M.O	5089	4249	840
20	Dental Surgeons (Chief Dental Health Officer)	2	1	1
21	Deputy Dental Surgeons (Sr. Dental Health Officer)	33	31	2
22	Assistant Dental Surgeons (Dental Health Officer)	211	141	70
23	Chief Chemist & Public Analyst	1	1	0
24	Chief Pharmacists	19	14	5
25	Senior Chief Chemist & Public Analyst	7	4	3
26	Health Equipment Officer	2	0	2
27	Accounts Officer (F.W)	1	1	0
28	Accounts Officer (Transport)	1	0	1

29	Assistant Executive Engineer Vaccine Institute Belgaum	1	0	1
30	Asst. Director	1	1	0
31	Asst. Director (Medical)	1	1	0
32	Asst. Director (PH)	1	0	1
33	Bio-Chemist	1	0	1
34	Senior Entomologist	3	0	3
35	Administrative Officer	4	3	1
36	Principal (College of Nursing)	1	1	0
37	Professor (College of Nursing)	4	2	2
38	Assistant Professor (College of Nursing)	5	3	2
39	Statistical Officer -1	2	2	0
40	Material Manager	1	0	1
41	Speech Pathologist & Audiology	1	1	0
42	Joint Director Group - A Sr. Scale (Under K.H.S.D.P.)	1	0	1
43	Health Equipment Engineer Grade - I Group - A (Under K.H.S.D.P)	4	0	4
44	Health Equipment Engineer Grade - II Group - A (Under K.H.S.D.P)	22	0	22
45	Technical Officer (K.H.S.D.P)	1	0	1
	Group 'A' Total	5610	4592	1018
	GROUP 'B'			
46	Lay Secretary / Gazetted Asst.	142	122	20
47	Graduate Pharmacist	39	27	12
48	Assistant Nutrition Officer	9	0	9
49	Scientific Officer	1	1	0
50	Technical Officer (F.S.D.C)	1	0	1
51	Assistant Deputy Director (H.E.&S.H)	1	0	1
52	Technical Officer (Exhibition)	1	1	0
53	Junior Physicists	2	1	1
54	Assistant Entomologist	22	21	1
55	Medical Record Officer	4	1	3
56	Technical Officer (Goiters)	1	1	0
57	Service Engineer	20	7	13

58	Lecture (College of Nursing)	5	1	4
59	Principal (School of Nursing)	10	6	4
60	Nursing Superintendent Grade I (Public Health)	51	16	35
61	District Nursing Supervisor	89	58	31
62	Health Supervisor D.J.D. Office (Gazetted) Belgaum & Gulbarga (F.S.D.C)	13	11	2
63	District Health Education Officer	31	10	21
64	Health Education Officer (I.P.P.9) / Health Education Inspector/ Health Science Instructor	30	20	10
65	H.E. Extn. Officer	2	0	2
66	Social Scientist	1	0	1
67	Assistant Director (Press)	1	0	1
68	Statistical Officer	2	2	0
69	Micro Biologist	1	0	1
70	Clinical Psychologist	14	6	8
71	Cold Chain Officer	1	1	0
72	Communication Officer	2	2	0
73	Clinical Instructor	4	4	0
74	Health Equipment Engineer Grade - III Group - B	30	0	30
75	Vehicle Workshop Manager (D.J.D. Gulbarga)	1	0	1
76	Asst. Engineer (Vehicle Workshop)	1	0	1
77	Asst. Engineer (Equipment Workshop)	1	0	1
78	Medical Record Officer	4	4	0
GROUP 'B' TOTAL		537	323	214
GROUP 'C'				
79	Deputy Health Education Officer	104	81	23
80	Block Health Educator	782	402	380
81	Health Educator (D.L.O. Office)	19	0	19
82	Projectionist	41	27	14
83	Junior Projectionist	21	21	0
84	Nursing Superintendent (Gr.2(PH))(F.W)	51	47	4

85	Lady Health Visitor	1219	980	239
86	Junior Health Asst. (Female)	10255	8867	1388
87	Asst. Leprosy Officer	13	0	13
88	Health Supervisor	81	51	30
89	Senior Health Asst. (Male)	1317	797	520
90	Junior Health Asst. (Male)	5854	3738	2116
91	Senior Non-Medical Supervisor	105	93	12
92	Junior Non-Medical Supervisor	187	150	37
93	Para-Medical Worker	1231	938	293
94	Nursing Superintendent Gr.2 (Medical)	354	278	76
95	Senior Staff Nurse	600	469	131
96	Staff Nurses	4717	4217	500
97	Clinical Instructor(College of Nursing)	4	3	1
98	Nursing Tutor	90	40	50
99	Senior Pharmacist	463	399	64
100	Pharmacist	2256	953	1303
101	Drivers (Sr.Driver-304 & Driver 1217)	1521	1070	451
102	Skilled Tradesman	75	49	26
103	Skilled Assistant	90	46	44
104	Asst. Statistical Officer	31	26	5
105	Office Superintendents	375	314	61
106	First Division Assistant	2170	1995	175
107	Second Division Assistant	1576	1420	156
108	Clerk - cum - Typist	391	287	104
109	Stenographers	118	102	16
110	Junior Stenographer	79	69	10
111	Sr. Typists	57	45	12
112	Typists	284	239	45
113	Lady House Keeper/ Linen Keeper	17	12	5
114	Sr. Librarian Gr. I	6	5	1
115	Librarian Gr. I	3	2	1
116	Librarian Gr. II	5	3	2
117	Library Assistant	3	1	2
118	Sr. Lab Technicians	422	253	169
119	Jr. Lab. Technicians	2018	1229	789
120	Insect Collector	1	1	0
121	x-ray Technicians	327	227	100

122	Radiographer	51	20	31
123	E.C.G. Technician	6	1	5
124	Refractionist	515	385	130
125	Ortho-Optist	7	7	0
126	Asst. Medical Record Officer	11	11	0
127	Medical Record Technicians	29	19	10
128	Physiotherapist (General)	69	22	47
129	Physiotherapist (Leprosy)	52	26	26
130	Electrician	44	34	10
131	Dental Mechanic D.J.D. Office	31	27	4
132	Food Analysts (P.H.I)	7	4	3
133	Junior Chemist (P.H.I.)	24	19	5
134	Dental Hygienist	9	7	2
135	Dietician	15	9	6
136	Social Worker (S.T.D.)	26	25	1
137	Mechanic Class I	11	6	5
138	Occupational Therapist	5	0	5
139	Modeler	4	0	4
140	Artist-cum-Photographer	8	0	8
141	Artist	2	0	2
142	Draftsman (H.E.T.)	1	1	0
143	Duplication Technician	1	0	1
144	Physical Culture Instructor	4	3	1
145	Jr. Engineer (Electrical)	1	1	0
146	Junior Engineer	1	1	0
147	Pathological Assistant	5	0	5
148	Scientific Assistant	4	4	0
149	Air-Condition Operator	2	1	1
150	Superintendent (Technical)	1	0	1
151	Weaving Instructor	2	1	1
152	Loom Mechanic	3	0	3
153	Sub-Editor	1	1	0
154	Home Science Asst.	1	1	0
155	Orthopedic Technician	2	0	2
156	Optical Mechanic	1	0	1
157	Teacher	1	1	0

158	Speech Pathologist	1	0	1
159	Speech Therapist	1	0	1
160	Refrigerator Mechanic	3	2	1
161	Sr. Computer (S.S.A. Bangalore)	1	0	1
162	Research Assistant	1	0	1
163	Needle Work Teacher	1	0	1
164	Electrical Supervisor	1	0	1
165	Dialysis Therapist	2	0	2
166	Psychiatric Social Worker	5	1	4
167	Health Equipment Technician Group-C (Under K.H.S.D.P)	187	0	187
168	Senior Compositor	1	0	1
169	Compositor	1	1	0
170	Junior Compositor	4	2	2
171	Printing Instructor	1	0	1
172	Supervisor/ Overseer (Offset Press)	1	0	1
173	Process Operator	1	0	1
174	Asst. Process Operator	1	1	0
175	Senior Offset Printer	1	0	1
176	Offset Printer (Plate Maker)	1	1	0
177	Asst. Offset Plate Griner	1	1	0
178	Machine Binder	1	1	0
179	Sr. Binder	1	1	0
180	Binder	3	2	1
181	Asst. Binder	8	7	1
182	Supervisor (Health Equipment Maintenance)	1	0	1
183	Mechanic	1	0	1
184	Non-Medical Asst.	2	0	2
185	Chief Technician	2	0	2
186	Photographer	1	0	1
187	Second Division Computer	1	0	1
188	Sr. Proof Examiner	1	1	0
189	Jr. Proof Examiner	2	2	0
190	Prosthetic Technician (L.R.P.U.)2	2	0	2
191	Protective Shoe Device Technician	2	0	2
192	Vocational Expert (L.R.P.U.)	1	0	1
GROUP 'C' TOTAL		40,535	30,606	9,929

GROUP 'D'				
193	Superior Field Worker (Plague)	63	4	59
194	Field Worker (Plague)	141	14	127
195	Pump Mechanic	1	1	0
196	Wire-man	1	0	1
197	Boiler Attender	1	1	0
198	Dark Room Assistant	69	3	66
199	Silk Screen Technician	1	0	1
200	Leather Worker	2	1	1
201	Cleaners	145	123	22
202	Junior Lab Attender	71	60	11
203	Plumber	1	0	1
204	Cook	71	0	71
205	Wireless Operator	90	0	90
206	Tinker	1	0	1
207	Literate Attender	5	0	5
208	Packers (G.M.S.)	24	0	24
209	Sr. Printer	1	0	1
210	Carpenter (G.M.S.)	1	0	1
211	Ward Boy	32	0	32
212	Dresser	11	0	11
213	Sanitary Worker	13	0	13
214	Group 'D'	16,546	12,711	3,835
GROUP 'D' TOTAL		17,291	12,918	4,373
GROUP TOTAL (A+B+C+D)		63,973	48,439	15,534

Source: Directorate of Health and Family Welfare

Appendix C

Table 1. Basic Demographic Data for Districts of Karnataka - 2001.

State/District	Population			Decadal Growth Rate (1991- 2001)	Sex Ratio	Density	Literacy Rate (7 + age)		
	Total	Males	Females				Persons	Males	Females
Karnataka	52733958	26856343	25877615	17.25	964	275	67.04	76.29	57.45
Belgaum	4207264	2147746	2059518	17.40	959	314	64.42	75.89	52.53
Bagalkot	1652232	835684	816548	18.84	977	251	57.81	71.31	44.10
Bijapur	1808863	928550	880313	17.63	948	172	57.46	68.10	46.19
Gulbarga	3124858	1591379	1533479	21.02	964	193	50.65	62.52	38.40
Bidar	1501374	770679	730695	19.56	948	276	61.98	73.29	50.01
Raichur	1648212	832352	815860	21.93	980	241	49.54	62.02	36.84
Koppal	1193496	602026	591470	24.57	982	166	55.02	69.15	40.76
Gadag	971955	493795	478160	13.14	968	209	66.27	79.55	52.58
Dharwad	1603794	823415	780379	16.65	948	376	71.87	81.04	62.20
Uttara Kannada	1353299	687026	666273	10.90	970	132	76.59	84.48	68.48
Haveri	1437860	740307	697553	13.29	942	298	68.09	77.94	57.60
Bellary	2025242	1028481	996761	22.30	969	240	58.04	69.59	46.16
Chitradurga	1510277	772649	737578	15.05	955	179	64.88	74.69	54.62
Davangere	1789693	917320	872373	14.78	951	302	67.67	76.44	58.45
Shimoga	1639595	829365	810230	12.90	977	193	74.86	82.32	67.24
Udupi	1109494	521541	587953	6.88	1127	286	79.87	86.59	74.02
Chikmagalur	1139104	574275	564829	11.98	984	158	72.63	80.68	64.47
Tumkur	2579516	1311941	1267575	11.87	966	243	67.19	76.88	57.18
Kolar	2523406	1281153	1242253	13.83	970	307	63.14	73.14	52.81
Bangalore	6523101	3422797	3100313	34.80	906	2979	83.91	88.36	78.98
Bangalore Rural	1877416	961335	916081	12.21	953	323	65.00	74.43	55.12
Mandya	1761718	887307	874411	7.14	985	355	61.21	70.71	51.62
Hassan	1721319	858623	862696	9.66	1005	253	68.75	78.29	59.32
Dakshina Kannada	1896403	937651	958752	14.51	1023	416	83.47	89.74	77.39
Kodagu	545322	273210	272112	11.64	996	133	78.17	83.80	72.53
Mysore	2624911	1335841	1289070	15.04	965	383	63.69	71.30	55.81
Chamarajinagara	964275	489895	474380	9.16	968	189	51.26	59.25	43.02

Source: Census of India, Karnataka, 2001.

Table 2. Demographic and Socio-Economic Indicators by Region - Karnataka (NFHS - 1).

Indicators	North-Eastern Plateau	North-Western Plateau	Central Plateau	Southern Plateau	Malnad & Coastal	Karnataka
Per centage of literate Females	22.1	37.9	41.3	34.6	57.9	38.4
Per centage of Muslims	12.1	10.2	11.5	8.8	8.7	10.6
Total Fertility Rate	4.7	3.6	3.3	3.3	3.0	3.5
Under 5 mortality rate	161	103	125	104	92	123
Completed Family Size	5.3	4.7	4.5	4.4	4.6	4.6
Mean age at first marriage of females	17.3	18.7	19.7	19.6	22.4	19.4
Per centage of currently married women (15-49)	75.2	75.2	73.6	72.8	62.7	72.4
Couple Protection Rate	33.9	52.1	48.4	57.2	60.3	49.4
Per centage of birth assisted by trained health personnel	35.4	62.8	54.5	46.2	71.0	52.4
Per centage of under-weight children (1-47 months)	62.6	54.9	52.1	51.9	39.5	53.4
Per centage of fully immunized children (12-23 months)	30.3	40.2	63.2	62.5	59.1	50.3
Per centage of women received ante-natal care	71.7	86.8	86.7	92.8	95.0	85.3
Per centage of institutional deliveries	17.1	44.9	43.0	35.6	57.5	38.2

Source : Bhat and Zavier (1999)

Note : Regional Classification of districts

North-Eastern Plateau : Bidar, Bijapur, Gulbarga, Raichur

North-Western Plateau : Belgaum, Dharwad

Central Plateau : Bangalore, Bellary, Chitradurga, Kolar, Tumkur

Southern Plateau : Hassan, Mandya, Mysore

Malnad & Coastal : Dakshina Kannada, Uttara Kannada, Kodagu, Chikmagalur, Shimoga

Table 3. Human Development Indices and Health Infrastructural Indicators by Districts of Karnataka.

Region/ District/ State	# of medical institutions per lakh population	# of doctors per lakh population*	# of PHCs per lakh population	Health Index (HI)	Gender-related Health Index (GHI)	Human Development Index (HDI)	Gender – related Development Index (GDI)
Coastal and Malnad (5 districts)	7.78	13.60	5.84	0.685	0.689	0.552	0.537
Dakshina Kannada	5.71	9	6.14	0.730	0.870	0.592	0.588
Uttara Kannada	7.48	12	5.92	0.699	0.677	0.533	0.511
Chikmagalur	9.19	16	5.38	0.660	0.626	0.524	0.505
Kodagu	9.50	18	6.88	0.717	0.718	0.630	0.615
Shimoga	7.04	13	4.86	0.618	0.553	0.483	0.468
Southern Maidan (8 districts)	6.07	11.86	5.26	0.647	0.599	0.473	0.451
Bangalore Urban	3.18	17	9.38	0.680	0.696	0.601	0.546
Bangalore Rural	6.30	-	2.09	0.695	0.619	0.472	0.454
Chitradurga	9.19	13	4.83	0.615	0.613	0.466	0.448
Hassan	6.06	13	6.88	0.673	0.596	0.473	0.460
Kolar	5.56	11	4.25	0.631	0.588	0.443	0.426
Mandya	6.56	10	4.45	0.650	0.545	0.444	0.423
Mysore	6.24	12	5.71	0.638	0.569	0.440	0.414
Tumkur	5.50	7	4.49	0.594	0.567	0.447	0.435
Northern Maidan (7 districts)	4.37	10.57	4.01	0.641	0.538	0.433	0.412
Belgaum	4.20	8	4.24	0.668	0.610	0.471	0.447
Bellary	5.12	15	3.92	0.589	0.484	0.429	0.409
Bidar	4.18	9	3.54	0.646	0.523	0.419	0.403
Bijapur	3.83	7	4.07	0.629	0.523	0.443	0.420
Dharwad	4.35	11	4.03	0.630	0.546	0.459	0.442
Gulbarga	5.04	15	4.43	0.650	0.530	0.412	0.388
Raichur	3.86	9	3.82	0.676	0.553	0.399	0.376
KARNATAKA	5.24	11	4.64	0.654	0.546	0.470	0.451

Sources: Govt. of Karnataka (1999), NCAER (2001)

APPENDIX D

EVOLUTION OF HEALTH SERVICES IN KARNATAKA

1847

Establishment of an Asylum for Leprosy Patients

1884

Creation of Medical Department

Appointment of Senior Surgeon

Handing over of Dispensaries by British Administration

1887

Recognition of Public Health

Re-designation of Senior Surgeon as Senior Surgeon -cum

Ex-officio Sanitary Commissioner

1907

Expansion of the Public Health Section

February 1929

Bifurcation of the Department

Senior Surgeon
Medical Department

Sanitary Commissioner
Sanitary Department

November 1929

Directorate of Medical Service
Medical Department

Director, Department of
Public Health

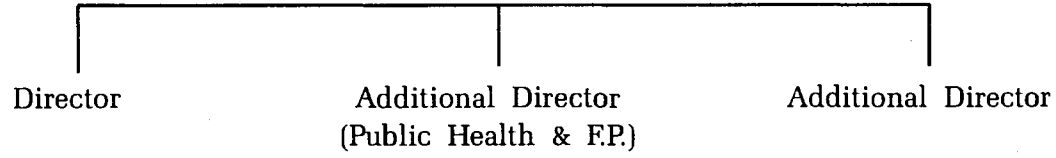
1956 - Re-organization

Amalgamation of Department
Directorate of Health service

1974



1976



1977

Establishment of Unitary Administrative Control
Director of Health and Family Planning Services
(Re-designated as Director of Health & F.W. Services)

1978

Bifurcation of the Department



Source: Govt. of Karnataka.

IRRIGATION DEPARTMENT

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Executive Summary

A. INTRODUCTION

1. Public expenditure has played a pivotal role in Karnataka's development over the years. Both in the provision of social and physical infrastructure, Karnataka's track record has been unexceptionable in size and scope. Private sector investment today is attracted to the state mainly because of public sector investment undertaken in the past.
2. Irrigation is one of the major infrastructure activities undertaken in a big way in this state. The state has already constructed 8 to 10 major irrigation projects such as Krishna Raja Sagar and Tungabhadra dam. During the last 50 years, the irrigation potential has been increased from 3,50,000 hectares to about 32,00,000 hectares.
3. Expenditure on irrigation in the state is largely met from budgetary sources. However, the government's budget, of late, is under considerable stress. This has resulted in shrinkage of funds for the creation of additional irrigation potential. Bulk of the expenditure is going towards O & M and establishment.
4. There is thus, a need for better efficiency in the functioning of the Irrigation Department so that unproductive expenditure is cut and productive expenditure is stepped up. Against this background, the Karnataka Administrative Reforms Commission (KARC) requested IIMB to carry out a functional review of the Irrigation Department and suggest ways on how the functioning can be improved.
5. More specifically, the important terms of reference of the study are:
 - Rationale for functions and departmental activities in the context of current perceptions and policies at the Macro level (Secretariat / Head office).
 - Nature and spread of schemes / activities supported from state budget or central / externally aided programs / projects, the proliferation and duplication of schemes within the same or related departments, recommendations for merger / abolition of departments. This part will be limited to macro level issues.
 - All the entities connected with the main department will be studied for linkages. Overlaps and complements with other departments, public sector enterprises and functional agencies will be reviewed at macro level.
 - Departmental structure at various levels, from the Secretariat to the Directorates to Division / District to Field Offices, nature of delegation of authority and financial linkages for main line department.
 - Number of employees at various levels, scope for merger / outsourcing of tasks to reduce employee strength, surplus employees at every level and in each cadre for main line dept.
 - Nature of Secretariat procedure, extent of computerization, record management and retrieval.
 - Nature and quality of performance evaluation, recognition and reward systems, and steps to enhance morale and motivation – macro level / qualitative.

6. The key deliverables of this study are:
 - Restructuring / reorganization / merger of the sub-departments to improve efficiency and better service.
 - Rightsizing of the departments and staff with specific reference to cadres and levels in the main line departments.
 - Activities that could be outsourced / privatized
 - Devolution of powers / finances
 - General recommendations to cover and improve systems and work methods for greater accountability and transparency in the functioning
7. The methodology adopted for this study include
 - Study of annual reports as publication of the department
 - Structured open questionnaire to A & B officers to the selected divisions
 - Personal discussion with officers at various levels from different unit offices
 - Responses from the beneficiary farmers through questionnaire and discussion

B. Findings

8. Irrigation department (ID), till 1994, was looking after all the construction and maintenance work of both major / medium and minor irrigation activities in the state. The entire cost was met from general revenues. In course of time, as the general budgetary situation of the state government deteriorated, it became increasingly difficult to support such massive expenditure from general budget alone. There was a need to augment budgetary resources through borrowings. Thus, KBJNL and KNNL were set up in 1994 and 1998 respectively as corporations, which could raise funds on their own. These corporations, though also receive funds from budgetary sources, the difference is that their raising of finance is against a dedicated fund. KBJNL and KNNL are now looking after almost 85%¹ of the construction work for irrigation; the irrigation department is involved primarily in maintenance of irrigation works and water management.
9. While the workload of irrigation department has shrunk, the organizational set up continues to be as in the past. The ID has a sanctioned strength of 3784 between the A and B category staff. Out of which, only 2511 are currently working with the main line irrigation department. Thus, almost 1/3 of the irrigation staff is on deputation to other organizations. The current practice of assigning staff for O & M activities is on the basis of distributaries and not strictly on the basis of irrigated area, as indicated by the officers in the tungabhadra command area.
10. Establishment cost as the proportion of the cost of civil works has varied in the sample areas. In Kolar (minor irrigation) the average of 3 years (98-99 to 2000-01) was 12.51%; in IPC division Gulbarga (construction) it was 9.26%; in KBJNL, Zalki Division

(construction) it was 9.40%; and in KRS division, Mysore (water management) it was 93.45%. From the sample data, the conclusion that emerges is that, in case of maintenance activities the establishment cost is very high as compared to the cost of civil works and in case of construction it is less. Between a corporation and a department, however, the data does not suggest that establishment cost as the proportion of civil works are any less in corporations. In fact, the IPC division Gulbarga spent less on establishment than KBJNL, Zalki Division which is a corporation.

11. The budget of the irrigation department is thinly spread across many schemes. For example, in case of Cauvery Basin Projects, for 19 spill over schemes a total allocation of Rs. 23.95 crores was made. In addition, 69 new schemes have been initiated with budgetary allocation varying from Rs.10 lakhs to Rs.40 lakhs totaling to 25.6 crores. This type of budgetary allocation results in time and cost over runs and ultimately delays the realization of benefits. This is also corroborated by the state level data given in table 1.2, chapter 1. Though there may not be one to one connection between expenditure incurred and addition to irrigated area, the data in table 1.2 never the less shows that even over a period of time while the total expenditure between 1991-92 and 1996-97 has increased from 643.4 crores to 1422.3 crores, there is hardly any addition to the net irrigated area during this period.
12. The quality of the work has also suffered in the irrigation works in the state. For example, in Tungabhadra project, Sindhanoor division the farmers expressed that the repairs that were undertaken in the previous years lasted only for that year. Due to the shortage of the Soudies / Neergantis, for operations and water management, the farmers in the upper reach are tampering the pipe outlets in order to get more water which is affecting the tail enders. This is partly due to shortage of staff at the level of neergantis/ soudies and partly due to apathy on the part of staff created by interference at different levels including political interference.
13. Some of the shortcomings mentioned above have manifested in dis-satisfaction of beneficiaries at the field level. This has also dampened the promise offered by farmers' organizations as a means for water management through water users associations at the field level. The beneficiaries have complained about substandard construction of field level structures, pipe outlets, sluice gates and incomplete lining of the canals. Therefore, the beneficiaries, almost all, complained about seepage losses and leakages (Raichur, KRS).
14. The shortage of people at the field level has resulted in many violations which have deprived the tail end farmers from deriving their due benefit from irrigation. These violations are of two types, in the first place the farmers at canal head reach have drawn more water by damaging / altering the position of outlets and in the second place farmers have violated the localized cropping pattern resulting in greater use of water. However, the respondents under minor irrigation system were emphatic that they would go for water users' associations if micro networks (Para 6) were in place.

1. Total irrigation budget for the year 1990-2000 is 1791 crores. KBJNL document shows that out of that the organization spent 1583 crores.

Farmers under major irrigation system were, however, not so enthusiastic in forming water users' associations. This is mainly because the present socio-political set up may not discourage the violators and, the department officers were helpless.

15. In the absence of IT penetration below the Circle level, monitoring of progress, be it a water management or construction schedule has become ineffective. On paper, a system exists to report progress at regular intervals. Also, quality control in place, but in reality none is reflected in actual performance. This is borne out from the beneficiaries' response (100 per cent of the beneficiaries in the sample areas felt that way) as also officers' response coming out of the discussions. Therefore while quantitative targets are being made qualitative performance is wanting. Perhaps for this reason, instead of seeking the help of the irrigation department, corporations like KBJNL and KNNL are increasingly outsourcing some of these activities.
16. In general, in irrigation department there is no serious attempt to outsource certain activities, which are only adding to costs and not to value. This is, despite the fact that officers themselves have felt that activities like survey and investigation, maintenance of guesthouses, etc can be outsourced.
17. Often, comparisons are made between how a corporation functions vis-à-vis a department, invariably the answer is that the department is inefficient, though the very same staff is working in irrigation department and in corporations on deputation. However, inefficiency stems from procedures followed in the government towards disbursement of funds. While both in case of corporation and department, funds go through the government, in case of the former it is a dedicated account and there is no uncertainty in terms of flow of funds. Absence of uncertainty in the flow of funds removes uncertainty by way of receivables by contractors. The contractors not only find an incentive towards speedier completion of work but are also willing to resort to extra ordinary means to complete work on time. In case of department, processes are too cumbersome, flow of funds is uncertain, and decision making even after funds are approved is too centralized. Our data based on the sample survey brings out the long process through which the department has to go through compared to a corporation. For example, in IPC Division, Gulbarga (I.D) it took fifteen months between issue of tender and issue of work order compared to six months in Zalki Division (KBJNL). The issue of LOCs is another good example to highlight the above point. Despite well laid out rules and regulations even in case of budgeted activities, only 9.7% of the LOCs sought are actually released in the case of the state funded works. The corresponding percentage for NABARD schemes was 80%. Even this limited amount is not based on any efficiency criteria in terms, say, that the money should go to works, which are completed first, and in that order; rather it is disbursed based on favoritisms. The month-wise details of LOCs is given in the table below (Minor Irrigation):

Month	LOCs sought (Rs in lakhs)		LOCs Released (Rs. in lakh)	
	State Funds	NABARD	State Funds	NABARD
Apr 2000	3092	33.8	-	-
May	1825.7	34.3	220.5	30.0
Jun	3270	45.0	502.5	34.0
Jul	3464	32.2	343.5	46.0
Aug	3060	15.0	381.59	32.2
Sep	3514	70.3	264.63	55.0
Oct	3515	70.0	240.0	70.0
Nov	3697	-	200.0	-
Dec	3590	-	468.0	-
Jan 2001	3197	31.0	22.0	7.0
Feb	2860	39.8	370.48	31.0
Mar	3105	135.0	688.9	100.0
Total	38189.7	506.4	3702.1	405.2

18. It is extremely difficult to get the required information from irrigation department. Even elementary details like which are the organizations where irrigation department staff are on deputation and how many in each organization; also the information, like, how many are going and how many have come back, how many are awaiting postings is not available with the department. There is no management information system in place. Even on other items the data is not at one place. Lack of comprehensive database even at the Secretariat / Chief Engineer's office shows that there is a lack of appreciation in terms of looking at the functioning of the irrigation depart in its totality. Somehow each is doing his work without paying too much of attention to interconnectiveness.
19. There is also no HR policy in place and as a result the staff have frustrations regarding lack of training, lack of promotional opportunities and ad hoc transfers to positions, which are not connected, with their areas of specialization of function.

C. Recommendations

20. In view of the reduced workload of the Irrigation Department, the study team recommends that minor irrigation department and major/medium irrigation department be merged and designated as Water Resources Department (WRD). The operational funds of Minor Irrigation department is very small in magnitude compared to that of Major / Medium Irrigation department. Presently, a separate secretariat for minor irrigation department is only adding to establishment costs. The merger will therefore, reduce the cost of the entire secretariat. As a follow-up of this reorganization,

the study team is of the opinion that there is no need for two positions – one secretary for major/medium ID and another of minor ID at the secretariat. Under the changed scenario, one will be adequate.

21. The reconstituted WRD staff will now look after only O & M works and water management activities. The study team recommends two re-designated positions (instead of the existing cell in Finance department and additional secretary services in ID), one of a senior finance officer (SFO) and another of a senior administrative officer (SAO) to ensure, respectively that budgeted funds reach each division on time and database including maintenance of asset register is taken care of.
22. The following activities should be out sourced – (a) survey and investigation, (b) quality control (c) maintenance and upkeep of guesthouses and (d) vehicles. This will save cost and improve efficiency because on the cost side, there will not be any need to maintain a full establishment and on the efficiency side, there will be an optimal match between the expertise and the work required. Outsourcing however, may have to be effected in phases after ensuring that required expertise for outsourcing exists and regulatory mechanisms within ID are in place.
23. The combined effect of the above reorganization based on the norms developed in the report will be 51 percent reduction in the staff of reconstituted WRD i.e., reduction of manpower from existing 2511 to 1235. It may be mentioned again here that these norms are derived from the work carried out by the divisions in Munirabad, Belgaum and KRS. Taking into account the total construction activity by all agencies connected with irrigation, the requirements of manpower will come down from 3768 to 2060 resulting in a reduction of 45 percent.

Manpower for Water Management activities

Cadre	Major Irrigation	Minor Irrigation	Total	Add (10%)	Working currently in ID	Excess	Excess %
AE	720	160	880	968	1800	832	46
AEE	144	32	176	194	552	358	64
EE	36	8	44	48	115	67	58
SE	12	3	15	17	29	8	41
CE	6	1	7	7	12	5	42
E-i-C			1	1	3	2	67
ALL				1235	2511	1276	51

Note: Calculated on the basis of the norms with 3.2 million ha. of potential created out of which minor irrigation contributes about 0.32 million hectares, given the loss of atchkat due to siltation of tanks etc.

Total manpower requirements for Water Management & Construction activities

Cadre	Required for Construction activities	Total required including R & R and Administrative Assistance	Required for ID	Total for ID and Other organizations	Existing Man-power	Excess Man-power	Overall Excess Man-power %
AE	500	600	968	1568	2700	1132	42
AEE	125	150	194	344	807	463	57
EE	42	50	48	98	180	82	45
SE	14	17	17	34	55	21	38
CE	7	8	7	15	23	8	35
EiC	0	0	1	1	3	2	67
ALL	688	825	1235	2060	3768	1708	45

24. The allotment of staff may have to be modified based on the irrigated area controlled by each division/circle and the construction activities if any. Nevertheless, the norms suggested in this study are an improvement over the present practice of assigning divisions/circles distributory-wise and project-wise. It may also be noted that the norms are given separately for minor irrigation, considering the spread-out nature of the tanks. The CE and Secretary, Minor Irrigation have concurred with these norms. The norms are given in the table below:

Work Norms for Operations and maintenance				
Cadre	Cadre Below	Number of posts in cadre below	Major	Minor
			Area in Ha.	Area in Ha.
CE	SE's	2	480000	240000
SE	EE's	3	240000	120000
EE	AEE's	4	80000	40000
AEE	AE's	5	20000	10000
AE			4000	2000

Note: These norms are on the basis of the average area managed by CEs in Munirabad, Belgaum and KERS

Work Norms for Construction			
Cadre	Cadre Below	Number of posts in cadre below	Rs. In Crore
CE	SE's	2	144
SE	EE's	3	72
EE	AEE's	3	24
AEE	AE's	4	8
AE			2

Note: This is based on the average expenditure incurred by KBJNL in the last 3 years

25. With the reduced staff of WRD under the new set-up, the primary task of WRD will be maintenance of irrigation structures and water management. More funds (Rs. 350 to 400 / hectare of Atchkat) for maintenance should be made available out of the savings generated from reorganization. The WRD should improve the skill level of the staff through training. All AEEs and AEs should be trained in project management techniques such as PERT/CPM, including the use of software. Each Executive Engineer should be trained in management techniques in respect of works and manpower management and have exposure to financial management. Each SE should go through training on organizational dynamics, human relations and finance monitoring and management. Similarly, all CEs should be trained in human resources management and financial management. In addition, all A and B category staff must be made computer literate. All the non-technical staff at A and B category involved in accounts function should be trained in the appropriate accounting software.
26. The department should also invest in IT for better monitoring of people, material and works. It is suggested that the department adapt a multi-dimensional database system for creating the departmental data warehouse. The decision makers in the department need to look at the data from different dimensions. For example, the data required could be for the division or circle or zone; it could be for a specific project or work; it could be for a specific officer; Also, the data requirements could be in terms of physical progress or financial progress, actual irrigation potential created etc. When one has to obtain the information in such varied dimensions, the usual databases lack this facility. On the other hand, the multidimensional databases with "On Line Analytical Processing (OLAP)" capabilities easily fit the bill. There are many such multidimensional databases such as Microsoft SQL 2000, currently available. It is recommended that the department use OLAP capable database structure for computerization. The HR database mentioned earlier will be an integral part of this exercise. With this system, it will be possible to monitor the progress at the circle/zone/secretariat level directly.

27. There is also a need for HR policy which is performance driven. It is suggested that a system of “merit points” be evolved. Only those officers who have accumulated credit points more than the average of all the officers of the cadre will be considered for promotion. This ensures that performance is rewarded. As a part of the HR policy it is important that the transfer of staff should be within the reconstituted WRD and not across all departments so that their expertise is utilized where it belongs.
28. Schemes, which are in progress, have to be fully funded. Then, based on availability of funds there is a need to prioritize what new projects to be taken up in order to maximize the irrigation potential. Once the project is approved the flow of funds must be guaranteed. LOC release should be on time and 100 percent.

D. Concluding Comments

29. The thrust of this report throughout has been on efficiency. Towards this end, certain activities have been de-emphasized, certain others have been suggested for inclusion, still others have been suggested for restructuring. The objective in either case is singular: to make the Department of Irrigation more vibrant and responsive to the needs of the society. This report has to be viewed in that context.

INTRODUCTION

1.1 The Background

Public expenditure has played a pivotal role in Karnataka's development over the years. Both in the provision of social and physical infrastructure, Karnataka's track record have been unexceptionable in size and scope. Private sector investment today is attracted to the state mainly because of public sector investment undertaken in the past.

Irrigation is one such sector in which the state has excelled. A number of major irrigation projects, eg., Hemavathi, Harangi, Machanabele, Ghataprabha and Malaprabha, Krishana Raja Sagara, Upper Krishna Project, kabini, tungabhadra etc. have been undertaken which have added to the growth of irrigated area in the state and contributed immensely towards the growth of agricultural production. In draught prone areas, minor irrigation facilities have been provided. All this has been made possible by the initiative of the Karnataka government and the work has been ably carried out by the Irrigation department.

However, like in the rest of the country, in Karnataka also, while public expenditure has been widespread and effective, such expenditures have been undertaken with little regard to cost and efficiency on the one hand, and price recovery on the other. Irrigation development, for example, is financed from general revenues of the state government. Till the 80s, efficiency considerations did not attract the attention of the government to a great extent because the state had a revenue surplus (Table 1.1). However, subsequently, while on the one hand, the condition of the state fiancés are deteriorating, the need for more outlays for physical infrastructure, like irrigation, is growing. Today, a stage has come when out of the total borrowings of the government (fiscal deficit) 56 percent is going towards financing revenue deficit and only the balance is left for capital formation, when in a well managed fiscal system, the revenue expenditure should be entirely met from revenue receipts (zero revenue deficit) and the borrowings should be utilized only for capital expenditure which add to growth.

Table 1.1
Karnataka: Trends in Government Deficits

Particulars	Unit	1960-1961	1970-1971	1980-1981	1990-1991	1999-2000
1. Revenue deficit	Rs. Cr	+2	-6	+59	-79	-2326
2. Fiscal deficit	Rs. Cr	-35	-62	-227	-558	-4148
3. Revenue deficit as % of fiscal deficit	Percentage	-	9.7	-	14.1	56.1

Source: Government of Karnataka, nicnet

The impact of this inefficient expenditure pattern on irrigation and flood control can be more specifically seen from Table 1.2. Capital outlay for irrigation and flood control, after adjusting for inflation has hardly increased between 1994-95 and 1998-99. In fact, between 1996-97 and 1997-98 there was a fall in real terms. No wonder, net irrigated area in the state has hardly grown after 1994-95.

Clearly, the need for public expenditure in irrigation is not in question. On the other hand, emphasis has to shift from public expenditure *per se* to productive public expenditure. Considerations of efficiency have to be at the center stage of any expenditure exercise.

Table 1.2

Karnataka: Expenditure on Irrigation & Flood Control

Year	Revenue expenditure (Rs. Cr)	Capital expenditure (Rs Cr)	Total (2 + 3) (Rs. Cr)	Net irrigated area (000 hectares)
(1)	(2)	(3)	(4)	(5)
1991-92	269.6	373.8	643.4	2308
1992-93	308.9	517.2	826.1	2195
1993-94	324.3	496.8	821.1	2327
1994-95	373.7	744.4	1118.1	2325
1995-96	414.5	796.5	1211.0	2325
1996-97	507.2	915.1	1422.3	2325
1997-98	566.4	852.6	1419.0	n.a
1998-99	557.4	890.9	1448.3	n.a
1999-00	624.9	1133.1	1758.0	n.a

Source: CMIE

With the above as the background, the Karnataka Administrative Reforms Commission (KARC) has, entrusted to the Indian Institute of Management, Bangalore a study to look into the functional efficiency of the Irrigation Department. More specifically, the terms of reference are:

1.2 Terms of Reference

Expected Tasks

- Rationale for functions and departmental activities in the context of current perceptions and policies at the Macro level (Secretariat / Head office).
- Nature and spread of schemes / activities supported from state budget or central / externally aided programs / projects, the proliferation and duplication of schemes within the same or related departments, recommendations for merger / abolition of departments. This part will be limited to macro level issues.

- All the entities connected with the main department will be studied for linkages. Overlaps and complements with other departments, public sector enterprises and functional agencies will be reviewed at macro level.
- Nature of planning and decision-making, level of decentralization for approval of schemes, provision for feedback and iterative corrections, efforts to address delays at different stages of implementation or delivery of services.
- Departmental structure at various levels, from the Secretariat to the Directorates to Division / District to Field Offices, nature of delegation of authority and financial linkages for main line department.
- Number of employees at various levels, scope for merger / outsourcing of tasks to reduce employee strength, surplus employees at every level and in each cadre for main line dept.
- Nature of Secretariat procedure, extent of computerization, record management and retrieval.
- At Secretariat / Head office level steps for effective utilization of budget provision.
- Nature and quality of performance evaluation, recognition and reward systems, and steps to enhance morale and motivation – macro level / qualitative.
- Human resource development through training at the workplace and outside.
- Steps for internal communication of departmental goals and expectations to employees at all levels, and publicized procedures for public grievance redress and consultation.

From the perspective of citizens, the following issues will also be addressed in the exercise:

- Publicized standards of services and activities provided by department and its agencies at different levels, including public sector enterprises, including declarations of citizens' charter, wherever released;
- Level of transparency in the working of the departments and their agencies; access of people to information on activities and decisions, speed of response to demands for information, and grievance redressal mechanisms;
- Quality of service delivered through counters, and constraints of employees in responsive delivery;

1.3 Scope of the study

The scope of the work include the detailed analysis of the structure, functions, cadres and manpower at different levels of the main line department i.e. Irrigation department in the Secretariat. The linkages of these main line department with other statutory bodies such as Krishna Bhagya Jala Nigama Limited, Bangalore and Administrator, CADA, Bhadra, Shimoga will also be analyzed towards better functioning of the main line department.

The study will cover the functions and cadres of the Irrigation Department at the Secretariat, head offices (Bangalore) and the offices of the main line department in selected divisions and subdivisions. The study will not go into the detailed functioning analysis of the statutory bodies.

Policy level discussions regarding the organizational functions will be held at the Secretariat level. Organizational data regarding overall command structure, manpower at different cadres, functions of different cadres, overall budgetary provisions and utilization will be collected from the Head Office /

Secretariat. Possibility of outsourcing certain activities and application of IT will be collected from the head office level. These factors will once again be checked at the taluk level. Data regarding organization strengths and weaknesses, critical functions and required support to carry them will be discussed with respect to Group A and B cadres and personnel manning these cadres.

Beneficiary perceptions and views will be obtained through discussions with selected stakeholders and primary surveys for 450 beneficiaries.

The study will be carried out in KRS maintenance division, KR Sagar Division, IBC division Zhalki, Bijapur District, TLBC division Sindhanur, Raichur and Minor Irrigation division, Kolar.

1.4 Key Deliverables

Based on the functional review, the key deliverables will contain recommendations on

- Restructuring / reorganization / merger of the sub-departments to improve efficiency and better service
- Rightsizing of the departments and staff with specific reference to cadres and levels in the main line departments.
- Activities that could be outsourced / privatized
- Devolution of powers / finances
- General recommendations to cover and improve systems and work methods for greater accountability and transparency in the functioning

1.5 Study Methodology

The study would be carried out in three stages. In the first stage the consultants would prepare an interview schedule and a semi structured open-ended questionnaire. The respective departmental staff as well as the representatives of KARC would give suggestions on this questionnaire as well as interview schedules. In the second stage personal interviews will be conducted with the officers as well as staff at the secretariat level. This would be supported by focus group discussions wherever feasible and necessary.

In the third stage, the questionnaire will be administered to the departmental personnel from the districts identified as well as at Head quarters. Simultaneously a sample from the beneficiary population would also be interviewed.

The primary data obtained from the Secretariat, Head quarters as well as district levels would be supplemented with secondary data such as departmental reviews, annual reports and other publications of the department as made available to the consultants. The schedules for interviews are given in the appendix.

1.6 Organization of the Report

The organization of the report will be as follows. There will be an introduction and a discussion of the present set up of the irrigation department. One chapter each will follow this on officers' response and beneficiaries' response to questionnaires. The next chapter will spell out the main recommendations. The last chapter will summarise.

PRESENT ORGANIZATION AND STAFFING OF IRRIGATION DEPARTMENT

2.1 General

This chapter presents the organizational structure and staffing pattern of departments connected with Irrigation in the State of Karnataka. The information contained is drawn from the various documents provided by the concerned departments. Discussions held with key officials have provided added inputs.

2.2 Departments associated with Irrigation

The departments primarily concerned with irrigation in the state are

- (a) Irrigation Department – (i) Major and Medium Irrigation Department and (ii) Minor Irrigation Department.

In addition, the following two departments are involved in the development and use of irrigation facilities.

- (b) Rural Engineering Department, and

- (c) Agriculture Department.

Besides, there are statutory bodies such as

- Karnataka Neeravari Nigama Ltd., Dharwar (KNNL)
- Krishna Bhagya Jala Nigama Ltd., Bangalore (KBJNL)
- Jala Samavardhana Yojana Sangha, Bangalore (JSYS)
- Command Area Development Authority i.e. CADA
- Water Resources Development Organization (WRDO)
- Water and Land Management Institute (WALMI), Dharwar and
- Karnataka Engineering Research Station, KRS, Mysore (KERS)

2.3 This Study

This study focuses primarily on a functional review of the mainline government departments i.e. major and minor irrigation departments. Rural engineering and Agriculture are left out. The discussion of statutory bodies as per TOR is limited to the extent they have bearing on the functioning of the mainline departments.

2.4 Activities of the Irrigation Department

The major activities of the Irrigation Department are:

- Collection of hydrological data for assessment of water resources in the state.
- Planning and harnessing the available water resources.
- Surveys, investigations and project preparation of irrigation, hydroelectric and flood control works.
- Maintenance and operation of completed irrigation projects, and
- Activities connected with design, hydraulic research, model studies and testing of materials and finished items of various components of construction.
- Water management (release of water into canals / distribution etc).

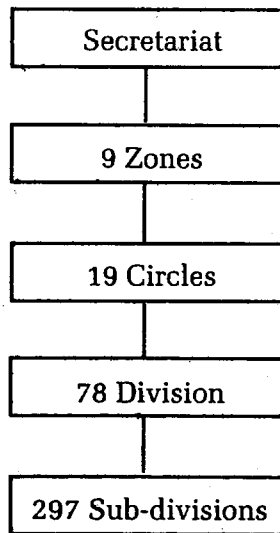
The department is bifurcated into two wings – (i) Major and Medium Irrigation Department and (ii) Minor Irrigation Department. Major and medium irrigation department looks after reservoirs having capacity to supply water for irrigating lands to the extent of 3000 hectares to 10000 hectares (medium irrigation projects) and, large reservoirs which provide irrigation facility to lands to an extent of more than 10000 hectares (major irrigation projects). The minor irrigation department is in charge of tanks, pick-ups, barrages, etc each of which provide irrigation water to lands, between 40 hectares to 2000 hectares.

2.5 Organizational Structure and Manpower

The structure of major / medium and minor irrigation departments are shown in Figure 2.1. The details of staff in Secretariat and Chief Engineers office for both the departments are presented in Figures 2.2 to 2.5.

Figure 2.1

Major / Medium Irrigation Department



Minor Irrigation Department

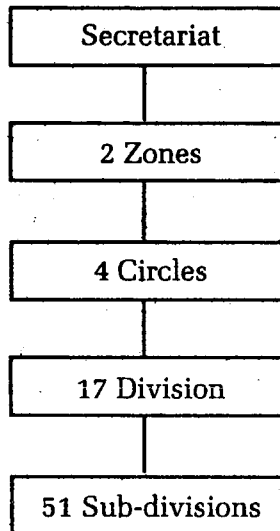


Figure 2.2

Organization Chart of Major Irrigation Zonal Office / CE's Office (existing)

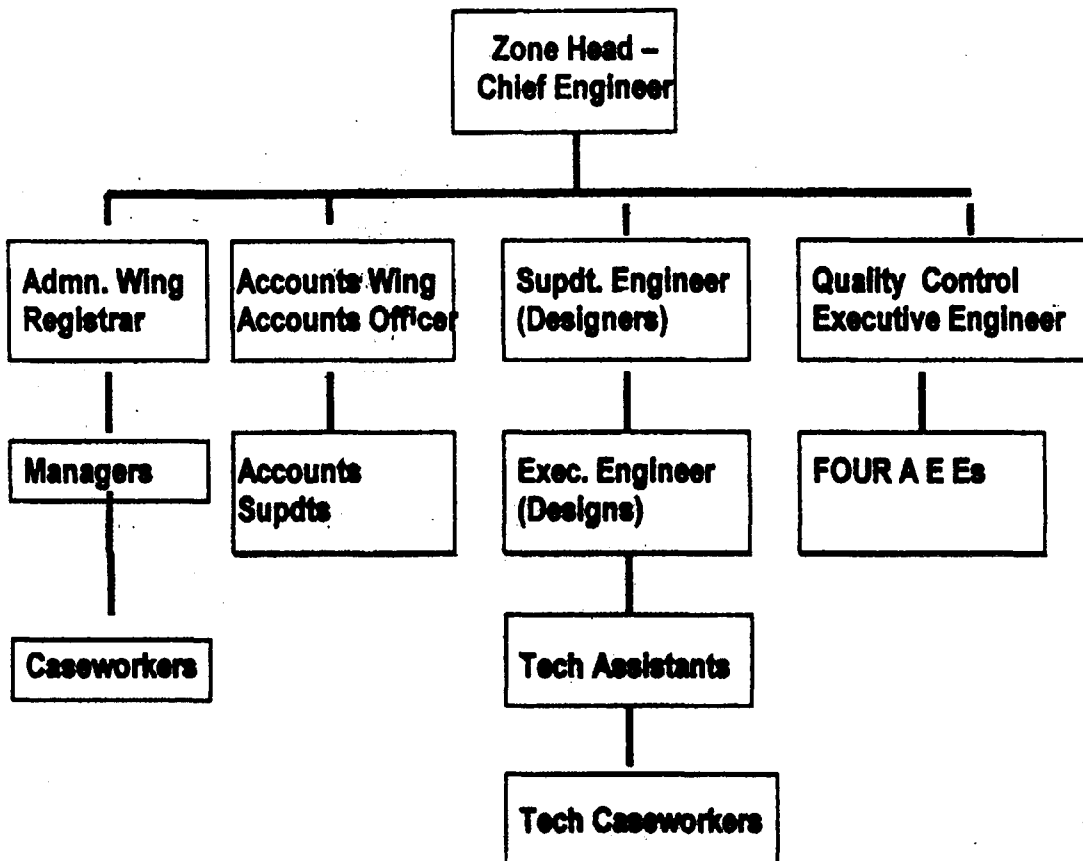


Figure 2.3

Organization Chart of Minor Irrigation Zonal Office / CE's Office (existing)

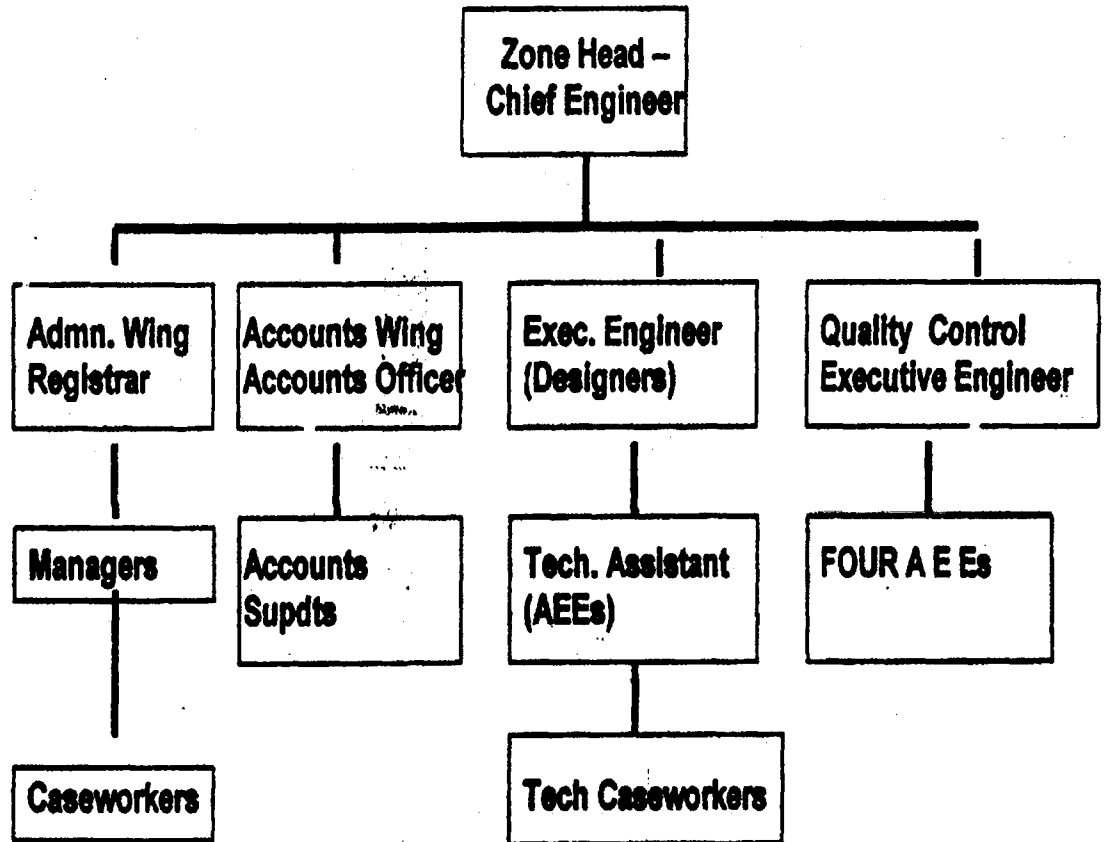


Figure 2.4

Organization Chart Minor Irrigation Secretary Office

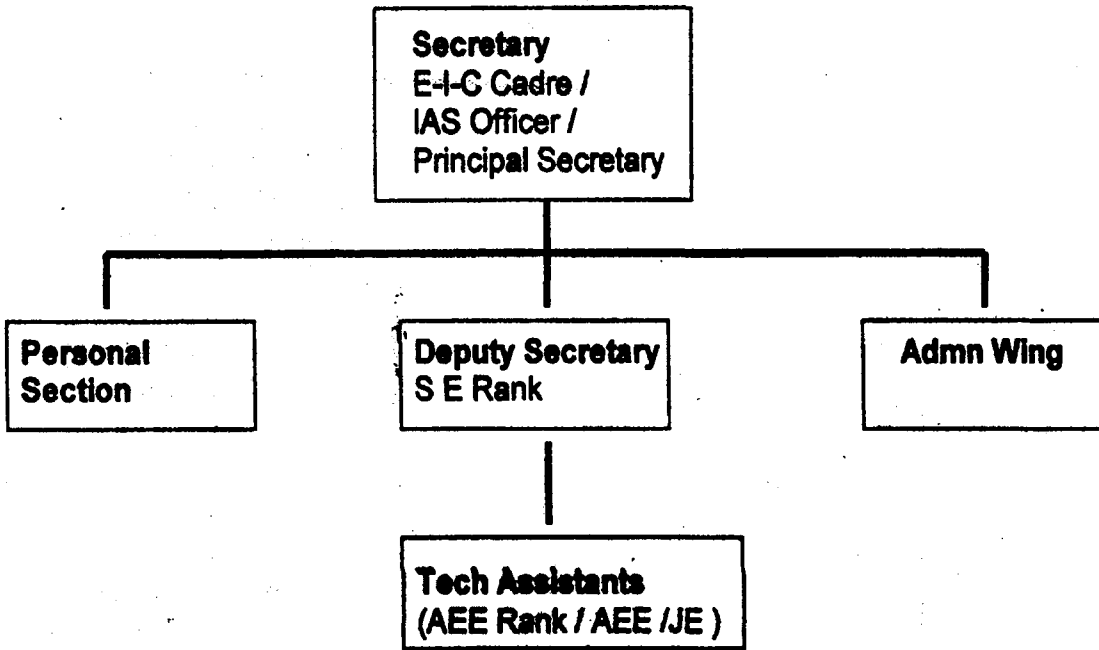
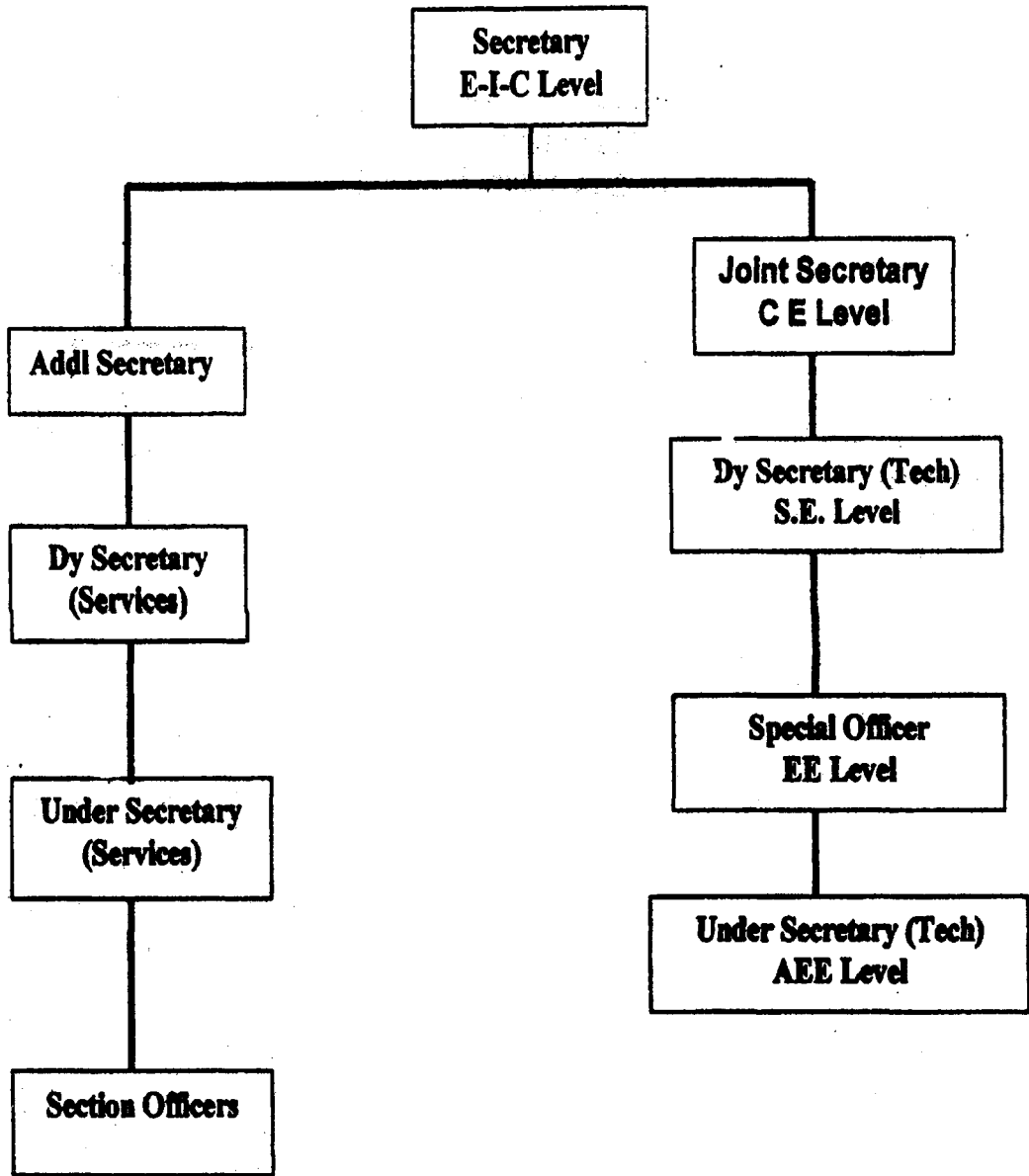


Figure 2.5

Organization Chart of Major Irrigation Secretary (existing)



2.5.1 Major & Medium Irrigation

The Secretary, Major Irrigation who is of the rank of Engineer-in-Chief is in charge of Major and Medium Irrigation projects. The Secretary is assisted by 9 Chief engineers, each controlling and administering various major and medium irrigation projects works in a geographical area called a zone. Each Chief Engineer has 2 to 3 Superintending Engineers (SEs) controlling the works at geographical area called circles. Under each SE, there are 2 to 4 divisions. Each division is headed by an Executive Engineer. He, in turn, is assisted by 2 to 4 Assistant Executive Engineers heading Sub-Divisional offices.

In the entire state, the projects under main line major / medium irrigation department is divided into 9 zones, 19 circles, 78 divisions and 297 sub-divisions.

2.5.2 Minor Irrigation

The minor irrigation department is headed by a Secretary of the rank of Engineer-in-Chief. Minor irrigation is divided into 2 zones each headed by a Chief Engineer. The zones are supported by 4 circles, 15 divisions and 91 sub-divisions each headed by an SE, EE and AEE respectively.

The small tanks and irrigation structures having Atchkat less than 40 hectares are under the control of Zillaparishads of different districts. The engineers and other field level staff are drafted from irrigation department and PWD departments on a deputation basis.

2.5.3 The Existing Manpower of the Departments

The total manpower of the departments associated with Irrigation activities is given in tables 2.1 and Table 2.2.

Table 2.1

Manpower in Mainline Irrigation Departments

Designation	Mainline Irrigation Departments					
	Major/ Medium	Minor	WRDO	WALMI	KERS	Total-ID
E I C	1	1	1			3
CE	7	2	1	1	1	12
SE	18	4	5	1	1	29
EE	80	18	11	1	5	115
AEE	375	91	60	2	24	552
AE	1400	330	70			1800
All	2511					

Table 2.2
Manpower in Corporations and Total Manpower

Designation	Total-ID	KBJNL	KNNL	CADA	Others	Grand Total
E I C	3	1	1	6		11
CE	12	5	1		5	23
SE	29	11	1	1	14	56
EE	115	48	5		12	180
AEE	552	167	13	7	75	814
AE	1800	900				2700
All	3784					

The mainline department is organized in zones, circles, divisions and sub-divisions. The details are presented in Table 2.3 below.

Table 2.3
Division of Mainline Irrigation Departments

Classification	Main Line Irrigation Department (Major / Med)	Minor	Total
Zones	9	2	11
Circles	19	4	23
Divisions	78	17	95
Sub-divisions	297	51	348

It should be noted, however that not all are working in the department. A number of officers are deputed to statutory bodies listed earlier.

2.6 Major Responsibilities of Different Cadres

The **Chief Engineer** is responsible for planning, budgeting, establishment, plant and machine, work, general policy matters, research and development related to his basins / zone / project. He works in coordination with other Chief Engineers and Engineers-in-Chief. He is expected to exercise control over the personnel working in his basin / zone / project. The Chief engineer also exercises concurrent control over the duties of the officers of the department in connection with the maintenance of accounts and support the Accountant General in enforcing the disbursement of accounts. His functions also include the preparation of annual budget estimates under the control, submit administrative reports pertaining to his zone to government under intimation to Engineer-in-Chief, administer the budget allotment and inspect every circle office and works under his control.

A **Superintending Engineer** is in charge of planning, investigation, construction and maintenance of all engineering works in his circle. He exercises control over subordinate staff working in the circle. He also inspects the divisional offices within his circle, maintains the authorized system of accounts and undertakes the supervision of various works, stocks in the store, assessment of revenue and its recovery within the circle. He is also expected to prepare a schedule of rates for works executed in his circle and update the same on the basis of the prevailing rates of material and labour in the locality. He has to accord approvals for the plan works to be carried out each year, monitor the physical progress and financial expenditure.

An **Executive Engineer**, in charge, of a Division is responsible to his Supdt. Engineer for the execution and arrangement of all works within his division. His duties include planning, investigation, construction and maintenance of all engineering works entrusted to his charge and accounts of expenditure. He is also expected to exercise control on his subordinate staff for their work and carry out frequent inspections of works. He is also supposed to report to the Superintending Engineer important events in his division. He is the key officer to disburse payments for the works carried out, purchases made.

An **Assistant Executive Engineer** in charge of a subdivision is responsible not only for proper execution of works, which are entrusted to his charge but also for the correctness and validity of the financial transactions connected therewith. He is expected to carry out his functions and responsibilities in accordance with the approved specifications, designs, drawings and rules and instructions in the departmental codes, manuals, technical circulars, etc. in force from time to time.

Asst Engineers / Junior Engineers / Section Officers are the officials at the work sites and are the primary executive functionary of the department. On matters of raising demand on water rates to be paid by farmers, including the distribution of water, the J E / A E is subordinate to the Sub-divisional officer. These officials bear major burden of this water management activity at the field level

2.7 Other Features of Irrigation Department

The quality control of irrigation structures is taken care by separate staff. The quality control units (divisions) are headed by Executive Engineers, assisted by Assistant Executive Engineers, Assistant Engineers and Junior Engineers and laboratory assistants. The quality control divisions are directly under the control of the concerned Chief Engineer.

As per the existing government rules, the employees can be transferred across different departments, including semi-government and statutory bodies, corporations like KSCC, KLAC, KBJNL, KNNL, forest department, rural development, cooperative department, Lokayukta, quality control, KERS, WALMI, CADA, CMO etc. where works carried out vary widely in their nature, Type and expertise and experience gained in these departments / organizations are also varied.

There is no structured system of updating of the knowledge, in-house capacity building through training programmes. The financial powers, authority for according approvals, sanctions are concentrated and vested with top-level officers and with the government. Even the EE, an important executive officer, has limited financial and

administrative powers. There is limited decentralized decision-making process in the department.

2.7.1 Current practices of budgetary planning

The budget of the irrigation department is thinly spread across many schemes. For example, in case of Cauvery Basin Projects, for 19 spill over schemes a total allocation of Rs. 23.95 crores was made. In addition, 69 new schemes have been initiated with budgetary allocation varying from Rs.10 lakhs to Rs.40 lakhs totaling to 25.6 crores. This type of budgetary allocation results in time and cost over runs and ultimately delays the realization of benefits. This is also corroborated by the state level data given in table 1.2, chapter 1. Though there may not be one to one connection between expenditure incurred and addition to irrigated area, the data in table 1.2 never the less shows that even over a period of time while the total expenditure between 1991-92 and 1996-97 has increased from 643.4 crores to 1422.3 crores, there is hardly any addition to the net irrigated area during this period.

The quality of the work has also suffered in the irrigation works in the state. For example, in Tungabhadra project, Sindhanoor division the farmers expressed that the repairs that were undertaken in the previous years lasted only for that year. Due to the shortage of the Soudies / Neergantis, for operations and water management, the farmers in the upper reach are tampering the pipe outlets in order to get more water which is affecting the tail enders. This is partly due to shortage of staff at the level of neergantis/ soudies and partly due to apathy on the part of staff created by interference at different levels including political interference.

Some of the shortcomings mentioned above have manifested in dissatisfaction of beneficiaries at the field level. This has also dampened the promise offered by farmers' organizations as a means for water management through water users associations at the field level. The beneficiaries have complained about substandard construction of field level structures, pipe outlets, sluice gates and incomplete lining of the canals. Therefore, the beneficiaries, almost all, complained about seepage losses and leakages (Raichur, KRS). In the absence of IT penetration below the Circle level, monitoring of progress, be it a water management or construction schedule has become ineffective. On paper, a system exists to report progress at regular intervals. Also, quality control in place, but in reality none is reflected in actual performance. This is borne out from the beneficiaries' response (100 per cent of the beneficiaries in the sample areas felt that way) as also officers' response coming out of the discussions. Therefore while quantitative targets are being made qualitative performance is wanting. Perhaps for this reason, instead of seeking the help of the irrigation department, corporations like KBJNL and KNNL are increasingly outsourcing some of these activities.

2.7.2 Disbursement of funds

Often, comparisons are made between how a corporation functions vis-à-vis a department, invariably the answer is that the department is

inefficient, though the very same staff is working in irrigation department and in corporations on deputation. However, inefficiency stems from procedures followed in the government towards disbursement of funds. While both in case of corporation and department, funds go through the government, in case of the former it is a dedicated account and there is no uncertainty in terms of flow of funds. Absence of uncertainty in the flow of funds removes uncertainty by way of receivables by contractors. The contractors not only find an incentive towards speedier completion of work but are also willing to resort to extra ordinary means to complete work on time. In case of department, processes are too cumbersome, flow of funds is uncertain, and decision making even after funds are approved is too centralized. Our data based on the sample survey brings out the long process through which the department has to go through compared to a corporation. For example, in IPC Division,

Gulbarga (I.D) it took fifteen months between issue of tender and issue of work order compared to six months in Zalki Division (KBJNL). The issue of LOCs is another good example to highlight the above point. Despite well laid out rules and regulations even in case of budgeted activities, only 9.7% of the LOCs sought are actually released in the case of the state funded works. The corresponding percentage for NABARD schemes was 80%. Even this limited amount is not based on any efficiency criteria in terms, say, that the money should go to works, which are completed first, and in that order; rather it is disbursed based on favoritisms. The month-wise details of LOCs is given in table 2.4 (Minor Irrigation):

Table 2.4
Details of L O Cs

Month	LOCs sought (Rs in lakhs)		LOCs Released (Rs. in lakh)	
	State Funds	NABARD	State Funds	NABARD
Apr 2000	3092	33.8	-	-
May	1825.7	34.3	220.5	30.0
Jun	3270	45.0	502.5	34.0
Jul	3464	32.2	343.5	46.0
Aug	3060	15.0	381.59	32.2
Sep	3514	70.3	264.63	55.0
Oct	3515	70.0	240.0	70.0
Nov	3697	-	200.0	-
Dec	3590	-	468.0	-
Jan 2001	3197	31.0	22.0	7.0
Feb	2860	39.8	370.48	31.0
Mar	3105	135.0	688.9	100.0
Total	38189.7	506.4	3702.1	405.2

2.7.3 Other issues

It is extremely difficult to get the required information from irrigation department. Even elementary details like which are the organizations where irrigation department staff are on deputation and how many in each organization; also the information, like, how many are going and how many have come back, how many are awaiting postings is not available with the department. There is no management information system in place. Even on other items the data is not at one place. Lack of comprehensive database even at the Secretariat / Chief Engineer's office shows that there is a lack of appreciation in terms of looking at the functioning of the irrigation depart in its totality. Somehow each is doing his work without paying too much of attention to interconnectiveness.

There is also no HR policy in place and as a result the staff have frustrations regarding lack of training, lack of promotional opportunities and ad hoc transfers to positions, which are not connected, with their areas of specialization of function.

2.8 Linkages with Other Organizations

The different organizations that are presently associated with main line irrigation department are given below

- Karnataka Neeravari Nigam limited (KNNL)
- Krishna Bhagya Jala Nigam Limited (KBJNL)
- Project director, Minor Irrigation Department (JSYS)
- CADA
- WRDO
- WALMI
- KERS

Karnataka Niravari Nigam Limited (KNNL)

KNNL was established in December 1998 under Companies Act of 1956. The company intends to give more thrust to new areas of development such as participatory irrigation management, encouragement to modern irrigation practices with more duty of water. It also intends to practice modern technologies in survey and design of canal systems.

The total potential already created up to March 2001 under the projects taken over by KNNL is 3,78,911 hectares. The Corporation has a plan to increase the potential to 8,20,576 hectares. Another 25,000 ha. are likely to be added during the current financial year. The total cost involved in all the projects under the corporation amounts to about Rs. 4,900 crores. It is likely to spend about Rs. 500 crores in the current financial year. The projects proposed for implementation by KNNL are given in Table 2.5 along with revised costs.

Table 2.5
PROJECTS UNDER KNNL

SI No.	Name of the project	Revised cost (Rs. in crores)
01	Gattaprabha	947.00
02	Mallaprabha	816.00
03	U T P	915.35
04	Harinala	41.62
05	Markandeya	223.00
06	Singatalur	595.00
07	Bhima Lift Irrigation Scheme	187.58
08	Hippargi	901.00
09	Gandorinala	132.95
10	Tunga Lift Irrigation Scheme	24.12
11	Kalasanala	44.78
12	Banduranala	49.20
	Total	4877.60

A board manages the company with the Chief Minister as the Chairman and the Irrigation Minister as the Vice Chairman. The secretary of the irrigation department is a member of the board.

The Nigam is able to take quick decisions owing to the autonomy enjoyed by it as well as the high-powered board. It mobilizes funds from market borrowings and has assured funds flow. The company manages to outsource most of the activities, including quality control. The Managing Director is authorized to make the payments for the works completed, after he is satisfied of the quality of the work based on the certification of the agency involved.

Krishna Bhagya Jala Nigam Limited (KBJNL)

KBJNL was incorporated on 19th Aug 1994 under the Companies Act of 1956 with the primary purpose of implementation of Upper Krishna Project (UKP).

Major Activities:

Planning, investigation, execution and maintenance of irrigation projects coming under UKP, including rehabilitation. The company is also authorized to sell water and recover the charges from the users. The project is planned to be implemented in different stages – Stage I utilizes 119 tmc of water to irrigate 4,25,000 ha. Stage II utilizes 54 tmc of water to irrigate 1,97,120 ha. The total cost is about Rs. 7,000 crores. The budget for the year 1999-2000 was Rs.1,583.83 crores.

The main line irrigation department acts as an administrative department through which KBJNL would approach government for policy decisions and approvals.

The irrigation department has set up a separate cell called KBJNL Cell to handle the matters regarding KBJNL.

KBJNL is managed by a board consisting of 11 members. The Chief Minister is the Chairman of the Board and the Minister of Irrigation is the Vice Chairman. Secretary of the irrigation department is a member of the board. The board is empowered to take all the decisions.

The corporation is able to take quick decisions owing to the autonomy enjoyed by it as well as the high-powered board. It mobilizes funds from market borrowings and has an assured funds flow. The corporation manages to outsource most of the activities, including quality control. The Managing Director is authorized to make the payments for the works completed, after he is satisfied of the quality of the work based on the certification of the agency involved.

JSYS is an entity created for the rejuvenation of some the existing dilapidated tanks. A managing director heads it. It draws resources partly from budgetary grants and partly from external sources. Manpower is drawn partly from mainline department. In addition, they appoint on their own some technical staff. There is no duplication of work. There is duplication of establishment at sub divisional level.

CADA is a government organization, funded by the government and headed by an administrator of the rank of Engineer Chief / IAS. The activities undertaken by CADA are totally different from main line irrigation department. It is an organization involved in activities concerning Irrigation, Agriculture, Marketing, Forestry, and Cooperation etc. Even though, there are six engineers-in-chief / administrators working in CADA, the supporting engineering staff deputed to CADA are very less. However, many irrigation department officials / officers are rendering their service for CADA work partially without charging CADA.

Water Resources Development Organization (WRDO)

The main functions of the WRDO are

- Survey and investigation
- Interstate water disputes
- Administrative head for the deployment of staff for the entire department

The organization is headed by an Engineer in Chief and works directly under the control of the Secretary. The Secretary will review the activities of WRDO and accord approvals and release grants as sought by WRDO.

The department personnel undertake the entire work involved for this organization. The organization appears to be very happy with the way the linkages between WRDO and the department.

WALMI is an independent unit again, funded by the government, headed by an officer of the rank of Chief Engineer. It is advising the department on the issues related to water and land management. It is research organization and staff is drawn

from irrigation department for the activities relating to their department. There is no duplication of activity or establishment with main line department.

KERS funded by government is an independent unit of the irrigation department headed by an officer of the rank of Chief Engineer. Its main activities are model studies and it is an advisory body to the department on quality of materials and finished products. KERS undertakes this job only when a problem is referred to it. There is no duplication of staff or the activities with main line department.

Transparency in the operations of the corporations

The autonomous corporations both KBJNL and KNNL are setting an example of transparency in their functioning. These corporations openly invite contractors to apply for works and categorize them into 3 classes. The list is available for public scrutiny through their offices as well as from their web sites. The tender documents are issued based on the category of the contractor as well as the cost of the work. Again, the entire details about the quotations given by each contractor and the final contractor selected, along with reasons, if any, are also made available to the public. It is very gratifying that these corporations are able to achieve this level of transparency and also reduce the delays in decision-making.

IRRIGATION OFFICERS RESPONSES

3.1 General

The present study aims at a functional review of the mainline irrigation departments ie. Major / medium and minor irrigation departments. The focus is on present functioning as well as future needs. Such an assessment is directly dependent on a detailed examination of the tasks performed by various functionaries in their present jobs as also what they perceive as desirable changes for a more efficient system to emerge. It will throw light on the areas – technical, organizational and administrative – where there are constraints in efficient functioning and provide guidelines for suitable remedial action.

The assessment presented here is the outcome of progressive exercises attempted in two stages. In the first stage, a detailed questionnaire (Annexure 1) was developed and mailed to individual officers belonging to the A and B categories in the following offices:

- (a) the Secretariat,
- (b) Chief Engineers' office and
- (c) Five divisions, namely,
 - KRS division (maintenance, Mysore);
 - Kolar division (minor irrigation);
 - TLBC division (Sindhanur and Raichur);
 - IBC division (Thalki and Bijapur; and
 - IPCD division (Gulbarga).

In all, about 300 questionnaires were distributed, and 132 consisting of 2 CE / SEs, 35 EE / AEEs, 65 AEs and 31 others (IAS officers, accounts officers and those working in non-technical functions) were received. Thus the response was only 40 percent even after personal meetings at the divisional and sub divisional level. Some of the salient aspects on which the views elicited are:

- Total amount of service an employee has in the department
- Service in the existing cadre he is occupying
- Objectives set fourth for the department as understood by him
- His current duties
- His assessment of man power needs
- Areas where man power could be increased and decreased
- The possible areas for outsourcing
- His perception about the duplication of similar work by any government/ Non Government agencies.
- Transparency in file movements, number of files handled on an average in a day

- Areas of training needs
- Motivation levels of employees
- Current and future usage of IT in the department

The above was followed by detailed discussions on specific aspects of the questionnaire with officials at all levels. Extensive discussions were held with the EEs at the divisional level.

3.2 Responses of Officers

The responses from questionnaires (Table 3.1) are presented for four groups:

- CE / SE, mostly involved in administrative functions,
- EE / AEE, involved with core technical functions,
- AE, involved in field level implementation work and
- “Others” providing support functions to the department.

Some of the main observations are presented below:

- In respect of certain questions dealing with objectives of the department, the officers do not appear to have complete clarity. They perceive that the objective of their job is to carry out the work given to them effectively. Likewise, responses with respect to training were vague as there were no regular training programmes at present. They are unable to relate the training needs to the future needs of the department. One of the reasons could be the existing transfer policy across departments. Finally, on questions related to computer use, the answers were identical since computers were not in use. On other questions, however, responses were interesting.
- To start with, it may be noted that the respondents, on an average, had 15 years of service in the department; hence their responses are based on sound experience.
- Two-thirds of the technical staff felt that the existing manpower was inadequate. Only one-third of the “other” staff, however, felt so. Three-fourth of the technical staff did not think downsizing was possible. Almost an equal proportion of “others” also opined on similar lines.
- However, more than half of the officers were in favour of outsourcing. The suggestion to outsource was particularly strong among EEs and AEEs. The possible areas for outsourcing included quality control, survey and investigation, management of department guesthouses and legal matters.
- An overwhelming number of officers (close to 75%) did not feel there was duplication of work by other agencies.
- Almost half the officers are spending less than 75 per cent of their time in work inside the department. The remaining time is spent in activities such as coordinating with other departments, dealing with public bodies and public at large.
- CEs and SEs handle more than 20 files a day, EEs, AEEs 12 files a day and JEs 7 files a day on the average. “Others” handle 16 files a day on average.

Table 3.1
Responses of A and B category officers

Item	CE & SE	EE & AEE	A E	Others
Total service in the department				
Less than 10 years	0	0	16	6
10 to 15	0	6	14	0
15 to 20	0	5	19	4
20 to 25	0	7	8	4
More than 25	2	16	8	17
Total	2	34	65	31
Average	27.50	22.35	15.19	21.21
No. of years in the present position				
Less than 5 years	2	21	13	21
5 to 10	0	8	14	7
10 to 15	0	4	12	1
15 to 20	0	0	15	1
More than 20	0	1	11	1
Total	2	34	65	31
Average	2.50	5.44	12.27	5.08
Manpower adequacy				
Adequate	0	7	27	21
Not adequate	2	27	38	10
Total	2	34	65	31
Down-sizing				
Possible to down size	0	10	15	7
Not possible to down size	2	24	50	24
Total	2	34	65	31
Outsourcing				
Preferable to outsource	1	23	31	13
Not preferable to outsource	1	11	34	18
Total	2	34	65	31
Duplication by other agencies				
Duplication exists	0	9	18	8
Duplication does not exist	2	25	47	23
Total	2	34	65	31
Time spent within the department				
Less than 75 per cent	0	18	30	13
75 per cent and above	2	16	35	18
Total	2	34	65	31

Average No. of files attended in a day				
Less than 5	0	3	19	2
5 to 10	0	10	31	5
10 to 15	0	14	12	9
15 to 20	0	3	3	6
More than 20	2	4	0	9
Total	2	34	65	31

3.3 Outcome of Discussions

Discussions that IIMB team had with select officers gave additional insights. Some of these are

- A large number of officers feeling that the current manpower is inadequate is largely due to the freeze on fresh recruitment imposed in 1984. There is almost a consensus that the shortage of field level implementation staff is being felt most. This is also borne out from the results of the beneficiaries' survey reported in Chapter 4. Downsizing is, therefore, ruled out by the majority of the staff.
- Outsourcing could, however, serve the twin objective of reducing inefficiency and downsizing, if necessary. Survey equipments that the department currently has are technically obsolete; outsourcing can improve service quality. Similarly, almost all felt that the maintenance of guesthouses could be and should be outsourced. Finally, the amount of time officers spend on legal matters could be avoided if legal services were outsourced. An important point that came out of the discussions was that outsourcing technical services like quality control, survey, investigation should proceed with caution. Large scale outsourcing must first, ensure that there is enough private sector competency to handle the task and second, the department people have enough training to supervise and regulate the works.
- Some more insights were gained on duplication of work by other agencies. It seemed that even though there were other organizations such as KBJNL, which were carrying out work similar to the departments, the work was, nevertheless, being executed by irrigation department officers only. The same was true of Zillaparishats and CADA. Hence, there would not appear to be any duplication. However, the same work carried out by one organization vs. multiple organizations, irrespective of labour cost, will have implications for other establishment costs. It may not be a very cost effective way of doing things.
- Many of the AEs and AEEs also suggested that water management activity should be handed over to the Agricultural department in order to achieve better synchronization between cropping pattern and water release. Again, decentralized decision-making was suggested by many to minimize delays, particularly in case of schemes, which already have the approval of higher authorities and for which a budget allocation has already been made.

- The most important point that came out of the discussions is that functional review in order to gain better efficiency cannot be carried out in isolation. It has to be done in a larger context of administrative, organizational and infrastructural support that exists at present. First, lack of promotion prospects cause an abiding sense of frustration among those who are experiencing it.
 - A JE has to wait for more than 20 years to become an AE
 - An AE has to wait for about 20 years to become an AEE
 - An AEE has to wait for about 12 years to become an EE
 - An EE has to wait for about 8 years to become a SE and
 - A SE has to wait for about 6 years to become a CE.

This affects the quality of their work. Second, in respect of development of skills and the modalities for the utilization of such skills, also there are several shortcomings. Hardly any training is provided at the entry level. There are no refresher courses for persons elevated to higher positions or transferred from other departments. Though some in-service training programmes are in existence, the system is not all embracing. Several people said they had no training whatsoever even after several years of service in the department. Most disturbing feature however, is the department's failure to provide favourable conditions for the development of skills acquired by the staff. An engineer is liable to be transferred any time to a position, which is completely unconnected to the skills acquired by him. Even within the same department, there is no system of assigning work among employees based on skills or assessing the skills acquired by them. Finally, presently there is no well-defined system of monitoring and evaluation of the work assigned to the staff at the various levels. The higher officials provide technical guidelines to the field staff to ensure quality of work. A time schedule is also fixed based on the investigation report. Thereafter a periodic inspection of work / review of work is undertaken. Beyond this no other mechanism based on management techniques is followed. Computerization which today does not even exist at the division level is essential for efficient execution of work, speedier decision-making, better transparency and judging the performance of the project staff.

- Most of the respondents are in favour of decentralized decision-making, which in turn might result in facilitating officers to complete the work within the budgeted amount and the given time frame. Certain interesting information came out of the questionnaire in this regard.
- The officers indicated that there is no clear HR policy followed in the department for career path development as well as for up gradation of skills of the technical staff.

3.4 Establishment charges as a percent of the cost of civil works

The expenditure incurred on establishment such as office expenses, salaries, TA & DA, vehicle, telephone charges etc. are incurred whether any civil works are

carried out or not. When any division is involved in irrigation functions, one measure of efficiency is the establishment expenditure as a percentage of the cost of civil works. The Table 3.2 provides details for 4 divisions, each of which is involved in a different type of activity.

It can be seen from the table that the establishment charges amount to anywhere from 5.83% in Zhalki Division of KBJNL to 169.89% in the KRS Division, Mysore. Normally, it is expected that in a division which is mainly involved in construction activities, this percentage will be low where as for those involved predominantly in water management alone, this is expected to be high. In the case of minor irrigation, this percentage is averaging to 12.5% over the last three years. It is worth noting that the IPC Division at Gulbarga managed an average of 25 crores of civil works per annum. It implies that a division in the department is capable of carrying out works to the extent of Rs. 25 crores provided the funds are made available.

Table 3.2
Details of Establishment vs. Civil Works

(Rupees in Lakhs)

Name of the Division	Year	Establishment Expenditure	Cost of Civil Works	Percentage (3 / 4) *100
(1)	(2)	(3)	(4)	(5)
Kolar (Minor Irrigation)	1998-99	51.36	363.11	14.14
	1999-00	74.08	636.11	11.65
	2000-01	71.93	578.77	12.43
	All Years	197.37	1577.99	12.51
IPC Division, Gulbarga (Project Construction)	1997-98	209.37	2468.66	8.48
	1998-99	233.89	2965.58	7.89
	1999-00	248.94	2035.77	12.23
	All Years	692.20	7470.01	9.26
KBJNL Zhalki (Construction - Corporation)	1997-98	31.17	534.59	5.83
	1998-99	35.14	208.51	16.85
	1999-00	60.84	609.64	9.98
	All Years	127.15	1352.74	9.40
KRS Division, Mysore (Water Management)	1998-99	426.96	929.83	45.92
	1999-00	591.30	599.20	98.62
	2000-01	914.64	538.37	169.89
	All Years	1932.9	2061.42	93.49

Similarly, the procedures in the irrigation department appear to be cumbersome and time consuming due to the lack of decentralization and the need for referring the matters to the central office. On the other hand, the procedures followed in corporations such as KBJNL are less time consuming. The following

tables illustrate the point. Table 3.3 refers to the processes involved in the award of works in IPC Division, Gulbarga and Table 3.4 refers to the same processes involved in KBJNL for similar work. It should be noted that both the tables refer to construction related works.

Table 3.3

Processes followed in IPC Division, Gulbarga

Details of Work	Major Distributory off take	RCC Aqueduct
Tender Notification	3-Jan-00	30-Jun-99
Submission to DTP	4-Nov-99	28-Jul-99
Date of Approval from Central	21-Dec-99	16-Sep-99
Tenders Issued	12-Jan-00	16-Nov-99
Completed Forms received	17-Jan-00	22-Nov-99
Submission to Division	9-Jun-00	25-Nov-99
Submission to Circle	27-Jun-00	2-Dec-99
Submission to Central	19-Jul-00	4-Dec-99
Approval received	19-Jul-00	13-Mar-00
Intimation to Contractor	6-Oct-00	18-Mar-00
Execution of Tender agreement	31-Mar-01	9-Aug-00
Issue of Work order	18-Apr-01	10-Aug-00

Table 3.4

Processes followed in Zhalki Division, KBJNL

Details of work	Construction of Laterals	Construction of Laterals
Sanction of Estimate	17-Aug-00	17-Aug-00
Tender Notification	6-Sep-00	6-Sep-00
Applications Received	15-Sep-00	15-Sep-00
Tender forms Issued	27-Nov-00	17-Nov-00
Date of Tender opening	8-Dec-00	8-Dec-00
Evaluation submitted to Circle	23-Dec-01	23-Dec-01
Work orders issued	12-Jan-01	23-Jan-01

It can be seen from the above two tables that the IPC Division, Gulbarga took about 15 months where as Zhalki Division was able to complete the process with in 5 months. The file movement from the division to the Central and back consumed about 6 months in the case of IPC Division.

BENEFICIARY PERCEPTIONS AND EXPECTATIONS

4.1 General

The ultimate objective of the irrigation department is to provide timely and adequate water supply to the farmers. The farmers are the best judges as to what extent the department is meeting this objective. It is also important to understand the responsiveness of the department to the needs of the farming community. In order to gauge the perceptions of the farmers with respect to the functioning of the department and their responsiveness to the needs of the farmers, as well as their expectations, a number of farmers have been interviewed. A survey of beneficiaries (farmers) was conducted in the selected study areas to elicit their views on the working of the irrigation department vis-à-vis their needs and expectations. The objective was to assess to what extent the inefficiencies that had crept into the department, discussed earlier, might have affected the provisioning of services to the farmers, as viewed by farmers themselves. The survey covered beneficiaries (total 500) under both minor and major irrigation schemes in the study areas. The beneficiaries belonged to age groups between 35 and 70 years. Their land holdings ranged between less than half acres to more than 50 acres. Their educational levels varied from illiterates to degree holders. And, they had various caste affiliations. In short, the sample consisted of beneficiaries representing all economic and social categories. In addition, the study team had extensive discussions with different groups of farmers as well as the local leaders and opinion makers

4.2 Beneficiary perceptions

The opinions expressed by the beneficiaries, during the discussions as well as through the questionnaires revolved around many issues dealing with irrigation. Some of the important aspects are given below.

- On the positive side almost all the farmers were appreciative of the irrigation departments initiative to provide irrigation facilities to their villages. They felt that irrigation was the key (more important than roads, marketing infrastructure, education etc) for the growth and well being of the villagers. They felt that irrigation had been the most important development initiative and investment in their areas in the recent past and will continue to be important for sustaining higher levels of productivity in the future.
- Majority of the villagers (more than 80 percent) were also aware of the important role being played by the irrigation department. For example, the fact that Soudi opens and closes the head sluice under instructions from irrigation engineers and the work inspector that he opens and closes the outlets in some order and ensures the distribution of water and finally, that the irrigation department is looking after the distribution of main channel, operation and maintenance of the system and desilting.

- The beneficiaries' dealings with the irrigation department have also not been unpleasant, though somewhat mixed. Majority of the respondents (60%) reported that they would get help but only if they complained. Those who felt otherwise ascribed lack of cooperation to financial stringency and a general apathy on the part of the officials. All the respondents, however, agreed that procedures were in place (phone calls, letters, memorandums, etc) through which they could air their grievances to the department, and usually, there was an acknowledgement.
- The more serious negative comments about the irrigation department, however, related not to lack of procedures but to failure of water release system. The general feeling is that irrigation is not performing anywhere near its potential. Many interrelated reasons could be traced from the opinion of the respondents as to why irrigation investment has failed to reap its intended benefits. First set of problems cited were technical. For example, substandard construction; under-investment in infrastructure eg. Lack of drainage, insufficient control structures; poor canal management and organization; - tardy financial allocation for operation and maintenance and inadequate water management. Therefore, the beneficiaries, almost all, complained about seepage losses, outmoded works, leakages, silting of tank beds and canal systems and similar problems which have resulted in a wide gap between potential and realized benefits.
- The other set of problems arise out of lack of governance. For example, the cropping pattern suggested is not adhered to. As a result, the farmers who are at the head overuse water at the cost of tail enders. There are frequent encroachments and also, though not rampant, respondents in their replies have complained about illegal tapping and pumping of water. And yet, there is nothing that is done to stop these violations in a meaningful way.
- The above anomalies in the distribution of water make it difficult for the irrigation department to stick to water schedules. Invariably, these create tensions. The tail-ender always suffers. In rain-fed areas like Mandya, this may not pose a serious problem but in dry areas like Raichur and Bijapur, this could create serious social tensions, particularly if rainfall is scanty.
- The respondents cite many reasons for the above problems. The largest number (more than 70%) feel that failure to take action against violators is because of the political clout enjoyed by them, which deters irrigation department officials to do the needful. The others feel that these things go on because there are not enough officials (Saudis and Inspectors) to oversee the implementation phase. Whatever the reason, there is a lack of discipline in the use of water.

4.3 Suggestions by the beneficiaries

The beneficiaries made a number of suggestions for improving the functioning. Some of the major suggestions are as follows

- Farmers organizations is seen as a very important means of managing irrigation systems, particularly distribution of water. Lack of it in Karnataka is often cited as a reason for inefficient use of water. The beneficiaries' responses very clearly bring out why farmers' organization have not been attempted and the pre-conditions for its success. First, farmers organization cannot work in the absence of an efficient micro network and second, farmers' organization can not function if there is lack of discipline. Respondents under minor irrigation systems were emphatic that they would go in for farmers' organization if micro networks were in place. Farmers under major irrigation systems were, however, not so enthusiastic because they felt that lack of discipline was far too deeply entrenched in the present set up.
- Clearly, a common theme runs through the beneficiaries' responses. That is, the problem is at the stage of water release. And, it is both a technical and a governance problem. Interestingly, the respondents also seem to have the right solutions. Majority of them said that the O & M budget had to be stepped up and more staff deployed for the water release function. Also, a few of them felt that the only way to improve water management and ensure an equitable distribution of water is to set up a canal protection force on the lines of Railway Protection Force. Only a body like that can ensure that violators are properly dealt with and such things do not recur.
- In addition to the above, the farmers whose lands have been acquired under the Upper Krishna Project suggested that lift irrigation may be permitted at the head reaches of the Indi Branch canal at Zhalki. They felt that if such lift irrigation is permitted, the areas where the canal goes through a deep cut could be brought under irrigation. This is a clear example where the beneficiaries view point need to be taken into account.
- In cases where the debris from the construction activities is dumped and farmer is initially paid certain amount of compensation depending on the crop loss. If the debris is not removed within the year, the farmer has to run from pillar to post to get the compensation for the subsequent crop seasons. The beneficiaries have suggested that the concerned executive engineer should be made responsible for the payment of the compensation and that the farmer should continue to receive compensation automatically until the concerned EE certifies the removal of the debris.

4.4 Expectations of the Beneficiaries

The beneficiaries expressed their expectations with regard to the quantity of water released as well as the timelines of the water release. They expect that the irrigation department should warn them sufficiently in advance regarding the availability of the water so that they can plan their cropping pattern accordingly. They expect that such a warning should be given much before the sowing of the crop. Similarly, they expect that, once the sowing is done, it is the responsibility of the irrigation department to provide the required quantity of water at the appropriate time.

They also expect the irrigation department to maintain the canal system and the structures so that the water losses are minimized. In addition, it is expected that, during the years when the water availability is not sufficient for the entire ayacut, the irrigation department should reduce the area under irrigation, giving appropriate warning, by closing some of the distributaries.

Once the quantity and the timeliness of water at each distributary is ensured, the farmers are ready to form the water users' associations and take the responsibility of the distribution of water below the pipe outlet. In the absence of such assurance, the farmers are very apprehensive of forming the water users' associations. The beneficiaries also expressed a strong opinion that they are willing to pay a much higher rate for water, if the quantity and the timeliness of the water are guaranteed.

In summary, the beneficiaries' survey shows that there is a need for government initiative in irrigation development. The problem is not in conception. But a lot more attention needs to be paid at the operational stage, if the full benefits from irrigation are to be realized.

RESTRUCTURING OF THE IRRIGATION DEPARTMENT

5.1 General

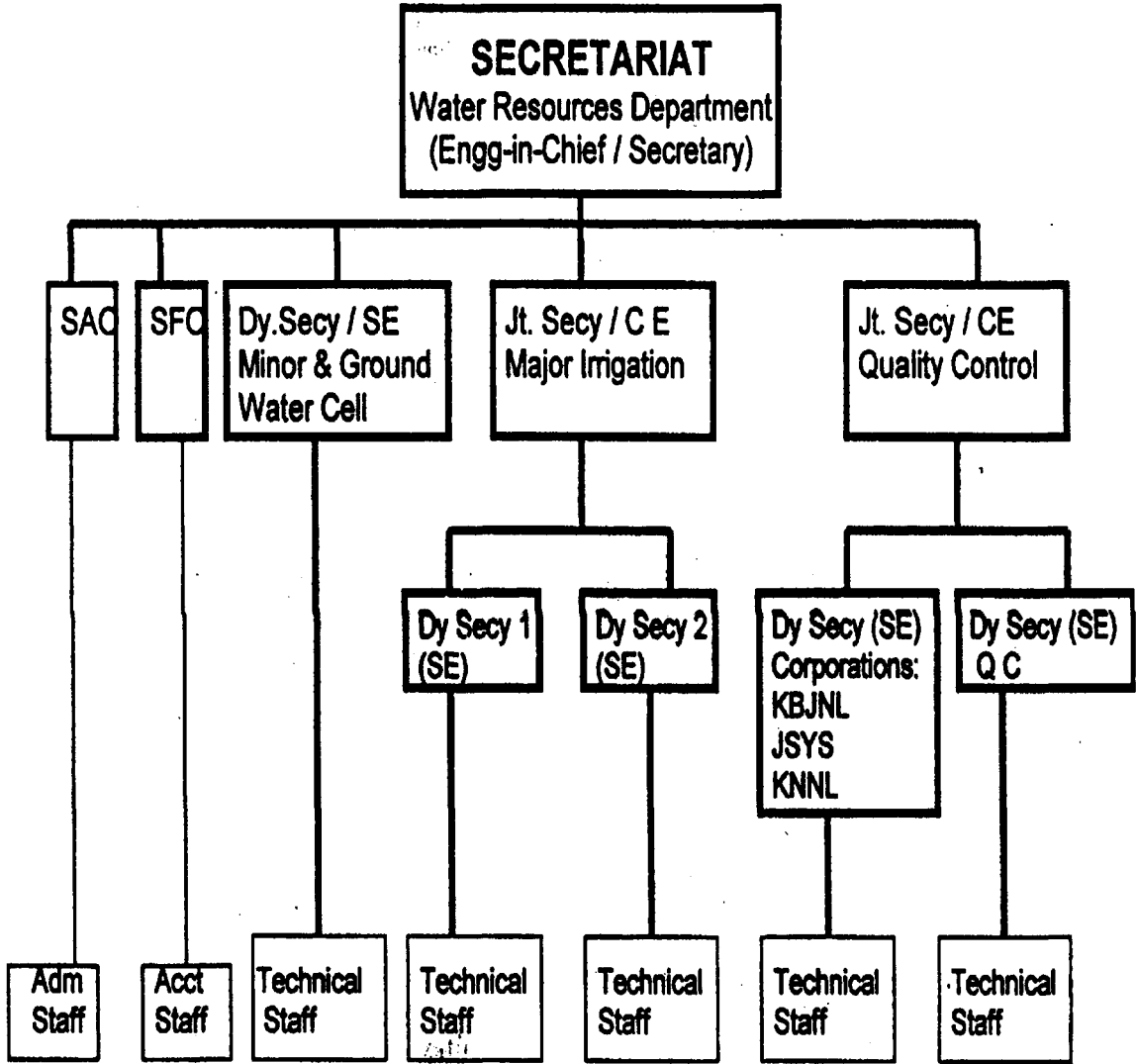
The thrust of the argument, so far, in this report has been that irrigation is a critical source of output and employment growth and can substantially reduce the year-to-year variability in production. The State of Karnataka has played a major role in developing and providing irrigation facilities to the farmers in the past and will continue to do so in the future. However, since the cost of irrigation development in the state is high, both in financial and efficiency terms, and is gradually rising over time, there is a need to determine the most cost-efficient method of irrigation development. In this chapter we pool together all the information gathered and analysed in the previous chapters, plus more, and come out with a plan through which, given the constraint of resources, the human talents and skills are optimally matched with the available institutions and technology so that maximum benefit can be derived .

First, consider organizational restructuring to achieve the above objective. Today, the annual budget of the major and medium irrigation department is of the order of Rs.1,600 crores. Compared to this the budget of the minor irrigation department is only to the tune of Rs.100 to Rs.120 crores per annum. The objectives and functions of the two departments are the same, so are the job specifications and recruitment rules of the staff. Historically, one single department looked after both major / medium and minor irrigation systems. Apparently from talking to various officers in-efficiency considerations did not weigh in the decision to bifurcate the departments. The departments were working well as one. Even today staff are being transferred across the two departments.

As a first step, we feel major / medium and minor irrigation departments could be merged into a single department. It will not only achieve better synergy but also match, more optimally, skills with organizational requirements. The timing of the proposed merger may also be ripe since the Government of Karnataka is renaming irrigation department as "Water Resource Department" and towards this consolidation has already merged groundwater portfolio, hitherto with mining and geology department, with minor irrigation department.

In general, the proposed department will continue to have the same structure as at present with Irrigation Secretary at the helm. The downward structure into zones, circles, divisions and sub-divisions will also continue (However, the strength of staff at each level will be based on a set of norms to be spelt out later in the report). Two re-designated positions (in stead of the Addl Secretary services and the Dy Secretary- Finance presently working in Finance department), both non-technical are suggested in the reorganization. One position is of Senior Financial Officer (SFO) to ensure that budgeted funds reach each division on time so that execution of work does not suffer on this account. A second position is that of Senior administrative Officer (SAO) who will maintain a data base, asset register, and other relevant statistics, project-wise. Both the positions are stipulated to be of the rank of Deputy Secretary in the Government. The suggested organizational structure for the Secretariat is given in Figure 5.1.

Figure 5.1
Suggested structure of the Secretariat



5.2 Suggested functions of the Secretariat

The important functions of the secretariat are given below

- Preparation of a perspective plan for development of water resources clearly stating the time schedule for implementation and resource requirements. The plan will also explore alternative modes of financing, besides budgetary support.
- Budget preparation for the entire department
- Overall planning and budget allocation to various zones/CEs.
- Budgetary allocation to different projects, distribution among CEs working in the same project
- Setting up of a coordination committee consisting of CEs and holding meetings every quarter, to review status of activities and suggesting corrective measures
- Liaison with the government for the release of the funds on quarterly basis
- Delegation of authority to CEs and other officers for effective functioning and coordination with other agencies including statutory bodies and departments
- Creation and maintenance of a database of all the employees of the organization detailing, along with other things, the skill levels needed and developed, so as to find the right match between the job requirements and the skills at each level.
- Maintaining an asset register for the entire department and project-wise.
- Maintenance of project-wise statistics, including, maintenance of project wise accounts, by component wise, for example, by salary, TA and DA, vehicle expenses, office maintenance, materials etc. In other words, the secretariat will have to apportion the salary and other administrative expenses, project wise.

5.3 Suggested functions of the Chief Engineer / Zonal Office

Zonal office

The following functions at the chief engineer / zonal office level are suggested, in addition to the current functions carried out by them.

- Development of PERT charts for each and every work costing more than Rs. 10 lakh and identification of important milestones.
- Monitoring of the works based on the PERT charts prepared.
- Rating of the circles, divisions and sub-divisions based on a merit point system (the merit point system is described later in this chapter)
- Once the project / scheme is approved, the respective Zonal Heads should be given full freedom to reallocate the funds if necessary in order to derive optimum benefits in the utilization of funds.
- This arrangement should be approved by the Committee of CE and SEs of the Zone.

5.4 Outsourcing and Closure of activities

Outsourcing

As an efficiency augmenting measure, there is also a need to make a distinction between public provision and public production. In case of irrigation, while government should provide, it need not always produce the entire service. Greater efficiency can be achieved if some of the services are contracted out to the private sector for production. In irrigation, it is possible to explore several areas where, based on the responses of the officers, production can be entrusted to the private sector for greater efficiency.

For example, the equipment available with the department for survey and investigation is not latest. This makes survey activities time consuming. On the other hand, there are parties in the private sector who have access to latest equipment. It, thus, makes immense sense to outsource, to the extent possible, the survey and investigation activities.

Again, there are only a few divisions vested with the function of quality control for the entire department. There is a feeling that these divisions are unable to stick to the time schedule as required by the construction activity leading to delays. Also, these divisions are perceived as rather lenient in enforcing the required quality given the democratic set up and the bureaucratic set up. In addition, the equipment used by the department is obsolete. The lacuna in quality control is usually reflected, not immediately, but over a period of time, ultimately results in increasing the operation and maintenance cost. Here is, thus, an area for outsourcing.

Another area for outsourcing is the maintenance and management of guesthouses. The view on this was unanimous. Guesthouse maintenance takes up lot of time without any commensurate output. In any case, this is not a mainline activity and can easily be outsourced.

The discussions also revealed that there was a possibility of reducing the fleet of vehicles through outsourcing. Instead of the department maintaining the vehicles, drivers and workshops, these services could easily be outsourced, as done by some of the public sector organizations such as POWERGRID, KPTCL etc. In order to minimize the hardship to the existing drivers, it is suggested that this be done in a phased manner and preference may be given to organizations/cooperatives formed by the drivers who have retired from service.

Closure

Redundant labour force can be a drag in the efficient working of an organization. An alert organization should not hesitate to close down and re-deploy or retrench with adequate compensation, the undulant labour force. In the course of this study the study team identified one section i.e., the stores section where after the issue of notification of the transparency act and recent changes in the tender conditions for the execution of works, almost all the procurement activities of the department have come to a stand still. The materials have been made part of the works contract. As a result, there is very little work for the stores section. There was a unanimous view that the staff connected with the stores section at different offices can be redeployed.

5.5 Suggested Structure of Secretariat

Manpower planning is key to the efficient functioning of an organization. The study team visited only the secretariat, CE's office and 5 divisional offices suggested by KARC. The suggestions made in this chapter are based on the discussions held with these officers and the information provided by them. The study team was able to develop a set of norms based on which the requirement of the technical staff at different levels can be decided by the department. These norms are only for the mainline department.

Wherever actual number of positions are suggested, these are only for the mainline department and the requirements for other autonomous organizations/bodies do not form part of this.

Since major changes are contemplated at the secretariat level, these are detailed below:

- One secretary (Engineer in Chief) for the entire reconstituted water resources department including major, medium and minor irrigation
- One joint secretary (Chief Engineer) to look after the major and medium irrigation projects. Two deputy secretaries one for each of the existing north and south zones will assist him.
- One joint secretary (Chief Engineer) to look after the functions of quality assurance and liaison with other autonomous organizations/bodies dealing with water resources. He will be assisted by two deputy secretaries, one for dealing with quality assurance and the other for coordinating with other autonomous organizations/bodies
- One deputy secretary to look after the activities of minor irrigation and ground water cell.
- Two non-technical officers of the rank of deputy secretary, one Senior Administrative Officer and one Senior Finance Officer, assisting the EiC. Their main functions have already been elaborated in the earlier section of this chapter.
- The existing staffing norms below these positions will continue as per the existing practice.

5.6 Suggested Norms for the Technical Positions

According to the TOR, the study is to focus on the A and B category employees of the department. The study team had discussions with the secretariats, CEs' offices and five selected divisions. Based on the data collected and discussions the following norms for technical staff have been evolved. The technical staff includes the CEs, SEs, EEs, AEEs and AEs/Js.

The type of work involved in operations and water management of completed irrigation structures is completely different from the work involved in the construction of the structures such as dams, canals, CD works etc. Hence, the norms have to be different for these two categories of works. Accordingly, two different sets of norms, one for O & M and the other for construction are evolved. Table 5.1 gives these norms at each level of the technical staff.

With respect to the O & M activities, the norms are based on the irrigated area that is to be managed at each level. It can be seen from the above table that for about 4,80,000 ha. a CE's position may be created. Each CE will be assisted by 2 SEs, every SE will be assisted by 3 EEs, each EE will be assisted by 4 AEEs and each AEE will be assisted by 5 AEs/Js. Accordingly, each SE will manage 2,40,000 ha., each EE will manage 80,000 ha., each AEE will manage 20,000 ha and finally each AE/JE will manage 4,000 ha of irrigated ayacut. It was noticed during the field visits that many officers had reached these norms and broadly falls in line with the norms of Madhya Pradesh and Tamil Nadu states.

Table 5.1
Norms for the Technical Staff

Work Norms for Operations and maintenance				
Cadre	Cadre Below	Number of posts in cadre below	Major	Minor
			Area in Ha.	Area in Ha.
CE	SE's	2	480000	240000
SE	EE's	3	240000	120000
EE	AEE's	4	80000	40000
AEE	AE's	5	20000	10000
AE			4000	2000
Note: These norms are on the basis of the average area managed by CEs in Munirabad, Belgaum and KERS				
Work Norms for Construction				
Cadre	Cadre Below	Number of posts in cadre below	Rs, In Crore	
CE	SE's	2		144
SE	EE's	3		72
EE	AEE's	3		24
AEE	AE's	4		8
AE				2
Note: This is based on the average expenditure incurred by KBJNL in the last 3 years				

With respect to the construction activities the norms are based on the funds utilization. It may be noted that this includes only the utilization for the actual construction activities and does not include other activities such as rehabilitation, land acquisition etc. At the lowest level of the pyramid, the AE/JE should manage construction activities of the order of Rs. 2 crores. At the top of pyramid, a CE should

be able to utilize fund of the order of Rs. 144 crores. In many places visited by the study team, the officers were able to reach these norms.

It may be noted that, in practice, it may not be possible to subdivide all the works of the department into neat packets of norms as suggested above. There is always certain amount of overlap within construction activities; within O & M activities as well as across construction and O & M. In such a situation, the CE concerned will allot appropriate works to the circles, division and sub-divisions keeping in view the above norms.

In the case of minor irrigation works, the area of operation is spread out and the distances involved can affect the efficient functioning of the officers. Hence, it is suggested that, depending on the spread of the area, the concerned chief engineers may adjust the norms to the extent of 50%. Thus a division should be able to look after water management functions for about 40,000 hectares against 80,000 hectares in the case of major irrigation division. This conclusion implies that an A E is required to manage 2,000 hectares in minor irrigation sub-divisions compared to 4,000 hectares his counterpart will be looking after in major irrigation sub-divisions. This adjustment is suggested keeping in view the fact that area under minor irrigation is only a small fraction of the area under major and medium irrigation.

5.6.1 Manpower requirements for Irrigation Department

Based on the norms developed in Table 5.1, the manpower required for major, medium and minor irrigation activities are shown in Table 5.2. The manpower is calculated on the basis of the work norms discussed earlier in this chapter. It is recommended that the irrigation department should be involved in water management activities only. These include associated minor maintenance works. The manpower requirements are calculated for major and medium irrigation and minor irrigation separately as the norms are different for these activities. An additional 10% is added to account for the administrative and other requirements at various levels.

Table 5.2
Manpower for Water Management activities

Cadre	Major Irrigation	Minor Irrigation	Total	Add (10%)	Working currently in ID	Excess	Excess %
AE	720	160	880	968	1800	832	46
AEE	144	32	176	194	552	358	64
EE	36	8	44	48	115	67	58
SE	12	3	15	17	29	8	41
CE	6	1	7	7	12	5	42
E-i-C			1	1	3	2	67
ALL				1235	2511	1276	51

Note: Calculated on the basis of the norms with 3.2 million ha. of potential created out of which minor irrigation contributes about 0.32 million hectares, given the loss of atchkat due to siltation of tanks etc.

It may be noted that the existing manpower in irrigation department is 2511 of which 36 are working in WALMI and KERS above the level of AE. The actual manpower requirement for water management activities is only 1235. Thus, the excess manpower is to the extent of 51%.

During the discussions with the irrigation department, it was pointed out that the staff of the department is supervising construction activity on behalf of corporations created exclusively for this purpose. In addition, there are a large number of officers from the irrigation department, on deputation to various other organizations, which are not involved in construction of irrigation structures. The manpower required for carrying out all these activities is calculated based on the norms discussed earlier. This indicates the manpower required for all the construction activities that are taken up in the state including the works taken up by KBJNL, KNNL etc. It is estimated that the actual construction activities will be in the order of Rs. 1000 crores per annum. In addition, these organizations are spending large sums of money on rehabilitation and resettlement aspects. The manpower requirements for these activities are given in Table 5.3 below, along with the total manpower of the irrigation department. The total manpower referred in this table pertains to all the persons in the department, which includes those given in Table 5.2 as well as those currently working elsewhere on deputation and those working in other organizations and bodies.

It can be seen from the above table that the excess manpower for all the levels together amounts to about 52%. This excess is after allowing for the staff required for all water management activities, construction activities by all the corporations and other associated activities such R & R. In other words, there is 50% excess manpower in the department in all the scenarios discussed.

It is interesting to note that the excess manpower amounts to only 45%, when all the activities including construction are considered. This is because of the fact that organizations such as KBJNL, KNNL are utilizing the staff of the irrigation department at a very high efficiency level and the above requirements include the needs of these corporations. Since, these corporations are already working at a high efficiency level, the excess manpower in their activities is much lower. As a result, the overall percentage of excess manpower is lower at 45%. It may also be noted that, the existing manpower given in the above table excludes those currently working in CADA.

It is interesting to note that the excess manpower amounts to only 45%, when all the activities including construction are considered. This is because of the fact that organizations such as KBJNL, KNNL are utilizing the staff of the irrigation department at a very high efficiency level and the above requirements include the needs of these corporations. Since, these corporations are already working at a high efficiency level, the excess manpower in their activities is much lower. As a result, the overall percentage of excess manpower is lower at 45%. It may also be noted that, the existing manpower given in the above table excludes those currently working in CADA.

Table 5.3
Total manpower requirements for
Water Management & Construction activities

Cadre	Required for Construction activities	Total required including R & R and Administrative Assistance	Required for ID	Total for ID and Other organizations	Existing Man-power	Excess Man-power	Overall Excess Man-power %
AE	500	600	968	1568	2700	1132	42
AEE	125	150	194	344	807	463	57
EE	42	50	48	98	180	82	45
SE	14	17	17	34	55	21	38
CE	7	8	7	15	23	8	35
EiC	0	0	1	1	3	2	67
ALL	688	825	1235	2060	3768	1708	45

5.6.2 Delegation of power

One of the contributing factors for efficiency in the corporations is the devolution of financial powers as well as authority for sanction of works. It is recommended that once a particular work is approved and budget provision is made, the concerned EE be authorized to carry out the work. He needs to approach the higher authority only if there are either time or cost over runs. The works costing less than Rs.20 lakhs and/or the works that need a time span of less than 10 months should be funded hundred per cent once approval is accorded. For such projects the release of funds should be on par with dedicated funds.

5.7 Skill and Competency Development

There is no structured plan for up gradation of skills in the department. It was also noticed that in the divisions visited by the study team, the funds earmarked for training were not completely utilized. Also, the skill requirements are different at different levels in the department. This being a technical department, there is a crying need for training to keep pace with the latest developments in the technology. Keeping this in mind, the following strategy has been suggested.

- All A and B category staff should be made computer literate and be able to use the computers for day to day functioning
- All EEs and AEEs who are mainly responsible for managing the works should be trained in project management techniques such as PERT/CPM including the use of software such as MS Project.

- Each SE should undergo 4 weeks training on organizational dynamics and human relations. Also, all EEs should be exposed to these training programmes just before they are promoted to SE level
- All CEs should be trained in Human resources management as well as financial management. All SEs should be exposed to these training programmes just before they are due for promotion
- All the non-technical staff at A & B category involved in accounts function should be trained in the appropriate accounting software.
- The chief engineer's office should continuously scan the environment for the latest developments in technology and identify those needed for the department. They should identify the appropriate officers for imparting the training in these technical developments.
- The Secretariat should maintain a database with regard to various training programmes attended by each officer so as to make the best use of the training through appropriate postings.
- The officers of the department, especially the AEEs and EES should be encouraged to identify their own skill development and suitable opportunities be provided to acquire these skills.
- Officers who are interested in higher qualifications should be encouraged through granting study leave, reimbursement of fees etc. In addition, they may be given suitable number of advanced increments after successful completion.

5.8 HR Policy

As mentioned earlier, the technical staff of the department have to spend a large number of years in each cadre. For example, at the junior level the officers have to spend more than 20 years before getting promoted to the next level. The current policy of the government is that promotions are possible only against a vacancy in the next cadre. The promotions are mainly based on seniority and the CRs. Not much recognition or encouragement is given to the efficiency of the officer.

Any HR policy should be such that efficiency is rewarded and opportunities are created for growth in the organization. On the other hand, the growth opportunities should not be taken for granted, else complacency sets in. Another important factor should be to match the skill of the persons with the requirements of the organization. Keeping these factors in mind, the following policy is suggested.

- It is suggested that a system of "merit points" be evolved. The efficiency of the officer results in positive merit points where as the inefficiency attracts negative merit points. Each officer's work is reviewed based on the achievement of his plan, as approved in the budget, within the given time and estimated cost. Whenever there are time or cost over runs, the officer attracts negative merit points. Similarly any saving in terms of time and cost will be rewarded with positive merit points. The very basis for implementing this system will be preparation of a detailed plan of implementation. Even at the stage of approvals, if the file remains at any particular office for more than the stipulated time, the

concerned officer attracts the negative merit points. Obviously, implementing this system will require the department to estimate the time and the cost for each and every activity carried out in the department along with the responsibility. In case, any work cannot be taken up because of the lack of resources, the officer who is responsible for making the resources available will attract the negative points. The merit points will get accumulated in the same pyramidal structure as the organization of the department. In other words, an AEE will receive merit points based on those earned by AEs working under him and also on his own.

- Only those officers who have accumulated more than the average of all the officers of the cadre will be considered. Thus, the merit point system will act as a screening mechanism. Actual promotion should be given through a selection process by a duly constituted committee consisting of experts from within the department as well as outside the department.
- The EIC position as the head the department (secretary) will be filled only by officers who have at least two more years of service in that position. All others may enjoy the personal promotion as EiC, but continue to function as a CE only.
- Another suggestion for the HR policy is that the posting of different persons for different posts should be made based on their experience, training received and additional skills acquired, if any. The creation of the database at the secretariat level is the prerequisite and will help in matching the skill levels to the requirements.

Needless to say, the HR Policy spelt out above cannot be looked at in isolation. It is part of a package, the other part of the package being that a system and organization will be in place which will enable monitoring of performance, assigning of responsibilities etc, on the lines suggested in this chapter. A promotion policy exclusively for irrigation department may also not be feasible in the absence of a similar incentive policy in other government departments. So this has to be a part of an overall governmental HR and promotion policy.

We understand that there is no uniformity in the pay scales of different cadres across different departments. Also, promotional opportunities are not similar across all the government departments. Hence a beginning may be made in this department and after a few years (say 2 to 3 years), the scheme could be modified on the basis of a review and applied to all the departments.

5.9 IT Applications in the Department

At present, there is very little application of IT in the department. The computerization has not reached even the divisional levels, barring a few. Even where computers are provided, the usage is very limited. It is necessary to initiate a well-focused computerization exercise in the department. The most important ingredients of good governance are to achieve equality, transparency and time management. A society has to develop appropriate context before it can adopt a new technology. Many governments lost years in reflexively trying to orient the existing structures and processes within the limits of existing objectives, rather than attempting

a re-engineering exercise to get the maximum benefit out of the technology. The new technology, popularly called as ICT (Information Communication Technology) is a great enabler for leveraging the power of IT by moving files, holding meetings and getting instantaneous feed back etc. It also helps people to voice their concerns directly to the government. In the long run, it is very cost effective. Keeping these aspect in mind, the following suggestions are made with respect to the use of IT in the department.

- Computerization up to the division level is a must for effective use of IT. In addition, all the computers at the divisional, circle and zonal levels should be networked with direct access to the secretariat.
- It is suggested that the department adapt a multi-dimensional database system for creating the departmental data warehouse. The decision makers in the department need to look at the data from different dimensions. For example, the data required could be by the division or circle or zone; it could be for a specific project or work; it could be for a specific officer; it could be for a geographical area; it could be for a particular month or a quarter or a combination of one or more of these. Also, the data requirements could be in terms of physical progress or financial progress. It could also be number of years that an officer has served in a particular cadre or a particular job or acquisition of a particular skill level. When one has to obtain the information in such varied dimensions, the usual databases lack this facility. On the other hand, the multidimensional databases with "On Line Analytical Processing (OLAP)" capabilities easily fit the bill. There are many such multidimensional databases such as Microsoft SQL 2000, are currently available. It is suggested that the department use OLAP capable database structure for computerization. The HR database mentioned earlier will be an integral part of this exercise.

5.10 Conclusions

The project team is of the view that if the policy changes suggested in this report are implemented, it will make the department of Irrigation more vibrant and responsive to the needs of society in providing irrigation facilities at an optimum level.

SUMMARY AND CONCLUSIONS

6.1 Background

Public expenditure has played a pivotal role in Karnataka's development over the years. Both in the provision of social and physical infrastructure, Karnataka's track record has been unexceptionable in size and scope. Private sector investment today is attracted to the state mainly because of public sector investment undertaken in the past.

Public expenditure in irrigation similarly has helped in raising agricultural production and employment in the state. It has also helped in reducing volatility in production.

However, in deciding about these expenditures, efficiency considerations did not figure prominently in the past. Part of the reason being till 1980, Government of Karnataka had a revenue surplus.

Since then, condition of government finances have deteriorated. Revenue expenditure has soared and money available for capital expenditure has shrunk. Today, a stage has come when out of the total borrowings of the government (fiscal deficit) 56 percent is going towards financing revenue deficit and only the balance is left for capital formation, when in a well managed fiscal system, the revenue expenditure should be entirely met from revenue receipts (zero revenue deficit) and the borrowings should be utilized only for capital expenditure which add to growth.

This trend will adversely affect the development of the state, including irrigation unless serious attempts are made to weed out unproductive expenditure and step up productive expenditure.

With the above as the background, the Karnataka Administrative Reforms Commission (KARC) has, entrusted to the Indian Institute of Management, Bangalore a study to carry out a functional review of the Irrigation Department and suggest ways of improving its efficiency.

6.2 Scope of the study

The scope of the work included a detailed analysis of the structure, functions, cadres and manpower at different levels of the main line department i.e. Irrigation department. The linkages of main line department with other statutory bodies such as Krishna Bhagya Jala Nigama Limited (KBJNL), Bangalore and Karnataka Neeravari Nigam Limited (KNNL) were also analyzed towards better functioning of the main line department.

6.3 Key deliverables

Based on the functional review, the key deliverables would contain recommendations on

- Restructuring / reorganization / merger of the sub-departments to improve efficiency and better service
- Rightsizing of the departments and staff with specific reference to cadres and levels in the main line departments.
- Activities that could be outsourced / privatized
- Devolution of powers / finances
- General recommendations to cover and improve systems and work methods for greater accountability and transparency in the functioning

6.4 Methodology

The study was carried out in three stages. First, personal interviews were conducted with the officers as well as staff at the secretariat level. This was supported by focus group discussions wherever feasible and necessary. Finally, a questionnaire was administered to the departmental personnel from the districts identified as well as at headquarters. Simultaneously a sample from the beneficiary population was also interviewed. The study areas / groups included

- (a) the Secretariat,
- (b) Chief Engineers' office and
- (c) Five divisions, namely,
 - KRS division (maintenance, Mysore);
 - Kolar division (minor irrigation);
 - TLBC division (Sindhanur and Raichur);
 - IBC division (Thalki and Bijapur; and
 - IPCD division (Gulbarga).

6.5 Irrigation in Karnataka – organizations involved

The departments primarily concerned with irrigation in the state are –

- (a) Irrigation Department – (i) Major and Medium Irrigation Department and (ii) Minor Irrigation Department.

In addition, the following two departments are involved in the development and use of irrigation facilities.

- (b) Rural Engineering Department, and
- (c) Agriculture Department.

Besides, there are statutory bodies such as

- Karnataka Neeravari Nigama Ltd., Charwar (KNNL)
- Krishna Bhagya Jala Nigama Ltd., Bangalore (KBJNL)
- Jala Samavardhana Yojana Sangha, Bangalore (JSYS)
- Command Area Development Authority i.e. CADA

- Water Resources Development Organization (WRDO)
- Water and Land Management Institute (WALMI), Dharwar and
- Karnataka Engineering Research Station, KRS, Mysore (KERS)

The major activities of the Irrigation Department are:

- Collection of hydrological data for assessment of water resources in the state.
- Planning and harnessing the available water resources.
- Surveys, investigations and project preparation of irrigation, hydroelectric and flood control works.
- Maintenance and operation of completed irrigation projects, and
- Activities connected with design, hydraulic research, model studies and testing of materials and finished items of various components of construction.
- Water management (release of water into canals / distribution etc).

The Secretary, Major Irrigation who is of the rank of Engineer-in-Chief is in charge of Major and Medium Irrigation projects. The Secretary is assisted by 9 Chief engineers, each controlling and administering various major and medium irrigation projects works in a geographical area called a zone. Each Chief Engineer has 2 to 3 Superintending Engineers (SEs) controlling the works at geographical area called circles. Under each SE, there are 2 to 4 divisions. Each division is headed by an Executive Engineer. He, in turn, is assisted by 2 to 4 Assistant Executive Engineers heading Sub-Divisional offices.

In the entire state, the projects under main line major / medium irrigation department is divided into 9 zones, 19 circles, 78 divisions and 297 sub-divisions.

A Secretary of the rank of Engineer-in-Chief heads the minor irrigation department. There are 2 zones each headed. 4 circles, 15 divisions and 91 sub-divisions each headed by a CE, SE, EE and AEE respectively. The total work force associated with irrigation activities are given in the tables below.

Manpower in Mainline Irrigation Departments

Designation	Mainline Irrigation Departments					
	Major/Medium	Minor	WRDO	WALMI	KERS	Total-ID
E I C	1	1	1			3
CE	7	2	1	1	1	12
SE	18	4	5	1	1	29
EE	80	18	11	1	5	115
AEE	375	91	60	2	24	552
AE	1400	330	70			1800
All	2511					

Manpower in Corporations and Total Manpower

Designation	Total-ID	KBJNL	KNNL	CADA	Others	Grand Total
E I C	3	1	1	6		11
CE	12	5	1		5	23
SE	29	11	1	1	14	56
EE	115	48	5		12	180
AEE	552	167	13	7	75	814
AE	1800	900				2700
All	3784					

The mainline department is organized in zones, circles, divisions and sub-divisions. The details are presented below.

Division of Mainline Irrigation Departments

	Main Line		
Zones	9	2	11
Circles	19	4	23
Divisions	78	17	95
Sub-divisions	297	51	348

KNNL is a corporation headed by a managing director. It undertakes some medium Irrigation projects. It draws part of the funds through budgetary grants and part from external agencies. The staff are drawn from the main line irrigation department. They have their establishment at Dharwad. Activities/works of this organization are coordinated at the level of CE and SE by the existing Irrigation department in addition to their normal work. However, KNNL maintains additional establishment at the level of division and subdivision. But, there is no duplication of works.

KBJNL is also a corporation headed by a managing director. It is also undertaking major irrigation projects, however, solely with external funding. It does not get budgetary grants from the state. They are totally dependant on the irrigation department for their technical manpower. They have their own establishment consisting of zones / circles / divisions / subdivisions to carry out their activities. There is no duplication of activity at any level. However, there could be some duplication of establishment at division/sub divisional level, since maintenance is passed on to the main line irrigation department.

WRDO is a component of the Irrigation department and fully funded by the government. It is involved in investigation, planning and preparation of major and medium irrigation projects. It is also involved in advising the government on inter state water related issues. It is also involved in database of the staff and keeps account of the assets of the department/s, both major and minor. WRDO is maintaining its own establishments at circle/ division level. There is a Chief Engineer in addition to Engineer-in-Chief. There is no duplication of establishment or work with main line department.

6.6 Issues in the functioning of Irrigation Department

The major issues that are addressed in the functioning of the department and suggestions/ recommendations are brought out in the report

- Decision making process
- Devolution of authority
- Funds flow (problem of LOCs)
- Transfer policy
- Training and skill development
- IT penetration
- Right sizing of the staff

6.7 Functional review –

Questionnaire Analysis and Discussions : Officers

In all, about 300 questionnaires were distributed, and 132 consisting of 2 CE / SEs, 35 EE / AEEs, 65 AEs and 31 others (IAS officers, accounts officers and those working in non-technical functions) were received. The responses from questionnaires (Table 3.1) are presented for four groups:

- (a) CE / SE, mostly involved in administrative functions,
 - (b) EE / AEE, involved with core technical functions,
 - (c) AE, involved in field level implementation work and
 - (d) "Others" providing support functions to the department.
- Two-thirds of the technical staff felt that the existing manpower was inadequate. Only one-third of the "other" staff, however, felt so. Three-fourth of the technical staff did not think downsizing was possible. Almost an equal proportion of "others" also opined on similar lines. There was almost a consensus that the shortage of field level implementation staff was being felt most.
 - However, more than half of the officers were in favour of outsourcing. The suggestion to outsource was particularly strong among EEs and AEEs. The possible areas for outsourcing included quality control, survey and investigation, management of department guest houses and legal matters.

- Outsourcing could, however, serve the twin objective of reducing inefficiency and downsizing, if necessary. Survey equipments that the department currently has are technically obsolete; outsourcing can improve service quality. Similarly, almost all felt that the maintenance of guesthouses could be and should be outsourced. Finally, the amount of time officers spend on legal matters could be avoided if legal services were outsourced. An important point that came out of the discussions was that outsourcing technical services like quality control, survey, investigation should proceed with caution. Large scale outsourcing must first, ensure that there was enough private sector competency to handle the task and second, the department people had enough training to supervise and regulate the works.
- An overwhelming number of officers (close to 75%) did not feel there was duplication of work by other agencies.
- Almost half the officers were spending less than 75 per cent of their time in work inside the department. The remaining time was spent in activities such as coordinating with other departments, dealing with public bodies and public at large.
- CEs and SEs handled more than 20 files a day, EEs, AEEs 12 files a day and JEs 7 files a day on the average. "Others" handled 16 files a day on average.
- During the discussions, the officers indicated that there was no clear HR policy followed in the department for career path development as well as for up gradation of skills of the technical staff.
- Many of the A Es and A E Es also suggested that water management activity should be handed over to the Agricultural department in order to achieve better synchronization between cropping pattern and water release. Again, decentralized decision-making was suggested by many to minimize delays, particularly in case of schemes, which already have the approval of higher authorities and for which a budget allocation has already been made.
- Most of the respondents were in favour of decentralized decision-making, to complete the work within the budgeted amount and the given time frame. At present there were too many procedural delays leading to time and cost overruns. Interestingly, the data provided by the respondents showed that if procedural delays were avoided, the department could reach the same level of efficiency of any Corporation.

6.8 Function review –

Questionnaire analysis and discussions : beneficiaries

Majority of the villagers (more than 80 percent) were aware of the important role being played by the irrigation department. For example, the fact that Soudi opens and closes the head sluice under instructions from irrigation engineers and the work inspector, that he opens and closes the outlets in some order and ensures the distribution of water and finally, that the irrigation department is looking after the distribution of main channel, operation and maintenance of the system and desilting.

- The more serious negative comments about the irrigation department, however, related not to lack of procedures but to failure of water release system. The general feeling was that irrigation was not performing anywhere near its potential. Many interrelated reasons could be traced from the opinion of the respondents as to why irrigation investment had failed to reap its intended benefits. First set of problems cited were technical. For example, substandard construction; under-investment in infrastructure eg. Lack of drainage, insufficient control structures; poor canal management and organization; - tardy financial allocation for operation and maintenance and inadequate water management. Therefore, the beneficiaries, almost all, complained about seepage losses, outmoded works, leakages, silting of tank beds and canal systems and similar problems which had resulted in a wide gap between potential and realized benefits.
- The respondents cited many reasons for the above problems. The largest number (more than 70%) felt that failure to take action against violators was because of the political clout enjoyed by them, which deterred irrigation department officials to do the needful. The others felt that these things go on because there were not enough officials (Saudis and Inspectors) to oversee the implementation phase. Whatever the reason, there is a lack of discipline in the use of water.
- Farmers also felt that farmers organization could not work in the absence of an efficient micro network and second, farmers' organization could not function if there was lack of discipline. Respondents under minor irrigation systems were emphatic that they would go in for farmers' organization if micro networks were in place. Farmers under major irrigation systems were, however, not so enthusiastic because they felt that lack of discipline was far too deeply entrenched in the present set up.

Clearly, a common theme ran through the beneficiaries' responses. That is, the problem was at the stage of water release. And, it was both a technical and a governance problem. Interestingly, the respondents also seemed to have the right solutions. Majority of them said that the O & M budget had to be stepped up and more staff deployed for the water release function. Also, a few of them felt that the only way to improve water management and ensure an equitable distribution of water was to set up a canal protection force on the lines of Railway Protection Force. Only a body like that could ensure that violators were properly dealt with and such things did not recur.

They also expected the irrigation department to maintain the canal system and the structures so that water losses were minimized. In addition, it was expected that, during the years when the water availability was not sufficient for the entire atchkat, the irrigation department should reduce the area under irrigation, giving appropriate warning, by closing some of the distributaries.

In summary, the beneficiaries' survey showed that while there was a need for government initiative in irrigation development, a lot more attention needed to be paid at the operational stage, if the full benefits from irrigation were to be realized.

6.9 Major changes suggested for functional efficiency

The major change suggested is a merger of minor, medium and major irrigation departments, which may be named Water Resource Department (WRD). Also, the department will now look after only Operation & Maintenance (O&M) work. Otherwise, in general, the department will continue to have the same structure as at present with Irrigation Secretary at the helm. The downward structure into zones, circles, divisions and sub-divisions will also continue (However, the strength of staff at each level will be based on a set of norms to be spelt out later in the report). Two new positions, both non-technical are suggested in the reorganization. One position is of Senior Financial Officer (SFO) to ensure that budgeted funds reach each division on time so that execution of work does not suffer on this account. A second position is that of Senior Administrative Officer (SAO) who will maintain a data base, asset register, and other relevant statistics, project-wise.

The important functions of the secretariat are given below:

- Preparation of a perspective plan for development of water resources clearly stating the time schedule for implementation and resource requirements. The plan will also explore alternative modes of financing, besides budgetary support.
- Budget preparation for the entire department
- Overall planning and budget allocation to various zones/CEs.
- Budgetary allocation to different projects, distribution among CEs working in the same project
- Setting up of a coordination committee consisting of CEs and holding meetings every quarter, to review status of activities and suggesting corrective measures
- Liaison with the government for the release of the funds on quarterly basis
- Delegation of authority to CEs and other officers for effective functioning and coordination with other agencies including statutory bodies and departments
- Creation and maintenance of a database of all the employees of the organization detailing, among with other things, the skill levels needed and developed, so as to find the right match between the job requirements and the skills at each level.
- Maintaining an asset register for the entire department
- Maintenance of project-wise statistics, including, maintenance of project wise accounts, by component wise, for example, by salary, TA and DA, vehicle expenses, office maintenance, materials etc. In other words, the secretariat will have to apportion the salary and other administrative expenses, project wise.
- Development of PERT charts for each and every work costing more than Rs. 10 lakh and identification of important milestones.

- Rating of the circles, divisions and sub-divisions based on a merit point system.
- One secretary (Engineer in Chief) for the entire reconstituted water resources department including major, medium and minor irrigation
- One joint secretary (Chief Engineer) to look after the functions of quality assurance and liaison with other autonomous organizations/bodies dealing with water resources. He will be assisted by two deputy secretaries, one for dealing with quality assurance and the other for coordinating with other autonomous organizations/bodies
- One deputy secretary to look after the activities of minor irrigation and ground water cell.
- Two non-technical officers of the rank of deputy secretary, one Senior Administrative Officer and one Senior Finance Officer, assisting the E-i-C. Their main functions have already been elaborated in the earlier section of this chapter.
- The existing staffing norms below these positions will continue as per the existing practice.
- The work norms for O & M activities for major irrigation, minor irrigation as well as for construction activities are presented in the table below. Separate norms for minor irrigation are given considering the spread out nature of the atchkat under tanks.

Work Norms for Operations and maintenance				
Cadre	Cadre Below	Number of posts in cadre below	Major	Minor
			Area in Ha.	Area in Ha.
CE	SE's	2	480000	240000
SE	EE's	3	240000	120000
EE	AEE's	4	80000	40000
AEE	AE's	5	20000	10000
AE			4000	2000

Note: These norms are on the basis of the average area managed by CEs in Munirabad, Belgaum and KERS

Work Norms for Construction			
Cadre	Cadre Below	Number of posts in cadre below	Rs. In Crore
CE	SE's	2	144
SE	EE's	3	72
EE	AEE's	3	24
AEE	AE's	4	8
AE			2

Note: This is based on the average expenditure incurred by KBJNL in the last 3 years

- Based on the above work norms, the existing staff in the irrigation department (reconstituted Water Resources Department) requires a total of 1235 officers in technical cadre. Currently, there are 2511 technical staff working in the department. Thus, the excess staff amounts to 51%. This is with respect to O & M activities only.
- There are at present a total of 3768 technical officers working in the irrigation activity comprising of the staff in the irrigation department and staff deputed to various other organizations involved in irrigation functions. Some of these are involved in construction activities carried out by other autonomous organizations (KBJNL, KNNL etc.) Taking into account the construction activities by different agencies, and O & M work by the department, the total technical staff required is 2060. Thus the excess manpower works out to 45%.
- Four major areas of outsourcing are suggested by the study team. These are (i) Survey & Investigation, (ii) Quality Control, (iii), maintenance and up keeping of guest houses and (iv) outsourcing of vehicles on the lines of POWERGRID or some other public sector undertakings. Outsourcing may have to be effected in phases o facilitate a smooth transition.
- In the light of our findings that delays are too long in the department compared to corporations, it is suggested that procedures may be simplified through delegation and decentralization. This assumes importance because of our observation that, given the appropriate funds flow and right procedures, the department can perform as efficiently as the corporations.
- All A and B category staff should be made computer literate and be able to use the computers for day to day functioning
- All EEs and AEEs who are mainly responsible for managing the works should be trained in project management techniques such as PERT/CPM including the use of software such as MS Project.
- Each SE should undergo 4 weeks training on organizational dynamics and human relations. Also, all EEs should be exposed to these training programmes just before they are promoted to SE level

- All CEs should be trained in Human resources management as well as financial management. All SEs should be exposed to these training programmes just before they are due for promotion
- All the non-technical staff at A & B category involved in accounts function should be trained in the appropriate accounting software.

As mentioned earlier, the technical staff of the department have to spend a large number of years in each cadre. For example, at the junior level the officers have to spend more than 20 years before getting promoted to the next level. The current policy of the government is that promotions are possible only against a vacancy in the next cadre. The promotions are mainly based on seniority and the CRs. Not much recognition or encouragement is given to the efficiency of the officer.

Any HR policy should be such that efficiency is rewarded and opportunities are created for growth in the organization. On the other hand, the growth opportunities should not be taken for granted, else complacency sets in. Another important factor should be to match the skill of the persons with the requirements of the organization.

Computerization up to the division level is a must for effective use of IT. In addition, all the computers at the divisional, circle and zonal levels should be networked with direct access to the secretariat.

It is suggested that the department look for a multi-dimensional database system for creating the departmental data warehouse. The decision makers in the department need to look at the data from different dimensions. For example, the data required could be by the division or circle or zone; it could be for a specific project or work; it could be for a specific officer; it could be for a geographical area; it could be for a particular month or a quarter or a combination of one or more of these. Also, the data requirements could be in terms of physical progress or financial progress. It could also be number of years that an officer has served in a particular cadre or a particular job or acquisition of a particular skill level. When one has to obtain the information in such varied dimensions, the usual databases lack this facility. On the other hand, the multidimensional databases with "On Line Analytical Processing (OLAP)" capabilities easily fit the bill. There are many such multidimensional databases such as Microsoft SQL 2000, are currently available. It is suggested that the department use OLAP capable database structure for computerization. The HR database mentioned earlier will be an integral part of this exercise.

The project team is of the view that if the policy changes suggested in this report are implemented, it will make the department of Irrigation more vibrant and responsive to the needs of society in providing irrigation facilities at an optimum level.

DEPARTMENT OF LABOUR

Acknowledgements

Studies and reviews, seminar and workshops are always considered as a part of academic pursuits. The Academic and professional institutes have naturally become resource centres for any such Governmental efforts. However, KARC departed from this trend and entrusted functional review of two departments to an in-house team of officers. We, the members of the said in-house team, therefore, extend our grateful thanks to Sri. Haranahalli Ramaswamy, Chairman, and other Members of the Commission for the confidence reposed in us.

The experience gained over the years and exposure to the functioning of various departments helped us establish rapport with the officers and staff of the departments concerned almost instantaneously. This gave us an insight into the strengths and weaknesses of these organisations adding a new dimension to the functional review.

We acknowledge the help and support extended by the officers and staff of the departments of Labour, Factories and Boilers, Employment and Training, E.S.I (Medical Services).

We are extremely grateful to Smt. Latha Krishna Rao, I.A.S., Secretary, K.A.R.C., for her unstinted support and guidance, which helped us to successfully accomplish the task.

This experience has given us confidence that with proper support and guidance, government officials can successfully undertake such assignments and complete them.

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INTRODUCTION

1. The Karnataka Administrative Reforms Commission took up in-house Functional Review of the Department of Labour including the implementation of schemes and enforcement of Central and State enactments.

1.2 A team of officers of the KARC was entrusted with the task of conducting Functional Review of Labour Department.

1.3. Methodology:

I) Collection of Information

- Collection of Information on the departmental objectives, structure, programmes, activities, and achievements from published data, field visits and focus group interactions.

1.4 Scope:

- Review of structure and functions
- Understanding of existing Organisational Structure;
- Understanding of functions and schemes;
- Review of the tasks required to be performed for implementation of programmes;
- Review of the tasks involved in enforcement of enactments;
- Review of procedures to bring in transparency and accountability;
- Delegation of Powers and exercise of delegated powers;
- Training needs;

1.5. The Karnataka Administrative Reforms Commission Teams conducted the field visits from last week of May 2001 to July 2001. Districts and Talukas selected by KARC for the functional review of the Department were the same as given to the other agencies.

DISTRICTS:	TALUKS:
Gulbarga	Yadgir Shorapur Gulbarga
Uttara Kannada	Haliyal Karwar Bhatkal
Bijapur	Sindagi Muddebihal Bijapur
Kolar	Kolar Mulbagilu Bagepalli
Chamarajnagar	Chamarajnagar Gundlupete Kollegal

1.6 The team also visited the Commissionerate Labour and Chief Inspectorate of Factories and Boilers on 22nd July 2001, Directorate of E.S.I (Medical Services) on 25th July 2001, Directorate of Employment and Training on 26th July 2001 and held detailed discussions with the officers.

1.7 Specific views and opinions of officers and staff, both at the State level and at the district level and downwards were taken in the questionnaires. General as well as department specific Questionnaires had been evolved. A separate Questionnaire was given to all the officers of the Department, except the Head of the Department for obtaining their individual opinions.

1.8. Departmental Officers at the district level were kept informed in advance about the team visit and most officers and staff were present.

1.9 Interactions were held with the departmental officers and Deputy Commissioners.

1.10. The functioning of the Departments of Labour, Factories and Boilers, Employment and Training, E.S.I (Medical Services) responsiveness of employees to stake holders, quality and effectiveness of service delivery/enforcement machinery are the areas, which were covered during the review.

1.11. While the above is an account of our first impressions of the working of the field departments Labour, full chapters would examine in detail the genesis of the departments their organisational structures, roles and functions of the staff, effectiveness of the departments at the field level and finally conclude with recommendations on restructuring of the departments to bring in greater efficiency and accountability.

DEPARTMENT OF LABOUR

1. The Minister for Labour heads the Department of Labour at the Government level. A Principal Secretary assists the Minister in the administration and management of the Department. The Secretariat mainly focuses on policy making and handling of personnel matters of the Group-A and B Officers of the Field Departments. The structure of the Secretariat is placed in Annexure-1.

2. There are four Field Departments coming under the Administrative Control of the Department of Labour. They are:

1. Commissionerate of Labour,
2. Directorate of Employment and Training,
3. Directorate of Employees State Insurance (Medical Services),
4. Chief Inspectorate of Factories and Boilers.

The Organisational Chart is placed in Annexure-2.

3. The main focus of Labour Legislations has been on the Welfare of the Labour and maintenance of Industrial Peace in the Country. Many of these Labour Legislations date back to the pre-Independence period and their relevance in the global, liberalized economy has been a source of constant debate. Therefore, the Karnataka Administrative Reforms Commission has constituted an in-house team of officers to conduct the functional review of the Department of Labour.

HISTORY OF THE DEPARTMENT

1. During the 19th Century, Agriculture was still a predominant economic activity in India. The vast population was dependent on Agriculture. The landless labourers and others were absorbed in cottage industries and rearing of Animals. Large-scale industries in India could not grow up for a long time due to the Industrial Policy of British Empire, which favoured the British Industries. India was a source of raw materials and market for British finished goods. However, in spite of the non-cooperation of the then Government several enterprising industrialists established Iron and Steel, Cotton Textile, Jute and Plantation Industries.

2. An important feature of Industrialisation at that time was the availability of cheap, helpless, and submissive labour, used to long hours of toil and a very low standard of life. The policy of the then Government was to protect the system from workers, rather than to protect the workers from exploitative employers.

3. The experience of the World War-I changed the policy of the Government. The policy of State intervention in industrial matters was adopted. The establishment of International Labour Organisation in 1920 gave a great fillip to Labour Legislation in India, laying down Industrial Standards for the improvement in the working conditions of labour.

4. After 1920, Labour Legislation took deep roots in India. The Factories Act was passed in 1922; the workmen's Compensation Act in 1923, the Indian Trade Unions Act in 1926, the payment of Wages Act was passed in 1936.

Commissionerate of Labour

5. The Commissioner for Labour, a Super Time Scale IAS Officer is the Head of the Department. He is assisted by 1 Addl.Labour Commissioner, 2 Joint Labour Commissioners, 1 Deputy Labour Commissioner, 1 Labour Officer exclusively for Child Cell and 1 Administrative Officer, 3 Headquarters Assistants and Technical Officers. The Department has a sanctioned strength of 874 posts and working strength of 702 posts. All the officers in the Head Office report to the Commissioner of Labour through the Addl.Labour Commissioner.

Staff Strength of Commissionerate:

Category	Sanctioned	Working	Vacant
Group A	7	6	1
Group B	5	5	-
Group C	73	59	14
Group D	28	24	4
Total	113	94	19

Staff Strength of Department:

Category	Sanctioned	Working	Vacant
Group A	24	23	1
Group B	43	43	-
Group C	499	367	14
Group D	308	269	39
Total	874	702	172

6. The department has 5 levels of enforcement authorities starting from the Commissionerate at the State level to Senior Inspector or Inspector at the circle (Taluk level). Labour officer is at the District level. There are two more layers of officers above the District level. I.e. (1) Deputy Labour Commissioner at Divisions and (2) Assistant Labour Commissioners in-charge of two or three districts. These officers have both Territorial and Functional jurisdictions. Many of the enforcement functions, which could have been enforced by District and Taluk level functionaries, have been allocated to these officers.

Job Roles of various Authorities

Additional Labour Commissioner (ADLC):

7. There is one post of Additional Labour Commissioner in the Commissionerate of Labour Department. All the Joint Labour Commissioners, Deputy Labour Commissioners, and other officers report to the Additional Labour Commissioner. He is the Conciliation Officer under Industrial Disputes Act, 1947. He has also been declared as Inspector/Additional Inspector under various Acts. On perusal of the work chart provided by the Department, the Addl Labour Commissioner is only an additional level of administration in the Commissionerate except in cases of routine administrative matters.

Joint Labour Commissioner (JLC):

8. There are two posts of Joint Labour Commissioners and both are filled up. Both the officers are attached to the Commissionerate and are working as staff officers. They too are declared as State Conciliation Officers under the Industrial Disputes (ID) Act. One of the Joint Labour Commissioners is incharge of Minimum Wages Board and all matters pertaining to Minimum Wages and Labour Laws. The other JLC is incharge of all matters pertaining to Industrial Relations.

Deputy Labour Commissioner (DLC):

9. There are 7 posts of Deputy Labour Commissioners in the Department. 5 of them are working outside the Commissionerate, as Divisional Officers. One of the Deputy Labour Commissioners in the Commissionerate is incharge of Publicity and Statistics Section ensuring proper collection and compilation of statistical data under Labour Laws. He is also incharge of the Housing Scheme for Beedi Workers. The other Deputy Labour Commissioner attached to the Commissionerate is functioning as Secretary of Karnataka State Minimum Wages Advisory Board.

10. The Deputy Labour Commissioner working at the Division Level, are Certifying Officers under Industrial Employment Standing Order Act and they are also the Appellate Authority under Contract Labour Act, IMW Act and Gratuity Act. Two of these Deputy Labour Commissioners are incharge of Region-I and Region-II and are located in Bangalore. The other 3 Deputy Labour Commissioners are located in Hassan, Belgaum and Gulbarga Division.

Assistant Labour Commissioner (ALC):

11. There are 13 posts of Assistant Labour Commissioners in the department and 11 of them are working in sub-divisions. Assistant Labour Commissioners are also called as Sub-Divisional Officers. They are incharge of 2 or 3 districts. They are the Conciliation Authority under ID Act and are the Licensing/Registering Officers under Contract Labour and IMW Act. They are also the Controlling Authority under Gratuity Act and also Appellate Authority under Maternity Benefit Act.

Labour Officer (LO):

12. Labour Officers are incharge of district and they are notified as Commissioners under Workmen Compensation Act. Labour Officer functions as a Claim Authority under

Minimum Wages Act and Conciliation Officer under ID Act, besides being an Inspector under 14 other Labour Laws. There are 39 posts of Labour Officers in the department.

Senior Labour Inspector (SLI):

13. Senior Labour Inspectors are mainly functioning in circles within Corporation Area and are Conciliation Officers under I.D.Act for establishments employing up to 20 workers only. They are also the Registering Authority under Karnataka State Commercial Establishments (KSCE) Act, 1961. Besides being the Inspector under 11 other Labour Laws. There are 63 posts of Senior Labour Inspectors in the department.

Labour Inspector (LI):

14. There are 164 posts of Labour Inspectors and are posted to each taluka known as circles. They are the Registering Authority under KSCE Act and also the Inspectors under 9 Labour Laws.

- Deputy Labour Commissioner is registrar under the Trade Unions Act, 1926. The registration is mostly an administrative matter and hence can be dealt by the Labour Officer at the district level. In case of disputes, the matter can be referred to the Deputy Labour Commissioner incharge of Labour Laws at the Commissionerate.
- Deputy Labour Commissioner is the only Certify Officer under Industrial Employment (Standing Orders) Act, 1946. It has been proposed for exempting the industries from the provisions of certification of Model Standing Orders under Section 5(1) to (3), in the Karnataka Industries (Simplification of Procedures & Reduction of Records) Bill. Therefore, once the self-certification is brought into force the responsibility will be reduced to a greater extent under the act.
- The Deputy Labour Commissioner's functioning in the Head Office can exercise the appellate powers under the other acts granted to jurisdictional Deputy Labour Commissioners.
- The administrative guidelines issued on 9.6.1999 have already reduced the number of inspections to be done by the Deputy Labour Commissioners. Therefore, there will not be any vacuum created at the divisional level by abolishing the posts of Deputy Labour Commissioners at the field level.
- It is the same case with Assistant Labour Commissioners working in sub-divisions. Their responsibilities can be delegated in the officers at the district level and these sub-divisional level establishments can be abolished.

Field Visits

15. During the field visits, the Questionnaires were administered to the Officers/ Officials of the Labour Department at Taluk, District, and Division level and also at the Head Office in Bangalore.

1.	Additional Labour Commissioner	01
2.	Joint Labour Commissioner	02
3.	Deputy Labour Commissioners	02
4.	Assistant Labour Commissioners	03
5.	Labour Officer	05
6.	Labour Officer (Child Cell)	01
7.	Senior Labour Inspectors/Labour Inspectors	15
8.	Ministerial Staff	37
	TOTAL:	66

Main Functions of the Department:

16. The main function of the Labour Department is to enforce Labour Laws to ensure labour Welfare and to ensure Industrial peace and harmony without compromising on social justice.

LABOUR LAWS

17. The Department enforces 23 Labour Laws. 3 of these are State Laws and other 20 are Central Laws.

18. The department enforces 3 Central Enactments pertaining to the Industrial Relations; 8 Central enactments and 2 State enactments are enforced for ensuring the Health safety and welfare of the employees in different kinds of establishments. It enforces 4 enactments dealing with the wages and remunerations of the employees. The social security of labourers is ensured by the enforcement of 3 enactments. The other 2 Laws pertain to Karnataka Labour Welfare Fund and Exemption from furnishing of Returns and Registers from certain establishments. Six of these enactments are of pre-independence origin and six other laws are in force for more than 25 years. A brief note on each of the Acts being enforced is given in the Annexure-III.

19. Most of the labour laws being enforced in the State are enacted by the Government of India, excepting Shops and Establishments Act. These date back to the pre-independence period and have lost some of their relevance today. The need to reform and modify several provisions of the Acts has been recognised by the Government of India and the recent announcement by the Union Minister for Finance to amend Contract Labour Abolition Act is one such example.

20. In the present Liberalised economy with borders shrinking, there has been a constant debate on why should Government regulate the labour and the industry through labour laws, why should this not be left to the market forces. The primary reason why the Government has the stake in regulating the labour force through the labour laws is that the workers are not commodities, they are human beings and generally they are the weaker parties in the employer-employee relationship. This is especially so in the case of the un-organised sector. The laws, therefore, are meant to protect the labour force and are widely in the news both in the developed and developing countries but has varying degrees of differences in the nature of laws. There has also been rampant misuse of laws on several occasions holding entire industry for the ransom.

21. However, Indian labour laws have higher degree of inflexibility that in a market economy affects the hiring decision of the employer. The labour laws also provide for security of employment, which reduce the flexibility of the employers to adjust the labour force as and when required. Therefore, rigidity and archaic nature of laws force employers to naturally move away from major labour intensive activities and move towards a capital-intensive machinery as this would help the employer reduce his dependency on the work force. There have been no studies done in the country on the impact of such rigid labour laws on the economy of the country or of any State. Yet in general terms it can be stated that for those industry / products where there is no competition from abroad or which enjoy monopoly such an industry can afford to work in a situation with inflexible labour laws. But when there is a competition in the market then the inflexible laws have certain negative impact on the industries and also on labour force. The example in this case is that of the Readymade Garments industry which India had occupied primacy at one time. Today the international market is in the hands of China and Bangla Desh who have outpaced India in this sector. But definitely, it is inflexible labour laws, which are major cause of India being unable to be a market competitor either to China or to Bangla Desh. Such laws do not also help in enhancing labour productivity.

22. The labour laws are placed among Concurrent List of the Constitution and both the State and the Government of India legislate on these laws. As a result, there is multiplicity of statutes. There are 47 labour related statutes of the Government of India and several of the State Government. In Karnataka 20 central laws and 3 state laws having direct bearing on Labour are being enforced by the Labour Department. There is, therefore, a pressing need for simplification of these laws on par with current international practices. The problem of these laws is also the lengthy legal proceedings where one has to traverse through labour courts, industrial tribunals, High Courts and Supreme Court to be able to get a final decision in the matter. The enforcement machinery of the State Government has also not earned in praise either from the employers or from the workers. The employers complain with much substance that the enforcement machinery has generally served to harass the employer more while the workers complain that the enforcement machinery has not been efficient in the enforcement of labour laws. There is also the issue of political sensitivity to do any thing with anti-labour policies.

Deregulation

23. As already pointed out the Indian Labour Laws date back to Pre-Independence period. The State mediates between the employer and the employee in most of the disputes to protect the rights of the labour. There has been a demand for a comprehensive review of all the labour laws to bring them in line with contemporary economic reality and current international practice. At times the problem is not with the law itself but with the lengthy legal proceedings and the associated "harassment".

24. The Karnataka Government has taken the initiative to deregulate the business environment in the State through the proposed Comprehensive Karnataka Industries Promotion (Simplification of Procedure and Documentation) Bill 2001. The Government proposes to introduce the element of self-certification by the companies instead of clearances from various authorities under various laws in force. Even though the bill is meant for creating a suitable environment for rapid industrialization and for facilitating overseas investment, many of the provisions have a bearing on the Labour Laws.

25. The Bill has proposed for rationalization of inspections. There are several authorities enforcing various enactments and this has resulted in multiple inspections. The inspections are proposed to be undertaken only once in a year with prior intimation to the industry and in co-ordination with other enforcing authorities. Arguments are also advanced for conducting surprise inspections to enforce the provisions of the Minimum Wages, Child Labour and Contract Labour Act.

26. The main provisions of the proposed bill, which have direct bearing on the labour laws, are discussed in the following paragraphs:

27. Karnataka Industrial (Simplification of Procedure and Reduction of Records) Bill proposes to reduce the multiplicity of application forms to be filed by an entrepreneur. It is proposed to introduce a Combined Application Form (CAF) for obtaining approval/clearances. Industries have been divided into two categories: (a) Restricted list of dangerous / hazardous industries and (b) All other industries.

28. The bill also proposes to introduce a simplified and rationalized combined return to avoid multiplicity of returns. With a view to minimize the inspection by various authorities of different departments, the bill proposes to enforce regulation through a random annual joint inspections as far as possible with due notice. Separate inspections to be conducted only on the basis of complaints.

29. At present, separate Attendance and Payment Registers are required to be maintained under the Factories Act, Contract Labour Act, Minimum Wages Act, Payment of Wages Act, Payment of Gratuity Act, ESI and PF Act. To maintain different attendance registers to serve the requirement of each Act is a time consuming and wasteful exercise. Therefore, it has been proposed to maintain a Combined Attendance-cum-Payment register incorporating the essential requirement of applicable Acts.

30. The thirteen different registers required to be maintained under the Karnataka Factories Rules, 1969 will be replaced by 3 combined registers.

31. Separate Annual Returns, Eight in number, are required to be sent to the Labour Department under different Acts. Since all the Returns are handled by the Labour Department, it is proposed to combine these returns into one annual Return.

32. After interaction with the stakeholders, the following simplifications/ modifications are proposed, which are within the powers vested in the State Government under the relevant Acts/Rules.

33. At present industries employing 100 or more persons are required to constitute a works committee on a notification by the State Government under Chapter II Section 3(i) and (2) of ID Act 1947, providing equal representation to the workmen and in consultation with the union. The duties of the works committee are to promote measures for securing and preserving amity and good relations between employer and workmen and to comment on matters of common interest. The functioning of the works committees are found to be ineffective due to clash of interests between officials of unions and members of the work committee. Therefore it is proposed to defer the notification of constitution of works committee until the relevant provisions are amended by the Central Government.

Conciliation:

34. Under Section 4(1) of Chapter II of Industrial Disputes Act, 1947 the State Government, may, by notification in the official gazette appoint persons as it thinks fit to be the conciliation officers to mediate and to promote settlement of industrial disputes.

35. At present only officials working in the Labour Department are appointed as conciliation officers. It is opined that the HRD/HRM persons have practical experience of handling industrial disputes understanding the problems of both management and employees and it would be better served by appointing these professionals. Therefore, a panel of officers drawn from the field of HRD/HRM, Trade Unions, and Legal Practitioners in Labour Laws is proposed to be prepared with the same duties and powers of departmental conciliation officers. Such professionals will play an effective role in helping the parties to solve their disputes without loss of time. Section 4(2) of Chapter II of Industrial Disputes Act, 1947 provides scope for appointment of such experts.

36. Industrial Employment Standing Orders: Under Section 3(1) of Industrial Employment (Standing Orders) Act, 1946, an employer employing 50 or more persons is required to submit Draft Standing Orders (DSO) within six months of employing 50 persons to the Deputy Labour Commissioner for certification and adoption.

37. The Certification of the order by the department takes a long period. The draft standing orders can be framed only on matters provided in the Schedule to the Act. The subject matters in the schedule are limited and have not been changed to the requirements of the present day. The employer is required to follow the Model Standing Orders (MSO) in the interim period of certification. It is proposed that provision of certification of DSO may be repealed and MSO may be updated and strictly be followed.

38. **Crèche:** At present under section 48(1) of the Factories Act, 1948, providing a crèche is compulsory where more than 30 women workers are employed. Since the employer, may find it difficult to get properly qualified and experienced persons to manage the crèche, they have proposed to allow NGOs/private Organisations to manage the crèche, at the cost of employer(s). The State Government under section 48(3) may permit such arrangement.

Rationalisation of Inspections:

39. It is proposed that the number and periodicity of inspections done by various departments/agencies be rationalized. Under the provisions of various Acts, different authorities are created and it is common to find almost all such authorities keep visiting industries in the name of inspection, which has become counter-productive. In order to allow the entrepreneurs to concentrate more on their chosen business, it is suggested, henceforth, industries maybe subjected to one combined annual inspection by the Labour Department. This annual inspection will be carried out jointly along with the IFB & KSPCB. The selection of industries for inspection shall be on a random basis. A random number sampling generated through a computer – database shall constitute the annual programme of inspections and shall be notified to the industries concerned, in advance. All other departmental inspections will be restricted to only specific complaints Self-certification of compliance filed by the entrepreneur may be accepted.

40. The Department of Parliamentary Affairs and Legislation is processing the proposal in the form of a bill. Both the departments of Industries & Commerce and Labour are working towards effecting the changes to relevant rules and draft notifications are being processed by Department of Law.

40.1 Amendments to Karnataka Factories Rules, 1969 have been proposed to provide for Simplified Register of fines, deductions for damages or loss and advances; Muster Roll cum Register of Wages and a Combined Annual Return.

40.2 Amendments to Karnataka Maternity Benefit Rules 1966 to provide for a Combined Annual Return.

40.3 Amendments to Karnataka Factories Rules, 1969 to provide for (A) Combined Application Form in respect of industrial undertakings whose projects are approved by State High Level Clearance Committee or State High Level Single Window Clearance Committee or District Level Single Window Clearance Committee; (B) Exempt the factories from maintenance of crèche where it is reasonably not practicable; (C) A Combined Register of O.T. working & payment; (D) Combined Annual Return in form 2D; (E) A Muster Roll cum Register of Wages/Salary.

40.4 Amendments have been proposed to KSCE rules to provide for Combined Application Form for registration.

40.5 It is proposed to amend (1) Sub Rule 4 of Rule 22 and Sub Rule (2) of Rule 28 of Karnataka Minimum Wages Rules, 1958.

40.6 It is proposed to amend Rule 78(1)(D) and Rule 82(2) of Karnataka Contract Labour (Regulation and Abolition) Rules, 1974.

41. The inflexibility of Labour laws has not only affected the industrialization efforts but also has affected the labour productivity. The industrialists would rather prefer a capital-intensive technology than dealing with the militancy of labour or rigidly of labour laws. This in turn has affected the growth in employment potential.

42. Therefore all the proposed amendments have to be brought into force irrespective of the fate of the proposed Karnataka Industries (Facilitation) Bill.

43. In regard to the limiting of inspections to avoid harassment to the employer, the Department has already issued an Administrative Guidelines vide Circular No.LGN/CR 22/98-99 dated 9.6.1999. The Administrative Guidelines had categorized the Industries, Plantations, and Shops and Establishments depending up on the number of employees. This is a measure to avoid overlapping of jurisdiction and multiple inspections by different authorities on the same subject. The guideline requires that the annual programme of inspections should be drawn through a random selection procedure. The units so identified for inspection has to be given a 15 days advance notice and the inspection team has to look into all acts of commissions and omissions and compliance under various Labour Laws.

44. The Administrative Guidelines provide for surprise inspections for enforcement of Child Labour Act, Minimum Wages Act and Contract Labour Act. All surprise inspections however should be carried out with prior intimation to the next superior officer. The Administrative Guidelines have also directed that the renewal of license under the Shops and Commercial Establishments Act, 1961 should be done for a period of 5 years at a time.

45. It has also been decided that a minimum of 15 days show cause notice should be issued to the Unit before filing of any Criminal Prosecution and all Criminal Prosecutions should be recommended to the Labour Commissioner before filing the case in the appropriate court.

46. The Bill proposes to appoint Professionals from the field of Labour Law HRM/HRD, as Conciliation Officer under Industrial Disputes Act. The Department of Labour has reservations on this issue based on the ground that Conciliation is a quasi-judicial function and it should be done with at most impartiality and even after the conciliation proceedings, follow up actions are required to be taken at various levels and has suggested that the proposal to appoint private professionals as Conciliation Officer be dropped. The point of dispute appears to be on the objectivity of the independent professionals to be appointed as Conciliation Officer. Even now with the conciliation proceedings being conducted by the Officers of the Department of Labour, there have always been constant innumerable allegations of partiality either towards the employer or towards the employee. Therefore, Government may go in for appointment of Labour Law Practitioner, HRM/HRD/Professional as Conciliation Officer and the aggrieved party can always take it up his grievances with the appellate authority.

Enforcement of Laws:

Industrial Disputes Act:

47. There are nearly 9404 Factories registered with the Department of Factories and Boilers employing nearly 10 lakh people. Besides there are several shops and establishments registered with the department. The industrial scene in Karnataka is quite peaceful. There have been no major disputes in recent times, disrupting lives of the people. The table indicating the number of strikes, lay-off, retrenchment, and closures during the last 10 years is given in the **Annexure**. During 2000-2001 there have been 33 cases of strike and lockouts involving 9645 employees. Comparing to the number of industries functioning in the State, the number of disputes is very small. The number of strikes is more than what it was during 1991. However, the number of workers involved and affected by the strikes indicates that the strike as a phenomenon is now limited to small and medium establishments. The major Industries have more stake in employees welfare and ensure not only compliance of Labour Laws but go beyond them, in most cases offering incentives to the employees, to maintain Industrial peace and harmony as it can only ensure increase in production and bring in competitiveness in the liberalized and Global economy.

48.1 A Task Force On Employment Opportunities constituted by the Planning Commission in its report has stated that the most frequently voiced complaint against Indian labour laws relates to the provisions governing retrenchment layoffs and closure in the Industrial Disputes Act (1948). Until 1976, the law in this respect was not very different from the position elsewhere and employers could retrench labour if the situation warranted provided they followed the "last come first go" rule in drawing up the list of workmen to be retrenched, gave a month's notice or pay in lieu of notice, paid half a months wages per year of service and informed the government. The Act was amended in 1976 to add a new Chapter V.B, which made it mandatory for employers employing more than 300 workmen to seek the prior consent of government before effecting retrenchment or closure of a part of the enterprise. The scope of this provision was

further widened by an amendment in 1982 whereby all employers employing more than 100 persons were covered.

48.2 Although the legislation does not forbid retrenchment or closure but only requires prior permission of government, the Act has been interpreted in a manner, which has made retrenchment virtually impossible. Furthermore, a large number of retrenchment cases, because of court judgments have come to be viewed as retrenchment. For example, non-renewal of contract at the end of a contract period has been treated as retrenchment. Termination of employment during or at the end of a probation period has also been treated as retrenchment, even if the termination was because of failure to pass a test, which was a condition of employment. In fact, termination is now allowed only in cases of proven misconduct and this requires an elaborate process of enquiry before action can be taken. (Task Force On Employment Opportunities)

48.3 Removal of these rigidities is now an urgent necessity.

48.4 The requirement of prior permission of government for retrenchment, layoff or closure introduces a major inflexibility in the system. One solution would be to amend the Industrial Disputes Act to make this provision applicable only to units having more than 1000 employees. (Task Force On Employment Opportunities)

48.5 However this approach would give flexibility only to the larger units while denying it to smaller and middle size units who perhaps need it the most. The Task force has recommended a more radical step of deleting Chapter V-B from the Industrial Disputes Act completely and restoring the position prior to 1976.

48.6 Another source of rigidity in our labour market arises from the provisions regarding service rules in the Industrial Disputes Act. Section 9a of the Act provides that the job content and the area and nature of work of an employee cannot be changed without giving notice to the employees of at least 21 days. In practice this provision actually requires the consent of each employee. The requirement of a 21-day notice can present problems when units have to redeploy labour quickly to meet the requirement e.g. time bound export orders. More generally, the requirement of consent of workers means that employers cannot easily shift workers between different plants and locations, or even shift them to do new jobs within the same plant. It is necessary to amend the Act to introduce much greater flexibility in this area. Restructuring and redeployment of labour, often involving retraining are essential features of a competitive industrial enterprise and India will not be able to achieve the high levels of efficiency needed in today's globalising world if such flexibility is not available to employer.

48.7 The Industrial Disputes Act provides for advance notice of a strike only in the case of industries notified as public utilities. No such notice is needed for other industries. The general practice in many countries is that some notice must be given. It would be desirable to amend the Act to make a reasonable notice mandatory in all cases. It would also be desirable to introduce the system of "strike ballot" whereby a strike can be called only if it is supported by a qualifying majority of the workers.

48.8 At present there is no time limit for filing disputes under the Industrial Disputes Act. This encourages piling up of old disputes leading to delays in courts. A time limit of 3 years should be stipulated within which a dispute could be referred for adjudication.

48.9 These extracts from the report of the Task force indicate the changing perceptions in the liberalized economy. The agreement or disagreement on these points goes with the political philosophy or affiliation of the individual or group. But these are the points, which are more relevant in the liberalized economy. The labour reforms also have to go along simultaneously with reforms in other sectors. The Central Government only can bring in the amendments to all the Acts. The State, which is in the forefront of liberalization, needs to move the Central Government to bring in the amendments to these archaic labour laws to tune them into the present day realities.

49. During the year 2000-2001, 1309 disputes were filed before the department and 114 of them have been withdrawn. 217 cases have been disposed off. As on 31.12.2000 there were 913 cases pending for disposal including 864 old cases.

Contract Labour (Regulation and Abolition) Act, 1970

50. The Contract Labour (Regulation and Abolition) Act was originally enacted to regulate the practice of contract labour to avoid exploitation of sweated labour.

Section 10 of the Act empowers the Government to prohibit contract labour in certain occupations. In practice, the Act has been interpreted as requiring the abolition of contract labour for all services, which are of a regular nature and performed on the factory premises. Two Supreme Court judgments have had the effect that employers using contract labour to perform regular services on the premises are liable to absorb such labour permanently on the rolls of the factory.

51. The role of contract labour has to be seen in the context of a growing trend towards unbundling of the production process into component parts and outsourcing supply of these components to different producing units. This practice will only increase with the growth of information technology. If such outsourcing leads to greater specialisation in the production of these services, with resulting gains in efficiency and reduced costs, it could stimulate a larger total demand for these services and therefore create employment may have to be absorbed permanently on the payroll. This obviously discourages employers from using such services to the extent that they otherwise might have done, with the net effect of reducing total employment.

52. The Contract Labour (Regulation and Abolition) Act therefore needs to be suitably amended to allow all peripheral activities to be freely outsourced from specialised firms, even if it means employees of the specialised firms provide the services on the premises of the outsourcing units. The legitimate interests of workers engaged in these activities should be protected by defining minimum responsibilities of the outsourcing employer for health and safety of the workers employed on his/her premises while relying on extension of appropriate labour regulation to the companies or contractors from which these services are obtained to protect other rights of such labour (Report of Task force on Employment).

53. This is a Central Act to regulate the employment of Contract Labour in certain establishments and for abolition under certain circumstances. Every principal employer who intends to employ Contract Labour has to register and every contractor who provides the Contract Labour is also required to register under the Act. The Government of India or State Government has the authority to notify "an Occupation" prohibiting the appointment of Contract Labour in that particular occupation.

54. The Government of Karnataka has prohibited Contract Labour only in 5 occupations. It has rescinded the order prohibiting Contract Labour in industrial canteens in industries having more than 250 employees. The Order of Rescinding has been questioned and stayed by High Court. The abolition order issued prohibiting the appointment of contract labour in Steel Rolling Mills has been rescinded. The orders issued abolishing Employment of Contract Labour in the following occupations are still in force:

1. Britannia Industries and,
2. Hospitals and Nursing Homes.

55. Now the prohibition on appointment of contract labour is there only on 3 occupations and the employer has now the freedom to outsource certain services in his establishment. The shift in mindset from an inhouse management of services to outsourcing has created openings for more professional outfits to meet the demand. Even though this phenomenon is more predominant in I.T.Sector, it is spreading into other sectors as well. Therefore to create an environment for the enabled Services to take deep roots, the relevance of this three-decade-old Act, needs to be reviewed. There has been only one case of violation reported during 1999 and only 4 cases have been reported during 2000. A penalty of only Rs.500/- has been recovered in each case.

Workmen Compensation Act, 1923:

56. The Act provides for the payment of Compensation by employers to the workmen for injury or death by accident. The Labour Officers are the Commissioners under the Act and the High Court is the Appellate Authority. The disputes arise when there is either insufficient compensation or no compensation by the employer. In several cases, the employee will be a casual labour/ contract labour and the employer refuses to acknowledge even the employee and also any liability on his part to compensate.

57. On an average 450 cases are filed before the Labour Officers every month. Most number of cases are filed in the districts through which major National Highways passes through. There are more number of cases pending with Labour Officers of Bellary, Bijapur, Haveri and Mandya districts.

- During 1999, 2580 cases have been disposed off and Compensation of Rs.19.70 crores has been awarded. 3561 cases have been disposed off during 2000 and, Compensation of Rs.30.98 crores has been awarded. As at the end of August 2001, there are 9173 cases pending for disposal under the Act.

58. Considering the fact that there is more number of cases pending for a long time, the department may conduct Labour Adalats for speedy disposal and award of compensation to the affected parties – who are always from the economically weaker sections.

MINIMUM WAGES ACT 1948

59. This is a Central Act of 1948. All the officers of the departments are the Inspectors under the Act. The Labour Officer is the Minimum Wages Authority. Apart from the officers of the Labour Department, the Government has notified the following officers also as the Inspector under the Act.

1. Chief Inspector of Factories & Boilers
2. Revenue Inspector
3. Executive Officer, RDPR
4. DDPIs/BEOs/AEOs/Edn.Inspectors.
5. Chief Officers of TMCs/Health Inspectors in all CMC/Corporations
6. CDPOs of ICDS under Women & Child Development Department.

60. The Inspectors, whenever violations are notified do not have the judicial powers to issue directions for payment of minimum wages. The claims have to be preferred before the Competent Courts or Minimum Wages Authority. Even after passing of the orders by the Minimum Wages Authority, the execution of the orders can only be through an order of the Chief Judicial Magistrates.

- The minimum wages is being paid only in organised sector. It is a known fact that the market forces are determining the wages to be paid in all most all the Employments and Occupations and it is not the department or the Act. The penal provisions are so weak and the penalty is so low, that employers are guided more by the market forces of demand and supply than by the Government Notifications under the Act.
- A Minimum Wages Advisory Board has been established under the Act and it has fixed Minimum Wages for persons working in 58 Scheduled Employments.
- During 1999, the department has conducted 10729 inspections under the Act. It had filed 54 cases and 30 of them ended with convictions and a penalty of Rs.31,434/- has been levied. In other word, only 0.5% inspections regulated in with launching of prosecutions and 55.55% of the prosecutions only ended with convictions. The average penalty imposed is Rs.1048/- only in each case. During 2000, the number of prosecutions launched is 111 and out of which only 95 ended with convictions yielding a penalty of Rs.20,800/- only i.e., an average penalty of Rs.219/- in each case. (The penalty being imposed is too meager and the number of prosecutions launched is also less).
- During field visits it was observed that Minimum wages is not being paid to Agriculture and Construction workers. In fact the villagers have not heard of Labour Inspectors.
- During field visit the teachers in private educational institutions represented that minimum wages should be fixed for the post of teachers also. The current situation existing in private educational institution need not be recounted. Therefore on enquiry it was informed that the Government has in fact fixed minimum wages for teachers. But the Supreme Court has held that "Teacher is not a Worker under the Act" and has struck down the Notification. The Government may have to amend the Act and redefine the term "Worker" to include "Teacher and any other such Professions" to bring them under the ambit of Minimum Wages Act.
- The Industries may be authorised to go in for self certification by confirming compliance of the Rules under Industrial Employment (Standing Orders) Act 1946 and also Karnataka Industrial Establishments (National and Festival Holidays) Act, 1963.

- There are four Acts dealing with wages. Instead of four Acts, a comprehensive Act is required covering all the vital aspects and objects of the existing enactments, but keeping in view the changing Industrial scenario and employment market demands in post-WTO Regime and time. A detailed proposal may be moved in consultation with the Stakeholders to simplify the procedures and ensure easy compliance. The three Acts on Social Security may also be brought under the ambit of a comprehensive legislation.

61. The perusal of statistical information available for the last two years points out that most of the prosecutions have been launched under:

- KSCE Act 1961
- Minimum Wages Act 1948
- Payment of Wages Act 1936
- Motor Transport Employees Act 1961
- Child Labour Act 1986

62. A penalty of Rs200.00 to Rs300.00 has been imposed in each case and the penalty is too small to Act as deterrent.

63. During the last two years there have been no prosecutions launched under Inter State Migrant Workers (Regulation of Employment and Conditions of Service) Act, 1979. Most of the Inter State Migrant Workers are found in unorganized sectors like Construction works and Agriculture. The service conditions of the migrant workers are very bad. The department needs to focus on this area to improve the working conditions of migrant workers.

64. There are 5 Deputy Labour Commissioners, 11 Assistant Labour Commissioners and 30 Labour Officers working in the field offices. There are 60 Senior Labour Inspectors and 163 Labour Inspectors working in circles. That is a total of 269 enforcement officials in the department.

65. The total number of inspections conducted by them during the last 4 years is as follows:

Year	Total No. of Inspections	Average per month per person	Total No.of Prosecutions	Percentage
1997	90481	28.03	439	0.49
1998	85873	26.60	242	0.28
1999	54940	17.10	316	0.58
2000	62833	19.46	504	0.80

66. The average number of inspections per month has come down during 1999 & 2000 calendar years, probably on account of streamlining of inspections to avoid multiple inspections on the same subject by various authorities.

67. The percentage of inspections leading to launching of cases is less than 1.00%. It is a happy state of affairs and the compliance with the provisions and enforcement of law appears to be good in the state.

68. The statistics is available only in respect of the inspections conducted under 17 Acts (please see the Annexure). The prosecutions have been launched under 6 Acts (average).

69. The violations have been observed under 6 Acts out of 17 Acts would only mean there is automatic compliance under other Acts. Therefore do we need to have such a huge enforcement machinery.

CHILD LABOUR

70. The Government of India has enacted Child Labour (Prohibition & Regulation) Act 1986. Prohibiting employment of any person below the age of 14 years in scheduled occupations. The Government has so far notified - 13 occupations and 51 processes in which the Employment of Child Labour is prohibited.

71. Even though the Act was passed during 1986, the Enforcement of the Act was not effective. It was pointed that the Child Labour was more a sociological and economical phenomena that has to be addressed through compulsory education of children and increasing the living standards of the people than by deterrence means. However, a decision of the Supreme Court of India delivered on 10.12.1996, gave a sense of urgency to the drive against Child Labour. On the directions of the Supreme Court, Government of Karnataka has established Child Cells headed by a Labour Officer in 8 districts having high density of Child Labour. These Labour Officers have to work under the administrative control of the Deputy Commissioner of the District. They were directed to furnish returns to the Supreme Court periodically on the status of Child Labour in the District.

72. The Supreme Court has also ordered that the Government should set up a Corpus Fund for the rehabilitation of the Child Labour working in hazardous industries and occupations. The employer is required to pay compensation of Rs.20,000/= per child to the Corpus Fund. This fund has to be invested in high return deposit and the interest accrued to be paid as compensation to the family of the Child Labour to compensate the loss of income due to the Rehabilitation of the Child Labour.

73. It may be noted that the Government of Karnataka has authorised the establishment of Child Labour Elimination Societies under the Karnataka Societies Registration Act. The Deputy Commissioner of the District is the Chairman and the Society will have official and non-official members. The Government of Karnataka has so far released 56 lakhs rupees to districts for publicity purposes. It has also released Rs.376 lakhs to Deputy Commissioners as State Government contribution towards Corpus Fund for Rehabilitation of child labour released from hazardous occupations. During discussions it was informed that the employers who has to pay Rs.20,000 towards rehabilitation would not pay and are leading to litigations.

74. The department does not have the details of application and utilisation of the funds released to the districts. It appears that the Labour Department officers have adopted the stance, that as the funds are released to Deputy Commissioners, the Labour officers stake on the issue is limited.

75. During field visit to Kolar, it was observed that Child labour is prevalent in Reeling and Garages. The department has taken up publicity through Hoardings and printing of pamphlets. The Child Labour Elimination Society had more than Rs.20.00 lakh in Fixed Deposit in a Bank.

76. It is apparent that the funds are not a constraint. But it is the lack of sensitivity and commitment to eliminate Child labour on the part of Labour officers. It is true that the Labour department alone cannot address the issue. There has to be active involvement of District administration and other Non-Government Organisations. But this would be possible provided the Labour departmental officers play a very pro-active role in coordinating with other departments and agencies.

77. During 1997, the State Government launched District Child Labour Rehabilitation Cum Welfare Fund Scheme and has constituted a District Advisory Committee under the Chairmanship of the Deputy Commissioner. District Project Societies were also established in 8 districts for the operation of the scheme,

78. Government of India has unveiled National Child Labour Policy (NCLP) for the Rehabilitation of the Child Labour. Under this scheme Dharwad, Bijapur and Raichur was selected in the first instance for starting NCLP schools for the Rehabilitation of Child Labour. Recently, Haveri, Gadag, Bangalore Urban and Rural districts have also been covered under this scheme.

79. In spite of the social awareness and the law, it is a fact that child labour is prevalent in the country. The child labour is preferred because it is cheap and managing the child labour also would be easier. The child labour is prevalent in Hotels, Garages, and doing household work. The child labour is prevalent in hazardous occupations like Quarrying, Silk reeling etc.

80. The Government of India has released funds under NCLP directly to the concerned Deputy Commissioners for establishment of special schools for rehabilitation of child labour.

81. In Bijapur, 40 schools, each accommodating 50 children have been established under the NCLP. During the field study, the matter was reviewed. These schools opened through NGO's are not functioning properly. The District administration has taken up detailed verification and inspections.

The Bangalore Urban District has also established Special School under NCLP.

82. The Government of Karnataka has notified the following officials also as Inspectors under the Child Labour (Prohibition & Regulation) Act 1986, along with the officers of Labour Department, with a view to involve other departments also in this programme.

1. Chief Inspector of Factories & Boilers
2. Revenue Inspectors.
3. Executive Officer, Taluk panchayat.
4. DDPIs/BEOs/AEOs/Edn.Inspectors.
5. Chief Officers of TMCs/Health Inspectors in all CMC/Corporations
6. CDPOs of ICDS under Women & Child Development Department.

83. However, these officers have not evinced any interest in the activity and even the Labour Officers have also not coordinated with these officers.

Action Plan for the Elimination of Child Labour:

84. The State Government, with a view to achieve the status of a Child Labour free State within the next 6 years has prepared an Action Plan for the Elimination of Child Labour in the State and the same was launched on 1st May, 2001.

85. To achieve the objectives a sequence of Action Points and time frame was also incorporated into the Action Plan. The Government has directed to establish District Project Societies in all 27 districts within 3 months of the approval of the Action Plan, and to take up organising of Training Programmes for undertaking systematic survey of Child Labour.

86. The Action Plan proposes to establish Residential Special Schools in each district for the Rehabilitation of Child Labour. The NCLP schools also have to be converted into Special Residential Schools and the additional funds required for this purpose will be borne by the State Government.

87. It is reported that the District Project Societies have been registered in all other districts also in addition to the ones established during 1997. The Government has released Rs.95 lakhs so far to all the districts to conduct the survey and also for the training. No district has so far completed either the training or the survey.

88. The Government has constituted State Level High Power Committee, State Level Coordination Committee, District Level Advisory Committee and District Level Executive Committee during May 2001.

89. The Hon'ble Chief Minister of Karnataka is the Chairman of the High Power Committee and it has several other senior ministers as its members. This is the highest policy making body for the implementation of the action plan. The State Level Coordination Committee is a bureaucratic setup headed by the Additional Chief Secretary as its Chairman. Principal Secretaries and Secretaries to the Government are its members.

90. The Deputy Commissioner of the district heads both the district level committees. The Headquarters Assistant to Deputy Commissioner is the convener for District Level Advisory Committee and the Project Director is the convener for Executive Committee. The labour officer of the district is only a member of both the committees. Even though the effectiveness and usefulness of HQA's to Deputy Commissioner cannot be questioned, would it not be better for the jurisdictional labour officer to play a major role, in these committees?

91. The Project Director is an official of the District Project Society – A part timer, probably a retired Government employee. The district project society is solely responsible for the action plan. Therefore the posting of a regular and full time official can ensure proper implementation of the action plan.

92. It appears department is caught up in the classical-“ which is first -the Chick or the Egg” syndrome. The meetings of the State Level Committees have not been held so far. On enquiry, it was clarified that the meeting would be convened as soon as the survey of Child Labour in all the districts is completed and the proposals are received

for establishment of Special Residential Schools. The meetings of the State Level Committees on the other hand would have communicated the commitment of the Government on the issue than issue of administrative circulars and guidelines. These meetings would certainly bring in sense of urgency, purpose and coordination amongst all the stakeholders.

93. Under the Child Labour Act, the burden of proof of age of the child like with the Inspectors. The law in this regard needs to be amended and the onus shall lie with the Employer. May be this would lead to harassment. But harsh methods would be required to dissuade the employers from employing child labour.

94. Meetings have been held in 4 Divisional Headquarters with Deputy Commissioners, CEOs and other officers on the issue. They have been requested to Open Residential Schools for the released Child labour. It has also been suggested that the NCLP Special Schools may be converted into Residential schools. The D.Cs have been requested to conduct a Survey of Child labour, if they feel necessary and to send proposals to Government for release of funds. The meetings of the State Level Committees have not been held so far. It is reported that the meetings would be convened only after the proposals are received from the districts.

95. The process of implementation of Action plan for elimination of child labour needs to gather more momentum. The sequence of action points and time frame needs to be strictly adhered to make a break through from the current slow progress. The training programme to sensitise the people and agencies involved has to be taken up on priority and along with a publicity blitz to make the Action plan a peoples' movement.

Evaluation of Functioning of Labour Officers:

96. During the field visits, the questionnaires were administered to the Labour officers of 4 districts only. The Labour officer of Uttara Kannada was out of Headquarters on the instruction of Deputy Commissioner, U.K.

97. The officers have stated that they are completely aware of the objectives of the department and also the duties and responsibilities of their position.

98. The Labour Officer, Gulbarga has not conducted any inspections for 3 months period (February 2001 to April 2001). The Labour officer, Bijapur was the only one who appears to have achieved the target of inspections – inspite of the fact that he has not gone out of the office for inspections. But has not initiated any proceedings under any Act excepting Abolition of Child Labour.

99. The Labour Officers of Kolar, Bijapur and Chamarjanagar only have initiated action under Child Labour Act. The offices of the Labour Officers of the 5 districts have not been inspected by the Head office during the last 3 years. The office of Labour Officer, Gulbarga has not been inspected by any senior officer during the last 4 years even though there are two more senior officers are located in the same place. Chamarajanagar Office was inspected during 1999 by Assistant Labour Commissioner. But the office has not received any inspection reports so far.

100. All these field functionaries have spent nearly 75% of the working days in attending to the office work and meetings.

Evaluation of Work done – Findings:

101. The analysis of the questionnaires administered to the Inspectors and Senior Inspectors points out that

- 1) The officials have to a greater extent completed their quota of visits and inspections. However, there appears to be no distinction made between visits and inspections. It is although all the visits have led to inspections.
- 2) The Labour Inspector, Gundlupet has reported that he has inspected 86 shops and initiated legal proceedings against 52 of them during the period of 3 months from February 2001 to April 2001.
- 3) All Inspectors have completed their quota of inspections under the Abolition of Child Labour Act 1986. However no one had initiated any legal proceedings under the Act.
- 4) Most of the inspections are conducted under KSCE Act.
- 5) 3 of the 6 Labour Inspectors of Gulbarga district have not launched any prosecutions.

DEPARTMENT OF LABOUR

FINDINGS:

1. It has a 5-Tier administrative Structure viz. State, Region, Division, Sub-division and Circle respectively. The Labour Commissioner heads the Commissionerate at the State level. There are 5 Regional level Offices headed by the Deputy Labour Commissioners. There are 11 Divisional level Offices headed by Assistant Labour Commissioners. There are 32 Sub-divisional Offices, which are at the district level, headed by Labour Officers. There are 63 Circle Offices in the municipal Corporation areas headed by Senior Labour Inspectors and 125 Circle Offices in the other areas headed by Labour Inspectors.

2. These apart, there are 7 Labour Officers exclusively looking after the matters relating to Child Labour, posted in the District Head Quarters and are working under the administrative control of the Deputy Commissioner.

3. The details of the Staff Strength in the Department as on 31.3.2001 are as given below: -

Category of posts	Sanctioned Strength	Working Strength	Vacant Posts
Group 'A'	24	23	1
Group 'B'	43	43	-
Group 'C'	499	367	132
Group 'D'	308	269	39
TOTAL	874	702	172

4. The Department of Labour enforces 23 Labour Laws out of which 20 are Central Acts and 3 enacted by the Government of Karnataka.

5. There are 2,86,468 establishments registered with the department during 1999 under Karnataka Shops and Commercial Establishments Act 1961. There are 4.12 lakhs workers in these establishments. For the year 2000 the number of establishments have actually come down to 2.07 lakhs and the number of workers also has come down to 3.92 lakhs.

6. The Department has issued circular guidelines vide No.LGN/CR.22/98-99, dated 9.6.99 prescribing procedures to regulate the visits of Inspectors. To avoid multiple inspections and harassment the factories, shops, and establishments have been categorized based on the number of employees. Inspections to be conducted through a random procedure and 15 days notice to be given to units.

7. Under Workman's Compensation Act, there are 9173 cases pending with Labour Offices as at the end of August 2001. More cases are pending in Mandya, Bellary, Bijapur and Haveri Districts. Only 3% of the pending cases have been disposed off during August 2001.

8. During the field study, Questionnaires were administered to the Officers/ Officials of the Labour Department at Taluk, District, and Division level and also at the Head Office in Bangalore.

1.	Additional Labour Commissioner	01
2.	Joint Labour Commissioner	02
3.	Deputy Labour Commissioners	02
4.	Assistant Labour Commissioners	03
5.	Labour Officer	05
6.	Labour Officer (Child Cell)	01
7.	Senior Labour Inspectors/Labour Inspectors	15
8.	Ministerial Staff	37
	TOTAL:	66

FIELD OBSERVATIONS:

- The villagers have not heard of or seen the Labour Inspectors
- Equal Remuneration is not being paid for Agricultural Labourers, construction workers;
- The Officers and staff posted to the Child Cell have very little interest and commitment in the elimination of Child Labour and consider it as a punishment posting.
- The focus of the officers' is more on KSCE Act, ID Act, and Minimum Wages & Workman's Compensation Act. The attitude of the officials regarding inspections, verifications under KSCE Act 1961 are very cursory and superficial. Factories/ Establishments complain of are harassment.

- The department has prepared in May 2001 a six year Action Plan for elimination of Child Labour in the State. To monitor implementation of the said Action Plan, Government has constituted 4 Committees Viz. State Level High Power Committee, State Level Coordination Committee, District Level Advisory Committee and District Level Executive Committee respectively during May 2001.
- The Child Labour Act 1986 provides for a Police Officer to take legal action. But the Police Department is not represented in any of the Committees constituted either at the State level or at the District level. The HQA to the Deputy Commissioner has been nominated as the Convenor of the District Level Advisory Committee. It would be appropriate for the jurisdictional Labour Officer to be made the Convenor so that he would be accountable for implementation instead of attending a meeting as one of the Members.
- The plan has a sequence of 13 action points and time frame for implementation.
- The Government of India has selected 5 districts of Karnataka for implementation of National Child Labour Policy. They are
 - a. Davangere
 - b. Bijapur
 - c. Raichur
 - d. Bangalore urban
 - e. Bangalore rural
- The Government of India is releasing funds under National Child Labour Policy directly to the Deputy Commissioners. In Bijapur District, the fund has been utilised for establishing Residential Schools through NGO's covering 2000 child labourers. At the time of field visit during June 2001. The Deputy Commissioner had initiated action to probe into the allegations of the mismanagement of funds released for running of schools by NGOs.
- The Government has notified the following officials as the Inspectors under the Child Labour (Prohibition & Regulation) Act, 1986:
 1. Chief Inspector of Factories & Boilers
 2. Revenue Inspectors
 3. Executive Officers of Taluk Panchayath.
 4. DDPIs/BEOs/AEOs/Edn.Inspectors.
 5. Chief Officers of TMCs/Health Inspectors in all CMCs/Corporations.
 6. CDPOs of ICDS under Women & Child Development Department.
- The notified instructors have the powers of inspection of establishments and initiate legal proceedings on violations. It is observed that the increase in number of Inspectors has not made any impact on the elimination of Child Labour. The other Departmental Officials are reluctant to get involved in legal proceedings, which would affect their own Departmental responsibilities. Therefore, it is necessary for the Labour Department to coordinate with these Officers.

- On the directions of the Supreme Court of India in its judgment Pronounced on December 10th 1996, the Government has ordered for setting up of a corpus fund at the district level. The Government has constituted a District Advisory Committee under the chairmanship of the Deputy Commissioner and consequently district Project Societies have been established to manage the corpus fund.
- The corpus fund includes the amount of compensation of Rs.20,000/- per child collected from the offending employers and also the contribution of the State Government. The amount should be kept in a Bank account and the interest accrued to be utilised for the payment of compensation to the parents of the child.
- The Government of Karnataka has so far released 56 Lakhs Rupees to district for publicity campaign against Child Labour and 376 lakh rupees has been released as Corpus Fund. The department does not have the details of expenditure incurred in this regard.
- In Kolar district, Child Labour Elimination Society has been formed under Karnataka Societies Registration Act 1960. The Funds released for publicity is credited to the accounts of the Society. A part of the fund has been used for publicity purposes and the balance is kept in a Bank account. Even though there is availability of funds, planned and uniform approach is lacking in addressing the issue. The officers working in child cell lack motivation and involvement. The work of the cell has not been monitored and evaluated.
- The Deputy Commissioners have been asked to conduct the survey of child labourers in hazardous industries and send proposals for opening of Rehabilitation Centres-Cum-Special Schools for these children. The government is yet to receive proposals in this regard.

RECOMMENDATIONS

- The department can post Deputy Labour Commissioners, Assistant Labour Commissioners to Districts on the basis of Concentration of Labour.
- The work of ensuring compliance and enforcement of the provisions of all labour laws applicable to Factories may be entrusted to the Chief Inspectorate of Factories and Boilers.
- Labour Adalats is held to dispose of the pending cases under workmen's Compensation Act and other Acts.
- The Labour Inspector has funds Drawing Powers and are requesting for clerical assistance. Considering the fact that there is very minimum financial transactions, the Drawing Powers be withdrawn and the Labour officer be authorised to draw the salary of Inspectors and Literate Assistants.
- The department is not releasing allocation to pay the Rent, Electricity bills and Telephone bills. Necessary financial allocations may be made available to avoid delays and unnecessary correspondence leading to increased workload at the Commissionarate.

- The department has 5 levels of enforcement starting from the Commissionerate at the State level to Senior Inspector or Inspector at the Taluk level. Labour officer is at the District level. There are two more layers of officers above the District level. i.e. Deputy Labour Commissioner at Divisions and (2) Assistant Labour Commissioners in-charge of two or three districts. These officers have both Territorial and Functional jurisdictions. Many of the enforcement functions, which could have been enforced by District and Taluk level functionaries, have been allocated to these officers.
- Therefore these two layers may be abolished i.e., 5 offices of Deputy Labour Commissioners and 11 offices of Assistant Labour Commissioners:
- By abolition of these, two layers the following 139 posts become surplus. The officers and staff working against these posts have to be redeployed.

Deputy Labour Commr	1	Asst. Labour Commr	1
Office Assistant	1	Office Assistant	1
First Division Assistant	1	First Division Assistant	2
Second Division Assistant	1	Second Division Assistant	2
Stenographer	1	Stenographer	1
Driver	1	Peons	2
Peons	2		
Total:	8	Total:	9
8 x 5 = 40 Posts		9 x 11 = 99 Posts	
A Grand Total 139 posts			

- The Non hazardous industries may be authorised to go in for self-certification by confirming compliance of the Rules under Industrial Employment (Standing Orders) Act 1946 and also Karnataka Industrial Establishments (National and Festival Holidays) Act, 1963.
- There are four acts dealing with wages. Keeping in view of the changing Industrial scenario and employment market demands in post-WTO Regime instead of four Acts, a comprehensive Act is required covering all the vital aspects and objects of the existing enactments. A detailed proposal may be moved in consultation with the Stakeholders to simplify the procedures and ensure easy compliance. The three Acts on Social Security may also be brought under the ambit of a comprehensive legislation.
- The Department has evolved strategies for implementation of Action Plan for elimination of child labour, which involve coordination with Government and non-Government agencies. Therefore, the Government should post Labour Officers as Project Directors to all the districts, which do not have Labour Officer (Child Cell) by redeployment of officers and officials from division and sub-division level.

DEPARTMENT OF EMPLOYMENT & TRAINING

INTRODUCTION

1. The impact of World War-II was immense on many Social And Economic institutions and threw open challenges of reconstruction. The post war period prompted Governments to innovate, adopt and establish new Institutions for Socio-Economic restructuring of societies. The problems of resettlement of Discharged Defence Personnel required a new mechanism. The Government to address this issue has to step in to play an active role in identification employment opportunities and facilitate employment of the discharged soldiers. This resulted in establishment of the Directorate General of Resettlement and Employment in July 1945.

2. The partition of India and the problem of settlement of the displaced persons enhanced the scope of functioning of Employment service. By 1948, the Employment Exchanges were extending the facility to all those in need of employment. The Employment Exchanges were gradually opened in several parts of the country.

3. The Employment service is a subject in the concurrent list of the Constitution of India and on the recommendations of Sri B.Shiva Rao Committee the Employment Exchanges were brought under the administrative control of State Governments on 1.11.1956.

4. After the Independence and thrust on Industrialisation. One of the critical activities to be carried out by the Government was to enhance the Labour force's skills by providing them with suitable training. This is being done through the various Industrial Training Institutes.(I.T.Is).

MAIN FUNCTIONS OF THE DEPARTMENT

5. The main functions of the Department of Employment and Training are:

- 1) To facilitate the unemployed to get gainful employment,
- 2) To provide vocational training to increase the capability and skill level of the unemployed and to address the need for trained personnel for the industries.

LAWS BEING ENFORCED

6. The Department of Employment and Training enforces the following enactments:

- (i) Employment Exchanges (Compulsory Notification of Vacancies) Act 1959
- (ii) Apprenticeship Act 1961

ORGANIZATIONAL STRUCTURE OF THE DEPARTMENT

7. The Directorate of Employment and Training has two separate wings. The Director is the only common element binding these two wings at the decision-making level but they are completely distinct entities at the functional level. The post of the Director of Employment and Training is encadred to senior IAS/KAS.

8. The Employment Wing has Employment Exchanges, Enforcement Units, Vocational Guidance Bureau, and Job Development Centre etc. 41 such units are functioning in all the districts. There are no offices at Taluka level.

9. The Training Wing has offices at Divisional Head Quarters, but does not have any administrative structure at District or Taluka Level. However, it has Government Industrial Training Institutes (I.T.I) throughout the State.

10. It is a major Department functioning under the administrative control of the Labour Department at the secretariat level.

For Total number of Staff in the Department, please refer Annexure 1, 2 & 3 for details.

TABLE - 1

Category	Sanctioned	Working	Vacant
Group A	58	45	13
Group B	166	128	38
Group C	2809	1751	1058
Group D	693	460	233
Total	3726	2384	1342

TABLE - 2

Category	Employment wing			Training wing		
	Sanctioned	Working	Vacant	Sanctioned	Working	Vacant
Group A	30	25	05	27	19	08
Group B	58	43	15	108	85	23
Group C	317	270	47	2492	1481	*1011
Group D	108	103	05	585	357	228
Total	513	441	72	3212	1942	1270

*Includes 467 vacancies of Junior Training Officers in I.T.Is.

Directorate Level

11. There are two separate wings- Employment Wing and Training Wing. The staff strength at the Directorate is:

TABLE - 3

Category	Employment wing			Training wing		
	Sanctioned	Working	Vacant	Sanctioned	Working	Vacant
Group A	8	6	2	10	7	3
Group B	4	4	-	6	5	1
Group C	35	30	5	104	97	7
Group D	9	8	1	30	27	3
Total	56	48	8	150	136	14

(Please refer Annexure 4 & 5 for details)

EMPLOYMENT WING

12. To facilitate and provide guidance to the unemployed for getting gainful employment, the Department has established 34 Employment Exchanges, 6 Employment Information and Guidance Bureau in 6 Universities in the State. 6 offices have been established for the enforcement of the Employment Exchanges (Compulsory Notifications) Act 1959 and there is also one State Computer Center; one Career Study Center and a Center For Job Development And Improved Service To Centres.

13. A Joint Director (Employment) assists the Director in smooth functioning of the Employment Wing of the Directorate. The Joint Director in turn is assisted by Deputy Director (Employment), Deputy Director (Research & Studies), Assistant Director (State Vocational Guidance), Assistant Director (Employment Marketing Information) and Assistant Director (Nucleus Cell) respectively.

14. The Training Wing of the Directorate is very big when compared to the Employment Wing. Additional Director of Training assists the Director. 3 Joint Directors, 3 Deputy Directors, 8 Assistant Directors, one Administrative Assistant assist the Additional Director. In all the Training Wing of the Directorate has 150 sanctioned posts, out of which 14 posts are vacant.

JOB ROLES

Joint Director of Employment:

15. He is responsible for overall supervision of Employment Wing. He looks after all the Administrative and Financial Matters pertaining to Employment Wing. The Vocational Guidance Programme, Employment Marketing information (EMI) and Nucleus Cell come under the charge of the officer.

Deputy Director of Employment:

16. He functions under the Administrative Supervision of Joint Director (Employment) and assists him in Administrative matters and monitoring functioning of EMI and Vocational Guidance Programme.

Deputy Director of Employment (Research & Studies):

17. He has to report to the Joint Director (Employment) and is responsible for conducting Studies and Research.

Assistant Director (Admn.) (Employment Wing):

18. He is the Drawing and Disbursing Officer of the Employment Wing and works under the supervision of Joint Director (Employment).

Assistant Director (SEMI):

19. He is working under the supervision of Deputy Director (Employment) and is in charge of *State Employment Market Information (SEMI) Unit*. He is responsible for preparation of Quarterly EMI statements.

Assistant Director (S.V.G.):

20. He assists Deputy Director of Employment and is responsible for implementation of Vocational Guidance Programme.

Assistant Director (Nucleus Cell):

21. He works under the supervision of the Deputy Director of Employment (Research & Studies) and is in charge of Nucleus Cell set up for the purpose of ensuring comprehensiveness of Employers' Register maintained in the District Employment Exchanges. He has to conduct Street Survey also. He is responsible for enforcement of Employment Exchanges (CNV) Act, 1959 and Rules framed there under.

Employment Officer (Public Relations):

22. He is working directly under the control of Director of Employment and Training and is in charge of Public Grievances Cell.

VI. IMPORTANT FUNCTIONS OF THE EMPLOYMENT WING:

23. The important functions of the Employment Wing of the Department of Employment and Training are detailed below: -

24. The activities of the Employment Exchanges can be broadly classified under three categories viz. Placement Services, Employment Marketing Information supported by Compulsory Notification of Vacancies Act (Central Act), 1959 and Vocational Guidance.

a) Placement Services:

Placement Services comprise of Registration of eligible persons, renewal of such registration and sponsoring their names to prospective employers respectively.

i) Registration:

Any eligible person is required to personally visit the Employment Exchange and register his name in the prescribed Application form. This contains the details such as Name, Qualification, Age, Physical Fitness and job preferences etc. After registration the candidate will be issued an Identity Card containing the Registration number. Through the help of the Registration number, the candidate can correspond with the Employment Exchange.

ii) Renewal :

The candidates have to renew their registration once in every 3 years. The candidates will be given 2 months grace period, from the last date fixed for renewal. If the candidate fails to renew the registration, the number will be removed from the Live Register.

The registered candidates may intimate the change of address, higher qualifications acquired after registration etc to the Employment Exchange.

iii) Sponsorship:

Any company, corporation or an establishment, has to compulsorily notify the vacancies caused in their establishment as per Employment Exchanges (Compulsory Notification of Vacancies) Act 1959. According to the requirement a list of eligible and suitable candidates (according to seniority and reservation roster as maintained in the Exchange) will be sent to the concerned establishment. If there is an interview or a written competitive examination is prescribed for recruitment such information also will be sent to the concerned candidates.

b) Employment Marketing Information:

Each Exchange has to collect EMI data about the availability or non availability of employment opportunities from all the Government Departments, Public Sector Undertakings and all the establishments (Private) which employ 25 or more on a quarterly basis and an analysis of the data will be made.

c) Vocational Guidance:

Vocational Guidance, has assumed much importance in recent times in view of the reduction in the traditional employment opportunities. Vocational Guidance Bureaux in the Employment Exchanges and Employment Information & Guidance Bureaux in the Universities will provide the guidance by arranging conferences, and exhibition of professional literature. These are arranged in coordination with the local educational and cultural organizations. An Employment Officer (VG) heads the Vocational Guidance Unit in the Employment Exchange and two Officials assist him. On perusal of the statement, it is observed that more number of career conferences have been organised in places having universities. In all other places there is a bare minimum of career talks that too limited to the schools visited. Please See Annexure-6.

TYPES OF EMPLOYMENT EXCHANGES

District Employment Exchanges:

25. The Department has established District Employment Exchanges in 26 districts and in Uttara Kannada District a Project Employment Exchange is functioning and it is considered as District Employment Exchange of that District. The main functions of these exchanges are as explained earlier. There will be two Employment Officers, one for Employment and one for Vocational Guidance in each Exchange. These Officers are assisted by 1-AEO, 1-FDA, 4-SDAs, 1-Typist and 3-Peons. In some Exchanges there may be a little variation in the composition of the staff structure, depending upon the workload of the concerned Exchange.

Apart from these Employment Exchanges, the Department has special category Employment Exchanges.

Professional & Executive Employment Exchange:

26. It is located in Bangalore. An Asst. Director heads this unit and 2 AEOs, 1 FDA, 3 SDAs and 1 Typist assist him. Here all the professional graduates like Engineering, Pharmacy, Medical, Law and Dental can enroll their names. The recruitment of these professionals for govt. jobs is done by K.P.S.C. Furthermore the opportunities for these graduates in government are sharply reducing and the private sector and self-employment are the other avenues open to them. The private sector does not bother to consult or interact with the department. The professionals themselves appear to have already expressed their no confidence in the system. Every year nearly 20,000 Engineers and about 10,000 Doctors pass out of colleges in Karnataka. Even 10% of them were to approach there would have been an increase in the numbers. Instead their number is coming down or constant. Please refer Table No.1.

SC/ST Employment Exchange:

27. This functions from Bangalore. This has been established to provide a centralised service for SC/ST candidates to facilitate their employment. An Asst. Director is the head of the unit. He is assisted by 1-AEO, 1-FDA, 1-SDA and 1-Typist.

Sub-Regional Employment Exchange:

28. This Exchange is located in Bangalore. It has got 3 wings. Viz. Vocational Guidance, Woman Cell and Employment Marketing Information. Each wing has special functions and is headed by an Employment Officer. Asst. Director is the head of the Exchange and is assisted by 3-Eos, 6-AEOs, 2-FDAs, 13-SDAs and 2-Typists.

Special Employment Exchanges for Physically Handicapped at Bangalore, Mysore, Hubli & Gulbarga

29. These Exchanges are established to assist the physically handicapped persons. They can enroll their names for employment opportunities in their jurisdictional District Exchanges. These Exchanges maintain duplicate records of all the candidates in the respective division. The Special Employment Exchanges for Physically Handicapped by an Assistant Director and is assisted by 1 AEO, 1 FDA, 1 SDA and 2 Peons.

TABLE NO. 4

Details regarding Special Kinds of Exchanges:

Sl. No.	Name of the Employment Exchanges	Live Register (As at the End of July-2001)		
		Men	Women	Total
1.	SEE (PH), B'Lore	5112	1904	7016
2.	SEE (PH), Mysore	1834	518	2352
3.	SEE (PH), Gulbarga	2093	465	2558
4.	SEE (PH), Hubli	870	347	1217
	Total:	9909	3234	13143

TABLE NO. 5

Details regarding Special Kinds of Exchanges:

No.	Name of Employment Exchange	Placement Details			
		1998	1999	2000	2001 (Upto July)
1.	SEE (PH), B'lore	59	54	34	14
2.	SEE (PH), Mysore	57	62	18	9
3.	SEE (PH), Gulbarga	13	103	34	0
4.	SEE (PH), Hubli	41	32	18	11
	Total:	170	251	104	34

Project Employment Exchange, Karwar:

30. This Exchange is also the District Employment Exchange for the Uttara Kannada District. An Asst. Director is the head of the Exchange and an Employment Officer assists him. The exchange was established to assist the persons displaced by Seabird project in Karwar and also other people.

Job Development and Improved Services to Industries:

31. This Exchange is established in Bangalore to cater to the needs of the Industries. An Asst. Director is the head of the Exchange and is assisted by one Steno and a group-D. This is fully computerized. The main function of the Exchange is to have continuous interaction with Industry and provide employment service available in the department. At present Asst. Director is holding the charge of computer centre and concentrating on centre.

Career Study Circle:

32. This Exchange is established to prepare the study material for the competitive exams, conducted by UPSC/KPSC. This Exchange operates from Bangalore and is headed by an Asst. Director and is assisted by 2-EOs, 1-FDA, 1-SDA and a peon. This Exchange, publishes a fortnightly news bulletin in Kannada called "Udyoga Mahiti. This bulletin covers all the employment opportunities available in the State and Country. This bulletin will be sent free of cost to all the taluk Panchayats and Zilla Panchayats at free of cost. This fortnightly bulletin is prepared by collecting the information on employment, from all the available sources. The CSC also publishes, wall posters on employment opportunities for display, at convenient locations.

Employment Exchanges (CNV) Act Enforcement Unit at Bangalore, Chitradurga, Gulbarga, Hubli, Mangalore, Mysore.

33. These units are established to enforce the provisions of the Act. These are headed by Asst. Directors and assisted by Employment Officers. The units compile the data pertaining to vacancy position in public and private sector undertakings and forward the same to Head Office for onward transmission to Government of India.

Computerization of the Exchanges:

34. In order to efficiently manage the high volume of Data in each Exchange, the department has taken up computerization in all the exchanges. So far all the Employment Exchanges have been computerized except (1) Sub Regional Exchange at Bangalore, (2) District Employment Exchange, Tumkur & Computerization programme of the exchanges, has considerably reduced the workload of the exchanges.

- The requirement of personal appearance for registration causes hardship to the candidates. In the earlier days the candidates were allowed to register through post. The department to avoid multiple registrations by a single candidate dispensed with the procedure. With the availability of modern technological tools and computerization the multiple registration can always be verified. Therefore the candidates may be permitted to register not only through post but also through E-mail.
- Whenever a person acquires a job his registration is cancelled. It is common knowledge that many a person who is already working still continues to retain his name in the Live Register without informing the Employment Exchanges in the hope of landing a better job. May this reality should be accepted and candidates be Officially permitted to continue on the Live Register with appropriate noting on the card. With this the employment data would be more realistic and would be able to project the actual number of Unemployed and also those who are looking for alternate employment.
- With many private and public undertakings offering Voluntary Retirement Scheme there are thousands of experienced and skilled persons who would still be able to render service either on contract basis or temporarily or on assignment basis. The department may entertain such persons also to register and a separate Live Register be maintained.
- The department maintains Bio-data of candidates only to verify whether any one would fit the requirement of prospective employers. The department would do well if it could maintain Curriculum vitae (C.V) of persons and offer the C.V. to prospective employers.
- The process of recruitment it self has undergone considerable change. It is not as it was at the time (1945) of establishment of Exchanges. Just the age and educational qualifications themselves are not sufficient to land a job. Constitutional bodies like Union and State Public service Commissions are concentrating on the quality of the intake and are the Recruiting authority for majority of Govt. Jobs. The government and public sector undertakings are going for competitive examinations for most of their posts and the scope of recruitment based on only the age, educational qualifications is rapidly diminishing and has already been reduced to the barest minimum.
- Department cannot depend on the government itself to notify such therefore vacancies which would accommodate the candidates on its live registers. It has to look beyond government and identify suitable vacancies for facilitating their employment.

35. The Statement showing the various categories of unemployed persons who have registered their names in Employment Exchanges during the past 3 years indicates that, there is a steady growth in the number of unemployed in all the categories except Engineering Graduates. Every year nearly 62,000 persons have registered names in the Employment Exchange.

36. The department has been registering the names of the unemployed and was sponsoring their names whenever Employers notify vacancies. It was mandatory under the Employment Exchanges (CNV) Act for all the employers to notify the vacancies to the Employment Exchanges and appoint the required number based on the list provided by the Employment Exchange only. This provision has put the unregistered candidates or those who have recently completed their education and have registered but are juniors in the Seniority List of Exchanges at a disadvantage.

37. The Supreme Court in its Civil Appeal No.11646-11724, between the Excise Superintendent, Malkapatnam, Krishna District, Andhra Pradesh V/s K.B.N. Visweswara Rao & Others has held that, "It should be mandatory for the requisitioning authority/establishment to intimate the Employment Exchange and Employment Exchange should sponsor the names of the candidates, to the requisitioning departments for selection strictly according to seniority and reservation, as per requisition. In addition, the appropriate dept. or undertaking or establishment, should call for the names by publication in the newspapers having wider circulation and also display on their office notice boards or announce on radio, television and Employment News bulletins and then consider the cases of all the candidates who have applied".

38. After this judgment of Supreme Court on 24.9.1996, the Government of India in Ministry of Personnel, P.G. & Pensions Dept. of Personnel & Training has issued an O.M. dated 18.5.1998, prescribing the procedure to be followed while making recruitments to the Government Departments/Public Sector Undertakings/Quasi Government Institutions. According to which, the depts. have to publish the vacancies to the Employment Exchanges and also in leading local newspaper having wider circulation, Radio & Television etc. They can consider for appointment all the candidates who have applied along with the names sponsored by Employment Exchanges.

39. The Judgment of Supreme Court was a death knoll for the Employment Exchanges. The prospective Employer even though is required to notify the Employment Exchanges, he is not bound by the list furnished by the Exchanges.

40. The Government Departments and Public Undertakings, which were the main sponsors, now were required to follow the guidelines issued and the utilisation of the Exchanges has dwindled over the years.

41. Besides, the Globalization of the economy and structural reforms initiatives reduced the employment potential in Government and Public Enterprises. The Private Sector relies on direct interaction with the prospective candidates. This was facilitated by private placement Agencies and the tools of Information Technology "Websites" provided ample scope for alternative mechanism for recruitment. The department with heavy and sole dependence for Government recruitments has failed to foresee the changing Employment Scenario and make suitable changes in its approach and functioning.

42. The adverse impact is plainly visible in the number of sponsorships made by Employment Exchanges and the number of persons appointed. Please refer the following tables.

43. The Statement showing the number of candidates of various categories, who got appointment through the Employment Exchanges during the past 3 years:

TABLE NO. 6

Sl.No.	Educational Qualification	Year of Appointment		
		1998-99	1999-2000	2000-2001
1.	Engineering Graduates	68	39	16
2.	Medical Graduates	2	5	0
3.	Post Graduates	49	22	27
4.	Arts Graduates	152	152	74
5.	Science Graduates	65	51	37
6.	Commerce Graduates	78	50	26
7.	ITI Holders	433	346	220
8.	SSLC & PUC passed candidates	20510	12814	4691
9.	Diploma Holders & Artisans	248	195	63
10.	Others	3807	5544	6784
	Total	25412	19218	11938
	PERCENTAGE	1.40%	1.02%	0.61%

44. The table 6 indicates the declining trend in the percentage of persons who got employment through Exchanges. It was 1.41% during 1998-99 and has come down to 0.61% on 2000-2001. Another pointer is that substantial recruitment has been the persons belonging to "SSLC & PUC passed" and others i.e., basically at lower levels posts in Government departments.

45. Statement showing the number of Candidates, who got placement (jobs) through Employment Exchanges during the year 2001 (District-wise):

TABLE NO.8

Sl.No	Districts	Men	Women	Total 2001 (July)
1	Bangalore (Urban & Rural)	450	61	511
2	Bagalkot	28	7	35
3	Belgaum	41	14	55
4	Bellary	21	1	22
5	Bidar	50	8	58
6	Bijapur	13	5	18
7	Chamarajanagar	17	5	22
8	Chikkamagalur	25	10	35
9	Chitradurga	35	13	48
10	Davanagere	23	9	32
11	Dakshina Kannada	46	14	60
12	Dharwad	108	13	121
13	Gadag	18	5	23
14	Gulbarga	110	23	133
15	Hassan	61	16	77
16	Haveri	258	241	499
17	Kodagu	2	3	5
18	Kolar	114	10	124
19	Koppal	10	0	10
20	Mandya	88	14	102
21	Mysore	66	10	76
22	Raichur	25	6	31
23	Shimoga	32	12	44
24	Tumkur	7	9	16
25	Udupi	16	2	18
26	Uttara Kannada	24	3	27
	Total:	1688	514	2202

46. Table 8 indicate that 0.11% of the persons on Live Registers as on 31.3.2001 have got employment during the last 4 months. The percentage would have plummeted but for more person recruited in Bangalore and Haveri Districts by the Police Department.

47. As on 31.7.2001 there are 20,13,440 persons registered with District Employment Exchanges seeking employment.. Please see annexure-7. Category wise List of Candidates on the Live Registers of Employment Exchanges:

TABLE-9

No.	Educational Qualification	Year of Registration			As on 31.7.2001
		1998-99	1999-2000	2000-2001	
1.	Engineering Graduates	13,959	13,867	12,817	14,066
2.	Medical Graduates	798	1,126	1,350	1,453
3.	Post Graduates	14,494	14,898	14,733	14,782
4.	Arts Graduates	45,112	46,164	45,962	49,773
5.	Science Graduates	19,341	20,481	19,705	75,561
6.	Commerce Graduates	23,916	23,761	24,166	25,919
7.	ITI Certificate Holders	65,023	74,462	78,935	80,246
8.	SSLC & PUC Passed Candidates	12,35,653	12,88,820	13,11,352	13,60,573
9.	Diploma Holders	38,155	38,813	42,667	43,541
10.	Artisans & Others	3,61,604	3,68,131	4,00,742	3,47,546
	Total	18,18,055	18,90,523	19,52,429	20,13,460

48. The figures in Table-9 above make an interesting study. During the last 3 years, the number of Engineering graduates on the live register has been decreasing. But the registration of these graduates from April 2001 to July 2001 has increased almost by 10%. A clear indication of down trend in the I.T.Sector. So is the case with Science graduates. This trend is a pointer to the fact that the Employment Exchanges are approached as a last resort in an effort to secure employment.

49. During field visit to Gulbarga, the teams interacted with candidates registering their names with the exchanges. Candidates candidly conceded that they do not entertain any hope of landing a job through exchanges, but they are registering only for the registration number, which might become necessary at a later date in case the policy of the Government changes. It was an act to tackle a remote contingency than reposing faith in the system.

50. Therefore it is recommended that only one State Level Bureau can be established to meet such requirements by providing for registration through post and e-mail and abolish all other Employment Exchanges.

The private sector is already playing a major note in providing placement services. There are also hundred of Websites offering their services to the prospective candidates. The **Business World** magazine has published a Directory of placement consultancy containing addresses of 500 placement services, along with its September 2001 edition.

Vocational Guidance:

51. Vocational guidance is an important function of the department. During field visits, the brochures being used by the department were studied. Most of them were completely out dated. The profile of the job and job market is undergoing a rapid change. The traditional white collar or blue collar distinction is diminishing. It is now an era of mechanization and multiskilled professionals in the "Wage Employment Sector". It is the people who could not understand the ongoing metamorphosis and acquire new skills to market themselves are being left on the "Live Registers" of the exchanges. The vocational guidance has to now fill up this gap and guide the unemployed especially in the rural area, about the growing/oncoming trends in employment market.

52. Now the service sector contributes more to the Indian Economy than the Agriculture or Industries Sector. Therefore the option of "Self Employment" is inevitable and preferable to limited "Wage Employment". The vocational guidance section has to become a resource center of information of not only the latest trends but also of the Industries/organisations which empower/train the unemployed to become self-employed. Most of the development departments /universities / organisations have training programmes of a specialized nature meant for dissemination of knowledge and skills. The SEB should establish linkages with all the Central and State departments and also the universities, NGO's and other organisations to function as a resource center of information on training.

TRAINING WING

53. The Training Wing of the department of Employment and Training manages the issues connected with Craftsmen Training Scheme (C.T.S.) and Apprenticeship Scheme. In this connection, the Director is assisted by an Additional Director (Training) who in turn is assisted by 2 Joint Directors Viz. Joint Director of Training (ATS)/ Joint Apprenticeship Adviser and Joint Director of Training (Examinations) respectively.

JOB ROLES

Additional Director (Training):

54. He is in-charge of the Training Wing of the Department. He is in over all supervision of Administration, Co-ordination and Financial matters pertaining to Training Wing. He is also responsible for the implementation of Craftsmen Training Scheme, Apprenticeship Training Scheme and other short term and Special Training Courses. All the Industrial Training Institutes and programmes, Tools And Equipments, raw materials, spares etc. are the other responsibilities of the officer.

Joint Director of Training (ATS)/ Joint Apprenticeship Adviser:

55. He will report to the Director through the Additional Director. He will assist the Additional Director in implementation of the provisions of National Apprenticeship Act 1961.

Joint Director of Training (Examinations):

56. He is Controller of Examination to supervise the conduct of examinations under Craftsmen Training Scheme and Apprenticeship Training Scheme. He also functions as Secretary of the State Board of Examinations.

Staff Strength of Training Wing:

57. The Training Wing of the department of Employment and Training has a total sanctioned staff strength of 3212 posts out of which 1942 posts are filled up and the remaining 1270 posts are vacant.. Most of these posts are in Industrial Training Institutes.

ORGANIZATION OF THE DIVISION OFFICE:

58. There are 4 Divisional level Offices of the Training Wing of the Department located at Hubli, Gulbarga, Bangalore and Mysore respectively. The jurisdiction of these offices corresponds to the jurisdiction of Revenue Divisions.

59. The Office is headed by a Joint Director (Training) and he is also Ex-Officio Joint Apprenticeship Adviser. He is assisted by an Asst. Director (Training) and an Asst. Apprenticeship advisor, who is also in the rank of Asst. Director. TOs, Office Suptds, FDAs, SDAs and Typists assist these Asst. Directors. The ITI's functioning in the respective Revenue Divisions are under the Administrative Control of these Offices. Job Chart of the Joint Director (Training) of the Division is given in Annexure-8.

SCHEMES OF THE DEPARTMENT:

60. The Department of Employment & Training is importing training schemes under two schemes (1) Craftsmen Training Scheme (2) Apprenticeship Scheme.

Craftsmen Training Scheme (C.T.S.)

61. In order to provide vocational training to the educated youth, to cultivate and nurture a technical and industrial attitude in the minds of the younger generation, the Government of India evolved a scheme, in 1950 called the Craftsman Training Scheme. This training is imparted to the candidates through ITIs, which function under the administrative control of the State Governments. SSLC is the minimum qualification prescribed to pursue studies in Industrial Training Institutes and the curriculum is more practical oriented and very minimum of theory.

The objects of this Scheme are:

- a. To ensure a continuous flow of skilled workers in different trades for the industry;
- b. To raise the quality and quantity of industrial production by systematic training of workers; and
- c. To reduce unemployment among the educated youth by equipping them for suitable industrial employment.

The details on the Scheme is given in Annexure-9.

Apprenticeship Scheme:

62. Under this Apprenticeship, the selected boys and girls will be posted to identified Industries and other Establishment for acquiring skills while working along with regular employment and schemes. The establishment would also conduct theoretical classes for this training. This programme is conducted under the Central Act, Apprenticeship Act of 1961.

The details of the scheme are given in Annexure-10.

National Council for Vocational Training (NCVT):

63. With a view to have a central agency for coordinating the training programmes, to be conducted by ITIs and also to bring about uniform standards and awarding of certificates on an all India basis, a body called, National Council for Vocational Training (NCVT), was set up at the Centre, by Govt. of India in the year 1956. This Council has been entrusted with the responsibilities of prescribing standards and curricula for Craftsman Training, advising the Government of India on the overall policy and programmes conducting All India Trade Tests and awarding of National Trade Certificates.

Main functions of NCVT:

64. The main functions of the National Council for Vocational Training are as follows:

- 1) Awarding of Certificates to ITI holders and Apprentices
- 2) Conducting of Examinations through out India simultaneously.
- 3) Prescribing standards in respect of syllabi, equipment, scale of accommodation, duration of courses and methods of training.
- 4) Recognition of Industrial Training Institutes.

Composition of the NCVT

65. The Govt. of India constitutes the Council. The Directors of Employment and Training of all the State Govts, are also the members of the Council. The Union Minister for Labour/State Minister for Labour/Deputy Minister for Labour will be the Chairman of the Council.

66. The NCVT has recognised 64 Trades under Craftsmen Training Scheme. There are 43 Engineering Trades and the remaining are known as Non-Engineering Trades. Please refer Annexure-11.

State Council for Vocational Training:

67. The State Council for Vocational Training functions to advise the State Government in carrying out the training policy laid down by the National Council and Coordinate the Vocational Training Programme throughout the State.

68. The Hon'ble Minister of Labour is the Chairman and it has both official and non-official members. The SCVT was reconstituted in 2000 (Please see Annexure-13). It is functioning at the Directorate and two posts of a Typist and a Peon have been sanctioned. The functions of SCVT is placed in Annexure-12.

INDUSTRIAL TRAINING INSTITUTES:

70. Industrial Training Institutes impart training in various Trades recognized by the National Council for Vocational Training under the Craftsmen Training Scheme. There are a total of 453 Industrial Training Institutes in the State which comprise of those run by Government, the aided and the unaided ones. Details of these Institutes are given in the table below:

1.	Govt. ITI s	98
2.	Private Govt. aided Pvt. ITI	120
3.	Private Unaided Pvt.ITI	235

Grant-in-Aid to private ITI s:

71. The State Govt., as a matter of policy, started sanctioning Grant-in -Aid to private I.T.Is during the year 1997. Since then 120 private ITI s have been brought under Grant-in-Aid. Details are given in the table below:

TABLE NO.7

Sl.No	Year of Sanctioning GIA	No. Covered
1.	1997-98	06
2.	1998-99	109
3.	1999-2000	03
4.	2000-2001	02
	Total	120

72. Private ITI that has completed Seven years after the grant of affiliation will be eligible for Grants upto 70% of the wage bill of its Employers. No other assistance for Capital cost nor the recurring cost is extended by the State Government.

Student Strength in ITI s:

73. The Student (Trainees) strength studying in the various ITI Colleges during 2000-2001 is as follows:

TABLE NO.8

Trainees (Students)	Scheduled Caste	Scheduled Tribe	Tribe	Total
Boys	6161	756	23029	29946
Girls	900	208	10863	11971
Total	7061	964	33892	41917

Staff strength of Govt. ITI:

74. There are two types of ITI based on the intake capacity of the Institutes. The Grade-I Principal heads bigger institute is equal in rank to a Deputy Director. The staff strength of the ITI depend upon the number of Trades and units. There are 467 number of vacancies of Junior Training Officers. The courses are being conducted through Guest Trainees on honorarium basis. It has affected continuity and quality of training.

CRITICAL ANALYSIS:

75. One of the critical activities to be carried out by the Government is to enhance the labour force's skills by providing them with suitable training. This is being done through the various Industrial Training Institutes (ITIs). It is not easy to quantify the skills of the labour force since very little data is available and there are few or no studies made in this regard. However, the skills of the students who enter the ITIs have been quantified and some data is available. Even then the level of vocational skills in the labour force in the State does compare very poorly with the levels in other States like Maharashtra, Tamil Nadu, Gujarat etc. The preference for general education not only in the Karnataka but in the rest of the country is driven by the perception that with an academic degree it would be easier for candidates to obtain a government employment which is still considered to be of very high value because of the high job security and pay scales which are far above the market wages. As a result, vocational education has been neglected in comparison to general education.

76. The variety and quantum of skills that are acquired come from the following channels: -

(a) Hereditary traditional skills acquired in the family: - The skills acquired in this process are generally not attuned to the market requirements nor are the workmen able to produce in competition with other institutions manufacturing similar goods. As a result, many of their products are highly priced and generally do not attract a good market. The quality of the skills acquired in this manner also does not reflect the modern times. The present system of vocational training is inadequate to meet the skill requirements of rapid growth. A broad based effort is needed to reform the system. The existing ITI system will need to be restructured and additional resources provided to improve its output. Industry should be involved to a much greater extent in the management of I.T.Is. and for this purpose, selected I.T.Is. chosen for joint management with industry should be converted into autonomous bodies receiving government funds with a management structure in which industry representatives can be formally inducted on the governing boards and the institutions are also given sufficient autonomy to become effectively board managed.

(b) On the Job Training: - In this case, the workers join business either small or large to learn skills or some skilled work. They are generally poorly paid with due recognition to the skills that they may gradually acquire during the process or on completion of the training. Acquisition of skills in this manner is both formal and informal.

(c) Work related Education: - Most of the candidates who would fall into this category would be those with higher incomes and higher levels of academic qualifications. An MBA course would fit in this description. Other general academic degrees like B.Com would also fit into this category but there is mismatch between the number of graduates and the employed.

(d) Vocational Training and ITIs: - In the State, the ITIs contribute 14,537 number of skilled work force every year to the market. There are 453 number of ITIs in the State with 98 wholly owned by the Government, 120 Grants-in-Aid and 235 run by private sector. The it is provide coaching in both engineering and non-engineering trades. The training provided by these ITIs in the Government, grants-in-aid and private sector varies widely both in terms of quality and quantity across the board.

(e) Apprenticeship Training: - The apprenticeship training is another improved means of training semi skilled workers in the State. The apprenticeship is done into two parts. In one process, SSLC qualified students are directly taken as apprentices by various industries. In the other, students who have completed ITI can also join as apprentices. At the end of the apprenticeship period, the National Council for Vocational Education & Training tests them and the successful candidates are given national apprenticeship certificates. Every year in the State, 16,598 (for 2000-01) number of apprenticeship certificates are awarded. However, there are still 3000 number of apprenticeship seats which continue to fall vacant every year in spite of the high employment rate with the apprenticeship guarantees.

77. If we therefore take all the above mentioned skilled training programmes into account, every year on an average 14537 number of skilled people are entering the work force. However, compared with the unemployment in the State, this number is still not adequate to satisfy need of the unemployed youth.

78. Problems with the ITIs :- The inadequacy with the number of seats and the quantum of training being a major problem, the far more serious problem with the ITIs is the quality training that is being imparted. While in other vocational institutions like IITs, Medical colleges and even Business Schools, the quality of training is excellent comparable to any international standards yet in the ITIs it is dismal.

79. The Commission tried to obtain the evaluation studies done about the ITIs in Karnataka but could not do so. However, during the field studies conducted by the Commission's staff for the purpose of functional review, certain issues have come to light. The employment percentage of those who have graduated from the ITIs is fairly good. Bowing to the demands, the State Government every year gives permission to the opening of new ITIs. During the past three years alone, 48 ITIs in the Government sector, 93 in the private sector have been opened with 112 ITIs being recognised for grants-in-aid. However, there has been inadequate preparatory work with regard to availability of proper location, building and other infrastructure facilities for the setting up of the ITIs. Also, there is acute shortage of the required staff for the ITIs. Even today, much of the training that is provided in the ITIs is for skills, which are outdated. There are several ITIs in the State where the demand is for a particular trade whereas the Trainers in the ITIs are not available for those trades. The curriculum has not been revised for many years to meet the present change in the situation. While the curriculum has to be revised by the NCVET, yet after series of meetings, discussions seem to have taken, nothing concrete has emerged. As a result, every year, several students qualify in the ITIs, studying old syllabus and when they come out in the job market, they find themselves irrelevant of or seeking employment. The lack of attention shown to the revision of the syllabi for the ITIs could be attributed to the fact that industry has little or no interest in what the it is; do unlike the syllabi, which is very current and updated in the IITs, Medical colleges and Business Management courses.

The quality of skills that are imparted in the ITIs needs tremendous improvement. The transfer of skills that takes place in the ITIs is done through equipments, which are outdated. For paucity of funds, the ITIs are unable to equip themselves with the latest type of machinery, which is used in the market place to train the students. This gradually hinders the quality of training that is imparted to the students. Most Private ITIs are functioning in buildings, which are unsuitable for running of ITIs. One exception that the ARC team found was JSS ITI at Chamarajanagar (name of the town).

80. The inability of the ITIs to upgrade their existing equipment or even maintain equipment reflects scarcity of resources. This situation is made worse by the tendency of the Government to create new institutions in places where there are no ITIs even though the existing institutions are not funded and severely lack in infrastructure.

81. The quality of the apprenticeship training thus given also depends on the firm. The bulk of the apprenticeship is done in the public sector undertakings and very small percentage done in the private sector. Generally private firms do not comply with the requirements under the Apprenticeship Act. The apprenticeship is more or less viewed as a mode to seek employment rather than a process of training. The Apprenticeship Act does not entitle them to employment yet because of various interpretations given by the courts over time to the Act, an apprentice should get preference over others for employment. Private firms get discouraged from fulfilling their obligations under the Act in taking up apprentices.

82. Private sector involvement in training has been discouraged because of highly subsidized training services provided by the public sector. There is also an undesirable nexus between regulations in extending recognition to the institutions. This should change.

83. The Planning Commission task force on Employment has recommended that the Central Government should completely withdraw from delivery of vocational training services. It should foster autonomous professional bodies that give recognition to training institutes by declaring them as eligible training providers. The Government's role should be one of monitoring the institutions that set up standards of training and evaluating and assigning rating to the private training establishments.

84. A parallel institution is needed in State Governments to focus on vocational education in schools. At State Government level, Vocational Education, Vocational Training and Technical Education should be the responsibility of a single Department.

85. This role could be adopted by the SCVT which at present is only functioning as an implementing agency as a policy making body at the State level. The SCVT is in an ideal position to determine what is more suited to the State by identifying the new thrust areas. It is also possible to revise the syllabus by incorporating the latest developments and technology.

86. It has so far recognized 5 Engineering trades. The list of trades of NCVT is quite exhaustive and is placed in Annexure. It is possible to select few of these trades and modify them to suit the local needs and recognized.

87. XV. SUGGESTIONS:

- In the Government of India, the apprenticeship and vocational training is handled by Ministry of Labour. Therefore, in some States this subject has come to be handled by the Labour Departments. However, Labour Department does not possess requisite skills nor capabilities to handle the education. As is done in the neighboring states of Andhra Pradesh, Tamil Nadu and several other states, education for the vocational or general is best handled by the Education Department. Therefore, all ITIs under the Labour Department should be transferred to ED to be administered by Director of Technical Education. This would enable convergence of courses/trades and even better utilisation of staff between the polytechnics and ITIs.
- Why is it that all ITIs should have all the trades. It would be better for ITIs to specialize in certain trades. This would help ITIs in giving better focus and it would also reduce the large number of Trainers who are recruited in each IIT s but do not have adequate students or lack of demand.
- There must be greater interface between the ITIs. At present, most ITI s are generally run as departmental organisation under full departmental control with responsibilities only to the State Government. Introduction of joint management for the ITI s with the private sector as well as Government having mutual responsibilities would enhance the credibility of the ITI s and also help students.
- Another alternative could be that each ITI to run by a board with industry representatives on the board. This would create a sense of ownership in the industry for the running of the ITI s.
- There has to be a diversification of the trades in the ITI s. Over the past few years, ITI s have introduced computer education but the manner and quality in which it is taught in the ITI s leaves much to be desired. Newer trades like Catering Technology, Fashion Designing, Architecture, basics in Bio Technology must be introduced to cater to the market demands.
- ITI education in the Government is impacted free. Government collects Rs.400/- as caution Money deposit from each candidate, which is refundable after the end of the course. The caution Money for SC/ST candidate is Rs.250/- per course. The Private ITIs have their fee structure and it varies from Institute to institute. Unless adequate resources are available to ITIs, it would be very difficult for them to provide quality training. As is being done for general education, there is need to charge fees for ITI courses.
- Since it may not be possible for Government to provide all the funds that are required for the ITI s, donations made by the corporate sector towards ITIs may be treated as exempt from income tax.

88. Most of the Govt.ITIs are suffering from shortage of training faculty. They have been permitted to appoint the eligible persons on payment of honorarium. This adhoc procedure has affected the quality of training and performance. It is therefore recommended to recruit the suitable persons to fill up the vacancy of JTOs. immediately, so that the trainees will not become victims.

89. National Council of Vocational Training (NCVT) is located at New Delhi. It is prescribing syllabus and is conducting the examination. The NCVT is issuing certificates to the persons passed, It is therefore necessary to improve and strengthen the State Council for Vocational Training (SCVT). If it is strengthened, the dept. can run many courses under the supervision of SCVT. SCVT can prescribe the syllabus and can conduct the examinations. SCVT can immediately change the syllabus and prescribe such a syllabus, which can suit the local industry, establishments etc. NCVT finalises Trades of Syllabus for the whole of India. The State has to adopt such Trades which would have local relevance and application. What has been observed is that the emphasis is on Traditional and Engineering Trades. Considering that nearly 25,000 Engineering Graduates come out of Colleges in Karnataka every year, the focus I.T.Is. have to be else where. The public perception that the employment potential for I.T.I. passouts is good is not correct. A perusal of Live Registers of Employment Wing would reveal that the number of unemployed in the category occupy the III position, after (1) Others and Artisans and (2) SSLC/PUC passed categories.

90. This is not to say that the I.T.Is. do not have relevance. Only to emphasis that the focus has to be shifted to trades which are current and relevant. The 64 trades approved by NCVT itself provide ample choice for selection of new trades. The SCVT can make bold endeavours to make I.T.Is. education more meaningful and relevant.

Workload Aanalysis of the Training Wing of the Directorate of Employment and Training:-

91. There are totally 14 sections in the head office. The total receipts received during the May, June and July 2001 are 3567. That means an average of 1189 receipts received during each month and if it is divided among the 14 sections, each section will be getting 84.93 or 85 receipts for the whole month. If 85 receipts are divided by 25 days. We are going to get, the figure of receipts per day per section i.e., 0.29 receipt per section per day.

Directorate of Employment and Training

FINDINGS

92. There are two separate wings in the Department i.e., Employment Wing and Training Wing. The Director is the only common authority.

Total No.of Staff in the Department:

Category	Employment wing			Training wing		
	Sanctioned	Working	Vacant	Sanctioned	Working	Vacant
Group A	30	25	05	24	19	05
Group B	58	43	15	111	85	26
Group C	317	270	47	2492	1481	*1011
Group D	108	103	05	585	357	228
Total	513	441	72	3212	1942	1270

93. There are 3725 sanctioned vacancies, 2383 persons are working and there are 1342 vacancies in the Department including the staff of ITI's also.

*Includes 467 vacancies of Junior Training Officers in ITI's.

Staff at the Directorate Level:

Category	Employment wing			Training wing		
	Sanctioned	Working	Vacant	Sanctioned	Working	Vacant
Group A	8	6	2	10	7	3
Group B	4	4	-	6	5	1
Group C	35	30	5	104	97	7
Group D	9	8	1	30	27	3
Total	56	48	8	150	136	14

There are 34 Employment Exchanges in the State:

Sl.No.	Employment Exchanges	No.
1.	District Employment Exchange	26
2.	Project Employment Exchange	1
3.	Sub Regional Employment Exchange	1
4.	Professional & Executive Employment Exchange	1
5.	SC/ST Employment Exchange	1
6.	Employment Exchange for Physically Handicapped	4
	Total	34

■ The Department also has:

Career Study Centre	1
Enforcement Units	6
University Employment Information Guidance Bureau	6
Job Development Unit	1
State Computer centre	1

■ The Department enforces:

1. The Employment Exchanges Compulsory Notification of Vacancies, Act 1959.
2. The Apprentices Act, 1961.

- Employment Exchanges have 20.13 Lakh persons on Live Registers as on 31.7.2001.
- The Live Registers have the names of persons who have crossed the maximum age limit prescribed for Government appointments, though this is not barred under the Employment Exchanges Compulsory Notification of Vacancies, Act 1959. They are never sponsored by the Exchanges. These numbers only inflate the total number of people in the Live Registers.
- There is very little sponsorship after the Supreme Court Judgment that it is not mandatory for the employers to follow the list furnished by Employment Exchanges for appointments.
- The utility of Exchanges has diminished – 0.34% sponsorships only during 2000-01. That too with Haveri and Bangalore (Urban & Rural) accounting for 50% of sponsorships.
- The only departments, which have sought sponsorships, are Police Department and Postal Department.
- The 6 University Employment Guidance Bureaux have not been effective as the work is duplicated between the regular Employment Exchanges and Professional Employment Exchange.
- The Vocational Guidance Brochures being circulated was published during late eighties and early nineties. They are completely out dated.
- The 6 Enforcement Units serve no purpose other than compilation of data pertaining to no. of Posts, no. of Vacancies etc. in Government, public undertakings and private sector and then forwarding the same to Head Office.
- The Special Employment Exchanges only maintain the duplicate Record of Registrations done by other Exchanges in the Region.
- The Department has not been able to utilise the Employment information available on websites.
- There are 98 Government ITI's, 120 Aided ITI's and 235 Unaided ITI's in the State as on 31-7-2001.
- National Council For Vocational Training has identified 64 trades.
- State Council For Vocational Training has identified 5 trades.
- There were 41,917 students admitted during 2000-2001 in all ITI's. Out of this only 30,874 candidates (74%) appeared for the Examinations. 53.76% passed the Examination. During the last three years many of the failed candidates have not appeared for the examinations again.
- The academic performance of government ITI's has been around 56% and that of private ITI's is around 54%.
- Contrary to public perception there is a high degree of unemployment among the ITI students. 78,935 ITI certificate holders are on the live Registers of Employment Exchanges- next only to those who have passed SSLC/PUC.

- The Private I.T.Is in Kamalapur, Gulbarga District, Mulabagilu, Bijapur, Sindagi, Muddebihal, Yadgir are located in buildings not suitable for starting any kind of Educational Institutions.
- The J.T.O's are either only Diploma holders or ITI certificate holders having apprenticeship certificates. They have not been trained and oriented to be the Junior Training Officers. The J.T.O's have to be sent regularly to the Advanced Training Programmes to get the exposure to new methods and tools.
- The syllabus for most of the trades has not been updated incorporating the latest development and technologies.
- Several Government I.T.Is have obsolete equipments in Laboratories and Workshops.
- Even the syllabus of latest trade COPA (Computer Operator and Programming Assistant) has little relevancy and has become out-dated with rapid development in the I.T.Sector.
- The process of revision of syllabus and introduction of new and latest trades is time consuming and takes two to three years and by that time the latest revision itself would become outdated.
- There is too much of centralisation of power in National Council for Vocational Training.
- The State Council For Vocational Training is functioning more as an implementation agency at the state level than as a policy making body.
- There is a mindset that only the "National Trade Certificate" issued by NCVT is more sacrosanct and that it has All India & universal acceptability.
- There is lack of vision to make I.T.Is Centres Of Excellence. The focus is only on the comfort provided by the existing linkages.
- There are large numbers of ITIs imparting training in the same trades without concern for the quality and/or market demand.
- The management of vocational training needs more professional focus and industry relevance.
- The spread of I.T.Is is even in most of the Districts except in new Districts. There is no need to open new ITI's.

Recommendations

1. The State Computer centre of the Department of Employment And Training should be provide with the state of the art computers and communication equipments and networked. It should be renamed as **State Employment Bureau**. The Bureau should be headed by a Joint Director and assisted by two Deputy Directors, and three Assistant Directors.
2. The structure of the **State Employment Bureau** will be as given below.

SL.NO.	DESGINATION	JOB DESCRIPTION	No.Of Posts
1.	Joint Director	Head of the Bureau	1
2.	Deputy Director	1. Placement Services	1
	Assistant Director	2. Vocational Guidance	1
3.	Employment Officer	1. Administration	1
		2. Computer Centre	1
		3. Enforcement	1
4.	Executive Assistants	Assisting the Officers	3
	First Division Assistants	Administration Section	3
	Group-D		
	Total		15

3. The department has 48 unit offices managing the work of Employment wing. All these units are to be abolished.
4. There are 30 Group-A posts in the Employment wing. After deploying 3 officers to the State Employment Bureau, all the other posts may be abolished and the persons working against these be offered voluntary retirement or redeployed.
5. These are 58 Group-B officer posts and 15 of them are vacant. 3 of the officers may be posted to the State Employment Bureau and all the remaining posts are to be abolished and the 40 officers working may be offered VRS.
6. Out of 317 Groups-C posts, 47 posts are vacant. Retaining 6 of them for SEB, all the other posts may be abolished.
7. Retaining 3 Group-D for SEB the balance 105 posts may be abolished.
8. The role and functions of the State Employment Bureau has to be redefined.

Present	Proposed
a) Registering and sponsoring	(a) Registering and providing placement services (From a Record Keeper to facilitator)
b) Dependence on Government	(b) Establish Relationship with Private Sector for Sponsorship. (c) Continued Interaction with Industries to identify requirements.

9. Creating a Forum for Periodical/Regular Interactions with Employer and Prospective candidates.
10. Application of I.T. and maintenance of Central Database is required instead of specialised exchanges for SC/ST, Professionals and Handicapped persons.

11. The State Employment Bureau to adopt modern technology and modern placement methods – A shift to be made from maintenance of Bio-data to Curriculum Vitae of candidates.
12. Facilitate the first job offer as well as offers for change of jobs.
13. All job seekers may be allowed to register in the S.E.B. by post or e-mail and or through Web sites.
14. There should be no age restrictions for Registration.
15. Abolish the Employment Wing of the Directorate of Employment & Training.
16. The State Employment Bureau and to function under the Administrative Control of Director of Employment and Training.

Training Wing

- (1) There are 150 officers and staff in Training wing at the Head office level. The 4 vacant posts of officers may be abolished.
- (2) By application of modern Technological tools 50% of the Group-C may be abolished.
- (3) All I.T.I's of Government need not have courses in all trades.
- (4) There is shortage of Junior Training Officers in several ITI's. By distribution of trades the pressure on posting of J.T.O's could be reduced. The existing J.T.O's should be deployed to only selected Institute for a particular trade.
- (5) By attaching ITI's to Polytechnics and Engineering Colleges linkages could be established for optimum utilisation of infrastructure and training of J.T.O's in latest technology.
- (6) The State Council for Vocational Training is to be activated to bring more autonomy in:
 - I. Introduction of New Trades;
 - II. Revision of Curriculum periodically.
- (7) Establish Linkages and continued Interaction with Trade guilds/Industries for assessment of trends in labour market and Employment potential in emerging sectors.

DEPARTMENT OF FACTORIES & BOILERS

History of the Department

1. The Industrialisation was a slow process in India during 19th Century. There was little or no encouragement of the then British Government, as India was a source of raw materials and a market for finished goods manufactured by British Industries. In spite of the lack of incentives several entrepreneurs started industries in India. These industries were also exploiting the abundant raw materials and cheap labour. The then Government took notice of the industrial scene only when Indian industries became a serious challenge to British industries. Thus the factory laws took birth more as a regulatory measure to create a level field for British industry than as a social security measure for the welfare of labour.

2. It was in 1873, the attention of the public in India was drawn to the working conditions in Factories. The Report on the " Administration of the Bombay Cotton Department " submitted in 1872-73 by Major Moore dealt with, in greater detail, the working conditions in factories in Bombay and touched specially on the length of the working hours, the working condition of women, as also of children who began to work at six years of age. The Report had highlighted the plight of the workers and the harsh conditions in which they had to work for hours from dawn to dusk, with a very brief interval of half an hour for lunch with no weekend holidays, barring a couple of days respite in a month. Taking note of this report in 1875, the Bombay Government appointed a Commission to determine whether legislation was necessary to regulate the working conditions. With a majority of seven against two, the Commission recommended to have legislation. During the year 1877, the first Draft Bill was framed. The said Bill came to be passed in 1881 after much discussion and modifications. The Act XII of 1911 later replaced this enactment.

3. Subsequently for making the inspections more effective by increasing the powers of the Inspectors and providing generally for the better operation of the Act, several new provisions were inserted. For any violation of the provisions of the Act and of the Rules and Orders made there under, it was found difficult to fix the responsibility on anybody in a factory. Therefore, the Manager of the factory was included within the meaning of the word 'Occupier' as defined in the Act for fixing such responsibility and more changes to Factories Act followed from time to time. During 1940, 1941, 1944, 1945, 1946 and 1947, series of amendments were made to the Act and later the whole legislation was recast and a new Act was adopted in 1948. Under the Factories Act, 1948, the State Government issued the Karnataka Factories Rules, 1969, which came into force with effect from 11-3-1969.

4. The Indian Boilers Act, 1923(Act 5 of 1923) came to be enacted with the object to consolidate and amend the law relating to Steam Boilers. This enactment belongs to the class of what is known as factory legislation.

OBJECTIVES AND FUNCTIONS OF THE DEPARTMENT

5. The main objectives of Factories Wing of the Department is enforcement of the provisions of the Factories Act, 1948 which mainly deals with Health, Safety and Welfare of the Workmen, specific responsibilities of the Occupier in relation to hazardous processes, employment of young persons and women, working hours & holidays, and annual Leave with wages respectively.

Acts and Rules Being Enforced By the Factory Wing:

- a) The Factory Act, 1948 and the Rules made there under;
- b) The Payment of Wages Act, 1963 and the Rules made there- under;
- c) The Maternity Benefit Act, 1961 and the Rules made thereunder;
- d) The Environment Protection Act, 1986 and the Rules made there- under;
- e) The Child Labour (Prohibition and Regulation) Act, 1986 and the Rules made thereunder.

Important Functions of Factory wing

- Approval of plan and layout of the machinery
- Ensuring safety of the workmen.
- ✓ ● Ensure proper work environment
- Scrutinize the safety of the plants and systems
- To guide the management in the preparation of safety policies on-site emergency plans and disaster management measures

6. The main objective of the Boilers Wing of the Department is the enforcement of the provisions of The Indian Boilers Act, 1923; to secure uniformity throughout India in all technical matters connected with Boiler regulation e.g., standards of construction, maximum pressure, Safety standards etc and to insist on the registration and regular inspection of all Boilers.

Acts and Rules Being Enforced By the Boiler Wing

- a) Indian Boilers Act, 1923.
- b) The Indian Boiler Regulations, 1950
- c) Karnataka Boiler Rules 1982
- d) Karnataka Economizer Rules, 1959
- e) Karnataka Boiler Attendants Rules 1962
- f) Karnataka Boiler Operation Engineers Rules, 1959

Main Functions Of The Boilers Wing

- To ensure that all safety measures are being followed in the use of Boilers.
- To ensure that all safety measures are being followed in the use of economizers and streamlines.

The statutory provisions are under constant review by the Central Boilers Board having regard to technological advances in the field of manufacture of Boilers in par with international standards.

ORGANISATIONAL STRUCTURE OF THE DEPARTMENT

State Level:

The Chief Inspector of Factories and Boilers is the Head of the Department. Two Joint Chief Inspector of Factories, 8 Deputy Chief Inspectors of Factories, 10 Senior Inspectors of Factories, 6 Inspectors of Factories of whom 1 Inspector functions as Headquarters Assistant to the Chief Inspector and another looks after women and child labour in factories, 2 Medical Inspectors of Factories and the other supporting staff assist him in so far as the Factories Wing of the Department is concerned. On the Boilers Wing, one Joint Chief Inspector of Boilers, 2 Deputy Chief Inspectors of Boilers, 4 Senior Inspectors of Boilers and 7 Inspectors of Boilers assist the Chief Inspector. The organizational chart of the Chief Inspectorate of Factories and Boilers is at Annexure-I.

8. Subordinate Offices:

The Factory Wing of the Department has divided the State of Karnataka into eight Regions for enforcement of factory legislations and a Deputy Chief Inspector of Factories heads each Region. Three of them are stationed in Bangalore and other five are at Mysore, Hubli, Gulbarga, Mangalore and Belgaum. These officers have jurisdiction over their respective divisional offices. Under the eight regional offices as stated above, there are 9 divisional offices of the Senior Inspectors of Factories and 22 divisional offices of the Inspectors of Factories. Out of these, 11 offices are located at Bangalore. The remaining are at Doddaballapur, Anekal, Kolar, Mandya, Mysore, Mangalore, Udupi, Shimoga, Hubli, Gadag, Raichur, Bellary, Davangere, Belgaum, Bijapur, Gulbarga, Gokak and Tumkur.

9. The Boiler Wing of the Department divides the State into two regions headed by the Deputy Chief Inspector of Boilers for enforcement of Boilers Act in respect of High Pressure Boilers. Both the offices are located at Bangalore. There are 3 Senior Inspectors of Boilers and 6 Inspectors of Boilers at divisional level. Two of them are located at Bangalore and the remaining are located at Mysore, Shimoga, Gulbarga, Davangere, Hubli, Mangalore and Belgaum. In addition to this there is one Deputy Chief Inspector of Boilers is heading the Boiler Testing, Training and Examination Cell and is assisted by one Senior Inspector of Boilers and one Inspector of Boiler. All of them are located at Head- quarters itself having the Jurisdiction over the entire state.

JOB ROLES-FUNCTIONS AND DUTIES

Chief Inspector of Factories and Boilers:

10. The Head of Department namely the Chief Inspector of Factories and Boilers is appointed under Section 8(2) of the Factories Act, 1948. The main functions of the Chief Inspector of Factories and Boilers are as follows:

- a. To implement the Acts and Rules of the Depts.
- b. To have full administrative control of the dept.

The responsibilities and duties of the Chief Inspector of Factories and Boilers are as follows:

- i) To deal with the Administrative matters of the dept.
- ii) The policies, orders and directions of the Govt. are to be implemented and action to be taken;
- iii) As per the Acts and Rules of the dept., actions are taken to implement them.
- iv) Coordinating with the State and Central Govt., on implementing the programmes charted out by the D.G.F.A.S.L.I. Central Boilers Board, Bombay;
- v) To make available the information to the State and Central Governments whenever they called for.

Joint Chief Inspector of Factories:

11. There are two posts of Joint Chief Inspector of Factories and both are functioning at the Head Office. They exercise the delegated powers of approval of plans and registration of factories, Transfer and amendment of license granting of exemptions for the factories employing more than 250 workers and up to 500 workers

Deputy Chief Inspector of Factories:

12. There are 8 posts of Deputy Chief Inspector of Factories and working in regions. They have the delegated powers to approve plans, registration of factories, transfers and amendment of licenses, granting of exemptions for the factories employing up to 250 workmen.

Senior Inspector of Factories:

13. There are 9 posts of Senior Inspectors of Factories and another post of Senior Inspector of Factories (Women & Child Welfare). They are the enforcing authorities under the Acts.

Inspector of Factories:

14. There are 22 posts of Inspectors of factories and are enforcing authorities under the acts.

Joint Chief Inspector of Boilers:

15. There is one post of Joint Chief Inspector of Boilers and is attached to the Head office. He assists the Chief Inspector of Factories & Boilers in discharging the duties of Boiler Wing. According approval of Steam Pipelines, Registration of Boilers, Erection of Boilers, Verification of Inspection, Reports of Boilers Inspectors etc.

Deputy Chief Inspector of Boilers:

16. The Deputy Chief Inspector of Boilers is assisting the Joint Chief Inspector of Boilers and Chief Inspector of Boilers. According approval for erection of Steam Pipeline, Registration of Boilers, Erection Boilers, Verification of Inspection Reports filed by Inspectors.

Deputy Chief Inspector of Boilers, Boilers Testing, Training & Examination Cell:

17. The main function of the cell is the conducting the Welders examination and training of Boiler attendants for the safe operation of Boilers. The other important work is to conduct inspection of Boilers during the various stages of manufacturing of boilers and its pressure parts etc. Senior Inspector of Boilers assists him.

TABLE-1

No.	Particulars	1997-98	1998-99	1999-00	2000-01
1.	No.of candidates appeared for boiler operation engineer examination.	263	Board not constituted	110	62+121
2.	No.of successful candidates	205		98	61
3.	No.of candidates appeared for I Class Boiler Attendant Exam	149	64	118	The Boiler Attendant Board is yet to be Constituted and is pending with Govt.
4.	No.of successful candidates	75	29	72	
5.	No.of candidates appeared for II Class Boilers Attendants Examination	234	183	325	
6.	No.of successful candidates	197	81	229	

Powers and Responsibilities of Enforcing Authorities:

18. For effective functions of the department, the powers of the Chief Inspector of Factories and Boilers have been delegated to the Joint Chief Inspector of Factories and Boilers for according approval of plans, registration of factories, transfer and amendment of license, granting of exemptions for the factories employing more than 250 workers and up to 500 workers. The Deputy Chief Inspector of Factories have been delegated the power of approval of plans registration of factories, transfers and amendment of license, granting of exemptions for the Factories employing up to 250 workers. The Inspector of Factories/Senior Inspector of Factories/Inspectors of Women and Child Labour in Factories are the Field Officers implementing the above said laws.

The Activities of the Department:

Karnataka State Safety Institute

19. The Department has a Safety Institute is headed by the Chief Inspector of Factories and Boilers as Chairman to carry out propagation of safety and health in the registered factories throughout the State through audiovisual facilities. The institute is also

conducting training classes and seminars both to the management and the workers including supervisors. Each regional Deputy Chief Inspector of Factories have been given the target of conducting 12 training programmes in their regions to the workers and middle level management staff. As against the target of 96 training classes, 80 classes have been conducted during the year 2000-01.

Pressure Vessel and Plant Safety Monitoring Cell:

20. The department has pressure vessel and plant safety monitoring cell is headed by Deputy Chief Inspector of Factories. The main function of this cell are to carry out the monitoring of safe working of lifting tackles. EOT cranes, hoists, pressure vessels and power presses in the factory. In addition to the assist the CCFB has to Chief Inspector of Factories to recognise competent persons throughout the State as envisaged under the Factories Act. The cell had conducted 319 inspections in this regard and assisted in recognizing 63 persons as competent persons during 2000-01.

Central Safety Monitoring Cell:

21. The department has a safety-monitoring cell headed by Joint Chief Inspector of Factories to monitor safety and to implement the special safety provisions in the industries involving hazardous processes and major accident hazard units. 700 industries involving hazardous processes and 50 major accident hazard units have been identified in the State. It guides and advises the hazardous units regarding formulation of on-site and off-site emergency plans. The cell also assists the State, District and Local crisis groups in implementing the Chemical Accidents (Emergency Planning, Preparedness and Response) Rules, 1996. The cell scrutinizes and recommends to the Chief Inspector of Factories for approval of the on-site emergency plans submitted by the hazardous factories. 53 such on-site emergency plans have been scrutinized and approved during 2000-01.

The Medical Inspector of Factories:

22. The Medical Inspector of Factories of this Department is performing the duties of monitoring the health of the workers employed in registered factories and also for identification of occupational diseases. More stress is being given for medical examinations of workers employed in the hazardous industries. Special programmes are also taken up to few selected industries for conducting studies with regard to occupational diseases. The Medical Inspector of Factories has carried out 174 visits to perform the above said activities during 2000-01.

Exemption under Factories Act, 1948 Section 65(2) and 66(2)

23. Section 65 of the Factories Act 1948 authorises the State Government to grant exemptions from prescribing the periods of work of any adult worker in any factory owing to the nature of work. This is again limited to the total number of hours of work an employee will be required to work overtime in a given week.

23.1 Likewise Section 66(1) puts further restriction on working hours for women. However, under Section 66(2) of Factories Act, the State Government can grant exemptions to any factory or group of factories.

No.	Particulars	1997-98	1998-99	1999-00	2000-01
1.	No. of exemption orders issued under Sec.65(2) & 66(b) of the Factories Act, 1948.	41	58	62	55

23.2 The number of exemption orders issued under Sec.65(2) and 66(b) of Factories Act are increasing every year. There has always been a demand for exemption to women to work beyond the hours stipulated under the act. This is especially so in I.T. industries. On the same lines prescribing the periods of work to key personnel would harm the competitiveness of the industry in the globalised economy and therefore the industries are asking for exemptions under the provisions of these sections. Granting of exemption is justifiable as long as the employee is not unduly exploited or forced to accept heavy burden of work.

Complaints, Accidents and Prosecutions:

24. The number of complaints has been around 100 only every year and the disposal rate is also good. The number of fatal accidents has been around 55 every year i.e., more than one accident every week. This is on the higher side and safely pre-cautions need to be enforced rigorously. The non-fatal accidents are averaging about 10 per day.

24.2 The number of prosecution is almost the same or little more than the fatal accidents. Therefore it could be surmised that no prosecutions have been launched on non-fatal accidents and also on any other violations.

24.3 The amount of fine realized even in cases of conviction is around Rs.6000-7000 per case – which is too meager to prompt the employer to strictly abide the safeguards prescribed under the rules.

No.	Particulars	1997-98	1998-99	1999-00	2000-01
1	2	3	4	5	6
2.	No.of complaints/petitions received	118	106	97	117
3.	No.of complaints/petitions disposed	50	148	133	96
4.	No. of fatal accidents occurred during the year	49	62	50	60
5.	No. of non-fatal accidents occurred during the year	3676	3644	3799	2086
6.	No. of fire accidents reported	8	2	1	4
7.	No.of Prosecution launched	191	75	62	72

1	2	3	4	5	6
8.	No.of Prosecutions ended in Convictions	24	19	13	13
9	Amount of fines realized (in Rupees)	2,61,800	85,560	56,000	81,800
10	No.of cases acquitted	—	2	3	2
11	No.of cases withdrawn	24	14	25	12

Environmental Clearances:

No.	Particulars	1997-98	1998-99	1999-00	2000-01
1.	No.of applications received	72	143	39	40
2.	No.of environmental clearances reports issued	24	103	28	31

25.1 The department has been according Environmental Clearances almost at the rate of 3 clearances per month. This of course pertains to new industries and/or industries going in for expansions statistical data is not available in respect of adherence to rules by the factories established earlier to 1986.

25.2 The factories act provides for ensuring safety precautions inside the factory and also to monitor the level of gases and heat. The Inspector is expected to monitor the level periodically in hazardous industries and enforce tolerance limit.

25.3 The department is also enforcing the Environment Protection Act 1986 and has to ensure that the factory takes up necessary safeguards to avoid leakage of harmful gases and the effluents are not discharged from the factory without proper treatment. The ground reality is completely different. Even a layman can detect the existence of a chemical unit or a cement unit even being miles away from the unit. Here the conflict arises. It is the responsibility of the Pollution Control Board, which has the necessary legal authority and facilities to detect and prosecute the offending party. The Pollution Control Board also has to give environmental clearances for hazardous factories. But the Board comes into picture only on complaints. The Inspectorate can ensure that the factories strictly adhere to safety norms. The department has not been effective in this aspect when large-scale industries have contemptuously flouted the norms.

25.4 The department has a Central Safety Monitoring Cell, which guides and advises the hazardous units regarding the formulation of on-site and off-site emergency plans. This no doubt is a confidence building measure and also ensured preparedness and well coordinated actions for tackling emergencies. But the environmental issues rarely occur as emergencies. They are slow poisons, slowly killing people, animals and polluting air, water and environment. Therefore it is advisable to constitute a District Level Pollution Monitoring Cell under the Chairmanship of the Deputy Commissioner,

with the Inspector of Factories as the Convener and representatives of Pollution Control Board, Industry and local bodies as member for constantly monitoring the pollution level in each district.

Detection of New Factories:

No.	Particulars	1997-98	1998-99	1999-00	2000-01
I	No.of new factories detected	158	127	—	204

26. Notification under Section 85(1) of Factories Act:

26.1 The provisions of Factories Act, 1948 are applicable to factories having 10 or more workers, where the manufacturing process is carried on with the aid of power. It is also applicable to factories having 20 or more persons, but being run without power. However, the Government has the powers to notify the application of the provisions of the Act to other manufacturing units irrespective of the number of employees.

26.2 The Government has been notifying industries which are potentially hazardous under this section. A notification was issued in 1976 bringing 13 categories of industries under the provisions of the act. However, by a notification issued in 1990, the Government denotified 11 categories of industries from the list. The categories of industries denotified include (1) Saw Mills (2) Weaving of Cotton, Silk & Synthetic Fibres which include preparatory process like spinning, reeting etc. (3) Stone Crushing (4) Auto workshop.

26.3 The powerlooms were again notified in 1995. The High Court had stayed the notification. It is reported that the stay has been withdrawn and the Government is yet to issue notification bring power looms under the provisions of Factories Act.

26.4 The saw mills, powerlooms, stone crushing industries need to be brought under the provisions of the Act irrespective of the number of employees. They are not only hazardous to the workers, but also the people living within the vicinity of the units.

27. Deregulation

The Indian Labour Laws date back to Pre-Independence period. There has been a demand for a comprehensive review of all the labour laws to bring them in line with contemporary economic reality and current international practice. At times, the problem is not with the law itself but with the lengthy legal proceedings and the associated "harassment."

27.2 The Karnataka Government has taken the initiative to deregulate the business environment in the State through the proposed Comprehensive Karnataka Industries Promotion (Simplification of Procedure and Documentation) Bill 2001. The Government proposes to introduce the element of self-certification by the companies instead of clearances from various authorities under various laws in force. Even though the bill is meant for creating a suitable environment for rapid industrialization and for facilitating overseas investment, many of the provisions have a bearing on the Factories Act and other Labour Laws.

27.3 The Bill has proposed for rationalization of inspections. There are several authorities enforcing various enactments and this has resulted in multiple inspections. The inspections are proposed to be undertaken only once in a year with prior intimation to the industry and in co-ordination with other enforcing authorities.

27.4 Karnataka Industrial (Simplification of Procedure and Reduction of Records) Bill proposes to reduce the multiplicity of application forms to be filed by an entrepreneur. It is proposed to introduce a Combined Application Form (CAF) for obtaining approval/clearances. Industries have been divided into two categories: (a) Restricted list of dangerous / hazardous industries and (b) All other industries.

27.5 It is proposed that only the Chief Inspector of Factories and Boilers will give the approval of plans for industries and the KIADB need not intervene in the matter.

27.6 The simplification of procedure is not applicable to the restricted list of hazardous / dangerous industries. The Inspectorate will continue to enforce the provisions as per the Factories Act.

27.7 The bill also proposes to introduce a simplified and rationalized combined return to avoid multiplicity of returns. With a view to minimize the inspection by various authorities of different departments, the bill proposes to enforce regulation through a random annual joint inspections as far as possible with due notice. Separate inspections to be conducted only on the basis of complaints.

27.8 At present, separate Attendance and Payment Registers are required to be maintained under the Factories Act, Contract Labour Act, Minimum Wages Act, Payment of Wages Act, Payment of Gratuity Act, ESI and PF Act. To maintain different attendance registers to serve the requirement of each Act is a time consuming and wasteful exercise. Therefore, it has been proposed to maintain a Combined Attendance-cum-Payment register incorporating the essential requirement of applicable Acts.

27.9 The thirteen different registers required to be maintained under the Karnataka Factories Rules, 1969 would be replaced by 3 combined registers.

27.10 After interaction with the stakeholders, the following simplifications/ modifications are proposed, which are within the powers vested in the State Government under the relevant Acts/Rules.

28. Rationalisation of Inspections: It is proposed to rationalise the number and periodicity of inspections done by various departments/agencies. Under the provisions of various Acts, different authorities are created and it is common to find almost all such authorities keep visiting industries in the name of inspection, which has become counter-productive. In order to allow the entrepreneurs to concentrate more on their chosen business, it is suggested, henceforth, industries maybe subjected to one combined annual inspection to be carried out jointly by Labour Department along with the IFB & KSPCB. The selection of industries for inspection will be on a random basis. A random number sampling generated through a computer - database will constitute the annual programme of inspections and will be notified to the industries concerned, in advance. All other departmental inspections will be restricted to only specific complaints. Self-certification of compliance filed by the entrepreneur will be accepted.

29. The Department of Parliamentary Affairs and Legislation, Government of Karnataka is processing the proposal in the form of a bill. Both the departments of Industries & Commerce and Labour are working towards effecting the changes to relevant rules and draft notifications are being processed by Department of Law.

30. Amendments to Karnataka Factories Rules, 1969 have been proposed to provide for Simplified Register of fines, deductions for damages or loss and advances; Muster Roll cum Register of Wages and a Combined Annual Return.

31. Amendments have been suggested to Karnataka Maternity Benefit Rules 1966 to provide for a Combined Annual Return.

32. Amendments have been suggested to Karnataka Factories Rules, 1969 to provide for (A) Combined Application Form in respect of industrial undertakings whose projects are approved by State High Level Clearance Committee or State High Level Single Window Clearance Committee or District Level Single Window Clearance Committee; (B) Exempt the factories from maintenance of crèche where it is reasonably not practicable; (C) A Combined Register of O.T. working & payment; (D) Combined Annual Return in form 2D; (E) A Muster Roll cum Register of Wages/Salary.

FINDINGS

- The Chief Inspectorate has a three-tier structure and has separate wings for Factories and Boilers.
- The Chief Inspector of Factories and Boilers is the common authority for both the wings.
- The Directorate has a sanctioned strength of 80 persons out of which 11 posts are vacant.
- The total staff strength of the Department is 255.
- The Inspectorate has 10 ranges, each range consisting of two or three districts. A Deputy Chief Inspector of Factories heads each of the 8 Ranges of Factories Wing. A Deputy Chief Inspector of Boilers heads each of the other two ranges of Boiler Wing.
- There are 40 Division Level Offices and are headed by either a Senior Inspector/Inspector of Factories or Senior Inspector/Inspector of Boilers. The jurisdictions of each division comprises of one or two districts depending upon the concentration of industries.

The Inspectorate enforces:

- The Factories wing enforces 6 Central Acts and the Rules framed under them. The Boiler wing enforces Indian Boilers Act 1923 and Rules framed under them.

Factories and Boilers Department

As on 31.03.2001

No.of Boilers in the State	2352
No.of Boilers Registered during the year	98
No.of Economizers	71
No.of Economizers Registered (during the year)	2
No.of Steam Lines	1403
No.of Registered Factories	9401
No.of Workers employed	8.01 Lakhs
No.of Hazardous Factories	801
No.of Factories Inspected	5686
No.of Plans approved	1610
Accidents	
No.of Fatal Accidents	60
No.of Non-Fatal Accidents	2086
No.of cases booked	72
No.of cases convicted	7
No.of cases acquitted	2
No.of cases withdrawn	12

- The Inspectorate has approved 486 On-Site and Off-Site emergency plans for Hazardous Industries.
- There are 60 Major Hazardous Industries in the State. Emergency Plans are approved and revised periodically. They are inspected once in three months.
- 80 Industries are considered as potentially hazardous. They are inspected once in six months and the emergency plans are approved.
- The remaining hazardous industries are considered as less accident-prone.
- The Inspectorate is concentrating on the enforcement of the Factory Rules and Boiler Rules only.
- There is no emphasis on enforcement of other Labour Laws.
- The Inspectorate has not concentrated on identifying small units dealing with Hazardous Process / Hazardous Chemicals but employing less than the stipulated minimum number of employees.

- During 1990, the Government de-notified 11 categories of Factories from the ambit of Section 85(1) of the Factories Act to focus on Medium and Major Industries. Power Looms, Silk Reeling units, printing press, saw mills etc. were taken out of the schedule.
- Power looms were notified again in 1995, but was stayed by High Court. The case has since been disposed off and the Government is examining the issue of Notification of power looms under Section 85(1) of the Act.
- The department is partly enforcing Environment Protection Act 1980 under Section 12 of Factories Act, 1930. The Factories department focuses on the Effluent Treatment Plant and discharges from the factory and other pollution aspects in work area of the Factories. There is no District Level Committees constituted for Monitoring of Pollution and Environmental Protection.

RECOMMENDATIONS

Chief Inspectorate of Factories and Boilers

- (1) The separate wings of Factories and Boilers are merged. A single cadre may be formed and a single line of command be established.
- (2) Inspectors to be trained to enforce the provisions of both the
 - (i) The Factories Act 1948 &
 - (ii) The Indian Boilers Act 1923
- (3) The Inspectorate is partly enforcing the Environment Protection Act 1986 and the rest is by Pollution Control Board. This dual authority should be dispensed with as far as Factories are concerned. The Inspectorate should be made accountable for all aspects of Industrial Pollution – not only within the premises of the factory but also outside, like Air Pollution caused by the factory, discharge of effluents and chemicals etc.
- (4) A district level Pollution Monitoring Committee be constituted for each district with Deputy commissioner as the chairman and the Inspector/senior Inspector of Factories and Boilers as convener, with representatives of Pollutions Control Board, NGO's and Trade Guilds as members.
- (5) Besides the Acts mentioned earlier the Inspectorate shall only be the enforcing authority in respect of the following labour laws also as far as they are applicable to the Factory:
 - (i) Minimum Wages Act 1948
 - (ii) Industrial Employment (Standing Orders) Act, 1946
 - (iii) Industrial Establishments (National & Festival Holidays) Act 1963
 - (iv) Contract Labour (Regulations & Abolition) Act, 1970
 - (v) Payment of Bonus Act 1965

- (vi) Payment of Gratuity Act, 1972
 - (vii) Child Labour (Prohibition & Regulation) Act 1986
 - (viii) Equal Remuneration Act 1976.
- (6) The 10 Regional offices (FW-8 & BW-02) may be abolished and also two posts each DCIF and DCIB in the Inspectorate. The officers and staff are posted to Districts with high industrial density.
 - (7) Several Hazardous Industries for e.g.: Saw Mills, Power Looms have to be brought under Factories Act irrespective of the number of persons employed.
 - (8) The Inspectorate should be brought under the control of Commissioner of Labour.

EMPLOYEES STATE INSURANCE (ESI)

Introduction

1. Employees State Insurance (ESI) is a social security measure offered exclusively to Labourers under State Insurance Act of 1948 and the rules framed under the Act.

2.1 The Government of India has established Employees State Insurance Corporation under the Act and the contribution received from the employees and from the employers is passed on to the Corporation for administering the welfare measure. The scheme provides for medical and non-medical services.

2.2. Under Employees State Insurance Act there are 6 types of benefits available to the insured persons:

- (1) Full Medical Care
- (2) Sickness Benefit
- (3) Dependant Benefit
- (4) Disablement Benefit
- (5) Maternity Benefit
- (6) Funeral Benefit

2.3. The Directorate of Employees State Insurance (Medical Services) provide only the medical care. The ESIC directly administers the other benefits to the registered employees.

2.4. The medical services are rendered through the concerned State Government. The Directorate of Employees State Insurance (Medical Services) comes under the administrative control of the Labour Department. The scheme was started during July 1958 at Bangalore with the establishment of an ESI hospital and 12 ESI dispensaries. The hospital and dispensaries were catering to 48 thousand beneficiaries with the wage limit of Rs.400/- per month.

E.S.I.Coverage:

3. The Act first was implemented to cover the employees of non-seasonal factories employing 20 or more workers and using power and only to those persons in such factories who are drawing wages up to the maximum of Rs.400/- per month. This limit has since been raised to Rs.6500/- with effect from 1st Jan.1997. The Act has also been amended to cover employees from other sectors, like factories with 20 or more persons but not using power, factories with 10-15 persons using power, shops and commercial establishments employing 20 or more persons, hotels, restaurants, cinema and pre-view theaters, road motor transport undertakings employing 20 or more persons.

Funding Pattern:

4. The funding pattern under the scheme is that each employee will be contributing 1.75 percent of the gross salary to get insured under the scheme. The employer has to pay 4.75 percent of the gross salary of each employee to the Corporation.

A limit has been fixed towards medical expenditure i.e., Rs.600/- per insured person. Out of which Rs.165/- per person per annum is earmarked for drugs and dressings.

5. As mentioned above, the medical services are extended through the State Government. The ESI Corporation will be reimbursing 87.50 percent of the expenditure incurred for providing medical services to the employee. The State Government has to meet the balance 12.50 percent of the expenditure. There is a discrepancy in the number of Insured Persons between the figures of the State Government and the ESIC. According to the State Government there were 10,60,600 insured persons as on 30.6.2001. But the figure is 6,28,500 as per the Employees State Insurance Corporation. The number of dependent family members of these insured persons is around 40 lakhs.

Organisational Structure:

6. There is a Directorate of ESI (Medical Services) located at Bangalore and has following hospitals and dispensaries etc.

Table-1

1	ESI Hospitals	9
2	ESI Annex Hospitals	3
3	Diagnostic Centre	1
4	Dispensaries	129
5	Part time Dispensaries	7
6	Employee facilities	12

7. Staff strength of the department as on 1.4.2001 is as follows

Table-2

Sl. No.	Group	Sanctioned	Working	Vacant
1	Group-A	744	586	158
2	Group-B	16	04	12
3	Group-C	1822	1118	704
4	Group-D	1084	1031	53
	Total	3666	2739	927

8. The details of staff at the Directorate are as follows:

Table-3

Directorate of Employees State Insurance (Medical Services)

State Level

Sl. No.	Group	Sanctioned	Working	Vacant
1	Group A	10	09	01
2	Group B	02	—	02
3	Group C	73	57	16
4	Group D	38	33	05
	Total	123	99	24

9. The department is headed by a Director who belonging to the cadre of ESI (Medical Services).

10. Job Roles of the Officers working at the Head Office:

1. **Deputy Director:** a person belonging to the cadre of ESI Medical Services fills up this post. The Officer assists the Director in processing the medical bills received for reimbursement, conducting the inspections of hospitals and dispensaries and in the purchase of medicines.

2. **Assistant Director:** An officer belonging to the ESI Medical Services also fills up this post and he monitors the working of family welfare cell and AIDS cell. He is also in charge of the Training section.

3. **Administrative Officer:** This post is filled up by deputation of an officer from the department of Labour. The officer is in charge of all general administrative matters.

4. **Accounts Officer:** This post is earmarked for deputation from the department of State Accounts and the officer is in charge of all accounting matters.

Vacancies Position:

11. As given in the table 2 there are 927 vacancies in the department that is about 25 percent of the sanctioned posts is vacant. There are 531 posts of Insurance Medical Officers sanctioned to the department, out of which 213 posts are vacant. The Government has recently accorded approval for the appointment of 188 doctors and is being filled up.

12. Maximum number of vacancies is in the cadre of Staff Nurses. Only 266 Staff Nurses are working against the sanctioned strength of 655. This is naturally affecting the quality of service being rendered to the insured persons. The Government has accorded approval for filling up of 178 posts of Staff Nurses.

Drug Management:

The drugs and medical equipments required by the Hospitals and Dispensaries by the Directorate, the power has not been delegated to any authority to purchase the drugs required immediately to treat the patients. These Hospitals and Dispensaries are, as in the practice in other Government Hospitals, issue prescriptions to the patients to purchase the drugs required.

13. During 1997 Government has constituted a Purchase Committee, for the purchase of Medicines and Medical Equipments required for the department, under the Chairmanship of the Director of ESI Medical Services. The term of the Committee was later extended for a further period of two years. The Government vide G.O. No. LD/512/ESI 2000 dated 18.10.2000 has reconstituted the purchase committee appointing the Principal Secretary to the Government, Labour Department as the Chairman of the Committee and the Deputy Director of the ESI department as the Member Secretary. The surprising omission is that of the Director of Medical Services, ESI from the Committee. The Director is the H.O.D. and certainly should be a member of the purchase committee.

14. During the field visits the functional review teams have visited the ESI Dispensary at Bijapur, Dispensary at MSK Mill Gulbarga, Dispensary at the Town Ship Gulbarga and also the ESI Hospital at Shahabad in Gulbarga District. The team also visited the Directorate of Employees State Insurance (Medical Services) on 25.7.2001. The questionnaires were administered to the officers and staff of the Directorate and detailed discussion was also held with the Director of Employees State Insurance.

15. The Full Medical Care is extended in all the dispensaries and ESI hospitals. Whenever superspeciality treatment is required outside the ESI hospitals, the patients are referred to such hospitals and the cost is reimbursed by the department. During 2000-2001 on amount of Rs.4.37 crores has been reimbursed for treating various kinds of ailments to cardholders, as follows:

Sl.No.	Details	Amount incurred
1.	Open heart surgery	79,34,084-00
2.	Kidney Transplantation	20,11,593-00
3.	Cancer	50,05,175-00
4.	Others	9,78,700-00
5.	Medical reimbursement	2,77,94,049-00
		4,37,23,606-00

16. Even though the ESI hospital was first establishment during 1957 with the establishment of one ESI hospital at Bangalore, the facility is now being extended all over the State with establishment of more hospitals, dispensaries, diagnostic Centres etc. Please see Table No.1. Extending of this facility to the labourers would certainly reduce the burden on general medical facilities. The list of hospitals and dispensaries is placed at Annexure.

17. Actually the State is not fully utilizing its share of funds. The employees and employers are contributing more funds to ESIC and the utilisation by the State is less. Please see table below:

Table-4

Sl.No.	Year	Amount Collected	Expenditure incurred	Percentage of Expdr.	Percentage of Savings to ESIC
1	1998-99	96.43	45.96	47.66%	52.34%
2	1999-00	101.36	51.38	50.69%	49.31%
3	2000-01	107.79	51.18	47.48%	52.52%

The maximum utilisation of contribution would certainly increase with the appointment of more number of Doctors and Staff Nurses. The creation of additional infrastructure facilities would also help in this regard.

18. But at the same time the department has to carefully examine the location for creation of facilities on a permanent basis. Due to the economic liberalization and the consequent reforms introduced in industrial sector, the labour concentration would be fluctuating. An ideal example for this type of after effects of reforms can be seen in the establishment of ESI hospitals at Shahabad in Gulbarga District. The department took up the construction and establishment of an hospital at Shahabad based on the large number of employees working in two cement factories. By the time, the construction of the building is completed and the hospital established, one of the factories was closed and the other reduced its number of employees by more than 50%. Because of this development the whole expenditure has become infructieous. The Government in labour department is considering a proposal to handover the building to another Government department and transfers the hospital to Gulbarga.

19. Unfortunately even the two dispensaries in Gulbarga do not have sufficient patients to warrant the shifting of hospital. The Government may have to close down the hospital at Shahabad and even both the dispensaries at Gulbarga. The I.P.Cardholders may be permitted to avail the medical care from authorized private clinics and hospitals and nursing homes in these two places and also in other places wherever the number of patients is too less to warrant the continuation or establishment of hospital/dispensary. The Government should carefully examine all connected issues before incurring capital costs on buildings and equipments in such places. The department must concentrate on opening of more number of dispensaries in rented buildings than going for own buildings.

20. The establishment of mammoth factories with large number of labourers has a very rare phenomenon. Moreover the service sector is taking a lead over the industrial sector in terms of contribution to GDP. It would be appropriate to cover the employees of the service sector in more number by modifying the rules and if necessary by moving the Government of India to amend the act itself. Now with the phenomenon of outsourcing the services gaining predominance the work force will be more in agencies providing the services than the industries/factories themselves.

21. The phenomenon of non-utilisation of 100% allocation accruing to the state is one aspect of the issue. The other aspect of the issue the non-reimbursement of the expenditure already incurred by the State Government. Please see the table below:

Table-5

Sl.No.	Year	Amount to be reimbursed by ESIC	Amount reimbursed by ESIC	Difference	Percentage of Reimbursement
1	1997-98	2590.78	2547.38	43.40	98.32%
2	1998-99	3139.36	3139.36	—	Full Reimbursement
3	1999-00	3080.51	2120.86	959.65	68.85%
4	2000-01	3421.32	2835.60	585.72	82.88%

22. The main reason for non-reimbursement of expenditure by the ESIC appears to be the non-reconciliation of the numbers of I.P.cardholders. The department should get the figures reconciled on top priority and getting full reimbursement of the expenditure.

23. It should also has to concentrate on extending facilities to large number of employees by involving private practitioners and hospitals.

24. The directorate has a large segment of ministerial employees. In spite of this the number of insured persons itself is in doubt and being contested. This is the area where the application Information Technology could be effectively utilized. The department must take up Computerisation for the creation of a Database of I.P.Cardholders, the establishments contributing to ESIC and the contribution made to ESIC and utilisation of funds.

25. The department is purchasing drugs worth of Rs.12.00 crores every year. The Inventory Management of Drugs is another area for I.T.application

FIELD VISIT - OBSERVATIONS

E.S.I HOSPITAL AND DISPENSARIES

26. ESI dispensary in MSK Mill Road, Gulbarga. The Dispensary is located in a fairly large building constructed during 1991. No doctor was available even at 9.00 a.m. One Nurse was attending to a patient.

27. The dispensary has 1673 ESI cardholders and two doctors. The doctors stated that there would be about 60-80 out patients everyday. However on perusal of out patient registers maintained separately by the concerned doctors, the average out patients per day is around 10 only.

Staff details:

1. Deputy Surgeon.	1(Vacant)
2. Medical Officers.	2
3. Staff Nurse.	1
4. Pharmacist.1 (vacant)	
5. S.D.A.	1
6. Group D.	5 (1 vacant)

28. The Dispensary does not have good furniture. The chairs, tables and stools were in a very bad state and not serviceable. There was no examination table in the single room being shared by both the doctors. There are unused additional rooms under lock and key. The doctors are not using separate chambers for want of sufficient manpower for maintenance.

29. The Dispensary has one staff nurse and one pharmacist both on deputation from the other dispensary. The store had antibiotics, syrups, cotton etc. Even though the numbers of out patients were less the stock register showed more number of issues.

30. One of the locked rooms had broken furniture- most of them unserviceable- like the dispensary itself. In another room a carton full of used "Disposable Syringes" was found. The doctor said that the Disposable Syringes would be destroyed once in a month or two.

31. The dispensary even though was painted recently were badly maintained. The doctors were working without even the white coats, only the stethoscopes distinguishing them as one.

32. The story of another dispensary is more disheartening. It is functioning from an old and dark building. At the time of visit one lady doctor was sitting at a small table talking to the pharmacist. On seeing the stethoscope the team introduced itself to the lady doctor. An Ayah was moving around.

33. The dispensary has the sanctioned staff strength of 18 posts. At the time of visit only one lady Medical officer, 2 Pharmasists, 3 Group B officials was on duty. Two of the doctors were on leave, two were on deputation, one FDC was on leave, 4 Group C & D employees were on deputation and two posts were vacant.

This would only indicate the degree of utility of the dispensary to the ID card holders and also how the department itself has ignored the proper management of the dispensary.

34. The dispensary has 1600 cards. The outpatients' register shows a figure of 6 outpatients per day (Average).

35. The tablecloth on the examination table was very dirty and the cot was covered with dust. The atmosphere of the dispensary itself would drive the patients away. Better to close down.

ESI Hospital, Shahabad

36. ESI hospital at Shahabad- 25 Kms away from Gulbarga City. Shahabad has two large cement factories and the labour concentration is supposed to be high. One of the factory is closed and the other has reduced the labourers strength. It has also a dispensary of its own.

37. ESI hospital is located about 5 Kms away from Shahabad town. If the wind direction is right (or is it bad) the hospital will be covered with a fine mist of cement. Vegetation around the hospital is very sparse.

38. The hospital has been started three years ago. No formal inauguration has been done. It is a very huge and imposing structure. (The finishing is much to be desired).

39. The details of post sanctioned and working are as follows:

ESI Hospital, Shahabad:

Sl.No	Designation	Sanctioned Posts	Working at Present	Vacant
1.	Surgeons	4	-	4
2.	Deputy Surgeons	6	3	3
3.	Veterinary Medical Officers	20	5	15
4.	Office Superintendents	1	1	-
5.	First Dvn Assistants	3	2	1
6.	Second Dvn Assistants	6	-	6
7.	Group 'D'	20	20	-
8.	Nurses	19	19	-
9.	Pharmacists	4	3	1
10.	A.N.M.	3	-	3
11.	O. T. Technicians	2	-	2
12.	Suptd. Grade-I	1	-	1
13.	Typists	1	-	1
14.	Stenographers	1	-	1
15.	Social Workers	1	-	1
16.	Suptd. Grade-II	3	-	3
17.	Lab. Assistants	3	-	3
18.	Jr. Lab. Technicians	1	-	1
19.	Jr. Radiographer	1	1	-
20.	E.C.G. Technicians	2	-	2
21.	Fijio Therapist	1	-	1
22.	Dental Technician	1	1	1
23.	Electrician	1	-	1
24.	Drivers	3	-	3
25.	Cooks	4	-	4
	Total	113	34	79

40. The hospital building has been constructed at a huge cost – around Rs.3.00 crores. The hospital has best of the furniture and equipments required have good number of trained personnel. What it lacks are patients.

41. The doctors have been sending representations, to one and all, highlighting the plight of the hospital. They welcomed the teams' visit as another opportunity for remedying the situation. The issues raised and covered were interesting. All the rooms are vacant, all the beds are vacant, and all the equipment asks for utilisation, the doctors are waiting for patients.

42. The young deputy surgeon summed up saying that he reported for duty lured by the State of the Art Equipments and facilities. "Now all the equipments are rusting, my skills are rusting and both need dusting."

Directorate of Employment State Insurance (Medical Services)

Findings :

Staff Position at Directorate:

The Directorate has a sanctioned strength of 123 posts and 25 posts are vacant.

State Level Staff Position:

There are 3666 sanctioned posts in the department and 927 posts are vacant. There are 158 vacancies of Doctors and 704 vacancies of Staff Nurses and other Para Medical Staff. The number includes the staff sanctioned to Hospitals and Dispensaries.

Funding Pattern:

Employees Contribution to ESIC	1.75% of Gross Salary
Employers Contribution to ESIC	4.75% of Gross salary
ESIC Reimburses to State govt.	87.5% of Expenditure
State Government Contribution	12.5% of Expenditure
No.of Insured Persons as on 30.6.2001	6,28,500 as per ESIC 10,06,600 as per State Govt.
Dependent Family Members	40,00,000 persons

Medical Facilities:

1 E.S.I. Hospitals	9
2 E.S.I. Annexure Hospitals	3
3 Diagnostic Centre	1
4 Dispensaries	129
5 Part time Dispensaries	7
6 Employee facilities	12

Medical expenditure reimbursement is also made for super speciality treatment. During 2000-2001 Rs.4.37 crores has been reimbursed.

Observations: -

- Ministerial Staff constitutes 60% of the working strength at the Directorate.
- There are 8 office Superintendents; 18 posts of First Division Assistants and 18 posts of. Second Division Assistants.
- There are 31 Group-D officials working in the Directorate. Constituting 25% of the staff strength.
- The E.S.I. Dispensary at M.S.K. Mills, Gulbarga has 1673 I.P. cards and is functioning from its own building. No D.G. set and no security. There are two Doctors working at the dispensary but no good furniture has been provided. Except for two Rooms, all other rooms were under lock & key. An average of 10 to 15 persons per day utilise the facilities as outpatients. One Carton full of used disposal syringes and needles was found in a room.
- ESI Dispensary, Township Gulbarga functions from a private building, which had never seen painting and white wash and was too gloomy. There are 1600 cards and has 5 Doctors – 4 of them were either on leave or on deputation. The average out patients is 6 per day.
- ESI Hospital, Shahabad: A new hospital building has been constructed at a cost of Rs.3.00 crores. It is a 50-bedded hospital. But has no inpatients. It has all the equipments, but no medical or technical staff to utilise. The hospital receives an average of 8 out patients per day.
- ESI Dispensary, Bijapur is functioning from a new building and has 894 I.P.cards. There are two Doctors working and again the number of outpatients is around 10-15 per day.
- The Hospitals and Dispensaries were appearing deserted, gloomy and in need of care. Is the lack of patients was the reason or Is the condition of the Hospitals and Dispensaries are the reasons for lack of patients.
- During the last four years, the E.S.I.C has not reimbursed in full its share of the expenditure, as assessed by Accountant General

Directorate of Employees State Insurance (Medical Services)

Recommendations

- The Directorate should take action to enroll more employees of Hotels, Cinemas and other Commercial Establishments.
- The Dispensaries in Gulbarga and other places the average out patients is less than 25 persons be closed. The Doctors and staff members to be redeployed.
- Arrangements may be made for treatment of Insured Persons and their dependants with approved Clinics and Nursing Homes and also to reimburse the medical expenditure instead of opening of Dispensaries and Hospitals.
- The building of MSK Mills Dispensary be handed over to the Department of Health and Family Welfare.
- The Hospital building in Shahabad, Gulbarga may be handed over the Department of Health and Family Welfare.
- The equipments shifted to other Hospitals immediately to avoid rusting, deterioration and malfunctioning due to non-utilisation for longer period.
- The Ministerial staff at the Directorate should be reduced atleast by 25%.
- The Group-D staff at the Directorate should be reduced by atleast 50%.
- The excess staff in the directorate is redeployed to Hospitals and Dispensaries.
- Computerisation of all I.P. cardholders and their family members, their medical History and expenditure thereof has to be taken up immediately.
- Reconciliation of the total number of cardholders as per state government records with ESIC figures to be taken up immediately and reimbursement sought for the short payments during the previous three years.

ANNEXURE-1A

The Cadre wise sanctioned posts to the department is as follows:

NO.	DESIGNATION	SANCTIONED	WORKING	VACANT
GROUP-A				
1	Director	1	1	0
2	Deputy Director	1	1	0
3	Assistant Director	1	1	0
4	Administrative Officer	1	1	0
5	Accounts Officer	1	1	0
6	Surgeons	73	37	36
7	Deputy Surgeons	133	87	46
8	I.M.Os.	530	349	181
9	Ayurvedic Physician	2	2	0
10	Chief Pharmacist	1	1	0
Group B				
11	Matron	9	0	9
12	Lay Secretary	4	4	0
13	Graduate Pharmacist	1	0	1
14	Ayurvedic Physician	2	0	2
Group C				
15	Office Superintendent	29	25	4
16	First Dvn.Assistant	110	48	
17	Second Dvn.Assistant	254	187	67
18	Stenographer	10	6	4
19	Senior Typist/Typist	17	8	9
20	Nursing Supdt. Grade-II	71	18	53
21	Staff Nurse	655	308	347
22	A.N.M.	28	23	5
23	Pharmacist	361	283	78
24	Technicians	209	81	128
25	Drivers	30	19	11
Group D				
26	Group-D	1084	1031	53
	Total	3666	2584	1082

PUBLIC WORKS DEPARTMENT

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Executive Summary

A. INTRODUCTION

1. Public expenditure has played a pivotal role in Karnataka's development over the years. Both in the provision of social and physical infrastructure, Karnataka's track record has been unexceptionable in size and scope. Private sector investment today is attracted to the state mainly because of public sector investment undertaken in the past.
2. PWD is one such sector in which the state has excelled. A number of major Road and Buildings, e.g. Improvements of 2000 Kms of state highways, Bangalore-Hosur National Highway project and many bye-passes around urban centers, Hubli-Dharwar by-pass ; High Court buildings at Bangalore, mini Vidhana Soudhas at districts, National game buildings at Kanteerava stadium, etc, have been undertaken which have added in the state and contributed immensely towards orderly movement of traffic and housing the functional offices for various government departments.
3. Today, a stage has come when out of the total borrowings of the government (fiscal deficit) 56 percent is going towards financing revenue deficit and only the balance is left for capital formation, wherein, in a well managed fiscal system, the revenue expenditure should be entirely met from revenue receipts (zero revenue deficit) and the borrowings should be utilized only for capital expenditure which add to growth.
4. There is not only a perceptible fall in the plan expenditure (which results in asset creation) but as of 1999-2000, 88% of total expenditure is non-plan expenditure. This expenditure is raising constantly since 1996-97.
5. Clearly, the need for public expenditure in road sector is not in question. On the other hand emphasis has to shift from public expenditure *per se* to productive public expenditure.
6. With this background, the Karnataka Administrative Reforms Commission (KARC) has entrusted to the Indian Institute of Management Bangalore, a study to look into the functional efficiency of the Public Works Department.
7. More specifically, the important terms of reference of the study are:
 - Rationale for functions and departmental activities in the context of current perceptions and policies at the Macro level (Secretariat / Head office).
 - Nature and spread of schemes / activities supported from state budget or central / externally aided programs / projects, the proliferation and duplication of schemes within the same or related departments, recommendations for merger / abolition of departments. This part will be limited to macro level issues.

- All the entities connected with the main department will be studied for linkages. Overlaps and complements with other departments, public sector enterprises and functional agencies will be reviewed at macro level.
 - Departmental structure at various levels, from the Secretariat to the Directorates to Division / District to Field Offices, nature of delegation of authority and financial linkages for main line department.
 - Number of employees at various levels, scope for merger / outsourcing of tasks to reduce employee strength, surplus employees at every level and in each cadre for main line dept.
 - Nature of Secretariat procedure, extent of computerization, record management and retrieval.
 - Nature and quality of performance evaluation, recognition and reward systems, and steps to enhance morale and motivation – macro level / qualitative.
8. The key deliverables of this study are:
- Restructuring / reorganization / merger of the sub-departments to improve efficiency and better service
 - Rightsizing of the departments and staff with specific reference to cadres and levels in the main line departments.
 - Activities that could be outsourced / privatized
 - Devolution of powers / finances
 - General recommendations to cover and improve systems and work methods for greater accountability and transparency in the functioning
9. The methodology adopted for this study include
- Study of annual reports as publication of the department
 - Structured open questionnaire to A & B officers to the selected divisions
 - Personal discussion with officers at various levels from different unit offices
 - Responses from the beneficiary farmers through questionnaire and discussion

B. Findings

10. Public Works Department (PWD) was initially in charge of all aspects (both construction and maintenance) of roads and buildings. Over a period of time the following changes have taken place.

11. In respect of roads:

A new corporation KRDCCL was created in 1999 for the construction / improvement of roads / bridges. Most of the construction activity is being undertaken by it. The current year's construction budget is about Rs. 370 crores

12. A separate unit called project implementation unit (PIU) was created in the year 2000 with in PWD to utilize Rs.2000 crores, assisted by World Bank loan for the implementation of "Karnataka State Highway Improvement Project" (KSHIP). Thus most of the up gradation / rehabilitation of road work is being undertaken by KSHIP. This project is initiated in the current year with about Rs. 125 crores as State's budgetary share and Rs.250 crores as loan from World bank..
13. Currently, PWD is undertaking construction and maintenance of National highways of the order of about Rs. 175 crores, funded by Ministry of Surface Transport Government of India.
14. The Government of Karnataka provides the normal maintenance grant of about Rs. 80 crores towards state highways and major district roads (MDR).
15. Thus out of a total budget of about Rs.800 crores, the PWD is involved in spending about Rs.250 to Rs.260 crores; amounting to 30 percent of the total funds made available to road sector.
16. Presently, the PWD is involved mainly in road maintenance activity of about 41,000 Kms of State Highway, MDR and National Highways. Corporations / PIU are mainly involved in road construction and rehabilitation.
17. In respect of Buildings:

The total building construction activity undertaken by PWD for different government departments during last year and budgeted in the current year is of the order of Rs. 45 to Rs. 50 crores per annum. Again, building construction activity has been taken up independently by departments like health, police and housing board.
18. The above shift was found necessary because PWD, which gets funded out of general revenues of the state, was finding it difficult, given the general deterioration of state's finances, to sustain a high level of development in roads and buildings. These activities were, thus, hived off to Corporations / PIU who are capable of raising funds for such activities from public and/or financial institutions and multinational organizations. These funds may also come from general budget but against a dedicated fund. These funds also come from general budget but against a dedicated fund.

19. The sanctioned manpower in A and B category for PWD is 2833. Against this 2672 are filled up. However, the number of officers working in PWD is only 1128. Thus 1544 are deputed to various other organizations; which means that the number working outside the department is more than those working in the department.
20. The organization structure of PWD consists of Zones, Circles, Divisions and Sub-divisions. The staffing pattern is more or less uniform in each of the Units. There is a division for every District and Sub-division for every taluk. There are two zones for state highway and MDRs and an exclusive zone for national highway activities. There are a total of 12 circles, 40 divisions and 230 sub-divisions in the state. There is only one division in each zone exclusively for quality control work in the case of SH and MDR. In National Highway Zone which has a jurisdiction in the entire State barely has two sub divisions, catering to this quality control aspect.
21. The Government of Karnataka was providing Rs.25,000 / KM towards maintenance, which was recently increased to Rs. 40,000 per km. As against this, we notice that the neighboring state of Andhra Pradesh is providing Rs. 1,10,000/Km (1999 data) and Tamil Nadu is allocating Rs. 90,000/Km (1999 data).
22. The total amount of civil works undertaken in Kolar division for three years (1997-2000) were of the order of Rs.6,378.01 lakhs. To utilize this, the Division had incurred an establishment expenditure to the tune of Rs.842.92 lakhs during the same period. Thus, the establishment charges as a percent of civil works undertaken works out 13.27%. In the case of Gulbarga Division, the cost of civil works were Rs.4,402.91 lakhs, establishment charges Rs.330.91 lakhs, for the three years 1998-2001; thus the establishment charges works out to be 30.23%.
23. In the case of buildings, the capital expenditure of 45 crores is spread over 540 schemes. This is very thinly spread across works. For example, under Head of Account 4235 (Capital Outlay for Social Security and Welfare) only Rs. 71 lakhs are budgeted for 18 works against an estimated cost of Rs. 250 lakhs. At this rate, the works will take a minimum of 4 years for completion.
24. Although a system exists to report progress at regular intervals, it concentrates only on quantitative aspects like money spent and the physical progress achieved in percentage terms. The qualitative part is not considered seriously. This is based on the perception of the study team and also feed-back received from the officers.
25. In PWD, no outsourcing of activities has taken place. This is despite the fact that earlier reports (Booze Allen and Hamilton) have recommended outsourcing of certain activities. Even the officers within the department opined that activities like survey and investigation and maintenance of guesthouses could be outsourced.

26. Comparisons are made between the functioning of a corporation and a department and invariably the answer is that the department is inefficient. However, inefficiency stems from the processes followed in the government towards decision-making and disbursement of funds. While funds do flow through the government, in case of the corporations / PIU, the funds are in the nature of a dedicated account and there is no uncertainty in terms of flow of funds. Absence of uncertainty in the flow of funds removes uncertainty by way of receivables by contractors. The contractors not only find an incentive towards speedier completion of work but are also willing to resort to extraordinary means to complete the work. In the case of department, processes are too cumbersome, flow of funds is erratic, and disbursement of funds is influenced by political consideration. The following table illustrates this point.

Month	LOCs Sought (Rs. in lakhs)		LOCs Released (Rs. in lakhs)	
	State	NABARD	State	NABARD
Apr 2000	273.1	700.0	0.0	0.0
May	258.0	900.0	25.5	1600
Jun	253.0	500.0	0.0	0.0
Jul	278.5	700.0	45.5	1200.0
Aug	490.5	500.0	234.6	500.0
Sep	475.0	600.0	147.0	600.0
Oct	444.0	525.0	112.0	516.0
Nov	529.0	350.0	63.0	350.0
Dec	521.0	600.0	205.0	587.0
Jan 2001	821.0	900.0	2.5	900.0
Feb	854.5	500.0	304.0	0.0
Mar	1985.0	500.0	1744.9	1000.0
Total	7182.6	7275	2884	7253

27. It can be seen from the above table that in case of state funded works, only 40% of the LOCs sought are released where as in the case of NABARD, almost the entire amount was released.
28. The procedures in PWD are cumbersome and time consuming while the procedures followed in corporations such as KRDC and PIU, KSHIP are less time consuming. For example, in the case of a court complex in Gulbarga, the Department had taken more than five years to issue work order after the administrative approval was accorded. However, the same Department was able to complete the similar exercises quickly in six months for works funded by NABARD.

29. During the discussions with different level officers, it was brought out that there is no specified norm followed for deployment of manpower either for construction or for maintenance of road network.
30. It was extremely difficult to obtain data from PWD. They were unable to provide information regarding their own staff who are working on deputation to other organizations and how many to each organization. The department was also unable to provide how many are returning to the parent department every year and how long they were without specific postings. It was not very clear whether the data did not exist or there was reluctance on the part of department to pass on the data for this study.
31. The present policy of transfer across many departments which were carved out of the original PWD, is detrimental to development of the required technical skills in the department. There is no HR policy in place, which focuses on up-gradation of skills, promotional opportunities and transfer policies.
32. The office of the Chief Architect was set up to provide architectural design for buildings. It has a total strength of 31 A & B officers. As the activity of construction of buildings has shifted considerably to the corporations, the workload of the Chief Architect has come down drastically. He is not being involved by the corporations.
33. Booze Allen and Hamilton, earlier had given a report on "Institutional Development Strategy Study" for PWD. Their main recommendations along with our comments are attached.

C. Recommendations

34. The study team recommends that (a) all building activities be hived off from the PWD and (b) core PWD staff be exclusively used for road maintenance work.
35. There is no need for two positions – one Engineer-in-Chief / Secretary and one Principal Secretary at the secretariat, one will be adequate.
36. It is estimated that substantial savings accrue to the department through outsourcing of vehicles. The financial benefits may be of the order of Rs. 40 to 45 crores per annum. Outsourcing of survey and investigation will reduce the time substantially for these activities. KRDC and KSHIP are already following this. We recommend that this be extended to PWD.
37. The norms recommended for operational maintenance and construction activity are given in the table below. It may be noted that a Division should be able to maintain 3000 Kms of road network. In the case of construction activity a Division assisted by 3 to 4 Sub-divisions and each Sub-division supported by 4 AEs should be able to manage 40 crores of construction (exclusively roads) activity.

Norms for the Technical Staff

Work Norms for Operations and maintenance

Cadre	Cadre Below	Number of posts in cadre below	Length, of Road to be maintained (Kms)
CE	SE's	4	30000
SE	EE's	2 to 3	7500
EE	AEE's	4	3000
AEE	AE's	3	750
AE			250

Note: These norms are on the basis of the average length of road maintained by some of the better managed divisions in PWD

Work Norms for Operations and maintenance

Cadre	Cadre Below	Number of posts in cadre below	Rs. In Crore
CE	SE's	4	640
SE	EE's	4	160
EE	AEE's	3 to 4	40
AEE	AE's	4	12
AE			3

Note: This is based on the average expenditure incurred by KRDCL

38. The combined effect of the above reorganization, based on the norms developed in the main report, will be reduction in staff from the existing 1128 to 351 to undertake Road maintenance which works out to about 69%. This will go a long way towards improving the productivity of employees and reduction of establishment charges as a percentage of civil works.
39. The Corporation / PIU such as KRDCL, KSHIP, etc. do depend on the PWD staff for construction activity. Taking into account, the total construction activity by these bodies, and the maintenance work by PWD, the total requirement of staff is only 726 as compared to the present 2672, resulting in a reduction of more than 70%.
40. The present practice of undertaking the works with 1/3 provision in the budget needs to be modified. Projects which require less than 20 lakhs or projects that could be completed in less than ten months should be provided full budget before they are taken up. This reduces the time and cost over runs.
41. More funds for maintenance should be made available for maintenance activity at least Rs.75,000 per km instead of Rs.40,000 per km.

42. The tender conditions are to be modified to include a minimum of three years maintenance along with original construction/ rehabilitation. This has already been introduced in the recently notified tenders for improving SH & MDRs under KRDCCL . This should be extended to in all the tenders of PWD.
43. Procedural delays should not plague the department. Once again, with a smaller size of the budget, the government must ensure that there is no uncertainty, not only about the size of the budget but also its timely release and proper disbursement. This is essential if PWD is to achieve the same level of efficiency as a corporation.
44. The present policy of transfers across different Departments is not conducive to developing specialized skills needed for a Department. The transfers are to be restricted across the organizations involved in PWD road activity alone with main focus on “suitable person for the specific work”.
45. The study team recommends that the Buildings activity is to be separated from PWD – Roads activity. Consequently, the office of the Chief Architect be closed. It is also recommended that the preparation of architectural designs could be completely outsourced.
46. The Department has already computerized up to Division level. This may be extended to sub divisions also. The Department may invest in IT by inter connecting the secretariat, CE’s office with all the Divisions and Sub Divisions. Development of a comprehensive database covering the details of different projects and the staff is recommended.
47. The PWD presently does not have a well-defined HR Policy. There is a need for HR Policy which is performance driven. It is suggested that those officers whose performance is above the average performance of the cadre to which they belong only should be considered for promotions.

D. Concluding Comments

48. The major emphasis of this exercise has been to improve the efficiency of Public Works Department. In order to achieve this objective, we have de-emphasized some activities; suggested some activities to be outsourced and some other activities to be closed. Finally certain changes have been suggested for restructuring the entire department. The main purpose is to make the Department of Public Works more vibrant and responsive to the needs of the public.

Recommendations of Booz Allen and Hamilton's Report and Our Comments

S.No	Booz Allan & Hamilton Recommendation	Our Comments on the same
1	Creation of Karnataka State Highway Authority with board to guide/ supervise its functioning	It amounts to corporation of the existing PWD entirely. It calls for dismantling /existing control structures. We recommend that PWD still has a role to play as a department in maintenance of roads. We also recommend that construction should be corporatized.
2	Buildings and roads are to be separated down the line but the same secretary may be controlling the functions of both the wings	We go beyond this recommendation and suggest that (roads) and buildings are to be separated completely.
3	Political influences in the management of road infrastructure is prevalent and is exacerbated by absence of overall strategy	We concur this view
4	Adequate and stable funding for the road sector both from government and private sources (users fee, tolls, BOT). Creation of road fund through motor vehicle tax, tax on petrol and diesel additional cess of Rs.1 on diesel per lit. and Rs.0.25 per lit on petrol.	This is beyond the scope of our study as resource mobilization is not part of TOR.
5	The maintenance contract works should be of 3 to 5 years and release of funds as per the performance	We also recommended that all the new construction activities as well as rehabilitation of roads and structure should carry a 3 years maintenance as a part of the tender.
6	Projects to be taken up only if funding is ensured	We agree. Our report has indicated the problems with respect to funds flow (LOCS) and the resulting problems
7	Computerized pavement management system	The technical aspects of road structure design is beyond the scope of our project

S.No	Booz Allan & Hamilton Recommendation	Our Comments on the same
8	Training to staff on computer skills and accounting techniques	We have recommended specific areas of training for different levels
9	Road planning is inadequate due to lack of base line data	Yes, creation of a comprehensive database has been emphasized in our report
10	Outsourcing is to be expanded to more areas funded by state in addition to projects funded by external agencies	Our report identifies specific areas for outsourcing, even for government funded projects
11	All new projects taken up should be viable on the basis of Socio-economic evaluation	It is desirable in principle, but the democratic compulsions, especially in the case of MLA/MP funded schemes, it may become necessary to take up projects, which are not strictly viable.
12	IT is to be applied through out the organization	We have also recommended the use of IT in the organization. We have recommended that IT should be used not only for regular operations and monitoring, it should also be used for effective human resources management.
13 14	Career advancement based on performance Develop and implement rewards and recognition programme for the staff	We have recommended a merit point system which will ensure that only those with better performance will ever be considered for advancement and rewards for skill development and higher studies

INTRODUCTION

1.1 The Background

Public expenditure has played a pivotal role in Karnataka's development over the years. Both in the provision of social and physical infrastructure, Karnataka's track record has been unexceptionable in size and scope. Private sector investment today is attracted to the state mainly because of public sector investment undertaken in the past.

Roads and Buildings is one such sector in which the state has excelled under the charge of PWD. A number of major Road and Buildings, e.g. Improvements of 2000 Kms of state highways, Bangalore-Hosur National Highway project and many bye-passes around urban centers, Hubli-Dharwar by-pass ; High Court buildings at Bangalore, mini Vidhana Soudhas at districts, National game buildings at Kanteerava stadium, etc, have been undertaken. These have helped the state immensely towards orderly movement of traffic and for housing various government departments.

However, like in the rest of the country, in Karnataka also, while public expenditure has been widespread and effective, such expenditures have been undertaken with little regard to cost and efficiency. Public Works Department's infrastructure development was financed from general revenues of the state government till the 80s. During this period efficiency considerations did not attract the attention of the government to a great extent because the state had a revenue surplus (Table 1.1). However, subsequently, while on the one hand, the condition of the state finances is deteriorating, the need for more outlays for physical infrastructure, like Roads, is growing. Today, a stage has come when out of the total borrowings of the government (fiscal deficit) 56 percent is going towards financing revenue deficit and only the balance is left for capital formation, wherein, in a well managed fiscal system, the revenue expenditure should be entirely met from revenue receipts (zero revenue deficit) and the borrowings should be utilized only for capital expenditure which add to growth.

Table 1.1**Karnataka: Trends in Government Deficits**

Particulars	Unit	1960-1961	1970-1971	1980-1981	1990-1991	1999-2000
1. Revenue deficit	Rs. Cr	+2	-6	+59	-79	-2326
2. Fiscal deficit	Rs. Cr	-35	-62	-227	-558	-4148
3. Revenue deficit as % of fiscal deficit	Percentage	-	9.7	-	14.1	56.1

Source: Government of Karnataka, nicnet

The impact of the above on the development of roads and bridges in the state of Karnataka can be more clearly seen from Table 1.2 (A) & (B).

Table 1.2 (A)**PWD Budget Details**

Year	Revenue expenditure (RE)	Capital expenditure (CE)	Total	RE as a % of total
1991-92	126.39	45.42	171.81	73.56
1992-93	151.06	52.86	203.92	74.08
1993-94	132.37	57.62	189.99	69.67
1994-95	140.87	75.49	216.36	65.11
1995-96	149.77	64.99	214.76	69.74
1996-97	163.37	92.12	255.49	63.94
1997-98	184.40	106.23	290.63	63.45
1998-99	202.64	110.02	312.66	64.81
1999-2000	268.02	147.85	415.87	64.45

Table 1.2 (B)**PWD Budget for State Highways & Major Dist Roads**

Year	Plan (P)	Non-plan (NP)	Total - SH & MDR	NP as % of total	Total as a % of PWD budget
1995-96	46.05	66.2	112.25	58.98	52.27
1996-97	77.53	77.41	154.94	49.96	60.64
1997-98	43.76	74.69	118.42	63.05	40.75
1998-99	18.65	98.39	117.04	84.07	37.43
1999-00	13.72	100.93	114.65	88.03	27.57

Table 1.2 (A) gives expenditure on Roads and Bridges from the state budget and Table 1.2(B) gives data on expenditure incurred exclusively by PWD on SH and MDRs. From Table 1.2 (A) two conclusions emerge; one is in real terms (after adjusting for inflation) capital expenditure on Roads and Bridges stagnated between 1996-87 and 1998-99 and has picked up somewhat only in 1999-2000. A second conclusion is that emerges that almost as high as 65% of the total expenditure goes towards revenue expenditure. Then data in second table (table 1.2 B) which relates to PWD is much more disturbing. There is not only a perceptible fall in the plan expenditure (which results in asset creation), but as of 1999-2000, 88% of total expenditure is in the nature of non-plan expenditure. It may be seen that this expenditure is constantly raising since 1996-97. Another interesting feature is that the funds allocated for the use of PWD (SH and MDR) as a percentage of total Roads and Bridges budget is continuously declining.

Clearly, the need for public expenditure in Road Sector is not in question. On the other hand, emphasis has to shift from public expenditure *per se* to productive public expenditure. Considerations of efficiency have to be at the center stage of any expenditure exercise.

With the above as the background, the Karnataka Administrative Reforms Commission (KARC) has, entrusted to the Indian Institute of Management, Bangalore a study to look into the functional efficiency of the Public Works Department. More specifically, the terms of reference are:

1.2 Terms of Reference

Expected Tasks

- Rationale for functions and departmental activities in the context of current perceptions and policies at the Macro level (Secretariat / Head office).
- Nature and spread of schemes / activities supported from state budget or central / externally aided programs / projects, the proliferation and duplication of schemes within the same or related departments, recommendations for merger / abolition of departments. This part will be limited to macro level issues.
- All the entities connected with the main department will be studied for linkages. Overlaps and complements with other departments, public sector enterprises and functional agencies will be reviewed at macro level.
- Nature of planning and decision-making, level of decentralization for approval of schemes, provision for feedback and iterative corrections, efforts to address delays at different stages of implementation or delivery of services.
- Departmental structure at various levels, from the Secretariat to the Directorates to Division / District to Field Offices, nature of delegation of authority and financial linkages for main line department.
- Number of employees at various levels, scope for merger / outsourcing of tasks to reduce employee strength, surplus employees at every level and in each cadre for main line dept.

- Nature of Secretariat procedure, extent of computerization, record management and retrieval.
- At Secretariat / Head office level steps for effective utilization of budget provision.
- Nature and quality of performance evaluation, recognition and reward systems, and steps to enhance morale and motivation – macro level / qualitative.
- Human resource development through training at the workplace and outside.
- Steps for internal communication of departmental goals and expectations to employees at all levels, and publicized procedures for public grievance redress and consultation.

From the perspective of citizens, the following issues will also be addressed in the exercise:

- Publicized standards of services and activities provided by department and its agencies at different levels, including public sector enterprises, including declarations of citizens' charter, wherever released;
- Level of transparency in the working of the departments and their agencies; access of people to information on activities and decisions, speed of response to demands for information, and grievance redressal mechanisms;
- Quality of service delivered through counters, and constraints of employees in responsive delivery;

1.3 Scope of the study

The scope of the work include the detailed analysis of the structure, functions, cadres and manpower at different levels of the main line department i.e. PWD in the Secretariat. The linkages of this main line department with other statutory bodies such as:

- Karnataka Road Development Corporation Limited (KRDC)
- Karnataka State Highways Improvement Project (KSHIP)
- Chief Architect (CA)
- Directorate, Ports and Inland Water Transport

are also considered towards better functioning of the main line department.

The study will cover the functions and cadres of the Public Works Department (PWD) at the Secretariat, head offices (Bangalore) and the offices of the main line department in selected divisions and subdivisions. The study will not go into the detailed functioning analysis of the statutory bodies.

Policy level discussions regarding the organizational functions will be held at the Secretariat level. Organizational data regarding overall command structure, manpower at different cadres, functions of different cadres, overall budgetary provisions and utilization will be collected from the Head Office / Secretariat. Possibility of outsourcing certain activities and application of IT will be collected from the head office level. These factors will once again be checked at the Division

level. Data regarding organization strengths and weaknesses, critical functions and required support to carry them will be discussed with respect to Group A and B cadres and personnel manning these cadres. The study was carried out in

- PWD division, Mysore and 3 subdivisions under it
- PWD division Kolar and 3 sub divisions
- PWD division Bijapur including three sub divisions
- PWD division Raichur and its 3 sub divisions and finally
- PWD division Gulbarga along with three sub divisions

1.4 Key Deliverables

Based on the functional review, the key deliverables will contain recommendations on

- Restructuring / reorganization / merger of the sub-departments to improve efficiency and better service
- Rightsizing of the departments and staff with specific reference to cadres and levels in the main line departments.
- Activities that could be outsourced / privatized
- Devolution of powers / finances
- General recommendations to cover and improve systems and work methods for greater accountability and transparency in the functioning

1.5 Study Methodology

The study was carried out in three stages. In the first stage the consultants prepared an interview schedule and a semi structured open-ended questionnaire. The suggestions on this questionnaire from the respective departmental staff and also the representatives of KARC are considered in the finalization of interview schedules.

In the second stage personal interviews were conducted with the officers as well as staff at the secretariat level. This was supplemented by focus group discussions wherever feasible and necessary.

In the third stage, the questionnaire were administered to the departmental personnel from the districts identified as well as at Head quarters.

The primary data obtained from the Secretariat, Head quarters as well as district levels has been supplemented with secondary data such as departmental reviews, annual reports and other publications of the department as made available to the consultants.

The schedules for interviews are given in the appendix.

1.6 Organization of the Report

The organization of the report will be as follows. There is an introduction and a discussion of the present set up of the Public Works Department. A chapter follows this on officers' response. The next chapter spells out the main recommendations. The last chapter summarizes the findings.

PRESENT ORGANIZATION AND STAFFING OF PUBLIC WORKS DEPARTMENT (PWD)

2.1 General

This chapter presents the organizational structure and staffing pattern within the Public Works Department and other associated departments / entities in the State of Karnataka. The information contained is drawn from the various records provided by the concerned departments and discussions held with key staff have provided additional inputs.

2.2 Associated Organizations with PWD

The associated organizations are -

- (a) Karnataka Road Development Corporation Limited (KRDCL)
- (b) Karnataka State Highway Improvement Project (KSHIP)
- (c) The Chief Architect, Karnataka, Bangalore (CA) and
- (d) Port and Inland Water Transport (PIWT)

2.3 The Study

This study mainly focuses on functional review of the mainline department (PWD). Discussion on complement departments and statutory bodies / organizations, as per terms of reference (TOR), is limited to the extent that they have a bearing on the functioning of the mainline department.

2.4 Activities of the PWD

The major activities of the department are:

- Collection of field data on existing road network (NH, SH and MDR) and bridges for up gradation, improvement and maintenance
- Traffic survey and preparation of database
- Investigation, survey, planning, design, preparation of estimates, implementation of new road projects, upkeep and routine annual maintenance of existing roads including quality assurance/checking
- Preparation of estimates, including structural designs, for the buildings of government departments, construction including quality checking / assurance
- Maintenance and repairs to all the public buildings.

2.5 Organizational Structure

The Public Works Department is presently headed by an IAS officer of the Principal Secretary's rank. In addition, an Engineer-in-Chief at the Secretariat level is looking after the functioning of PWD. There are three zones, Communications & Buildings (North), Communications & Buildings (South) and an exclusive zone in National Highways, each headed by a Chief Engineer (CE) to assist the Engineer-in-Chief for the implementation of department's programmes.

Chief Engineer (CE) is controlling and administering various roads and buildings projects in his jurisdictional area. He is assisted by Superintending Engineers (SEs), heading the circles. There are two Circles under NH zone, 6 Circles under South Zone, Bangalore and 4 Circles under North Zone at Dharwar. The organizational structure of PWD is shown in Figure 2.1. The structure of CE's office and Secretariat are shown in Figures 2.2 and 2.3 respectively.

Figure 2.1
Organisational Structure - PWD

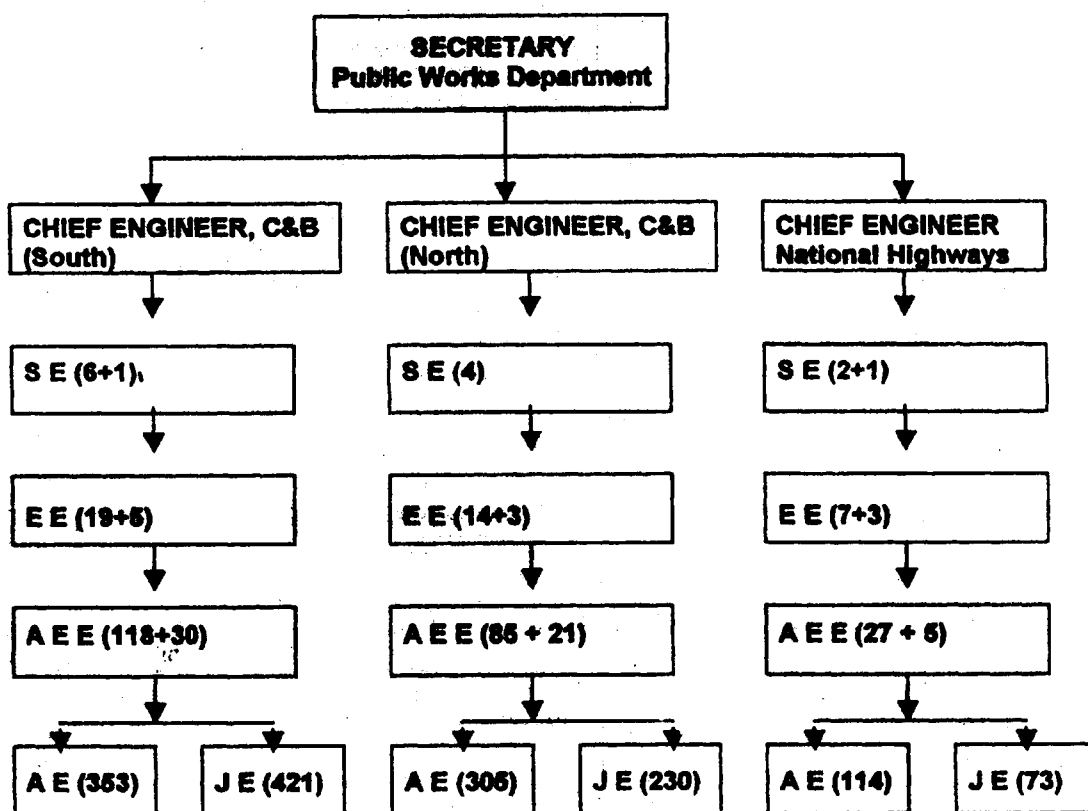


Figure 2.2
Structure of CE's office

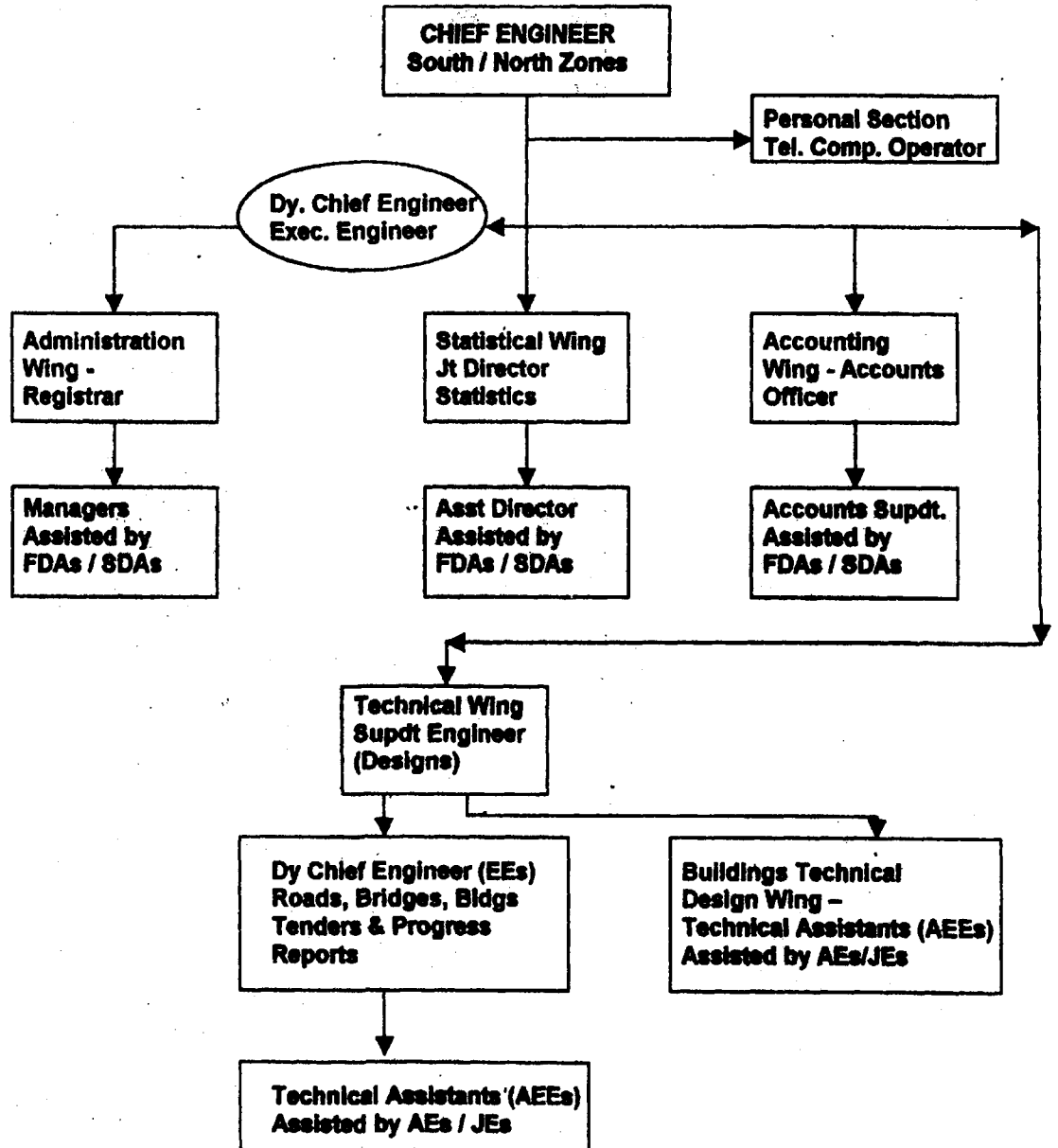
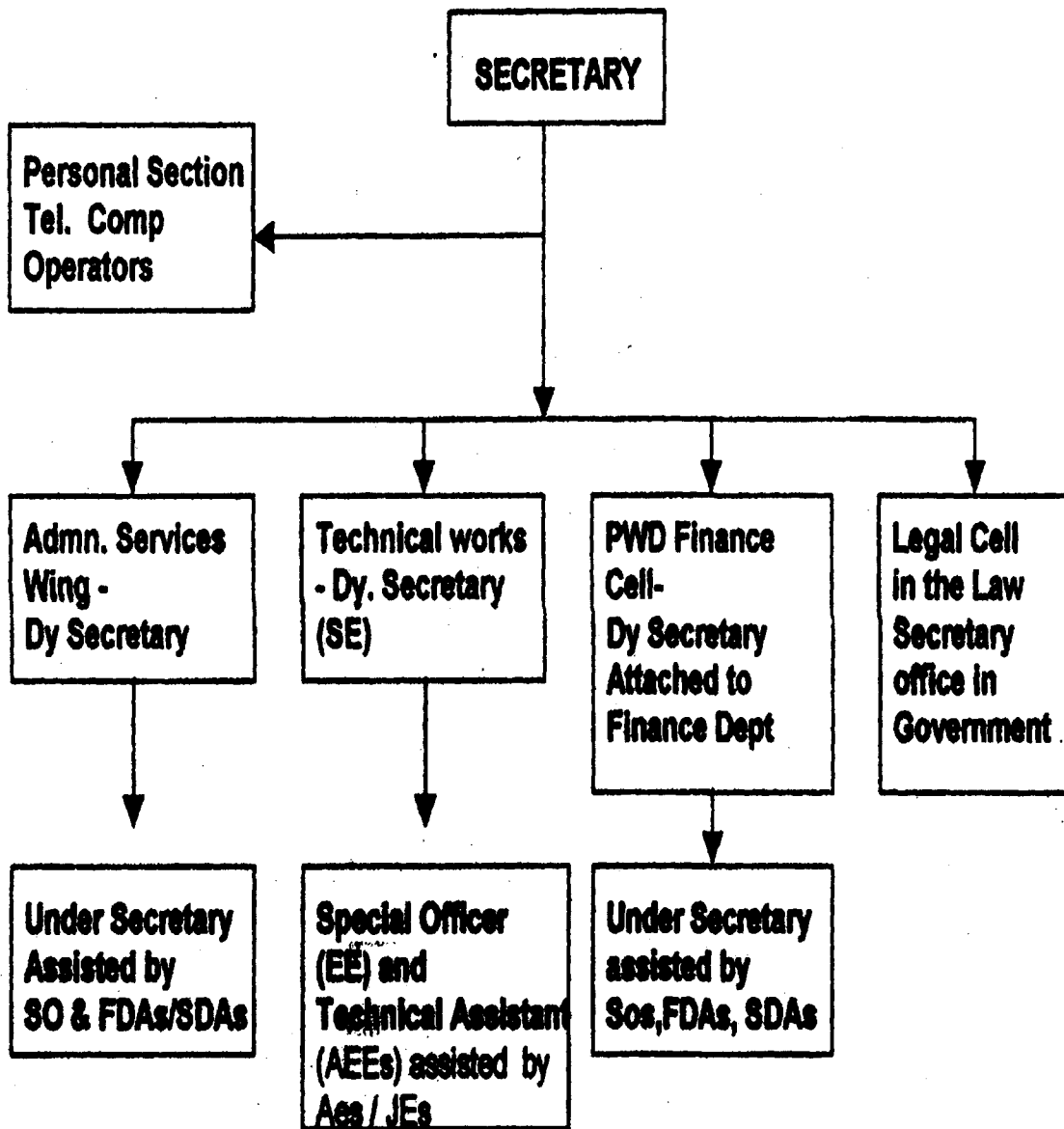


Figure 2.3
Structure of Secretariat



2.6 Existing Manpower

The total manpower of the department associated with PWD activities is presented in the Table 2.1

Table 2.1
Current manpower details of PWD

Designation	Sanctioned	Filled-up	Working in PWD	No. on Deputation
Engineer-in-Chief	2	2	2	-
Chief Engineer	9	3	3	-
Supdt Engineer	47	39	14	25
Exe Engineer	164	164	51	113
Asst Exec Engineer	753	713	286	427
Asst Engineer	1908	1751	772	979
Total	2883	2672	1128	1544

PWD is lending A & B officers to various organizations much more than the number currently working in PWD mainline department. It is acting like an employment exchange for other organizations for qualified technical staff.

2.7 Major Responsibilities of Different Cadres

The Chief Engineer is responsible for planning, budgeting, establishment, plant and machinery, general policy matters, research and development related to his zone / project. He works in coordination with other Chief Engineers and Engineers-in-Chief. He is expected to exercise control over the personnel working in his zone / project. The Chief engineer also exercises concurrent control over the duties of the officers of the department in connection with the maintenance of accounts and support the Accountant General in enforcing the disbursement of accounts. His functions also include the preparation of annual budget estimates under the control, submit administrative reports pertaining to his zone to government under intimation to Engineer-in-Chief, administer the budget allotment and inspect every circle office under his control.

A Superintendent Engineer is in charge of planning, investigation, construction and maintenance of all engineering works in his circle. He exercises control over subordinate staff working in the circle. He also inspects the divisional offices within his circle, maintains the authorized system of accounts and undertakes the supervision of various works, stocks in the store, assessment of revenue and its recovery within the circle. He is also expected to prepare a schedule of rates for works executed in his circle and update the same on the basis of the prevailing rates of material and labour in the locality. He has to accord approvals for the plan works to be carried out each year, monitor the physical progress and financial expenditure.

An Executive Engineer, in charge, of a Division is responsible to his Supdt. Engineer for the execution and arrangement of all works within his division. His duties include planning, investigation, construction and maintenance of all engineering works entrusted to his charge and accounts of expenditure. He is also expected to exercise control on his subordinate staff for their work and carry out frequent inspections of works. He is also supposed to report to the Superintending Engineer important events in his division. He is the key officer to disburse payments for the works carried out, purchases made.

2.8 Other Features of PWD

The quality control of PWD activities is taken care of separately. In each construction zone i.e. C & B (North) and C & B (South), there is an exclusive division headed by an Executive Engineer for these activities. In addition, one sub-division is specially earmarked for quality control purposes in each of the circles. In the case of national highway, the AEE heading quality control sub-division under each circle reports directly to SE (Designs) National Highways at Bangalore.

As per the existing government rules, the employees can be transferred across different departments, including semi-governmental and statutory bodies, corporations like Karnataka Police Housing Corporation, Karnataka Housing Board, Karnataka Health Systems Development Corporation, KSHIP and many other organizations which are carved out from the original PWD of 1970.

A number of corporations have been created to undertake building construction activity for different departments. Important among them are KPHC, KHS DP and KHB. These corporations are able to generate their own resources and undertake building construction activity on their own. Thus, the role of PWD is limited to mostly maintenance of buildings of various governmental departments.

With regard to road construction activity also, paucity of funds is hampering additional road construction activities. The Government of Karnataka has created KRDCCL on the lines of a limited company to borrow money from external agencies and from financial institutions.

In order to create, develop and improve the road network with external assistance (World Bank), the Government of Karnataka has created an exclusive cell called Project Implementation unit (PIU), KSHIP.

Thus most of the road construction activity is undertaken by KRDCCL and KSHIP, leaving behind the maintenance of the road network (State Highways and MDR).

However, the improvements and maintenance of national highway is taken up by PWD staff under National Highway zone.

There is no structured system of updating of the knowledge, in-house capacity building through training programmes. The financial powers, authority

for according approvals, sanctions are concentrated and vested with top-level officers and with the government. Even the EE, an important executive officer, has limited financial and administrative powers. There is limited decentralized decision-making process in the department.

2.9 Linkages with other organizations

The different organizations / units that are currently associated with PWD are given below.

K R D C L

It was created in July 1999. It is governed by a Board which is the final decision making authority. The management is under a Managing Director who is assisted by a Company secretary and a Finance Officer. Main functions of KRDCCL include

- Building Roads and Bridges
- Facilitate BOT Entrepreneurship and collection of tolls
- To take up priority works
- To borrow funds for the above

The current activities of KRDCCL include 153 bridges and 600 kms of road at a cost of 200 crores; and maintenance of 7500 kms of road at the cost of 250 crores. The work is entrusted to 27 divisions of PWD for supervision.

The organization has assured funds flow and going by its staff strength, is quite a lean organization. Details about the organization as provided by them are given in Table 2.2

Table 2.2

BStatistical Information - KRDCCL

Item	1999-2000 (actual)	2000-2001 (actual)	2001-2002 (actual)
Budget			
Plan	750	273	4800
Non-plan	-	600	2500
Actual Expenditure			
Plan	750	273	3300
Non-plan	-	-	2000
Activities Planned	Construction of 153 Bridges	State Highway maintenance	Construction of Flyovers, strength- ening and widening of Jewari-Bijapur road and Bilikere-Belur road

Item	1999-2000 (actual)	2000-2001 (actual)	2001-2002 (actual)
Activities achieved	-	153 Bridge work started	SH maintenance work started, 153 bridges work will be completed. Flyovers work, Jewari-Bijapur road and Bilikere-Belur road work will be started
Staff position			
A category			
Hired from PWD	-	3	4
KPCL & NBCC	-	1	6
Employed on your own	2	2	2
B category			
Hired from PWD	-	4	4
Employed on your own	-	-	-
Tendering process	Construction of bridges	State Highway maintenance	Flyover works, strengthening and widening of Jewargi-Bijapur road and Bilikere-Belur road work
Payment procedures Followed / adopted	P W D procedures in respect of works bills		
Establishment charges like			
Salaries	5.90	30.53	105.78
TA & DA	0.80	8.58	20.40
Vehicle expenses	1.40	2.72	3.15
Other Admn expense	14.85	72.59	78.42
Total Payment for works	Nil	3312.68	30617.37

Item	1999-2000 (actual)	2000-2001 (actual)	2001-2002 (actual)
Activities outsourced charges paid for the same			
a. Management Consultancy		56.70	-
b. Design & Supervision			
Mysore-B'lore Rd	-	45.00	79.80
Jewari-Bijapur Rd	-	-	85.00
Bilikere-Belur Rd	-	-	86.00
Gulbarga Ring Rd	-	-	40.00
Quality consultants	-	-	132.63
Mandya traffic sur.	-	2.20	132.63
Gulbarga Ring Rd	-	3.20	132.63

KSHIP

Main functions of KSHIP are upgrading 950 Km of state highways and major maintenance of 1300 km of SH, costing Rs.2000 crores (mainly funded by World Bank). The implementation of the project is overseen by the Chief Project Officer assisted by Project Director, Land Acquisition Officer, Dy. Secretary, Finance, Forest Officer and Asst. Director, Social Welfare. It is managed by an empowered Committee chaired by the Chief Secretary.

Chief Architect

This office was set up to provide architectural designs for buildings. It has a total strength of A & B officers of 31. Its interaction with PWD is only for building designs. It has no interaction with KRDCCL or Director of Ports.

Ports

Practically there is no functional linkage between the Ports and PWD functions.

Transparency in the operations of the corporations

The autonomous corporations viz. KRDCCL and KSHIP are setting an example of transparency in their functioning. These corporations openly invite contractors to apply for works and categorize them into 3 classes. The list is available for public scrutiny through their offices as well as from their web sites. The tender documents are issued based on the category of the contractor as well as the cost of the work. Again, the entire details about the quotations given by each contractor and the final contractor selected, along with reasons, if any, are also made available to the public.

PWD OFFICERS RESPONSES

3.1 General

The present study aims at a functional review of the mainline P W D. The focus is on present functioning as well as future needs. Such an assessment is directly dependent on a detailed examination of the tasks performed by various functionaries in their present jobs as also what they perceive as desirable changes for a more efficient system to emerge. It will throw light on the areas – technical, organizational and administrative – where there are constraints for the efficient functioning and provide guidelines for suitable remedial action.

The assessment presented here is the outcome of progressive exercises attempted in two stages. In the first stage, a detailed questionnaire (Annexure 1) was developed and mailed to individual officers belonging to the A and B categories in the following offices:

- (a) The Secretariat,
- (b) Chief Engineers' office and
- (c) Five divisions, namely,
 - P W D division, Mysore and its three sub-divisions
 - P W D division, Kolar and its two sub- divisions
 - P W D division, Raichur and its three sub -divisions
 - P W D division , Bijapur and its three sub-divisions
 - PWD division Gulbarga, and its three sub-divisions

In all, about 250 sets of questionnaire were distributed, and 109 consisting of 24 E E / A E Es, 76 A E s and 9 others (IAS officers, accounts officers and those working in non-technical functions) were only received, despite personal discussions and meetings at division and sub-division level , which is only forty percent.. Some of the salient aspects on which the views elicited are:

- Total length of service, the employee has put in the department
- Number of years of service in the present cadre
- Objectives set fourth for the department as understood by him
- His current duties
- His assessment of man power needs
- Areas where man power could be increased /decreased
- The possible areas for outsourcing
- His perception about the duplication of similar work by any other government/ Non Government agencies.

- Transparency in file movements, number of files handled on an average per day
- Areas of training needs
- Motivation levels of employees
- Current and future usage of IT in the department

The above was followed by detailed discussions on specific aspects of the questionnaire with officials at all levels. Extensive discussions were held with the EEs at the divisional level.

3.2 Responses of Officers

The responses to questionnaire (Table 3.1) are presented for four groups:

- CE / SE, mostly involved in administrative functions,
- EE / AEE, involved with core technical functions,
- AE, involved in field level implementation work and
- “Others” providing support functions to the department.

Table 3.1
Responses of A and B category officers

Item	CE & SE	EE & AEE	A E	Others
Total service in the department				
Less than 10 years	0	1	0	4
10 to 15	0	2	19	0
15 to 20	0	2	32	0
20 to 25	0	8	14	3
More than 25	0	11	11	2
Total	0	24	76	9
Average	0	22.81	18.62	15.83
No. of years in the present position				
Less than 5 years	0	16	5	6
5 to 10	0	7	4	1
10 to 15	0	1	19	0
15 to 20	0	0	33	1
More than 20	0	0	15	1
Total	0	24	76	9
Average	0	4.38	15.72	6.94

Manpower adequacy				
Adequate	0	17	49	6
Not adequate	0	7	27	3
Total	0	24	76	9
Down-sizing				
Possible to down size	0	10	14	1
Not possible to down size	0	14	62	8
Total	0	24	76	9
Outsourcing				
Preferable to outsource	0	13	56	4
Not preferable to outsource	0	11	20	5
Total	0	24	76	9
Duplication by other agencies				
Duplication exists	0	6	25	3
Duplication does not exist	0	18	51	6
Total	0	24	76	9
Time spent within the department				
Less than 75 per cent	0	10	37	3
75 per cent and above	0	14	51	6
Total	0	24	76	9
Average No. of files attended in a day				
Less than 5	0	0	32	0
5 to 10	0	9	35	1
10 to 15	0	6	8	1
15 to 20	0	5	1	5
More than 20	0	4	0	2
Total	0	24	76	9

Some of the main observations are presented below:

- In respect of certain questions dealing with objectives of the department, the officers do not appear to have complete clarity. They perceive that the objective of their job is to carry out the work given to them effectively. Likewise, responses with regard to training were vague as there were no regular training programmes at present. They are unable to relate the training essentially required for the effective functioning and to the future

needs of the department. One of the reasons could be the existing transfer policy across departments. Finally, on questions related to computer use, the answers were identical since computers were in use in almost all the divisions in a similar way. . On other questions, however, responses are very interesting to note.

- To start with, it may be noted that the respondents, on an average, had 15 years of service in the department; hence their responses are based on sound experience.
- Two-thirds of the total staff including technical staff and other staff felt that the existing manpower was adequate. Three-fourth of the technical staff did not think downsizing was possible. 90% of “others” also opined on similar lines.
- However, two thirds of the officers were in favour of outsourcing. The suggestion to outsource was particularly strong among AEs. The possible areas for outsourcing included quality control, survey and investigation, management of department guesthouses, legal matters and vehicles.
- An overwhelming number of officers (close to 70%) did not feel there was duplication of work by other agencies.
- Almost half the officers are spending less than 75 per cent of their time on work inside the department. The remaining time is spent in activities such as coordinating with other departments, dealing with public bodies and public at large.
- AS regards paper work & file movement, on an average the EEs, AEEs attend to 12 files a day and JEs 7 files a day . “Others” handle 17 files a day..

3.3 Outcome of Discussions

Discussions that IIMB team had with select officers gave an insight into the further issues/details. Some of these are:

- Outsourcing could, however, serve the twin objective of improving efficiency and downsizing, if necessary. Survey equipments that the department currently has are technically obsolete; outsourcing can improve service quality and save time. Similarly, almost all officers/officials felt that the maintenance of guesthouses could be and should be outsourced. Finally, the amount of time officers spend on legal matters could be avoided if legal services were outsourced.
- An important point that came out of the discussions was that outsourcing technical services like quality control, survey & investigation should proceed with caution, since large scale outsourcing must first, ensure that there is enough private sector competency and adequacy to handle the task and the second is , the department people have enough training to supervise and regulate the works.

- Further, during discussions it was understood that though there were other agencies like KRDC, KSHIP, Zilla Panchayats etc for carrying out similar works utilizing the externally aided funds, there was no duplication of activities. Only PWD staff was being drawn on deputation. To that extent whether same work been carried out by one organization (PWD) versus multiple organizations, will have implications for other establishment costs. It may not be very cost effective way of doing things.
- Many AEEs/AEs suggested that the devolution of financial / administrative authority to different level officers suitably and specially to the executive engineer would help in minimizing the delays at least in respect of works where budgetary allocations have been made in the year.
- The most important point that came out during the discussions is that functional review in order to gain better efficiency can not be carried out in isolation. It has to be done in a larger context of administrative, organizational and infrastructural support that exists at present. First, lack of promotion prospects cause an abiding sense of frustration among those who are experiencing it.
 - A JE has to wait for more than 20 years to become a special grade JE
 - An AE has to wait for about 20 years to become an AEE
 - An AEE has to wait for about 12 years to become an EE
 - An EE has to wait for about 6 years to become a SE and
 - A SE has to wait for about 3 years to become a CE.

Primarily, this situation affects the quality of their work. Secondly, in respect of development of skills and the modalities for the utilization of such skills, also there are several shortcomings. Hardly any training is provided at the entry level. There are no refresher courses for persons elevated to higher positions or transferred from other departments. Though some in-service training programmes are in existence, the system is not all embracing. Several people said they had no training whatsoever even after several years of service in the department. Most disturbing feature however, is the department's failure to provide favourable conditions for the development of skills acquired by the staff. An engineer is liable to be transferred any time to a position, which is completely unconnected to the skills acquired by him. Even within the same department, there is no system of assigning work among employees based on their skills or assessing the skills acquired by them. Finally, there is no well-defined system of monitoring and evaluation of the work assigned to the staff at the various levels in the present system.

The higher officials provide technical guidelines to the field staff to ensure quality of work. A time schedule is also fixed based on the investigation report. Thereafter a periodic inspection of work / review of work is undertaken. Beyond this no other mechanism based on

management techniques (PERT/CPM) is followed. Computerization exists at the division level and they are in use, but limited to preparation of statistics, progress reports and for official letters.

It was suggested that their use could be extended in other areas also specially for efficient execution of work, speedier decision-making, better transparency and judging the performance of the project staff.

- Most of the respondents were in favour of decentralized decision-making, which in turn might result in facilitating officers to complete the work within the budgeted amount and the given time frame.

3.4 Establishment charges as a percentage of the cost of civil works

The expenditure incurred on establishment such as office expenses, salaries, TA & DA, vehicle, telephone charges etc. are incurred whether any civil works are carried out or not. When any division is involved in road maintenance or construction activities, one major deficiency is the establishment expenditure as a percentage of cost of civil works. Table 3.2 provides details for two divisions Gulbarga and Kolar each of which is involved in road construction and maintenance activities.

Table 3.2
Details of Establishment and cost of civil works

Name of the division	Year establishment	Cost of works	Cost of civil (3/4) *100	Percentage
(1)	(2)	(3)	(4)	(5)
Kolar Division	1997-98	260.09	1651.36	15.75%
	1998-99	334.79	2121.21	15.78%
	1999-00	248.09	2605.44	9.52%
	All Years	842.97	6378.01	13.27%
Gulbarga Division	1998-99	615.60	1081.76	56.91%
	1999-00	367.96	1347.23	27.31%
	2000-01	347.35	1973.11	17.60%
	All Years	330.91	4402.91	30.23

It is seen from the table that the establishment charges varies from 9.52 to 15.78% in the case of Kolar division for the maintenance / construction activities. In the case of Gulbarga it is noticed that during the year 1998-99 the establishment charges worked out at a very high percentage of 56.91%. However, during the subsequent two years this percentage was reduced to 17.6%. Overall the cost of establishment for the three years in the case of Kolar worked out to 13.27% while in the case of Gulbarga the percentage works out to 30.23%. This clearly brings out that there is lot of scope to improve the productivity of the employees by providing more funds or by increasing the area of operation of division i.e. one division for two districts instead of a division for every district.

Similarly, the procedures in the Public Works Department are cumbersome and time consuming due to the lack of decentralization and the need for referring the matters to the central office. On the other hand, the procedures followed in corporations such as KRDCCL are less time consuming. The following tables illustrate the point. Table 3.3 refers to the processes involved in the award of works in Gulbarga Division. Thus, it may be noted for a building activity it has taken four and a half years to complete the process and issue the work order. Even though the work is supposed to be completed in 24 months, the information provided indicate that they have already spent 30% of it and completed 10% of the work. In the Road project-I, the tendering process was completed six months but the work was not completed even after 12 months and full money budgeted for the work has already been spent. The information indicates that they have completed 7 kms out of 12 kms of the road stretch. These two works are fully financed by the state budget. Road projects 2 and 3 are financed from NABARD grant and in both the cases the work was completed on time. Thus, this indicates that the flow of funds is really hampering the completion of works. It may also be noted that there is lot of improvement in the time taken in the tendering process.

Table 3.3
Processes followed in Gulbarga Division

Details of Work	Court Complex at Gulbarga	Road Project 1	Road Project 2	Road Project 3
Admin. Approval	October 96	January 2000	April.1997	May 2000
Tech. Sanction	March 1999	February 2000	January 1997	July 2000
Tenders Called	March 1999	February 2000	July1997	May 2000
Tenders Approved	January 2001		October 1997	September 2000
Work Order	March 2001	January 2000	November 1997	September 2000
Duration (Months)	24	12	15	9
Cost of Works (Rs.Lakhs)	400.00	50.00	177.00	50.00
Status	Under progress	Under progress	Completed	Completed

In the case of corporations the discussions with the officials indicated that the process of tendering is simplified and that too with the creation of state level commissionarte of tenders the tenders were approved by the empowered committee in the case of KSHIP and the board in the case of KRDCCL. This whole process is being completed in less than three months time. Thus, if the public works department has to improve the time taken for the award of tenders in tune with the other organizations, decentralization of decision making process will reduce the delays that are currently occurring.

RESTRUCTURING OF THE PUBLIC WORKS DEPARTMENT

4.1 General

The thrust of the argument, so far, in this report has been that Public Works, specially the highways is a critical source of output and employment growth and can substantially reduce the bottlenecks in communication. The State of Karnataka has played a major role in developing and providing communication facilities to the public in the past and will continue to do so in the future. However, since the cost of road development in the state is high, both in financial and efficiency terms, and is gradually rising over time, there is a need to determine the most cost-efficient method of providing this service. In this chapter we pool together all the information gathered and analysed in the previous chapters, plus more, and come out with a plan through which, given the constraint of resources, the human talents and skills are optimally matched with the available institutions and technology so that maximum benefit can be derived .

4.2 Functional Reorganization

Public Works Department (PWD) which was initially in charge of all aspects (both construction and maintenance) of roads and buildings in the state, has, in course of time, been devolved of its responsibilities considerably and is presently looking after mainly maintenance of roads and buildings. Construction activities are being carried out by newly set up corporations/ cells within the department like KRDCCL and KSHIP for roads and KPHC, KHSDP and KHB for buildings. Out of the total construction activity in public roads and buildings almost 75% is being handled by the corporations/cells and only a meager 25% by PWD.

The above shift was found necessary because PWD, which gets funded out of general revenues of the state, was finding it difficult, given the general deterioration of state's finances, to sustain a high level of development activity in roads and buildings. These activities were, thus, hived off to corporations/cells who are capable of raising funds for such activities from public and/or financial institutions and multinational organizations. *It is recommended that the PWD should deal with the maintenance activity of roads alone and leave the construction activity to other bodies/cells such as KRDCCL and KSHIP.*

Similarly, in view of the resource constraint, a large proportion of the building construction activity has already been taken over by other organizations such as Police Housing Corporation, Karnataka Health Systems Corporation, KHB etc. Nevertheless, the PWD still continues to maintain various government

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1. The main recommendations of the Booze-Allen Study and our comments are given in the sheet attached at the end of this chapter

buildings. It is felt that there is no synergy between the road maintenance activity and building maintenance activity, without building construction. Also, in their report of September 2000, Booze-Allen & Hamilton, USA¹, have recommended that the buildings activity is to be separated from PWD. They also recommended creation of an exclusive work force for Roads activity. The "Task Force for Road Works" set up by Government of Karnataka in September 2000 concurred with the above recommendation. *We are also of the view that Building works should be hived off from PWD work force leaving the PWD to concentrate completely on the maintenance of roads.*

4.2.1 Departmental Structure

In general, the proposed department will continue to have the same structure as at present with PWD Secretary at the helm. The downward structure into zones, circles, divisions and sub-divisions will also continue (However, the strength of staff at each level will be based on a set of norms to be spelt out later in the report).

4.2.2 Suggested functions of the secretariat

The important functions of the secretariat are given below

- Preparation of a perspective plan for development of highways clearly stating the time schedule for implementation and resource requirements. The plan will also explore alternative modes of financing, besides budgetary support.
- Budget preparation for the entire department
- Overall planning and budget allocation to various zones/CEs.
- Budgetary allocation to different projects, distribution among CEs working in the same project
- Setting up of a coordination committee consisting of CEs and SEs and holding meetings every quarter, to review status of activities and suggesting corrective measures
- Liaison with the government for the release of the funds on quarterly basis
- Delegation of authority to CEs and other officers for effective functioning and coordination with other agencies including statutory bodies and departments
- Creation and maintenance of a database of all the employees of the organization detailing, among with other things, the skill levels needed and developed, so as to find the right match between the job requirements and the skills at each level.
- Maintaining an asset register for the entire department

- Maintenance of district-wise statistics, including, maintenance of district-wise accounts, by component wise, for example, by salary, TA and DA, vehicle expenses, office maintenance, materials etc.

4.2.3 Suggested functions of the Chief Engineer / Zonal Office

The following functions at the chief engineer / zonal office level are suggested, in addition to the current functions carried out by them.

- Development of PERT charts for each and every work costing more than Rs. 20 lakh and identification of important milestones.
- Monitoring of the works based on the PERT charts prepared.
- Rating of the circles, divisions and sub-divisions based on a merit point system (the merit point system is described later in this chapter)

4.3 Outsourcing and Closure of activities

Outsourcing

As an efficiency augmenting measure, there is also a need to make a distinction between public provision and public production. In case of PWD, while government should provide, it need not always produce the entire service. Greater efficiency can be achieved if some of the services are contracted out to the private sector for production. In PWD, it is possible to explore several areas where, based on the responses of the officers, production can be entrusted to the private sector for greater efficiency.

For example, the equipment available with the department for survey and investigation is not latest. This makes survey activities time consuming. On the other hand, there are parties in the private sector who have access to latest equipment. It, thus, makes immense sense to outsource, to the extent possible, the survey and investigation activities.

Again, there are only a few divisions vested with the function of quality control for the entire department. There is a feeling that these divisions are unable to stick to the time schedule as required by the construction activity leading to delays. Also, these divisions are perceived as rather lenient in enforcing the required quality. In addition, the equipment used by the department is obsolete. The lacuna in quality control is usually reflected, not immediately, but over a period of time, increasing maintenance cost. Here is, thus, an area for outsourcing.

Another area for outsourcing is the maintenance and management of guesthouses. The view on this was unanimous. Guesthouse maintenance takes up lot of time without any commensurate output. In any case, this is not a mainline activity and can easily be outsourced.

The discussions also revealed that there was a possibility of reducing the fleet of vehicles through outsourcing. Instead of the department maintaining the vehicles, drivers and workshops, these services could easily be outsourced, as done by some of the public sector organizations such as POWERGRID. In order to minimize the hardship to the existing drivers, it is suggested that this be done in a phased manner and preference may be given to organizations/cooperatives formed by the drivers who have retired from service.

Closure

Redundant labour force can be a drag in the efficient working of an organization. An alert organization should not hesitate to close down and re-deploy or retrench with adequate compensation, the undulant labour force. In the course of this study the study team identified one section i.e., the stores section where after the issue of notification of the transparency act, almost all the procurement activities of the department have come to a stand still. The materials have been made part of the works contract. As a result, there is very little work for the stores section. There was a unanimous view that the staff connected with the stores section at different offices can be redeployed.

It is felt that many housing corporations are outsourcing the building design activity. The building construction activity taken up by PWD has come down drastically. We have also recommended that buildings activity is to be hived off from PWD. It is recommended that the office of Chief architect be closed down and the same activity could be outsourced as and when needed.

4.4 Manpower assessment

4.4.1 Suggested Norms for the Technical Positions

According to the TOR, the study is to focus on the A and B category employees of the department. The study team had discussions with the secretariats, CEs' offices and five selected divisions. Based on the data collected and discussions the following norms for technical staff have been evolved. The technical staff includes the CEs, SEs, EEs, AEEs and AEs/JEs.

The type of work involved in maintenance and management of completed roads and structures is completely different from the work involved in the construction. Hence, the norms have to be different for these two categories of works. Accordingly, two different sets of norms, one for maintenance and the other for construction are evolved. Table 4.1 gives these norms at each level of the technical staff.

Table 4.1
Norms for the Technical Staff

Work Norms for Operations and maintenance			
Cadre	Cadre Below	Number of posts in cadre below	Length of Road to be maintained (Kms)
CE	SE's	4	30000
SE	EE's	2 to 3	7500
EE	AEE's	4	3000
AEE	AE's	3	750
AE			250
Note: These norms are on the basis of the average length of road maintained by some of the better managed divisions in PWD			
Work Norms for Construction			
Cadre	Cadre Below	Number of posts in cadre below	Rs. In Crore
CE	SE's	4	640
SE	EE's	4	160
EE	AEE's	3 to 4	40
AEE	AE's	4	12
AE			3
Note: This is based on the average expenditure incurred by KRDC			

4.4.2 Manpower requirements for Public Works Department

Based on the norms developed in Table 4.1, the manpower required for the road maintenance activities are shown in Table 4.2. The manpower is calculated on the basis of the work norms discussed earlier in this chapter. It is recommended that the PWD should be involved in maintenance activities only. An additional 10% is added to account for administrative and other requirements at various levels.

Table 4.2
Manpower for Road Maintenance Activities

<i>Item</i>	<i>Existing</i>	<i>As per our study</i>	<i>% Change</i>
Engg-in-Chief equivalent	2	1	50
Chief Engineer	3	2	33
Supdt Engineer	14	8	43
Exe Engineer	51	20	61
Asst Exe Engineer	286	80	72
Asst Engineers	772	240	69
Total	1128	351	69
Zones	2+1	2	33
Circles	10+2	8	33
Divisions	33+7	14	65

It can be seen from the above table that there are currently 40 divisions of which only 14 are sufficient for the maintenance activity. There are two circles currently involved exclusively for the activities of the national highways. It is recommended that this work also be part of the maintenance work of PWD.

4.4.3 Total spending by PWD and KRDC & KSHIP

The details on total resource availability for all the organizations involved in Roads and Bridges for the year 2001-2002 is presented in table 4.3.

Table 4.3
PWD Budget for the year 2001-02 (Roads & Bridges)

Item	Rs. in crores
Plan outlay	451.06
Non-plan outlay	83.23
Total	534.29
Deduct Repayments	
HUDCO	.48
ABARD	5.00
TOTAL	5.48
KSHIP works	125.00
KRDC	150.00
GRAND TOTAL	280.48

Net total	253.81
M O S T Grant for National Highways	90.00
Total Budget of PWD	343.81
Usage of the budget during 2000-01 : (77%)	
Assuming the same utilization, PWD activity during 2001-02	265.00

Ref: Budget book

In the light of the PWD budget for the year 2001-02, presented in Table 4.3, there is no need for two positions of Engineer-in-Chief and Principal Secretary in the Secretariat. Only one position is sufficient. It is also possible that the entire activity could be undertaken by two zones rather than three zones as currently working. The National Highway activity could be undertaken by the same zonal Chief Engineers with exclusive S Es / C Es rather than a separate zone created for that purpose.

It may be noted here that there are 27 divisions, which are currently engaged in the work on behalf of KRDC. During the discussions with the department, it was pointed out that the department is carrying out construction activity on behalf of corporations created exclusively for this purpose. In addition, there are a large number of officers from the department, on deputation to various other organizations. The manpower required for carrying out the construction activity pertaining to road works on behalf of the corporations/cells is estimated on the basis of the norms given earlier. This indicates the manpower required for all the construction activities that are taken up by PWD for National Highways and those taken up on behalf of KRDC, KSHIP etc. The PWD is also undertaking some deposit contributory works which are random in nature. It is estimated that the availability of funds under this head will be of the order of Rs.60 to 70 crores. Thus the total sum of these activities will be in the order of Rs. 700 to 750 crores per annum. The manpower requirements for PWD, including these activities are given in Table 4.4. The total manpower referred in this table pertains to all the persons in the department, which includes those given in Table 4.3 as well as those currently working elsewhere on deputation and those working in other organizations and bodies.

Also, it comes out of the table that the excess manpower for all the levels together amounts to about 73%. This excess is after allowing for the staff required for all road construction and maintenance activities by PWD and construction activities by all the corporations. In other words, there is 70% excess manpower in the department in all the scenarios discussed.

It may be noted that, in the restructured Public Works Department, the building activities (both construction and maintenance) have been hived off. Considering that the Department will not be involved in these activities anymore and the increase in efficiency will result in the fact that only 726 officers of the technical cadre (A and B category) are sufficient for the reduced portfolio of the activities. However, the calculations also assume that some of the activities are outsourced as mentioned earlier.

Table 4.4
Total Manpower for P W D Activity

Position	Total Requirement	Existing/Filled-up	Excess	% of Excess
Engg-in-Chief	1	2	1	50
Chief Engineer	2	3	1	33
Supd Engr	13	39	26	67
Exe Engineer	40	164	124	76
Asst Exec Eng.	150	713	563	79
Asst Engineer	520	1751	1231	70
Total	726	2672	1946	73

4.5 Financial Delegation

Comparisons are made between the functioning of a corporation and a department, and invariably the answer is that the department is inefficient. However, inefficiency stems from the processes followed in the government towards decision-making and disbursement of funds. While funds do flow through the government, in case of the corporations / PIU, the funds are in the nature of a dedicated account and there is no uncertainty in terms of flow of funds. Absence of uncertainty in the flow of funds removes uncertainty by way of receivables by contractors. The contractors not only find an incentive towards speedier completion of work but are also willing to resort to extraordinary means to complete the work. In the case of department, processes are too cumbersome, flow of funds is erratic, and disbursement of funds is influenced by political consideration. The following table illustrates this point.

Month	LOCs Sought (Rs. in lakhs)		LOCs Released (Rs. in lakhs)	
	State	NABARD	State	NABARD
Apr 2000	273.1	700.0	0.0	0.0
May	258.0	900.0	25.5	1600
Jun	253.0	500.0	0.0	0.0
Jul	278.5	700.0	45.5	1200.0
Aug	490.5	500.0	234.6	500.0

Month	LOCs Sought (Rs. in lakhs)		LOCs Released (Rs. in lakhs)	
	State	NABARD	State	NABARD
Sep	475.0	600.0	147.0	600.0
Oct	444.0	525.0	112.0	516.0
Nov	529.0	350.0	63.0	350.0
Dec	521.0	600.0	205.0	587.0
Jan 2001	821.0	900.0	2.5	900.0
Feb	854.5	500.0	304.0	0.0
Mar	1985.0	500.0	1744.9	1000.0
Total	7182.6	7275	2884	7253

It can be seen from the above table that in case of state funded works, only 40% of the LOCs sought are released where as in the case of NABARD, almost the entire amount was released.

One of the contributing factors for efficiency in the corporations is the devolution of financial powers as well as authority for sanction of works. It is recommended that once a particular work is approved and budget provision is made, the concerned EE be authorized to carry out the work. He needs to approach the higher authority only if there are either time or cost over runs.

4.6 Skill and Competency Development

There is no structured plan for up gradation of skills in the department. It was also noticed that in the divisions visited by the study team, the funds earmarked for training were not completely utilized. Also, the skill requirements are different at different levels in the department. This being a technical department, there is a crying need for training to keep pace with the latest developments in the technology. Keeping this in mind, the following strategy has been suggested.

- All A and B category staff should be made computer literate and be able to use the computers for day to day functioning
- All EEs and AEEs who are mainly responsible for managing the works should be trained in project management techniques such as PERT/CPM including the use of software such as MS Project.
- Each SE should undergo 4 weeks training on organizational dynamics and human relations. Also, all EEs should be exposed to these training programmes just before they are promoted to SE level
- All CEs should be trained in Human resources management as well as financial management. All SEs should be exposed to these training programmes just before they are due for promotion

- All the non-technical staff at A & B category involved in accounts function should be trained in the appropriate accounting software.
- The chief engineer's office should continuously scan the environment for the latest developments in technology and identify those needed for the department. They should identify the appropriate officers for imparting the training in these technical developments.
- The Secretariat should maintain a database with regard to various training programmes attended by each officer so as to make the best use of the training through appropriate postings.
- The officers of the department, especially the AEEs and EES should be encouraged to identify their own skill development and suitable opportunities be provided to acquire these skills.
- Officers who are interested in higher qualifications should be encouraged through granting study leave, reimbursement of fees etc. In addition, they may be given suitable number of advanced increments after successful completion.

4.7 HR Policy

As mentioned earlier, the technical staff of the department have to spend a large number of years in each cadre. For example, at the junior level the officers have to spend more than 20 years before getting promoted to the next level. The current policy of the government is that promotions are possible only against a vacancy in the next cadre. The promotions are mainly based on seniority and the CRs. Not much recognition or encouragement is given to the efficiency of the officer.

Any HR policy should be such that efficiency is rewarded and opportunities are created for growth in the organization. On the other hand, the growth opportunities should not be taken for granted else complacency sets in. Another important factor should be to match the skill of the persons with the requirements of the organization. Keeping these factors in mind, the following policy is suggested.

- It is suggested that a system of "merit points" be evolved. The efficiency of the officer results in positive merit points where as the inefficiency attracts negative merit points. Each officer's work is reviewed based on the achievement of his plan, as approved in the budget, within the given time and estimated cost. Whenever there are time or cost over runs, the officer attracts negative merit points. Similarly any saving in terms of time and cost will be rewarded with positive merit points. The vary basis for implementing this system will be preparation of a detailed plan of implementation. Even at the stage of approvals, if the file remains at any particular office for more than the stipulated time, the concerned officer attracts the negative merit points. Obviously, implementing this system will require the department to estimate the time and the cost for each

and every activity carried out in the department along with the responsibility. In case, any work cannot be taken up because of the lack of resources, the officer who is responsible for making the resources available will attract the negative points. The merit points will get accumulated in the same pyramidal structure as the organization of the department. In other words, an AEE will receive merit points based on those earned by AEs working under him and also on his own.

- Only those officers who have accumulated more than the average of all the officers of the cadre will be considered. Thus, the merit point system will act as a screening mechanism. Actual promotion should be given through a selection process by a duly constituted committee consisting of experts from within the department as well as outside the department.
- The EIC position as the head the department (secretary) will be filled only by officers who have at least two more years of service in that position. All others may enjoy the personal promotion as EiC, but continue to function as a CE only.
- Another suggestion for the HR policy is that the posting of different persons for different posts should be made based on their experience, training received and additional skills acquired, if any. The creation of the database at the secretariat level is the prerequisite and will help in matching the skill levels to the requirements.

Needless to say, the HR Policy spelt out above cannot be looked at in isolation. It is part of a package, the other part of the package being that a system and organization will be in place, which will enable monitoring of performance, assigning of responsibilities etc, on the lines suggested in this chapter. A promotion policy exclusively for PWD may also not be feasible in the absence of a similar incentive policy in other government departments. So this has to be a part of an overall governmental HR and promotion policy.

We understand that there is no uniformity in the pay scales of different cadres across different departments. Also, promotional opportunities are not similar across all the government departments. Hence a beginning may be made in this department and after a few years (say 2 to 3 years), the scheme could be modified on the basis of a review and applied to all the departments.

4.8 IT Applications in the Department

At present, the department has achieved computerization up to the division level. The most important ingredients of good governance are to achieve equality, transparency and time management. A society has to develop appropriate context before it can adopt a new technology. Many governments lost years in reflexively trying to orient the existing structures and processes within the limits of existing objectives, rather than attempting a re-engineering exercise to get the maximum benefit out of the technology. The new technology, popularly called as ICT (Information Communication Technology) is a great enabler for leveraging the

power of IT by moving files, holding meetings and getting instantaneous feed back etc. It also helps people to voice their concerns directly to the government. In the long run, it is very cost effective. Keeping these aspect in mind, the following suggestions are made with respect to the use of IT in the department.

- Computerization up to the division level is already existing and to make it effective, all the computers at the divisional, circle and zonal levels should be networked with direct access to the secretariat.
- It is suggested that the department create data warehouse. Since the data requirements are rather uncomplicated, a simple data base system such as MS Access is suggested. The secretariat, with direct access to this database should be able to monitor the progress of various divisions directly. In addition, the HR database mentioned earlier will be an integral part of this database.

4.9 Conclusions

The project team is of the view that if the policy changes suggested in this report are implemented, it will make the PWS more vibrant and responsive to the needs of society in providing facilities at an optimum level.

SUMMARY AND CONCLUSIONS

5.1 Introduction

- Public expenditure has played a pivotal role in Karnataka's development over the years. Karnataka's track record has been unexceptionable in size and scope both in the provision of social and physical infrastructure. Today the private sector investment is attracted to the state mainly because of public sector investment undertaken in the past.
- Expenditure on public works is no exception. The PWD has looked after the entire
 - Construction, maintenance of roads and
 - Construction and maintenance of buildings for various departments

It has also provided the supporting activities such as

- Surveys, investigation and project preparation for road network
 - Quality Control of works
 - Traffic data collection, analysis
 - Preparation of road maps of different districts including master plan for the state.
- PWD has been concerned with planning, construction and maintenance of state high ways and major district roads. The total road network belonging to this category is 38,308 KM. In addition, PWD has been entrusted with NH whose length is about 3,524 Km. Thus, a total of 41,832 Km is coming under the purview of PWD.
 - The important road works projects undertaken by the PWD are
 - a. Bangalore-Hosur Road
 - b. Hubli-Dharwar bye-pass
 - c. Improvement to about 7500 KM of State Highway network with three years of maintenance built into contract, which is a new concept introduced in the State.
 - PWD has also been involved in the construction and maintenance of buildings for various government departments. It has built some of the finest buildings in the State.
 - Expenditure on roads and buildings has been met largely from budgetary sources. The government's budget, of late, however, is under considerable stress specially towards plan expenditure, which is asset creation. The

plan expenditure has come down to a mere 13.72 Crores during 1999-2000 from 46.05 Crores during 1995-96. This situation has arisen even though total allocation had remained more or less the same at about hundred plus crore Rupees.

- The Government, thus, has been forced to look for funding for roads from external sources like HUDCO, ADB, NABARD and World Bank etc. In order to facilitate, funding from external agencies, corporate bodies and special project organisations like
 - a. Karnataka Road development Corporation Ltd (KRDCL)
 - b. Karnataka State Highway Improvement Project (KSHIP)

have been created. The funds used by corporations also come from general budget but there are dedicated funds. Most of the construction work is entrusted to these organisations. The PWD is mainly left with routine maintenance activities of the road network.

- Same trend emerges with respect to *buildings* construction and maintenance. Over a period of time, for reasons mentioned above, autonomous corporations have been created for construction of buildings by different organizations / departments. These are
 - a. Karnataka Police Housing Corporation
 - b. Karnataka Health Systems Development Project
 - c. Karnataka Housing Board.

Here also, PWD's work is reduced to the maintenance of the buildings of different government departments, except for the construction of extension to Vidhana Soudha, presently taken up.

- Thus the activities currently being looked after by PWD are essentially
 - Maintenance of about 42,000 Km of road network
 - Maintenance of buildings of different government departments and State Secretariat Buildings, Vidhana Soudha
- The question is: do we need such a big organization to perform just the above two functions. Given the resource constraint should we not aim for better efficiency by cutting the unnecessary expenditure and focus on only what is needed? Against this background, the Karnataka Administrative Reforms Commission (KARC) requested IIMB to carry out a functional review of the Public Works Department and suggest ways and means as to how the functioning can be improved towards better efficiency and service.
- The key deliverables of this study are:
 - Restructuring / reorganization / merger of the sub-departments to improve efficiency and better service

- Rightsizing of the departments and staff with specific reference to cadres and levels in the main line departments.
- Activities that could be outsourced / privatized
- Devolution of powers in respect of finances / approvals
- General recommendations to cover and improve systems and work methods for greater accountability and transparency in the functioning
- The linkages of main line department with other organisations with regard to duplication of activities is also touched upon.
- The methodology adopted for this study include
 - Study of annual reports as publication of the department
 - Structured open questionnaire to A & B officers to the selected divisions
 - Personal discussion with officers at various levels from different unit offices and heads of the Department at Secretariat level.

5.2 About the department

- There are certain features of PWD which need mention from the point of view of functional efficiency that we are seeking. In the first place, despite the reduced workload of PWD over the years, the organizational structure in terms of staffing continues as in the past. In view of the different arrangements now created in the form of corporations for the construction of both roads and buildings, PWD uses the extra staff to send on deputation to these corporations / departments for their activities. Currently 60 percent of the PWD officers belonging to A & B are working on deputation with different organisations. During the period of deputation, the corporations meet the entire expenditure on the staff. During the interim period and at the end of deputation the staff is supported by PWD.

There is also no serious attempt in outsourcing certain activities to reduce costs and increase efficiency.

- Because of a combination of factors, including what is mentioned in the previous paragraph, PWD has no funds to increase the motivation levels of the existing staff through appropriate training or a forward looking HR policy. As a result, there is a lot of apathy among the existing staff.
- In the absence of Information Technology penetration below the divisional level, monitoring and evaluation has become not only costly, but also somewhat ineffective. This is another source of inefficiency with which the department is grappling with.
- Finally, in a government department, which is also encountering financial difficulties, procedures for funding clearances can be long drawn and frustrating. This is also adversely affecting the working of PWD.

5.3 Officers' views on Functioning of the department

- A survey of the officers was conducted to elicit their views on the functioning of the PWD department as they see it. The objective was to find out to what extent their views corroborate our observations about the functioning of the department made in the previous section. Interestingly, majority of the officers, (65%) felt that the existing staff in the department is adequate, implying thereby that the staff in terms of numbers is not clearly a problem.
- Again, 75 percent of the officers feel that as many as 4 activities can be outsourced in the interest of better efficiency and quality. These are
 - Survey and investigation
 - Quality Control aspects
 - Management of guesthouses / IBs
 - Vehicular requirement
- A contradiction in the officers' response, however was that while on the one hand, they agreed that the existing staff was adequate and certain activities can be outsourced, on the other hand, a large number (more than 85%) opined that downsizing was not possible. This response could be due to insecurity or inability to comprehend the purport of the question.
- The responses of officers did however point towards procedural difficulties which included
 - Long delays in approvals and sanctions
 - Excessive paper work and bureaucratic practices and too many responsibilities outside the main activity.
 - Inadequate funds flow as per the schedule of expenditure
- Similarly, the officers aired their frustrations arising out of
 - Lack of promotional opportunities
 - Lack of training and skill development
 - Frequent transfers across different departments requiring varied expertise
 - Total absence of HR policy
- **TWO** additional points that came out during discussion were a suggestion that (i) building maintenance be hived off as it did not make sense without construction and (ii) inadequate delegation of authority commensurate with the responsibility specially at the implementation level.
- The officers were unable to comment in any meaningful manner on IT gap as there was no IT penetration below the level of divisions

5.4 Main Recommendations of the study team

- The study team recommends that
 - Buildings maintenance be hived off¹. Since building construction is already under corporations, this means hiving off of all building activities from PWD.
 - Core PWD staff be exclusively used for maintenance works

The study team also feels that under the reorganized set up, there is no need for two positions – one Engineer in Chief and one Principal Secretary at the Secretariat. Until recently, there was only one Engineer in Chief / Secretary position and the office was functioning well. In the changed scenario, we are suggesting that one will be certainly sufficient.

- The reduction in the manpower based on the suggested measures can be seen from the following table.

Manpower for Maintenance

<i>Item</i>	<i>Existing</i>	<i>As per our study</i>	<i>% Change</i>
Engg-in-Chief equivalent	2	1	50
Chief Engineer	3	2	33
Supdt Engineer	14	8	43
Exe Engineer	51	20	61
Asst Exe Engineer	286	80	72
Asst Engineers	772	240	69
Total	1128	351	69
Zones	3	2	33
Circles	12	8	33
Divisions	40	14	65

A 69 percent reduction is estimated. Even if we assume that other bodies continue to draw on PWD for construction activity, this will require another 375 positions. But the total of 726 will still be more than 40 percent below the staff presently employed in PWD and way below the total PWD staff which include, both staff employed within and outside PWD on deputation.

¹A similar, if not identical, suggestion was made by Booz Allen and Hamilton. They had suggested a bifurcation of Roads and Buildings, nevertheless, under PWD secretariat.

Total Manpower for P W D Activity

Position	Total Requirement	Existing/Filled-up	Excess	% of Excess
Engg-in-Chief	1	2	1	50
Chief Engineer	2	3	1	33
Supd Engr	13	39	26	67
Exe Engineer	40	164	124	76
Asst Exec Eng.	150	713	563	79
Asst Engineer	520	1751	1231	70
Total	726	2672	1946	73

- Four major areas of outsourcing are suggested by the study team. These are (i) Survey & Investigation, (ii) Quality Control, (iii), maintenance and up keeping of guest houses and (iv) outsourcing of vehicles on the lines of POWERGRID / KPTCL or some other public sector undertakings. Outsourcing may have to be effected in phases facilitate a smooth transition.
- It is recommended that closure of Stores section in different divisions / sub-divisions in view of the changed tendering process.
- It is our considered view that the office of the Chief Architect be also closed in view of reduced workload and the same activity may be outsourced as and when needed.
- With the reduced staff of PWD, under the new set up the organization will have to, concentrate entirely on maintenance. More funds for maintenance should be made available. The PWD should also improve the skill levels of the staff through training to bring them to adopt international standards of maintenance and monitoring. The department should also invest in IT for better monitoring of both people and material and the works. In general, there is a need for an HR policy which will be performance driven.
- Procedural delays have always plagued the functioning of the department. Once again, with a smaller size of the budget, the government must ensure that there is no uncertainty, not only about the size of the budget but also its timely release and proper disbursement. This is essential if PWD has to achieve the same level of efficiency as that of other corporations.

5.5 Concluding Remarks

- The thrust of this report, through out has been on efficiency. Towards this end, certain activities have been de-emphasized, certain others have been suggested for inclusion, still others are suggested for restructuring. The objective in either case is singular: to make the PWD more vibrant and responsive to the needs of the society. This report has to be viewed in that context.

REVENUE DEPARTMENT

Acknowledgements

We thank the Karnataka Administrative Reforms Commission for giving us an opportunity to conduct a Functional Review of four departments of the Government of Karnataka viz. Department of Revenue, Department of Agriculture and Horticulture, Department of Rural Development and Panchayat Raj & Department of Social Welfare.

The encouragement, support and cooperation we received from officials as well as the beneficiaries was overwhelming. They were eager to share their views and opinions on the issues concerning reforms in administration. It was unanimously felt that this initiative taken by the Karnataka Administrative Reforms Commission was a step in the right direction and will go a long way in ushering a new era in governance.

We also thank the following members of our expert panel who have immensely contributed to this research study by providing us with invaluable insights and suggestions:

Mr. S.S. Meenakshisundaram, Additional Secretary, Government of India
Dr. Vinod Vyasulu, Director, Center for Budget and Policy Studies, Bangalore

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Last but not the least, our thanks are due to all the field research personnel and secretarial staff who have helped us conduct this research study.

We hope that the findings and recommendations of this study will further strengthen the effective functioning of the departments that were studied.

NIS Sparta Limited
Bangalore

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Executive Summary

A theme that has been generally coming up in the public debate in the country for some years now is whether our system of governance has failed, and whether the system of bureaucracy for public service management that is adopted under the political leadership has delivered the desired results. As a sequel to this, quite often one finds discussions on Good Governance in various forums and the media. Good Governance is understood as good government. The concept relates to the quality of the relationship between government and the citizens whom it exists to serve and protect (ADB.org). Governance means the way those with power use that power. Governance has, therefore, political and economic dimensions. Issues of political governance include the mechanisms by which the public's political preferences are ascertained and leaders chosen. But economic governance - sound development management - is at the core of sustainable development. The quality of governance has a significant impact on investment and growth. The four key components of governance are accountability, transparency, predictability, and participation.

These general discussions on the system of governance and its linkages with the political and the economic systems bring us to the arena of public service management. The specific issues relating to them are:

1. Building accountability in government within the organization and to the client
2. Public service management: performance appraisal, sanctions and incentives
3. Molding bureaucracy for results and customer orientation
4. Removing constraints for reform
5. Evolving a charter of values in civil service and combating corruption" (Vittal and Mahalingam, 2001:51).

Building accountability in Government mean that for the actions taken or not taken, the government must be answerable to the public. This again depends on the clearer statement of objectives of the organization. It also means removal of the safety cushions that are built around the systems that help individuals escape punishment. The ability to bring in these changes depends on the ability to carry out systematic, wise-wise analysis of the objectives of the government.

The principles of business process reengineering can be an effective instrument and they would pose the question that if we were to design the organization today, would we opt for the one in its present form?

Adopting sound principles in public service management also implies bringing changes in the performance appraisal systems for the employees. Further in order to keep the government organizations sharply focused on results, we will have to think through our processes and eliminate red tape systematically. A good leadership with the customer focus becomes a must. Thus, bringing about good governance envisages a whole array of issues that would ultimately contribute to doing well to the public. An attempt is made through the present exercise to understand the

underlying issues concerning the revenue department in the government and to look at the various feasible and sustainable alternatives that would help the government in putting back the department into motion. Thus, these steps of reform are expected to usher in a new era of administration.

The Revenue Department (RD) is the oldest department of the Government. The department is known as the 'Mother Department'. It is said that the department is a bridge between the village level, taluk level district and the state administration. The department deals with the Land Administration in the state i.e. the survey of lands, helping in establishing the right of ownership through the registration process and also ensuring law and order and the welfare of the general public. All these goals of the department are translated into action through three tiers of administration viz., taluk, district and state level administration.

The Village Accountant performs such vital functions such as collection of land revenue and also helps in issuing such vital documents as katha. The Secretariat through the district administration provides a wide variety of services to the common man including the welfare of the old and the disabled.

The objectives of the Functional Review Project for the Revenue Department were:

1. To attempt at an understanding of the functioning of these departments in relation to its present structure and the intended goals and objectives of the department.
2. To attempt at rationalization of departments and staff, and coherence in allocation of functions.
3. To evaluate the schemes and programmes of the department vis-à-vis the achievement of its objectives, delivery structures, its impact on the target population and the extent of duplication if any and thus, in the overall context of the decentralized governance
4. To evaluate alternate service delivery through non-government and community-based agencies.

The required data was collected through interview schedules and in-depth discussions at all levels in the five districts in the state viz., Uttara Kannada, Bijapur, Gulbarga, Kolar and Chamarajanagara district.

Revenue Department has been one of the few departments to have adopted e-governance. The department has already made considerable headway in undertaking computerization of land records. The department of the Stamps and Registration is in the process of evolving model registration papers, creating a website and thus help the public to complete the registration formalities without any hassles. The department is also preparing Citizen's Charter as a step towards effective administration and also to bring in transparency in the functioning. The department of Survey, Settlement and Land Records has also initiated steps towards computerization of land records.

An important issue that has emerged from the present exercise is the lack of co-ordination among the line departments i.e. the Survey, Settlement and Land

Records Department, Stamps and Registration Department and the Department of Endowments. This has given rise to not only inconvenience to the public, but also harassment to them. This is clearly evident in the working of the Sub-Registrar's Office at the taluk level. Lack of scientific guideline value has not only come in the way of transparency in the functioning, but also undue costs and the processes of appeal. Further, it is found that the J form sent by the department in lieu of the change of ownership of rights doesn't automatically result in the change of Katha. Lot of delay and time is lost in initiating the same. The other example of lack of coordination between the departments is that relating to the podi cases in the Survey, Settlement and Land Records department.

It is learnt and found that the files are merely being tossed up from one office to the other and as a result the number of cases pending in the department is of the order of 3 lakh cases and more. This is also found to be a gross underestimation.

Secondly, and more importantly, the departments have clearly failed in achieving the intended objectives of these departments. Survey, Settlement and Land Records department that was suppose to undertake survey, settlement and maintenance of records has failed to do so. The department is found to be involved in merely undertaking maintenance survey, rather than undertaking a fresh survey in view of the tremendous change that has taken place in the uses of land. The result is the revenue

Department is unable to identify or estimate unauthorized occupancy of lands and thus protect the government lands. The other highlights of the review are the duplication in the functioning. Many other agencies like the Development Authorities are reported to be investing huge sums of money in the preparation of maps of a particular settlement. The City Survey work undertaken by the survey department in the 48 towns in the state is largely incomplete and has not brought any results. The same is the fate of the Kodagu resurvey undertaken by the department.

In terms of the structure and its relation to the functions expected, it is found that while much of the work of the survey department is in terms of the actual locations of the boundaries by the surveyors there are no officers to certify and supervise the work of the surveyors. The Taluk Survey Supervisor is generally restricted to his desk and the Sub Assistant Supervisor at the Assistant Director of Land Records is also working at the office. The complaints in this regard are widely reported from the general public in all the five districts surveyed. The officers like Assistant Director of Land Records, Deputy Director of Land Records and the Joint Director of Land Records are not able to provide the required supervision because of the pressure of work, dual control and the vast jurisdiction. On the contrary, the regular revenue officer at the Taluk level i.e. Tahsildar who will be able to do this job is not entrusted with the same.

The Department of Stamps and Registration has been quite successful in mobilizing a sum of Rs.659.88 (1999-2000) crores. The department so far has not been able to attempt at preparing guideline values by property wise for the purposes of collection of duties. The guideline value committee constituted at the district and taluk level are found to be not representative of the different stake holders and there is no transparency in its functioning. The valuations are fixed arbitrarily rather than on the real market values. The Department has not been successful in preventing the real estate developers from circumventing the process of registration.

In the absence of a sound recruitment policy it is found that there is more of promotes at the level of the Sub-Registrar. The office of the District Registrar is essentially created for promotional avenues rather than enhancing efficiency in the department. It is important to note that the department has not been able to recruit personnel for the copying work in the sub-registrar office. As a result, there are outside copyists involved in copying the documents to the public and also collecting the money from the clients. This is said to have resulted in the forgery of the original documents, loss of documents. While the neighboring state of Maharashtra has adopted alternative techniques for copying documents as early as 1927, the department in the state is yet to adopt in a big way techniques like photocopying, scanning etc., for copying work (on a pilot basis computerization work has been taken up at the sub-registrars office) and ensuring safety of these public documents.

The functioning of the general revenue department is also beset with limitations. The general complaint of the public has been the undue delay in the work performed by the grass root level officials. In terms of the collection of the revenue, the water rates and the arrears of land revenue collection there is variation across the state. Few districts have reported of good land revenue collections in the past three years. The department that is involved in the implementation of social security schemes has not been maintaining the list of beneficiaries covered under the programmes and is unable to detect fake cases.

Village Accountant is not found to be accountable as a result of lack of office or place. It is found that there is no adequate infrastructure for the preservation of 20 and odd registers maintained by the Village Accountant.

The functioning of the Muzrai or the Endowment Department has been far from satisfactory. The department has the responsibility of managing 43,217 institutions in the state. The failures of the department have been in formulating a common Act for the governance of these institutions in the different parts of the state and evolve an appropriate administrative structure for the management of the institutions. The management of institutions is good in only about 100 institutions. There is lot of historically and architecturally important temples, which are left, uncovered from this department. While the state of muzrai institutions is poor and do not enjoy a good name and fame, we find that lot many new institutions are coming up and thriving very well in the society.

If this is so, the concern of the department should be to transfer the management of these institutions to private trusts and organizations. This is also relevant in view of very serious complaints on the salaries and allowances paid to the temple staff and lack of regular services in the temples from the large number of devotees.

LAND ADMINISTRATION DEPARTMENT – A STEP TOWARDS GOOD GOVERNANCE

Considering the fact that developmental functions are thrust upon the Panchayat Raj Institutions and there is need for bringing in all the regulatory departments under the control of the present revenue department, it is suggested

that the principle of Single Window Policy should be adopted in the Land Administration Department at the Taluk and District Levels. Thus, all the officials of the line department viz., Taluk Survey Supervisor and Sub-Registrar will function under the supervision and control of the Tahsildar. At the district level, the Deputy Commissioner will be responsible for the overall functioning of these land administration departments. He will be assisted by Head Quarters Assistant (Stamps and Registration) and Deputy Directors Land Records.

At the sub-division the Assistant Commissioner will exercise control and supervision over the functioning of the regulatory departments that will help in ensuring better coordination at the subdivision level. The post of Assistant Commissioner can also be effectively used in bringing about co-ordination between the revenue and the developmental department. Further, the same can be replicated at the village level. The Village Accountant has to be placed in the Gram Panchayat to ensure greater accountability.

The Village Accountant in the new set up will continue to perform the revenue functions and also co-ordinate in the survey work. The role of the Village Accountant will be strengthened by provision of infrastructure and improvement in the service conditions. This will help the large farmers community who very frequently visit these offices for reasons of obtaining a Record Of Rights, Tenancy And Crop Cultivation or a certificate or in getting their boundaries earmarked.

Further, the department will work on a customer-centered approach by encouraging the participation of the community through the formulation of a Citizen's Charter. The proposed Computerization in the department should be carried forward upto the hobli level to help the farmers in getting the required information closest to their place of habitation with the participation of the private agencies or the local youths.

Further, the department also needs to take up the computerization of old records IL 5&6, on line birth registration and also preliminary land records.

With a view to complete the cycle of reformation, the department should undertake the capacity building programmes for officials which will not only orient them on the regular matters, but also in bringing about a greater change in making the administration more responsive, accountable and transparent. The training programmes should also orient them on scientific principles of management and with concepts such as Total Quality Management.

INTRODUCTION

The Report of the Committee on 'Revitalization of Land Revenue Administration' brought out by the Ministry of Revenue Department in 1995 is a first systematic attempt at bringing uniformity in the maintenance of land records existing in different states in the country. The important recommendations of the Committee are:

1. Transferring Land Administration to panchayat Raj Institutions
2. Renaming the Revenue department as Land Administration Department
3. Merging the offices of the Sub-Registrar and Tahasildar for better maintenance of land records etc.

The Ministry of Revenue Department has further brought out a Vision Document for Computerization of Land Records in the country in 1999. The document speaks of Land Information System for the country, identification of 'core data fields' across the country that would be useful for planning purposes, implementation of uniform modern procedures to conduct cadastral surveys and generate land records, conversion of Land Records Administration into a financially self-sustaining activity etc., these attempts reflect the need for bringing about uniform changes in the country as a whole in Land Administration.

LAND RECORDS UNDER PLANS:

From the First Plan period, the plan documents have emphasized on the proper maintenance of land records as the basis of good administration. The sixth plan has envisaged the complementation and updating of land records from 1980 to 1985. According to seventh plan document, "**Land records form the base for all land reform measures and therefore, regular periodic updating of land records is essential in all states**". The 8th Plan and 9th Plan have also envisaged the fulfillment of all five-year principles of National Land Reforms Policies. The 73rd Constitutional Amendment views computerization of land records as an essential step to achieve decentralized planning and effective administration. The continuing and increasing importance of land and consequently the administration and management of land records makes it imperative for one to understand about and its uses.

LAND:

"Land is the most valuable possession of mankind. It is also an important asset of any country. Without land, there can be no country. Then, the wealth of the nation and its economic development are dependent on the state of the land and its usage. The availability of funds depends on tax collection. It is apparent, therefore, any information concerning land is a valuable information which serves as a key to financial investments, commerce, industry and agriculture" (Potdar: 1).

Information about land is presented in three different types. Firstly, the geological information like the shape, size, land forms, minerals and soil. Secondly, the economic information viz., land use, irrigation, crops etc. The third category of information pertains to the legal rights, registration, and taxation. Information

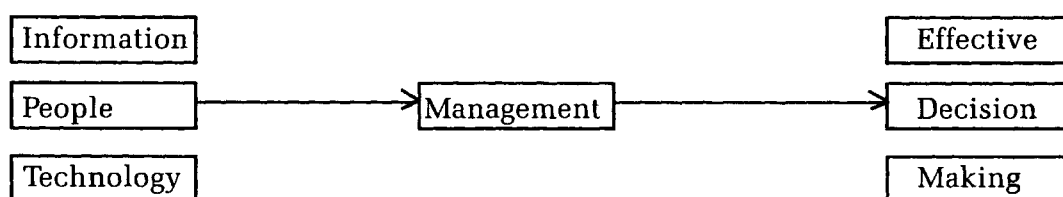
pertaining to any one of the three types or all the three types plays a major role. No improvements to the land can be made without acquiring rights to the land. These rights cannot be acquired until ownership is asserted. This further, cannot be done without demarcating and surveying the boundaries of the land concerned i.e. Cadastral Surveys.

The cadastre is often the principal source of information about ownership rights in land. Even when compiled for fiscal purposes, the record of payment of tax may constitute evidence of ownership of land. Land is the ultimate resource from which all wealth comes. Improvement in the management of land is essential for the betterment of both rural and urban poor.

Without the knowledge of who owns the land, development cannot take place. In general, it should be noted that there is an increasing need for information relating to land for the following reasons:

1. A rise in property values and a need for better support for mortgaging and investment
2. A need for more efficient handling of land title documents to provide greater security of tenure for those in occupation of land and to keep pace with the greater demand for reconveyancing.
3. A steady increase in the number of private and public users who make routine esquires about land ownership
4. Specific land planning and management problems as a result of the need to protect agricultural lands around the cities.

Effective Land Information System is said to be of increasing significance to the Third World Countries because of the need to prevent the wastage of the scarce resources. The challenge for the administrators and the policy makers is to facilitate efficient Land Information through integration of private and public activities.



Land Information Management since the pre-independence days has been the responsibility of the Revenue Department or in other words of the Survey, Settlement and Land Records and Department of Stamps and Registration.

It has been universally accepted principle that the rulers of the State are entitled to a portion of the produce of the land from those who utilize it as a price for the protection of their life and property and also to meet the common expenses of the community. It is this concept of collection of revenue that necessitated the maintenance of land records, although in a rudimentary form, in ancient times. However, it is for the same reasons that the successive governments have attempted at formulating uniform principles and procedures of settlement. The result being the enactment of the Mysore Land Revenue Act, 1964, which was brought into force

from 1965. The post 1956 Reforms in Land Revenue Administration is characterized by the formulation/implementation of different acts like

1. Mysore Land Revenue Act of 1964
2. Land Reforms
3. Karnataka Prevention of Fragmentation and Consolidation of Holdings Act 1964
4. Abolition of Inams/Jahgirs

With a view to establish an effective system of administration in the field, the state, after reorganization was divided into four divisions. The revenue administration was designed at all levels viz., revenue division, district, sub-division and at the Taluk levels. Co-terminus with the efforts to organize the revenue administration in the state, there were efforts to strengthen the administration by bringing in functional specialization into the functioning. Thus, the three line departments viz., Survey, Settlement and Land Records, Stamps and Registration and Endowments came into being. All these departments were finely woven into the revenue administration at the State or the Secretariat level.

1.1. OBJECTIVES OF THE FUNCTIONAL REVIEW PROJECT:

The present study is aimed at understanding the functioning of these departments that were evolved with a definite administrative and developmental objectives. The Functional Review Project as defined by the Karnataka State Administrative Reforms Commission is intended:

1. To attempt at an understanding of the functioning of these departments in relation to its present structure and the intended goals and objectives of the department.
2. To attempt at rationalization of departments and staff, and coherence in, allocation of functions.
3. To evaluate the schemes and programmes of the department vis-à-vis the achievement of its objectives, delivery structures, its impact on the target population and the extent of duplication if any and thus, in the overall context of the decentralized governance
4. To evaluate alternate service delivery through non-government and community-based agencies.

I.2. FIELD WORK IN 5 DISTRICTS IN KARNATAKA

With a view to facilitate the broader understanding of the underlying issues in the department it was decided to meet and collect information from a wide variety of stakeholders like the households, village communities, officials working at various levels in the administrative hierarchy with different levels of leverage to power and control. The technique that was adopted was one of semi-structured interview schedule with informal discussions with key informants, group discussions, case studies etc. This was further facilitated by extensive discussions that the team had with senior officers in the department, retired officials of the department and a wide variety of other stakeholders.

The details are provided in the following table:

TYPE	Number of respondents
Households for Quantitative Survey	676
Village Visits	25 villages
Surveyors and Survey Supervisors	40
Taluk Survey Supervisors, ADLR, DDLR, JDLR	25
Sub-Registrars and Head Quarter Assistants	24
District Registrars, AIGRs, HQA	8
Executive Officers and muzrai Assistants	6
Office Superintendents/Managers etc.,	25
First Division Assistant, Second Division Assistant	101
Village Accountants	38
Revenue Inspectors	24
Sheristedars, Tahsildars, Assistant Commissioners, Special Land Acquisition Officers, Deputy Secretaries	20
Deputy Commissioner	5

Districts Covered: 5 districts namely Kolar, Chamarajnagar, Gulbarga, Bijapur and Uttara Kannada were covered for the survey.

Methodology: The interview schedules were first piloted in Kolar district with 4 teams of interviewers (5 in a team). A preliminary feedback was obtained on the type of response from the concerned officials, and the beneficiaries. Then different teams simultaneously covered all the 4 districts (Bijapur, Chamarajnagar, Gulbarga and Karwar) over a period of 20-25 days during June and July 2001.

District level interviews : As the interviews were to be conducted at three different levels viz. The district, taluk and village levels, the teams covered the district level official interviews in the first few days of the field work.

Taluk and Village level interviews: For each of the taluks, the fieldwork was spread over 10 days. The interviews with officials at the taluk level (say Karwar taluk) were covered on the first few days and followed by the interviews in the villages.

SAMPLING: The villages were first classified into small/medium/large on the basis of population

The following criteria were used to select the villages for fieldwork in each taluk

- ◆ Size of the village (one small, another medium and a large village)
- ◆ Distance from the taluk headquarters (The villages should be spread out in different directions from the taluk headquarters)
- ◆ The Scheduled Caste and Scheduled Tribes population of the villages

- ◆ The Gram panchayat of which the villages are part of (the three villages should be from a different gram panchayat)

The information to classify the villages was obtained from the Taluk headquarters.

Since the study encompassed interviewing government departments, a letter of reference was obtained. This was primarily to ensure maximum cooperation to the interviewers in terms of the information to be provided.

OFFICIAL INTERVIEWS:

Assistance & Cooperation: There were instances where some departments refused to part with information, but agreed to the interview after they were convinced about the purpose and the confidentiality of information. As the letters of reference and personal interaction with the department heads had already been initiated, interviewing was much easier.

Length and time: The questionnaires were administered in Kannada and individually. In case of village interviews too, care was taken to ensure only individual responses.

On an average, the interviews among officials took nearly an hour.

Limitations: The limitations were by way of few refusals and unavailability of the officials during the time of fieldwork at the district/taluk level.

Household interviews: The respondents, though willingly cooperated with the interviewers, did not have adequate information about the various schemes. They were also not aware of all the visits of the officials to their village and in general, did not have a good opinion about them.

The data thus collected has been coded and analyzed on SPSSPC+. The analysis is presented in terms of percentages for easier understanding.

The report is presented in 6 chapters. The first chapter provides a broad framework of the present study. From Second to Fifth chapters each of the department coming under the Revenue Secretariat has been studied and analyzed. The next chapter is a general chapter on the administration in the revenue department inclusive of taluk, district and the secretariat level. The last chapter speaks of the Restructuring of the Department.

The Appendix to the report contains valuable information by way of tables, organizational charts, detailed role analysis, the tools used for data collection, glossary etc.,

DEPARTMENT OF SURVEY, SETTLEMENT AND LAND RECORDS

INTRODUCTION

Land Revenue constituted the major source of income of the Government even before Manu. According to Manu the State obtained 1/12 to 1/6 of gross produce from land as revenue during the normal times. "The people willingly paid a share of their produce to the king in order to get fruits of benevolent administration in which their life and property remained secure. The oldest system of collection of revenue consisted in the taking of a share of the crops." (Karnataka State Gazetteer, 1983:291).

Survey of land and its classification into dry, wet and garden and fixation of assessment on such lands based on nature of soil, situation, water supply and crops is prevalent right from the days of Shatavahanas. The standard units of measurement used for measurement of lands were usually rope or pole.

SURVEY AND SETTLEMENT: While the Revenue Survey and Settlement Department was organized during November 1863, it was only in 1888 the Government of India agreed to the final draft and the new regulation called the Mysore Land Revenue Code (Act IV of 1888) was duly promulgated to come into force from 1st April 1889. The regulation underwent many changes by way of amendments during the subsequent years.

Together with this code, the Land Improvement Laws Regulation (IV of 1890) and the Land Acquisition Regulation (IV of 1894) were also passed into law during 1890-94. The appointment of the Revenue Commissioner as head of the Revenue Department took place in August 1902.

On the revenue administration in general or the land administration in particular the Karnataka State Gazetteer points out:

"When the areas was assigned to the British administration in the year 1853, the entire structure of administration, mode of assessment and collection was changed to from one of absolute arbitrariness to that of some orderliness. During the administration for a little over six years, the whole of cultivable land was measured roughly and its area was compared with that as entered in records, and at the same time the koorige was converted into acres. Even wastelands were measured, recorded in acres some times later. A chekbandi of all the village lands was prepared, the fields being numbered and their situations marked in the records in relation to the adjoining areas ones. The Gasholder rationalized the assessment on all cultivable fields according to the nature of the soil. After necessary measurement and marking of boundaries of all lands, the system of recording the results of the work in pawatee book was introduced. . . . After all the disputes were settled, a kaul (agreement) was entered into for a certain fixed period between the cultivators and the Government providing no scope for any enhancement of the revenue during the period of kaul, and masonry pillars were erected to determine the actual dimension of the holding. Maps showing the total number of Patel, Patwari and the village panchas were kept in the taluk office for future reference." (1983: 300)

The original settlement operations and the revision settlement operations have been carried out in the State from 1844 to as late as 1929. In view of the different types of revenue systems that were in vogue, the State Government appointed the then Deputy commissioner for Settlement to **formulate uniform principles and procedures of settlement, which would be applicable to the entire new State.** The commissioner formulated a proposal for a uniform system of assessment. In the mean time, the Mysore Land Revenue Act, 1964, envisaged uniformity in the procedure of settlement throughout the State and a fresh revision settlement was carried out and enforced from 1965. The new features envisaged under the Act were:

- ◆ **Zonal System:** Zone which comprises a taluk or a group of taluks or portions there of, of one or more districts is the unit of settlement operations. All the lands in the zone are further classified into different groups.
- ◆ The valuation of land based on the type of land into dry, wet, garden and plantation and taking into consideration other factors like the soil, water etc., the standard rates were fixed.
- ◆ **Standard Rates:** Under the Land Revenue Act of 1964, the standard rate is the value of four per cent of the average yield of crops per acre on land in that class of 100% soil classification value. The settlement officer for the purposes of arriving at standard rates had to consider the exact share of the average gross yield that would represent an equitable rate of assessment for a particular zone, rainfall data for the last 30 years, extent of population concentration and the livestock position and among other things the study of wage rates and the prices of agricultural commodities.

“These rates [standard rates] and the Settlement Reports on which they were based were published, calling for objections, if any thereon and after reasonable time being allowed, the reports and the objections together with the opinion of the Deputy Commissioner, thereon were forwarded to the Government through the Commissioner for Settlement for purposes of placing them before the Legislature. Both the Houses of the Legislature then considered these reports. The approved standard rates in respect of each of the zones together with modifications were then notified in the State Gazette in December 1965” (1983: 319).

2.1. KARNATAKA LAND REVENUE ACT, 1964:

The functioning of all the three departments viz., Revenue, Survey, Settlement and Land Records and the Stamps and Registration department are governed by the Karnataka Land Revenue Act, 1964 and the amendments effected to it from time to time. The powers, responsibilities and the jurisdiction of the survey, settlement and land records department as stipulated under the Act are explained at Annexure - 4.

Highlights Of The KLR Act Relating To Survey And Settlement Are:

1. Sec. 106 and 112 provides for revenue survey, protection of Government lands and forestlands.
2. Sec. 114-A provides for revision of settlement of land revenue in such of those cases where there has been changes in land use due to irrigation, urbanization or population explosion etc.,

3. The boundaries of villages, survey numbers, sub-divisions of survey numbers or holdings shall be fixed and all disputes relating thereto shall be determined, by Survey Officers or by such other officers as may be appointed by the State Government (Sec. 137 & 145)

The Act provides for three distinctive types of functions relating to the survey and maintenance of land records:

SURVEY: Survey of all types of land i.e. agricultural/non-agricultural/forest lands owned by private, public or governmental agencies and demarcation of their boundaries on lands and on the maps.

SETTLEMENT: To carry out revision settlement to fix land revenue collection.

LAND RECORDS: Section 114 (a), 137 and 145 of Karnataka Land Revenue Act provides for the maintenance of Land Records. The rationale for the maintenance of land records are: (a) Land Records form the basis for assignment and settlement of land titles (b) These records must stand against legal scrutiny (c) Land is a very precious resource and the Land Records system must safeguard the rights of the legal owner of land.

Thus, the Karnataka Land Revenue Act has made it the obligatory function of the Government to carry out such of those functions relating to the survey and settlement. In the light of this, an attempt is made to understand the functioning of the Survey, Settlement and Land Records department.

2.2. STRUCTURE AND FUNCTIONING OF THE DEPARTMENT

The Organizational chart of the department is placed at Appendix 2. Secretary, Revenue Department, oversees the functioning of this line Department, while the Director is in charge of all the activities of the department relating to survey settlement and maintenance of land records. The Director is assisted by the Divisional level officers viz., Joint Director of Land Records (JDLR) placed in all the revenue divisions. JDLR controls and supervises the work of the Deputy Directors and carry out activities relating to the maintenance of land records. While he is responsible to the JDLR, oversees the functioning of the Assistant Director of Land Records (ADLR). ADLR works at the sub-division level with the jurisdiction of normally one revenue sub-division. He is the technical advisor to the Deputy Commissioner and is responsible for the supervision, control and execution of survey work.

The line staff of the department i.e. the men who actually carry out the survey work in the field or supervise the work of the subordinates are:

1. Superintendent – Executive
2. Taluk Survey Supervisors
3. Surveyors
4. Bandh Peon

Thus, in all there are 7 levels in the department including the Director. These different levels co-terminous with the revenue units in administration, has given rise to a very large number of staff in the department. As on 1-7-2001 there are 1670 vacancies and working strength of 4767 officials.

The distribution of staff in terms of executive/technical and administration is as shown below:

	Sanctioned	Working	Vacant	% Of Vacancies to total sanctioned posts	% To total working strength
Executive	5534	4128	1406	25.40	86.59
Administra-tion	903	639	264	29.23	13.40
Total	6437	4767	1670		

Of the total working strength, 86.59 per cent of the employees on the role are the executive/technical staff and the rest of them are administrative staff. The ratio works out to be 6.46: 1. Thus, it speaks of the large number of technical staff in the department. Looking at the various categories of the technical staff, it is found that three fourth of the working staff comprises of the First and Second Division Surveyors and the Bandh Peons. These are the trained personnel involved in the survey work.

DIRECTORATE:

The Office of the Director is said to be responsible for implementing the land revenue policies of Government in respect of all the original and revision settlement, introduction of city survey, to establish co-ordination and inter-relation between the Department and the Revenue Department in particular etc., Director is assisted among other personnel by Head Quarter Assistant, Assistant Director of Land Records (Technical), Assistant Director of Land Administration.

- Currently, the office of the Director is functioning more as an administrative head rather than providing technical guidance/advise to the officials concerned.
- Post of Head Quarter Assistant, Assistant Director of Land Records (Technical), Assistant Director of Land Records (ADLR) (Administration) are found to be redundant for reasons of lack of adequate work.
- *PODI CASES*: One of the important functions of the department is the demarcation of boundaries whenever there is bifurcation in the land holdings. However, it is found and reported that there are large number of podi cases pending in the department (see Table below)

	Darkash	Alienation	Acquisition	Hudbust	Mutation	Land Reform	Total
Opening Balance	48695	23622	2112	37785	186903	9134	310379
Receipts	595	284	27	4038	5936	79	11351
Total	49290	23906	2139	41823	192839	9213	321730
Disposals	599	284	37	3363	6166	118	10901
Baance	48691	23622	2102	38460	186673	9095	310829
% of Disposals	1.21	1.18	1.72	8.04	3.19	1.28	3.38

Note:	Darkasth	-	Land Grant
	Alienation	-	Conversion
	Acquisition	-	Government Acquisition
	Hudbust	-	Fixing the boundary
	Mutation	-	Sales

It is found that the percentage of disposals during the quarter is around 1 to 8 per cent. It is important to note that after allowing for the disposals, the balance is more or less the same as the previous totals. This is so even in such cases relating to Hudbust where ADLR has the right to dispose of the appeal cases. The pendency is because of lack of co-ordination between the department and the revenue department. It is stated earlier that one of the functions of the Directorate is to work towards this end. Thus, the Directorate has failed to bring about the co-ordination between the two departments at all levels and thus help in the effective delivery of the services.

JOINT DIRECTOR OF LAND RECORDS (JDLR):

JDLR is the head of the revenue division and the jurisdiction is co-terminus with revenue division. He is the technical adviser to the Divisional Commissioner of the division in the matter concerning Land Records and Records of Rights. Under statutory powers, he is expected to dispose the appeal cases under Sec. 49 © of KLR Act and settles disputes regarding the boundary of adjoining villages, border disputes by arbitration and to organize the survey to construct and repair boundary marks etc., under the relevant provisions and rules of the KLR Act.

Currently, there are 6 Joint Directors including the Joint Director and Technical Assistant to the Director and the Principal, Survey Settlement Training Institute at Mysore.

The analysis of the role and responsibilities has revealed that:

- ◆ While the Sec. 49 © of KLR Act provides for disposal of appeal cases disposed by the Deputy Director of Land Records in practice it is found that only a small number of cases are appealed before the JDLR. This is because of the problem of accessibility to these offices located in the divisional head quarters.
- ◆ JDLRs are found to have taken over the powers of DDLR in terms of monitoring and supervising the work of the survey officials. This has resulted in undermining the role of the DDLR.
- ◆ JDLR is found to be functioning more as an administrative authority rather than as a senior technical officer in the department. This is evident from the fact that during the tours they are not undertaking any survey works, number of podi cases has not come down nor are they able to contribute towards the maintenance and preservation of records. Compilation of data has never been completed in time.

DEPUTY DIRECTOR OF LAND RECORDS (DDLRL):

Deputy Director of Land Records, as per the job chart, has a jurisdiction of two revenue districts. He is vested with both administrative and executive powers and is responsible for the JDLR. Duties and responsibilities of the designated officers includes:

- ◆ DDLR will dispose of appeal cases over the orders passed by the Assistant Director of Land records (ADLR) in measurement cases under KLR Rule 139 and correct the survey records under Rule 36 of KLR Rules.
- ◆ Ensure quality of works by taking 2 per cent test in both field and office.
- ◆ Survey officer for the purposes of Sec. 18 of KLR Act
- ◆ Responsible for maintenance of incorporation of changes in the Land Records arising on account of Alienation, Acquisition, Land Grant and changes in rights etc.,
- ◆ Powers of revision of orders passed by the ADLR under Sec. 56 of KLR Act.

During the period under review there are 12 DDLRs for 27 districts in the State. Thus, in respect of few DDLRs the jurisdiction extends beyond one district. For the districts of Kolar, Bangalore Urban, Bangalore Rural and Tumkur there is one DDLR. Similarly for Dharwad, North Kanara, Haveri, Gadag and one more district there is one DDLR. On the contrary for the districts of Shimoga and Mysore there are two separate DDLRs. Thus, the jurisdiction of DDLRs are found to vary from 1 district to 4 districts.

Observations on the functioning:

Countersigning of Podi Cases: In respect of issues relating to Land Grants, reforms etc., DDLR is the countersigning authority. The procedure that is currently followed is presented in the figure 1 (see Figure 1).

It is found that:

1. DDLR is counter signing without actually examining the issue because of the work pressure and hence, the procedure is said to be superfluous.

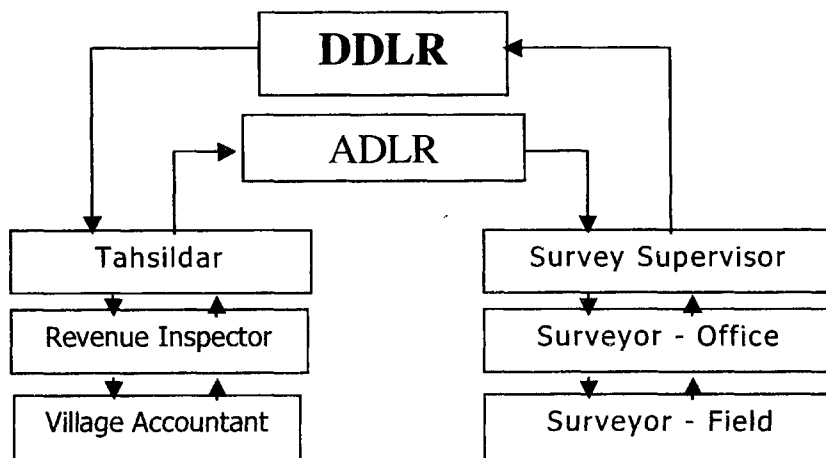


Fig. 1: File movement between DDLR, ADLR and Tahsildar's Office

2. The time involved is quite heavy and the public has to suffer for the same.
3. Tahsildars can be entrusted with countersigning powers at taluk levels based on the reports of the taluk survey supervisor of the particular taluk.

- ◆ DDLR is found to be working for two line-up of officers i.e. the Directorate and the Deputy Commissioner of the district. The fact that issues of priority for both of them are different on certain occasions is found to be causing problems in the functioning of the DDLR.
- ◆ DDLR's visit to the ADLR and other subordinate offices are found to be routine office inspections and thus are found to be not complying with the norm of 2 per cent of checks towards ensuring the quality of works.
- ◆ The process of effecting changes in the land record entries under Sec. 140/2 of KLR Act is found to be time consuming as it involves field measurement by surveyors, supervisors, Assistant Director of Land Records and verification by Tahsildar and DDLR.

ASSISTANT DIRECTOR OF LAND RECORDS (ADLR):

Assistant Director of Land Records (ADLR) is the Technical Advisor to the Deputy Commissioner in matters relating to survey and land records. Responsibilities of ADLR includes: (a) powers to approve day to day changes in respect of mutation cases as per Rule 36(2) of KLR Rule; (b) 5 per cent test check of the work of surveyors, drafter etc., (c) survey officer under Sec. 18 of the KLR Act and conducts survey of sub-division under Sec. 109 of KLR Act.

There are 21 ADLRs working at the sub-division level. In the Gulbarga Division there is only one ADLR as against 10 posts. The Bijapur ADLR has 3 Taluks. In the Bangalore Division there are 7 ADLRs as against 13 ADLRs. Thus, Kolar ADLR has 5 Taluks, while the counterpart in Chikkaballapura has 6 Taluks. The pattern appears to be the same across the state.

The staffing position at the ADLRs offices are found to be very poor. In respect of the 69 posts of second division surveyors, 36 are reported to be vacant. In Kumta 27 of the 47 posts are vacant.

- ⇒ ADLRs are not able to supervise and control the survey works of surveyors because of vast jurisdiction.
- ⇒ Administrative powers vested with the ADLR is found to be highly centralised, forcing officials working at the Taluk level to reach the ADLRs office for financial sanctions etc.,
- ⇒ In respect of the issues/cases emerging from the Tahsildar's office and dealt at the ADLR level, the file movement that is currently followed is found to be with limitations.

The observations from the field and discussions with officials has revealed that

- ◆ There is a need for level jumping
- ◆ In many cases, files are tossed up between these two offices
- ◆ Delay in processing of files and hence, large number of pendency

TALUK SURVEY SUPERVISOR:

Taluk Survey Supervisor is the hub of the basic survey activities in the respective taluk. He heads the taluk office. All survey and land records related matters of the taluk are brought to his immediate notice at first instance. The original land records are being maintained at the Taluk Survey Office. 15.15 percent of the posts are vacant. Taluk Survey Supervisor does the co-ordinating work with the Tahsildar's office in disposing the podi cases. Lot of delay in the disposal of cases is found at this level.

The post of surveyor at Taluk Office is found to be redundant.

SURVEYOR:

Of the technical staff in the department, as stated earlier, a large number of them are the First Division and Second Division Surveyors. Surveyors carry out the survey work. Surveyors are still using the Chain and Cross staff method which is said to have no advantages at all. On the contrary, the work is said to be time taking, highly inaccurate.

It is found that 28 per cent of the posts of surveyors are vacant.

Some of the issues as regards the functioning of the Surveyor are:

- ◆ In all the villages visited by the team, the community members (about 120 people) have very seriously complained of irregularities in the work of the surveyors.
- ◆ It is found that they are corrupt and not committed to the work.
- ◆ Department is currently not supplying the required equipments and not even providing them the traveling allowance.
- ◆ Newly recruited surveyors are not prepared to undertake the harduous task in view of their educational qualification. Thus, faulty recruitment of staff.
- ◆ The idea of private licensed surveyors is found to be with both advantages and disadvantages.

2.3 CITY SURVEY:

As a part of its functions, the Department is reported to have undertaken the survey of lands in 48 towns in the State. The objective of taking the city survey was to survey the properties within the limits of city/town/municipalities, which would further help in establishing clear titles over the lands. However, the exercise was not completed in any of the towns. The study team has visited two-city survey offices at Bangalore and Karwar and the findings are presented in the following two paragraphs:

CITY SURVEY OFFICE, KARWAR:

The city survey office at Karwar was established on 22.5.1992 and continues to exist there with a skeletal staff of 2 First Division Surveyors and 1 Supervisor. This office works under the supervision and control of ADLR, Karwar. The survey work in the city was limited to the town limits as existed during 1971. In all 1,634 acres has been covered in the survey.

The details of the work carried out by the office of the City Survey from 1-4-1998 to 31-3-2001 is presented in the following table:

	Change of Katha	Sub Division	Hudbast h ¹	Binshikth	Review	Copy Application
Opening Balance	31	3	-	-	-	-
Receipt	389	12	7	35	7292	753
Total	420	15	7	35	7292	753
Disposed	408	15	7	35	7292	753
Pendency	12	-	-	-	-	-

1 Hudbasth – Fixation of boundaries

The major drawback in the survey work carried out was that the survey was restricted to the built up area on a plot of land. As a result two separate survey numbers have been given to one piece of land. More importantly, as a result of the city survey the common man is required to approach two offices, viz., City Survey Office and the City Municipal Council for demarcation of their boundaries and establishing their titles over the land respectively. This is said to be one of the reasons for non-functioning of this office.

CITY SURVEY OFFICE, BANGALORE:

City Survey Office, Bangalore, is located within the office of the Director of Land Records. The office is headed by a Deputy Director and is assisted by Assistant Directors and Inspecting Officers. The office has working staff strength of more than 150. The budgetary allocations for the office for the year 2001-02 under non-plan is Rs. 177.26 lakhs. The following are the observations on the functioning of this office:

- ◆ Katha for the city of Bangalore is being done by the Bangalore Mahanagara Palike and people are finding it easier to get the Kathas done at the Corporation. Neither the people are interested in obtaining a map of the site nor the government is interested in insisting on the site map at various stages. As a result the public are not approaching the department. Only in such of those cases where clear titles are required to be established for reasons of judicial scrutiny etc., people are reported to be approaching the department. This is the same for the city survey office of Karwar.
- ◆ The survey is limited to only 120 sq. kms. While the city has grown beyond leaps and bounds
- ◆ Other governmental organizations like the BDA, BMRDA and BMP are involved in the preparation of the maps for their area of operation by spending large sums of money while the existing resources in the department are not being used.
- ◆ Lack of public co-operation in the location of boundaries or demarcation of boundaries is reported to be the reason for the pendency and this has resulted in lethargy, inefficiency and very poor turn out of work.

The present status and functioning of the city survey office is a reflection on the lack of clear guidelines and policies towards effective integration of functions.

2.4 SURVEY AND SETTLEMENT TRAINING INSTITUTE, MYSORE:

Survey and Settlement Training Institute, Mysore, is one of the two training institutes (Gulbarga center is yet to become operational) established with the central assistance at the cost of 3 crores of rupees. The objective of establishing the training institute was to organize induction training programmes on survey matters i.e. technical and administrative matters to the different categories of officials joining the department and also training for the officials of the revenue and judicial departments.

The institute is also expected to organize refresher courses on matters relating to the survey and the maintenance of records.

The Institute is presently having a Principal of the rank of the Joint Director and one post of Vice-Principal of the rank of DDLR. The other staff members including the administrative staff are Inspectors – 4, First Division Surveyors – 4, etc.,

Training Programmes:

1. During 1998-99 the Institute had organized two Common Foundation courses for Second Division Surveyors and two programmes for Probationary Assistant Commissioners and IAS and IFS probationers
2. During 1999-2000, the training programmes organized were short-term general courses and the total number of programmers organized are only seven.
3. During the last financial year the Institute had organized 16 programmes including long, medium and short-term courses.

Expenditure of the Institute:

The total expenditure of the Institute for the last three financial years is as follows:

Year	Expenditure (in Rs.)
1998-1999	1,61,164
1999-2000	4,14,000
2000-2001	3,00,000

Observations:

1. Even though the second quarter in the current financial year is almost coming to an end, the Training Institute has not received funds for the year 2001-02.
2. It is surprising to know that no mechanism has been evolved by the State level training institute to analyze the impact of the training programmes organized by the Institute. This warrants the conclusion that the Institute is not manned by efficient and committed individuals in the field of training.

3. The training institute has failed to address itself to such a serious issue such as the pending podi cases.
4. It was mentioned by the Principal that the issue is taken up by the ADLRs office that may not be nearer the truth as the ADLRs offices are burdened with the regular works of the department.
5. The Institute has limited academic staff.
6. The office of the Director, Survey Settlement and Land Records does not monitor the activities and programmes of the Institute.

2.5 COMPUTERIZATION, PURCHASE OF EQUIPMENTS AND THE PRINTING PRESS:

1. A number of computers purchased and installed at the Directorate are not put to optimum use. They are being used only for day to-day office work.
2. Printing press for the printing of maps installed at Bangalore, Mysore and Dharwad at a initial capital cost of Rs.65 lakhs in each is not being used optimally for reasons of non-supply of stationery etc.,
3. Total station equipments have been purchased at two stages and none of them are being currently used. It is learnt from the Director that there are proposals to use them initially in selected basis. Total cost including the investments made on the computers is estimated to be Rs.2 crores.
4. Computerization of tippan records is reported to be under progress. The work is currently being carried out in Malavalli and Bylahongal.

2.6 PERCEPTION OF THE SURVEYORS/SUPERVISORS ON THE FUNCTIONING OF THE DEPARTMENT

With a view to understand the functioning of the department and the role and responsibilities of the officials the surveyors and the survey supervisors have been contacted and the information has been obtained through interview schedule. In all 22 surveyors or supervisors were contacted by the team.

YEARS OF SERVICE:

Of the surveyors or taluk survey supervisors, nearly 50 per cent of them have reported to put in a service of less than 5 years (see Table No.2.1). On the other hand, about 27 per cent of them have put in more than 25 years of service. Chamarajanagar and the Bijapur district have nearly one third of the surveyors/supervisors working for more than 25 years. Of those with below 5 years of service, 33.3 per cent of them are working in the Gulbarga district. Thus, in terms of number of years of service the officials are with varied years of experience.

YEARS OF SERVICE AT PRESENT PLACE:

The percentage of officials who have been serving for longer periods (i.e. more than 5 years) in the present place is higher in Uttara Kannada and the Kolar district (see Table No.2.2). On the other hand, in respect of shorter years of service, the percentage is higher in Gulbarga district.

NUMBER OF VILLAGES AND URBAN AREAS COVERED:

In terms of number of villages covered, almost 50 per cent are covering around 50 to 200 villages. The percentage of these officials are more in Uttara Kannada and Chamarajanagara. The percentage of officials covering less than 50 villages is 33 per cent and 22 per cent respectively in Bijapur and Chamarajanagara district. The number of villagers covered by the surveyors do not favourably compare with that of the Village Accountants [generally 5 to 10 villages approximately] (see Chapter V).

About 61 per cent of the officials are reported to be covering about 15 urban centers in addition to the villages.

FUNCTIONS OF SURVEYOR/SUPERVISOR:

With a view to understand the functions carried out by the department, the surveyors/supervisors were asked to state the important functions performed by them (see Table 2.4). However, the perceptions of the respondents are found to vary and hence, do not match with the total number of respondents.

One of the important functions perceived by the respondent is that relating to the survey and maintenance of records. Respondent in Gulbarga and Chamarajanagar as compared to others have perceived this as an important function. On the other hand, surveyors and taluk survey supervisors in Bijapur (40.0%) and Kolar (23.33%) have emphasized on the preparation of tippans, building of new records, boundary fixation etc., Two other functions reported by the respondents are those relating to podi, acquisition and providing service and implementing the court orders.

WORK PERFORMED BY SURVEYORS/SUPERVISORS:

When asked to state the nature of tasks performed by them, most of the surveyors or survey supervisors, have reported on the number of survey records prepared, villages visited for the survey work and the number of cases related to delineation of property boundaries etc., (see Table 2.5). About 60 per cent of the sample respondents have reported to have prepared the survey records anywhere numbering between 41 - 75 cases. The distribution among the districts is the same in the districts of Bijapur, Gulbarga and Kolar.

As many as 33.33 per cent of the total respondents in each have said to have visited any where between 11-20 and 21-50 villages for survey work during the three months preceding the survey work. The percentage of respondents is the same in the districts of Kolar and Chamarajanagar in the two categories. Number of cases handled relating to the delineation of property boundaries is found to vary. The number of villages visited and the cases handled is indicative of the less work performed by the officials. This is indicative of over staffing or under performance.

WORK SATISFACTION:

About 18 per cent of the respondents have not expressed satisfaction from their present work (see Table No. 2.6). Number of dissatisfied personnel is more in Bijapur. This may be because of the increased workload. This is evident from the fact that there are no pending podi cases in one of the Taluks of Bijapur district. Of those who have reported it to be satisfied, nearly a third in each are currently working in Gulbarga and Kolar. The percentage of respondents indicating it to be good and very good is different across districts viz., Kolar (9.0%) and Chamarajanagar (36.3 %).

Nature of service provided to the community, nature of the job, technical Knowledge gained are the three important factors stated by the respondents for their satisfaction from the present job. About 50 per cent of those who have attributed satisfaction to the nature of service are from the Chamarajanagar district. Of those who have explained it in terms of the nature of the job about 75 per cent are from the Gulbarga district.

Thus, the nature of service provided to the community coupled with the work environment is said to have contributed towards their satisfaction. In the present circumstances, it is difficult to believe that they are deriving satisfaction from the service provided to the community. This only drives home the fact that the respondents must have perceived the present exercise as a part of the routine information collection from the government and hence, must have tried to exaggerate things.

PERCEPTIONS ON THE FUNCTIONING OF THE DEPARTMENT

More than 60 per cent of the respondents have indicated that the department has been functioning good i.e. good and very good in respect of the information provided to the general public, performance of the department, adherence to the rules and the accountability of the officials (see Table No. 2.7). Bijapur district is found to be ahead of the other districts in respect of all the indicators relating to the general functioning. The discussions with the officials in the district have also revealed that the department has been doing its best in delivering the best possible results. The better performance in this district is because of the interest and commitment shown by the senior officers and perhaps because of better co-ordination between the departments. Gulbarga district is also found to be doing well in this regard.

However, this is found to contradict with the opinions of the villagers across the state and the information provided by the department. The team has visited the following villages and had detailed discussions with the community members.

Name of the District	Name of the Villages	Number of Villagers	Nature of the Respondents
Chamarajanagar	Bendaravadi	25	People of all communities
	Begur	14	People of all communities
Bijapur	Kavalagi	18	People of all communities
	Mamdapur	35	People of all communities including officials
Gulbarga	Kanadal	22	People of all communities
	Nandur B	8	People of all communities
Kolar	Chamarahalli	40	People of all communities

Villagers at the time of the visit have reported that the surveyors / survey supervisors visit their villages occasionally and is said to be contributing to the problems of the villagers. They also talked of the, delay or the lethargy of the officials in delivering the required services to the villagers and the corrupt practices adopted by them. This is also facilitated by the chain and cross staff used by the surveyors. During the time of the discussion, ADLRs have reported the incapability among the newly recruited surveyors in going to the lands and executing the work with the support of the public. Even the large number of pending podi cases at the ADLRs level is a pointer in this direction. This is indicative of the poor perception of the department.

GOALS AND OBJECTIVES OF THE DEPARTMENT:

It is interesting to note that the measurement of land, organizing surveys and maintaining the land records is perceived as one of the important goals and objectives of the department (see Table 2.8). The perception is more or less the same across the districts. Resolving boundary disputes arising out of mutation or alienation is perceived as the next important function. About 41 per cent in Chamarajanagar have reported this to be the important goal. This is being followed by Bijapur (25.0%). Providing information, issue of maps etc., is also perceived as the important function.

CONTRIBUTION TO THE OVERALL FUNCTIONING:

Nearly a fifth of the respondents have reported that by carrying out the survey work or supervising the same and issuing documents to the public, they are able to contribute to the functioning of the department. The perception is the same across the districts (see Table 2.9). Nearly a fourth of the responses pertain to the maintenance of records and solving border disputes. This has been reported by respondents across the districts excluding those from Uttar Kannada. The other important aspect of their functioning is relating to their efficiency and monitoring the office work. Thus, in general, the grassroot level officials are actually carrying out the work expected of them.

PERCEPTION ABOUT SURVEYOR:

About 50 per cent of the respondents have said that the people who have the required help have got great appreciation for the surveyors. The percentage of such respondents exceed 20 per cent mark in Gulbarga, Kolar and Chamarajanagar. Few of the respondents have said that from the community's perspective the surveyor is expected to solve the problem and resolve their disputes. About 40 per cent in each have reported this in Gulbarga and Kolar districts. These perceptions while speaks of the importance of the surveyor, also hints at the high expectations of the community.

ROLE OF THE DEPARTMENT IN FULFILLING THE OBJECTIVES OF REVENUE DEPARTMENT:

There has been varied responses to the question of its role in fulfilling the objectives of revenue department. Giving information on the land and submission of records for the revenue department is being perceived as their contribution to the revenue department (see Table 2.11). Survey and helping in the collection of revenue is also reported to be contributing to the functioning of the revenue department. This has been reported by a third of the respondents in Uttara Kannada and Kolar district.

CO-ORDINATION BETWEEN THE REVENUE AND THE SURVEY DEPARTMENT:

About 75 per cent of the respondents have said that they are able to get the required assistance from the revenue department officials in actually doing the survey work. The question is if this is so, why there is so much of pending podi cases. Again, it is the Bijapur officials who out number others in the rest of the other districts. It may be recalled that the better performance of the department was attributed to the better co-ordination in the department. Chamarajanagar is the other district with higher number of officials concurring that there exists better co-ordination between the two departments. About 80 per cent of the officials have further said that the revenue department revises/amends its records based on the information provided by the survey settlement and land records department. While this is true, the matter of concern is the delay and the corrupt practices involved in this.

The problems confronted in the measurement and preparation of maps is found to be varied. But there are certain basic problems like the lack of maps, lack of boundary stones and other issues relating to the survey work. This speaks of the basic problems in the working of the department and the reasons for pendency of large number of podi cases. Discussions with the senior officers of the department has revealed that a resurvey of the lands in the state is time consuming, costly and more importantly, is believed to result in social unrest.

The relevant question is how sure are we that we are not contributing to the unrest in the families by not solving the boundary disputes. It is important to understand that the survey work involves control survey and cadastral survey. The government can undertake control survey and identify control points, which are expected to go a long way in overcoming the present day problems. At a later point in time the cadastral survey could be undertaken.

SUGGESTIONS TO MAKE THE ROLE MORE EFFECTIVE:

Two important suggestions have been made by the respondents in relation to bringing about efficiency in their functioning:

- ◆ The survey works have to be carried out with the latest technology like the Total Station Method etc.
- ◆ The department has to take the trouble of organizing the capacity building programmes for the officials

SUGGESTIONS ON THE MAINTENANCE OF RECORDS:

The three important suggestions made by the respondents are the computerization of old records, provision of furniture's and the safety of records (see Table 2.13). While the officials are suggesting for the computerization in the department, they are quite aware (90%) of the computerization work in the department. However, as regards computerization, the department is found to be disputing between the digitization of records as against the scanning of the documents. It is found that digitization of records is the only permanent solution towards making our records safe and permanent.

2.7 ISSUES & CONCERNS:

OFFICE OF THE DIRECTOR, SURVEY SETTLEMENT AND LAND RECORDS:

- ◆ The incumbents for the post of the Director has been there for too short a period of time (even below 1 year) which has given rise to negligence of the department both from the Government and the general public and more importantly, inefficiency into the administration of the department itself.
- ◆ The department is found to be involved only in carrying out the maintenance survey. Even these services are not performed upto the expectations of the general public. This is reflected in the 3 and odd lakh podi cases pending in the department. On the other hand the major concern of the department should have been preparing the legal maps of the land. The department has failed to do it. Instead it has allowed different departments like the Urban Development Authorities, Mines and Geology to draw its own maps. This has also resulted in a situation where one has to depend on the maps prepared more than 100 years ago. The failure on the part of the department to carry out such a vital function does not justify its existence.
- ◆ The Directorate is reported to have been bifurcated into technical and administrative wings without any proper directions from the authorities concerned. More importantly, it is learnt that the Department do not have technical people at senior level to head these different sections.
- ◆ The large number of staff at the Directorate level is found and reported to be without much work and thus, the drain on the state exchequer. Many of the staff members are also on deputation to other offices.
- ◆ The work allocation at the Directorate level is lopsided.
- ◆ A project on the survey of the Kodagu region was undertaken by the Department between 1985-94 at the cost of Rs.20 crores to the state exchequer. Serious lapses into this project has been reported.
- ◆ While the senior level officers have tried to appraise the team of their attempts for a fresh survey or resurvey in the state, the answer doesn't seem to be quite convincing. The State has failed to make use of the Centrally Sponsored Scheme under SRA and ULR scheme for the pilot project on resurvey. The Department has failed to get the nod of the Government for their proposal on the survey of Maddur Taluk at the cost of Rs.12.15 crores. Lot of reservations is expressed by some senior officers with regard to the capacity of the Department to handle such a project.
- ◆ In the absence of the same, the Department or the Government can emulate the example set by the neighboring state of Andhra Pradesh¹ in undertaking resurvey through the private agencies.
- ◆ Posts of Head Quarter Assistant, Assistant Director Of Land Records (ADLR) (Technology), ADLR (Administration) are also found to be redundant.

JOINT DIRECTOR:

- ◆ The post of JDLR has been created more for administrative reasons.
- ◆ In practice, the post of JDLR has taken away many of the functions and responsibilities of the DDLR and ADLR and thus has resulted in sidelining the key post of ADLR at the taluk level.

DEPUTY DIRECTOR:

- ◆ Post of Deputy Director of Land Records at the City Survey Office and the sub-staff do not have much work in the office.
- ◆ DDLR who is expected to operate at the district level is found to be entrusted with more than 1 district and thus making it impossible for him to efficiently discharge his duties.
- ◆ The technical competencies and the interest of these officers is found to be largely ignored in the department
- ◆ Office of the DDLR is not adequately equipped and is not even provided with vehicles to enable them to undertake tours.

ASSISTANT DIRECTOR:

- ◆ The staffing position at the ADLRs offices are found to be very poor. In respect of Kolar ADLRs office of the 69 posts of SDS 36 are reported to be vacant. In Kumta 27 of the 47 posts are vacant. The inadequate staff together with inefficiency and lethargy among the surveyors makes the task all the more impossible for the ADLR. This is clearly evident from the fact that in the office of the ADLR, Kolar the number of balance cases as on 31.3.01 is 5365 and the new cases added up during the year is 1277. ADLR, Kolar is also the incharge officer in the City Survey Office, Bangalore. In the Gulbarga ADLR office, the number of new cases added up are 4538.
- ◆ ADLR, Bijapur is reported to have cleared all the backlog cases in one of the Taluks by 31st March 2001.
- ◆ The ADLRs offices also do not have good and adequate buildings.

TALUK SURVEY OFFICES:

There is no officer below the ADLR post to supervise the work of the surveyors and thus there is no monitoring of the work of the surveyors. Village maps, tippan records are found to be in a totally bad shape and requires urgent steps to restore it. Failing which valuable records for establishing clear titles of ownership would be lost. The problems can be unimaginable in the event of any natural calamities. Non-payment of travelling allowances to the surveyors and use of chain and cross staff methods by the surveyors is highly outmoded and is helping the surveyors in playing mischief's.

2.8 RECOMMENDATIONS:

RIGHTSIZING OF THE ADMINISTRATION:

The Revenue Department and the Department of Survey, Settlement and Land Records are dealing in land information and are involved in creation, preparation, maintenance and updation of various types of land records, and supplying the same to the public.

It is important to note that the Revenue and Land Records Departments are governed by the same rules and provisions contained in Karnataka Land Revenue Act 1964 and 1966. The Karnataka Land Revenue Act, 1964, Sec. 20 further states:

“It shall be lawful for the State Government to appoint one and the same person being otherwise competent according to law, to any two or more of the offices provided for in this Chapter or to confer upon an officer of one denomination all or any of the powers or duties of any other officer or officers within certain local limits or otherwise as may deem expedient”

Two other points of consideration are:

1. Many of the provisions in Karnataka Land Revenue Act are overlapping. Thus Sec. 140 (2) and Sec. 49 with regard to appeals make the officials of both the departments party or responsible for disputes relating to the survey of land. Similar are the provisions under Sec. 143 of the Karnataka Land Revenue Act on matters relating to the Construction and repair of boundary marks.

2. Under the system in vogue, the Record of Rights is being administered under Chapter 8 of KLR Rules by two Departments, thus causing delay and non-correlation of information and impediments in updation of land records. Out of the 4 stages envisaged in Rule 38, I & IV stages are attended by the Revenue Department, while the II & III are taken care of by the Survey Department. In all the cases of Land grant, Mutation, Alienation, Darkasth, Acquisition etc., sanctioning authority and implementing authority are different. Preliminary records are prepared by Revenue Department and final records are prepared by Survey Department resulting in transitional delay, incompatible information and causing frustrations to the public.

Single Window System - Need of the Hour: Firstly, the prime requirement of public is availability of comprehensive integrated information and documents of a parcel of land at one place and from one office and signed by one officer. Secondly, removal of overlaps in powers, duplication in the works and to establish continuity and linkages between functions and duties of Survey and Revenue Department are very essential for the smooth Revenue administration.

In the light of the above circumstances, the following are the recommendations:

1. Cadre wise Merger of the Departments of Survey, Settlement and Land Records with the Revenue Department as shown below:

Post	No. of Posts	Cadre to be merged with
Joint Director of Land Records	6	Special Assistant Commissioner
Deputy Director of Land Records	12	Assistant Commissioner
Assistant Director of Land Records	21	Gr. I Tahsildar or of an equivalent rank
SAS (Tech)		Gr. II Tahsildar or its equivalent
Supervisor	196	Deputy Tahsildar
First Div. Surveyor	307	Revenue Inspector
Second Division Surveyor	1610	Village Accountant
Bandh Peon	1854	Gram Sahayak

The suggested merger should be a gradual one coupled with adequate training in survey and revenue matters. The same has to be considered without bringing anomalies in the pay structures. The merger is said to be beneficial in the following ways:

- ◆ The merger will lead to a smooth, efficient system of functioning in the Revenue Administration
- ◆ The preparation and finalization of land records by one agency will result in reducing delays, duplication of work, expenditure, non-coherence and mismatched information and efficient use of the available information with the governmental agencies.
- ◆ The merger will result in the availability of all the information pertaining to a piece of land at one place from one agency to all the customers.
- ◆ Tossing of papers/files from one department to the other is avoided. Possibility of loss of records in transit is removed

In case of City Survey, for the effective implementation of KLR Act in the urban areas, the related staff should be placed at the disposal of the Urban Development Department for further postings to the concerned Corporations for maintenance of records and survey work.

Deputy Director of Land Records at the District level and the Taluk Survey Supervisor [revenue department officials] will oversee the functions relating to the Survey, Settlement and Land Records. The technical staff will continue to perform the functions along with the Village Accountant and Revenue Inspectors.

Implications:

1. Reduction in the non-plan expenditure over a period of time commensurate with the decision to abolish the posts.
2. Abolition of administrative posts.
3. Village Accountant and Revenue Inspector will also perform the functions of a surveyor or co-ordinate in the survey work.
4. Overcome the problems of inadequate staff at the grass root level

EFFICIENCY, ACCOUNTABILITY AND TRANSPARENCY:

1. Adoption of latest techniques like the Total Station Method.
2. Regular monitoring of the work at all levels.
3. Training to surveyors and revenue officials on survey techniques.

ALTERNATIVE SERVICE DELIVERY:

One of the recent initiatives in the department is to issue licenses to private surveyors on the successful completion of the examination conducted by Survey Settlement training Institute at Mysore. The licensed surveyors shall be paid a fee of Rs.300/- for preparing the sketch. The broad functions of the Licensed Surveyor will

be to fix the boundaries of survey or hissa number, before sub-dividing survey or hissa number in the pursuance of all interested parties; preparation of records like the Hissa survey Tippan or P.T. sheet, Hissa Survey pakka or Gunakar Register etc., The scheme of the Private Licensed Surveyors could still be continued in the proposed re-organization of the department.

COMPUTERIZATION:

- ◆ It is suggested that the department should undertake digitization of records rather than just scanning the documents for storage purposes.
- ◆ The Government has to take an immediate step to prevent the copying of maps or using of land maps in any form (including electronic) without the prior approval of the Government. In the absence of it, the private interested individuals will own the same in the near future and amass wealth out of the whole confused situation.
- ◆ There can be only one training institute rather than two. The other one at Gulbarga could be used for training institute on revenue matters.

DEPARTMENT OF STAMPS AND REGISTRATION

Our country has the history of keeping records of various aspects of social, financial and political life since many centuries. In Karnataka, records of registration pertaining to the year 1865 are available in the form of manuscript entries in the registers. In the neighboring state of Maharashtra, it is said that even today one finds original record of financial transactions, administrative, civil and criminal orders passed by Maharajas during 17th and 18th centuries. Out of these, the property transactions came to acquire greater importance in later period in view of disputes trickling in various civil courts, as Indian Judicial system heavily relied on evidence. The primary and secondary documentary evidence therefore automatically gained importance under Indian Evidence Act, 1874. The Indian Registration Act was therefore enacted in 1908, which made registration of documents compulsory to enable those concerned to lead evidence in respect of the transactions especially of immovable property in case of challenge of dispute.

With the passage of time a number of Acts have come into operation relating to the registration, collection of stamp duties and prevention of under valuation. The different Acts, which are currently in vogue, are explained in Appendix - 5.

The Department of Stamps and Registration in Karnataka is said to be one of the oldest departments of the Government. This is also a major revenue-earning department. During the year 1999-2000 the stamp duty and the registration levied has brought to Government a sum of Rs.659.88 crores during 1999-2000.

3.1 ORGANIZATIONAL STRUCTURE:

STATE LEVEL: The organizational structure of the department is placed at Annexure - 2.

STRENGTH AND VACANT POSTS IN STAMPS AND REGISTRATION DEPARTMENT

SL. NO.	NAME OF THE POST	NUMBER OF SANCTIONED POSTS	NUMBER OF VACANT POSTS
1	2	3	4
1.	Inspector General of Registration and Commissioner of Stamps	1	-
2.	Deputy Inspector General of Registration	2	2
3.	Law Officer	1	1
4.	District Registrar (including AIGR)	33	12
5.	Head Quarter Assistant	30	07
6.	Sr. Sub Registrar (including Superintendents)	105	17
7.	Assistant Engineers	06	-

1	2	3	4
8.	Accounts Superintendents	01	-
9.	Sub Registrars	164	-
10.	First Division Assistants	204	80
11.	Stenographers	15	10
12.	Statistical inspectors	2	-
13.	Second Division Assistants	456	14
14.	Typists	63	10
15.	Drivers	42	10
16.	Attenders	121	02
17.	Group - D	294	30
	TOTAL	1540	193

The Inspector General heads the department for Registration and Commissioner of Stamps. He is also called as the Chief Controlling Revenue Authority for the purposes of administering stamp acts. It is found that the head of the department do undertake tours to oversee the implementation of the Acts. As a step towards bringing greater transparency into the procedures and rules followed, the Commissioner has informed the team that it is working towards the preparation of model registration papers. One of the activities that the department is said to be currently working on is the preparation of a Citizen's Charter. The department is also reported to be going ahead in a big way towards the computerization in the department.

Two Deputy Inspector General of Registration assists the IGR & CS at the state level. However, both the posts are currently not filled up. The fact that these posts have been created and no postings have been made so far speaks of the relevance of these offices in the effective functioning of the department. It is found that the post is created only as promotional avenue. Alternatively, postings of senior officials on promotion would have resulted in the decentralization of powers within the office of the IGR or better monitoring and supervision of the work of the department.

Assistant Inspector General of Registration (Administration) and Assistant Inspector General of Registration (Audit) are attached to the office of the Inspector General of Registration and Commissioner of Stamps. The post is equivalent to the post of the District Registrar's in the district. Head Quarter Assistant is the fourth in the hierarchy and currently he is also working as the public relations officer. The HEAD QUARTER ASSISTANT is expected to assist the AIGRs in their day to-day functioning.

Discussions with the officials has resulted in the following observations:

Administration	<ul style="list-style-type: none"> ◆ The total staff strength at the IGR & CS office is only 49 including the Group D. FDA and SDA together account for 22 and each person is said to be handling three sections. The clerical staff have not been provided any training on matters relating to departmental enquiries and thus a cause for inefficiency. ◆ Inadequate budget for furniture's and towards buildings for the office of the sub-registrar is also reported from the officials. There is no parity between the increasing records in the offices and the availability of space for storing them. 												
Maintenance of Records	<ul style="list-style-type: none"> ◆ Cases of theft of records are also reported from Sub Registrar offices. E.g. Kundagol. Records are also spoiled because of lack of maintenance. This is reported from Kollegal. There are serious lapses on the part of the Government and negates the very purpose for which the department is existing. One of the reasons could be location of the offices in rented buildings or lack of proper security in the places in which the offices are functioning. This is a serious issue to which the department has failed to address. 												
Supply of Documents	<ul style="list-style-type: none"> ◆ Delay in the supply of documents to the SUB-REGISTRAR office is because of the delay in the supply from the Government Press and the press also does not supply documents with good quality paper. ◆ No budgetary provision for binding to the Sub Registrar office. These are serious administrative lapses on the part of the directorate. 												
Collection of Postage fee along with other fee	<ul style="list-style-type: none"> ◆ While Rs. 30/- (approximately) is being collected as fee towards postage at the time of registration from the public, the same is not advanced from the Government towards the said expenses. This has resulted in the harassment to the general public either by insisting on payment for postage or instructing the public to collect the documents by hand. These are again serious lapses on the part of the directorate in not getting the required financial advances for these purposes. 												
One time Settlement Scheme	<table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">Year</th> <th style="text-align: center;">Extent of Reduction</th> <th style="text-align: center;">No. Of Cases</th> <th style="text-align: center;">Amount Collected (in Rs.)</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">1999-2000</td> <td style="text-align: center;">30%</td> <td style="text-align: center;">16460</td> <td style="text-align: right;">39,28,70,000</td> </tr> <tr> <td style="text-align: center;">2000-2001</td> <td style="text-align: center;">20-30%</td> <td style="text-align: center;">12175</td> <td style="text-align: right;">25,26,91,000</td> </tr> </tbody> </table>	Year	Extent of Reduction	No. Of Cases	Amount Collected (in Rs.)	1999-2000	30%	16460	39,28,70,000	2000-2001	20-30%	12175	25,26,91,000
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1999-2000	30%	16460	39,28,70,000										
2000-2001	20-30%	12175	25,26,91,000										

- ◆ One time settlement scheme has negated the spirit of detection of under valuation cases, while it might have resulted in mobilizing certain amount of money, which would not have accrued to the Government in the normal course. The inferences from these are two: firstly, that there are large number of under valuation cases in the department which are disposed, but the collection of stamp duty is still due. Secondly, the present system is found to be quite weak in terms of collection of amount from under valuation cases. This is again a serious lapse on the part of the department. This is because the delay or non-payment is referred to the general revenue department for collection.

SUB-OFFICES:

DISTRICT REGISTRAR (DR):

A District Registrar who is assisted by a Head Quarter Assistant heads each district. All the sub-registrars in the district work under the overall control and supervision of the District Registrar. The responsibility is also to invoke the provisions under Sec. 45 A (iii) to book cases of under valuation and to dispose appeal cases filed under Section 45 A (i). District Registrar is also part of the Guideline Valuation Committee.

There is also the post of Head Quarter Assistant within the District Registrar's Office. The District Registrars office is provided administrative staff like the FDA, SDA, Stenographer etc.,

Currently, 12 of the 33 posts of District Registrars is remaining vacant. There are also other vacancies within the office of the District Registrar. In the Chamarajanagar District Registrar office there are vacancies in the posts of Head Quarter Assistant, First Division Assistant and Stenographer.

The Departmental Officer's Association has suggested for the shifting of post of District Registrar Koppal, Chamarajnar, Haveri, Udupi to Bangalore. It is learnt that these new offices do not have adequate work and the work pertaining to these districts could be carried out by the District Registrars of the neighboring districts. Thus, the offices of the District Registrar have been created without adequate work also.

- | | |
|---|---|
| Registration-suo
moto cases
under Sec. 45 A
(iii) & 45 A (i) | <ul style="list-style-type: none"> ◆ During 2000-01 only 5 cases are booked under Sec. 45 A (iii) in District Registrar office at Chamarajnar and during 1998-99 only 16 cases are booked. This is said to be in lieu of the court decisions against such moves. It is further clarified that the District Registrars will not be able to book cases in view of the endorsement issued by the Sub-registrar before the registration. ◆ Number of cases referred under Sec. 45 A (I) in Chamarajnar district is only 97 cases during 2000-01. This is contrary to the complaint that the guideline value is not scientific. This is indicative of the public apathy or failure on the part of the officers to report the same. |
|---|---|

Appeal cases under Sec. 45 A (I)	<ul style="list-style-type: none"> ◆ Faulty decisions of the District Registrars are also reported to have resulted in loss of revenue and thus defeats the purpose for which these offices are established 						
Overall Supervision of Sub Registrar offices	<ul style="list-style-type: none"> ◆ Sub-registrars have reported that Head Quarter Assistant/District Registrar is visiting the Sub Registrar offices occasionally 						
Disposal of Appeal Cases	<ul style="list-style-type: none"> ◆ The Number of Appeal Cases disposed are as follows: <table border="0" style="margin-left: 40px;"> <tr> <td>Bijapur</td> <td>2000-012</td> <td>37 cases disposed</td> </tr> <tr> <td>Chamarajnagar</td> <td>2000-01</td> <td>Nil</td> </tr> </table> ◆ It is found that: <ul style="list-style-type: none"> ◆ Certain District Registrars are insisting on payment of guideline value and hence avoid all the complications ◆ Cases are decided on a case to case basis – i.e., higher or lower ◆ Thus, it is found that there is no regular monitoring or the supervision of the work of the District Registrars. Thus, warrants the conclusion that there is no regular monitoring or the supervision of the work of the District Registrars. 	Bijapur	2000-012	37 cases disposed	Chamarajnagar	2000-01	Nil
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Chamarajnagar	2000-01	Nil					
Administration	<ul style="list-style-type: none"> ◆ No money is allowed for photocopying expenses. These expenses are said to be paid by the Sub-Registrar's personally, failing which the District Registrars have a feeling that they will be branded inefficient 						
Valuation Committee	<p>No exclusive staff to carry on the work of the valuation committee. The officials like Village Accountants are not providing the required information to the committees. This along with other factors are found to be the cause for arbitrary functioning of the valuation committee. IGR doesn't concur with this.</p>						

DISTRICT REGISTRAR (DETECTION OF UNDER VALUATION OF STAMPS) [DUS]: Four separate offices of the Registrars of Under valuation have been created for the city of Bangalore for the purposes of detection of under valuation of stamps. These offices are also provided with staff to assist in the day to-day functioning. While in the districts other than the Bangalore, the District Registrar's are involved in the detection and disposal of the under valuation cases. The role of these offices in the detection of under valuation and mobilization of revenue to the government has to be critically looked into.

- ◆ The performance of these offices of the District Registrar for under valuation is far from satisfactory. It is found that the Rajajinagar DUS has a pendency of 5,055 cases pending under Section 45 A (I) and 2,285 cases pending under 45 A (III). In respect of Shivajinagar DUS it is 651 cases and 250 cases respectively.
- ◆ Repeated inspections are carried out from these offices.
- ◆ Lack of co-operation from the public and the decision of the party to stay away from the proceedings are the factors in the effective functioning of these offices.

SUB-REGISTRAR:

Duties of the Registering Officers have been prescribed in Rule 73 of the Karnataka Registration Rules, 1965. Accordingly,

- (I) It shall form no part of the Registering Officers duty to enquire into the validity of a document brought to him for registration or to attend to any written or verbal protest against the registration of a document, provided execution is duly admitted; but in case of executants who are unable to read, the document shall be read out and if necessary explained to them. If the document is in a language, which they do not understand, it must be interpreted to them.
- (II) If Registration is objected to any person on any of the following grounds viz.,
 - (a) that a person appearing or about to appear before the Registering Officer as an executants or claimant the person he professes to be; or that he is a minor, an idiot, or lunatic;
 - (b) that the instrument is forged;
 - (c) that the person appearing as a representative assign or agents has no right to appear in that capacity;
 - (d) that the executing party is not really dead as alleged by the party applying for registration;

The Registering Officer shall duly weigh such objections and if they are substantiated, registration shall be refused, but under Sub-Section (2) of Section 58, if execution is admitted, registration should take place even if the executant refuses to sign the Registering Officer's endorsement of admission.

The following are the details of the vacancy position at the level of the Sub-registrar:

Post	Number of Sanctioned Posts	Number of Vacant Posts	% of Vacant Posts
Sr. Sub Registrar	105	17	16.19
Sub-Registrars	164	80	48.78

As per the information provided by the Department, there are nearly 50 per cent of vacancies at the level of the Sub-registrar (including Sr. Sub-Registrar). On many occasions a FDA or SDA manages the office of the Sub Registrar in the taluk. In such cases the Sub Registrar office functions under the alternative arrangements. Such situations are said to be causing lot of embarrassing situations for the senior officers in the department. On the contrary, there is excess number of Sub-Registrars in the city. Thus, Shivajinagar Sub Registrar Office has 2 Sub-Registrar's as against the desired number of one. Similarly, Srirampura Sub Registrar Office has 2 Sub-Registrar's as against the desired number of one. There are contrary situations also.

1. Guideline Value:

- (a) The guideline value in vogue is not scientific. This is because the values are fixed area wise. As a result both the public and the officials are put to great pressure. Lack of scientific approach towards fixing the guideline value has given rise to unscrupulous practices, under valuation etc., The problem is very acute in the urban areas where different rates are fixed across the areas. On the other hand, in the neighboring state of T.N. it is learnt that guideline values are fixed property wise. One fails to understand why Karnataka has not followed the T.N. state in this regard which would have not only earned a good name, but would have brought in substantial revenue by way of multiple transactions.
 - (b) Changes in the nature of Land: Over a period of time the nature of agricultural lands has undergone changes i.e. wetlands have become dry lands. Because of lack of resurvey the records continue to show it as wetlands. This is causing unnecessary burden to the public.
 - (c) It is found from records of the Shivajinagar Sub Registrar Office, Bangalore, that when the guideline values were revised by the BMRDA there was a 38 per cent reduction in the registration and stamp duty collected (see Table No. 3.1 at Annexure). When the rates were revised during 1998 the collection of stamp duty and registration fee not only started rising, it exceeded by 4.56 per cent during 2000-01. It is important to note that the state exchequer has lost several crores of rupees due to the arbitrary style of functioning from one Sub Registrar office.
2. The officials have reported that for reasons of lack of demand for land in certain parts of the state like the northern Karnataka there is decline in the value of the land. But the guideline value increases incrementally at the rate of 10 per cent. As a result there is a decline in the property transactions.
 3. Some of the Builders/Developers are said to be avoiding the registration of property. On the other hand, they are indulged in share transfers to that effect. E.g. Diamond District in Bangalore City. It is learnt that necessary amendments to that effect has taken place. The question is, are the violators going to be penalized for they're past actions? This has resulted in loss of considerable revenue to government
 4. Property registrations are also being done through a General Power of Attorney and thereby evading the registration of property. This is not only resulting in loss of revenue to the Government, but is leading to a confused situation finally culminating in litigations and murders.

Preservation of Records:

1. It is regretting to note that the public records are not in safe hands. This is because:
 - a. There are no record rooms. RTO offices are reported to be much better.
 - b. There are no record keepers
 - c. Records are being handled by outside copyists also popularly known as volunteers engaged by the Sub-Registrar's for reasons of inadequate and incapable staff. Such of those outsiders who are not accountable are in a position to overwrite the documents or copy inaccurately. Such actions have resulted in litigations and hardship to the public. Such of those copyists employed by the Sub Registrar are going to be paid by the clients and thus again a cause of corruption.
 - d. Only tobacco leaves and naphthalene balls are used for protecting the documents from insects and pests. This is found to be highly inefficient as most of the times documents are informed by the termites.
 - e. Old records require to be binded in order to be preserved. Each binding is going to cost from Rs. 80 to Rs.100. But no money is being made available.
 - f. Even in the computerized offices records are photocopied and the expenses are said to be met from the Sub-Registrar. This is highly impractical and the money has to be necessarily collected from the public resulting in corruption. More importantly, in terms of workload, computerization has not resulted in reducing the pressure of work.
 - g. Language of the Records: Records in parts of Karwar and other areas in the state are said to be in the 'modi' language which is not a common language for the public. We are in the stage of very soon loosing the people who can read and write the script. No attempt has been made to get these records rewritten.

- ◆ In Bangalore District alone it is learnt that more than 50,000 societies have been registered during the past years. But the statutory provisions doesn't require them to review it. Societies so registered have to renew their registration annually after submitting the necessary audit reports to the Sub Registrar's office. As large number of societies are not doing it, it is resulting in a net loss of about 45 lakhs to the state exchequer. Sub-registrar's do not have adequate staff to send notices or reminders.

3.2 PERCEPTIONS OF SUB-REGISTRARS / HEAD QUARTER ASSISTANTS ON ROLE AND RESPONSIBILITIES

Every individual is ought to have gone to a Sub Registrar office either for reasons of property transactions or registration of marriage etc. In either case the citizen not only gets a service, but also pays duty. Thus, the Sub Registrar office collects the revenue to the government and also provides service to the citizen. The Sub-Registrars and Head

Quarter Assistants have been contacted to understand their role and responsibilities and functioning of the department. In all 12 Sub-Registrar's / Head Quarter Assistants have been met by the project team.

YEARS OF SERVICE:

In terms of number of years of service, it is found that the respondents i.e. Sub-Registrar's / Head Quarter Assistants have put in varied years of service (see Table No. 3.1). Of those who have just put in less than 5 years of service, majority of them are working in the Bijapur district. Of the seniors, 40 per cent of them are working in Chamarajnagar district as against 20 per cent in each in the districts of Uttara Kannada, Bijapur and Gulbarga. Thus officials with more number of years of service are working closer to Bangalore.

In terms of number of years of service in the present place, most of them are serving in the present place for period less than 1 year (see Table No. 3. 2). Thus, it is found that the officials are regularly transferred from place to place.

ACTIVITY DURING THE PAST THREE MONTHS:

In terms of the work performed it is found that the sub-registrar's offices are not the same (see Table No. 3.3). In Bijapur while the number of documents registered do not cross 500 mark, in Uttara Kannada the number of registrations is upto 1000 in Sub-Registrar's offices. This is true of other things like the number of Encumbrance Certificates issued and the number of documents copied. Thus, in terms of work performed by the Sub-Registrar's it is not the same. During the field visit more than 30 to 40 people who were met by the team reported that there is decline in the number of properties registered for reasons of lack of buyers and because of prohibitive costs of registration. Thus, while there is need for streamlining the fixation of guideline value there is need for rationalizing the location of Sub Registrar office.

FUNCTIONS OF SUB-REGISTRAR /HEAD QUARTER ASSISTANT:

It is interesting to note that a certain percentage of the respondents feel that the important function of the department is to provide service. Of the respondents who have stated this, 50 per cent of them are from Uttar Kannada (see Table No.3.4). The other important functions expressed by them are the registration and issuing of certificates and the revenue collection. Many of the respondents might not have perceived the collection of revenue as a separate function from the registration function. While a higher percentage of the respondents from Bijapur and Chamarajnagar have expressed registration as one of the important functions, the respondents from Uttara Kannada and Bijapur have perceived the important function to be the revenue collection. Of the other functions stated by the respondents, the maintenance of records is also one.

The general feeling is that the Sub-Registrar's are burdened with heavy work due to increased land transactions, multiple transactions on immobile property etc., to this question only 34 per cent have concurred, while 58 per cent have said that they are not overburdened. The officials with longer years of service or the sub-registrars office with adequate staff might not have reported it as over-burdened. The responses are also highly subjective. One of them has also said that he feels overburdened only on occasions. This may be in the beginning of the months when generally the transactions are said to be more.

FIVE MOST IMPORTANT FUNCTIONS OF SUB-REGISTRAR/ HEAD QUARTER ASSISTANT:

28.57 per cent of the responses are relating to the registration and issuing of certificates. While only 6.25 per cent of the responses are from Uttara Kannada, 37.5 per cent of the responses in Bijapur are relating to this. The other functions reported by them are the revenue collection, public service etc. The percentages are found to vary among districts.

PERCEPTIONS ON THE FUNCTIONING OF THE DEPARTMENT:

It is interesting to note that different levels of performances are indicated about the functioning of the department. It may be noted that a higher percentage of the respondents from Bijapur and Chamarajnagar have expressed satisfactory performance of the department in respect of the information provided to the general public, adherence to the rules, accountability of the officials etc., (see Table No. 3.6) On the contrary, in Uttara Kannada it is generally Good or Very Good. These differences are worth noting while the functions of the department remains the same.

VISITS OF OFFICIALS:

To the question of visit of the senior officials to the office of the Sub-registrar generally located at the Taluk levels, it is found that the only officials visiting these offices are the Head Quarter Assistants or the District Registrar's from the district office (see Table No. 3.7). The numbers of visits made by these officials are found to be not very frequent. But they are reported to be visiting on a certain number of times in a year. These visits are generally for reasons of inspection / site inspection / surprise visit. The visits are generally reported to be fruitful. It is important to note that none of the officers from the Directorate's office from Bangalore have visited any of these offices during the past three months. This again raises the question of the role of the Directorate's office in the effective administration.

WORK SATISFACTION:

The respondents are divided on the question of the satisfaction derived from their present work. About 50 per cent have indicated their satisfactions to be either very good or excellent (see Table No.3.8). Among them 50 per cent of the respondents are from Bijapur. About 25 per cent are from Gulbarga and Chamarajnagar. Reasons stated for their satisfaction are that it is a public service and they are discharging their work efficiently or properly.

GOALS AND OBJECTIVES OF THE DEPARTMENT:

Registration of the instruments, revenue collection and providing service to the common public are perceived as the important function of the department (see Table No. 3.9). If these are considered as the important goals and objectives of the department, the question is how well are they being fulfilled. Discussions at various levels has revealed that the guideline value which very much influences the process of the registration is not scientific and hence, the people at large and the officials dealing with it are put to great pressure. Secondly, if the department is stated to be performing a service to the public, one fails to understand how the safety and maintenance of the records is not getting a priority in the day to-day functioning. The registration of the documents i.e. generally the immovable property and issuing of certificates like the EC,

registration of marriages etc., is said to be the contribution of the registration department to the revenue department. However, the perception is not the same across the districts. A third of the respondents from Bijapur and Gulbarga have reported this to be the contribution of the department to the revenue department. The other major function performed for the RD department is the revenue collection. This has been reported from all the districts although in varied proportions.

PROBLEMS FACED IN THE DAY TO-DAY FUNCTIONING:

The respondents feel that not all is well in the department (see Table No. 3.10). The department at this point of time is confronted with problems like the shortage of the personnel at lower levels i.e. of the copyists or the First Division Clerks and in arriving at the stamp duty at the time of the registration of the documents. This has been widely reported by the officials and the community at large. The other important problem is one of the infrastructure maintenance i.e. lack of photocopying machines and lack of record rooms for the maintenance of the records. Hence, improvements in all three respects has been suggested by the respondents (see Table 3.11).

The most important problem confronting the Sub Registrar office is that of the middlemen or volunteers. The officials have said that this is resulting in the interference in the office matters and a cause of corruption. But generally it is believed that the officials engaged such volunteers to help them in collecting the bribes from the general public. Many a times they are in the guise of advocates said to be helping in sub-registrar in copying the documents.

TRAINING PROGRAMME:

About 80 per cent of the respondents have replied that they have undergone training programs in the past. Further about 75 per cent have said that the training programs were good. When asked to give their opinions on the training programs that may be organized in future they have said that it can be on such subjects such as Revenue Act, Land Reforms Act, Valuation etc.,

3.3 ISSUES AND CONCERNS:

1. Department of Stamps and Registration as the name itself suggests registers the document and also levies stamp duty. The revenue that was generated roughly about years ago i.e. 1988-89 (107.08 crores) is roughly a fifth of the revenue collected during 1999-2000 (584.58 crores). The increase in the revenue collection may also be because of the increased stamp duty.

In terms of number of documents registered and the revenue generated the neighboring state of Maharashtra is found to be substantially higher. One reason for the same may be because of the increased registration activities. The increased revenue collection may be facilitated through good administrative procedures, clear guidelines for the public on the process of registration and the duties that are levied etc., The department over a period of time has failed to bring in greater efficiency and transparency into its functioning.

2. Report of the Estimate Committee headed by Sri. Narayan Rao. The report states as follows:

“ But simple service rendered by the Government is made complicated a Government at the same time collect revenue by way of stamp duty. These two aspects involved in registration of a document must be kept separate while devising any method to check corruption Registrar’s office. Either a fool proof and easy to understand method imposing stamp duty must be evolved or these two aspects must be separated and two different agencies must be appointed to register a document and to collect stamp duty”

The solution to the problem lies in ensuring a foolproof system of administration with scientific guideline values.

The present study brings out the fact that the solution to the problems of the department lies in attempting at bringing about a near scientific guideline and bringing more transparency into the functioning of the department.

3. It is reported that the post of Sub-Registrars are filled with promotion rather than by direct recruitment. This has resulted in preventing the entry of young and enthusiastic individuals to the office of the sub-registrar.
5. Lack of a scientific guideline value is found to be at the root of all the problems confronting the department. Added to this is the functioning of the Guideline Valuation Committee that is not found to be functioning effectively.
6. There is delay in the supply of documents to the Sub-Registrar office.
7. The implementation of one time settlement scheme has negated the spirit of detection of under valuation cases. The only good of the scheme is that it has been successful in mobilizing some money for the state exchequer.
8. District Registrar’s office is not functioning effectively either in terms of disposal of appeal cases or in the detection of under valuation cases. The offices of the District Registrar (Under Valuation) have not been functioning effectively in terms of disposal of cases and mobilization of revenue.
9. Serious problems are found in the posting of Sub-Registrars. While in the city of Bangalore there is excess of Sub-Registrars, in the districts like Bijapur the sub-registrar offices are managed by the FDA. Lack of recruitment of Copyists or failure to evolve an alternative to copying has resulted in the delay in the issue of documents to the public and the problem of ‘volunteers or copyists.
10. Sub-registrar offices are also opened at the hobli level for various reasons.
11. Lack of record rooms and lack of measures to preserve the records from termites. Loss of record rooms is also reported.
12. Faulty decision of the District Registrar is said to have resulted in great loss to the state exchequer.
13. No preventive measures to bring to books individuals/developers who are staying away from the process of registration of their properties.
14. It is surprising to note that the department is still continuing with the practice of copying the documents and thus causing delay to the public. Secondly, this is also found to be a cause for the corruption. On the contrary, in the neighboring

state of Maharashtra the system of photocopying the documents has been introduced long back and was subsequently replaced by scanning. It is not understood how the department has not been able to emulate the neighboring states in this regard.

3.4 RECOMMENDATIONS:

RATIONALIZATION OF DEPARTMENT:

Keeping these factors in mind it is recommended that:

- ◆ Abolition of the Directorate i.e. the office of the Commissioner and bringing it under the control of the Secretariat
- ◆ Every taluk to have only one Sub Registrar office and only at the Taluk level. The practice of opening the offices at the hobli level must be stopped.
- ◆ Abolition of the post of District Registrar and his office. The excess staff could be posted to the Sub Registrar office. This would result in the abolition of 150-175 posts.
- ◆ Creation of the post of District Registrar at the office of Deputy Commissioner instead of a separate establishment.
- ◆ Recruitment of clerical staff on a contractual basis on a need basis. It should however be made clear to them that there would be no obligation of recruitment.

EFFICIENCY, ACCOUNTABILITY AND TRANSPARENCY:

It is suggested that the department needs to adopt one or more of the following suggestions to bring in efficiency, accountability and transparency into the functioning of the department:

- ◆ Evolving a clear guideline on filling up the post of Sub-Registrar's through direct recruitment and promotion. This is expected to bring in efficiency into the administration
- ◆ Guideline Value Committee should consist of Non-officials, Chartered Accountants, Lawyers, and Real Estate Agents etc., which would enable the committee to obtain a holistic view of the market value. Greater transparency in its functioning could be built through the publication of the decisions of the committee and circulating it in the offices of the Zilla panchayat, Taluk panchayat etc., Adequate opportunities have to be provided to question the values fixed by the committee. Guideline Value Committee should be asked to build in elasticity into their value fixations. Reconstitution of the Guideline Value Committee and its style of functioning will bring in greater transparency into the functioning of the department.

Effective steps towards automation through the supply of photocopying machines, computers which will definitely reduce the delay and as a result the levels of corruption will definitely come down.

OTHER RECOMMENDATIONS:

- The proposed amendments to the Karnataka Society's Registration Act should be in line with the Lifetime fee payments rather than insisting on annual renewals.

DEPARTMENT OF ENDOWMENTS

INTRODUCTION:

Temples and Mutts are the two principal religious institutions of the Hindus. It is said that from very early times, religious and charitable institutions in this country came under the special protection of ruling authority. The Rulers of this country always asserted the right to visit religious and charitable institutions to prevent and redress the abuses in their management. The British after their advent found that the income of many endowments had been misspent and misappropriated by the persons in charge of them. The British Government asserted the right of supervision over endowed properties by enacting regulations for the old Presidencies of Bengal, Madras and Bombay. The control exercised by the East India Company over temples and other endowments was thus statutorily asserted and the supervision of charitable and religious institutions was vested in the Government as the sovereign power.

In Karnataka, at present the Religious and Charitable Institutions are governed under the following acts: -

Name of the Act	Name of the districts governed by the Act
Mysore Religious and Charitable Institutions Act, 1927	Bangalore Urban, Bangalore Rural, Chikmagalur, Chitradurga, Hassan, Kolar, Mandya, Mysore, Shimoga and Tumkur
Hindu Religious and Charitable Endowments Act, 1951	Dakshina Kannada and Bellary districts and Kollegal taluk of Chamarajanagar district
Bombay Public Trust Act, 1950	Belgaum, Dharwad, Bijapur and Uttara Kannada district
Hyderabad Endowment Regulations Fasli 1349	Raichur, Bidar and Gulbarga
Coorg Temple Funds Management Act, 1956	Kodagu

The Act that was in vogue prior to the re-organization of the state continues to be followed even to this day. The role of the Department is to monitor, administer and control all the Religious & Charitable Institutions in the State according to the five different acts prevailing prior to reorganization of States.

The roles of the Department are:

1. Safeguarding the properties of the Institutions and checking the unauthorized alienation
2. Constitution of Dhamadarshi Committee to the Religious Institutions
3. Sanction of Budget/Scale of Income & Expenditure of all the Religious Institutions according to the provisions.

4. Sanction of 'Sevartha'.
5. Sanction of staffing pattern to the institutions according to the requirements
6. Preserving the Jewels and Ornaments of antique value
7. Administrative sanctions of plans and estimates of various developmental works
8. Preparing the Calendar of the Government through Agama Wing
9. Protecting the usage-customs and rituals in performance of Pooja in the various temples in the State according to the respective Agama Shastra
10. Release of Endowment Interest to the Religious Institution out of Endowment Deposits
11. Administration and Control of Charities outside the state situated at Thirumala, Varanasi, Mantralaya, Srisailam
12. Payment of Cash grant for the maintenance of the temple
13. Payment of Tasdik to the institutions who have lost land under Inams Abolition Act 1955
14. Maharaja's Sanskrit College, Mysore and Sanskrit College, Melkote are under the administrative Control of this department.

The broad highlights of these different Acts are explained at Annexure 5 (Acts and Rules). The Common Endowment Bill of 1997, 'The Hindu Religious Institutions and Charitable Endowments Bill 1997' will supersede all the Acts which one in vogue. It is said to have received the Presidential ascent and is expected to be in force in the near future.

MUZRAI INSTITUTIONS:

On the basis of a written complaint on the mis-management/irregularities in the temple, an inquiry is conducted into the matter by the revenue officers. On the basis of the report of enquiry from the competent authority, a decision is taken with regard to the management of the temple by the government for reasons of effective management of the public found and thus becomes a Muzrai Institution. The number of muzrai institutions is found to vary from as low as 7 in Coorg district to 2576 institutions in the Tumkur district. In all, the total number of institutions is 43,217.

4.1 STRUCTURES AND FUNCTION OF THE DEPARTMENT:

The organizational chart of the department is placed at Annexure - 2.

ENDOWMENT COMMISSIONER:

At the state level, Endowment Commissioner is the head of the department. The incumbent officer is an IAS officer. The Endowment Commissioner at the regional level is assisted by the charity Commissioner at Belgaum in respect of the Bombay Public Trust Area. The Charity Commissioner is considered as the Minor

head of the Department. The Endowment Commissioner oversees the Administration of the institutions under the three acts. The responsibilities of the Commissioner as envisaged under the different Acts are:

- ◆ In respect of the Old Mysore Area, the Endowment Commissioner has the power to appoint Dharmadarsis to the scheduled institutions.
- ◆ Custodian of the 'Madras Hindu Religious and Charitable Endowments Administration Fund'.
- ◆ Approval of the Income and expenditure for the Institutions governed under Hyderabad Endowment Regulation.
- ◆ Issuing of title deeds for the institution lands vested with the Government.
- ◆ Administration of Matts under different Acts and Choultries and leasing of properties belonging to institutions of the department.
- ◆ Implementation of grant-in-aid scheme and Aradhana Scheme

Endowment Commissioner is assisted by a small establishment comprising of Head Quarter Assistant who directly reports to the Commissioner and the administrative staff. The total working strength excluding the senior officers in office of the Commissioner is 24 clerks and 5 superintendents.

Critical observations on the functioning are:

- ◆ It is found that the department has not been successful in formulating and implementing a common Act so far which will bring about uniformity in the administration of the temple institutions in the state and also help the development of the minor institutions. E.g. Forming a Common Pool of Fund as in the case of Tamil Nadu.
- ◆ The Government has been compensating for acquisition of inam lands or holding the temple property. The amount thus paid to the temples is called as the Tasdik* amount and Annuity'. But there has been no regular revision in the compensation paid to the temples. As a result temples are ending with inadequate budgets towards the daily services, maintenance and payment of adequate salary to the temple staff. The status of the temples was severely criticized by more than 50-100 devotees met by the team during the visit.
- ◆ The schemes implemented by the Department by way of provision of grants for repair and renovation and constructions is found to be with limitations (for details section on schemes). The Department has not been able to evolve schemes which would address to the real problems faced by the temple institutions rather than providing ad-hoc treatment to the problem.
- ◆ See Glossary of Terms
- ◆ Unable to bring in successful and effective co-ordination with the revenue department in the management of the muzrai institutions
- ◆ Department has not been able to ensure the safety and protection of the temples and the temple properties. There have been reports in the press over and over again.

DEPUTY COMMISSIONER, ASSISTANT COMMISSIONER AND TAHSILDAR:

In the Old Mysore Area the Deputy Commissioners of the districts are the immediate controlling authority in respect of all Muzrai

Institutions in the district and subject to his authority, the Assistant Commissioner and the Tahsildars perform such duties and exercise such powers as may be conferred upon them by the Government. The powers of the Deputy Commissioner are:

Under the Mysore Religious and Charitable Institutions Act the Deputy Commissioner constitutes the committee of *Dharmadarsis*.

Dittam is sanctioned by the Deputy Commissioner under the Hindu Religious and Charitable Endowments Act

Administration of temples in the Old Hyderabad Area and Coorg Temple Funds Management Act.

Determination of *Annuity*

- ◆ The Deputy Commissioners are visiting the muzrai institutions very rarely. Even occasional visits to the temples would have helped in the protection of the temple property and streamlining the temple administration. It is reported that the Deputy Commissioners find the muzrai functions to be an additional burden.

ASSISTANT COMMISSIONER AND TAHSILDAR:

The Hindu Religious & Charitable Endowments Act provides for the appointment of an Assistant Commissioner exclusively for Muzrai. In the case of Bangalore, the post of Assistant Commissioner has been created, as there are 56 institutions.

The functions of the Assistant Commissioner and the Tahsildar are:

1. Control and inspect all Muzrai Institutions in their jurisdiction
2. Preparation of *tasdik* bills and annuity bills for payments and disbursement of the same.
3. Preparation of plans and estimates for obtaining Government grants for effecting repairs/renovation to deserving institutions.
4. To be the treasurer and custodian of funds of Muzrai institutions
5. Protection of temple properties and ornaments
6. To initiate action to clear encroachments of Muzrai properties and protect them.
7. Decide appeals against order of Tahsildars

The neither Commissioners nor Tahsildars are taking interest in the muzrai institutions. In respect of the Chamrajeshwara Temple in Chamarajanagar district, the Assistant Commissioner has visited the temple on few occasions and during one such visit is reported to have instructed the temple staff to demolish certain structures built by the maharajas and also to sell certain procession ornaments which are either used or unused. The status of the muzrai temples in terms of maintenance, facilities in the temples for the devotees and lack of effective functioning of the Dharmadarsi Committees further drives home the point that supervision and monitoring is very poor. It is found that these revenue officials are only ensuring the timely release of tasdik amount or annuity and also visit the temples on the occasion of annual feasts.

On the contrary, the temple institutions in Uttara Kannada, Belgaum etc., are have performed much well under the control and supervision of the Area Committees or the trustees rather than the government officials.

INSPECTORS:

The Hindu Religious & Charitable Endowments Act provides for the appointment of Inspectors at the Taluk level. Their jurisdiction is limited to 1 taluk or more than one taluk in certain districts. These are Executive posts. The Inspectors are expected to prepare the budgets and submit for the administrative approval of the Assistant Commissioner and Deputy Commissioner and to conduct spot enquiries etc., the following is the number of inspectors working in the districts. Only in the Bombay Public Trust area the Inspectors work at the district level.

District	Number of Posts Sanctioned	Number of Vacant posts
Dakshina Kannada	3	-
Udupi	3	-
Bangalore Urban	2	1
Bellary	3	1
Chamarajanagar	1	-
Bombay Public Trust Area	2	Not available
Total	14	2

EXECUTIVE OFFICER:

An important functionary in the department is the Executive Officer working at the major temples. These appointments are made on the recommendation of the Tahsildar and the Deputy Commissioner. The following are the details of the number of Executive Officers posts in the department:

Category	Number of Posts Sanctioned	Number of Vacant posts
Group A	9	4
Group B	11	6
Group C	27	7
Peshkars - FDA	21	7
SDA	16	4
Total	84	28

It is found that they are not taking sufficient interest in the development and management of the temples. There are mixed reactions on the performance of the Executive Officers. It is important to note that the performance of these officials is not being properly monitored.

4.2 GRANT-IN-AID PROGRAMME:

Under this scheme, grants are sanctioned for repairs and renovation of religious institutions. The Tahsildars should identify such of the institutions, which are in need of funds for repairs and renovation and new construction and recommend it to the Deputy Commissioner for sanction of Grants. Such of those requests for grants recommended by the Deputy Commissioners will be further recommended by the Endowment Commissioner to Government for sanction of grants. The grants are sanctioned by the Government subject to the condition that the amount should be utilized within a period of one year and the Utilization Certificate should be sent to the Accountant General. The details of implementation of the scheme are available since 1991-92.

The following are the details of the sanctioned amount and the institutions covered under the programme:

Year	Amount Sanctioned (Rs. In lakhs)	Number of Institutions Covered
1991-92	114	662
1992-93	280	779
1993-94	220	913
1994-95	231	987
1995-96	426	1468
1996-97	231	926
1997-98	331	1369
1998-99	319	1239
1999-00	231	439
2000-01	231	630
	2614	9412

The following are the observations on the implementation of the scheme:

1. Without attempting to provide adequate money for the maintenance of the temples including the salary of the archaks which is expected to accelerate the pace of development of the temple, the objective of the scheme to provide grants for renovating the temple will not be effective. It may at the most bring in cosmetic changes to the temple structure.
2. The provision of merely 3 lakhs per institution is meager to take up the developmental works. On the contrary the schemes should have provisions for carrying on any developmental works on a case-to-case basis. Alternatively, it should provide for adequate funds for creation of assets in

the temple properties, which would have helped temples in generating incomes to the temple, and thus, reduce their dependence on the government for grants. The failure of the department to have evolved any such scheme towards the rejuvenation and maintenance of temples again speaks of the poor performance of the development.

3. During the last 10 years 8342 institutions have been covered and Rs.2, 614 lacs has been spent under this programme.
4. Cases of non-utilization of funds because of the administrative lapses are also reported.

4.3 ARADHANA SCHEME:

The Aradhana Scheme under implementation since 1991-92 provides for grants towards repairs and renovation to places of worship and construction of new places of worship in places where SCs, STs and other backward communities coming under group 'A' habitats are residing. The budgetary provisions under the scheme are:

- ◆ Rs. 20,000/- for repairs
- ◆ Rs.50,000/- for extension works
- ◆ Rs.1,00,000/- for new construction of place of worship.

A committee is constituted by the Government with MLA as the Chairman for each Assembly constituency to identify deserving institutions and to monitor the utilization of grants. The progress of the Scheme is presented in the following table:

Amount released from 1991-92 till May 2001 under the programme	Rs. 53,21,00,000
Expenditure incurred till May 2001	Rs.27,86,78,640
Balance amount	Rs.25,34, 21,360
Number of works taken up	18,343
Number of completed works	11,480

Critical Observations on the Programme:

- ◆ The number of institutions covered over a 10-year period is little less than 20,000 institutions.
- ◆ Of the amount released, only about 50 per cent is used. This may be because of the limitations in the scheme i.e. the limited support extended to the temples to carry out repairs, extension etc.,
- ◆ The scheme will benefit only those temples, which are able to generate its own resources.

4.4 PERCEPTIONS OF EXECUTIVE OFFICERS ON ROLE AND RESPONSIBILITIES AND FUNCTIONING OF THE DEPARTMENT

Only 3 Executive Officers (EOs) could be contacted for the purpose of collecting information through a structured interview schedule. They are working in the Taluks of Kolar, Chamarajnagar and Gundlupet. These Executive Officers are reported to have put in more than 20 years of service. Their duration of service in the present place is found to vary.

The Executive Officers have reported that their role in the management of temples refer to:

- ◆ Overseeing the daily services within the temple
- ◆ Maintenance of the temple
- ◆ Development of the temple / Rehabilitation of temple
- ◆ Organizing Sevas as per the culture/practices
- ◆ Assisting the Dharmadarshi committee in its functioning
- ◆ Depositing the hundi money
- ◆ Administration of the temple

The other important function of the Executive Officer is the protection of temple property and collection of revenue i.e. due for the temple from the temple properties. The activities performed by them relating to the protection of the land is the prevention of illegal constructions on the temple lands or unauthorized occupancy. It is said by the Executive Officer in the Chamarajanagar district that this is a reason for conflict between the Executive Officer who is the government nominee and the local elite. This has resulted in litigations.

Supervising or monitoring the work of the temple staff is also reported to be the duty of the Executive Officer. Monitoring of the activities is carried through giving surprise visits to temple, giving notices to the erring staff and monitoring their work.

VISIT OF THE OFFICIALS:

One of the official who is reported to have visited the temple is the Mujrai Assistant in the Chamarajanagar district. It was by way of inspection and the implementation of the Aradhana scheme. The visit is reported to have been useful. No other official is reported to have visited the temple during the preceding year.

The Executive Officer from the Kolar district has reported about the visit of the Assistant Commissioner and the Deputy Commissioner to the temple. The Assistant Commissioner is reported to have made an inspection of the temple.

PROBLEMS:

The executive officer from Chamarajanagar has reported that the problem that he has confronted in discharging his duty is the low salaries paid for the priest. The archakas or the priests have also reported on the low salary payments made to them. As a result, the archakas are said to be performing more than one duty

within the temple and thus, trying to earn more money from the present work. This is said to have affected the morale and the commitment of the priests to their duties. The salary that is paid to the priests is reported to be as low as that of the sweeper

On the contrary, the discussions has revealed that the archak can play an active role in attracting the public through the provision of various services and thus work towards the development of the temple. But the archakas feel that without proper fund allocation for the day to-day pooja it becomes difficult for them to attract the public. This problem needs to be resolved through the idea of common pool fund to take care of the better management of the smaller temples.

The other problem felt by the Executive Officers is the lack of power to use the hundi money towards the development of the temple. The temple staff has expressed great concern about this. They have felt that the revenues collected through the hundi collections should be made use of for the development of the temple rather than government taking it away.

DHARMADARSHI COMMITTEE:

Dharmadarshi Committee is constituted for the purposes of overseeing the functioning of the temple. Under the Mysore Religious & Charitable Institutions Act this is supposed to be only an advisory body. The committee can aid and advise the Executive Officer on the management of the institution. One of the Executive Officer has reported that he is confronted with problems in working with the Dharmadarshi Committee. This was also expressed by the committee members during the visit. The problem is said to be in terms of compliance to the orders of the Commissioner or interference in the temple administration.

On the issue of merger of the department with the revenue, the respondents felt that it will help in the development and maintenance of the temple.

MUZRAI ASSISTANT:

In the present organizational set up, there are the Executive Officers at the temples and the Tahsildar, the Assistant Commissioner and the Deputy Commissioner function as muzrai officers at taluk, sub-divison and the district level in the Old Mysore Area. With a view to facilitate the working of the department at the district level and to assist the Deputy Commissioner in the Muzrai matters the post of Muzrai Assistant has been created at the Deputy Commissioner's office. The Muzrai Assistant is said to be submitting the files directly to the Deputy Commissioner, which is said to be helping in the effective functioning at the district level.

From the details collected, it is found that these Muzrai Assistants are under performing in terms of the number of files disposed, number of files submitted, number of papers received etc., The officials are found to be attending to a large number of VIP visits during the period under review and even in terms of number of inspections they have reported to have visited only 2 to 3 institutions per month. From the nature of the work discharged by these officials, it is found that the official's perception of the job is more as an administrative job, than as an executive job at the district level. The administrative work attended by them in the department pertains to approval of scales once in 3 years, release of tasdik amount and work

pertaining to the formation of Dharmadarsi Committee. Besides this, they will be required to attend to petitions, allegations and irregularities reported by Tahsildar, Assistant Commissioner etc. The important functions performed by them are reported to be:

1. Inspection of temples
2. Administrative work
3. Monitoring of the work progress

It is surprising to know that the Muzrai Assistants are not monitoring the implementation of the Aradhana and Grant-in-aid programmes or even in the identification of temples under these programmes. The inspections are also to the large temples rather than to village institutions. However, they seem to be confronted with administrative and financial problems in their functioning.

4.5 ISSUES AND CONCERNS:

- ◆ There are instances of temples, which are architecturally good and which have historical importance, but there has been no attempt to bring in effective administration in these temples through the department. This is true of two temples like the Rameshwara Swami temple at Ramanathapura, Arakalagudu Taluk, Hassan District and Sri Gunja Narasimhaswamy Temple at Sosale, T. Narisipura Taluk, Mysore District. The failure of the department to address to such challenges negates the very purpose of the existence of the department.
- ◆ Several new temples built by the private trusts in and around Bangalore have become places of great importance and the people are found to be donating liberally towards the development of the temple. There are very many smaller temples in different localities, which are doing quite well in terms of the services and are financially self-reliant. At the same time, the muzrai institutions existing since a long time (barring about 100 temples in the state) have failed to generate resources for their functioning and maintenance. Thus, this supports the idea of handing over the management of the temples to the private trusts or community etc.
- ◆ The Grant-in-aid programme for the repair and maintenance of the institutions is confronted with limitations like:
 1. People's representatives are said to influence the selection of the temples under this programme
 2. Norms prescribed under the programme are not always followed
 3. The grants are not used properly because of procedural formalities
 4. The grant amount is said to be lying idle with the Deputy Commissioner
 5. Proposed amounts for repair and renovation and constructions are said to be low
- ◆ Certain vested interests like the landowners, shopkeepers and people occupying the temple properties through political clouts are reported to be coming in the way of the temple improvements. This has been reported in

the case of the Chamarajeshwara Temple in Chamarajanagar and also in Banashankari Temple and Bandisheshamma Choultry in Bangalore. This is happening because of lack of vigil and supervision over the temple property by the muzrai officials.

- ◆ Misuse of the powers or the authority by the Dharmadarshi committee is also reported. Thus, the very purpose of creating the committee gets defeated. Several instances of lack of interest by the Dharmadarshi committee are also reported. It is surprising to note that with the changes in the party in power, there are suggestions for reconstitution of the Dharmadarshi Committee. This is indicative of the extent of politicization in the selection and nomination of the members to the committee.
- ◆ No proper supervision and control and check over the functioning of the officials like Executive Officers and Muzrai Assistants in the department. The present state of affairs is highly unsatisfactory.
- ◆ The department has failed in ensuring the effective functioning of the revenue officials in the matters.
- ◆ No proper supervision on the functioning of the Dharmadarshi committee
- ◆ Muzrai institutions are neglected and they are looked down upon because of poor services, facilities, maintenance etc.
- ◆ No adequate financial resources for the temples to continue with the religious activities. In the Chamarajeshwara Temple it is reported by the temple staff that many of the services have been stopped. This is also reported in the temple at B.R. Hills. This is in because of lack of revision to the Tasdik amount and norms adhered by the department, (only upto 30% allowed for salary expenses)
- ◆ Lack of facilities in the temples like the Cloak Room, Toilet etc.
- ◆ In the case of the village institutions things are reported to be very bad in respect of:
 1. Protection of the temple property
 2. Performances of the daily services
 3. No Dharmadarshi committee
 4. No regular visits by any of the officials
 5. Changes in the Archaks and problems associated with it. The result has been that the institutions do not enjoy the respect and the reverence from the community.
 6. During the pre-British days the Maharajas were quite right in allocating certain amount of land to take care of the temple maintenance including the monetary compensation salary to the Archakas. The devotees who may be the villagers or outsiders supported the cause of the development of the temples. With the implementation of the Inam Abolition Act, the lands belonging to the temples have been taken over. Instead, the government is paying the compensation i.e., 'tasdik'. The amount varies from as low as Rs. 100 to Rs. 30,000 per year. The tasdik allowance is said to be totally inadequate for the maintenance of the temple because of the fact that there has been no regular revision of this amount.

The amount has to be fixed in relation to the changing price index. This is said to be one of the reasons for the lack of interest in carrying out the daily services in the temple by the priests which will further result in eroding the base of devotees and thus depriving the temple of the public contributions. Further, management of the temple i.e. the cost towards the daily services and the Archaks salary is said to be based on the revenue generated in the temple. As the resources generated are smaller, the Archaks are paid low salaries. In order to compensate for this the Arathi and Sevatha collections are collected by Archaks and thus preventing the flow of funds to the hundi. It is suspected that this may also be one of the reasons contributing towards the sale of the temple property like the jewels, idols etc., This problem gets compounded because of lack of proper vigil over the temple administration. This problem is said to be resolved in the neighbouring state of Tamil Nadu by allowing for a Common Good Fund. This fund is generated by pooling 5 per cent of income from all the institutions and is said to be utilized towards the maintenance of the smaller institutions. The amount collected and deposited is to the tune of Rs. 11 crores and the interest accrued is used for supporting the development of the minor institutions. The issue is how is that the department has failed to make any such attempts towards the development of the temples. As per the records there are 43,217 muzrai temples in the state. It is learnt that there are only 100 and odd institutions that are supposed to be doing well. The question is what is the state of affairs in the rest of the 40,000 and odd temples? If the state of the temples as reported in the print and the electronic media on certain specific cases could be extended to the state as a whole, they are poor. If this is a reflection of the functioning of the department, should the department be there just to manage 100 and odd temples in the state.

7. In the development of the temple there are two main actors viz., the priest or the archak and the devotees or the public. The Archaks involvement, commitment and services in the temples has resulted in the attraction of the large number of devotees and thus, resulting in the augmentation of the resources as well as the development of the temple. This is what is seen in the case of the temples managed by the private trusts. It is found that these temples become major centers of attraction within a few years of establishment. This is also reported to have happened in few of the muzrai temples in the state. The challenge before the department is in getting the involvement and the commitment of the archaks so as to serve the larger interest of the general public.
8. The other important issue is of the Village Institutions. It is learnt from discussions with the Village Accountants and the Revenue Inspectors that they seldom visit these temples, but make only enquiries. If this is so, the question is who is overseeing the functioning of these temples. These temples are said to be neglected and there are several issues like the changes in the archakas, safety and security of the jewels and the temple property etc. Some of the temples are also reported to have been conquered by unwanted elements and used as public places. The concern is first of all allow such things be allowed to happen and what is the role of the department in taking care of these temples?

4.6 RECOMMENDATIONS:

DOWNSIZING/RIGHT SIZING:

- ◆ Merger of Muzrai Department with the revenue department and to make muzrai functions as mandatory functions on the part of the revenue officials.
- ◆ Assistant Commissioner for Muzrai at the District level and the Inspectors at the Taluk level will oversee the Muzrai functions in the district. These posts also proposed in the New Bill will lead to effective management of the temples till such time that the institutions are handed over.
- ◆ In view of the limited success achieved by the department in the development and management of the temple institutions, it is strongly suggested that Government should play a very limited role as far as the administration and management of the temples are concerned. It is recommended that the Government should in a phased manner hand over the management of the institutions to Community Based Organizations/communities/private trusts. Meanwhile, government should attempt to develop the minor or village or non-listed institutions through funds raised out of Common Pool Fund proposed in the uniform Act.
- ◆ Abolition of the head offices of the Directorate for Endowments.

Implications: The proposed additions by way of Assistant Commissioners and Inspectors will not result in enhancement of total number of posts in the revenue department. This will be offset by the abolition of other posts.

EFFICIENCY, ACCOUNTABILITY AND TRANSPARENCY:

- ◆ Department should make it mandatory on the part of the officials to undertake a minimum of 2-5 visits in a year and the same should be monitored.
- ◆ Regular monitoring of the performance of the institutions should be ensured through periodical reports and review of the reports at the district level.
- ◆ Evolving parity in the services of the temple staff.
- ◆ To under take a survey of the properties is the Muzrai Institutions.
- ◆ To nominate a Government officials as one of the number in the Dharmadarshi Committee.
- ◆ Evolving guidelines for the creation of the post of EOs or any other post at the state level
- ◆ Ensuring effective functioning from the Dharmadarshi Committees through appropriate powers vested with the Assistant Commissioner/Deputy Commissioner.

IMPLEMENTATION OF SCHEMES:

- ◆ Scrapping of schemes such as grant-in-aid and Aradhana that have failed to contribute to the development of the temple institutions. Such schemes become redundant in view of the proposed uniform Act and the common pool fund for the development of smaller or minor institutions.

REVENUE DEPARTMENT

INTRODUCTION:

The Revenue Department (RD) is the oldest department of the Government. This department is called as the 'Mother Department'. It is important to note that this Department is pivotal in the entire system of administration, a nerve center in the system of government (List of Activities of the Department enclosed at Annexure - 1). It is said that the department is a bridge between the village level, taluk level, district and state administration. The nature of work and the extent of work performed by the department especially on occasions like natural calamities, drought and certain unnatural conditions are very different and completely varied compared with any other departments of the Government. As a result, the nature and characteristic of personnel are also different from the rest of the civil servants. However, there is a strong feeling in the department that this department is the neglected department.

It is found that the new socio-economic schemes, programmes and reforms introduced by the Government are implemented through this Department mainly. Some of the schemes implemented by the Department are National Old Age Pension Scheme, National Physically Handicapped Scheme, rehabilitation of bonded labour etc.

The Department performs quasi-Judicial functions and thereby plays an important role in the maintenance of law and order and peace among the public.

5.1 STRUCTURE OF THE DEPARTMENT:

The Organizational Chart of the department is placed at Annexure - 2.

The Revenue Department is headed by the Principal Secretary. The Principal Secretary is assisted by a Secretary (Land Reforms, Land Records & Registration) who oversees the functioning of the three line Departments viz., Directorate for Survey, Settlement and Land Records, Department of Stamps and Registration and the Endowments Department. These three Directorates are functioning with fulltime Directors overseeing their functioning.

The Principal Secretary is also assisted by the Additional Secretary. Presently, the Additional Secretary is overseeing the computerization work in the department.

Principal Secretary and the Secretary, Revenue Department, are assisted by Deputy Secretaries (5), Under Secretaries (15) and other ministerial staff at the Secretariat.

With the recent changes envisaged, the post of Divisional Commissioners at the four Divisions may not stay and 27 Deputy Commissioners will directly report to the Secretary. Deputy Commissioners at the district level are assisted by the Head Quarter Assistant, Office Assistants, Sheristedar's and other ministerial staff within the office. On the other hand, there are Assistant Commissioner's at the

sub-division level with independent establishments to oversee the revenue administration at the sub-division and also co-ordinate the functions. At the taluk level the Tahsildar is the head of the revenue administration. All the revenue functionaries i.e. Shirestedar and his staff within the office and the executive staff viz., deputy tahsildars (in respect of Nad Kacheris), the revenue inspectors and the village accountants work under the overall control and supervision of the Taluk Magistrate. The Revenue Inspector works at the Hobli level or the revenue circle and monitors the performance of the Village Accountants (VA). The village accountant on the other hand, works at the village level.

The total working strength of the general Revenue Department in the State has not been made available from the department. The required information has been could be collected from the District. As per the information available there are 786 sanctioned posts in this department in the district of Uttara Kannada. This includes the offices of the Assistant Commissioners, Tahsildars, Special Land Acquisition Officer etc. It is reported that there are 93 vacant posts (11.83%). But the total staff strength cannot be the same for all the districts as the number of sub-divisions and Taluks are not the same in the 27 districts in the state. However, it is estimated that the total working strength of the general revenue department would be around 18,000 employees.

5.2 STRUCTURE & FUNCTIONAL REVIEW:

PRINCIPAL SECRETARY

The Principal Secretary, Revenue Department is involved in formulating the policies of the Revenue Department at the state level; to assist the Revenue Minister in matters relating to Revenue Department and Overall superintendence of the Department. . The Divisional Commissioners and the Deputy Commissioners are reporting to the Secretary directly.

SECRETARY:

Secretary, Revenue Department oversees the functioning of the three line Departments viz., Department of Survey Settlement and Land Records, Department of Stamps and Registration and Department of Endowments and also ensures co-ordination among the departments.

ADDITIONAL SECRETARY

The Additional Secretary among other things is currently looking after the computerization of land records in the Department. Computerization of Record Of Rights, Tenancy And Crop Cultivation s is complete in 80 Taluks and by March 2002 it will be complete in the state. Initially two Village Accountants appointed on compassionate grounds are given the necessary training through KEONICS.

The Department is also considering the possibilities of taking the computerization efforts upto Hobli level through establishment of Kiosks with the participation of the private or individual groups. This is said to be a step towards taking the technology upto the village level.

DEPUTY COMMISSIONER AND DISTRICT MAGISTRATE:

The Deputy Commissioner is the head of the revenue and general administration in the district. His range of functions is very extensive. As the revenue head of district, he is the chief representative of the government. He has played and continues to play a prominent and pivotal role in all aspects of administration. The main functions may be broadly classified as

1. Revenue
2. Law and Order
3. Development
4. Co-ordination
5. Public Welfare in general.
6. Implementation of various schemes/programmes
7. Election
8. Census
9. Muzrai
10. Public Distribution System

As the District Magistrate, he is responsible for the maintenance of law and order in the district. The Deputy Commissioner exercises functions under various enactments of the state such as those dealing with distribution of food, essential commodities, excise, elections, municipal and development work, issues of license for arms, explosives etc. The Deputy Commissioner is the Chairman of the District Co-ordination Committee.

In fact, through the decades, the moral authority as the coordinating head enabled him not only to extract the work from the district officers of other departments in implementation of the programme but also in taking up with the heads of departments at the state level and Secretaries to Government, issues and problems of those departments which affects the general public for the purposes of assisting them in getting sanctions or approvals to schemes / programmes.

- ◆ Collection of Land Revenue: The following are the details of land revenue collection in selected districts. The Annual Report of the Department reports the collection of land revenue as Rs.2, 190.43 lakhs as against the total demand of Rs.51, 838.12 lakhs. The figures made available from the selected districts viz., Uttara Kannada and Taluk offices report of 100 per cent collection (see Table below). No separate figures are available regarding the collection of arrears of land revenue.

Name of the Place	Year/Month	Percentage of Collection	Remarks
Uttara Kannada District	1998-99 to 2000-01	100	
Chamarajanagar District	2000-01	100	
Muddebihal Taluq	April 2001	100	
Bijapur Tq., Bijapur District	June 2001	88.07	0.70 lakhs pending
Sindagi Tq. Bijapur District	May 2001	100	

- ◆ There are deficits in its water rates collection because of the problems of non-co-operation from the farmers, lack of information with the farmers on the type of crop stipulated by the irrigation department etc., (see Table)

Water Rates:

District/Taluk	Year	% of collection
Uttara Kannada	1998-99	20.84
	1999-2000	40.00
	2000-2001	28.15
Sindhagi taluk	May 2001	16.34
Bijapur District	2000-2001	23.65

- ◆ It is suggested that in particular the departments dealing with land administration i.e. Department of Survey, Settlement and Land Records and certain other departments can be brought under the direct control of Assistant Commissioner for reasons of better co-ordination and effective delivery.
- ◆ With the decentralization, the Zilla Panchayat is implementing the developmental programmes. While it is so, the Deputy Commissioner continues to monitor the implementation of programmes like the Malaria Eradication Programme, Adult Literacy Programmes, Exams etc. Therefore, a mechanism needs to be designed and implemented that will ensure coordination between the Zilla Panchayat and the Deputy Commissioner. The mechanism needs to define clear-cut goals and deliverables for both these entities.
- ◆ Computerization of Record Of Rights, Tenancy And Crop Cultivation s is under progress in all the districts surveyed.
- ◆ A number of schemes and programmes relating to Social Security, Housing, Sites and Services Scheme, schemes under X Finance Commission are also implemented through the Deputy Commissioner.
- ◆ Deputy Commissioner being the senior representative of the Government at the district level is the Chairman of a number of committees (approximately 53) relating to social justice, programme implementation etc., wherein he has to conduct regular meetings and review the programmes. This may result in a lack of focus for critical or important programs.

ASSISTANT COMMISSIONER:

Under the Deputy Commissioner there is the Assistant Commissioner who is in charge of a Revenue sub-division comprising few taluks. The Assistant Commissioner is the representative of the Government at the sub-division level. He is the appellate authority as well as supervisory officer in respect of taluks under him. The collections of land revenue, maintenance of the record of right, settlement of land disputes are the important functions of the Assistant Commissioner.

- ◆ The Assistant Commissioner is the link between the district and the taluk administration. He is coordinating the implementation of the programmes of the government entrusted by the Deputy Commissioner. There is also the need for delegating the powers to control the regulatory departments like the Department of Survey, Settlement and Land Records and Stamps and Registration at the sub-division level by the Assistant Commissioner
- ◆ Assistant Commissioners are not taking intensive tours or going on inspections. Frequent visits by the officers will help in setting right the delays and grievances of the public.

SPECIAL LAND ACQUISITION OFFICER (SLAO):

The post of Special Land Acquisition Officer is created by the Government in respect of large-scale irrigation or any other developmental projects. The rationale for the creation of these posts is that the regular Assistant Commissioner will not be able to concentrate on the land acquisition, awarding of compensation and the resettlement and the rehabilitation of the Project Affected People. In other words the function of these offices are Land Acquisition, Compensation and to attend to Litigation.

The Office of the Special Land Acquisition Officer, Indi, for the Upper Krishna Project, project had the responsibility of acquiring 6,000 acres of land for the purposes of the project. As on July, the process of acquisition for 3,000 more acres of land is yet to be initiated.

The Office has 2 Sheristedars, 2 First Division Clerks, 2 Revenue Inspectors, 6 Surveyors and 2 Drivers. The existing staff is reported to be inadequate.

The details of the progress made by the SLAO Indi is as follows:

Year	Number of Cases	Number of Cases Disposed	Balance
1994	151	140	11
1995	193	174	19
1996	14	4	10
1997	117	28	89
1998	53	2	51
1999	4	4	4
2000	17	17	17
2001	34	34	34
Total	583	348	235

Of the cases disposed so far, there are appeals in respect of 60 cases, 39 cases are pending in the district court and 21 cases are before the High Court. Of the total 612,87,622 crores awarded so far, 576,13,983 is disbursed. It was stated by the officer concerned that the office would have to continue for another 2-3 years.

- ◆ There is need for the post of SLAO only in case of large-scale irrigation projects with a definite time frame.

TAHSILDAR:

In the erstwhile Mysore state, during the tenure of Bowring the revenue official in charge of Taluk was known as 'Amildar'. Tahsildar is the representative of the government at the Taluk level. Perhaps, by virtue of this the institution of Tahsildar enjoys a unique status in the district administration. Tahsildar is also the Taluk Magistrate and the powers of law and order is also vested in him.

On many occasions it is found that the common man is made to just wait for hours together for reasons of non-availability of officials like Tahsildar and at the end of the day returns home without results. The undue delay and the poor performance are widely reported there is total corruption in these public offices barring few places in the state.

- ◆ The state of Karnataka is by and large peaceful and thus, issues relating to law and order do not figure out to be a major function even at the Taluk level. Excluding this the other responsibilities entrusted to them are collection of land revenue, maintenance of the record of rights, settlement of land disputes. However, these and other general functions like daftar inspections are not being done by the Tahsildars. It is not possible because of public visits, meetings, inspections and the vast jurisdictions.
- ◆ One of the functions of the Tahsildar is to issue caste and income certificates. This is not only causing burden to the Tahsildars, but also causes delay to the general public. Delegating the same to the Revenue Inspectors will not only reduce the work burden, but also will also in obtaining these documents at the hobli level. Today it is just done mechanically and defeats the purpose.
- ◆ Revenue Department is currently distributing pension for the disabled. To avoid duplication and wastage, it is necessary to bring the scheme under the Department of Disabled Welfare.
- ◆ With regard to the implementation of schemes like Old Age Pension and Widow Pension, there are problems of misuse and wrong identification of beneficiaries.
- ◆ There is no correct or authentic information on the extent of forestlands or even on unauthorized occupancy of government lands. One of the reasons is that the Survey, Settlement and Land Records department is functioning independently and the department is burdened with the regular podi works. Hence, it is suggested by the Tahsildars that the Survey, Settlement and Land Records Department and the Sub Registrar's office have to be brought under the control of the Tahsildar.
- ◆ Interference of the people's representatives in the taluk administration is found to be coming in the way of ensuring social justice, identification of beneficiaries and effective administration.
- ◆ Lack of effective supervision over the muzrai functions at the Taluk level. As stated earlier the Tahsildars are burdened with various functions.
- ◆ Tahsildars have welcomed the efforts towards computerization in the department. This is said to be helpful in reducing corruption and bringing

in more efficiency and transparency into the functioning. There is increased awareness among the officials about the computerization work in the department.

REVENUE INSPECTOR (RI):

Revenue Inspector is a supervisory officer overseeing the functioning of the Village Accountant and also helps the Village Accountants in discharging their role and responsibilities. He is also the basic enquiry officer and builds up the records with the assistance of Village Accountant. The other functions performed include building up alienation, acquisition records and forwarding it to Tahsildar, building up of land grant cases etc. He is also involved in matters relating to the law and order and holding of elections, spot inspections, collection of arrears of land revenue and consolidation of information village wise.

In the district of Kolar, the number of total sanctioned strength and the working strength at the level of Revenue Inspector is 53 and 40 respectively (24.52% of the posts are vacant). In respect of Uttara Kannada, the figures are 49 and 32 respectively. In Surpur Taluk in Gulbarga district there are 5 hoblis or revenue circles and there are 5 Revenue Inspectors.

OBSERVATIONS ON THE FUNCTIONING OF THE REVENUE INSPECTOR ARE:

- ◆ Lack of effective supervision of the work of Village Accountant. The consequences of it are: there are unauthorized occupancies of Government lands, lack of proper information on non-agricultural uses of land, issue of pensions to non-eligible pensioners etc. This is because of the workload.
- ◆ No regular visits are made by the Revenue Inspectors to the villages and also to understand the problems of the villagers. Thus, these officials who are suppose to be closer to the public, in reality is found to be away from the public.

VILLAGE ACCOUNTANT (VA)

The villages were traditionally ruled by the hereditary personnel like Patel and Shanbhog. With the introduction of the modern system of administration, the hereditary rulers have lost their importance. The Village Accountant who has replaced the traditional village headman is the last man in the hierarchy of officials in the Revenue Department. The functions performed by him includes compilation of the vital statistics of the village i.e. human, animal, type of crop grown, issuing of Record Of Rights, Tenancy And Crop Cultivations, reporting on issues relating to atrocities and Social Security Schemes such as the Old Age Pension, Widow Pension etc. He is also the registrar of births and deaths. The other important functions are collection of land revenue, water rates, government dues as arrears of land revenue and maintaining Village accounts and produce the same to Jamabandhi officers.

Village Accountant recommends the application for issuing caste and income certificates. By looking at these functions performed by the Village Accountant, a

senior officer in the Department prefers to call him as 'Sristi Brahma' [meaning creator]. He is also the person who takes care of the officials or any other dignitary visiting the village.

In the Uttara Kannada district the number of vacancies at the post of Village Accountant is just 2 and the total working strength is 271 posts. In the Kolar district, of the 510 posts, 20 posts (3.92%) are reported to be vacant and the total working strength is 490. In the Surpur Taluk the ratio of Village Accountants and the number of villages works out to 1:3.86 and the population covered by each Village Accountant is 6596. The total number of Village Accountants in the state is stated to be 8760 (Interview Report of ARC, 2001:46).

The Jurisdiction of the Village Accountant extends approximately upto 5 villages, which is called a village circle. The Village Accountant at the village is assisted by the Gram Sahayaks and is said to be attending to the sundry jobs entrusted by the Village Accountant.

The following issues have been observed in the functioning of the Village Accountants:

1. Village Accountants are not found to be visiting the villages on a regular basis. This has been the general complaint of the villagers. On the other hand the villagers have reported of cases wherein the Village Accountants have established their own 'shops' in the district and people are said to visit these shops whenever they require his services. This was reported in the Gulbarga district. It was found in Gundlupet Taluk that the Village Accountants were hiring the services of other people in issuing Record Of Rights, Tenancy And Crop Cultivations to the farmers, and the cost had to be borne by the farmers.
2. General information about the village like the birth, death, type of crop grown etc., is not being updated systematically. This is because the Village Accountant is not getting the required information through ANMs. Thus, it is learnt from the Village Accountants that for crop cutting experiments they are not visiting all the lands in the village, but only the lands, which are accessible. But information is obtained through other sources.
3. Village Accountants are collecting the land revenue and the water rates. However, it is reported by the Village Accountants that in many cases they would be paying the land revenue amount on behalf of the farmers. This is because the tax amounts are too small and hence, they would pay and recover it later from the farmers. Village Accountants are found to be experiencing difficulties in the collection of other government dues.
4. About 10-15% of the beneficiaries for benefits like old age pension, widow pension, physically handicapped pension, are being done under the pressure of politicians. Hence, either the fake cases are not detected or reported.
5. No eviction of unauthorized occupancies of government lands is taking place. This is said to be for a number of reasons. Cases of Village Accountants instigating the people into such actions were also reported.
6. Irregularities, corruption etc., has been observed and reported by the community in the functioning of the Village Accountants in the five districts.

During the visit to the Gundlupet Taluq. Villagers complained that the Village Accountant was demanding around Rs. 50 for issuing Record Of Rights, Tenancy And Crop Cultivation. However, Village Accountants deny the same. Villagers have also reported about the payments to be made to collect caste/ income certificates. However it is not the same in all the districts.

7. There is the problem of making Village Accountant more accountable. Currently, neither there is an office nor a place where he is expected to report. As a result it is found that Village Accountants are not visiting the villages on a regular basis. Earlier, they were functioning at **Chavadi** in the village. The reports submitted by the Village Accountants on cases of atrocities are reported to be not very detailed.
8. Village Accountant is burdened with non-revenue functions such as the Pulse Polio Immunization Programme, issue of ration card, fire accident cases, bonded labour, child labour etc. Village Accountants have expressed lot of concern on this issue. This has come in the way of discharging their revenue functions.
9. It is found that Village Accountants are maintaining 24 registers and many other vital registers and there is no safe place for keeping the records in the village. Few Village Accountants are said to have suffered because of loss of these records.
10. No regular visits to the mujrai institutions.
11. Village Accountants are found to be involved in multi-farious functions and are also found to be putting up lot of hard work. They are also exposed to dangers. Lot of issues has been raised with regard to the working conditions including the salary and other allowances as compared to other functionaries in other departments.

Thus, the revenue administration is confronted with various problems at different levels of administration. The net result is delay, red-tapism, corruption.

5.3 PERCEPTION OF THE VILLAGE ACCOUNTANTS AND REVENUE INSPECTORS ON ROLE AND RESPONSIBILITIES YEARS OF SERVICE

The sample respondents are found to be consisting of a mix in terms of number of years of service (see Table No.5.1). Of them, those with less than 10 years of service are found to be concentrated in the districts of U Kannada (36.36%) and Bijapur (36.36%), while in respect of those with 25+ years of service it is Gulbarga (50.0%) and C Nagar (25%). During the last 5 years or so there has been no recruitment to the post of Village Accountant.

In terms of number of years of service at the present place not many of them are found to be in the category of more than 5 years (see Table No. 5.2). This speaks of the policy of transfer to these posts. Some of them are also found to be less than 1 year.

AREA OF OPERATION:

It has been reported that a large number of village accountants are expected to work in less than or upto 5 villages (see Table No. 5.3). In the districts of Kolar and Chitradurga, it is reported that the jurisdiction extends upto 10 villages. This may be because in the event of vacancies in the post of Village Accountant, the neighbouring Village Accountant is expected to take charge of the other villages. Hence, the variation.

In all about 18 Village Accountants have reported that the size of their total population is in the range of 2001 - 10000. Of the 18 Village Accountants, more than 20 per cent of the respondents in U Kannada and Bijapur district are reported to have the target population of 2001 - 10,000. Share of the different districts in the 10,001+ categories is more or less the same.

Majority of the respondents have also stated that the extent of Schedule Caste and Schedule Tribe population within their jurisdiction is above 500. Thus, there is Schedule Caste and Schedule Tribe concentration in all the revenue circles. Thus, generally Village Accountant is found to be operating in a limited area of operation and it is not difficult for him to reach out to the villagers in the event of his stay in any one of the villages. But in practice most of them are outsiders and visit villages once in a way.

Of all the Village Accountants, only 4 of them have reported that the number of Katha holders in their circle is above 1500. The highest numbers of kathas are reported more from the district of Bijapur. Generally the number of kathas is less than 750. In terms of percentage distribution it is not the same in all the five districts. While the percentage is nearly a third in C Nagar district, it is less than 10 per cent in the Bijapur district. Accordingly, the work of the Village Accountants also gets increased or decreased.

A small percentage of the population is also reported to be consisting of the old age pensioners. The number of old age pensioners in each of these circles are reported to be below 150. However, the number of old age pensioners doesn't decisively influence the work of the Village Accountants, as it is only the recommendation, which is being done by the Village Accountant. The same is also true among the disabled pensioners.

NUMBER OF KATHA HOLDINGS DURING 1995:

It is very difficult to assess the changes in the number of kathas and thus on the quantum of work based on the information provided. About 50 per cent have not been able to state the number of Katha holdings during 1995. But from the above table, it is found that the number of Katha holdings for 11 Village Accountants do not exceed 3000 during 2001 as compared to 2 Village Accountants who had 3001-7500 Katha holdings during 1995 (see Table No.5.4). On the other hand, there is increase in the number of katha holdings in the revenue circle in respect of upto 1000 category during 2001. Thus, the land holdings may be getting concentrated in fewer and fewer households. As per the information available, there is no justification that there is increase in the amount of work.

QUALITY OF SERVICES:

With a view to understand the changes in the quantum of work over a period of time the Village Accountants were asked to state the quality of the services provided to-day as compared to past. Almost all of them have agreed that they are able to provide better services (see Table No. 5.5). This is explained in terms of the co-operation extended by the people, provision of services and the official support. However, in realistic terms one of the contributory factors is also changes in the number of katha holdings and such other changes.

ROLE IN THE EVENT OF NATURAL CALAMITIES:

The work of the Village Accountants during the calamities is reported to start from the pre-calamity period to the rehabilitation and resettlement of the victims (see Table No. 5.6). But it is interesting to note that the major portion of the work lies in the provision of the relief measures and the execution of the government orders in the event of such natural calamities. This is natural as he is the most grass root level worker in the revenue department.

RECOVERY OF LOANS & DUES:

The other important function of the Village Accountant is ensuring the recovery of loans, dues etc., which have been treated as arrears of land revenue. The activities pertain to those of serving notices, seizure of property and collection of dues. However, Village Accountants have expressed lot of difficulties in the performance of these duties due to various reasons like the incomplete addresses, the poverty and non-availability of the defaulters. Village Accountants are reported to be finding it difficult to counter the pressures from the higher ups with regard to the collection of arrears.

WORK PERFORMANCE DURING THE PAST THREE MONTHS:

It is interesting to find that nearly 30 per cent to 50 per cent of the time of the Village Accountants is lost on visiting the Taluk Head Quarters for meetings or any other official purpose and attending to the VIP visits (see Table No. 5.7). This shows that he is left with very little time to attend to other regular things expected of him by the Government or by the public in terms of issuing Record Of Rights, Tenancy And Crop Cultivation, certificates. etc. The other activities like the verification of income certificates, old age pensions verification etc. takes very little time.

PERFORMANCES DURING 2000-01:

If the Village Accountants performances are going to be assessed in terms of the loan recovery, collection of water rates, agricultural and non-agricultural taxes, and the performances seems to be satisfactory. However, the collection of water rates is said to be beset with limitations for reasons like the lack of awareness among the farmers on the type of crop to be grown and lack of water itself towards the tail end of the canal for which the farmers refuse to pay the water rates.

ACTIVITIES PERFORMED RELATING TO THE MAINTENANCE OF LAND RECORDS:

In connection with the maintenance of the land records, the Village Accountant is reported to be maintaining a number of records like the RR, Khathas etc. Besides he is also reported to be maintaining all the registers specified in the manual.

PERCEPTION ABOUT THE GENERAL FUNCTIONING OF THE DEPARTMENT:

Generally good opinion has been expressed by the VA's on the general functioning (see Table No. 5. 8). They have expressed higher levels of satisfaction on a number of indicators like the information provided to the general public, performance of the department and adherence to the rules etc. However, the perception is found to vary from district to district.

VISITS TO VILLAGES BY OFFICIALS:

The above table is found to be consistent with the general thinking that the officials immediately supervising the work of the Village Accountant are found to be visiting the villages more often than the Assistant Commissioner or the Deputy Commissioner. More than 88 per cent of the Revenue Inspectors are visiting the villages once in a month, while in respect of Tahsildar it is 22.22 per cent and about 25 per cent in respect of the Assistant Commissioner (see Table No. 5.9). These visits are generally stated to be official visits or routine visits, or by way of inspections or verifications katha enquiry, supervision of census work or election work etc. Village Accountants have generally expressed satisfaction on the result of visits of the officials.

It must be noted that about 50 per cent have chosen not to answer this question. This may be because of the fear that it would mean complaining against the higher ups. This is also indicative of the occasional visits by the higher ups.

SATISFACTION AS VILLAGE ACCOUNTANT:

More than 50 per cent of the Village Accountants have expressed great satisfaction from their present work as Village Accountants. This is notwithstanding the fact that nearly 50 per cent had just put in less than 10 years of service. Large number of respondents with great satisfaction is more in the districts of U Kannada and Bijapur (see Table No. 5.10). The Village Accountants only from the Kolar district expressed least satisfaction from their present work. This is surprising for reasons like the promotional opportunities are not very much and the pressure of work at least is reported to be very high. The reasons for higher levels of satisfaction may be the freedom that they enjoy in the work.

PERCEPTIONS ABOUT VILLAGE ACCOUNTANT:

Village Accountant is the last man in the hierarchy of officials in the department. He is the one who interacts with the public in discharging his duties and responsibilities. He can discharge his duties only with the co-operation and co-ordination of the villagers. The perceptions of the villagers about the Village Accountant very much depends on the role and responsibilities discharged by him or to the extent to which he is helpful

to the villagers. When the respondents were asked to state the perceptions of the villagers about them, they have reported that the villagers perceive him to be an efficient, impartial and co-operative worker. Nearly two thirds of the responses have indicated this (see Table No. 5.11). Village Accountant is also perceived as one who resolves the public problems and helps them in getting the certificates like the income, caste or even the Record Of Rights, Tenancy And Crop Cultivation.

But this is quite contrary to the opinions expressed by the villagers during the visit of the team. The community was generally critical of the fact that the Village Accountant was not visiting the villages on a regular basis, was corrupt and was partisan in his work. If these are the two clear indications, it can be inferred that the Village Accountants perception about themselves is away from the reality. Village Accountants have not been able to live upto the expectations of the villagers and have not been helpful to the community to whom they are supposed to serve. On the contrary, they may be serving few masters.

FUNCTIONS OF THE VILLAGE ACCOUNTANT:

Discussions has revealed that while there is a long list of general duties to be performed by the Village Accountant, he is left with too little time to attend to all of these duties. One of the important functions as perceived by the Village Accountants are the revenue functions i.e. collection of land revenue, dues by ways of arrears of land revenue etc., (see Table No. 5.12) Of those reporting this as the important function, nearly 25 per cent are from the districts of the U Kannada and Bijapur. Resolving the problems of the general public is also perceived as the important function of the Village Accountant. This may be by way of guidance, advice or resolving the mundane problems. The general functions expected of him are also reported as one of the five important functions. This goes very well with the fact that the revenue officials also perform duties of the general administration department. This is also reflected in their perceptions relating to the goals and objectives of the department.

However, in practice it is found and reported that much of the time of the Village Accountant is spent in such duties such as protocol. The problem is more so in respect of those working in the 'kasaba'. This not only takes away much of his official or unofficial time, but is also spending money towards taking care of the visiting dignitaries. This is perhaps one of the least of the activities performed with a smile. Unless such duties are minimized, the efficiency and effective functioning of these officials is expected to further deteriorate.

GOALS AND OBJECTIVES OF THE DEPARTMENT:

Service to the general public service is perceived as an important goal of the department. This is as a result of the activities performed by the revenue officials on a day to-day basis. The various Issues listed out are the help rendered during natural calamities, solving the public problem like issuing of kathas or issuing of Record Of Rights, Tenancy And Crop Cultivation (see Table No. 5.13). This is reported by a fifth of the respondents from the districts. From the above analysis it is found that Village Accountant has to report on caste conflicts in the villages, organize crop cutting experiments, report on the non-agricultural activities, report on the problems of the villagers etc. The other important functions reported by the officials are organizing elections and the census work and more importantly, maintenance of land records, issuing of caste, income and birth and death certificates.

It is surprising that issues such as loan recovery, revenue collections etc., have not figured out as the major goals of the department. This may be for reasons like the resource mobilized through the land revenues are very small which do not cross few thousands at the village levels. This further gets supported in their roles in fulfilling the overall functioning of the department.

PROBLEMS:

Nearly a third of the respondents have said that they are not confronted with any problems in the day to-day functioning (see Table No.5.14). This may be those who are able to discharge duties expected of them.

One of the concerns, which were also shared during informal discussions, was the increasing non-revenue functions and lack of supporting staff. About 92 per cent have concurred with this idea. The other important problem is that of interference from the political representatives. It is learnt that they are interfering in the identification of the beneficiaries or the delivery of services from the department.

SUGGESTIONS TO MAKE THE ROLE MORE EFFECTIVE:

OBSERVATIONS:

- ◆ Large number of cases of unauthorized occupancy can be attributed to the inefficiency among Village Accountants
- ◆ Incidence of child labour in the villages is not being reported on a regular basis.
- ◆ Increasing non-revenue functions
- ◆ Public Service department

PERCEPTION OF THE REVENUE INSPECTORS ON ROLE AND RESPONSIBILITIES

Revenue Inspector is both a supervisory and executive functionary in the revenue department. Revenue Inspector acts as a link between the village administration and the taluk administration. While guiding, monitoring and supervising the work of the Village Accountant, he also attends to building up of records.

JURISDICTION OF REVENUE INSPECTOR:

Almost 50 per cent of the Revenue Inspectors have reported that upto 10 Village Accountants are working under their supervision and control (see Table No. 5.12). For the rest of the Revenue Inspectors it is around 11 to 15 Village Accountants working under them. One implication of this is that the area of operation for the Revenue Inspector is quite vast. This is clearly evident from the fact that the number of villages covered by most of the Revenue Inspectors is upto 50 villages. The percentage in each of the district is the same excluding the Kolar district. In terms of the population covered by him it means that around 16 per cent are covering a population of below 20,000 and about 45 per cent are covering a population of 20,001 – 50,000 population. The large population together with more number of villages makes the task of the Revenue Inspector more difficult.

One of the indicators for the changes in the quantum of work expected by the Revenue Inspector or the Village Accountant is the number of katha holdings. Almost 50 per cent of them have said that currently the number of katha holdings is in the range of 7501 – 15000. On the other hand, for few of the Revenue Inspectors it is less than 6,000. As compared to 1995 there seems to be a decrease in the number of katha holding. This is quite contrary to the expectations.

QUALITY OF SERVICES PROVIDED TO THE GENERAL PUBLIC:

In view of the increase in the population coverage and the number of katha holdings respondents were asked to state whether they are able to provide better services today. Of the 24 respondents, 22 of them have answered in the affirmative (see Table No. 5.13). The percentage is more less the same across the districts. The provision of better services is explained in terms of the co-operation extended by the people, compulsions created as a result of the pressure from the officers and the support extended by them etc. This is also said to be a result of computerization work taken up in the district.

NATURAL CALAMITIES:

The role of the revenue department at times of natural calamities is said to be very crucial. It is important to note that much of the works will be by way of coordination with other departments like the health, food and civil supplies department and also releasing relief money. The nature of the natural calamities varies from fire accidents to the natural disasters like the earthquake, drought, flood etc.,

Provision of relief measures and assessing the extent of damage and organizing spot inspections is reported to be the major works carried out by the revenue officials below the taluk level. Almost 60 per cent of the total Revenue Inspectors have reported this (see Table No. 5.14). The other works carried out by them are the listing out the victims and releasing the relief money of Rs. 500 to the victims. All these works are suppose to be very sensitive works. But in actuality, the cases of delay in the provision of relief works or non-receipt of complete relief measures are reported more often. During the recent drought, it was reported to the team during their visit to the Chamarajnagar district that there was total lack of co-operation from the Village Accountants in giving the required Record Of Rights, Tenancy And Crop Cultivations. Villagers were forced to give money for getting their Record Of Rights, Tenancy And Crop Cultivations written up. On the other hand, Village Accountants reported of the pressure by the villagers to manipulate the records. Even though this may be true, this may not be so in all the cases. Besides, Record Of Rights, Tenancy And Crop Cultivation giving details of the type of crops grown and the extent of lands covered under the crops is to be made only after due inspection. Due to the pressure and the paucity of time, he is issuing the Record Of Rights, Tenancy And Crop Cultivation from his office. Revenue Inspectors are also supporting the same.

PROBLEMS IN THE RECOVERY OF LOAN AMOUNT:

Nearly 50 per cent of the Revenue Inspectors have stated the chief problem to be one of poverty as a result of lack of crops, etc., (see Table No. 5.15). The problem seems to be more in Kolar (42.8%) and Gulbarga (21.4%) than in Uttara Kannada (7.1%) and Chamarajnagar (7.1%). The respondents have stated the pressure from the officials to be a problem. The other problem reported by them is the general problem like that of locating the defaulters, wrong address etc. The percentage is the same across the state.

KNOWLEDGE OF COMPUTERIZATION

All most all the respondents are not only aware of the efforts made by the department in the computerization of kathas but also approve the same.

WORK PERFORMANCE:

Number of income Certificate Verified: Nearly a fourth of the respondents have said that they have verified upto 1,000 income certificates during past 3 months (see Table No. 5.16). The percentage is the same across the district. It is important to note that about 16% have reported to have verified anywhere between 7,500 to 50,000 income certificate. Even though it may be an exaggeration it is important to note that these activities are eating out lot of their official time.

Number of visits made to the villagers: Nearly a third of them have reported to have visited less than 30 villages during the last 3 months. It is important to know that these officials are not able to visit all their villages in their revenue circle not even once in 3 months. This very well supports that the fact that Revenue Inspector's are not able to provide effective supervision of Village Accountant's.

Among other tasks performed by the Revenue Inspector's it is found that a large number of days are being spent in visiting the taluk head quarters. Almost all of them have said to have visited for more than 15 to 20 days. The visit to the taluk office is for reasons of attending to meetings, submission of report etc., further it may be noted that nearly 60% of them are also loosing up to 30 days in attending to VIP visits in the taluk. A certain number of days that is among 10 days is reported to be spent in visiting to the district head quarters. Thus a rough estimate would reveal that of the 90 days 60 days are spent away from their head quarter.

LOAN RECOVERY:

With regard to the loan recovery it is found that percentage of recovery is higher with regard to smaller loan amount rather than larger loan amount. Thus the achievement reported by the respondents fall short of the targets given to them. This is true in the entire district.

COLLECTION OF AGRICULTURAL AND NON- AGRICULTURAL TAXES:

It is interesting to note that 100% target achievements are reported in case of collection of agricultural and non-agricultural taxes. This is also true of collection of water rates. This needs further probing.

COMMENTS ON GENERAL FUNCTIONING OF DEPARTMENTS:

Nearly a fifth of the respondents have not expressed their satisfaction either in terms of accountability of the officials or even in terms of performance. On the contrary about 70% of the respondents have expressed satisfaction about various indicators relating to the general functioning (see Table No. 5.20). It is further interesting to know that relatively lower percentage of officials from Kolar and Chamarajnagar districts have expressed their comments to be good or very good on the indicators.

OFFICIALS VISITS TO THE VILLAGES:

The frequency of visits of the officials is found to be more frequent than expected even among the higher officials like the Assistant Commissioner And Deputy Commissioner. This may be because this year the state experienced one of the worst drought conditions (see Table No. 5.21). The visit of these officials is generally official's purposes like inspection, verification, enquiry etc. The result of these visits has reported to be generally good.

RECEIPT OF CIRCULARS AND NOTICES:

All the respondents have said that they are receiving the circulars and notices from the departments well in time.

SATISFACTION WITH THE WORK:

37.5% have not expressed satisfaction with their present wok (see Table No. 5.22). The percentage of the respondents varies from 11.1% in each in Bijapur and Kolar district to 44.4% in Chamarajnagar. Of those who have expressed their satisfaction levels to be either good or very good nearly 25% in each or from Uttara Kannada, Kolar and Bijapur district.

FUNCTION OF REVENUE INSPECTORS:

All the revenue inspectors in the sample were asked to indicate the 5 important functions expected of them. Nearly 40% of them have stated one of the imported functions to be revenue collection and recovery of loan amount. The percentage of respondents stating this varied from 8.3% in Chamarajnagar district to 31.2% in Gulbarga district (see Table No. 5.23). The next important function indicated by the respondents are the services extended to the general public including the Schedule caste and Schedule Tribes. It is reported by 26.61% of the total respondents. About 20% in each from Bijapur, Gulbarga and Kolar have reported this. This very much complements the observations made from the field together with the comments with the community.

The other functions reported by the respondents are conduct of elections maintenance of law and order, issued pertaining to the kathas, implementation of social security schemes etc.

GOALS AND OBJECTIVES OF THE DEPARTMENTS:

Of the total respondents 27.53% of them have said that one of the objectives of the department is the collection of revenue and recovery of loan amount (see Table No. 5.24). Nearly one-third of the respondents who have stated this to be

the objective are from Gulbarga district. About 20% have referred to maintenance of land records and implementation of the government policies is the one of the objective of the department. Service to the public and solving the problems of the rural community has also been reported as the objective of the department.

CONTRIBUTION TO THE OVERALL FUNCTIONING:

More than 20% of the respondents have indicated the following different ways in which they contributed to the overall functioning of the department:

1. Revenue collection and loan recovery
2. Publicity and implementation of the policies and programmes
3. Efficiency
4. Issuing certificate

The perception across the district is not same.

PERFORMANCE OF THE NON-DEPARTMENTAL FUNCTIONS:

87.5% of the respondents have agreed that they are performing non-departmental functions. These activities are pertaining to the departments like health, education, agriculture, social welfare and banks.

PROBLEMS CONFRONTED IN DAY-TO-DAY FUNCTIONING:

The different problems faced by the officials are pertaining to administration procedures, pressures and interference's and the heavy workload that is thrust upon them.

DELEGATION OF POWERS:

Nearly 50 per cent of the officials have felt that they should be delegated with powers relating to:

1. Issuing certificate
2. Changing kathas
3. Powers to seize property.

Perception across the district is same.

MEASURES TO MAKE THE ROLE MORE EFFECTIVE:

While the general responses are more in terms of facilities and staff, about 25 per cent of the responses are relating to the delegation of powers. This is the same across the districts. It is but natural that they are not able to exercise any powers in the present day context, but only do a clerical job. Revenue Inspectors have not spoken favourably in terms of delegation of more powers to Village Accountants.

CAPACITY BUILDING PROGRAMMES:

The training programmes attended by them generally falls into revenue matters, administrative matters and relating to computer. Only very few of them have reported to have attended training programmes on the revenue administration and on computers.

5.4 ISSUES AND CONCERNS:

VILLAGE ACCOUNTANT:

- ◆ It is found that no job chart has been issued to the Village Accountants in the state. Lack of clarity in the role and responsibilities by the Village Accountants may also be the reason for under performance.
- ◆ Need for establishing strong linkages between the revenue department and the panchayat system.
- ◆ Need to make Village Accountant more accountable by locating him in the office of the GP
- ◆ Integrating the function of the surveyor with the Village Accountant
- ◆ Streamlining of issue of caste/income certificates in order to reduce the burden on the officials and hardship to the public. A suggestion in this regard is to allow the public to make self-declarations and a percentage of the final recipients of the benefits could be subjected to scrutiny or assessment. Another important aspect is that there is need to bring in more meaning into functions relating to issuing certificates, Record Of Rights, Tenancy And Crop Cultivation etc.
- ◆ Abolition of the post of Gram Sahayaks in view of the fact that the same work could be entrusted to the Village Accountant. The service conditions of the Gram Sahayaks are reported to be very poor
- ◆ Presently, the Village Accountant collects a lot of information like the population, cattle census, the cropping pattern, drinking water etc. The information thus collected is not scientific. But in view of the fact that the development functions are carried out by the Panchayats, the Gram Panchayat Secretary could be asked to collect, compile and document these information.
- ◆ Re-organization of the villages for the Village Accountants based on the population and land holdings. There is also the need for re-organizing the hoblis. The Association has made a suggestion to upgrade the post of Village Accountants and posting them to places with more number of villages. This could also be examined.
- ◆ The list of beneficiaries of the social security schemes is available only with the Village Accountant. There is need for maintenance of such list at the district level as well.

REVENUE INSPECTOR:

- ◆ With a view to facilitate the delivery of the services to the doorstep of the farmers or the common man, the Revenue Inspector could be delegated with powers of issuing certificates and kathas presently exercised by the Tahsildar.

5.5 RECOMMENDATIONS:

EFFICIENCY, TRANSPARENCY & ACCOUNTABILITY:

1. The Jamabandhi programme organized for purposes of updation of records, verification of accounts can continue and can be restricted to the revenue functions. In order to make it more effective the activity has to be implemented effectively.
2. With a view to ensure the effective implementation of the social security programmes, a certain percentage of inspections of the cases at the level of the Deputy Commissioner, Assistant Commissioner and Tahsildar may be insisted. This will bring in fear and efficiency into the implementation of the programme.
3. Village Accountant to be made more accountable by placing him in the Grama panchayath Office. The population to be covered by Village Accountant to be limited to 2000-2500 population.
4. Introduction of the scheme of self-certification for caste and / income certificates and a random check to be made by the Village Accountant.
5. Revenue Inspector to be vested with powers relating to issuing of certificates and change of kathas and thus ensuring timely delivery of the required services.
6. Revenue officials especially the Village Accountant and Revenue Inspector to attend to protocol duties of only revenue officers to enable him to work efficiently.
7. Provision of infrastructure and stationary items to enable him to work efficiently.
8. Regular monitoring of the work of the Village Accountants to be ensured through the Tahsildar's on a monthly basis.
9. Tahsildar to undertake compulsory tours to monitor and supervise the work of the Village Accountants and Revenue Inspectors. This has to be effectively monitored.
10. To reduce the number of meetings convened at the Taluk level
11. Village Accountants and the Revenue Inspectors with adequate training in survey work can be asked to co-ordinate in the survey work along with the survey staff.
12. To strengthen the hands of the Deputy Commissioner through bringing the regulatory departments under the direct control of the Deputy Commissioner. This is expected to bring in greater efficiency and co-ordination in the functioning of the Revenue Department. The same has to be effected in respect of the Assistant Commissioner.

13. The Assistant Commissioner to co-ordinate the functions of the revenue and Taluk Panchayat at the sub-division level and thus ensure better implementation of the programmes.

RIGHT SIZING/DOWN SIZING:

1. With the introduction of computerization of the administrative work, the number of staff could be reduced. Hence, computerization to be taken up on a big scale at all levels.
2. Post of Special Land Acquisition Officer to be created only in respect of large-scale projects. The post has to be time bound.
3. The post of Gram Sahayak to be continued on contractual basis.

REVENUE ADMINISTRATION

While the previous chapters have attempted at focussing on the executive or the technical functions of the revenue department it is important to understand the role and the importance of the general administration in these departments. The nature and type of functions discharged by these administrative offices overshadows on the functioning of the department per se. These administrative functions varies from preparing a file during a calamity, preparations pertaining to a VIP visit or law and order situation to a day to-day affair like that of the postings of the officials or payment of fixed travel allowance to the staff like the surveyor. Correspondingly the type of personnel ranges from an office superintendent to a SDA or an attender who passes the file from one table to another. It should also be noted that some of the posts are interchangeable like the Village Accountant into SDA and revenue inspector into FDA.

The administrative functions are performed broadly at three levels viz.,

- Secretariat and / Directorate level
- District Administration
- Administration at the sub-offices including revenue sub-divisions

The nature of the functions at these three levels is not completely different. While at the Secretariat level it is general policy making or reporting on the compliance to the central government, at the directorate level it is the implementation of the policies and programmes and reporting the same to the government. This is the very purpose for which the Directorates are created/constituted. Their relevance in the realm of administration is something to be critically looked at. District administration is further working perhaps as a supervisory body between the grassroot level administration and the state level administration.

The actual work is performed in the offices below the district level. These three levels are broadly analyzed in terms of the Secretariat/Directorate and others.

ADMINISTRATIVE LINE-UP:

The administrative functions performed in these different line departments are both similar and different. It is different to the extent that an SDA who works as a copyist in the Stamps and Registration Department is entrusted with the responsibility of only copying the documents, while in any other departments he only puts up the papers for higher officials. However, in view of the fact that the size of the sample is not too large and the objective of the exercise is to understand the functional importance of these different positions, the same has been analyzed together. Two separate analysis has been attempted at the level of the office manager and other clerical staff.

In all 24 office superintendents / office managers' have been contacted for the purposes of collecting the information. However, it is found that many of the respondents have not preferred to answer few of the questions and the reasons for the same could be very many.

6.1 PERCEPTIONS OF THE ADMINISTRATIVE STAFF - OFFICE MANAGER / OFFICE SUPDT.

YEARS OF SERVICE:

The office of the office manager / office supdt. is a promotional post i.e. those who have worked as FDA are promoted to these posts after a min. years of service (see Table No. 6.1). Thus, it is natural that the respondents have either put in below 25 years of service or above 25 years of service. In the districts of Uttara Kannada, Gulbarga and Kolar the percentage of officials with more than 25 years of service is greater than those with less years of service.

YEARS OF SERVICE IN THE PRESENT PLACE:

Excepting the Uttara Kannada district, in all the other districts the percentage of officials working in the same office for more than 5 years is higher than those with less than 5 years of service (see Table No. 6.2). This may also be for reasons that they would not like to be disturbed at the time of their retirement and hence, the percentage is marginally higher in the 5+ years category.

DETAILS OF WORK:

The details of work performed by the officials is assessed in terms of the number of files disposed, number of files submitted, number of meetings attended, number of papers received, number of inspections etc., (see Table No. 6.3)

As regards the number of files disposed it is found that it is not the same among the officials working in the different departments. While few of them have reported to be less than 100 files during the last three months, a higher percentage of them have reported that it is more than 500 files. In certain of the districts like Bijapur, Gulbarga the number of files disposed is relatively higher. The responses are found to be more or less the same in terms of number of files submitted. The files submitted or disposed is found to be proportional to the number of papers received. It is reported that there are large number of papers received by these departments either from the community, or from the immediate higher offices or even from the Government. Thus, in terms of the work performed it is found and generally reported that they are attending to the files submitted by the subordinate officials. It is found that it is very difficult to assess the work of the officials strictly in terms of the number of files submitted/disposed/received etc. They are found to be attending to large number of other things like answering to the public on behalf of the officers and also issues which are addressed through letters, notes etc. However, they are also attending to other works like going on inspections i.e. accompanying the higher officers and also attending to the VIP visits.

This is found to be taking away nearly a third of their effective working hours. The question is, because of their absence from the office the files get struck at the desk of the office manager. One generally hears the complaint that the files are pending at the superintendent's office. It may be because of this reason.

PENDENCY OF FILES:

The respondents have reported that the period of pendency for files varies from last one-month upto six months (see Table No. 6.4). However, this is not to be found a problem at the level of office supdt.s/office managers. It must be noted that generally these officials are only a sort of intermediary level between the officers and the officials. The idea of creating this level is to see that there is a proper supervision over the work of the clerical staff. As these officials generally only put in their signatures, the files are not pending at this level. Even such of those files which are kept under pending may be for reasons of lack of adequate information, the need to clarify on certain issues etc.,

RESPONDENT'S ASSESSMENT OF WORK:

During the initial visits to the offices of the revenue department by the project staff it was expressed by the various quarters that the day to-day work in the department also involves attending to lot of sundry things which may not be strictly speaking part of their job. Hence, it was intended to know the various works done by these officials and their own assessment in terms of its contribution to their total work. The type of work that they are doing on a daily basis is:

1. Attending to Phone Calls
2. Receiving Papers
3. Processing Papers
4. Discussions with higher officers
5. Responding to Public Enquiries
6. Sending files for typing etc.,

The details provided by the respondents are pertaining to the previous 7 days on the day of contact.

The three of the important activities performed by these superintendents or managers is that of processing papers, discussions with higher officers and responding to public enquiries (see Table Number 6.5). Nearly 50 per cent of their time is spent on these activities. It is further found that all these activities are ranked number 1 and 2 or 3 and 4 in relation to the work that they are doing. Thus, there is high level of match between the amount of time that is spent and the relationship to their job.

But it is also found that almost equal time is spent in such things as sending files for typing, attending to phone calls and receiving papers. All these three activities don't seem to have much of a relationship to the work that they are doing. But one of them i.e. attending to phone calls is associated with the level in the hierarchy and hence, he is expected to be doing it. This calls for the modernization of the offices and also the need for level jumping.

WORK SATISFACTION:

Irrespective of the type of work that they are indulged in, there seems to be high level of satisfaction from the work. This is also because the type of work that they are doing is being perceived as a 'norm' rather than as a 'deviation'. The

reasons attributed for work satisfaction is that they are efficient at work and also because they are doing a public service. This aspect of public service is also attributed by the executives in the department.

GOALS AND OBJECTIVES OF THE DEPARTMENT:

The respondents have reported of their understanding about the goals and objectives of the department, which very well concurs with what the field staff have said. But in terms of contribution to the functioning of the department, the respondents are quite aware of the fact that they are involved in the administration work, which also means implementation of acts/rules/guidelines.

CLERICAL STAFF

The term **Gumastaru** is quite familiar as that of Patel or Shanbhog in the traditional revenue administration. The official designated as gumasta is supposed to be involved in paper work i.e. generally writing. Anybody who is involved in too much of writing is made fun of by calling him as gumastaru. These gumastaru of the olden days have come to be designated as First Division Assistants / Second Division Assistants based on seniority and the educational levels. These so called clerks work in the different sections viz., administrative branch, court cases, establishment section, election branch, municipal sections, record section, finance etc. But generally the work is the same i.e. the processing of papers, obtaining orders and communicating the same to the field staff and also submitting compliances. Such other persons as Typists, Peons and Attenders assist this large army of staff. The very credibility of the department on the efficiency and the performance of these staff members.

YEARS OF SERVICE:

The clerical staff is found to have put in a longer years of service. This is very well evident from the fact more than 50 per cent have reported to be working for more than 25 years as clerks (see Table No. 6.7). In view of the recent ban on the recruitments, the percentage of respondents with less than 5 years of service is found to be very less. On further enquiries nearly 70 percent have reported to be working in the present place for more than 5 years (see Table No. 6.8). This is because either one does not like to be disturbed from his place of work or one cannot change his workplace unless he has the support of higher bosses.

WORK PERFORMED:

The details of the works carried out are for three months preceding the survey period. One quick observation is that these clerks although placed in similar pay packets and grades do not discharge the same amount of work (see Table No. 6.9). This very well reflects the general complaint that some of them are overburdened with their work. This is for various reasons. While a small percentage of them are reported to be not even disposing one file/paper per day, there are few others who are disposing upto 6-7 files per day. The question is the efficiency and the competency levels achieved by these people who are found to be overworking. Situation doesn't change in terms of number of files/papers submitted.

The other activities generally carried out by the clerical staff are that of attending the meetings, doing inspections and attending to the VIP visits. As regards attending meetings and doing inspections, this clerical staffs generally accompany the senior officials or officers and hence, they are reported to be spending about 10 days in doing this. These activities are generally not the duty of these officials, but nevertheless they will be expected to do it. Sometimes it is also the case that some of them who are not good at the clerical work are also increasingly involved in such works. It is also observed and seen that the female staff members will be entrusted with such jobs/sections which do not involve much movement outside the office, while the men take up these going around jobs. Thus, it may be said that the nature of work performed by these clerical staff includes those other than their jobs.

FILE PENDENCY:

About 70 per cent of the officials have reported of the pendency for last one month, three months and six months (see Table No. 6.10). This supports the fact that pendency is a regular phenomenon in the revenue department. The variation in the percentages of pendency cases across the districts is not very significant. This may be as a result of the pressure of work. The issues that come up for administrative decisions may be those in relation to demarcation of boundary or a pani certificate etc. Such inordinate delays would not be in the general interest of the public and would give room for corrupt practices among the officials. Any reform process should address to such hard challenges in these departments.

ASSESSMENT OF WORK:

A Clerk or a Superintendent in an office performs a variety of tasks like answering to the public enquiries, processing of papers, discussions with senior officers, despatching etc., (see Table No. 6.11). The findings in respect of the clerks and the superintendents are found to be more or less the same. The findings reveal that there is great need for rationalization of the work performed and the need to merge the work of the different officials and establish a system to answer the public enquiries.

WORK SATISFACTION:

The respondents have expressed their work to be either satisfactory or good/very good (see Table No. 6.12). But the satisfaction levels seem to be relatively higher than good/very good. This may be a reflection of the monotony and boredom in the work discharged by them and lack of adequate rewards for the sincere officials. Thus, any attempt in increasing the performance should be addressed to increasing the satisfaction levels among the employees. This can also be attempted through creation of good work environment, good promotional avenues etc.

6.2 ISSUES & CONCERNS:

1. There is ample scope for the computerization of the day today work and thus reduce the staff involved in this.
2. The general complaint is that the papers move very slowly in any of these offices. The reasons are like there are too many levels, incapability among the staff members, non-availability of senior officers etc. There is a very strong case for

combining many of the functions like that of the clerks, typists into one post. They are functioning as Executive Assistants in C.G. These Executive Assistants should be made to directly submit the files to the officers concerned rather than through the Office Manager etc. Thus, there has to be level jumping within these offices.

3. There is need for training these staff members on subjects like the computers revenue matters. Generally these staff members are found to be demotivated and lack interest in the work. The challenge is to bring about a change in this attitude of the staff members.

6.3 RECOMMENDATIONS:

DOWN SIZING:

1. The department should do away with the large army of clerks and Superintendents through computerization of the department.
2. Creation of the post of Executive Assistants in all the offices that would combine clerical, supervisory/managerial and the typing work. This will reduce the staff strength and bring in more efficiency and accountability in administration. This has to be taken up on a phased manner.
3. Abolition of the posts of Superintendents/Office Managers that are supervisory in nature.
4. Introduction of Voluntary Retirement Scheme to help the aged to go out of the system and thus, to ensure reduction in the staff strength.

Implication: It is difficult to estimate the reduction in the staff strength.

CAPACITY BUILDING PROGRAMMES:

The training programmes should be related to office automation, revenue matters and also bringing in greater motivation and efficiency.

EFFICIENCY, TRANSPARENCY & ACCOUNTABILITY:

The recommendations made in the Interim Report of the Administrative Reforms Commission should be made applicable to the department

RESTRUCTURING OF THE DEPARTMENT

7.1 FUNCTIONAL OVERVIEW:

The review of the functioning of the three line departments viz., Survey, Settlement and Land Records, Stamps and Registration and Endowment as also the General Revenue Department has revealed that there is lack of co-ordination among these departments. This is quite evident in the disposal of podi cases and the time lapse in effecting change of katha from the receipt of J form from the Stamps & Registration department to dispatch of kathas by the Revenue Department.

It is also found that in matters relating to the preparation of record of rights under Rule 38 IV stages & I are attended by the Revenue Department, while the II & III stages are taken care of by the Survey Department. Thus, two different departments are doing the same work.

With the introduction the Panchayati Raj system the vital link that existed in the past between the revenue administration and the development administration is totally missing. In the recent past, the Tahsildar and the Block Development Officer came under the control of the Assistant Commissioner at the sub-division level and this helped in the co-ordination between the departments. This was also true of the district administration. Many of the officers of the Social Welfare Department felt stated that the department of social welfare functioned well under the control of the Deputy Commissioner rather than under the present set up.

The other important issue emerging from the present review is the extent to which the Directorates, which were created for reasons of functional specialization and better monitoring and supervision of various revenue functions, are able to live upto these expectations. The large administrative set ups in these departments [creation of certain posts for the purposes of promotional avenues to the departmental officials], the failure to undertake a resurvey of lands in the state or to attempt at a scientific guideline value through property assessments throughout the state and so on, speaks of the problems and thus, defeats the very purpose for which they were created.

Similarly, even the General Revenue Department has not been able to address to such issues such as the safety of the village level records through provision of infrastructure, bringing in greater accountability among the grassroots level officials like the Village Accountant, Revenue Inspector etc. would have helped the departmental officials to be more efficient and effective in the land administration matters. The programs implemented by the revenue department, be it the National Social Security Programs, drought relief programs etc., are implemented effectively.

Viewed from an ordinary citizen's perspective, the expectations may be in terms of getting the certificates, Record Of Rights, Tenancy And Crop Cultivations (at times of need by the farmer). The foregoing analysis has revealed that these services are not forthcoming to the individuals very easily and there are lots of costs involved towards availing these services. This is also because of lack of accountability at various levels

among the officials, lack of transparency in the functioning of the departments and lack of a customer-centered approach in the whole scheme of things. The inefficiency, the corruption, the injustices that are caused has resulted in frustration among the general public and the disbelief in the existing system. The onus for the same lies with the larger stakeholder i.e. the Government and also the citizen. The citizen's apathy is because there is no system through which the citizen can express his concerns and also share mutually the onus for either doing or not doing certain things.

7.2 LAND ADMINISTRATION DEPARTMENT - A STEP TOWARDS GOOD GOVERNANCE (E - GOVERNANCE)

The increasing population resulting in the increasing pressure on the land and as a result the cost appreciation speaks of the importance of the land both for individuals and governments. "It is said that the wealth of the nation and its economic development are dependent on the state of the land and its usage" (Potdar: 1). The information relating to land is valuable information and serves as basis for financial investments, commerce, industry and agriculture. The challenge for the administrators and the policy makers is to facilitate creation of efficient Land Information system through a single department that will be Land Administration Department. This department will comprise of Department of Survey Settlement and Land Records and Department of Stamps and Registration that are involved in creation and maintenance of Land Records.

SINGLE WINDOW POLICY:

Secretariat: Secretary of the Department with the assistance of Additional Secretary or Joint Secretary will oversee the functioning of the department. With the merger of the Survey, Settlement and Land Records Department there shall be a Director for the Department within the secretariat. The Stamps and Registration Department will have a Director in the Secretariat and there shall be no independent establishment of his own at the State Level. The Endowment Commissioner in the proposed structure will function as Director (Endowment) under the Revenue Secretary and will have a supporting staff within the Secretariat rather than an independent establishment as in the present case.

The Secretariat will have less of supervisory staff and will function more in line with the Central Government like the Executive Assistants to assist the Under Secretaries and Deputy Secretaries. The reforms suggested in the interim report of the Administrative Reforms Commission is to be made applicable to this department.

District: All the line Department officials relating to Land Administration and Muzrai will be brought under the direct control of the Deputy Commissioner and the Deputy Commissioner shall also enjoy greater powers in its functions viz., implementation/monitoring of the activities of the Department. The Assistant Commissioner at the district level will be assisted by a Head Quarter Assistant (Stamps and Registration), Deputy Director (Land Records) and an Assistant Commissioner (Muzrai). Deputy Commissioner should be the reporting authority for these officers at the district level. As a result the following offices will be abolished/shifted to the Deputy Commissioners in a miniature form:

1. Offices of the Deputy Director of Land Records and Assistant Director of Land Records, Department of Survey, Settlement and Land Records.

2. Offices of the District Registrar, Department of Stamps and Registration.

Reforms suggested in the District Administration in the interim report of the ARC to be implemented.

In the same way, the post of Assistant Commissioner also needs to be vested with powers of controlling and supervising all the regulatory departments at the sub-division level.

The post of Special Land Acquisition Officer to continue only in respect of large-scale projects even during the post project period and not as regular posts. It should be a time bound assignment. The role of the Special Land Acquisition Officer in the near future is doubtful in view of the changes to the Land Acquisition Act.

Taluk: All the offices currently working independently will be brought under the control of the Tahsildar. The Taluk office will thus start discharging multifarious functions. In the proposed set up the Survey Supervisor, the Sub-Registrar and Inspectors for Muzrai will directly function under the overall control and supervision of the Tahsildar.

Village: The Village Accountant apart from his regular duties will also carry out survey works after adequate training. With a view to bring in greater accountability in the functioning of the Village Accountant, it is suggested that Village Accountant should be located in the office of the Gram panchayat. The collection and compilation of village statistics should be made the duty of the Secretary, Gram Panchayat. The post of Gram Sevaks can be continued on a contractual basis.

Administration: With a view to bring in greater efficiency and accountability, the post of Executive Assistants can be created at all levels instead of clerks, typists and superintendents.

The proposed structure will help in:

1. Strengthening the hands of the Deputy Commissioner by bringing in all the land administration departments under his direct control at the district level.
2. Overcoming the problems of co-ordination as all these line departments are working under the overall control and supervision of one officer at all levels. This is also expected to help in the effective land administration and the maintenance of records.
3. Facilitate the farmers in Getting Record Of Rights, Tenancy And Crop Cultivation, Katha and property maps at one roof.
4. Decentralizing the functions of the Tahsildar viz., powers to issue certificates and change of Katha to the hobli level to Revenue Inspector
5. The revenue officials will become multifarious functionaries. Thus Village Accountants will also function as surveyors and the Revenue Inspectors as Survey Supervisors.
6. Reduction in the number of revenue officials in the department over a period of time.

7. Helps in overcoming the problems of inadequate staff, infrastructure etc., to a certain extent.

Efforts should also be made to bring in greater efficiency, commitment and motivation at all levels through addressing to the genuine requirements of the officials which will help them in effectively contributing to the functioning of the department like provision of buildings and furniture to the Village Accountant and Revenue Inspector at the village/hobli level.

Implications: Reduction of staff working in the Directorates to the extent of about 50 per cent of the existing staff (163 working strength). Further, abolition of the District Registrar's office of the Department of Stamps and Registration at the district level may further reduce the staff strength in the department by about 100 posts. The merger of the Survey, Settlement and Land Records Department with the revenue department will result in reduction of administrative posts.

7.3 COMPUTERIZATION:

Computerization of the works in the department should be extended to such other areas like the Old records – IL 5 & 6, Birth Registration, Vital Statistics, Arms Licenses and Preliminary Land Records – RR 5 & 6, Kethwar, Kathas. The computerization work should also include land revenue collection, Digitization of Maps and the registration of the documents.

Information Management on issues like the water rates and the crop to be grown could be made available to the farmers at the hobli level through kiosks established for this purpose.

7.4 CITIZEN'S CHARTER:

The Citizen's Charter is expected to bring in a considerable change in the functioning of the department. The formulation of the Charter should be extended to such those issues which are to be made known to the public. Thus, it can be on Record of Rights, Registration in electoral roles, Arms Licenses, Social Security Schemes etc.,

7.5 CAPACITY BUILDING OF PERSONNEL:

Greater focus and emphasis should be given to orient and advocate about the revenue matters i.e. various acts and rules to the departmental officials at all levels. The focus should be towards bringing in motivation, interpersonal relations, leadership and a certain managerial principles like TQM. The large number of staff will have to be trained on the use and application of Computers. The proposed Training Center at Gulbarga or the already existing Institute at Mysore could be optimally utilized.

7.6 NO COST, NO SERVICE:

Presently a certain amount of fee is collected towards the provision of certain services. Thus it is Rs.8 towards village maps, and Rs. 2 for sketch copies etc. These charges do not really reflect the cost involved towards making the service available to the service. Hence, it is necessary to drastically enhance the fee amount on various services.

**DEPARTMENT OF RURAL
DEVELOPMENT & PANCHAYAT RAJ**

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We hope that the findings and recommendations of this study will further strengthen the effective functioning of the departments that were studied.

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Bangalore

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Executive Summary

Department of Development, Rural and Local Administration was created in 1956 by transferring matters pertaining to Community Development Projects, National Extension Blocks and allied subjects from the Planning Department and subjects relating to Village Panchayats, Taluk Boards and District Development Councils from the Local Government and Public Health Department.

The Department of Rural Development and Panchayat Raj aims at facilitating development of rural areas through a number of centrally sponsored and state/district sector programmes. The thrust areas of the department's programmes are the following;

- (i) Poverty Alleviation
- (ii) Improving the quality of life
- (iii) Rural Energy Programmes
- (iv) Democratic Decentralisation

The main components of the Department of Rural Development and Panchayat Raj are:

1. The Secretariat
2. The Zilla Panchayat
3. The Taluk Panchayat
4. The Gram Panchayat

Staffing pattern of the Secretariat

The Department of Rural development and Panchayat Raj is headed by a Secretary and Principal Secretary who is assisted by a number of Joint/Deputy Secretary Level Officers and ex-officio Directors. Heads of the eight divisions/wings under the Department are of the cadre of Additional Secretary, Joint Secretary or the Deputy Secretary. The department of Rural Development Engineering (Public Health Engineering Department earlier) headed by the Engineer-in-Chief (RDED), comes within the administrative purview of the Department.

Administrative Decentralisation

The department has decentralised its administrative set up as per the 73rd Constitutional Amendment Act (1992) by amending the Karnataka Zilla Parishads, Taluk Panchayat Samithis, Mandal Panchayats and Nyaya Panchayats Act 1983 and passing the Karnataka Panchayat Raj Act 1993. Karnataka became the first state to amend the Panchayat Raj Act. The zilla panchayat, taluk panchayat and gram panchayat have been constituted. The Chief Executive Officer, Executive Officer and Secretary are heads of the staff of zilla panchayat, taluk panchayat and gram panchayat respectively. The staff of the other line departments are on deputation to the zilla panchayat.

Political Decentralisation

Under the new Act (Karnataka Panchayat Raj Act 1993) the three-tier elected structure of Panchayat Raj has been established in the state with gram sabha as the foundation of the structure. The statutory standing committees have been constituted in the PRIs to carry out the functions. The State Finance Commission has been constituted while the DPCs are yet to be setup in the districts.

Linkages between the three-tiers have been created by giving representation to the members of the lower tier in the higher bodies. All the 29 subjects in the Eleventh Schedule have been transferred to the PRIs.

Financial Decentralisation

The local bodies receive grants from the state and central government to implement schemes for development. All programmes are through schemes and there is no untied fund for local programmes.

The zilla panchayat and taluk panchayat depends solely on the state government for its funds. The gram panchayat have powers to impose taxes like taxes on buildings, water, entertainment etc., share of cess on land revenue levied by the government, annual statutory grants from the state and center and allocations under JRY.

Schemes

Important schemes are implemented by the department. Selection of beneficiary for the schemes are left to the panchayats through the grama sabha. The resources under development schemes are tied leaving a negligible amount for projects based on the needs generated in the villages.

The zilla panchayats are not only assigned with developmental functions in areas like health, agriculture, but also are entrusted with social welfare functions. The target groups are mainly the poor and socially disadvantaged sections of the rural society. Though all the developmental functions have been transferred to the zilla panchayat it is seen that the zilla panchayat have not been able to give priority for any development related issues. The zilla panchayat are not developed as an effective body.

The zilla panchayat is the primary body at the district level responsible for planning and implementation of all the developmental programmes in the districts. Very poor linkage was evident between the zilla panchayat and the line departments because there was no single line of command.

The shortcomings in co-ordination and communication between the elected representatives and the zilla panchayat has resulted in low performance of the ZPs. The emphasis should be on close co-ordination and harmonious relations among the departments for the purpose of implementing the programmes.

In order to enable panchayat institutions for self-government and meaningful institutions for enlisting people's participation and to empower the members to exercise their authority and access to available resources, the leadership at the grassroots level has to be strengthened through capacity building. The need for training and orientation is necessary. Political education is essential for their effective participation.

A strong political will and being sensitive to the people's needs and accountability are important elements. The commitment of the elected representatives is necessary. The zilla panchayat would be more effective if they function on the basis of consensus. In the new dispensation the bureaucracy has yet to come to terms with the political wing and the local leaders have yet to adopt the culture of democratic functioning. They have to work in close collaboration with each other because of the political nature of the zilla panchayat.

Conclusion

After independence, certain changes were introduced in the administrative system to meet the development needs of the rural people. The district became the focal unit of Rural Development Administration. The Government has taken measures to organise rural development through re-structuring of the administrative system, decentralisation and providing financial resources. However, the study shows that some issues still need to be attended to.

Though Karnataka's PRI system has been recognised as one of the best models in the country, it is apparent that full potential of the PRIs has not been developed. This could be attributed to inadequate transfer of administrative and financial power, lack of political support, planning expertise and bureaucratic support. The state government has still reserved considerable powers of supervision and control over PRIs at all levels, the role of politicians from levels, the role of politicians from higher tiers of government like the MP, MLA is reducing the status and political control of the elected members of the local body. The existence of PRIs show that political decentralisation has taken place but they neither have the necessary administrative or financial powers to make the effective. This has marginalised their status in the administrative setup of the state.

Most of the schemes and programme are formulated at the center and state and implemented by the government through the PRIs. The most important problem is in co-ordinating and monitoring. Greater public awareness and popular participation can ensure better service delivery and management of services.

The present status of the panchayats and their elected leaders also show that there is need for building their capacity through political education and training in the light of the functions to be performed by the elected leaders, the attitude of the bureaucracy and the reluctance of the state leaders to part with power.

The populist concept of rural development is to improve the quality of life in the rural areas. PRI has given the people an opportunity to plan and administer their own affairs. The effective working of the PRIs depend not only upon the capability and integrity of each organ but also upon their mutual relationship. The pattern of political administrative relationship required at the local level is the one that exists in parliamentary democracy between high bureaucracy and legislation, as both are important to bring about social change. Also no devolution of powers and resources will lead to successful functioning of the department unless there is a high level of political and administrative mobilisation at the grassroots.

INTRODUCTION

The Karnataka Administrative Reforms Commission (KARC) has proposed to undertake a functional review of major departments of government, covering all the hierarchical levels, in the overall context of its recommendations for promoting good governance, effective and responsive administration, civil service reform and a staff review of the concerned departments. The exercise aims at systematic reviews of the functioning of the departments and agencies at policy-making and operational levels, with reference to certain parameters and current concerns for good governance.

Objectives

The functional review objective is to do a systematic evaluation of the functioning of the selected departments at the policy making and operational levels with respect to the terms of reference as provided by the Karnataka Administrative Reforms Commission, like;

- Relevance of the department's objective with respect to past performance and the reform process.
- Objectives and deliverables of the Directorates functioning under the Secretariat.
- Overlaps and complementarities with other departments/Public Sector Unit or functional agencies.
- Departmental Structures at various levels from Secretariat to the Directorates, to Division/Districts to field offices, nature of delegation of authority and vertical/horizontal administrative and financial linkages.
- Planning for effectiveness of communication/review/responsibilities of officials.
- Objectives and relevance of the schemes from the perspective of the officials of the department, the intermediaries and the targeted citizens.

The Administrative Reforms Commission mainly aims at

- Rightsizing of the departments or downsizing.
- Restructuring/Reorganisation/merger of departments.
- Redundance of schemes.
- Abolition of redundant posts.

- Activities to be outsourced.
- Privatisation.
- Devolution of powers.
- Improve the work systems for greater accountability.
- To improve efficiency and transparency.

Methodology

The study is based on extensive field investigation, observations and focus group discussions in all the five districts (Bijapur, Gulbarga, Uttara Kannada, Chamarajanagar and Kolar) of Karnataka State, 15 taluks and 45 villages (Annexure I). The review was conducted from the Secretariat level to the grass root level. Primary and Secondary data was collected for the study and respondents included the Secretaries, Directors, Chief Executive Officers and other Officers (Chief Planning Officers, Chief Accounts Officers, Council Secretaries), Executive Officers, Gram Panchayat Secretaries, Presidents, Vice Presidents and Members of PRIs in the selected districts.

The observations were made during the field visits to taluks, villages, districts and secretariat and discussions with subject experts.

Duration: The major part of primary data collection was done in 2 months during June - July 2001, though it continued till August 2001, and was analysed duly. The main methodology includes the following:

1. Questionnaire
2. Individual Interviews
3. Discussion and consultation
4. Focus Group Discussion
5. Observation

The number of respondents interviewed at the field level is shown in the table 1

Table 1: Respondents

Category	Number
Officials	98
Panchayat Members	390
Households	690

This report deals with the study of Department of Rural Development and Panchayat Raj.

STRUCTURAL ANALYSIS

Evolution

The history of the Mysore Secretariat may be traced to the year 1881. In that year the Maharaja, as ruler of the State was advised by a Dewan, who was the Head of an Executive Council and was assisted by three other members each assigned with certain departments and definite rules of business. From 4 departmental secretaries in 1881 the number of departments has grown to 12 in 1956 after the re-organisation of states, and multiplied with time.

Department of Development, Rural and Local Administration was created in 1956 by transferring matters pertaining to Community Development Projects, National Extension Blocks and allied subjects from the Planning Department and subjects relating to Village Panchayats, Taluk Boards and District Development Councils from the Local Government and Public Health Department. It should be pointed out that prior to 1956, the state of Mysore, referred to as Old Mysore State had only 10 districts while the new Mysore State had 19 districts divided into four divisions. The number of districts till July 1997 in the State was 20. They were 8 between 1862 and 1939 and 9 till 1956, when the State reorganisation took place. Since then there were 19 till the Bangalore District was bifurcated into Bangalore Rural and Bangalore Urban Districts in 1986. In August 1997, the number of districts increased to 27 with the creation of 7 new districts.

The working of the Rural Development and Co-operation was as follows:

1. Community Development Blocks and Extension Training Centres
2. Local Development Works
3. Applied Nutrition Programme
4. Drought Prone Area Programme
5. Crash Scheme for Rural Employment
6. Land Army Corporation
7. MYRADA (Mysore Resettlement and Development Agency)
8. World Food Programme
9. Gobar Gas
10. Rural Water Supply and Sanitation;
 - (i) Drinking water well programme
 - (ii) Bore Well Programme
 - (iii) National Rural Water Supply and Sanitation Programme
11. Malnad Development
12. Co-ordinated Welfare Extension Projects
13. Small Farmers Development Agency and Marginal Farmers and Agricultural Labourers Schemes

Panchayat Raj

1. Village Panchayats
2. Taluk Boards
3. District Development Councils

Later, Cooperation was made an independent department and rural development came under the department of rural development and Panchayat Raj.

Brief Outline of the present objectives of the department

The Department of Rural Development and Panchayat Raj aims at facilitating development of rural areas through a number of centrally sponsored and state/district sector programmes. The thrust areas of the department's programmes are the following;

- (i) Poverty Alleviation
- (ii) Improving the quality of life
- (iii) Rural Energy Programmes
- (iv) Democratic Decentralisation

Poverty Alleviation

The Department is implementing a number of programmes for poverty alleviation in the rural areas both through assistance for self-employment activities, and through wage employment oriented works. Programmes like the Integrated Rural Development Programme (IRDP), Development of Women and Children in Rural Areas (DWCRA), Training of Rural Youth for Self Employment (TRYSEM), Swavalambana, and Supply of Improved Tools to Rural Artisans (SITRA) typically aimed at assisting the rural households who are below poverty line through credit, a subsidy, training facilities and other supporting activities to enable the rural poor to take up remunerative self employment oriented activities. These programmes (except Swavalambana) have all been combined now in a new initiative called the Swarna Jayanthi Gram Swarozgar Yojana (SGSY) with effect from 1.4.1999.

On the other hand, programmes like Jawahar Gram Samruddhi Yojana - JGSY (earlier Jawahar Rozgar Yojana - JRY) and Employment Assurance Scheme (EAS), aim at providing assured wage employment to the rural poor by engaging them in the creation of economically productive and socially beneficial assets like roads, school buildings, irrigation wells, anganwadi buildings, community halls and land development works. Indira Awaas Yojana aims at both generation of employment and creation of housing facilities for individual beneficiaries among the rural poor.

Improving the quality of life

A number of programmes implemented by the department aim at improving the quality of life for the rural people by provision of basic services like water supply and sanitation. The department has the responsibility of co-ordinating the provision of water supply for domestic purposes in over 56,600 rural habitations in the State in conformity with national norms for rural water supply. For this purpose, the department is

implementing the State sponsored Rural Water Supply Schemes, Centrally Sponsored Accelerated Rural Water Supply Programme, Sub-Mission Projects for Rural habitations with water quality problems under the Rajiv Gandhi National Drinking Water Mission, and Externally Aided Projects in about 1500 villages with the assistance of the World Bank, the Government of Netherlands, and DANIDA (Government of Denmark). Promotion of rural sanitation is being carried out by the Department through the State's own Nirmala Grama Yojana and the Central Rural Sanitation Programme (CRSP). The department has also launched a new programme called Swasthi Grama Yojana to develop model villages with the participation of corporate sponsors.

The Rural Development Engineering Department has come into existence from 1.1.2000. In the control of this department, Rural Water Supply and Sanitation, Roads and Bridges, Minor Irrigation and Building sectors implemented by the Panchayat Raj Institutions come under one umbrella.

The State Government has constituted the "*Karnataka Technology Mission for Water Supply and Sanitation*" for both rural and urban water supply and sanitation with an "*Apex Council*", under the Chairmanship of the Chief Minister. Also an "*Empowered Committee*" at State Level and "*District Level Mission Committees*" have been constituted, for rural water supply and HRD Programme.

Rural Energy Programmes

Promotion of sustainable sources of renewable energy to meet the energy requirements of rural households is another component of the policy of rural development pursued in the State. For this purpose, the department is implementing an Integrated Rural Energy Programme, which is a centrally sponsored scheme. The department has implemented a programme for popularising improved model cookstoves (Chulas) through its National Programme for Improved Chulas. The development of biogas for meeting domestic energy requirements is achieved by the department through its National Programme for Biogas Development (NPBD) and the State's own Anila Yojane.

Democratic Decentralisation

One of the major responsibilities of the department is in the realm of implementing the provisions of the Karnataka Panchayat Raj Act, 1993 to achieve democratic decentralisation in the governance of the State's rural areas. The department co-ordinates the process of the establishment of Panchayat Raj Institutions under the above legislation and monitors their functioning in order to ensure that Panchayat Raj Institutions in the State function as viable and vibrant institutions of Local Self Government.

STRUCTURE OF THE DEPARTMENT

The main components of the Department of Rural Development and Panchayat Raj are:

1. The Secretariat
2. The Zilla Panchayat
3. The Taluk Panchayat
4. The Gram Panchayat

Staffing pattern of the Secretariat

The Department of Rural development and Panchayat Raj is headed by a Secretary and Principal Secretary who is assisted by a number of Joint/Deputy Secretary Level Officers and ex-officio Directors. Heads of the eight divisions/wings under the Department are of the cadre of Additional Secretary, Joint Secretary or the Deputy Secretary. The department of Rural Development Engineering (Public Health Engineering Department earlier) headed by the Engineer-in-Chief (RDED), comes within the administrative purview of the Department. The Structure of the RDPR is shown in Annexure II. The number of staff in the Secretariat (278) is as shown in the Annexure III.

Functions of each division:

Area Development Programme Wing

Area Development Programme (ADP) wing deals with the implementation and monitoring of employment generation and area development schemes viz., Jawahar Grama Samruddhi Yojana, heads this wing, Indira Awaas Yojana, Employment Assurance Scheme, Drought Prone Areas Development Programme and Desert Development Programme, Western Ghats Development Programme and IWDP and the administrative matters of Karnataka Land Army Corporation, Minor Irrigation and Building sectors implemented by the Panchayat Raj Institutions. The Deputy Secretary monitors Area Development Programmes.

The Joint Secretary designated as the Director directly deals with Rural Water Supply and Sanitation, Swachcha Gram Yojane and also overall supervision of above programmes.

An indepth analysis of the functions and interview with the staff revealed that this section can be retained. The number of staff here is altogether 14 posts. There are 2 Deputy Directors, 3 Assistant Directors, 2 Assistant Statistical Officers, 1 Assistant, 1 Junior Assistant, 2 Typists, 2 Dalayats and 1 Driver.

Project Planning and Monitoring Unit

The Joint Secretary designated as the Director heads this wing. His task is to monitor the implementation of Externally Aided Projects of Rural Water Supply and Sanitation. The State Government has taken up three important projects for providing potable water and sanitation facilities to the rural areas with external assistance. They are:

1. World Bank Assisted Project
2. Netherlands Assisted Project
3. DANIDA Assisted Project

Special Economic Programmes Wing

This is headed by a Joint Secretary designated as Director, Special Economic Programmes (SEP) and deals with Swarna Jayanthi Swarozgar Yojana, Swavalambana. Since last year this wing has changed into "***self-employment programme wing***". The swavalambana is the special scheme for employment of rural youth. The staff includes 1 Joint Director, 2 Asst. Directors, 1 Deputy Director, 3 Asst. Statistical Officers, 1 FDA, 2 Stenographer, 1 SDA and 2 Typists.

Rural Energy Programme

This wing deals with the three Rural Energy Programmes viz., National Projects on Biogas Development (NPBD), Improved Chula Programme (NIPC) and Integrated Rural Energy Programme (IREP). A Deputy Secretary designated as Director, REP heads this Department. The staff in this department is 1 Director, 1 Accounts Superintendent, 1 Typist, 1 Stenographer and 1 Dalayat.

Panchayat Raj Wing

This wing is headed by a Deputy Secretary designated as Director, Panchayat Raj and deals with all matters relating to Panchayat Raj Institutions viz., Zilla Panchayat, Taluk Panchayat and Gram Panchayat under Karnataka Panchayat Raj Act 1993. There is 1 Director, 1 Under Secretary, 1 Desk Officer with 2 Assistants, 1 Senior Assistant, 1 Junior Assistant, 1 Section Officer with 1 Senior Assistant, 2 Assistants and 1 Junior Assistant. Under Director there is 1 Personal Assistant, 1 Junior Assistant, 1 Steno, 1 Typist, 1 Peon and 1 Driver.

Finance Wing

An Internal Financial Adviser (IFA) of the rank of Deputy Secretary heads this wing. This wing deals with all financial matters including preparation of budget estimates, release of funds and audit. There are 3 Section Officers, and under 1 Financial Advisor there is 1 Personal Assistant, 1 Driver and 1 Peon.

Plan Monitoring and Evaluation Cell

This wing is headed by an officer of the rank of Deputy Secretary and is designated as Joint Director (Plan Monitoring and Evaluation). The cell deals with formulation of plan schemes monitoring and evaluation of Rural Development Programmes. The wing also undertakes preparation of various reports and statements as required by a Department. He is now the Chief Editor of a monthly magazine of the department a 'Karnataka Vikasa' assisted by an Editor.

Administration Wing

This wing is headed by a Deputy Secretary designated as Deputy Secretary (Administration) and looks after administrative matters of the Department general co-ordination and training. There is 1 Deputy Secretary, 2 Under Secretaries with 1 Steno and 1 Peon, 3 Section Officers with 4 Peons, 3 Assistants, 3 Junior Assistants, 3 Senior Assistants and 3 Typists.

Rural Infrastructure Wing

The development of maintenance of rural roads and bridges, water supply and sanitation was vested with the public works department till the end of 1999. From 1st January 2000, the this responsibility was transferred to Department of Rural Development and Panchayat Raj under the rural infrastructure wing to look after the development of rural roads and bridges. For the development of rural roads and bridges and for maintenance, Rs.1.50 crores is being spent. This directorate is newly created in January 2000. In this wing there is 1 Director, 1 Under Secretary, 2 FDA, 3 Junior Assistants, 1 Section Officer, 3 Typist, 4 Peons. This wing deals with water supply and sanitation, roads and bridges.

Rural Development Engineering Department (RDED)

The Rural Development Engineering Department came into existence with effect from 1.1.2000 with the responsibility of giving technical advice, supervision and giving technical sanction pertaining to Rural Engineering Works under Water Supply and Sanitation, Rural Communication and Minor Irrigation.

The Rural Development Engineering Department acts as a Co-ordinator of Bilateral Assistance Programmes and UNICEF and Central sponsored Schemes and UNICEF assisted programmes in the State including Training and Allied Works pertaining to Rural Water Supply and Sanitation and above Engineering Works. Structure of the Department is in Annexure IV.

The Engineer-in-Chief is the administrative and professional Head of the Department. He is the responsible professional advisor of Government in all matters, relating to existing works or projected schemes to be undertaken in his charge, recommendations to Government, removals, transfers and postings of Superintending Engineers and Executive Engineers. The responsibility for all important structural design under execution rests with the Chief Engineer.

Superintending Engineers

The administrative unit of the Department is the Circle, in-charge of the Superintending Engineer, who is responsible for the general professional control of all Engineering Works under the zilla panchayat implemented by the Executive Engineers of ZP Divisions.

Executive Engineers

The Executive Unit of the Department is the Division in-charge of an Executive Engineer, who is responsible on technical matter to the Superintending Engineer for the execution and management of all works within his Division. He is under the administrative control of Chief Executive Officer of Zilla Panchayat.

Sub-Divisional Officers

A Division is divided into Sub-Divisions, which are placed in charge of Assistant Executive Engineers or Sub-Divisional Officers, who are responsible to the Executive Engineer-in-charge of the Division for the efficient management and satisfactory execution of all original works and repairs and the collection of materials and for the correct maintenance of the accounts pertaining to them. No Sub-Division can be constituted without the sanction of Government.

Chief Accounts Officer

The Chief Accounts Officer checks the monthly expenditure of division offices to fix Reserve Stock Limit for divisions within the limits. To give certificates for Estimates and maintain Grant and Outlay for the Offices coming under the respective Circles.

Schemes of the Department

Presently the Rural development and Panchayat Raj department is implementing 20 schemes and programmes under different wings of the department. The budget allocation under various schemes is shown below:

Table 2: Budget allocation for 2001-2002 (Plan) Rs. in Lakhs

Sl. No.	Name of the Scheme	Allocation 2001-2002		
		State Share	Central Share	Total
1.	Area Development Programme	8091.84	22524.75	30616.59
2.	Special Economic Programme	2363.48	3836.75	6200.23
3.	Rural Energy Programme	1322.60	1044.50	2367.10
4.	Community Development Programme	31061.89	50.00	31111.89
5.	Rural Water Supply	11412.66	13819.91	25232.57
6.	Bilateral Assistance Programmes	10900.00	0.00	10900.00
7.	Minor Irrigation and Roads	13924.04	0.00	13924.04
	Grand Total	79076.51	41275.91	120352.42

Observations

1. The Secretariat is headed by a Principal Secretary and also a Secretary. There could be only one post as was followed earlier.
2. As per the staff strength there are 26 Assistant Directors and 12 Deputy Directors but the allocation of work is less. So there is justification for reducing and redistribution of staff atleast upto 30%.
3. The PPMU (Project Planning and Monitoring Unit) unit will be abolished by March 2002, as the programmes will be completed and will be converted into a society.
4. The study of the structure of the Secretariat shows clearly that there is excess staff specially in the Development Commissioners Establishment working in Self employment Programme (SEP), Area Development Programme (ADP), Rural Energy Programme (REP).
5. The SEP is dealing with one programme and REP with only 3 programmes. These can be merged into one Directorate.
6. There are seven wings of the Secretariat. So, there is scope for bringing functions of 2 or 3 wings under one Directorate and abolishing the excess posts.
7. Rural Infrastructure wing under Department of Rural Development and Panchayat Raj came into existence with effect from 1.1.2000.
8. Rural Development Engineering Department came into existence with effect from 1.1.2000.
9. All the activities related to construction of roads and bridges, minor irrigation work and drinking water projects, now, have been brought under the administrative and technical control of Engineer-in-Chief which is welcome.

THE DISTRICT ADMINISTRATION

Panchayat Raj System

Introduction

In the wake of Independence, the trend was towards making local bodies autonomous and hence, effective. Mahatma Gandhi's idea of gram swaraj articulated this concern. He preached a new philosophy of 'ruralism' because India was largely rural and, according to Gandhiji villages should govern themselves through elected panchayats to become self-sufficient. Gandhiji's ideas had a profound impact on the society and politics of Karnataka.

When the Community Development Programme started nationwide in 1952, Karnataka (then Mysore State) implemented it earnestly. But it could not deliver much. As the Balwantrai Mehta Committee observed, the main factor responsible for the failure of the Community Development Programme was the absence of people's participation.

It may be mentioned here that the new state of Mysore (later Karnataka) inherited in 1956 varying patterns of local government from its five integrating areas (Mysore, Madras, Bombay, Hyderabad and Coorg).

Following the recommendation of the Balwantrai Mehta Committee, Karnataka created a three-tier system of panchayat raj as the institutional arrangement to make people's participation meaningful and effective. With the passing of the Mysore Village Panchayats and Local Boards Act 1956, panchayats became a system of local self-government equipped to perform developmental, administrative and political tasks.

The three-tiers in the panchayat structure were: Village Panchayat/Town Panchayat (VP/TP) at the Village Level, Taluk Development Board (TDB) at the Taluk Level, District Development Council (DDC) at the District Level. VPs/TPs and TDBs were directly elected tiers, while DDC was mainly a bureaucratic tier. In 1983, on the expiry of the term of the panchayats, administrators were appointed by the government.

The year 1983 was a watershed in the history of panchayat raj in Karnataka. For the first time Congress Party lost power in the state and the Janata Party formed the government. One of the election planks of the Janata Party was the reinvigoration and revitalisation of panchayat raj institutions to enable them to play a more effective role in the process of rural development. In order to fulfill its election promise, the Janata government introduced a bill, patterned on the recommendations of the Asoka Mehta Committee, in the state assembly in August 1983. It was subsequently referred to a Joint Select Committee of the legislature. It got the assent of the President of India in July 1985. The Act was known as the Karnataka Zilla Parishads, Taluk Panchayat Samitis, Mandal Panchayats and Nyaya Panchayats Act 1983.

According to Section 271 (5) of the 1983 Act when a mandal panchayat or zilla parishad is dissolved, it shall be reconstituted in the manner provided in this Act before the end of six months from the date of such dissolution. The Act of 1959 did not contain such a provision with the result many dissolved panchayats did not have elections for months together, and administrators, appointed by the government continued to administer.

In addition to the zilla parishad at the district level and the mandal panchayat comprising of a group of villages, the Act also provided for two other statutory bodies – the taluk panchayat samiti at the taluk/block level, which is an advisory and co-ordinating body with no separate planning and executive powers, and the gram sabha (village assembly). The mandal panchayats were envisaged as the first elected tier located between the village and the taluk, while the zilla parishad as the second directly elected tier was a powerful body which administered schemes and programmes evolved by it and transferred by the government to it.

The 1983 Act ushered in decentralisation to an unprecedented degree and the newly elected representatives took office shortly after the elections but their first financial year started with 1 April, 1987. They held office till early 1992.

Instead of holding elections, administrators were appointed by the Congress government to zilla parishads and mandal panchayats. A new bill was introduced by the government in the legislative Assembly on 1 April 1993 consequent upon the changes proposed in the Constitution (Seventy-third Amendment) Act 1992. It was passed on 7 April. The Legislative Council unanimously passed the bill on 13 April and it came into force from 18 May 1993. Thus the Karnataka Panchayat Raj Act 1993 replaced the Karnataka Zilla Parishads, Taluk Panchayat Samithis, Mandal Panchayats and Nyaya Panchayats Act 1983.

The Act established a three-tier panchayat raj system in the state with elected bodies at gram, taluk and district levels 'for greater participation of the people and more effective implementation of rural development programmes in the state.'

The following were the salient features of the Act:

1. It established a three-tier panchayat system in the state based on the population as ascertained at the preceding census of which the figures have been published. It envisaged elected bodies at all the three levels.
2. It provided for reservation of seats in favour of Scheduled Castes and Scheduled Tribes in proportion to their population, and for reservation of not less than one-third of the total seats for women at all levels.
3. It also provided for reservation of one-third of the total seats at all levels for the persons belonging to Backward Classes with an annual income below Rs.10,000.
4. Offices of chairpersons at all levels were also reserved in favour of Scheduled Castes, Scheduled Tribes and Backward Classes, with women getting not less than one-third in the reserved and unreserved categories of offices of adhyakshas and upadhyakshas.
5. It envisaged the constitution of a state election commission, the state finance commission and district planning committee.

The Karnataka Panchayat Raj Act, 1993 is the comprehensive enactment to establish a three tier Panchayat Raj System in the State with elected bodies at gram, taluk and district level for more effective implementation of rural development programmes with greater participation of the people and to function as units of local self-government.

The Act incorporated all the mandatory provisions of the 73rd Constitutional Amendment such as: a uniform three-tier system, direct elections, constitution of gram sabha; a fixed five year term for panchayats with mandatory elections at its end; reservation of seats and positions of authority for weaker sections (SCs, STs, OBCs and women); constitution of Independent Finance and State Election Commissions; powers to panchayats to impose taxes and entrusting powers, authority and responsibilities to panchayats with separate Schedules [on the lines of the Eleventh Schedule containing 29 subjects (Annexure V)] listing functions to be performed by the panchayats. Karnataka has thus implemented the provisions of the 73rd Constitutional Amendment with all earnestness.

The functions which a zilla panchayat has to perform under the Karnataka Panchayat Raj Act, 1993 are specified in Schedule III of the Act. This is in consonance with the functions listed in the Eleventh Schedule of the Constitution inserted by the Constitution (Seventy-Third Amendment) Act, 1992.

The Article 243-G of the Constitution empowers the Legislature of a State to enact law

- a) To endow the Panchayats with necessary powers and authority to enable them to function as institutions of self-government.
- b) For devolution of powers and responsibilities upon panchayats with respect to:
 - (i) the preparation of plans for economic development and social justice;
 - (ii) the implementation of schemes for economic development and social justice in relation to the matters listed in the Eleventh Schedule.

When the Act was implemented and the institutions started operating, many issues and problems cropped up such as a weak gram sabha, bureaucratic dominance in PR administration at different levels, devolution of powers and functions between and among the tiers, absence of provision for nyaya panchayats, rigid control and supervision of officials over PR elected functionaries, lack of clarity about the status of chairpersons of PRIs, their tenure of office, and accommodating different reserved categories as chairpersons in a term of 5 years.

In view of these problems, a Review Committee was appointed by the State Government, popularly known as the Nayak Committee, which looked into all these issues and problems and forwarded its recommendations in a report submitted to the Government on 19 March 1996. In the light of the given issues, some recommendations were accepted by the Government in the form of the third Amendment to the Act of 1997(Karnataka Act No 29 of 1997). However, an important function of delimitation of Constituencies, allocation of seats, reservation of offices of Adhyakshas and Upadhyakshas has been taken back by amending the Act again, which appears to be a retrograde step.

With these amendments, Karnataka is moving towards realising the '*spirit*' of the provision 243G of the 73rd Constitutional Amendment which implies that PRIs should become institutions of self-government.

Under this Act, 5659 Gram Panchayats have been established and on an average, each gram panchayat has a population of 5300. There are 175 taluk panchayats in the

state and population for one taluk panchayat constituency is 10,000. There are 27 zilla panchayats in the state. According to 1991 census, the population of every constituency of zilla panchayats is 40,000 (in Chickmagalur and Uttar Kannada districts one seat is earmarked for a population of 30,000 whereas in Coorg district, this proportion is 1:18,000).

Under the Act, practically all the programmes of various departments – both plan and non-plan – in the state have been entrusted to the PR bodies. The taluk panchayats have been rightly accorded primacy as the implementing agency for practically all schemes, which fall within the geographical boundaries of the taluk though ZP also implements many schemes.

The Three Tiers of the Panchayat Raj System

Zilla Panchayat

In the Zilla Panchayat there is the administration wing and elected wing. The elected President is the Executive Head of the zilla panchayat. The Chief Executive Officer is the administrative head and responsible to the ZP and to the government assisted by Deputy Secretaries, Assistant Secretaries, Chief Accounts Officer, Chief Planning Officer, Statistical Assistants, Accounts Superintendent and other staff. In some districts there are two Deputy Secretaries – one for administration and other for development and two Assistant Secretaries. There is one Chief Accounts Officer assisted by Accounts Officer, one Chief Planning Officer. The elected wing is headed by the President assisted by Vice President and Members as shown in the Annexure VI.

Grants provided to zilla panchayats under District Sector and State Sector Schemes for the year 2001 – 2002 are shown in Annexure VII.

Taluk Panchayat

The elected President is the Executive Head of the taluk panchayat. He has powers to monitor, supervise and control the administration of the panchayat as in the case of ZP President. The Executive Officer is the administrative head in the Taluk Panchayat. He is assisted by a manager, credit extension officer, panchayat extension officer, progress assistants, accounts officer, assistant engineers and other supporting staff is shown in Annexure VIII.

Gram Panchayat

The gram panchayat is headed by the elected President. The administration is looked after by the Secretary appointed by the state government. He is supported by bill collectors, waterman, sweepers appointed by the panchayat. The panchayats are headed by the elected President from among the elected representatives as shown in Annexure IX.

Grama Sabha

The Grama Sabha is defined in Section 2(16) of the Act, as a body consisting of persons registered in the electoral roll relating to a village comprised within the area of Grama Panchayat

In Panchayat Raj System the Gram Sabha occupies a very important place. The democratic decentralisation envisages decentralised planning. Many of the state functions have been transferred to the Panchayat Raj bodies for better and effective implementation. This involves micro level planning at district, taluk and village level.

Linkages between the three tiers

The three-tier structure has provided an opportunity for people to participate at appropriate levels. The three levels are integrated from bottom to top as the gram panchayat Presidents are represented in taluk panchayat and taluk panchayat Presidents in the ZP.

The five classes of members are represented in a taluk panchayat namely:

- a) the member of the house of people whose constituency lie within the taluk.
- b) the member of the Karnataka Legislative Assembly whose constituency lies within the taluk.
- c) the member of the council of states who is registered as elector within the taluk.
- d) the member of the Karnataka Legislative Council who is registered as elector within the taluk.
- e) one-fifth of Adhyakshas of the gram panchayat in the taluk chosen by lot and holding the office by rotation for a period of one year.

In Zilla Panchayat the membership comprises

- a) Elected members – one for forty thousand population except for Chikmagalur and Uttara Kannada Districts where it is one member for a population of thirty thousand and Kodagu where it is one member for eighteen thousand.
- b) Members of Parliament and of the State Legislature representing the district.
- c) Adhyaksha of the Taluk Panchayats in the district depending on the number of taluks of the particular district.

In order to establish an organic linkage between the three tiers and enabling the higher tiers to assist those below them, the Act has been amended so that the zilla panchayat can inquire into the complaints concerning taluk panchayat which in turn has a similar duty with respect to gram panchayat. The State Government inquires into complaints against zilla panchayat. In all such cases an opportunity has to be given to the PRI concerned to offer an explanation. The power to suspend any resolution or order which is unlawful or unjust is vested with the next higher level PRI.

Finance

Table 3: Budget allocation for Panchayat Raj Institutions 2001-2002

(Rs. in crores)

No.	Panchayat Raj Institutions	Plan	Non-Plan	Total	Percentage
1.	Zilla Panchayats	725.55	1117.84	1843.39	38.18
2.	Taluk Panchayats	796.60	1876.10	2672.70	55.35
3.	Gram Panchayats	312.21	0.00	312.21	6.47
	Total	1834.36	2993.94	4828.30	100.00

Table 4: Budget allocation for Panchayat Raj Institutions 2001-2002**Plan (State and Central Share)**

(Rs. in crores)

Sl. No.	Panchayat Raj Institutions	Plan	Percentage
1.	Zilla Panchayats	725.55	39.55
2.	Taluk Panchayats	796.60	43.43
3.	Gram Panchayats	312.21	17.02
	Total	1834.36	100.00

Table 5: Plan (State Share)

(Rs. in crores)

Sl. No.	Panchayat Raj Institutions	Plan	Percentage
1.	Zilla Panchayats	396.28	36.58
2.	Taluk Panchayats	466.86	43.10
3.	Gram Panchayats	220.07	20.32
	Total	1083.21	100.00

The Department is working towards making decentralisation effective. The allocation of PRIs under plan schemes have increased from Rs.368.64 crores in 1987-88 to 1834.36 2001-02. The non-plan allocation increased from Rs.551.75 crores to 2993.94 crores of the non-plan. Of the non-plan schemes transferred to the district, the PRIs meets the salary bill and expenditure on maintenance of assets and essential services.

The Eleventh Finance Commission has provided grant of Rs.394.08 crores for a period of 5 years starting from 2000-2001. This grant is provided to strengthen finances of Panchayati Raj Institutions to ensure maintenance of basic essential services. An allocation of 78.82 crores is provided for 2001-2002 to utilise the first installment grants of Eleventh Finance Commission.

The guidelines have been issued with regard to procedure to be followed in the zilla panchayats and taluk panchayats for purchase of materials and execution of works. Accordingly, the purchase committee constituted in the year 1996 stands abolished with effect from 11.8.2000. The respective Standing Committees of zilla panchayats and taluk panchayats shall perform the functions relating to purchases also.

To improve the qualities of public work undertaken by the zilla panchyats and taluk panchayats and to bring greater transparency in the execution of works at all levels, instructions have been issued to carry out all the works within estimated cost, exceeding Rs.1.00 lakhs shall be taken up only by calling tenders. (Except for school building

and Mini Water Supply not exceeding the cost of Rs.2.00 lakhs). All the works entrusted on contract basis shall be on turnkey basis and departments shall not undertake to supply of any materials.

Section 206 of the Karnataka Panchayat Raj Act 1993 has been recently amended to provide for an annual grant of two lakh rupees to each Gram Panchayat which shall be utilised for meeting the electricity charges, maintenance of water supply schemes, sanitation and other welfare activities. The other sources of revenue to gram panchayats is taxes on buildings, markets, water entertainment etc. No part of this grant shall be spent towards establishment expenses not related to the aforesaid purposes allocation under Jawahar Grama Samrudhi Yojana.

As regards taluk panchayats, it may be stated that they have no power to raise resources through taxation. Under Section 207 of the Act, the government shall make a grant to every taluk panchayat to cover all revenue expenses of the panchayat. Taluk Panchayat is also entitled to Additional Stamp Duty realisation under Section 205 of the Act. Government can also make discretionary grant for specific purposes.

It may be noted that the ZPs have no power to levy tax for raising resources. The government will provide them establishment grant to cover the expenses of establishment. Section 207 of Karnataka Panchayat Raj Act 1993 provides for making a grant to every Taluk Panchayat and Zilla Panchayat to cover the expenses of establishment at such scale as may be determined by it. Thus the ZP depends on the resources allocated by government for implementing plan and non-plan schemes. The other sources are income from immovable assets, if any, 20 per cent allocation under the Jawahar Rozgar Yojana and discretionary grant, if any, provided by the government. The ZPs would be in charge of all programmes, which cater to the needs of more than one taluk and certain other major activities.

The selected districtwise annual plan as per 2001-2002 of the schemes under zilla panchayat, taluk panchayat and gram panchayat and non-plan district wise allocation of zilla panchayat and taluk panchayat as per 2001-2002 is shown in Annexure X

The zilla panchayat has *no financial* autonomy. They have no flexibility in using the funds, as their budgets are scheme bound. All the district level work is through schemes as there is no untied money left for development. The zilla panchayat depends on the state for their funds. The amount transferred to the panchayat raj bodies (ZP, TP and GP) from the state is as much as 4828.30 (Plan + Non-Plan) in the year 2001-2002.

The allocation of funds distribution under the salary component in one of the five districts selected for the study namely Gulbarga zilla panchayat is analysed with regards to fiscal decentralisation. The total amount allocated to the zilla panchayat has increased from Rs.9335.31 under plan fund in 1999-2000 to Rs.10178.18 in 2000-01 (as shown in the table5). Out of the allocation, distribution under salary is 2702.78 in 1999-2000 amounting to 28% with an increase in 2000-01 to 35%.

Under the non-plan the allocated fund is 14536.69 which has increased to 16738.00 during 2000-2001. The salary also under the non-plan has increased from 13028.36 to 15399.88. In real terms, there is not much of an increase in the level of

allocation. It is evident that a major portion of the non-plan fund is spent on salaries and a very meager percent is left for the zilla panchayat's own development programme.

Table 6 : Salary Component details for the period 1999-2000 and 2000-2001 in Gulbarga ZP

(in Lakhs)

Details	1999-2000			2000-2001		
	Fund Allocated	Salary Component	Percentage	Fund Allocated	Salary Component	Percentage
Plan	9335.31	2702.78	28%	10178.18	3562.30	35%
Non-Plan	14536.69	13028.36	89%	16738.00	15399.88	92%
	23872.00	15731.14	85.90%	26916.18	18962.18	70%

The salaries and establishment cost forms significant proportion of the total budget. 65% to 70% is spent on salaries and establishment maintenance. The remaining 30% to 35% is left for developmental activities of the district. Moreover the schemes are implemented based on guidelines. The zilla panchayat therefore does not have their own revenues, hence there is no scope for taking up any major work on their own. If we assume that work of doctors and teachers are developmental work then huge amount shown can be treated as spent on development.

In general the amount allocated for salaries is quite high compared to the amount spent on other rural development programmes. The salary component can be further reduced by computerisation, as the workload can be reduced considerably and the office can be managed with less number of ministerial and other staff thereby effecting savings in the non-plan expenditure.

Panchayat Jamabandhi

For the first time in the state the Panchayat Jamabandhi has been introduced with effect from 2000-2001. Panchayat Jamabandhi is an annual public inspection of the accounts and registers of the gram panchayat and an inspection of selected works undertaken by the gram panchayat during the pervious year. An official team in the presence of the members of the panchayat and the general public conducts the inspection in public.

FUNCTIONAL ANALYSIS OF PANCHAYAT RAJ INSTITUTIONS

Introduction

The functioning of the Panchayat Raj institutions as per the Karnataka Panchayat Raj Act 1993 is dealt under each tier as follows:

The panchayat performs its functions through three organs, namely, the Adhyaksha, the Standing Committees and the Chief Executive Officer in case of zilla panchayat or the Executive officer in case of taluk panchayat. The executive power is co-extensive with the functions imposed under the law.

The Adhyaksha of the zilla panchayat is the executive head of the zilla panchayat and the Adhyaksha of taluk panchayat is the executive head of the taluk panchayat with explicit powers of supervision and control over the administration. The Adhyaksha shall convene, preside and conduct meetings of the panchayat. The Adhyaksha, in the respective organisation, will discharge all duties imposed, perform functions entrusted and exercise powers conferred under the Act. He shall exercise general supervision over the financial and executive administration of the Panchayat. He shall convene the meetings of the Panchayat and place before it all matters, which require its orders [Section 193 and 152].

Executive Power of Zilla Panchayat

The executive power of the zilla panchayat is vested in the Adhyaksha and is exercised by the Chief Executive Officer and other officers appointed under section 196. Subject to the rules made by Government and general superintendence and control of the Adhyaksha, the Chief Executive Officer shall perform functions in accordance with law.

The Chief Executive Officer shall maintain a performance report file and watch the timely submission of performance reports, review and acceptance of performance reports in respect of every officer or official serving under the control of the zilla panchayat as required under the Karnataka Civil Service (Performance Report) Rules, 1994. The Chief Executive Officer may specify regarding the reporting, reviewing and accepting authority in respect of each class or category of officers. The Deputy Secretary authorised by the Chief Executive Officer shall be the custodian of the performance report files.

Main Functions of the Chief Executive Officer

- (1) To attend the meetings of the zilla panchayat and the meetings of any committee, discuss and render advice.
- (2) He shall protect and safeguard the property of the Zilla Panchayat and obtain sanction of Government in case of lease for a term exceeding five years. (Section 222).
- (3) If the Zilla Panchayat fails to approve the budget before the prescribed date, he shall forward the budget estimate to Government. [Section 256 (5)].

- (4) Whenever the Zilla Panchayat approves the budget of the Taluk Panchayat he shall certify the budget as approved by the Zilla Panchayat [Section 247 (5)].
- (5) He shall transmit the annual accounts to the Government and furnish details and vouchers [Section 260].
- (6) He shall consolidate the annual administration reports of the Grama Panchayats and Taluk Panchayats after review by the Zilla Panchayat and forward the same to the Government. [Section 300].
- (7) He shall perform the functions delegated by the Zilla Panchayat.
- (8) He shall exercise control over the staff of the Zilla Panchayat. [Section 197].

Observations

1. The Chief Executive Officer is either at the fag end of their career or are new recruits without field experience.
2. The CEO's are transferred frequently which deprives them of developing a proper understanding of the district and hampers their effective functioning.
3. CEO and his officers require constant guidance in the effective discharge of their functions.
4. The technical inputs by the line department heads is very low.
5. The Directors/Deputy Secretary at Secretariat in the Rural Development and Panchayat Raj department as well as other development department heads like Director of Agriculture, Director of Horticulture, Director of Animal Husbandry etc, do not visit the districts and meet the CEO regularly.
6. The CEO is personally accountable in financial and procedural matters.
7. The relationship of the CEO with the President and the Elected Council is not conducive for development.
8. Some Boards, like Hyderabad – Karnataka Development Board, Malnad, Bayalu Seeme, Border Area Development Boards carryout functions independently through the ZP functionaries. It has resulted in confusing the implementing officers who have to file reports and attend meetings at frequent intervals. Therefore, there is a strong case to reconsider their existence. Their activities could be merged with zilla panchayats with appropriate enhancement of budgetary allocation to the respective zilla panchayats.

Chief Planning Officer

The Chief Planning Officer shall perform the following important functions, namely:

- (1) Consolidate the requirements of the Grama Panchayats, Taluk Panchayats and Zilla Panchayat.
- (2) Formulate spatial and regional planning.
- (3) Allocate the grants received from the Government among the zilla panchayat, taluk panchayat and gram panchayats.

- (4) Organise M.M.R. meetings and review the progress in implementation of the programmes and schemes.
- (5) Monitor the preparation of annual development plan by the Gram Panchayat and Taluk Panchayat.
- (6) Determine the departmentwise, sectorwise, programmewise, schemewise allocation.
- (7) Prepare action plan having regard to the allocation fixed, guidelines and norms prescribed.
- (8) Conduct comprehensive survey of resource potential of the district.
- (9) Conduct evaluation of the implementation of the schemes.

Observations

1. The planning process has to start at the lowest level, namely village and then go upwards. The development plan of the constituent villages are to be summed up into the gram panchayat plan and passed on to the taluk panchayat. This is not happening.
2. The plans of all the gram panchayats are to be incorporated into taluk panchayat plan and passed on to the zilla panchayat where it is incorporated into district plan and finally all the zilla panchayat plans are sent to the state to be included in the state plan. This is also not happening.
3. There is thus a lack of effective planning mechanism at the district and below at taluk and gram panchayat.
4. At the zilla panchayat only action plans are prepared and the CPO does not have full time work as the District Planning Committee are not formed on time.
5. Planning assumes significance in the context of decentralised planning. Therefore, the Chief Planning Officers is necessary who is a specialist to carryout this technical exercise and to integrate the plans of the other tiers. DPC is a Constitutional requirement therefore CPO post can be retained.

Council Secretary

The Council Secretary shall assist the Adhyaksha and Chief Executive Officer in the conduct of the meetings of the Zilla Panchayat. He shall be conversant with the rules and regulations relating to the transaction of business to be conducted in the meetings. He has to perform the following duties, namely;

1. Preparation of the meeting agenda
2. Process the question put by the members
3. Issues of meeting notices
4. Recording of the meeting proceedings
5. Sending copies of the proceedings to members
6. Sending copies of proceedings to officer for compliance

7. Getting compliance report from all offices
8. Placing the copy of the proceedings of the Standing Committees before the zilla panchayat in the meeting.

Observations

1. The functions of the Council Secretary are not very technical and does not require a separate Officer of Senior rank equivalent to Deputy Director at District Level.
2. The Council Secretary cannot take any independent decisions.
3. No control over staff, cannot get any information from line staff and so there is need for CEO's intervention at every stage.
4. The duties of the Council Secretary does not demand a full time job. It is only during the time of council or committee meetings that there is a need for a 'Secretary'.
5. The Council Secretary post can be abolished.

Chief Accounts Officer

- (a) The functions of the Chief Accounts Officer may be classified into three categories, namely:
 - (1) Financial Adviser
 - (2) Accountant
 - (3) Internal Auditor
- (b) He shall advice the zilla panchayat in the matters of financial policy. He shall be responsible for all matters relating to accounts and preparation of annual accounts. [Section 197 (4)].
- (c) He shall ensure that expenditure is incurred under proper sanction and for which provision is made in the budget. He shall disallow any expenditure not warranted under the Act, rules and regulations. [Section 197 (5)].

Observations

1. The vacancies in the Accounts sections need to be filled as the respondents are overburdened which is leading to delay in functioning.
2. Compilation of monthly and annual accounts are time consuming; so work is delayed.
3. The staff is not familiar with the computer applications. There is an immediate need to train the existing staff only then that the existing vacancies can be abolished.

Deputy Secretary

- a) Monitor, supervise and co-ordinate the function of the departments which are under his jurisdiction.

- b) Scrutinise the proposals of the departments before they are place before the Standing Committee.
- c) Ensure the compliance of the decisions of the Standing Committee by the District Heads of the departments.
- d) Hold discussion with Chief Executive Officer, Chief Planning Officer and Chief Accounts Officer on the matters involving policy decision and having financial implications.
- e) Review the M.M.R targets and monitor and financial and physical progress.

Observations:

1. Most of the zilla panchayats have two Deputy Secretaries namely one for administration and one for development.
2. Lengthy filing system is followed. The old filing system needs to be dispensed with.
3. Information regarding schemes, staff, assets is not readily available.
4. Getting progress report from different offices on time is difficult.
5. Procedural delay and hence approval is also delayed.
6. Computer is not fully used because of lack of manpower and in sufficient trained staff.
7. Officers also do not know about computer applications.
8. The State Government has framed Rules called Karnataka Zilla Panchayat (Business) Rules, 1998. However, majority (92%) of respondents both officials and non-officials were not aware of the Rules of Business.

Taluk Panchayat

The staff of the taluk panchayat is headed by the Executive Officer who is appointed by the Government and is a Group 'A' Officer. The Executive Officer functions as the Secretary of the taluk panchayat and monitors all the developmental activities of the panchayat. One of his critical duties is to advise the taluk panchayat with regard to the inconsistency of any proposal under the provision of the Act.

The taluk panchayat has to make reasonable provision for the following matters, namely;

- (i) Construction and augmentation of water supply works to ensure forty litres per capita per day;
- (ii) Filing half yearly report regarding the activities of the Gram Panchayats within the taluk regarding:
 - a) holding of Gram Sabha
 - b) maintenance of water supply works
 - c) construction of individual and community latrines

- d) collection and revision of taxes, rates and fees
 - e) payment of electricity charges
 - f) enrollment in schools
 - g) progress of immunisation
- (iii) Providing adequate number of class rooms and maintaining primary school buildings in proper condition including water supply and sanitation.
- (iv) Acquiring land for locating the manure pits away from the dwelling houses in the villages.

Powers of Executive Officer: The Executive Officer is empowered to exercise powers in relation to gram panchayats under the provisions, under Section 156 of the Panchayat Raj Act.

The Executive Officer shall perform the financial and executive functions subject to the general powers of the Adhyaksha. [Section 156]. The Executive Officer shall exercise the following functions [Section 152], namely;

- Custody of all papers and documents connected with the proceedings of the meetings of the Taluk Panchayat.
- Draw and disburse money out of the Taluk Panchayat Fund.
- Take necessary measure for speedy execution of all works and developmental schemes of the Taluk Panchayat.
- Supervise and control execution of all works.
- Exercise all powers conferred upon him under the Act and any other law.
- Discharge functions prescribed by Government.
- Control the officers and officials of the Taluk Panchayat.
- Exercise powers and perform duty in relation to Grama Panchayat and Taluk Panchayat.

Observations

1. Overburdened due to additional charge of taluks. Sometimes they also hold office of the zilla panchayat.
2. Every bill of the taluk panchayat should be counter signed.
3. Sending the bills to different departments leads to delay.
4. Every Executive Officers has to attend 25 to 30 meetings in a month and therefore field work is neglected.
5. Direct funding to Taluk Panchayat is better to avoid delays in administration of development programme.

Panchayat Extension Officer

The main function the Panchayat Extension Officer is to inspect the Gram Panchayat and to have co-ordination between Taluk Panchayat and Gram Panchayat and to guide them in the matters of implementing development programmes assigned to the gram panchayat.

Assistant Executive Engineer

The main function of Assistant Executive Engineer is implementation of all Panchayat Raj programmes, Developmental works relating to Housing, Water Supply for Taluk Panchayat and Gram Panchayat.

Credit Extension Officer

The main function of Credit Extension Officer is implementation of the schemes like Jawahar Gram Samrudhi Yojana, Milk Dairy and Co-operative Societies.

Accounts Officer

The main function of Accounts Officer is to Maintaining Accounts, Compilation, Reconciliation and preparation of Audit Report.

Manager

The main function of the Manager is Administration and overall supervision of Taluk Panchayat.

Progress Assistant

The Progress Assistant looks after the reports and statistics of all schemes and has to prepare statistical report of each scheme at the taluk panchayat.

Observations

1. As the Executive Officer is busy attending meetings, often the manager takes up the responsibility of giving information and guiding the public. He is a non executive so he remains in the office.
2. The Credit Extension Officer does not have a full time job.
3. The functions of the Credit Extension Officer can be reallocated.
4. The Progress Assistant is a statistical person. Therefore the reports prepared show only quantitative data while qualitative aspects were conspicuously absent.
5. The Panchayat Extension Officer and other Officers of taluk do not visit the villages.

Gram Panchayat

Every Gram Panchayat shall be a body corporate with perpetual succession, capacity to acquire, hold, transfer the property and authority to enter into contracts. It shall function as a unit of local self-government with participation of people.

Concept of obligatory functions: The concept of obligatory functions has been introduced through the Karnataka Panchayat Raj (Third Amendment) Act, 1997 which inserted a new sub-section (1-A) of Section 58. These functions are obligatory in the sense that the gram panchayat has to compulsorily make reasonable provision to the extent, the fund at its disposal permits for carrying out the activities. The obligatory functions of gram panchayat is shown in Annexure XI;

Categories of Functions:

- a) The obligatory functions may be broadly classified into three categories, namely;
 - (1) Statutory duties
 - (2) Civic Amenities
 - (3) Promotional Activities
- b) The Act has conferred statutory powers on the gram panchayat to levy taxes, rates and fees.
- c) Construction of latrines, maintenance of roads and drains, providing street lights, maintenance of water supply, regulation of dumping manure and garbage are civic functions of the gram panchayat.
- d) Assisting the departments and other agencies in educational and health programmes, promoting activities like supporting primary education, adult education, mass immunisation are the promotional activities. These activities will reduce problem of illiteracy, high rate of mortality, infectious diseases and other killer diseases.
- e) The gram panchayat has to set apart a portion of its funds under untied grants and its own resources to discharge these functions.

The powers of administrative sanction are as follows, in respect of public works, the estimated cost of which in each case.

- | | |
|--------------------------------|-----------------------------|
| i) does not exceed Rs.2,000 | The Adhyaksha |
| ii) does not exceed Rs.10,000 | The Gram Panchayat |
| iii) does not exceed Rs.25,000 | The Executive Officer |
| iv) exceeds Rs.25,000 | The Chief Executive Officer |

Secretary

Every Gram Panchayat shall have a whole time Secretary who is officer of the Government and draw his salary and allowances from the Zilla Panchayat Fund. He is, generally, responsible for the proper performance of the functions cast upon the gram panchayat.

The Secretary shall perform all the duties imposed, exercise the powers conferred under the Act, Rules and Bye-laws. [Section 111 (2)]. It is a duty of the Secretary to prepare the budget and place before the Gram Panchayat. The Secretary has to ensure that the accounts of the receipts and expenditure of the gram panchayat are maintained properly. Powers and Duties of the Secretary are shown under Annexure XII.

The accounts of the gram panchayat will be audited by the Assistant Controller, Local Audit Circle of the district. The Secretary shall furnish all accounts, vouchers, statements and returns to the auditors.

Observations

1. Most of the Secretaries hold additional charge of more than one gram panchayat.
2. Often Clerks are posted as Secretary of gram panchayat. The gram panchayat secretaries were found to be less knowledgeable.
3. Funds are not released on time.
4. Administrative procedure is lengthy.
5. Co-operation from elected representatives was minimum.
6. Elected members are not aware, of the financial implications and responsibilities; they are mostly illiterate, hence the secretary should be a qualified person.

The Political Wing of the PRIs

There is now an elected three-tier structure of the gram panchayat. The term of all the members is five years and are directly elected. They form the general body of the panchayats and elect a President and Vice President from among themselves.

The Presidents (26 of which 5 female) and Members (264 of which 188 male and 76 female) of the PRIs of the selected districts were interviewed. The Study showed the following responses.

1. The Presidents are the executive heads of the zilla panchayat and taluk panchayat.
2. The President calls meetings of the Council.
3. Only on demand, the President can see a file including Audit Reports.
4. The term of the President of zilla panchayat and taluk panchayat (20 months) is very less to take up any developmental work.
5. Most of the members are the new entrants therefore, lack knowledge about the Panchayat Raj Act.
6. The local MLAs or the Political Party do not evince interest in the candidates after election.
7. The political parties do not train the members to take up responsibilities of the panchayat.
8. Co-operation and Co-ordination between the elected body and bureaucracy is important and necessary but it is not happening.
9. The members lack awareness and rarely reach consensus.
10. Factionalism and conflicting interest was prevalent among the elected members.
11. Fund bifurcation among members is leading to delay in development.

12. The purchase committee has been abolished which is desirable.
13. Transparency Act has been introduced and it is acceptable.
14. The tension areas that exist are at the lower wings of administration because of the officials allegiance and personal commitment to political chiefs to whom they owe their position.

The Standing Committee

The Act provides for Standing Committees at all level. The Standing Committee has been formed by electing members from among the elected members of the panchayat as per the Karnataka Panchayat Raj Act. They are as follows;

- a) At the Zilla Panchayat level there are five standing committees as per Section 186 of Panchayat Raj Act, the following Standing Committees are mandatory.

Committee	Chairman
(i) General Standing Committee	Adhyaksha
(ii) Finance, Audit and Planning Committee	Adhyaksha
(iii) Social Justice Committee	Elect their Chairman
(iv) Education and Health Committee	Elect their Chairman
(v) Agriculture and Industry Committee	Elect their Chairman

Each Committee has a maximum of seven members.

- b) At the Taluk Panchayat level there are three standing committees as per Section 148 of Panchayat Raj Act.

Committee	Chairman
(i) General Standing Committee	Upadhyaksha
(ii) Finance, Audit and Planning Committee	Adhyaksha
(iii) Social Justice Committee	Elects its own Chairman

The maximum number of members in each Committee is six including the Chairman. The Social Justice Committee has to have atleast one member and one from either the Scheduled Castes or Scheduled Tribes whichever category has more elected members.

- c) At the Gram Panchayat level there are three standing committees as per Section 61 of the Panchayat Raj Act.

Committee	Chairman
(i) Production Committee	Adhyaksha
(ii) Social Justice Committee	Upadhyaksha
(iii) Amenities Committee	Adhyaksha

Each Committee has to have not less than three and not more than five members. The social justice Committee should have atleast one woman member and one belong to Scheduled Castes or Scheduled Tribes.

Observations

1. The standing committee at the zilla panchayat level and taluk panchayat level are meeting periodically.
2. At the gram panchayat level, the standing committee do not meet regularly, the members expressed ignorance about these Committees.
3. There is no reservation for women in the standing committee except in the Social Justice Committee.
4. The members of the standing committee lack awareness on their roles and responsibilities.
5. The standing committee has therefore not developed as a real decision making body.

Grama Sabha

It is a body consisting of persons registered in the electoral rolls relating to a village comprised within the area of gram panchayat. It meets twice a year. The Gram Sabha is a very important forum in which the annual statement of accounts, report of administration and the development works undertaken by the gram panchayats are reviewed. It also considers the development programmes proposed by the gram panchayats for the current year. It is responsible for identifying beneficiaries under different poverty alleviation and development programmes.

The statutory requirement is that the gram sabha has to meet atleast once in six months. If the gram panchayat fails to convene it, the Executive Officer should convene it.

Selection of beneficiaries of the poverty alleviation programmes, which are beneficiary oriented, a deserving beneficiary is to be selected only in Gram Sabha.

Interviews with the beneficiaries/households shows that grama sabha are not conducted regularly. An overwhelming majority (82%) have never attended a grama sabha. Respondants suggested many ways for strengthening the grama sabha, which is shown in the table 6

Table 7: Strengthening the Grama Sabha

Responses	Total Number	In Percentage
All should attend Grama Sabha	131	30.25%
Hold frequent meetings	111	25.64%
Discuss problems of the people	72	16.63%
Inform date and venue of Gram Sabha	23	5.31%
Officials must attend at Gram Sabha	35	8.08%
Information about Schemes	46	10.62%
Conduct Gram Sabha at convenient time	15	3.47%
Total	433	100%

Note: Total respondents were 676 out of which 243 did not respond

Beneficiary Responses

Based on the analysis of the collected data on questions related to functioning of the PRIs and rural development programmes the responses are as follows:

1. An overwhelming majority of respondents appreciated the presence of the elected body.
2. People feel that the elected representatives are easily accessible.
3. The elected members have an important role therefore, they have to be more aware and knowledgeable.
4. At GP, though it is not party based election, the elected members are mostly identified on party basis.
5. It is better to have party based elections even at the GP level as it is a part of the larger system where elections are party based.
6. Too many departments and agencies leading to confusion.
7. Lack of awareness regarding schemes.
8. The Officers do not co-operate in giving information to the people.
9. The officers rarely visit villages and mostly the officers are not in their seat. It is therefore, difficult to approach them.
10. Lack of awareness regarding grama sabha and many have never attended grama sabha.
11. The grama sabha are not conducted on time and in a convenient place.

After independence, certain changes were introduced in the administrative system to meet the development needs. The district became the focal unit of Rural Development Administration. Yet it still displays serious faults and fails to deliver services. This

is due to inadequate resources, lack of proper co-ordination and failure to secure people's participation in decision-making and implementation. Training of the personnel can help in developing the skills necessary to initiate, adapt and sustain the process of change.

The present status of the panchayats and their elected leaders also show that there is need for building their capacity through political education and training in the light of the functions to be performed by the elected leaders, the attitude of the bureaucracy and the reluctance of the state leaders to part with power.

Though PRIs are generating tensions, factions and party politics, they are the only hope for achieving people's participation which is the soul of the democratic system. The introduction of PRIs in 1959 was itself a landmark in the history of administrative reforms. The operationalisation of the 73rd Constitutional Amendment Act envisages that these bodies will emerge as dynamic and strong channels of people's participation. However their success will depend on the extent *of transfer of rural development functions and devolution of more administrative and financial powers to the PRIs by the state governments*. There should be *political will and commitment from the party in power and legislators* to strengthen the working of these institutions by avoiding interference with their functioning and becoming accountable for the discharge of the functions entrusted to them.

Government should move away from local activities towards policy determination and general supervision. Within the institutional system government should encourage people to organise themselves. However, government's administrative machinery alone cannot tackle the social and economic problems. The voluntary sector should be involved in the process of rural development. *PRIs and voluntary agencies* together can play an important role in development by complementing and supplementing the activities of the government.

The populist concept of rural development is to improve the quality of life in the rural areas. PRI has given the people an opportunity to plan and administer their own affairs. The effective working of the PRIs depend not only upon the capability and integrity of each organ but also upon their mutual relationship. The pattern of political administrative relationship required at the local level is the one that exists in parliamentary democracy between high bureaucracy and legislation, as both are important to bring about social change. Also no devolution of powers and resources will lead to successful functioning of the department unless there is a high level of political and administrative mobilisation at the grassroots.

SCHEMES OF DEPARTMENT

The Karnataka Panchayat Raj Act, 1993 provides for devolution of powers and responsibilities upon the Gram Panchayat, Taluk Panchayat and Zilla Panchayat with respect to the implementation of the schemes and programmes of economic development and social justice in relation to the matters listed in the Schedule I, Schedule II and Schedule III of the Panchayat Raj Act (Annexure XIII).

There are as many as 420 schemes in the zilla panchayat both Central and State sponsored schemes. Some of schemes are Rural Development and Water Supply, Jawahar Gram Samruddhi Yojana, Employment Assurance Scheme, Indira Awaas Yojana, Ashraya Yojana, Ambedkar Yojana, Watershed Development Programmes, Swachha Grama etc. Among the various schemes two of them are selected for detailed study.

Most of the schemes are implemented in all the 5 districts selected for the study. However, under the Area Development Programme the schemes in category of Watershed Development Programme are not implemented by all zilla panchayats as they are area specific. The major programmes are in some of the selected districts are as shown.

Drought prone area development programme/Desert Area development programme:

This programme covers 81 Blocks of 15 districts under DPAP and 22 blocks of 6 districts under DDP. The expenditure is shared between the Centre and State on; 75:25 basis for DPAP:DDP districts. The total allocation for 2000-2001 was Rs.1501.00 lakhs under DPAP and Rs.788.60 lakhs under DDP. The expenditure incurred during 2000-2001 was Rs.1450.00 lakhs under DPAP and Rs.366.89 under DDP.

The Districtwise details of physical and financial targets and achievements for the year 2000-2001 (Upto 3-2001) physical and financial targets for the year 2001-2002 under Drought Prone Area Programme and Desert Area Development Programme are as shown in the table

Table 8:

Sl. No.	Name of the District	2000-2001 Financial		2001-2002 Target
		Target	Achievement	Financial
1.	Bijapur	135.000	0.000	225.000
2.	Gulbarga	150.000	165.770	208.000
3.	Kolar	240.000	146.040	376.000
5.	Chamarajanagara	20.000	26.950	28.000

The Districtwise details of physical and financial targets and achievements for the year 2000-2001 (Upto 3-2001) physical and financial targets for the year 2001-2002 under Western Ghats Development Programme are as shown in the table:

Table 9:

Sl. No.	Name of the District	2000-2001 Financial		2001-2002 Target
		Target	Achievement	Financial
4.	Uttara Kannada	344.000	352.770	363.42
5.	Chamarajanagara	37.000	34.820	40.68

Note: This programme is operational only the Uttara Kannada and Chamarajanagar among the selected districts.

Case study of two schemes

Two schemes of the department were selected for indepth analysis. They are as follows;

1. Rural Water Supply and Sanitation
2. Swachcha Grama

Rural Water Supply and Sanitation

The Government have finalised a strategy paper for rural water supply and sanitation for the period 2000-2005. This strategy spells out the steps to be taken over the next five years to provide adequate levels of water supply determined at 55 litres per person per day to all the villages in the State at an estimated cost of Rs.2650 crores. Besides augmenting water supply facilities the strategy also calls for setting up special facilities to provide safe water in villages which are affected by chemical contamination like excessive fluoride and brackishness in drinking water.

The programme of providing water supply to rural population comprises of the following schemes:

1. Sinking of Borewells and providing hand pumps.
2. Sinking of borewells and providing power pumps for Mini Water Supply Schemes.
3. Providing Water Supply through Piped Water Supply Schemes.
4. Maintenance of borewells (Hand pumps), Mini Water Supply Schemes and Piped water supply schemes.

The above schemes are being implemented both under Central and State Sectors.

The details of financial and physical targets and achievements for the year 1999-2000 and 2000-2001 and proposed for the year 2001-2002 are as follows:

Table 10: Physical Target and Achievements

Name of the Scheme	1999-2000		2000-2001		2001-2002
	Target	Achievements	Target	Achievements	Target
Borewells with hand pumps	7086	2899	5785	2824	5703
Borewells with power pumps (MWSS)	1164	1163	1016	1220	920
Piped Water Supply Scheme	986	624	721	665	781

Table 11: Financial Targets and Achievements

Name of the Scheme	1999-2000		2000-2001		2001-2002
	Target	Achievements	Target	Achievements	Target
Borewells with hand pumps	2832.33	1426.01	2622.23	1400.12	2601.37
Borewells with power pumps (MWSS)	3492.20	2283.79	3547.99	3174.96	3652.53
Piped Water Supply Scheme	5915.50	3861.52	5953.09	4534.00	6392.75

The potable drinking water to rural areas is supplied through 3 types of programmes:

1. Bore wells with hand pumps
2. Mini water supply schemes
3. Piped water supply schemes

The water supply programmes is implemented through zilla panchayat engineering divisions in the state. Priority is given to identify problematic villages. The various schemes are taken up in the villages depending on the population of the village. Like the population of the village with 1000 families and above are provided with one piped water supply schemes, the habitations with population between 500 to 1000 (i.e., below 1000 and above 500) are provided with one mini water supply schemes and the villages with less than 500 population are provided with bore wells fitted handpumps.

The sources available for drinking water as per March 2001 shows that:

Table 12:

Bore wells with hand pumps	171725
Mini water supply schemes	17022
Piped water supply schemes	14095
Total	202842

Operationalisation

Borewells with hand pumps: In small villages water supply is provided through bore wells with hand pumps. A study has revealed that due to improper and poor maintenance nearly 20% of the hand pumps are out of order. To look after the hand pump and effect minor repairs the Government have formulated a "Care Takers Training Programme" under which a care taker is appointed for each bore well. The gram panchayat has to form a BoreWell Committee for each bore well and arrange a care take training programme. The trained care taker would be given a pair of spanners to repair the bore well hand pump.

The borewells with hand pumps are the major source of potable drinking water in rural areas. In the whole state, more than 1.72 lakh bore wells with hand pumps are provided to rural areas. The target during 2000-2001 was to install 5785 borewells with hand pump but only 2824 have been installed and achievement in quite half of what should have been achieved. The cost was estimated at Rs.2622.23 lakhs under all sectors for installing 5785 bore wells with hand pump but the incurred cost was 1400.12 lakhs for 2824 bore wells with hand pumps at end of March, 2001.

The mini water supply scheme both under State and Central sectors was programmed to be 1016 units during 2001-01 but the achievement is more than what was estimated. Under this scheme water is pumped to small tank fitted with 3-4 taps from where water can be collected by the households.

The piped water supply scheme was programmed to commission 721 at cost of 5953.19 lakhs but achievement at the end of March 2001 shows that only 665 at cost of 4534 lakhs were completed.

Progress

The five district wise progress under the three drinking water schemes are:

Table 13: Mini Water Supply Progress

Sl.No.	Districts	2000-2001				2001-2002	
		Financial (in lakhs)		Physical (Nos)		Target	
		Target	Achievement	Target	Achievement	Financial	Physical
1.	Bijapur	119.00	95.00	34	24	128.720	32
2.	Chamaraj nagar	68.79	154.71	19	21	74.790	18
3.	Gulbarga	195.00	185.65	54	58	160.000	39
4.	Kolar	190.69	187.88	54	77	205.000	50
5.	Uttara Kannada	79.00	51.39	20	25	69.770	17

Table 14: Piped Water Supply Scheme

Sl.No.	Districts	2000-2001				2001-2002	
		Financial (in lakhs)		Physical (Nos)		Target	
		Target	Achievement	Target	Achievement	Financial	Physical
1.	Bijapur	163.00	88.33	20	4	178.750	22
2.	Chamaraj nagar	159.50	120.36	20	11	171.000	22
3.	Gulbarga	304.00	117.87	37	45	271.000	34
4.	Kolar	175.19	35	31	320.000	40	
5.	Uttara Kannada	164.00	132.00	20	21	154.900	19

Table 15: Bore Wells with Hand Pumps Scheme

Sl.No.	Districts	2000-2001				2001-2002	
		Financial (in lakhs)		Physical (Nos)		Target	
		Target	Achievement	Target	Achievement	Financial	Physical
1.	Bijapur	61.38	77.22	136	17	71.180	161
2.	Chamaraj nagar	71.86	12.04	145	33	64.470	144
3.	Gulbarga	173.85	68.37	383	39	117.450	247
4.	Kolar	72.16	254	133	114.550	254	
5.	Uttara Kannada	67.10	36.19	148	47	61.190	156

It was seen that in all the selected districts only in Mini Water Supply Scheme the target achieved is satisfactory. This could be attributed to the fact that the scheme has a public and individual component. Respondants prefer this scheme to other schemes and they also maintain the system well.

Swachcha Grama Yojana

'Swachhagrama' a Village Sanitation Programme based on PANCHASUTRA strategy is being implemented from 2000-2001 at a cost of Rs.200.00 crores. The schemes envisages people's contribution of Rs.2.00 lakhs in each village. More than 1200 villages have come forward to take up the implementation of Swachcha Grama Yojana and have

deposited a minimum of Rs.1.00 lakh in each village towards people's contribution. It is proposed to cover about 6000 villages under the programme over next five years to provide Integrated village sanitation. An allocation of Rs.10.00 crores is provided for the programme during 2001-2002 being Governments contribution.

This comprehensive rural habitat improvement project the Swachcha Grama Programme launched recently envisages the implementation of integrated village sanitation in 1000 villages with the financial assistance from HUDCO. KLAC has been appointed as nodal agency for implementation of the programme with following five points i.e., The Panchasutras are:

1. Paving of internal roads and streets of the villages
2. Sullage and storm water drains
3. Removal of manure pits from residential areas providing community compost yards
4. Providing smokeless chulhas for all the houses
5. Construction of household, community and school latrines

Grama Panchayats have to prepare plans and collect 10% of project cost as contribution from the villagers. Villagers shall participate in the implementation of the programme. Grama Panchayats have to take responsibility of maintenance of facilities provided to the village after completion of the scheme. The selection of villages is under completion stage and will be implemented during 2001-02.

Observations

1. People prefer mini water supply scheme to other forms of water supply programmes as this scheme has individual components and public components.
2. Lack of awareness about the schemes was evident among the people.
3. Redressal of grievance was very slow.
4. Lack of clarity among the people regarding the office to be approached for information and for registering complaints.
5. The scheme has been accepted favourably by the respondents. Villagers look forward to the implementation of this programme.

Suggestions

1. The estimated target for the year to install bore well with hand pump, mini water schemes and piped water schemes should be completed in the same year.
2. The bore wells under repairs should be taken up on priority. It could be privatised and given to an agency.
3. The nearest local body should receive representation from the people and ensure that they are attended.
4. Fund allocation should be according to the available water resources as in some districts water level has decreased.
5. Collection of water cess should be streamlined so that gram panchayat has enough fund to maintain the water supply components.
6. To reduce delay in getting administrative sanctions for borewells, these powers can be delegated to Assistant Executive Engineer at the sub division level.
7. There should be wide publicity to the schemes.
8. The schemes may be reclassified so that those which are appropriate to a particular level can be planned and implemented at that level.
9. Need for a 'Single Agency' to formulate, implement and monitor the project.

EFFECTIVENESS OF THE ZILLA PANCHAYAT

The 73rd Constitutional Amendment was passed in the light of experience that though Panchayat Raj Institutions were in existence for a long time, yet they could not acquire the status and dignity of viable and responsive people's bodies. This was due to the absence of regular elections, prolonged suppression, insufficient representation of weaker sections, inadequate devolution of powers, lack of financial resources. The Constitutional Amendment Act came into effect in 1993 and the amended provisions of the Constitution have ensured the certainty and continuity of the system. The responsibilities of the panchayats have been mandated in the provisions of the Constitution, the panchayats are now entitled to the administrative support and a share in the states' revenue.

Accordingly Karnataka passed the conformity Act called Karnataka Panchayat Raj Act 1993. Under this Act, practically all the programmes of various departments – both plan and non-plan – in the state have been entrusted to the panchayat raj bodies. This is a revolutionary step in the direction of reforming the political process and structuring the administrative machinery where in the line departments at the local level has come under the democratically elected local government. The zilla panchayats are not only assigned with developmental functions in areas like health, agriculture, but also are entrusted with social welfare functions. The target groups are mainly the poor and socially disadvantaged sections of the rural society.

Though all the developmental functions have been transferred to the zilla panchayat it is seen that the zilla panchayat have not been able to give priority for any development related issues. The development priorities like health, education and housing have not been attended to. The study leads to the conclusion that though the new system has provided access to membership and authority positions in the zilla panchayat, they have not gained much social significance and have ***not yet developed as an effective body***. The role of the zilla panchayat is marginalised and the following reasons are attributed to this.

The zilla panchayat is the ***primary body*** at the district level responsible for planning and implementation of all the developmental programmes in the districts. It also has specific responsibilities in respect of schemes transferred to them in the areas of agriculture, horticulture, soil conservation, animal husbandry, fisheries, forest, rural development, minor irrigation, roads and bridges, nutrition, primary and secondary education, rural health, family welfare, welfare of the scheduled castes and scheduled tribes, and backward classes, minorities, social welfare, housing and sericulture. However the ***problem of co-ordination*** among all the 18 departments figured prominently during the study.

The staff of the zilla panchayat is headed by the Chief Executive Officer. The staff of the line departments are on deputation to the panchayat and the heads of these are the technical advisors to the zilla panchayat. The salaries of these officials are paid by the zilla panchayat. They are accountable to the zilla panchayat. However, there was confusion among the officials regarding their accountability because in addition to the CEO the officials are also accountable to their respective heads of the departments and the DC of the District. For example, the District Health Officer in the health department is under the administrative control of the CEO, but he also reports to the

Deputy Commissioner and the Directorate of Health in respect of functions assigned by them directly. The Joint Director of Agriculture reports to CEO regarding financial, day to day matters and for overall performance of the district and the Deputy Director of Agriculture for technical guidelines. Moreover, similar works are undertaken by the ***zilla panchayat and other agencies*** like the Hyderabad – Karnataka Development Board, Malnadu, Bayalu Seeme and Border Area Development Boards. As many works are routed through these different agencies, the officials also have to report to more than one agency. This is leading to confusion at the implementation level. ***Thus very poor linkage was evident between the zilla panchayat and the line departments because there was no single line of command.***

These shortcomings in co-ordination and communication has resulted in low performance of the ZPs. The emphasis should be on close co-ordination and harmonious relations among the departments for the purpose of implementing the programmes. Smooth co-ordination is possible only if there is ***effective communication*** among the various departments within the same line of command and between those in different departments at different levels. Circulation of necessary information to the concerned persons, display boards, written bulletins, conferences to share goals and problems are effective methods of communications. In addition, the monthly KDP (Karnataka Development Programme) review meeting provides a forum for the presence of officers of all departments. The forum of zilla panchayat meeting should be utilised to sort out departmental problems.

Often, there has been criticism or complaints about the misuse of funds due to both political interference by elected representative and connivance between them and the officials. There have been charges that schemes are not being properly implemented and the funds allocated for the purpose are being misused resulting in either poor quality work or the benefits not reaching the persons for whom it is intended. It is essential in order to minimise the scope for corruption and misuse of funds to provide for the right to information to public and the community in regard to the manner in which the funds are being spent under various schemes and works. Also, while implementing the programmes the officers should strictly adhere to the guidelines governing the schemes.

The concept of PRIs grew out of the failure of the community development administration in involving the people in the development process. The normative theory of decentralisation assumes that the grassroot level elected bodies facilitate better peoples' participation in the governance on matters of local importance and are more accountable as they are nearer to the people. ***The term of the President of the zilla panchayat being 20 months has weakened the position of the elected head*** and strengthened the administrative heads. In addition most of them lack education, awareness and communication skills. They are not able to comprehend their roles and discharge their duties effectively through the officials. Their role is therefore reduced to that of mere supervision and bringing the local problems to the notice of the concerned officials.

Local government demands skill, knowledge and attitude. The members are yet to be mobilised. ***They lack awareness, and hence not able to articulate their rights and demands in an effective manner.*** In order to enable panchayat institutions for self-government and meaningful institutions for enlisting people's participation and to empower the members to exercise their authority and access to available resources, the

leadership at the grassroots level has to be strengthened through capacity building. The need for training and orientation is necessary. Political education is essential for their effective participation. In addition to **educating them** about the relevance of the panchayat raj system, and the rights, responsibilities and functions of the committees, they should be made aware of the current political developments, policies and schemes for their upliftment. Thus **training and orientation** should be the first step towards building awareness among the hitherto politically inexperienced strata of society. Immediately after the elections, the members should undergo an orientation programme on the panchayat raj system followed by **periodic refresher course** to update their understanding of the functioning of the system.

The local bodies are **dominated by the higher level politicians like MP and MLA**. This is a major threat to effective local decision making. The chairpersons authority and decision making power gets reduced in the presence of the MPs and MLAs. Although political leadership favoured PRIs, they adopted a negative attitude in extending support to developing these institutions. **A strong political will and being sensitive to the people's needs and accountability are important elements**. The commitment of the elected representatives is necessary.

The political parties create friction among the members. **The zilla panchayat would be more effective if they function on the basis of consensus**. The political parties at the grassroots level thus have a major responsibility in facilitating effective functioning of the zilla panchayat. They should establish good contacts with the villagers, involve them in their programmes and mobilise support. The party workers should train and orient candidates for the elections. They should also conduct periodic awareness camps and build communication and leadership skills of the local people.

Substandard execution of public welfare schemes was evident. The beneficiaries should have access to services, which did not seem to exist. They are not aware of the existing facilities, their location and methods to secure access. They are thus in a helpless situation exploited by **middlemen and political brokers**. For example, the zilla panchayats have to ensure availability of drinking water but the water supply schemes implemented in the selected districts revealed defunct borewells. To quote another example, the houses built under the housing scheme were constructed using inferior quality cement in a very slow pace of construction. Some of them had even collapsed. In both of these cases beneficiary involvement was absent. **Unless the beneficiaries are involved in the implementation of the various programmes the results will not be encouraging**.

The target groups should be empowered to take up the programme themselves. Encouraging **user groups** like water users committee, for ensuring proper education an education committee and for ensuring health facilities a health committee and the like can facilitate community participation in programmes. These user groups formed with clearly defined boundaries can manage the programmes more beneficially but should work in collaboration with the panchayats by reporting to the grama sabha. People's participation through contribution either in cash, or kind can ensure success in providing the basic minimum. Institutions like Ombudsman should be introduced so that there is a direct link between the citizens and the local body, thereby reducing the role of middlemen.

The study thus indicates that genuine decentralisation has not taken place. In addition to the forgoing the following steps have to be taken to strengthen the zilla panchayat.

The increase in the number of functions has not been matched with adequate financial resources. **They have to be strengthened financially** by giving the adequate powers to levy taxes and mobilise their own resources to reduce the dependency syndrome. Also, the quantum of untied grants should be increased so that the zilla panchayats have autonomy in having their own projects and schemes based on their local needs and demands. The projects and schemes should be based on the needs generated in the gram sabha.

The **District Planning Committee** (DPC) have not been constituted in all districts, wherever they have been formed (4 districts) they are yet to start functioning. The DPC is expected to prepare a draft development plan for the district as a whole so it should be made functional for effective decentralised planning.

The **Standing Committee** have very limited scope. Therefore, they only review the functioning of various departments. The members do not consider their role to be an important one. The members should be made aware of their roles and responsibilities so that the standing committees develop as real decision making bodies and the purpose for which it is formed is fulfilled.

Delay leads to corruption hence it is important to set a time limit. Mechanisms to curb corruption should be evolved by having **Ombudsman and Jamabhandi**, which is in its initial stages.

In the new dispensation the bureaucracy has yet to come to terms with the political wing and the local leaders have yet to adopt the culture of democratic functioning. They have to work in **close collaboration with each other** because of the political nature of the zilla panchayat. The effective functioning of the depends not only upon the capability and integrity of each organisation but also their mutual relationship.

The Zilla Panchayat is at the apex of the PRIs and is vested with the responsibility of overall supervision, Co-ordination and integration of development schemes at Taluk and District level and preparing the plan for the development of the district. Apart from these responsibilities, the ZPs have specific responsibilities in respect of the schemes transferred to them under the various areas in each of the 18 departments (Annexure XIV) functioning under its purview. The staff of the zilla panchayat is headed by the Chief Executive Officer.

OBSERVATIONS AND RECOMMENDATIONS

The major thrust of the study has been on the organisational and administrative aspects that affect the functioning of the system. The observations of the study are as given below:

Secretariat

1. The Secretariat is headed by a Principal Secretary and also a Secretary. There could be only one post as was followed earlier.
2. As per the staff strength there are 26 Assistant Directors and 12 Deputy Directors but the allocation of work is less. So there is justification for reducing and redistribution of staff atleast upto 30%.
3. The PPMU (Project Planning and Monitoring Unit) unit will be abolished by March 2002, as the programmes will be completed and will be converted into a society.
4. The study of the structure of the Secretariat shows clearly that there is excess staff specially in the Development Commissioners Establishment working in Self employment Programme (SEP), Area Development Programme(ADP), Rural Energy Programme(REP).
5. The SEP is dealing with one programme and REP with only 3 programmes they can be merged as one Directorate.
6. There are seven wings of the Secretariat so there is scope for bringing functions of 2 or 3 wings under one Directorate and abolishing the excess post.
7. Rural Infrastructure wing under Department of Rural Development and Panchayat Raj came into existence with effect from 1.1.2000.
8. Rural Development Engineering Department came into existence with effect from 1.1.2000.
9. All the activities related to construction of roads and bridges, minor irrigation work and drinking water projects now have been brought under the administrative and technical control of Engineer-in-Chief which is desirable.

Zilla Panchayat

Chief Executive Officer

1. The Chief Executive Officer is either at the fag end of their carrier or are new recruits without field experience.
2. The CEO's are transferred frequently which deprives them of developing a proper understanding of the district and hampers their effective functioning.
3. CEO and his officers require constant guidance in the effective discharge of their functions.
4. The technical inputs by the line department heads is very low.

5. The Directors/Deputy Secretary at Secretariat in the Rural Development and Panchayat Raj department as well as other development department heads like Director of Agriculture, Director of Horticulture, Director of Animal Husbandry etc, do not visit the districts and meet the CEO regularly.
6. The CEO is personally accountable in financial and procedural matters.
7. The relationship of the CEO with the President and the Elected Council is not conducive for development.
8. Some Boards, like Hyderabad – Karnataka Development Board, Malnad, Bayalu Seeme, Border Area Development Boards carryout functions independently through the ZP functionaries. It has resulted in confusing the implementing officers who have to file reports and attend meetings at frequent intervals. Therefore, there is a strong case to reconsider their existence. Their activities could be merged with zilla panchayats with appropriate enhancement of budgetary allocation to the respective zilla panchayats.

Chief Planning Officer

1. The planning process has to start at the lowest level, namely village and then go upwards. The development plan of the constituent villages are to be summed up into the gram panchayat plan and passed on to the taluk panchayat. This is not happening.
2. The plans of all the gram panchayats are to be incorporated into taluk panchayat plan and passed on to the zilla panchayat where it is incorporated into district plan and finally all the zilla panchayat plans are sent to the state to be included in the state plan. This is also not happening.
3. There is thus a lack of effective planning mechanism at the district and below at taluk and gram panchayat.
4. At the zilla panchayat only action plans are prepared and the CPO does not have full time work as the District Planning Committee are not formed on time.
5. Planning assumes significance in the context of decentralised planning. Therefore, the Chief Planning Officers is necessary who is a specialist to carryout this technical exercise and to integrate the plans of the other tiers. DPC is a Constitutional requirement therefore CPO post can be retained.

Council Secretary

1. The functions of the Council Secretary are not very technical and does not require a separate Officer of Senior rank equivalent to Deputy Director at District Level.
2. The Council Secretary cannot take any independent decisions.
3. No control over staff, cannot get any information from line staff and so there is need for CEO's intervention at every stage.
4. The duties of the Council Secretary does not demand a full time job. It is only during the time of council or committee meetings that there is a need for a '*Secretary*'.
5. The Council Secretary post can be abolished.

Chief Accounts Officer

1. The vacancies in the Accounts sections need to be filled as the respondents are overburdened which is leading to delay in functioning.
2. Compilation of monthly and annual accounts are time consuming; so work is delayed.
3. The staff is not familiar with the computer applications. There is an immediate need to train the existing staff only then that the existing vacancies can be abolished.

Deputy Secretary

1. Most of the zilla panchayats have two Deputy Secretaries namely one for administration and one for development.
2. Lengthy filing system is followed. The old filing system needs to be dispensed with.
3. Information regarding schemes, staff, assets is not readily available.
4. Getting progress report from different offices on time is difficult.
5. Procedural delay and hence approval is also delayed.
6. Computer is not fully used because of lack of manpower and in sufficient trained staff.
7. Officers also do not know about computer applications.
8. The State Government has framed Rules called Karnataka Zilla Panchayat (Business) Rules, 1998. However, majority (92%) of respondents both officials and non-officials were not aware of the Rules of Business.

Taluk Panchayat

Executive Officer

1. Overburdened due to additional charge of taluks. Sometimes they also hold office of the zilla panchayat.
2. Every bill of the taluk panchayat should be counter signed.
3. Sending the bills to different departments leads to delay.
4. Every Executive Officers has to attend 25 to 30 meetings in a month and therefore field work is neglected.
5. Direct funding to Taluk Panchayat is better to avoid delays in administration of development programme.

Other Staff

1. As the Executive Officer is busy attending meetings, often the manager takes up the responsibility of giving information and guiding the public. He is a non executive so he remains in the office.

2. The Credit Extension Officer does not have a full time job.
3. The functions of the Credit Extension Officer can be reallocated.
4. The Progress Assistant is a statistical person. Therefore the reports prepared show only quantitative data while qualitative aspects were conspicuously absent.
5. The Panchayat Extension Officer and other Officers of taluk do not visit the villages.

Gram Panchayat

Secretary

1. Most of the Secretaries hold additional charge of more than one gram panchayat.
2. The panchayat members and officials, are not aware of most of the schemes.
3. Funds are not released on time.
4. Administrative procedure is lengthy.
5. Co-operation from elected representatives was minimum.
6. Elected members are not aware, of the financial implications and responsibilities; they are mostly illiterate.

Political Wing (President and Members)

1. The Presidents are the executive heads of the zilla panchayat and taluk panchayat.
2. The President calls meetings of the Council.
3. Only on demand, the President can see a file including Audit Reports.
4. The term of the President of zilla panchayat and taluk panchayat (20 months) is very less to take up any developmental work.
5. Most of the members are the new entrants therefore, lack knowledge about the Panchayat Raj Act.
6. The local MLAs or the Political party do not evince interest in the candidates after election.
7. The political parties do not train the members to take up responsibilities of the panchayat.
8. Co-operation and Co-ordination between the elected body and bureaucracy is important and necessary but is not happening.
9. The members lack awareness and rarely reach a consensus.
10. Factionalism and conflicting interest was prevalent among the elected members.
11. Fund bifurcation among members is leading to delay in development.
12. The purchase committee has been abolished which is desirable.

13. Transparency Act has been introduced and it is acceptable.
14. The tension areas that exist are at the lower wings of administration because of the officials allegiance and personal commitment to political chiefs to whom they owe their position.

Standing Committees

1. The standing committee at the zilla panchayat level and taluk panchayat level are meeting periodically.
2. At the gram panchayat level, the standing committee do not meet regularly, the members expressed ignorance about these Committees.
3. There is no reservation for women in the standing committee except in the Social Justice Committee.
4. The members of the standing committee lack awareness on their roles and responsibilities.
5. The standing committee has therefore not developed as a real decision making body.

Beneficiaries

1. An overwhelming majority of respondents appreciated the presence of the elected body.
2. People feel that the elected representatives are easily accessible.
3. The elected members have an important role therefore, they have to be more aware and knowledgeable.
4. At GP, though it is not party based election, the elected members are mostly identified on party basis.
5. It is better to have party based elections even at the GP level as it is a part of the larger system where elections are party based.
6. Too many departments and agencies leading to confusion.
7. Lack of awareness regarding schemes.
8. The Officers do not co-operate in giving information to the people.
9. The officers rarely visit villages and mostly the officers are not in their seat. It is therefore, difficult to approach them.
10. Lack of awareness regarding grama sabha and many have never attended grama sabha.
11. The grama sabha are not conducted on time and in a convenient place.

Schemes

1. People prefer mini water supply scheme to other forms of water supply programmes as this scheme has individual components and public components.

2. Lack of awareness about the schemes was evident among the people.
3. Redressal of grievance was very slow.
4. Lack of clarity among the people regarding the office to be approached for information and for registering complaints.
5. There are number of schemes being implemented by the department. However, many are overlapping. To illustrate, in the Housing Programme, which is a major component, there are a number of schemes, the objective behind all being to provide shelter. In addition this scheme implementation involves three agencies. In this context, as revealed from the field the schemes can be merged. If the implementing agency is one then there is a possibility of interface between the beneficiary and the agency leading to transparency in administration.

General Observations

1. Most of the officers did not have a job chart.
2. More number of posts and less work.
3. Even in one department – sections are working in water-tight compartments. Holistic perspective was absent at the managerial levels.
4. The common people are dissatisfied with the performance of local bodies in regard to basic amenities.
5. People prefer elected bodies as the elected representatives are more accessible than administrators/officers.
6. Gram Sabha is not functioning properly. The participation is very low and beneficiary selection is not as per the Act.
7. The list of beneficiaries prepared at the Grama Sabha level is generally not final.
8. Committees like Ashraya Committee functions above the gram sabha.
9. There is lack of co-ordination between the Presidents and the Executive Officers at all levels of panchayats.
10. The term of the President is 20 months, which is not sufficient to take up any developmental activity. Also, the President is not able to establish a proper relationship with the administrative wing.
11. No Resource data is available in the panchayats.
12. The State Panchayat Council has been formed but it is not activated and there is no follow up action.
13. Number of meetings to be attended by the EO is too many thereby affecting fieldwork and supervision.
14. Many posts at taluk panchayat and gram panchayat levels are vacant. The secretaries and executive officers were holding additional charges like one panchayat secretary was incharge of two panchayats.

15. The study indicated that the linkage between the officials and beneficiaries at the local level was very weak. It was either non-existent or conscious efforts were few.
16. Illiterate, semiliterate persons are the members and presidents of the panchayat. They lack awareness and need exposure.
17. Overwhelming respondents expressed that they are not aware of the various schemes and developmental programmes implemented by the PRIs.
18. The financial situation does show that even now dependency syndrome is prevalent in the sense that the PRIs mostly depend on government grants. Also, the average income of a gram panchayat i.e., around 4 lakhs is abysmally low for any worthwhile development actively.
19. Most of the respondents were not aware that the Presidents and the Vice Presidents of the PRIs get consolidated allowance. It was also mentioned that allowance was sometimes paid once in 5 or 6 months. However, majority of respondents felt that the amount was very low.
20. The available computer resources were not properly utilised due to lack of training on computer application.

Recommendations

Administrative Wing

1. There is no need for the post of Principal Secretary and Secretary; one of the two may be abolished.
2. Number of Assistant Directors (26) in the Secretariat can be reduced to 30% as they are two times more than the number of Deputy Directors (12). The work load does not demand this many number of posts. There is enough justification for reduction upto 30%.
3. The division handling the Rural Energy Programme can be merged as a part with Special Economic Programme division. Similarly Director ADP should also deal with Rural Infrastructure Division.
4. The arrangements under RDED will suffice as they have been recently streamlined.
5. At the District level the CEO's qualification and seniority has to be enhanced. He should be a Senior IAS Officer who has atleast 7 to 8 years of experience in the development departments (as in the Act of 1983). The CEO should not be below the rank of the Deputy Commissioner of the district to be effective as the Head of the Development functions in the district as per Section 196 (1) of the PR Act.
6. Any Senior Officer from other development departments like Agriculture, Fisheries, Animal Husbandry, Sericulture, Engineering etc., having adequate (15-20 years) experience in the field could also be considered for the post of CEO.
7. Officers of Development Department at State and Division level should visit the district and provide guidance to the CEO.

8. The Boards and Corporations which duplicate Rural Development functions should be abolished and these activities have to be merged with PRIs.
9. At ZP level, Assistant Secretaries and Deputy Secretaries is to be reduced to one each as in all the newly created districts and in the districts of Bijapur, Dharwad, Bellary, Chitradurga, Raichur, Bidar Kodagu and Bangalore Urban Districts.
10. Council Secretary post may be abolished and that work can be handled by any person like Chief Planning Officer or Deputy Secretary.
11. Release of funds from state to the district and district to implementing officers is invariably delayed leading to implementation failure. Ultimately it results in the lapse of funds meant for development of the district. This should be streamlined.
12. Proper Co-ordination mechanism should be development between the zilla panchayat and the line departments and within the departments in the district. Single line of command, effective communication and strict adherence to the guidelines of the Karnataka Development Programme can help in developing close co-ordination.
13. Domination of MP, MLA and other state and central legislators is a threat to local decision making. These higher level politicians should not participate in the general body meeting of the zilla panchayat. Therefore, the Karnataka Panchayat Raj Act should be amended appropriately.
14. The zilla panchayat should be strengthened financially by increasing the untied grants and by giving them powers to levy taxes and mobilise other resources like the powers of gram panchayat.
15. Vacancies of Executive Officers of Taluk Panchayat and Secretaries of Gram Panchayat to be filled.
16. The number of meetings to be attended by the officials should be reduced. A specific day or two in a month should be set aside for meetings. On other days only emergency meetings should be held.
17. The post of Credit Extension Officer could be merged and duties reallocated between Panchayat Extension Officer and Progress Assistants of the taluk panchayat.
18. Time bound programmes to immediately train officers and other staff on computer applications.
19. The staff at every level need the necessary training and skill to make them acquainted with the job and responsibilities of the post.

Political Wing

1. Training and capacity building exercise of the elected members should be taken up on a priority and sustained basis and at regular intervals to achieve desirable participation. NGO, Political Parties and Government initiatives are necessary.
2. Special programmes to train the Presidents and the Vice Presidents on their roles, responsibilities and limitations should be taken up so that they develop a cordial relationship with the officials.

3. Mechanisms to curb corruption should be evolved by having institutions like Ombudsman and Jamabandhi, (which is in its initial stages) should be included in the statute so that it becomes mandatory.
4. District Planning Committee should be constituted on time and it should be made functional to be effective.
5. Adequate skill building at the district and sub-district level on techniques of planning to develop an effective planning mechanism.
6. The State Panchayat Council should meet atleast twice a year (every six months).
7. Gram Sabha should meet regularly failing which it should be construed as a disqualification on the part of the President.
8. The area of the Gram Sabha should be such that people particularly women, daily wage earners and the old can reach the venues of meetings conveniently.
9. The grama sabha can be held on shandy days, so that there will be opportunity for meaningful participation of all.
10. The panchayat members and officials need training regarding schemes and general awareness on duties and responsibilities in respect of the schemes.

Schemes

1. The estimated target for the year to install borewell with hand pump, mini water schemes and piped water schemes should be completed in the same year.
2. The bore wells under repairs should be taken up on priority. It could be privatised and given to an agency.
3. The nearest local body should receive representation from the people and ensure that they are attended.
4. Fund allocation should be according to the available water resources as in some districts water level has decreased.
5. Collection of water cess should be streamlined so that gram panchayat has enough fund to maintain the water supply components.
6. To reduce delay in getting administrative sanctions for borewells, these powers can be delegated to Assistant Executive Engineer at the sub division level.
7. There should be wide publicity to these schemes.
8. The schemes may be reclassified so that those which are appropriate to a particular level can be planned and implemented at that level.
9. Need for a 'Single Agency' to formulate, implement and monitor the project.

SOCIAL WELFARE DEPARTMENT

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We thank the Karnataka Administrative Reforms Commission for giving us an opportunity to conduct a Functional Review of four departments of the Government of Karnataka viz. Department of Revenue, Department of Agriculture and Horticulture, Department of Rural Development and Panchayat Raj & Department of Social Welfare.

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We hope that the findings and recommendations of this study will further strengthen the effective functioning of the departments that were studied.

NIS Sparta Limited
Bangalore

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Note on Socio Economic Indicators

Executive Summary

A theme that has been generally coming up in the public debate in the country for some years now is whether our system of governance has failed, and whether the system of bureaucracy for public service management that is adopted under the political leadership has delivered the desired results. As a sequel to this, quite often one finds discussions on Good Governance in various forums and the media. Good Governance is understood as good government. The concept relates to the quality of the relationship between government and the citizens whom it exists to serve and protect (ADB.org). Governance means the way those with power use that power. Governance has, therefore, political and economic dimensions. Issues of political governance include the mechanisms by which the public's political preferences are ascertained and leaders chosen. But economic governance - sound development management - is at the core of sustainable development. The quality of governance has a significant impact on investment and growth. The four key components of governance are accountability, transparency, predictability, and participation.

These general discussions on the system of governance and its linkages with the political and the economic systems bring us to the arena of public service management. The specific issues relating to them are:

1. Building accountability in government within the organization and to the client.
2. Public service management: performance appraisal, sanctions and incentives.
3. Moulding bureaucracy for results and customer orientation.
4. Removing constraints for reform.
5. Evolving a charter of values in civil service and combating corruption" (Vittal and Mahalingam, 2001:51).

Building accountability in Government means that for the actions taken or not taken, the government must be answerable to the public. This again depends on the clearer statement of objectives of the organization. It also means removal of the safety cushions that are built around the systems that help individuals escape punishment. The ability to bring in these changes depends on the ability to carry out systematic, wise-wise analysis of the objectives of the government.

The principles of business process reengineering can be an effective instrument and they would pose the question that if we were to design the wise today, would we opt for it in its present form? Adopting sound principles in public service management also implies bringing changes in the performance appraisal systems for the employees.

Further in order to keep the government organizations sharply focused on results, we will have to think through our processes and eliminate red tape systematically. A good leadership with the customer focus becomes a must. Thus, bringing about good governance envisages a whole array of issues, which would ultimately contribute to doing well to the public.

An attempt is made through the present exercise to understand the underlying issues concerning the social welfare department and to look at the various feasible and sustainable alternatives, which would help the government in putting back the department into motion. Thus, this step of reform is expected to usher in a new era of administration.

Social Welfare Department is established to fulfill the constitutional obligations of ensuring the development of the backward and weaker sections of the society. The department over a period of time has been implementing a number of schemes like the scholarship scheme to motivate the families to send children to schools, establishment of hostels to overcome the problems of accessibility, provision of uniforms, books etc., tailoring training centers, women welfare centers, pre-examination training center and so on and so forth. While these programmes attempted at achieving the educational development of the community, the developmental objectives are to be achieved through financial support to be extended by the development corporations. As a sequel to the expansions in the programmes, the department of Social Welfare has diffused into 4 separate line departments and 3 corporations. The programmes and schemes of the four different departments and the activities of the three corporations are more or less the same.

The objectives of the Functional Review Project for the Social Welfare Department were:

1. To attempt at an understanding of the functioning of these departments in relation to its present structure and the intended goals and objectives of the department.
2. To attempt at rationalization of departments and staff, and coherence in allocation of functions.
3. To evaluate the schemes and programmes of the department vis-à-vis the achievement of its objectives, delivery structures, its impact on the target population and the extent of duplication if any and thus, in the overall context of the decentralized governance
4. To evaluate alternate service delivery through non-government and community-based agencies.

The required data was collected through interview schedules and in-depth discussions at all levels in the five districts in the state viz., Uttara Kannada, Bijapur, Gulbarga, Kolar and Chamarajnagar districts.

SOCIAL WELFARE DEPARTMENT - A Need for Restructuring

Social Welfare Department, in the proposed model, will not have just a Secretariat but will also house all the four directorates within it. Thus, the 2 Directors within the Secretariat will be responsible for the overall implementation of the programmes and directly work under the overall control of the Secretary. The proposed model will help in:

1. Overcome the problems associated with the Secretariat and separate line departments reporting to the Secretariat
2. Better implementation of the programmes and uniformity in the schemes/ programmes

3. Better co-ordination in the implementation of the programme and more importantly the implementation of Special Component Plan and Tribal Sub Plan and the district and Centrally Sponsored Scheme.
4. The programmes of the different departments like agriculture, horticulture etc., could also be brought under the Social Welfare Department

The challenge before the planners and administrators is to bring in efficiency into the implementation of the programmes through Panchayat Raj System.

With a view to facilitate this, the departmental officials of the Social Welfare and Backward Classes and Minorities at the Taluk level will be placed in the respective Taluk Panchayat and thus, ensure greater accountability and responsibility from these institutions. The hands of these officials could be strengthened through the provision of skeletal administration staff.

With a view to avoid duplication in the scholarship scheme and better co-ordination with the educational institutions, the scholarship scheme will not only be revamped in terms of money provided and the timing but will be in total shifted to the education department. This will also avoid undue wastages in the programme.

Similarly, the hostels could be in a phased manner handed over to schools, the private organizations, Non Governmental Organizations or even to the community.

An earnest effort will have to be made by the department in this regard. Department will support the students of Scheduled Caste & Scheduled Tribe, Backward Classes and Minorities in appearing for the competitive exams, not through running the institutions, but by meeting the required expenses in this regard.

Instead of continuing with the Research Institutes viz., Dr. B.R. Ambedkar Research Institute, Sri. Devraj Urs Research Institute, the Government will establish chairs in their name in the already existing research institutions. The three Development Corporations will not continue to exist. The functions like the implementation of the Ganga Kalyana Scheme and the training could be implemented through the regular departments. With regard to the extension of credit facilities to the young entrepreneurs, the function could be entrusted to organization like NABARD. The department can liaise with such organizations in the implementation of the programme and extending the coverage to the large number of beneficiaries. Similarly, it is suggested that the Government should establish organization such as TECSOK to provide guidance for those who would like to set up micro enterprises. Further, the department will work on a customer-centered approach by encouraging the participation of the community through the formulation of a Citizen's Charter.

The proposed Computerization in the department should be carried forward to cover the implementation and monitoring of the programme and also administrative works. This will certainly help the department in becoming more efficient.

The department should also undertake the capacity building programmes for officials which will not only orient them on the regular matters, but also in bringing about a greater change in making the administration more responsive, accountable and transparent. The training programmes should also orient them on scientific principles of management and with concepts such as Total Quality Management.



INTRODUCTION

Due to the lower position in the traditional caste hierarchy, due to the restrictions imposed by the society on their educational progress, the nexus between caste and class have resulted in the social, economic political and educational backwardness among the Scheduled Castes, Tribes, Backward Classes and the Minorities. The provision for post-metric scholarships in the pre-independent India, provision for admission in the general schools, scholarships/stipends, provision of free text-books and uniforms, residential schools and also the provision for admission in institutions of higher education are few of the steps taken by the Governments in the pre-independent India.

The Indian Constitution embodies the basic values of liberty and equality and marks a landmark in the progressive legislation to ensure equality and social justice in a democratic framework. The preamble of the Constitution proclaims for all citizens justice – social, economic and political and equality of opportunity and status. While Article 15(1) of the Constitution states that “the state shall not discriminate against any citizen on grounds only of religion, race, caste, sex, place of birth or any of them”, article 15(3) further affirms that “nothing in this article or in clause (2) of article 29 shall prevent the state from making any special provision for the advancement of any socially and educationally backward classes of citizens or for the Scheduled Castes and Scheduled Tribes”. Article 38 declares that “the state shall promote the welfare of the people by securing, as effectively as it may, a social order in which social, economic and political justice, shall inform all the institutions of the national life”.

The Governments in free-India did not lose time in providing opportunities in education to enable the socially disadvantaged groups to achieve progress. Along with this, efforts have also been made towards the economic advancement of these different groups through provision of reservation in government jobs and efforts have also been made to reserve seats in the State and Central legislatures. With a view to facilitate the implementation of programmes and policies for backward and weaker sections, the Department of Social Welfare has been established. The department over the last five decades has expanded in terms of programmes and schemes implemented for the welfare of these different groups.

To further the cause of development of these different groups, the Government has also established Development Corporations with the provision of share capital enabling these bodies to function autonomously.

The Government has also established separate Departments for the Tribal and the Backward Classes.

The following are the different departments/corporations working under the Department of Social Welfare:

1. Directorate of Social Welfare
2. Directorate of Backward Classes

3. Directorate of Tribal Welfare
4. Directorate of Minorities
5. Karnataka Schedule Caste and Schedule Tribe Development Corporation, Limited
6. Karnataka Backward Classes Development Corporation
7. Karnataka Minorities Development Corporation Limited
8. Karnataka State Commission for Backward Classes

The current Functional Review project has attempted at an analysis of all the departments and corporations excluding the Karnataka State Commission for Backward Classes.

1.1 Objectives of the Functional Review Project :

The present study is aimed at understanding the functioning of the Social Welfare Department, which was established with certain administrative and developmental objectives. The Functional Review Project as defined by the Karnataka State Administrative Reforms Commission is intended:

1. To attempt at an understanding of the functioning of these departments in relation to its present structure and the intended goals and objectives of the department.
2. To attempt at rationalization of departments and staff, and coherence in, allocation of functions.
3. To evaluate the schemes and programmes of the department vis-à-vis the achievement of its objectives, delivery structures, its impact on the target population and the extent of duplication if any and thus, in the overall context of the decentralized governance
4. To evaluate alternate service delivery through non-government and community-based agencies.

1.2 Field work in 5 districts in Karnataka

With a view to facilitate the broader understanding of the underlying issues in the department it was decided to meet and collect information from a wide variety of stakeholders like the households, village communities, inmates of hostel, officials working at various levels in the administrative hierarchy with different levels of leverage to power and control. The technique that was adopted was one of semi-structured interview schedule and informal discussions with key informants, group discussions, case studies etc. This was further facilitated by extensive discussions that the team had with senior officers in the department, retired officials of the department and a wide variety of other stakeholders. The details are provided in the following table:

TYPE	NUMBER OF RESPONDENTS
Households for Quantitative Survey	378
Village Visits	25 villages
Taluk Social Welfare Officers	12
Inspecting Assistants	13
Taluk Development Officers	7
Office Managers	34
First Division Assistant/Second Division Assistant	26
Visit to Hostels, Residential Schools, Ashram Schools	10
Discussions with District Officers, CEOs, officers at the Directorate and Secretariat	23

Districts Covered : 5 districts namely Kolar, Chamarajnagar, Gulbarga, Bijapur and Uttara Kannada were covered for the survey.

Methodology : The interview schedules were first piloted in Kolar district with 4 teams of interviewers (5 in a team). A preliminary feedback was obtained on the type of response from the concerned officials, and the beneficiaries. Then all the 4 districts (Bijapur, Chamarajnagar, Gulbarga and Karwar) were simultaneously covered by different teams at a time over a period of 20-25 days during June and July 2001.

District level interviews: As the interviews were to be conducted at three different levels viz. district, taluk and village levels, and the teams covered the district level official interviews in the first few days of the fieldwork.

Taluk and Village level interviews: For each of the taluks, the fieldwork was spread over 10 days. The interviews with officials at the taluk level (say Karwar taluk) were covered on the first few days followed by the interviews in the villages.

SAMPLING: The villages were first classified into small/medium/large on the basis of population. The following criteria were used to select the villages for fieldwork in each taluk:

- Size of the village (one small, another medium and a large village)
- Distance from the taluk headquarters (The villages should be spread out in different directions from the taluk headquarters)
- The Schedule Caste and Schedule Tribe population of the villages
- The Gram Panchayat of which the villages are part of (the three villages should be from a different gram Panchayat)

The information to classify the villages was obtained from the Taluk headquarters. Since the study encompassed interviewing government departments, a letter of reference was obtained. This was primarily to ensure maximum cooperation to the interviewers in terms of the information to be provided.

Length and time : The questionnaires were administered in Kannada and individually. In case of village interviews too, care was taken to ensure only individual responses.

Limitations : The limitations were by way of few refusals and unavailability of the officials during the time of fieldwork at the district/taluk level.

Household interviews : The respondents, though willingly cooperated with the interviewers, did not have adequate information about the various schemes. They were also not aware of all the visits of the officials to their village and in general, did not have a good opinion about them.

The data thus collected has been coded and analyzed on SPSSPC+. The analysis is presented in terms of percentages for easier understanding. The report is presented in 5 chapters. The first chapter provides a broad framework of the present study. The Second Chapter attempts at review the functioning of the Social Welfare and Backward Classes Department. The newly formed Directorates are reviewed in the Third Chapter.

The fourth chapter focuses on the Corporations functioning under the Social Welfare Department. The last chapter speaks of the Restructuring of the Department. The Appendix to the report contains valuable information by way of tables, organizational charts, the tools used for data collection, etc. The tables present the data analyzed for all the districts. Data is presented in terms of percentages row-wise.

DEPARTMENT OF SOCIAL WELFARE AND BACKWARD CLASSES

2.1 WELFARE OF SCHEDULED CASTES :

The first early steps towards the welfare of the scheduled castes could be traced to 1889-90 when two Government schools were opened for the Holeyas (a caste group belonging to Scheduled Caste) at Huskur and Narasipur. Prior to this it was the missionaries who addressed to some of these problems confronting the society. In 1890-91, there were in all 349 boys and 35 girls studying in both the special schools meant for them and the general schools. The Depressed Classes Education Mission formed in 1913 at Mysore, took up the work of improving the conditions of the Depressed Classes. By 1915, it opened 12 schools.

There were 287 schools in 1915-16, of which 171 were Government, 108 aided and eight unaided as against 67 Government, three aided and four unaided in 1910-11. In the year 1915, the Government passed an order to admit untouchables in all the public schools in the State with the principle that none should be denied admission to schools run by the public funds. In the year 1943-44, there were 406 special schools for Depressed Classes. Separate schools were in existence for the education of the students belonging to Depressed Classes in Madras area and Belgaum area.

The Madras Area had slightly different arrangement. During the period from 1921 to 1947, the Labour Department that was in charge of educating the Depressed Class students opened separate schools for them. In 1949 a separate Harijan Welfare Department was started to look after the welfare of the Scheduled Castes and Scheduled Tribes with the Collector as District Welfare Officer. An Advisory Committee for the Welfare of the Depressed Classes consisting of members of the Depressed Classes and others was constituted in 1935, with the Director of Public Instruction as Chairman. The Committee was meeting thrice a year and reviewed the requirements of the Depressed Classes in matters of education, made suggestions and offered opinion on all questions of policy and development in respect of Depressed Classes education in the State.

Before Reorganization of States, the Department of Education was in charge of the programmes for the education and advancement of the Depressed Classes in the state.

Other schemes such as the economic uplift, health, housing, etc., were implemented by the Commissioner for Depressed Classes assisted by the Special Officer for Depressed Classes at the district level and Special Revenue Inspectors at the taluk level. After Reorganization, with the establishment of a separate Directorate for the Welfare of Scheduled Castes, Scheduled Tribes and other Backward Classes, programmes were taken up on a more organized and systematic lines. Before 1977 there was only one Directorate for the Scheduled Castes and Tribes, Backward Classes and Minorities. During 1977 the Department was bifurcated into Social Welfare and Backward Classes Department. This chapter attempts at

reviewing the functioning of both the Departments. The analysis in the present chapter is presented in two phases. Initially, the chapter will provide an overview of the structure at the state level for both the departments separately. As the issues for discussion at the district level and below is found to be more or less the same, the analysis at the district and taluk levels are analyzed in a combined way.

2.2 STRUCTURAL AND FUNCTIONAL REVIEW

Secretary, Social Welfare is the head of the department and all the 4 Directorates and 3 Development Corporations which are the line departments are functioning under his overall supervision and control. Secretary reviews the progress of the departments through the monthly monitoring and review meetings. Secretary is assisted by two Deputy Secretaries and four Under Secretaries in the Secretariat.

DEPARTMENT OF SOCIAL WELFARE:

The administrative set up at the Directorate is presented in Annexure-1. Within the directorate there are six hierarchical levels.

2.3 DIRECTORATE- SOCIAL WELFARE:

The incumbent for the post of Director is an IAS officer and is the Head of the line Department. The responsibility includes:

- Overall responsibility of the implementation and monitoring of the various schemes and programmes;
- Liaise with the district administration for the effective co-ordination between the various departments.
- In charge of overall administration

The Director is assisted by three Joint Directors i.e. Administration (1), Education (1), Special Component Plan (1), Chief Accounts Officer (1) and Deputy Director [1] (Employment and Training). Currently, all these posts are filled up. Joint Director (Administration) is assisted by Deputy Director (Head Quarters) and Deputy Director (Co-ordination). Deputy Director is basically entrusted with the responsibility of compilation of information among the different sections of the department and also monitoring the schemes viz., Compensation to the victims of Atrocities, Financial Assistance to Inter-caste Marriages, Financial Assistance to Law Graduates, and Training in Judicial Administration. The Assistant Director (Research & Statistics Unit) is maintaining a database of financial allocations, staffing pattern etc. Deputy Director (Head Quarters) is basically assisting the Joint Director in the day to-day administration. Joint Director (Education) is in charge of Scholarship scheme and also overseeing the functioning of the hostels run by the department or supported by the department in the state. A Deputy Director and Assistant Director assist Joint Director. The administrative staff in turn assists these officers. Joint Director (Special Component Plan) is in charge of the Special Component Plan programme and is functioning without the assistance of any officers.

Special Component Plan Unit is provided with Superintendent and clerical staff. Deputy Director (Employment and Training) is the head of the unit in charge of monitoring the implementation of the reservation policy in the government in recruitment, compilation of information on the admissions in respect of admission of Schedule Caste and Schedule Tribe candidates and organizing training programmes; and enrolment of Schedule Caste and Schedule Tribe candidates for employment. This unit is supported with Manager (1), FDC (3 presently by), Inspecting Assistants (both the posts are vacant). Chief Accounts Officer heads the accounts section in the Directorate. One Joint Director of Social Welfare is working as Director of Dr. B. R. Ambedkar Research Institute. In addition one Deputy Director, one Administrator and other staff are working in the Institution.

There are 5 Pre-Examination Training Centers, two at Bangalore and one each in Mysore, Gulbarga and Dharwad. This also includes one center at Bangalore meant for training candidates for the Civil Services Examination. A Principal, from the cadre of Deputy Director of Social Welfare, heads the Pre-Examination Training Centers. In all it is reported that there are 106 working strength at the Directorate. It is found that in all there are *six hierarchical levels* in the administration. While this is the vertical line up there are also linkages with the Zilla Panchayat and Taluk Panchayat.

The details of the staff position in the department are as follows :

SI No.	Group	Posts Sanctioned	Posts filled	Post Vacant	Percent of vacant posts
1	A	53	46	7	13.20
2	B	176	144	32	18.18
3	C	3423	2430	993	29.00
4	D	5455	4801	654	11.98
	Total	9107	7421	1686	18.51

The following are the findings on the administrative arrangements at the state level:

1. In all 18.51 per cent of the total posts are vacant. In respect of different categories, the percentage of vacancies is as high as 29 per cent in Group C posts and almost 12 per cent in the Group D posts. Majority of the programmes of the department are institution based (see section hostels) and requires a large number of staff in terms of its functioning, maintaining etc. On the other hand, it is found that there are a large percentage of vacancies at these levels, which definitely affects the delivery of the services.
2. The levels in administration are found to be many. In each of the sections there are Joint Directors, Deputy Directors, Assistant Directors, Section Superintendent, FDC, and SDC. In view of this there is lot of delay in the movement of files in the directorate. There is need for level jumping.
3. The posts of Deputy Director (Co-ordination) and Deputy Director (Employment and Training) are found to be redundant posts.

The functioning of the department could be analyzed in terms of budgetary allocations vs. the functions performed, monitoring and supervision of the programmes etc.

(A) FINANCIAL ACHIEVEMENTS AT STATE LEVEL DURING 2000-01:

The following table explains the progress under certain schemes made by the department in the implementation of the programmes during 2000-01.

No.	Name of the Scheme	Financial Outlay	Expenditure
1.	Grant-in-aid to Private Hostels – Boarding Charges	30.00	5.54
2.	Fellowships to M.Phil & Ph.D. students	120.00	22.16
3.	Special Coaching to Schedule Caste and Schedule Tribe high school students	70.00	20.00
4.	Construction of hostel buildings (State)	1530.45	1155.00
5.	Coaching and allied scheme (CSS)	125.00	53.36
6.	Construction of hostel buildings (CSS)	1000.00	741.57
7.	Maintenance of Buildings	125.70	88.27
8.	Study tour charges	8.77	6.23
9.	Pre-metric Scholarships to I – IV std. Students	648.10	498.48
10.	Navodaya type residential schools	158.00	85.7
11.	Community Hall (Special Component Plan)	119.72	71.60
12.	Nursery-cum-women welfare centers	757.92	618.91

1. From the above table it is found that 20 per cent of the pre-metric and more than 50 per cent of the post metric hostels are running in rented buildings. The condition of the government hostel buildings is far from satisfactory. This was evident from visits to hostels. While the programmes are in greater demand and is suffering because of inadequate budgetary support, it is found that there is under usage of funds. This is the same in centrally sponsored and state sector schemes. The department has failed to make effective use of the funds available for construction of buildings and maintenance and thus ensure effective implementation of the programme.
2. The department is continuing with the implementation of schemes like the Women Welfare Centers for the development of women and children belonging to Scheduled Caste and Scheduled Tribes. Rs. 618.91 lakhs is spent during the last year.

ICDS programme of the GOI has recently completed 25 years of its implementation and the ICDS programme is implemented in all the blocks in the state. One cannot justify the continuation of the same scheme with considerable expenses. This is again for reasons of lack of effective feedback from the field on the implementation of the programme.

3. The department has evolved a scheme such as Grant-in-Aid programme for running the hostels. The objective of the scheme is to involve the Non Governmental Organization or other organizations in the establishment and maintenance of the hostels. Allocation of meager sum of Rs. 30 lakhs as against the total budgetary allocations of Rs. 20963.89 under the plan scheme speaks of very little importance given to the scheme. Secondly, the expenditure under the programme during the last year is only 5.54 lakhs as against an allocation of Rs. 30 lakhs. The department has failed to make an effective use of the funds allocated under the programme.

The other observations relating to the functioning of the Directorates are:

- **Monitoring of the Programmes:** There is no regular monitoring of the programmes by the officers in the Directorate. This is evident from the information obtained from the Taluk level Officers. Regular visits by the officials is ought to have helped the department in bringing about effectiveness in the implementation of the programmes, helped in identifying agencies for the grant-in aid programme and also in resolving the problems confronted by the field officers.
- **The compensation to the victims of the atrocities is made through the office of the Deputy Commissioner.** The activities of the Directorate are found to be restricted to only receiving reports from the district and providing necessary budgets.
- **The department at the state level has failed to address itself to the challenge of bringing about increased awareness among the community members about the programmes implemented and also bring about a change in the social relations of the different community members in the villages. This is revealed both from the survey and visit to villages.**
- **It is surprising to know that even after so many years of implementing many schemes such as hostels, many of the community members in the villages have said that they are not aware of it. Thus, the directorate has failed to bring in increased levels of awareness among the community members through programmes.**
- **The Directorate has a separate cell called as Employment and Training Wing.** The function of this wing is to enroll the educated unemployed at the state level and sponsor the names to such of those institutions from whom there is a request. As on 1st June 2001 the Department has enrolled 55,149 educated unemployed with varied kinds of educational degrees/diplomas in the state.

The net result of the whole exercise is not found to be worthwhile. This is for the simple reason that the Government has issued a circular stating that the list of candidates for reasons of appointment has to be obtained from the Employment Officer of that district only. It is found that:

- ✓ The percentage of enrolled individuals is considerably smaller. Very few institutions have approached the department for sponsoring the names of the candidates
- ✓ The department has no feedback on the number of individuals who have got the placement
- ✓ The other function of the unit is to give training to the students of Schedule Caste. The same could be decentralized to the districts after notifying the names of institutes who have to be entrusted with the training work.
- ✓ With a view to identify cases of false issuing of caste certificates, the procedure of issuing validity certificates is practiced in the state. The system is not found to be effective, as it has not identified fake cases.

DEPARTMENT OF BACKWARD CLASSES

2.4 DIRECTORATE – DEPARTMENT OF BACKWARD CLASSES:

The Department of Backward Classes is headed by the Director and is assisted by two Joint Directors, three Deputy Directors, Five Assistant Directors, one Accounts Officer, One Gazetted Manager and other supporting staff.

The administrative structure is similar to that of the Social Welfare Department (see Appendix – 2: Organizational Chart). The total hierarchical levels within the Directorate are 6. Five Training Centers for Competitive Exams were also established by the Department in the Divisional Head Quarters. Each of these Centers had Principal, FDA, SDA and Typist. It is learnt that all of these institutions are wound up or in the process of closure.

Total Staff Strength:

The total staff strength at the field level is 1415 out of which Plan are 925 and Non-Plan are 490.

Details of Vacancy Positions at certain levels: The following table provides the details of vacancy positions of certain posts in the Backward Classes Department :

S.No.	Designation	Posts Sanctioned	Posts filled	Post Vacant	Percentage of vacant posts
1.	Backward Classes Inspector	40	15	25	62.5
2.	Warden (Women) post-metric hostels	92	19	73	79.34
3.	Ashram School Teacher	137	63	74	50
4.	Instructors in Tailoring Training Centers	49	10	39	79.59
5.	Superintendent of Pre-metric hostels (Men)	975	671	304	30
6.	Cooks/Conductress	2527	2247	280	11.08
7.	Kitchen Servant	1283	1054	229	17.83

It is found that in certain category of posts, the percentage of vacant posts is as high as 30 to 80 per cent. The high percentage of vacant posts for example warden, Superintendents etc., is expected to pose problems in the effective implementation of the relevant programmes.

Growth of Institutions and the Staff Position : It is further interesting to look at the growth of the institutions and the staffing position. This is being analyzed for two districts viz., Gulbarga and Belgaum.

(Rs. In Lakhs)

District	Women Literacy	Number of Institutions*	Amount Released / Provided	
			1978-79 (Plan)	2000-01 (Plan)
Gulbarga	38.40	151	13.08	323.03
Belgaum	38.70	117	14.55	129.79

* Institutions include Post-metric Hostels, Pre-metric Hostels, Ashram Schools, Residential Schools, and GIA to Private Hostels/Orphanages. The spending by the department for the institutions have increased substantially is because of the increase in the number of institutions established by the department. But there has been no increase in the staff strength to run these institutions due to lack of recruitment as per the reports of the officials and also to supervise at the divisional level. This clearly demonstrates the nature and type of planning in vogue. This calls for

redeployment of officers to the districts to oversee the programme implementation and recruitment of personnel for working in these institutions.

An attempt at studying the Directorate has revealed that:

1. The posts of Deputy Director (Co-ordination) and Assistant Director (Guidance Bureau) are redundant.
2. There is large number of administrative staff i.e. clerks and superintendents involved in the compilation of information.
3. There is delay in the movement of files because of 6 levels within the directorate and calls for level jumping.

The budget analysis for the last year reveals that there is under spending in terms of schemes such as Construction and maintenance of hostels, grant in aid to hostels etc.

During 2000-01 the budgetary allocation for construction of hostel buildings was 700.00 lakhs, but the expenditure upto December 2000 was 344.144 lakhs. On the other hand, the state of hostel buildings is very poor and requires budgetary support. The department has also failed to support large number of organizations to undertake the establishment of hostels through adequate budgetary provisions.

2.5 FUNCTIONAL REVIEW OF THE DEPARTMENT OF SOCIAL WELFARE AND THE BACKWARD CLASSES AT DISTRICT LEVEL AND BELOW

With the introduction of the Panchayat Raj, the funds of the social welfare department are directly released to the Zilla Panchayat (ZP). The General Body of the Zilla Panchayat approves the budget based on the Action Plans prepared at the district level and is required to be passed by the Social Justice and the Finance Committee within the Zilla Panchayat.

In respect of the district sector schemes, the Zilla Panchayat will further transfer funds to the Taluk Panchayat. The District Social Welfare Officer/Backward Classes Officer is the head of the Social Welfare/Backward Class Office at the District level and he is expected to assist the Chief Executive Officer of Zilla Panchayat in the implementation of Social Welfare Programmes. The District Officer is also the liasoning officer between the Taluk Office and the State Administration. He also liaises with the district administration in respect of payment of compensation to the victims of atrocities. The details of the staffing pattern are placed at Appendix - 1.

PROGRAMME IMPLEMENTATION AT THE DISTRICT LEVEL:

With a view to understand the functioning of the departments, the expenditure for the last three-year for certain programmes under plan and non-plan schemes is analyzed. The following table explains the percent of expenditure to the amount released under various programmes.

DISTRICT OFFICE OF THE BACKWARD CLASSES AND MINORITIES, KARWAR

**STATEMENT SHOWING THE EXPENDITURE INCURRED FROM
1998-99 TO 2000-01**

Sl.No.	Name of the Scheme	Per cent of Expenditure to the total amount released		
		1998-99	1999-2000	2000-01
1	2	3	4	5
PLAN SCHEMES				
1.	GIA to Private hostels	51.4	83.6	99.77
2.	Ashram Schools	86.39	80.22	73.29
3.	Incentive money	90.0	100.00	100.00
4.	Post-metric hostels	73.79	68.00	94.83
5.	Pre-metric hostels	59.91	59.86	118.62
6.	Post-metric scholarships	100.00	100.00	93.68
7.	Pre-metric scholarships	100.00	100.00	98.71
8.	Extra Boarding and Lodging	100.00	100.00	144.22
9.	Construction of hostels	128.58	131.84	100.00
10.	Enhancement of strength in Pre-metric hostels	110.00	118.43	112.78
11.	Repair of Hostels	100.00	141.08	97.84
12.	Tailoring Training Centres	23.9	145.38	111.63
13.	Enhancement of strength in Post-metric hostels	83.07	93.82	103.49
14.	Post-metric hostels	93.65	113.80	103.53
15.	Devraj Urs Birthday Celebrations	100.00	93.38	100.00
16.	Stipend to Law Graduates	-	96.2	99.49
NON-PLAN				
1.	Executive Establishment	80.19	127.10	119.26
2.	Women Welfare Centres	97.69	14.06	501.47
3.	Tailoring Training Centres	220.69	84.89	62.59
4.	D.T. Hostels	Nil		
5.	Ashram Schools	88.36	105.71	173.05

1	2	3	4	5
6.	EBL	62.5	100.00	100.00
7.	Fee Concession	103.90	100.00	99.89
8.	Post-metric hostels	72.95	95.99	140.44
9.	Pre-metric boys hostels	98.70	101.05	97.02
10.	Post-metric scholarships	92.41	100.00	87.60
11.	Pre-metric scholarships	90.09	100.00	87.20
12.	Typewriting and Shorthand	104.76	62.11	75.10
13.	Orphanages	67.86	55.33	100.00

- The performance of the district in terms of the various plan schemes is found to be good.
- Relatively poor performance in respect of the scholarship scheme is because of the reluctance in the community to avail the benefits. The interactions and discussions have revealed that as the amount provided is too small, there is not much interest in the community.

General Observations:

Administrative Functions	<ul style="list-style-type: none"> ● Burdened with compilation and furnishing of information to the Directorate and Zilla Panchayat ● Over burdened with meetings – on certain occasions more than 2 to 3 meetings per day ● Lack of control over the officials working at the Taluk level because the taluk officials are working under the Executive Officer of the Taluk Panchayat. This calls for certain structural changes ● Problems of inadequate staff ● Computerization work has not been taken up ● Lack of information on the functioning of the Corporations
Implementation of Schemes and Programmes	<ul style="list-style-type: none"> ● No effective co-ordination with the department at the district level for example repair and maintenance of the government buildings. This is because the budget for maintenance is with PWD ● No proper monitoring of the implementation of the programmes from the district level through regular visits and inspections.

Monitoring	<ul style="list-style-type: none"> • There are cases wherein the district level officials have not visited certain of the institutions i.e. hostels and are not aware of the conditions existing there. Generally the frequency of visits is very less and thus, the officials are found to be failing in their basic duties of ensuring proper implementation of the programmes. This is again because of lack of effective monitoring from the state level.
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2.6 INTERFACE WITH ZILLA PANCHAYAT:

With the establishment of Panchayat Raj Institutions at all levels there is change in the functioning of the department. The funds are presently released directly from the government to the Zilla Panchayat. The Zilla Panchayat prepares the plan of action and allocates money for the implementation of plan schemes. The general body holds detailed discussion on the performance of the various schemes during the last year and approves the plan of action.

The officers of the social welfare and the backward classes co-ordinate with the Zilla Panchayat i.e., the Chief Executive Officer and non-Official body in terms of preparation of plans and implementation of programmes. The programmes are also reviewed in the monthly KDP meetings. It is found that

- There is considerable delay in the approval and releases and thus causing delay in the implementation. The procedures involved in the Zilla Panchayat that is approval by Social Justice Committee and the Finance Committee is also causing delay.
- Cases of non-utilization and re-appropriation of funds are also reported.
- Zilla Panchayat administrations have not been completely successful in providing the required budgetary allocation for the programmes and also ensure better co-ordination among the departments. This is evident from the review of the implementation of programmes.

TALUK:

This is the last tier in the hierarchical levels. Taluk Social Welfare Officer is the head of the Taluk Social Welfare Office and he is responsible for the implementation of Departmental programme along with supporting staff at Taluk level (see Appendix - 1). Social Welfare Extension Officer who was also known as the Taluk Social Welfare Inspector supervises the institutions viz., hostels, Women Welfare Centers, Residential Schools, Tailoring Training Centers established by the department, exercises control over the personnel and also oversees the implementation of the scholarship scheme by undertaking visits to schools. Social Welfare Extension Officer directly reports to the Taluk Social Welfare Officer. In respect of the Backward Classes Department the structure is slightly different.

There is no separate office at the Taluk level. Instead, the Inspecting Assistant of the department is located within the office of the Taluk Panchayat and works

under the overall control and supervision of the Taluk Executive Officer. Both the departments are working under the Taluk Panchayat. Taluk Panchayat is also monitoring the implementation of the programmes. The administrative procedures as a result of this are also resulting in delays.

<p>Administration</p>	<ul style="list-style-type: none"> • Saddled with the problems like ensuring the co-ordination with the department and the Taluk Panchayat or other departments. This is again due to administrative problems. • Overburdened with attending meetings and issuing validity certificates • Inspecting Assistant of the BCM is burdened with administrative and executive functions as there are no other assistants
<p>Implementation of Schemes and Programmes</p>	<ul style="list-style-type: none"> • Confronted with problems like inadequate staff, untimely release of funds. • Delay in the release of funds • Not visiting the hostels / schools regularly because of lack of effective supervision.

2.7 REVIEW OF SCHEMES :

HOSTEL SCHEME :

With a view to reduce the number of school dropouts among the children of backward classes and weaker sections, the department has established government hostels. However, an important point to be observed is that each of these departments have come to establish different hostels for the Backward Classes, Scheduled Caste and Tribes separately. However, the students of other backward classes / scheduled castes or tribes are also admitted on a 75: 25 ratio in the hostels.

The following table gives the details of the hostel programme.

TABLE: STATEMENT SHOWING THE DETAILS OF PRE AND POST-METRIC HOSTELS IN THE SOCIAL WELFARE DEPARTMENT

(Rs. In Lakhs)

Department	Year	Number of Hostels		Student Strength		Expenditure Incurred	
		Pre-matric	Post-matric	Pre-matric	Post-matric	Pre-matric	Post-matric
Social Welfare	1998-99	1044	214	58960	16390	3236	402.44
	1999-2000	1064	239	63470	17640	4183	462
	2000-01	1090	263	64770	18870	4920	523
Backward Classes	1998-99	1074	182	55315	11795	3761.64	676.28
	1999-2000	1114	187	57315	12545	3980.47	791.65
	2000-01	1137	209	58405	13645	4790.40	1101.25
Scheduled Tribe	2000-01	67		3135		337.34	4.51 (upto Dec. 2000)
Minorities	2000-01	-	5	250	250	-	22.00

Thus,

- A large number of hostels have been established to enable the children to continue with their education
- Large number of beneficiaries are covered
- Considerable expenditure is incurred towards the schemes. These expenses are relating to the provision of food, supply of materials, sundry expenses for inmates etc.

OBSERVATIONS:

1. About 20 per cent of the pre-metric and more than 50per cent of the post-metric hostels of the social welfare departments are running in private buildings. The hostel buildings are very badly maintained. This is because of poor allocation of funds as also spending. The expenditure relating to the maintenance of the hostels are under the district sector and are maintained by PWD. The Maintenance of hostels is never a priority item for the department.
2. Some of the Hostels, Ashram Schools are lacking in basic amenities like water and toilet facilities. The students are found to be resorting to open air defecation was reported by the inmates and the officials. Students at the Ardhanaripura Residential Schools had gone to the lake for bathing on a Sunday.

3. There is lack of adequate kitchen staff and poor quality of food is supplied in the hostels. There is no proper timings for the food. In a hostel at Bijapur children are reported to be provided breakfast at 7.30 a.m. and lunch at 10.00 a.m. Local dietary habits have to be considered in deciding the number of kitchen staff and this is found to vary across the state.
4. No tutorial classes are organized within the hostels in any of the pre-metric hostels visited by the team. Children have expressed the need for tutorial classes and the school authorities have also reported about this. One of the reasons for dropouts from the hostels is that children from rural background are not able to compute with the urban-based school children. Many of the children are found to be going to tutorial classes.
5. No periodical medical checkups in the hostels and inadequate budgetary provisions towards this.
6. Departments are establishing hostels without any facilities. Thus, in Chamarajnagar it was found that two types of hostels were running in the same building
7. Problems of ghost boarders and the entry of outsiders and visits by various categories of officials and non-officials are found.
8. No adequate amounts towards sundry expenses like hair cutting, soap etc., is provided to the inmates. This is again because of corruption and inefficiency.

SCHOLARSHIP SCHEME:

A popular scheme of the social welfare department is the scholarship scheme provided to the students at all levels. The objective of the scheme is to motivate the community to send the children to schools by giving incentives to them. The details of the scheme during the year 2000-01 is provided in the following table :

TABLE: STATEMENT SHOWING THE DETAILS OF PRE AND POST METRIC SCHOLARSHIP SCHEME

(Rs. In Lakhs)

Department	Year	Number of Beneficiaries		Expenditure Incurred	
		Pre-metric	Post-metric	Pre-metric	Post-metric
Social Welfare	1998-99	1120162	5898	1482.96	124.21
	1999-2000	1206777	12854	1689.69	260.87
	2000-01	1139604	48169	1492.71	975.85
Backward Classes	1998-99	289074	78825	272.57	252.46
	1999-2000	255769	91621	371.12	257.46
	2000-01	369662	115221	321.74	296.76
Scheduled Tribe	2000-01	294540	4866	82.51	29.62
Minorities	No scholarship scheme				

● Expenditure upto December 2000

The rate of the scholarship amount provided by the different departments for the day scholars are as follows:

TABLE: STATEMENT SHOWING DETAILS OF SCHOLARSHIP SCHEME

Department	Type of Scholarship	Standard/ Level	Amount in Rs
Social Welfare	Pre-metric	1 st to 4 th Std.	75 p.a
		5 th to 7 th Std.	75 p.a
		8 th to 10 th Std.	100 p.a
	Post-metric	Upto Degree	90-120 p.m.
		P.G. Courses	190 p.m.
		Professional	
Backward Classes	Pre-metric	5 th to 7 th Std.	75 p.a
		8 th to 10 th Std.	100 p.a
	Post-metric	Upto Degree	300 p.m.
		P.G. Courses	400 p.m.
		Professional	500
Scheduled Tribe	Pre-metric	5 th to 7 th Std.	75 p.a
		8 th to 10 th Std.	100 p.a
	Post-metric	PUC	90 p.m
		DEGREE	120 p.m
		P.G. Courses	190 p.m
		Professional	190 p.m

Thus, it is found that the scholarship has been are of the major programmes of the department. However, the Minorities Department is not implementing the schemes. There are variations in the post-metric scholarship amount provided to the students. Considerable expenditure is incurred under this programme.

OBSERVATIONS:

1. The scholarship scheme is not only implemented by the social welfare department, but also by the education department (Rural Merit Scholarship Scheme) and the Department of Women and Child Development (Incentives to girl children). Thus, there is duplication in the scholarship schemes.
2. As a result of the delay in the release of the amount, there is delay in the disbursement of scholarship amount. The payments sometimes are made during the subsequent year. Hence, in case of children who have passed out of the school the money doesn't reach the beneficiaries.
3. There are reports of non-receipt of scholarship amount by the children belonging to Scheduled Tribes.

4. It is widely reported that the entire scholarship amount does not reach the beneficiaries at all. About Rs. 10-15 is deducted from the amount towards various expenses by the staff or personnel towards fulfilling the formalities
5. The scholarship amount is too small as compared to the expenditure incurred by them. The communities have very often complained about this. Thus, the department has failed to make the scheme more viable and useful to the beneficiaries.
6. Problems like the delay in the issue of application forms are noticed. The problem is at the level of the school. Even during August the schools in Uttara Kannada complained of non-receipt of application forms. In Bangalore Rural District, the Taluk Social Welfare Office was issuing the application forms to the schools at their office during September.

2.8 DR. B.R. AMBEDKAR RESEARCH INSTITUTE, BANGALORE.

Dr. B. R. Ambedkar Research Institute was established by the Government of Karnataka (Social Welfare Department) during the year 1993-94. The objectives of establishing the Institute are:

- To study the socio-economic status of Scheduled Caste and Scheduled Tribes population Karnataka
- To undertake evaluation studies on the ongoing Government Welfare Schemes and Programmes
- Institute proposed to attempt for a overall study of the future trends of Schedule Caste and Schedule Tribe population and the socio-economic, education and political potentialities and development.

The Institute is headed by a Director and is currently assessed by an Administrative Officer and few other supporting staff. Officials have expressed that the Institute has no in-house faculty to undertake research studies.

During 2000-01 the budget allocations for plan and non-plan is Rs.10.00 and 13 lakhs respectively.

Review of the Functioning :

Socio-Economic and Educational Survey of Schedule Caste and Schedule Tribes Families in Karnataka:

- Survey Completed during 1993-95
- Data Entry completed by Keonics
- Approached ISEC for writing the report during 2001
- Estimated cost Rs.1.28 crores
- Total expenditure incurred is Rs. 1 crores.

The Evaluation study on 'Supply of Tool Kits and other equipments from DIC in Karnataka:

- Entrusted to TECSOK.
- The project cost was Rs.50,000.
- The report is submitted to the Directorate by the Institute. No feedback obtained for the implementation of the programme

- There are no attempts to make use of the findings of the studies carried out in the institute.
- The institute does not have necessary personnel to under take research activities.
- The socio economic and educational survey of Schedule Caste and Schedule Tribe families is still incomplete.

2.9 PRE-EXAMINATION CENTRE FOR ALL INDIA CIVIL SERVICES, BANGALORE.

The Pre-examination Center for All India Civil Services, Bangalore, is a coaching center for Schedule Caste and Schedule Tribe students appearing for the civil services examination. . The Institute has a Principal, Office Manager, Personal Assistant, Accountant and Peons.

The Institute in all provides training for 10 months. The Institute is mainly depending on the outside resource persons in providing training and is said to have adequate library and the budget provided for the Center is Rs. 6 lacs during the last year

OBSERVATION:

- No candidate has successfully completed the preliminary exams during 2001 (total students 60)
- Staff do not have work for all the 12 months
- Performance of the center has been far from satisfactory

2.10 SRI DEVRAJ URS RESEARCH INSTITUTE, BANGALORE

Devraj Urs Research Institute, Bangalore, is functioning under the overall supervision of the Director, Backward Classes. The Institute has been in existence for the past 7 years. The purpose of establishing the Institute is:

- Supervision and monitoring of the programmes implemented by Backward Classes and Minorities

- To provide feedback for the better implementation of the programmes
- To organize seminars and workshops

The Institute has total staff strength of 20 officials. The budgetary provision for 2000-01 was 36 lakhs.

OBSERVATIONS:

- Only 3 to 4 Workshops and no research work undertaken
- Due to the policy of taking people on deputation no research personnel to undertake research/evaluation etc.
- No adequate work for the staff deployed in the Institute. Because the institute is not actively involved in research or allied works.

2.11 PERCEPTIONS OF THE OFFICIALS ON ROLE AND RESPONSIBILITIES AND FUNCTIONING OF THE DEPARTMENT

With a view to facilitate the understanding about the functioning of the department in relation to its goals and objectives and to understand the underlying issues in the implementation of the schemes, it was decided to contact the grassroots level officials in order to collect the required information.

The interview schedules are enclosed at Appendix - 5. The Taluk Social welfare officers (12) and inspecting Assistants (13) were contacted for this purpose. The findings of the same are briefly discussed in the following sections.

1. INSPECTING ASSISTANT, BACKWARD CLASSES DEPARTMENT

YEARS OF EXPERIENCE AND NUMBER OF YEARS AT PRESENT PLACE:

Sixty one percent of inspecting assistants have more than 20 years of experience 25 percent each from Uttara Kannada, Bijapur and Chamarajnar districts (see Table No. 2.1).

Sixty two percent are serving in the present place for the past one-year and rest of them are in this place for the past 2 to 5 years. The officers are from Uttara Kannada, Bijapur and Gulbarga district (see Table No. 2.2).

AREA OF WORK:

The details on the area of operation are provided in Table No.2.3.

Number of Villages Covered: With regard to the area of operation inspecting assistants are covering below 150 villages in Bijapur, Gulbarga and Chamarajnar

district. 61 percent of the total officers are covering 40 villages - 37 percent of them are from Uttara Kannada 25 percent each from Bijapur and Kolar and rest 21 percent of them from Gulbarga district.

Number of Urban Areas Covered: 69 per cent of them are covering up to 5 urban areas. The representation in districts is 33 per cent in Uttar Kannada and Bijapur, 22 per cent in Gulbarga and 11 per cent in Kolar district.

WORK PERFORMED:

The details on the area of operation are provided in Table No.2.4.

Number of Tailoring Training Centers Visited: Inspecting Assistants who have visited the tailoring centers are 25 per cent each from Uttar Kannada, Gulbarga, Kolar and Chamarajnar. Number of Scholarship Applications Verified: 53per cent of them have reported to have verified pre/post metric scholarship applications anywhere between 1000-5000. Only 15 per cent have verified above 5,000 (50 per cent each from Bijapur and Gulbarga).

Number of EBL Cases Verified: Of those who have reported to have verified only upto 5 cases, 66.6 per cent are from Uttara Kannada and 33.3 per cent from Bijapur. Of those who have verified 31 - 40 cases, the percentages are higher in Bijapur and Gulbarga districts.

Number of Schools Visited: 30per cent of the inspecting assistants have visited upto 50 educational institutions. This is 25per cent from the districts except Chamarajnar. Another 30 per cent of them have visited 50 to 100 educational institutions. 15 per cent of them visited upto 150 educational institutions and they belong to Uttar Kannada and Bijapur District.

POWERS OF INSPECTING ASSISTANTS:

With regard to Administrative and financial powers vested in them 41per cent of inspecting assistants have informed that they have powers to visit hostel, visit institutions, and the implementation of the policies (see Table No.2.5). About 16 per cent of the responses have spoken about financial powers such as drawing powers, move files independently and select students. 33per cent of them have refereed to lack of financial power and the need more independent power.

CO-ORDINATION WITH DEPARTMENTS:

With regard to the type of departments for co-ordination, 28per cent of them said they need to co-ordinate with Educational department (see Table No.2.6). Across the district the percentage varies from 9 per cent to 27per cent. Another 28per cent of the total respondents were of the opinion that they need to co-ordinate with revenue department, the Panchayat and Tahasildar. Many of these responses are reported from Bijapur and Chamarajnar. 18 per cent of the responses were relating to the departments like Food, RDPR, and Social Welfare. 18 per cent of the responses are related to land army, treasury, engineering, Forest and 5 per cent of them gave the response like Bank, etc. The respondents have said that the nature of problems confronted in working with the departments are not the same. In respect of education department, it is the issue and collection of filled-in application forms and also untimely disbursal of the scholarship amount. In respect of the food and civil supplies department, it is the delay in the supply of materials.

SUGGESTIONS FOR THE EFFECTIVE IMPLEMENTATION OF THE PROGRAMMES:

30% of the total respondents have reported of the support required from senior officers (see Table No.2.7). This has been expressed across the district by 28 percent of assistants except Chamarajnagar.

Another 30 per cent have suggested for awareness camps and enhancement in budget. 21 per cent of the assistant have suggested in discussions in meetings. Finally 17 percent of the responses are related to the establishment of taluk office.

IMPACT OF THE PROGRAMME:

39 per cent of the assistants have said that the programmes have helped in the development of the people and social upliftment of the people (see Table No.2.8). 44 per cent of these answers are from Gulbarga district alone. 30 per cent of them have said that it has benefited the education of the children and helpful for unemployed.

FUNCTIONING OF THE CORPORATIONS:

As regards the functioning of the corporations, 56 per cent of the assistants were of the opinion that corporations are serving backward classes better and implement special schemes (see Table No.2.9). 18per cent of the assistant were of the opinion that functioning of the corporation as not under their control 25per cent of assistant responses as they do not have any idea with regard to it this percentage was 50 per cent among Bijapur 25per cent each from Gulbarga and Uttara Kannada.

COMMENTS ON THE GENERAL FUNCTIONING OF THE DEPARTMENT:

On indicators like the information provided to the public, performance of the department, Adherence to the rules and Accountability of the officials. 60% have reported it to be good (see Table No.2.10). From the survey it is found that there is poor information on the programmes and performances of the department is not satisfactory.

VISIT BY OFFICIALS:

The officials visiting the department for reasons of inspections of the hostel, monitoring of the scheme or for the purposes of inspection of the offices are the Taluk Executive Officers, District Officer, District Manager of the Backward Classes Development Corporation and senior officers from the Directorate including the Director, Chief Executive Officer and the Deputy Commissioner. The frequent visits by the senior officers may be for reasons of proximity.

Since they are the routine visits, the results of the visit are reported to be good and satisfactory. One of the official has also reported of the visit of the non-officials. While such visits by the non-officials are expected to bring in greater amount of fear among the lower level officials, in practice it is reported and learnt that it is not so. Many of these non-officials are said to visit the hostels for reasons of collecting their dues (corruption) in kind or in cash. This is reported to be a very big problem coming in the way of the effective functioning of the hostels.

RECEIPT OF CIRCULARS AND NOTICES:

Almost all the respondents have replied that they receive all the circulars and notice in time.

MONITORING:

50 per cent of the assistant informed that they monitor the programs and schemes by contacting beneficiaries, spot inspection, responding to public, by annually visiting the willages. Another 50 per cent informed that they monitor by conducting meeting, and prepare checklist (see Table No.2.11). The follow up measures taken as spelt out by 50 per cent of the assistants was through submission of reports, 27 per cent through notices and 22 per cent of them said that they would make cuts in the salary and increment - are some of the measures undertaken.

SATISFACTION ABOUT WORK:

With regard to their satisfaction from work, 23 per cent of inspecting assistants were not satisfied of their work and they gave reasons such as they have to work overtime (see Table No.2.12). 46 per cent of them expressed satisfactory opinion about their work and 30 per cent of them felt their work as good and they gave reasons such as it is social work, help poor people below poverty line, inform about schemes and work for poor students.

FIVE MOST IMPORTANT FUNCTIONS:

The five most important functions stated by the assistants are:

- 19 per cent - implementing schemes
- 17 per cent - inspection
- 19 per cent - distributing scholarship
- 15 per cent - supervision of hostels.
- 27 per cent - report writing, DC bills, pay bills, attend files, and select hostel board.

Thus, it is interesting to know that more than 50 per cent of the their time is spent in the implementation and monitoring of the programmes. However, the fact that 27 per cent of their time is lost in the office work is indicative of the nature of the functions that they are doing i.e. both administrative and executive.

OBJECTIVES OF THE DEPARTMENT:

More than 90 per cent of the assistant felt that aims and objectives of the department to be development of the community.

OVERALL FUNCTIONING OF THE DEPARTMENT:

As regards their contribution to the overall functioning of the department, 20 per cent felt that it is by way of giving information to the beneficiaries. 25 per cent feel they are following job charts, attending to pending files and implement schemes (see Table No.2.13). 29 per cent feel contribute by submitting monthly report, inspection,

and scholarship. 25 per cent of them felt they contribute follow rules, convince principal and work hard. Their responses speak of the limited role of the officials in the whole department. It appears that they may feel that they are only a part of the system and that sense of belongingness or commitment is not found to be forthcoming.

DUPLICATION OF PROGRAMMES:

To the question whether similar programs are also implemented by other departments, only 30 per cent of the inspecting assistants felt that other department also implement the schemes like tailoring etc. A point to be noted here is that essentially the target group for the social welfare and the backward classes department are different. However, some of these schemes if viewed in terms of efficiency and economy may not be functioning as viable schemes.

PROBLEMS IN IMPLEMENTATION:

The problems that they face in discharging their responsibility 46 per cent of them have reported of lack of staff and office place. 28 per cent of the assistants have said that the subordinate staff has to be paid more salary, more table work etc., (see Table No.2.14). 25 per cent of the assistants have talked of the general problems like public pressure in the selection of the beneficiaries and no independent drawing powers etc. This explains the reasons for the inefficiency and the ineffectiveness in the implementation of the programmes.

46 per cent of the assistants were of the opinion they do not have any problem in identifying beneficiaries. 40 per cent of the assistant replied people do not give full information, the increased political pressure and lack of mobility. In order to solve the problem they face 72per cent of the assistant suggested some of the remedies like needing more assistants, release funds need vehicle and driver, quarters and separate BCM. Across the district the percentage varied from 7per cent (Chamarajnagar) to 30per cent (Bijapur). All the assistants felt there is no need of entrusting the hostels to private or other any organization.

DELEGATION OF POWERS:

53per cent percent of assistants felt they need more power. They were of the opinion they need the power of sanctioning loan, recovering loan avoid middleman, separate office at talk, and independent drawing power.

HUMAN RESOURCE DEVELOPMENT:

69 per cent of them have reported to undergo training. With regard to usefulness of the training 76per cent of the assistant felt it as good and very useful in verification, maintaining records, hostel running and implementing schemes.

77per cent of responses were in favor of capacity building programme. They are of the opinion that training should be given with regard to maintaining hostel, records, computer training scholarship establishment of good training centers and best administration.

2.12 TALUK SOCIAL WELFARE OFFICER

NUMBER OF YEARS OF EXPERIENCE AND NUMBER OF YEARS OF SERVICE IN THE PRESENT PLACE:

Majority of the Taluk Social Welfare Officers in the sample are found to be with good number of years of experience. 66 per cent of them are experienced for more than 25 years (see Table No. 2.15). Across the districts it is 25 per cent in each from Uttara Kannada, Kolar and Chamarajnagar. 33per cent each from Bijapur, Gulbarga and Chamarajnagar district are experienced between 21 to 25 years. Only 8 per cent of them are experienced upto 5 years.

As regards their experience as Taluk social welfare officer's 66per cent of them have an experience for 5 years in this post and 16 per cent of them are experienced for 6-10 years and another 16 percent of them for more than 25 years (see Table No.2.15). There are variations across the districts. As many of the present incumbents have been promoted from the post of inspectors, they have very little experience in working as Officers.

SERVICE IN THE PRESENT PLACE:

As far as the number of years in the present place is concerned 83 per cent of them are in this place for the past 2 years (see Table No.2.15). 40 per cent of them are from Kolar district only 16per cent of them are in the present place for the past 3 years. These officers are from Gulbarga and Chamarajnagar districts.

AREA OF WORK:

The details are provided in Table No. 2.15.

Number of Villages: As regards the area of operation, 25 per cent of the respondents are reported to be covering less than 30 villages. About 41 per cent are covering 75 to 150 villages. There are no variations in this regard across the districts. About a third of them have also reported to be covering any where between 151 – 500 villages. An important point to be observed is that there is no uniformity in the number of villages covered by these officers.

Number of Scheduled Caste & Scheduled Tribe Households: With regard to the Number of Schedule Caste and Schedule Tribe households covered 58% of them have said to be covering around 500 households. 28% of these officers are from Uttar Kannada and Kolar district and 14% of them from Bijapur, Gulbarga and Chamarajnagar have reported to be covering around 500 households.

Number of Hostels: 58% of the officers have reported that the Number of hostels in their area of jurisdiction to be less than 10 hostels. 28% of officers each from Uttara Kannada and Kolar, and 14 percent of Bijapur Gulbarga and Chamarajnagar districts have reported this. Another 42 percent of them have 11 to 20 hostels. 40 percent of the respondents from Chamarajnagar and 20 per cent each from Bijapur, Gulbarga and Kolar district have reported this.

COMMENTS ON ADMINISTRATIVE AND FINANCIAL POWERS:

50 Percent of the respondents from Bijapur and Chamarajnar district have said that they have to be given more administrative and financial powers (see Table No.2.16). 35 per cent of the total respondents (Bijapur (11%), Gulbarga (22%), Kolar (44%) and Chamarajnar (22%)) have referred to the need for more of administrative powers. Another 35 percent of the answers (Gulbarga and Kolar 44% and Uttara Kannada 11%) are related to the financial power to distribute scholarship, giving stipend etc. This is indicative of the centralization of powers. The type of programmes and the nature of interventions demand a structure, which is decentralized, accountable and responsible.

CO-ORDINATING DEPARTMENT:

The departments with which the officers need to co-ordinate on day-to-day basis are Animal Husbandry, Agricultural, Horticulture, Sericulture and veterinary. This has been reported by 56 per cent of the respondents. The percentage varied from almost 10% (Bijapur) to 29 percent in Chamarajnar district (see Table No.2.17). 14% of the officer's responses related to revenue, Zilla Panchayat, Taluk Panchayat etc., 37.5 per cent of the respondents from Kolar and 62.5 per cent of the respondents from Chamarajnar have referred to it. Thus, the lists of departments with which the officials are required to coordinate are very many. This is mainly for reasons of implementing the Special Component Plan component.

As expressed by the officers they experienced no problem with Education, Zilla Panchayat Schedule Caste and Schedule Tribe development, Animal Husbandry, Women and Child Welfare and veterinary. Some of them have said that the problems that they experience pertain to releasing of funds with departments like RDPR, Engineering department, Agriculture department and Taluk Panchayat. Problems in the implementation of the programme have been reported in respect of the departments like Agriculture, Horticulture Taluk Panchayat and Sericulture.

SUGGESTIONS FOR THE IMPLEMENTATION OF THE PROGRAMMES:

Nearly a third of the suggestions on the implementation of the programmes relate to streamlining of the implementation of the programmes like timely release of funds and the need for the convergence of the programmes.

Of them 50 per cent are from Chamarajnar and 33.3 per cent are from Kolar (see Table No.2.18). 22 per cent of responses relate to the inadequate staff and avoiding middleman. Officials have reported this from Gulbarga, Kolar and Chamarajnar. Thus, the responses have raised certain new problems like the problem of middleman.

IMPACT OF THE PROGRAMMES:

The impact of the programs as felt by the officers are that the programmes have resulted in people's development and they have been helpful to people. This has been stated by 27 per cent of the respondents. The provision of scholarships and hostels has also been reported by 40 of the respondents as impact. This has been reported from officials from Bijapur, Kolar and Chamarajnar. This is to imply that the programmes have been beneficial in educating the children of these scheduled groups.

SUGGESTIONS FOR THE CONTINUATION AND IMPLEMENTATION:

The officers gave some suggestions for continuation and implementation of the program. 30 percent of the officers were of the opinion that Schedule Caste and Schedule Tribe people should be helped and the programmes should address to their welfare (see Table No.2.19).

The officers except those from Gulbarga have made this suggestion. Another 30 % of the total number of officers representing Gulbarga, Kolar and Chamarajnagar have recommended for the implementation of more and more new schemes and release of funds for schemes. 23 per cent have recommended adherence to rules and regulations, early release of funds etc. Thus, the perception seems to be continuing with the programme implementation. However, the important point should be to enable the community to develop on par with other non-scheduled groups in the society.

IMPORTANT SCHEMES/PROGRAMMES OF THE DEPARTMENT:

Nearly 65% of the responses are related to scholarship, hostels, type writing scheme, computer training and women welfare (see Table No.2.20). Responses varied from 14% to 25% across the district. 28% of the of the officers have referred to programmes relating to eradicate untouchability, inter caste marriage etc.

This is reported by 41.6 per cent from Bijapur, 50 per cent from Chamarajnagar etc., 11% of the responses related to Agriculture, Horticulture, and implementation of Special Component Plan and Tribal Sub Plan schemes etc. Across the district 20% each from Uttara Kannada Bijapur and Gulbarga and 40% from the Kolar district have stated these schemes.

COMMENTS ON THE PROGRAMME IMPLEMENTATION:

With regard to their comments on the implementation 20% of the officers are of the opinion that before implementation the programmes have to be advertised thorough mass media (see Table No.2.21). This has been reported by 66% of officers from Kolar and 33% of Chamarajnagar.

Bijapur, Gulbarga (40% each) and Kolar (20%) officers have suggested adequate provision and release of funds. Excepting officers from Gulbarga others have suggested on the implementation of all the schemes through social welfare department. This is because many of the departments are also implementing schemes for the welfare of Scheduled Caste & Scheduled Tribe. This should be stopped to prevent wastage, duplication etc.,

FUNCTIONS PERFORMED DURING THE PAST THREE MONTHS:

Following observations could be made on the functions performed during the past three months:

With regard to hostel inspections large majority (72%) have visited only upto 10 hostels in the three months. This is evident in all the districts. Number of caste verifications carried out is less than 20 cases. Number of schools inspected with regard to scholarship distribution is less than 50 schools. Cases handled relating to the atrocities are upto 5.

Attended to VIP visit this proves the point shared by the villagers that the officers are not visiting the villages. Inmates in the 15-20 hostels also complained the same. The prevailing problems could be because of lack of effective monitoring.

COMMENT ON THE GENERAL FUNCTIONING:

The officers were asked to comment on general functioning of the department on certain aspects (see Table No.2.22). On the whole officers have stated their responses to be satisfactory and good with regard to the information provided to the general public. While the percentage of respondents stating this is more or less the same in Uttara Kannada, Bijapur and Gulbarga, the higher percentage of officials from Kolar and Chamarajnagar have said it to be good. But the awareness in the general public is found to be very poor.

With regard to performance of the department 50% of them have said it to be good and 50% satisfactory. The percentage varies across the state. This contradicts the complaints made by the public in the distribution of scholarship and maintenance of hostels. 58% of the officers have commented as good with regard to the adherence of the rules. 75 % of the officers expressed accountability of the officials as good.

RECEIPT OF CIRCULARS AND NOTICES:

Around 92 percent of the officers were of the opinion that they receive all circulars and notices in time. The percentages across the district varied from 18 to 27 percent.

MONITORING PROGRAMMES AND SCHEMES:

Around 57% of the officers have stated to be monitoring the programmes through spot inspection, visiting village, visit to hostel etc. The percentages varied from 6 to 33 across the district. 19 percent of them have said that programmes are through holding meetings. These are the monthly meetings held at the taluk level. The results from any of these meetings are generally nothing and only serve the purpose of fixing targets.

FOLLOW-UP MEASURES:

The follow-up measures taken up by the officers are by contacting seniors, by sending notices and cutting salary (43%). Across the districts the percentage varied from 14 to 28%. 37% of officer's responses have referred to monthly record check up, inspection and continuous interaction with the students.

SATISFACTION ABOUT THE WORK:

58% of the officers have expressed their satisfaction as very happy, good and excellent (see Table No.2.23). The reasons given for this was good job, backward people are developing, helping poor people and work for Schedule Caste and Schedule Tribe development. 33 % of them have attributed their satisfaction to the prevailing good opinion in the people and encouragement provided by people. Only 8% of the officers who are from Bijapur were not happy regarding the work as they expressed they are not experienced with article 32 and no vehicle has been provided for their work.

FIVE IMPORTANT FUNCTIONS:

The functions reported by the Taluk Social Welfare Officers are related to three aspects viz.,

- Implementation of Programmes/Schemes
- Administrative functions
- Supervisory functions

Large majorities in all the respondents have referred to the implementation of the programmes. However, it should be noted that in terms of actual performance reflected in terms of number of visits made to the hostels, schools etc., it is very poor. This shows the gap between the perception and the functioning and the reasons for the poor implementation of the programmes.

GOAL AND OBJECTIVES OF THE DEPARTMENT:

26. 76% of the respondents have state the goal and objective of the department to be development of Schedule Caste and Schedule Tribe, student's education upliftment of Schedule Caste and Schedule Tribe (see Table No.2.24). The percentage of responses across the districts varied from 13% (Uttara Kannada) to 39% (Chamarajnar). 16% percentage of the responses referred to implementation of the schemes meant for Schedule Caste and Schedule Tribe. The percentage of respondents range from 20% (Bijapur and Chamarajnar) to 60% (Kolar). 6% of the responses related to eradicate untouchability. 50% of responses each from Bijapur and Gulbarga. It is important to note that this fundamental problem of untouchability is not really addressed to in the programmes and repeated emphasis is placed on the implementation of the same from the officials.

CONTRIBUTION TO THE OVERALL FUNCTIONING:

The officer's contribution to the overall functioning and fulfillment of departmental objectives is by way of providing information to people about schemes, implementation of schemes etc., (52%) (See Table No.2.25). Nearly 22% felt that by working hard and sincerely they are able to contribute to the overall functioning. Across the districts the percentage varied from 20% to 40% except Kolar; 17% of the responses related to their contribution in functioning as taking care of Schedule Caste and Schedule Tribe, visit to Schedule Caste and Schedule Tribe colonies. This has been reported by 50% of responses from Uttara Kannada, 25% each from Kolar and Chamarajnar.

PROBLEMS IN DISCHARGING ROLE AND RESPONSIBILITIES:

With regard to problems in discharging their role and responsibility, 52% of the respondents have reported of lack of staff, vehicle and less fund etc. Majority (58%) of these responses are from Chamarajnar distinct (see Table No.2.26). This may be because it is a new district. 34% of problems are related to approval of Zilla Panchayat, public pressure, political pressure and finally they do not receive application in proper time. Percentages across the districts are 37%, 25% and 12% Chamarajnar, Bijapur,

Kolar and Gulbarga district respectively. 13% of officers did not express any problems discharging their duties (33% each from Uttara Kannada, Gulbarga and Kolar district).

PROBLEMS FACED IN THE IDENTIFICATION OF BENEFICIARIES:

Some of the problems as identified by officers in identifying beneficiaries are mainly political pressure (14%), no transport facilities to visit the villages (21%). It must be noted that a large number of Non Governmental Organisation staff that are doing equally good work are working without any of these facilities. 50% of the officers are of the opinion that they do not face any problems in identifying beneficiaries. 16% each from Uttara Kannada and Chamarajnar and 33% from Kolar and Gulbarga district.

HANDING OVER OF HOSTELS TO CBO's/NGO's:

25% of the officers were of the opinion that hostels should be entrusted to private Community Based Organization / Non Governmental Organization. Rest of the officers (75%) were not willing to entrust and the percentage varied from 11% to 33% across the district. This may be for several of them loosing job.

HUMAN RESOURCE DEVELOPMENT:

83% of officers have undergone training sometime in the past. Only 10 percent of these officers were not happy with their training (Bijapur district). 70% felt very happy and have said that the training programme was good and excellent. The percentage across the district varied from 14% (Uttara Kannada, and Gulbarga) to 42% (Chamarajnar).Some of the suggestions related to capacity building programme 59% of officers felt the need of training on record maintenance computer training, administration, office maintenance. The percentage across district varied from 7% (Gulbarga) to 46% (Kolar) district 22% felt the need of training of new schemes 9% regarding hostels and technical education and finally another 9% felt the need of Economic betterment and useful in routine work.

2.13 ISSUES AND CONCERNS:

TALUK LEVEL

1. Taluk Social Welfare Inspectors/Inspecting Assistants are not visiting the hostels regularly and as a result:
 - No control/supervision over the working of the staff members
 - Poor quality of services provided i.e. maintenance of hostels, type and quality of food provided.

This is because of the poor monitoring from the districts.
2. Taluk Social Welfare Inspectors/Inspecting Assistants are not monitoring the implementation of the scholarship scheme:
 - About 10-15 per cent of the scholarship amounts are not reaching the beneficiaries in view of promotion to higher classes (students of 7th standard and 10th standard in specific) and as a result of migration to other places

<ul style="list-style-type: none"> ● The Scholarship amount is found to be totally inadequate in meeting the required expenses. ● Complaints on non-receipt of application forms ● Delay in the release of amount from the Zilla Panchayat/ taluk Panchayat due to the present practice of 1/12th release
<ol style="list-style-type: none"> 3. Inspecting Assistant is burdened with both administrative and executive work and is working without much support from the staff at Taluk Executive Officer 4. Taluk Officers are spending more than 5-7 days in attending to the meetings. 5. Delay as a result of the submission of files through the administrative structure at the taluk Panchayat 6. Work discharged by the administrative staff in terms of papers disposed and disposal of files is found to be less than 60 files per month
DISTRICT
<ol style="list-style-type: none"> 1. Few Non-departmental officers functioning at the district level. –As a result they have less interest and stay for temporary periods 2. District Officers are burdened with meetings. Under the present set up meetings one convened at Zilla Panchayat level. 3. There is delay in the release of budget and there are cases of lapses with regard to releases. This is because of poor monitoring. 4. Dual masters – Zilla Panchayat and the Directorate 5. The district officer is Responsible for the implementation of the programmes, but the Inspecting Assistant is controlled by Executive Officer
STATE
<ol style="list-style-type: none"> 1. Budget Analysis: <ul style="list-style-type: none"> ● Under spending in respect of Construction of hostel buildings in the Social Welfare– State Sector and Centrally Sponsored Scheme. The percentage of rented buildings in respect of pre-metric hostels is 20% and the percentage of post metric hostels running in government buildings is 30% only. The Department spends only 50 per cent of the amount. In Backward Classes department under the head construction of Hostel Buildings, only 50 per cent of the funds in the Backward Classes department are being used under the head pre-metric hostels. ● Rs. 37 lakhs is found to have lapsed during the last year under the head maintenance of buildings ● During 2000-01 757 lakhs were allocated to Nursery-cum-women welfare centers functioning under the Social Welfare Department, which is duplication of the ICDS Programme. ● Only 10 per cent of the funds i.e. 39.63 per cent as against an allocation of 375.22 lakhs is used for pre-metric scholarships in the Department of Backward Classes 2. Administration: <ul style="list-style-type: none"> ● The Department that is a line department, is a monitoring agency and is also implementing large number of programmes has very large establishment at the

Directorate level. In respect of Department. Of Social Welfare there 106 staff members and in the Department of Backward Classes there are 80 staff members working in the Directorates.

- There are too many levels i.e. 6 levels in the Directorate itself and is found to be causing lot of delay in administration.
- Posts of Deputy Director – Co-ordination D.D (E &T) in the Social Welfare and Backward Classes Department and Assistant Director – Guidance Bureau in the Backward Classes and Deputy Director (Employment and Training) are found to be redundant.
- Directorate's role in the implementation of the programme is restricted to issuing guidelines rather than monitoring and coordinating the functions of the departments.
- No programmes on such major issues such as atrocities on Schedule Castes and to eradicate untouchability. On the contrary, more focus is towards giving compensatory benefits rather than finding a near lasting solution to this vexatious problem. No programmes have also been taken up to prevent the practices of untouchability which still continues in certain parts of the state and to bring about various programmes implemented for the benefit of these different sections of the community.
- The practice of issuing Caste Validity Certificate by the Deputy Commissioner is found to be quite repetitive and wasteful. The practice is not found in the neighboring states.

SCHEMES

HOSTEL SCHEME:

1. No proper maintenance of hostels; no hygiene and no good environment in the hostels
2. No proper timing for food – Breakfast and lunch within a gap of two hours
3. Quality of food is not good
4. Hostels are inadequate in terms of basic facilities like water, toilets etc.,
5. Hostel Superintendents has to pay bribes to 15 different types of officials and non-officials
6. No prescribed diet, while – instead costs are arbitrarily fixed – Backward Classes Department
7. Perception of the hostel by the grassroot officials is that it is a feeding centers
8. No adequate budgets for the tutorial classes and for medical checkup. Children are resorting to private tuitions
9. Funds for inmates for washing and hair cutting expenses not paid properly
10. No regular monitoring by Inspectors / Welfare Officers
11. Ghost boarders and others staying in the hostels
12. Hostel staff are harassed by leaders and the inmates (in case of post-metric hostels)
13. No satisfaction among the Inmates

2.14 **RECOMMENDATIONS:** Are spelt out in Chapter VI of the report

DEPARTMENT OF MINORITIES AND TRIBAL WELFARE

3.1 DEPARTMENT OF MINORITIES:

Department of Minorities was till recently a part of the Backward Classes Department. Government through an order during 1998 has established a separate Directorate for Minorities.

The objective of establishing the Directorate is (I) No programmes for the minorities were taken up (II) for reasons of focusing attention to the minorities and to oversee the implementation of the programmes for minorities.

3.1.1 DIRECTORATE – STRUCTURE AND FUNCTIONS:

A senior officer who is an IAS officer or a senior officer from the State Civil Services heads the Directorate. He is assisted by a smaller establishment consisting of Joint Director (1), Assistant Director (1) and limited supporting staff. The Department does not have any line staff of its own at the district level or down below. The Directorate is monitoring the implementation of the following schemes through the officials of the Department of Backward Classes:

Name of the Scheme	Scheme Highlights	Observations
Stipend to Law Graduates	<ul style="list-style-type: none"> • Training to two law graduates in each district through Government advocates or any other advocate with a stipend of Rs. 1,000/- • During 2000-01 69 candidates were supported 	<ul style="list-style-type: none"> • Similar scheme is also implemented by the Backward Classes Department.
Grant-in-aid to Minority Hostels	<ul style="list-style-type: none"> • Grant of Rs.350/- • 43 grant-in-aid minority hostels 	<ul style="list-style-type: none"> • Similar scheme is also implemented by the Backward Classes Department
Sanction of grant-in-aid for construction of hostel buildings by Minorities	<ul style="list-style-type: none"> • 25 per cent of cost as grant to minority voluntary organization • During 2000-01 sanction for 3 buildings provided 	<ul style="list-style-type: none"> • GIA scheme is implemented by the other departments
Stipend to ITI/Diploma students	<ul style="list-style-type: none"> • Rs.150/- per month stipend for 10 months • Benefits to 1271 candidates during 2000-01 	<ul style="list-style-type: none"> • Similar scheme is also implemented by the Backward Classes Department.

Grant-in-aid to Minority Orphanages	<ul style="list-style-type: none"> Boarding grant of Rs.150/- per child per month 	
Construction of Community Halls / Shadi Mahals for Minorities	<ul style="list-style-type: none"> Rs.5.00 lakhs as grant Rs.27.00 lakhs spent for 13 buildings 	<ul style="list-style-type: none"> Not beneficial to the community at large
Training of Minority Candidates for Competitive Exams	<ul style="list-style-type: none"> Provision of money towards fee, stipend etc., Rs. 1.05 lakhs spent during 2000-01 	<ul style="list-style-type: none"> Intended to benefit the better off among the minorities

BUDGET: The details of the budget for the department are as follows:

(Rs. In lakhs)

	2000-01 Budget and Expenditure				Budget for 2001-02		
	Plan	Non Plan	Total	Expenditure	Plan	Non Plan	Total
State Sector	220.00	43.20	263.20	217.321	400.00	45.72	445.72
District Sector	0.20	-	0.20	-	1.10	50.83	51.93
TOTAL	220.20	43.20	263.40	217.321	401.10	96.55	497.65

3.1.2 ISSUES AND CONCERNS:

- In view of the similarity of the schemes between Backward Classes and the Minorities Department, it does not warrant the existence of a separate directorate for the minorities. These objectives could be better achieved by creating the post of Deputy Director for (Minorities) within the Backward Classes Department.

3.1.3 RECOMMENDATIONS:

DOWNSIZING:

The Directorate of the Department of Minorities has to be abolished and merged with the department of Backward Classes in view of the similarity of functions and with a view to avoid duplication and wastage of scarce resources. This merger will result in:

- Adequate staff to effectively monitor the implementation of the programmes
- Bring better co-ordination among the officials
- Reduction in the staff and thus administrative overheads
- Avoids segregation of religious/caste groups and may result in better integration of these different groups
- Implication: Abolition of 6-10 posts. Rest of the staff at the Directorate will have to perform at the Secretariat.

3.2 DEPARTMENT OF SCHEDULED TRIBE WELFARE:

The population of the state not only consists of the Scheduled Caste population, but also the Scheduled Tribe population. The population is concentrated in the districts of present day Chamarajnar, Dakshina Kannada, Udupi etc. The relative backwardness of the community together with the economic deprivation as a result of displacement of the developmental projects has resulted in a greater need for the development of this community. The policies of development of this community rally around two ideas viz., helping them in the process of development, while continuing to support them to retain their traditional cultural crafts and practices. One of the organizations, which have been working with one such tribal group, is the VGKK, at B.R. Hills. This organization together with a collaborative partnership with the Government is trying to bring the issues of the tribal into the forefront. Sri Swami Vivekanand Center at H.D. Kote is also working on similar lines. The Scheduled Tribe population is reported to be 19,15,691, which is 4.25 per cent of the total population in the state. 49 tribal groups have been included in the list of the Scheduled groups.

The programmes of the government for the welfare of the tribal community were the responsibility of the Department of Backward Classes till 1999. The government with a view to give better focus to the community established a separate Directorate from 7-1-1999.

3.2.1 STATE LEVEL:

The Director is the head of the department at the State Level. The following staff assists him:

S. No.	Name of the Post	Sanctioned Post	Number of the posts filled up	Vacant Post
1.	Director	1	1	-
2.	Deputy Director	2	2	-
3.	Assistant Director	1	1	-
4.	Research Officer	1	1	-
5.	Asst. Statistical Officer	1	-	1
6.	Accounts Officer	1	-	1
7.	Office Superintendent	4	2	2
8.	FDA	7	4	3
9.	Stenographer	4	1	3
10.	Typist	2	2	-
11.	SDA	7	4	3
12.	Driver	3	1	2
13.	Group D	4	1	3
	Total	38	20	18

Of the total sanctioned post, only 20 of the officers and officials are currently working in the Directorate.

DISTRICT LEVEL:

At the District Level Tribal Sub Plan Schemes are being implemented through the Zilla Panchayat. In the 5 ITDP districts like Mysore, Dakshina Kannada, Udupi and Chickmangalur Project Coordinators and in the Non-ITDP Districts, the District Social Welfare Officer, Taluk Social Welfare Officers and Extension Officers looks after the Programme implemented by the development departments.

The department is running a number of institutions and the details are as follows:

S.No.	Institution	Numbers	Strength	Own Building	Rented Building
1.	Women Welfare Centers	70	3288	70	-
2.	Ashram Schools	99	5925	72	24
3.	Residential Schools	2	300	-	2
4.	Educational Complex	2	100	-	2
5.	Pre-Metric Boys Hostels	50	2410	26	24
6.	Pre-Metric Girls Hostels	17	725	9	8
7.	Pre-Metric Grant-in-aid Boys Hostel	18	1031	9	9
8.	Pre-Metric Grant-in-aid Girls Hostel	1	30	-	1
9.	Post-Metric Grant-in-Aid Girls Hostel	1	50	-	1

BUDGET PROVIDED FOR THE WELFARE OF SCHEDULED TRIBES DURING 2001-2002:(Rs. In Crores)

Sl.No	Sector	Amounts
1	State Sector	89.32
2	District Sector	56.69
3	Central Sector	20.31
	Total	166.31

The schemes implemented for the Welfare of the Tribal are from all the three sectors viz., Central, State and District sector. Thus, the programmes are implemented both by the Zilla Panchayat and the Department.

- ☉ The department has attempted at preparing a registry of the tribal groups taluk wise and implement the schemes on the basis of this.
- ☉ The type and nature of programmes are similar to the other departments excepting for increased thrust towards livelihood, housing etc.,
- ☉ The department has no sub-staff at the district or the taluk level. Hence, it is feasible to re-start functioning with the Directorate for Backward Classes.

3.2.3 RECOMMENDATIONS:

DOWNSIZING:

The Department should be merged with the Backward Classes Department. This is expected to help in:

- ✓ Adequate staff to effectively monitor the implementation of the programmes
- ✓ Bring better control, co-ordination and supervision over the officials
- ✓ Reduction in the staff and thus administrative overheads
- ✓ Avoids segregation of religious/caste groups and may result in better integration of these different groups
- ✓ Implication: Abolition of 25-30 posts. Rest of the staff at the Directorate will have to perform at the Secretariat.

EFFICIENCY, ACCOUNTABILITY AND TRANSPARENCY:

1. In order to overcome the problem of middlemen, it is suggested that the schemes should be given wider publicity; establish a public grievance mechanism at the district level; and ensure better treatment of the people who reach these offices through capacity building programmes for the staff.
2. Computerization and development of a data base has to be taken up on a priority basis by the department which will not only help the departments in becoming more efficient, but will also help in overcoming the present day problems of corruption among the officials.
3. Implementation of Scholarship scheme should be handed over to the Education department and the hostels to be entrusted to the Non- Governmental Organizations/Community Based Organizations/schools etc. There should be uniform guidelines on the scholarship amount. The ratio of intake has to be changed from 75:25 to 50:50 to enable better integration of the community into the society. Other suggested guidelines should be followed.
4. Department of Tribal Welfare should move away from a general policy of development of the tribal groups to a felt need based approach and the efforts should be initially to remove the disparities among the different tribal groups on various socio-economic indicators.

5. Capacity Building Programmes should be addressed to bring in greater sensitivity to the problems of these weaker sections of the community, to bring in greater motivation and accountability.
6. To bring in efficiency into the administrative set up, a certain percentage of savings out of administrative expenses could be provided as extra grants for Zilla Panchayat resorting to savings in the administrative costs
7. Guidelines for monitoring the compliance to the calendar of events by the government to be formulated.
8. A better co-ordination mechanism has to be evolved to avoid delays or lapses by making the department and the Zilla Panchayat responsible for the implementation of the programmes.
9. The role of the Social Justice Committee, Works Committee and the Finance Committee at the taluk Panchayat level should be evaluated.

DEVELOPMENT CORPORATIONS

The era of 1970's was marked by efforts towards the accelerated development of the weaker and the backward sections in the society, but the government attempted at finding alternative ways of infusing development. A paradigm shift from awareness and education leading to development to awareness, education and development through training and provision of subsidy and margin money to micro enterprises. To facilitate the implementation of these goals and objectives, Development Corporations came to be established. Presently there are three separate corporations.

4.1. DEVELOPMENT CORPORATIONS IN KARNATAKA:

4.1.1. KARNATAKA SCHEDULED CASTES AND SCHEDULED TRIBES DEVELOPMENT CORPORATION (KSCSTDC):

The first step in this regard was the establishment of the Karnataka Scheduled Castes and Scheduled Tribes Development Corporation in the year 1975 for the economic development of Schedule Caste and Scheduled Tribe families. The authorized Share Capital is Rs.100.00 crores and the paid-up Share Capital as on February 2001 is Rs. 95.32 crores.

"One important step for the benefit of the socially deprived castes is the establishment of Schedule Caste and Schedule Tribe Development Corporation. The Government of Karnataka with the main objective of assisting Scheduled Castes/ Scheduled Tribes for taking up various productive measures set up this Corporation in 1975. This Corporation is expected to provide necessary linkages between developmental agencies and the scheduled groups" (Rayappa and Sekhar).

4.1.2. KARNATAKA BACKWARD CLASSES DEVELOPMENT CORPORATION (KBCDC):

The next in the line was the establishment of Karnataka Backward Classes and Minorities Development Corporation on 28-10-1977. The brochure of the Corporation states the objective of the corporation was:

1. To provide financial assistance to those who want to establish micro-enterprises and thus become self-employed.
2. To provide loan amount at subsidized rates of interest
3. To provide training with a view to enhance professional skills.

4.1.3. KARNATAKA MINORITIES DEVELOPMENT CORPORATION, LIMITED (KMDC):

The Karnataka Minorities Development Corporation has been established on 7-2-1986. The Corporation is implementing a number of schemes for the welfare of Religious Minorities in the State viz., Muslim, Christian, Jain, Buddhist, Sikh, Parsis and Anglo Indians.

4.2. STRUCTURE AND FUNCTIONAL REVIEW:

The Organizational Chart of all the three Corporations are placed at Appendix-1. It is interesting to note that:

While the functions of the organization are the same, there are variations in terms of hierarchies or levels. Thus, it is found that the Managing Director in the Schedule Caste and Schedule Tribe Development Corporation is assisted by General Manager (P & A), Chief General Manager, General Manager (I&T) and General Manager (Finance). Each of these Chief General Manager/General Manager has their own independent establishments. On the contrary in the KMDC the Managing Director is assisted by two Development Officers and who in turn are assisted by sub-staff. Without going into the details like the rationale for the creation of these posts, it can be inferred that because of the autonomy that these Corporations are enjoying, each of these Corporations have evolved their own administrative structures.

Similarly, the structure at the District level is quite different. At the field level, in the KMDC there are either District Managers (5) or Development Inspector (16). In respect of KSCTDC, there is a District Manager assisted by Senior Office Manager / Recovery Officer, Taluk Development Officer and administrative staff. There are no taluk level officials in the KBCDC as well.

The details of the staffing position are as follows:

		Number of Sanctioned Posts	Number of Working Strength	Vacant Posts	% Of vacant posts
KSCTDC	Group A	43	32	11	25.58
	Group B	29	29	-	-
	Group C	424	239	185	43.63
	Group D	98	71	27	27.55
	Total	594	372	224	37.71
KMDC	Group A	3	1	2	66.66
	Group B	1	-	1	100.00
	Group C	79	37	42	53.16
	Group D	7	7	-	-
	Total	87	42	45	51.72
KBCDC	A	8	6	2	25.0
	B	29	17	12	41.37
	C	99	41	58	58.58
	D	05	01	04	80.0
	Total	141	65	76	53.90

It is important to note that the strength of these corporations in terms of their manpower should be the people who can work in the field i.e. in terms of selection of beneficiaries, guiding the beneficiaries and coordinating etc. Such field workers along with the administrative staff are grouped under Group C. The vacancy positions at both the Corporations 43.63 and 53.16 per cent in the KSCSTDC and KMDC respectively. The relatively high percentage of vacancies has affected the performances of these Corporations.

FUNCTIONAL REVIEW:

The Development Corporations under review are implementing a number of programmes like the Ganga Kalyana Scheme (Community and Irrigation Well Scheme), Training Programmes and the Loan Schemes. The following sections attempt to review the implementation of these schemes:

4.2.1. LOAN SCHEMES:

Name of the Corp.	Name of the Scheme	Scheme Highlights
KSCSTDC	ISB	<ul style="list-style-type: none"> ✓ Financial Assistance to start small scale industry ✓ Project Cost is from Rs.50,000 to Rs.30.00 lakhs ✓ 20% is margin money from the Corp.,
	Direct Loan Scheme	<ul style="list-style-type: none"> ✓ Corporation is implementing the Scheme since 1992-93 ✓ Project Cost is from Rs.50,000 to Rs.30.00 lakhs ✓ Term loan component is obtained from NSFDC
	Safai Karmachari Rehabilitation Programme	<ul style="list-style-type: none"> ✓ Support to take up alternative gainful activities ✓ 50% subsidy with a max. of Rs. 10,000 and 15% margin money loan
KMDC	Swavalambana Soft loan	<ul style="list-style-type: none"> ✓ Financial Assistance to start small scale industry ✓ Subsidy and Margin Money component (20%)
	NMDFC	National Minorities Development Corporation will release the loan in the form of margin money and term loan
	Loan through Co-op. Societies	✓
	Micro Loans	✓ Direct loan for small and petty business from Rs.5,000 to Rs.10,000
KBCDC	Chaitanya	<ul style="list-style-type: none"> ✓ Margin Money and Subsidy ✓ Max. Unit cost of Rs. 1.00 lakh

Listed above are the few major schemes implementation by the corporations. One major programme is the Direct Loan Scheme and those loans provided through the Commercial Banks. Under the Direct Loan Scheme, the Corporations provide both the margin money and the loan money as well. In respect of others only the margin money and subsidy is provided by the Corporation and the loans are provided through the Banks.

PERFORMANCE OF THE SELECTED LOAN SCHEMES AT STATE LEVEL DURING 2000-01

Corporation	Name of the Scheme	Physical Targets	Achievements
KSCSTDC	ISB	2000	1528
	Direct Loan Scheme	700	723
	Safai Karmachari Rehabilitation Programme	-	853
KMDC	Swavalambana Soft loan	4400	3828
	NMDFC	2500	1621
KBCDC	NBCFDC Loan Scheme		1845
	Chaitanya Subsidy cum soft loan scheme	9000	12688

The performance of the Corporations in the loan disbursement is found to be quite satisfactory. The KSCSTDC during the last year has released margin money of 425.43 lakhs under the ISB scheme and under the Direct Loan Scheme 263.15 lakhs as margin money and 1008.97 lakhs.

In respect of KBCDC during the last year it has incurred an expenditure of Rs. 450 lakhs towards subsidy, Rs.604.93 lakhs as margin money and Rs.701.35 lakhs as NBCFDC loan. In respect of KMDC the subsidy amount spent during the last is Rs. 183.89 lakhs and the loan amount disbursed through funding from NMDFC is Rs.452.96 lakhs. Thus, it is clear that the Corporations have been quite successful in advancing lot of money under the loan scheme.

However, when it comes to the question of recovery there are huge deficits. Corporations have also attempted towards networking with organizations like Karnataka Milk Federation, Fisher's Co-op. Societies etc., KBCDC's approach in this regard is found to be quite helpful in the recovery of loan. But this is also reported to be running into problems.

The issues relating to the loan schemes are:

- KSCSTDC is yet to recover Rs. 14 crores (approximately) which has been waived off.
- The recovery rate is said to be very poor. KSCSTDC has reported the recovery rate to be 20-22 per cent, KBCDC 52% and KMDC 44.96% (cumulative figures).

- Bank's unwillingness to collect the share of the Corporations from the beneficiaries. In many cases they have issued loan completion certificate even before the beneficiaries have paid the Corporation share.
- Corporations are not receiving any responses to the notices sent either from the District or the State level. Incorrect address is one of the problems. The poor recovery is because of the corrupt practices in the disbursement of the margin money or the subsidy and as a result either the beneficiaries are not paying or the officials are not in a position to exercise their authority
- The problem of middlemen. This is a very serious problem. This is said to be as a result of the subsidy component. More importantly, this is because of the poor administrative structure at the grassroots level.
- Loans from the National Development Corporation are being forced upon these state level corporations. In respect of repayments, the Corporations are expected to make 100 per cent repayments to the National Corporations. This is going to be a serious burden and may reach a stage wherein the Corporations have to be wound up for the same reason.
- Lack of efficient leadership within the Corporations. The appointment of non-officials as Chairman's of these Corporations and short stay of the Managing Director's are also important issues. Before the completion of the study the two Managing Directors of the two Corporations have been changed. Besides, it is learnt that the Corporations are paying footing the bills of the non-officials. One cannot understand why the Government is not nominating the non-official members, which would have resulted in some transparency into the functioning of the schemes.
- KSCSTDC under the ISB Scheme has provisions to support upto Rs. 30 lakhs for one particular loan. The question is are we making these programmes for the poor people who will be able to take advantage of it and come up in life or to the well to do.
- It is learnt that because of the lower rates of interest even the well to do are trying to take advantage of these schemes. This has to be streamlined.
- Cases of individuals availing multiple benefits to repay the bad debts or to take advantage of other training are also reported. Cases of loans being availed from different Corporations by the same individuals are also reported.
- Lack of proper identification of beneficiaries and lack of capabilities among the staff members to handle the scheme of things.
- The following table attempts to explain the poor recovery in the Uttara Kannada district in the State. The recovery position is very bad either in terms of principal or interest amount.

DEMAND AND COLLECTION OF LOAN SCHEMES OF KSCSTDC IN UTTARA KANNADA DISTRICT - 2000-01

Name of the Scheme	Percentage of principal amount collected as against Demand	Percentage of interest amount collected as against Demand
SEP Margin Money	0.37	0.26
ISB Scheme	27.85	168.66
LPS Scheme	1.01	15.69
SKRP Scheme	20.38	9.48
Direct Loan Scheme	16.99	132.45

4.2.2. GANGA KALYANA SCHEME AND THE TRAINING SCHEME:

Two other popular programmes of the Corporations are the provision of community/individual bore well to the target population to support the agricultural activities of these target groups and imparting training in new skills like the driving, computer, JOC etc., which would help them in becoming self-employed. The observations on the implementation of the Ganga Kalyana Scheme are:

1. Highly centralized system of administration. Works relating to drilling and pump installations are done by contractors appointed at the state level. This is found to affect the smooth implementation. Poor quality of work and no monitoring on the implementation of the programme. Cases of beneficiaries disposing of the lands after the bore well installation are also reported.
2. Payments by the Corporation for the servicing of pumps or payment of electricity charges for a period of 3 years is unwarranted.

As regards the training, there is great pressure on the officials and there is no follow up on the training given to the beneficiaries.

4.3 PERCEPTIONS OF THE TALUK DEVELOPMENT OFFICER (TDO) ON THE FUNCTIONING OF THE CORPORATION

The perception of the TDO's are presented in the following sections:

NUMBER OF YEARS OF SERVICE AND YEARS OF SERVICE IN THE PRESENT PLACE:

Of the total number of taluk development officers nearly 86 percent of them have reported to put in a service of 15 to 20 years in the department. It is only in Chamarajnar district the officers have lesser number of years of service (11-15 years). Seventy one percent of officials have put in 16-20 years as taluk development officers. The percentage of officials who have served as taluk development officers for more than 15 years are from Uttara Kannada, Bijapur and Kolar districts.

The total number of officials serving in the present place for 1 to 3 years is 66 percent. 25 percent in each are from Uttar Kannada, Bijapur, Gulbarga and Chamarajnar have reported this. Only 16 percent of the officials have served in the present place for 3-4 years from Bijapur district.

NUMBER OF VILLAGES:

With regard to roles and responsibilities, majority (71%) of them have said that they cover upto 50 villages. It is only in Kolar district the official is reported to be covering upto 500 villages.

NUMBER OF URBAN AREAS:

In addition to villages, officials are also covering urban areas. 57 percent of them are covering upto 5 urban areas.

NUMBER OF SCHEDULED CASTE AND SCHEDULED HOUSEHOLDS COVERED:

Officials from Kolar district are visiting upto 3000 Schedule Caste and Schedule Tribe household. Officials from Bijapur district visit more than 50,000 households.

PERCEPTION ABOUT POWERS:

Thirty percent of development officers expressed that their administrative powers rests in inspection of institutions, fieldwork and introducing new schemes. These officers are from Kolar and Chamarajnar districts. Gulbarga officials expressed that power should be given to taluk officials.

CO-ORDINATION WITH DEPARTMENTS:

The TDO's have stated that they would be generally coordinating with the revenue department and the taluk Panchayat. 43.47% of the total respondents have reported this.

While 40% of the TDO's in Bijapur district have stated this, the percentage is only 10% in the district of Uttara Kannada and Gulbarga district. The other important departments with which the officials are coordinating is the KEB and the Banks. This is reported by 26.09 per cent. This is because of the Ganga Kalyana Scheme and the loan schemes implemented with the Banks.

SUGESTIONS FOR EFFECTIVE IMPLEMENTATION OF PROGRAMMES:

When asked about their suggestion for the effective implementation of the programme a reasonable number of people (36%) mostly Bijapur (50%) felt the need for the effective implementation of the schemes, they also supported the view that a capable and right person must be chosen to implement the schemes. Others 27% from Gulbarga and Kolar held the view that the financial power extended should be increased from 50% to 100% and also that the District managers must be given all the authority. This is a point to be worth considered. Because of lack of powers the district offices are found to be working only as transit offices.

IMPACT OF THE PROGRAMMES:

A sizable number (37.7%) of officials from Bijapur, Gulbarga and Chamarajnagar held that people are developing and there is economic upliftment of the people due to the programs.

An equal number of TDO's from Uttara Kannada (66%) and Kolar (33%) were appreciative of the fact that the programme had not only created awareness but also extended good facilities to Scheduled Caste and Scheduled. The rest of the people who were mostly from Bijapur were not sure about the programme effect.

SUGGESTIONS FOR IMPLEMENTATION:

One of the suggestions made by the respondents is that more and more programmes have to be implemented. They have further suggested for the timely release of funds. This has been stated by 25 per cent of the officials from Uttara Kannada, Bijapur and Kolar districts.

WORK PERFORMED BY TDO's:

Most of the respondents have said that nearly they spend 30 days in the implementation of the programme and another 30 days in the monitoring of the programmes. The percentage of responses is varying across the districts. The other important work performed the officers is relating to the recovery of loan amount. While all the officers are found to be handling upto about 100 cases, the actual recovery is very low.

This speaks of the problems involved in the recovery of loan. The officers from Bijapur, Gulbarga have also said that they would be visiting financial institutions in connection with the sanction of the loan. The other activity reported by the officers is that relating to the identification of the beneficiaries for the ISB programme.

COMMENTS ON THE GENERAL FUNCTIONING:

The perception of the officials on the general functioning is elicited through their perceptions relating to:

- a. Information Provided to the Public
- b. Performance of the Department
- c. Adherence to the Rules
- d. Accountability of the Officials

The general perception on all these indicators is found to be either satisfactory or good. This is because through the Corporation a number of initiatives have been made to popularize the schemes viz., giving notices in the press and also circulating the notices in the taluk Panchayat Office and distribution of application forms in those offices. Similarly a number of initiatives have been made by the Corporation like drawing up a plan of action at the state level. Hence, a large number of officials have felt that the Corporation is performing well on other indicators.

VISIT OF THE OFFICIALS:

The TDO's have reported that a number of officials like the Senior Office Manager, District Manager, Deputy General Manager, General Manager and the Officials are reported to be visiting these offices. The frequency of these visits is found to vary from once in a week to once in a year. Generally these visits are for reasons of inspection or work relating to the implementation of the schemes etc. They have further reported that the visits were either good or satisfactory or was successful in solving the problems.

RECEIPT OF CIRCULARS AND NOTICES:

All the officials are of the opinion that they receive circulars and notices in time.

MONITORING OF THE PROGRAMMES AND SCHEMES:

Programmes are generally monitored by the TDO's through spot inspections; visit to the villages and by participating in the Grama Sabhas. But the feed back from the field is quite contradictory. It has to be noted that while they are visiting the villages, because of the vast jurisdiction these visits are not quite often as it is expected.

FIVE MOST IMPORTANT FUNCTIONS:

The functions stated by the respondents pertain to the planning, implementation and monitoring of the programmes. Thus, in respect of planning they have reported that they are involved in the identification of the beneficiaries, collection of the documents, contacting the District Manager for support etc., thus, they are found to be doing too many things.

GOAL AND OBJECTIVES OF THE CORPORATION:

The respondents have stated the goal and objective to the development of the Scheduled Caste/Tribe communities and the implementation of the programme related to it. 63.63 per cent of the officials have reported the development of the community as the goal and objective. The percentage across the districts is 28.6 per cent in each from Uttara Kannada, Chamarajnagar and Bijapur districts. 66.67 per cent of the respondents have referred to the implementation of the programme as the objective of their Corporation.

CONTRIBUTION TO THE OVERALL FUNCTIONING:

28.57 per cent of the respondents have said that their contribution is in terms of giving information to the people, selection of beneficiaries and the implementation of the schemes. This is reported by officers only from Bijapur and Gulbarga. 71.42 per cent have said that they are able to contribute through hard work, adhering to the rules and working sincerely for the Corporation. The responses listed out speaks of the limited role of the officers in the implementation of the programme.

PROBLEMS CONFRONTED:

The problems listed out by the respondents are the general problems of administration. However, very few of them have said that the community do not co-operate in the implementation of the programme.

The officials have also reported of the problem of middleman, the conflicts with the community members, and the political interference in their functioning.

CAPACITY BUILDING PROGRAMMES:

Almost all the officials have reported that they have undergone training programmes and the programmes were also useful. However, they have said that they would require computer training.

4.4 ISSUES AND CONCERNS:

1. A separate Minorities Development Corporation for a population coverage of 14.45% of population is unwarranted
2. Corporations have poor staff both in terms of number and the skills required to operate the type of programmes that is implemented. Lack of officials or inadequate staff at the Taluk level has seriously affected the performance of the Corporations. This is also reflected in the appointment of loan agents (KMDC) and seizing agents.
3. Ganga Kalyana Scheme - delay in energization, poor quality of work and maintenance by the Corporation. It is a completely grant-in-aid programme and can be implemented by the regular departments of the government
4. Thrusting of loans from the National Development Corporations and 100 per cent re-payment by the state Corporations will become a burden due to poor recovery of loan amount - 20% of Scheduled Caste and Scheduled Tribes Development Corporation to 52% of KBCDC
5. Lack of co-operation from the Bankers is resulting in the delay
6. Lot of pressure on the field offices at the district level
7. No proper recovery of the margin money
8. No proper identification of beneficiaries, selection of beneficiaries and follow-up activities in all the three Corporations
9. Rs. 14 crores loss due to the loan waive off and Corporation unable to collect the money - KSCDC
10. District Offices are only Post offices
11. District offices not in a position to serve notices because of lack of efficiency.
12. Duplication of schemes like the Micro Credit (KSCDC). This is also implemented by other departments.
13. KMDC was implementing ad-hoc schemes like granting Rs.50,000 as loan on mere fulfillment of basic formalities
14. Corporations are guided by wrong decisions and favouring certain groups - Direct loan scheme upto Rs. 30 lakhs
15. Appointment of seizing agencies and recovery agencies which is going to be a burden to the government and speaks of the incapability of the Corporations

4.5 RECOMMENDATIONS:

4.5.1 DOWN SIZING / MERGER:

1. All the three Development Corporations should be abolished.
2. Schemes like the Ganga Kalyana and the training scheme should be handed over to the departments.
3. The Loan Schemes have to be implemented through agencies like the NABARD who have the necessary expertise in this regard. Departments could stipulate the targets to be achieved in respect of different communities and co-ordinate in the implementation of these programmes.
4. Co-ordination with organizations like NABARD at all levels has to be ensured.
5. Government should seriously consider setting up organizations like the TECSOK for giving the required support to the young and budding entrepreneurs by way of guidance etc.,

Implications: Abolition of 474 posts.

RESTRUCTURING OF THE DEPARTMENT

5.1. FUNCTIONAL OVERVIEW:

One of the departments which has come into existence along with the revenue department and the health department is the Social Welfare Department. Social Welfare Department vested with the great responsibility of developing the Scheduled Castes and Tribes, Backward Classes, Minorities has not only ventured itself into new vistas of development viz., bringing about development through financing of self-employment programmes, but is also implementing a large number of schemes in the areas of education, training, including maintenance of a large number of hostels as well.

The Department of Social Welfare has four departments and three Development Corporations. While the function of the former is to bring about changes in terms of awareness and educational advancement, the function of the latter is to facilitate the process of development in these communities through training aimed at developing vocational skills in the unemployed and underemployed youths and provision of finances to individuals interested in taking up self-employment.

The review of the functioning of these departments has revealed that with a change in the implementation of the programmes i.e., from the departments to the Zilla/Taluk Panchayat there is a complete shift in the functioning of these departments. The earlier Vertical hierarchy of these departments has to be neatly meshed into the horizontal set up. There is great need for each of these departments to be integrated into the Panchayat Raj System at all levels than never before. It is to this fundamental shift that the process of reform in administration has to address itself to. The questions that arise as a result of this, namely, the identity of the departments etc., need not be dwelt at length here.

The Directorates which are the nerve center of these departments are found to have over grown in size. The large army of clerks in these departments are not churning out anything but is involved only in the compilation of data which can be very easily handled by a few data entry operators.

The executives in the line department are expected to help the subordinate offices through monitoring, co-ordination and supervision. But it is found that they are not doing so. As a result, there is no monitoring or the supervision of the programmes. This is very well reflected in terms of poor performance of the programmes/schemes; which was shared with the team by the villagers. This is not without its consequences.

As a result of this, the relatively deprived continues to be deprived of many essential things like the good education. It is further important to note that the challenge of development of these communities is addressed by the department through a set of schemes and programmes, but not addressing to the problems of increasing the awareness levels and bringing in greater motivation among the community, prevention of atrocities etc. The two research institutes viz., Dr. B.R Ambedkar Research Institute and Sri Devraj Urs Research Institute have not done much in understanding the problems of the communities.

Another major problem affecting the community is the continuing atrocities on the Scheduled Castes and Tribes. While the problem appears to be too little because of the smaller numbers that is involved, the larger question is how do we resolve these problems. It is found that these issues have not become a priority of the department. But the department is only implementing schemes of rehabilitation for the victims of such atrocities.

As regards the implementation of the schemes, situation is no better. It is surprising to note that the department is still continuing with schemes, which are implemented by the other departments. This is the case of the Women Welfare Centers. The Scholarship Scheme of the department which is said to be covering thousands and lakhs of children is finally ending up in giving paltry sums to the individual beneficiaries and the timing is very much improper. In respect of hostellers, the problems are two many. The state of hostels is in a totally bad shape and doesn't justify the spending towards it. While there are serious complaints of lack of government building, it is found that the department is not making use of the money available. The scheme of Grant-in-Aid to private institutions for running the hostels and the scheme of Extra Boarding and Lodging has not been explored completely.

The implementation of the programmes through the Corporations are also beset with limitations. The Corporations are moving towards a stage of closure with large number of defaulters and the repayment of the loan amounts by the state corporations to the to the National Corporations.

The inefficiency in these Corporations is reflected in terms of inadequate personnel, incapability among the staff to handle the functions and activities. In other words, the Corporations are not suited to carry out the functions expected of them.

5.2. RECOMMENDATIONS:

Even before pointing out the recommendations, it is necessary that the Department develop its own Vision. The Vision for the department should be:

VISION

Community Owned Department	Empowering People to own Institutions
Competitive Department	Entrust more and more Institutions to NGOs/CBOs/Corporate groups etc.,
Mission Driven Department	Transforming rule driven department to mission driven
Result Oriented Department	Funding outcomes not inputs
Customer Driven Department	Meeting the needs of the customers- Customer to be the central focus
Anticipatory Department	Prevention Better than Cure

5.2.1. RIGHT SIZING/DOWN SIZING:

1. Secretary Social Welfare continues to be in overall in charge of the Department. The line departments will become part of the Secretariat. There will be Directors (2) for Social Welfare (including Tribal Welfare), Backward Classes (including Minorities) working at the Secretariat and assisted by the Deputy Secretaries. Under secretaries and other staff.
2. Abolition of the post of Deputy Director Co-ordination and Deputy Director (Employment & Training) in the head office of the Social Welfare Department. In the Backward Classes Department Deputy Director (co-ordination) and Assistant Director (Guidance Bureau) could be abolished. In view of these suggested changes, the Employment and Guidance Bureau should also be abolished.
3. Abolition of the post of Assistant Director in the present set up in the directorates. Deputy Director will be the unit head and submits file to the Joint Directors.
4. Reduction of administrative staff by the computerization of all the works and up gradation of posts to that of Executive Assistants.
5. Abolition of the office of the Taluk Social Welfare at the Taluk level in the Social Welfare Department. Instead, there can be only one post of Taluk Social Welfare Inspector and he has to be made to work directly under the Executive Officer with an assistant. The post of Inspecting Assistant in the Backward Classes Department has to be upgraded and provided with an assistant. This can be coupled with streamlining the administration at the District level through the reform process suggested by the Administrative Reforms Commission in its interim report.
6. Abolition of Development Corporations. The loan schemes presently implemented through the Corporation should be implemented through organization such as NABARD who have the necessary skills and capabilities. Existing corporations have no capabilities to handle loan schemes and will become a burden to the exchequer. Government can instead establish organizations such as TECKSOK for providing guidance to the young entrepreneurs. The Corporate sector could be involved in such a venture.
7. Closure of Research Institutes viz., Dr. Ambedkar Research Institute and Sri Devraj Urs Research Institute and instead establishing chairs in the existing research institutes. On the same lines, the Pre-examination Centers run by the Social Welfare Department to be closed and support to be provided to the candidates by way of scholarship or stipend. The scholarship amount provided should be total reimbursement of expenses not any token grants.
8. Handing over of hostels to private organizations, NGOs, schools etc. The department should also strive to bring in the corporate participation in the implementation of the programmes.

Implications: Abolition of 525 posts in the Social Welfare Department as a result of closure of offices at the Taluk level. Three existing posts in each of these offices will be excess and thus 525 posts could be abolished. Merger of Directorates will reduce the staff by 100 and the abolition of Corporations will also result in the abolition of 282 posts in the Corporations. Creation of the post of Executive Assistant will also result in reduction of staff in a phased manner.

5.2.2. EFFICIENCY, ACCOUNTABILITY AND TRANSPARENCY:

1. One of the important steps should be towards forming a common pool of all officials of all the 4 departments, which would provide for interchange among the departments and thus bring in more efficiency.
2. Scholarship amount has to be revised to a minimum of Rs.250 upto middle school and Rs. 500 at high school level.
The scheme has to be entrusted to the Education Department to avoid duplication, wastage and for proper streamlining of the implementation.
3. More and more number of hostels can be entrusted to the private organizations/NGOs/schools/ community and the government should slowly withdraw from the burden of establishing and maintenance of the hostels. The government should explore the possibilities of obtaining the support from the Corporate Sector or to entrust the management of hostels to schools. The scheme has to be totally reworked in terms of personnel i.e. inmates and the student ratio taking into consideration socio-cultural factors. Thus, it can be a ratio of 3 cooks and 1 kitchen servant for every 50 children. Per capita spending has to be based on the diet chart prepared by experts and the funds have to be released according to the cost towards the prescribed diet. Other allowances like for sundry expenses should be enhanced to Rs. 25 per child for two months. The hostels should not continue on the caste lines.
4. To bring in greater efficiency the government should enlist the officials who have the powers to inspect the hostels and all other should be debarred from entering into these hostels.
5. Streamlining the release of funds at Zilla Panchayat level to two or three releases in one year.
6. Scheme such as Ganga Kalyana Scheme should be entrusted to the RDPR Department.
7. Government to reconsider the need for issuing the Caste Validity Certificates.

INTERFACE WITH PRI's:

1. Government to monitor the implementation of calendar of events at the Zilla Panchayat level.
2. Government may evaluate the role and the importance of the standing committee in the taluk Panchayat. This is expected to help in avoiding the delay in the implementation of the programmes.

5.2.3. OTHERS:

1. Department should move from the present trend of implementing schemes which have a limited approach towards the development of the community. The efforts should be towards ensuring communal harmony and thus bring down the incidence of atrocities on communal groups. Efforts also should be towards increasing the awareness of the governmental programmes. This calls for increased involvement of Non Governmental Organizations/civil society.

5.2.4. HUMAN RESOURCE DEVELOPMENT:

There should be greater stress towards bringing in greater sensitivity among the personnel towards the target groups and also to increase motivation and commitment through capacity building programmes.

The reforms suggested in the interim report relating to the Secretariat reforms to be made applicable in respect of the Social Welfare Department.

NOTE ON SOCIO-ECONOMIC INDICATORS

1. SCHEDULED CASTE POPULATION:

PROFILE OF THE SCHEDULED CASTES AND SCHEDULED TRIBES - KARNATAKA:

Year	Population Size (Figures in 000s)			Per cent of SC population to total population	per cent of ST population to total population	Number of	
	General	SCs	STs			Castes	Tribes
1961	23,586	3,117	192	13.22	0.81	100	44
1991	44,977	7,369	1,916	16.38	4.26	101	49

Nearly a fifth of the total population of the state is reported to belonging to scheduled castes and scheduled tribes. There are about 101 caste groups identified as belonging to Scheduled Castes and 49 tribal groups as Scheduled Tribes.

INDICATORS OF MODERNIZATION OF SCHEDULED CASTES, SCHEDULED TRIBES AND NON-SCHEDULED GROUPS

Indicators	All India		Karnataka	
	1961	1991	1961	1991
	1	2	3	4
1. Per Cent of Literate to Total Population -				
Scheduled Castes	10.27	30.06	9.06	38.06
Scheduled Tribes				
Non-scheduled Groups	8.53	23.63		36.01
2. Per Cent of Urban to Total Population -				
Scheduled Castes	10.70	18.72		16.38
Scheduled Tribes	2.59	7.39		4.26
Non-scheduled Groups	19.20	29.23		30.9
3. Per Cent Distribution to Total Main Workers -				
(a) Cultivators:				
Scheduled Castes	40.79	25.44		24.91 M
Scheduled Tribes	N.A.	54.511		11.76 F
Non-scheduled Groups	54.88	39.74		38.46 *
(b) Agricultural Workers				
Scheduled Castes	36.82	49.06		52.39 M
Scheduled Tribes	N.A.	32.69		69.50 F
Non-scheduled Groups	13.24	19.66		26.66 *

	1	2	3	4
© Non-Agricultural Workers				
Scheduled Castes	22.39	25.50		19.34 M
Scheduled Tribes	12.11	12.80		18.12 F
Non-scheduled Groups	31.88	40.60		28.97 *

The relative deprivation of the SC and ST population is well illustrated by the above table, which shows their position vis-à-vis other sections in terms of three main indicators of development and modernization during 1991. It is observed that:

- While there has been rise in the literacy levels among these groups over a period of time, the concern is about the continuing extremely large gap in terms of literacy levels
- The communities i.e. SC and ST are found to be largely rural based communities
- There is no proportionate share of SCs and STs in non-agricultural jobs.

The relative advancement of the community is also evident from the figures pertaining to the land holdings. At the All India level the percentage of land holdings held by the Scheduled Castes and the Scheduled Tribes group is 12.4 and 7.8 per cent of the total land holdings. This is as against 79.8 percent held by the Non-scheduled groups. It is important to note that the average size of land holdings for the Scheduled Castes, Tribes and others is of the order of 1.05, 2.25 and 1.72 hectares respectively. The access of Scheduled Tribes to land is; however, relatively better as compared to other social groups.

The work participation rate (total workers as percentage of total population) of the scheduled caste population is 44.66 and scheduled tribe population is 47.80 in 1991. This is higher than the work participation rate in general population. The profile of the working population of these two groups is as follows:

	Scheduled Caste	Scheduled Tribe
Primary Sector	78.83	85.29
Secondary Sector	10.43	6.44
Tertiary Sector	10.74	8.27

The above figures are indicative of the socio-economic condition of the community and the little impact of our developmental initiatives through various schemes, which has forced them to continue with their traditional occupations.

The participation of the scheduled castes in administration and public institutions continues to be low, especially at the higher levels. As a result, the institutions are dominated by higher castes, not genuinely responsive to the needs and aspirations of the socially deprived sections.

In order to understand the reasons for the failure of the developmental programmes in bringing about development one has to observe the relationship between the social structure and the development process. On this underlying relationship, Singh points out: "If the initial social structure including asset and power distribution is unequal, the fruits of development programmes are bound to be unequally shared as people and social groups differ in their capabilities to benefit from the programmes" (1996:26). In the light of this, the present exercise attempts to review the functioning of the Social Welfare Department. Even before attempting at it, it is necessary to have a broader understanding of the Scheduled Castes, Tribes and other backward classes in the state.

On the development achieved in these scheduled groups Rayappa and T V Sekhar elaborately writes:

"Large disparities existed between scheduled and non-scheduled population at the time of independence when the reservation policy was formulated. As a sequel to the implementation of several measures, disparities have now narrowed down to some extent in some selected fields . . . In this regard the real progress has been in bringing children of the scheduled groups into the school system. . . . Another area where important achievement has been made is with regard to employment in the government. The percentage share of scheduled groups in government services, which was very low to begin with during the time of independence, has now improved though not in proportion to their population size. . . . In general, improvements can be clearly seen in school enrolments and literacy, employment in the government services and representation in various elected bodies because of the policy of reservation. However, it should be acknowledged that much more remains to be done to bring them on par with the general population" (1996:51).

CONDITIONS OF SCHEDULED CASTES AND SCHEDULED TRIBES:

1. An important indicator of development is the level of progress achieved in the economic sphere. It is reported that one of the main reasons for the economic backwardness of scheduled groups is their non-ownership of assets (Rayappa and Mutharayappa, 1986). Majority of the households does not own any land worth the name. It is also reported in the various studies that the benefits are yet to reach the lower strata among the scheduled groups. This shows that disparities exist in the utilisation of various facilities by different castes and tribes. While conferring benefits, they have not been given to the poorest of the poor among them. Even the award of post-matric scholarships have been garnered by the most advanced groups among them (Rayappa, 1993).
2. The report of the National Commission for Scheduled Castes and Scheduled Tribes (1990) has examined the various factors related to the atrocities against Scheduled Castes and Tribes. Irrespective of measures taken by the governments, the atrocities against them are still occurring with distressing regularity (see discussions below).

2. SCHEDULED TRIBE:

The Scheduled Tribe population is reported to 19,15,691, which is 4.25 per cent of the total population in the state. 49 tribal groups have been included in the list of the Scheduled groups. The schemes implemented for the Scheduled Tribes are generally the same as that of the Scheduled Castes.

Tribal colonies have been established where provisions for minimum basic needs have been made. In addition, several schemes under tribal sub-plan have been initiated in 1976-77. Jenu Kurubas in Mysore district and Koragas in Dakshina Kannada district have been considered as primitive tribes and special allocations have been made in the tribal sub-plan for their upliftment.

The issues of concern relating to the development of Scheduled Tribes are:

- Development strategies have to aim at narrowing the gap between different sub-groups
- Programmes should aim at helping the families in coming out of the poverty conditions
- Re-settlement and rehabilitation of the Project Affected Tribal People
- Ensuring livelihood for the groups through restoring their right over their traditional occupations or ensuring alternatives

3. BACKWARD CLASSES:

The demographic composition of the Backward Classes is presented in the following table:

Category	Population	Total No. of castes including sub castes	percent to Total Population
Category - I	32,98,186	89-266	7.33
Category - IIA	81,08,011	101-253	18.02
Category - IIB	57,74,019	1-0	12.83
Category - IIIA	61,54,114	3-39	13.68
Category - IIIB	1,08,06,467	6-13	24.02
Total	3,41,40,797		64.74

In all there are 5 categories in the Backward Classes and the facilities extended by the government is reported to vary depending on the category. Thus, it is reported that while Category I has a separate allocation for pre and post-matric scholarships, 54 per cent of the allocation is earmarked for students belonging to Category-IIA students and only 18 per cent for Category-IIIB students.

3. MINORITY COMMUNITIES:

The population of the minorities in the state is estimated at 65.20 lakhs, which constitutes 14.45 per cent of the total population. The profile of the Minority population is as follows:

	Population as per 1991 Census	Population Distribution ¹		% of Illiterates ¹	% Households below Poverty Line (<Rs.6000 p.a.) ¹	Rep. in public service (%)	% to total no. of cultivators in the state
		Urban	Rural				
Muslims	52.34 lakhs	50.81	49.19	47	55	1.26	3.1
Christians	8.59 lakhs	-	-	-	-	-	-
SC Converted Christians	-	60.74	39.26	40	43	3.32	0.1
Other Christians	-	43.62	56.38	22	35	4.29	0.5
Jain	3.26 lakhs	-	-	-	-	-	-
Digambar Christians	-	23.89	76.11	37	50	1.81	0.7
Swethambar Jains	-	86.57	13.43	21	21	0.57	0.0
Buddhists	0.73 lakhs	41.57	58.43	48	65	3.18	0.0
Sikhs	0.10 lakhs	72.34	27.66	32	36	2.32	0.0

¹ Source : Report of the High Power Committee on Socio-Economic and Educational Survey – 1994 of Religious Minorities in Karnataka, Bangalore: Karnataka State Minorities Commission, 1995.

It is observed that :

- Population is distributed spatially across rural and urban areas
- Relatively high percentage of illiterates, households below poverty line and very negligible percentage of them are cultivators
- Representation in the public service is small.

In the light of the above discussions, it is important to understand the role of the government in helping these different communities in overcoming the inequalities through different welfare departments and corporations and thus ensuring social justice.

**URBAN
DEVELOPMENT DEPARTMENT**

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Executive Summary

1 General

1.1 Importance

- With the increase in urbanization from 31 to 34 per cent in Karnataka in the last one decade, the urban development department has a tremendous role to play regulating an orderly growth of towns
- Urban local bodies have been given a lot of importance under the 74th constitutional amendment. They virtually form the third tier of Government in urban areas. In non-urban areas, the Panchayat Raj system performs this role.
- Given that the per capita income in urban areas is much larger than the per capita income in rural areas, an orderly urban growth management is essential lest the organic growth lead to an unhealthy situation, the symptoms of which could be slums, congestion, poor environment, crime, etc.
- The present study is a functional review of Urban Development Department. The scope of the study is limited to the organizations coming under the UDD and located outside Bangalore, and to specific locations identified by the KARC.

1.2 Organization Structure

- The Secretariat of the UDD is the body that assists the Government in aspects of urban policy. It also acts as the regulatory and supervisory body for the Directorate of Municipal Administration, Department of Town Planning, Urban Local Bodies, Planning Authorities, Urban Development Authorities and special purpose authorities and corporations set up for urban management in the state.
- The urban development department has two functional line departments in the Department of Town Planning (DTP) and Directorate of Municipal Administration (DMA). A number of statutory bodies in the form of Corporations have also been set up to perform some specified tasks.
- The local bodies or municipal bodies have urban management as their main task.
- Urban planning is carried out through planning authorities and development authorities. These bodies are set up by the government to make long-term strategic plans for urban areas. Whereas Development Authorities do not get any budgetary support from government, the Planning Authorities do get some support.

1.3 The Secretariat

- The Secretariat is the policy making body and is the linkage between the Government and the department.
- A Principal Secretary–Urban Development heads the organization at the secretariat. In addition to the overall responsibility of managing the urban development department, all Bangalore based organizations directly report to the principal secretary.

Secretary, Urban Development, is the other key administrator in the secretariat. The Department of Town Planning, Directorate of Municipal Administration and all Urban Development Authorities report to the secretary.

- While its principal function is policy making, the day-to-day work of the secretariat largely consists of HRD matters such as promotions, transfers, etc. The time devoted to items such as Outline Development Plans and Comprehensive Development Plans is very minimal and consequently there is substantial delay in clearing these files.
- Many clarifications sought and received from the town-planning department can be reduced and quick and correct decisions taken if a qualified town planner is inducted to the secretariat. Such a practice is already there in other technical departments such as PWD and Irrigation. Alternatively, matters relating to ODP/CDP can be directly submitted by the DTP to the secretary as these are technical matters and the junior hierarchy of secretariat can hardly contribute any new item. For this purpose, the Director of Town Planning can be deemed as ex-officio additional secretary for matters pertaining to ODP and CDP. Another possibility is give powers for approval of provisional plans to the Director of Town Planning.
- All transfers for group B, C and D employees should be left to the concerned departments. Secretariat playing a role there is equivalent to interfering in day-to-day administration. Depending on the exigencies of the work, the heads of the departments can take a decision. Personnel matters concerning group 'A' officials can still be handled at the secretariat.
- Similarly all aspects of training should be left to the concerned heads of the departments. Significant training requirements exist in both town planning and urban management and the departments need to be encouraged to implement such programs proactively.
- We suggest that the following functions be transferred from the secretariat to the DMA: 1) the supervision of city corporations, development authorities and planning authorities, 2) the management of personnel matters pertaining to KMAS officers. Removing these responsibilities from the secretariat will ensure more time is available for its core focus on policy matters.

1.4 State Town Planning Board

- The State Town Planning Board, which has both official and non-official members, has an important role to play as advisor to the Government in all urban policy and land use related matters in both urban and non-urban areas. The Town planning board has not prepared any policy paper or conducted any major statistical analysis of urban settlements so far.
- It should immediately prepare a policy paper on urbanization in Karnataka and its impact on land and fiscal requirements. The needed infrastructure to sustain such urban settlements and the methods to provide them should be covered in the policy.
- It should take an active role in re-working out the town planning legislation in the context of 74th amendment to the constitution empowering local bodies.
- It should also work out the requisite changes required in cadre and recruitment rules of the town planning department.

- It should set up the database on all aspects of urban planning, management and finance.
- It has a role to play in sponsoring research studies, developing planning standards, software development and preparing planning manuals.
- The State Town Planning Board itself needs to be strengthened through the appointment of appropriate expert non-official members, and it needs to be more proactive, given it can play a pivotal role in providing policy guidance.

1.5 Town Planning Department

- The main problem in the department is the inadequate manpower, poor quality of manpower, cumbersome procedures, concentration on work which has hardly any planning functions and giving less importance to preparation of strategic plans for the city.
- For a period of fourteen months, this department functioned with only an in-charge person heading the organization. This should not happen in any organization as it will affect the organization's working internally as well as with outside agencies and will affect the morale of the employees. We suggest that six months before the head of the department retires, the search process should start for the replacement, and three months before the current director's retirement, a person should be in place as the new incumbent. Then a smooth transition can take place.
- Over a period of time no lateral entry to the department has taken place. The planning field is changing radically both in terms of technology and planning philosophy. The C & R rules do permit such lateral entry at the level of Assistant Director of Town Planning. Some lateral entry to the department is required immediately.
- The department will also be benefited if there is a provision to have positions of advisors or consultants for specific short term assignments. In the town planning department, these could be advisors for GIS, IT Applications, Traffic & Transportation Study, Environmental Impact Analysis and Project Management.
- There is a need to change Cadre & Recruitment rules to ensure that all appointees to the technical positions of ADTP, DDTP and JDTP have post-graduate qualifications in Town and Country Planning. In a highly technical department, which requires lots of inter disciplinary understanding of planning parameters, such a formal training is required. Experience alone is insufficient. The existing personnel, if they are in the age group of below forty years and have a graduate degree in engineering or architecture should be deputed for a post-graduate course in Town and Country Planning
- In addition, the Government should actively encourage employees to take study leave and complete a postgraduate course in Town and Country Planning. When such employees obtain a degree at their own cost, a few increments can be given to them as an incentive.
- The junior staff who are not graduates must be encouraged to enroll in the university to obtain their graduate degrees. The appropriate study leave or facility to attend evening classes may be granted to them subject to the exigencies of the department.

- The C & R rules should be modified to have graduation in Engineering, Architecture or a Master's degree in Economics or Statistics as the minimum qualification for entering JTP positions.
- The positions of junior planner and senior draftsman have almost identical functions – in terms of practice – as the functions have not been laid out. These two cadres can be merged into that of junior town planner.
- The positions of draftsman, traçer, blue printer, etc do not have any relevance in the modern set up. They can all be merged in to the position of Town Planning Supervisor.
- Similarly the positions of various types of clerks, stenographers, UDA, FDA, etc, are not relevant to Town Planning Department. A position of Office Assistant can cover all these positions. This group should be trained extensively in the usage of computers. Probably many positions were created as a promotional avenue rather than because of changes in job content. Two or three levels within the category of Office Assistant such as 1, 2 and 3 levels can be created to help with promotional opportunities.
- Overall in the town planning department, the ratio of technical staff to supporting administrative staff should be less than one.
- In terms of organization structure, some modifications are suggested. Director of Town Planning will head the organization. The DTP office should be given full autonomy regarding training, deputation to seminars, type of computing facilities - both hardware and software, and other equipment.
- The department should take up Regional Planning exercises and fit in the ODP/CDP concepts within that framework. Abandoning the preparation of regional plans is a big mistake. The preparation of such regional plans should be entrusted to ranks of JDTP.
- Four zonal offices each covering about 6-7 districts can be formed. A Joint Director can head this zonal office and should have adequate supporting staff. All the matters pertaining to plan preparations within the zone should be dealt at this level only. The zonal office should also carry out regional plans within the zone.
- The district offices of the ADTP have too small a staff strength to provide any meaningful technical inputs. Three neighboring districts can be amalgamated into one office headed by a Deputy Director, with the support of two ADTP and junior technical and administrative staff. The advantage of such amalgamation is the better usage of technical staff in plan preparation by assigning more people to such work when there is more load. Absence of some technical people on short or long leave will not halt the work as other people can look after it. The officers / technical staff will visit the planning authorities / local bodies on specified days to carry out routine support services.
- The work of issuing Commencement Certificates (CC) which was carried out by the town planning department through UDA / PA, can be transferred to the MPA. Their engineers can be given training on all aspects of issuing building licenses from the town planning angles such as land use, floor area ratio, and building setbacks. This will substantially reduce the workload, and travel carried out by the ADTP and junior town planners who can be used for the preparation of ODP/CDP. However, the department of town planning should still carry out the work of change of land use and layout approvals.

- The preparation time for ODP/CDP should be speeded up. Currently the average time taken from beginning of declaration of planning area to the completion of CDP is about 19 years. With such long time for the preparation of strategic plans, it has become almost impossible to regulate urban growth. Further, the plan based on studies conducted two decades back will also be quite irrelevant. This work should be completed in a period of 3-4 years. The proposal mentioned above regarding office restructuring will release substantial workload of junior staff, which can be used for this purpose. By suitable change of legislation, this two-stage process of ODP/CDP can also be brought to a single stage.
- The town planning department should be fully equipped with computer software and hardware, and trained staff to make full use of this system. It should be noted that the field of hardware and software changes very rapidly. Even within a period of three to four years, many systems become obsolete. Regular budgetary support is required to keep the department up-to-date. Alternatively, a part of the money earned by the department through their support activities for CC, layouts, etc., can be earmarked for this purpose.
- Base map preparation is a time consuming and tedious task and requires proper type of instrumentation. There is a good possibility for outsourcing this work, which will be cost- and time-effective.
- The preparation of ODP / CDP should be a departmental job and should not be outsourced. However, selected aspects of these development plans such as specific town planning schemes, or traffic and transport improvements can be outsourced, that too in complex cases for which the department may not have enough expertise. Every such outsourcing should be a completely transparent exercise with open bidding by all qualified groups.
- The department should use web based information services about all aspects of its ODP / CDP and should be enabled to receive public comments and suggestions through the net. This aspect of the work can be outsourced. Such measures will make the task of the public easier whenever they need to interact with the department of town planning.
- The department should immediately start work on the development of the Urban Management Information System and link it with the Geographical Information System. Standardized hardware and software should simultaneously be used in head office and field offices.

1.6 Urban Development Authorities and Planning Authorities

- The urban development authorities are statutory bodies without any financial support from Government. Their main role is to prepare strategic plans to guide urban development and provide the requisite infrastructure. Urban Development Authorities' role is limited consequent to 74th constitutional amendment empowering local bodies to take up planning work.
- The UDA consisting of a chairman, a committee, the chief executive and other staff are appointed by Government. The staffs of the authority are generally on deputation from various Government departments. In some cases, it is full time deputation, in

which case the authority pays their salaries and in some cases it is part time deputation when the concerned departments bear the salary expenses.

- The main source of revenue to the authority is through formation of layouts, fees charged approval of private layouts, issue of commencement certificates for buildings (CC), commercial development, etc. Only bigger cities where there is a large amount of economic activity will be in a position to raise sufficient revenues to meet both the capital and recurring expenditure of development activities.
- Development authorities for smaller urban areas do have financial problems. Their main revenue is from CC and private layouts. A substantial part of the revenue is spent on salaries, telephone bills and local travel expenses, leaving hardly any money for developmental activities.
- Due to their low revenues, they are not in a position to have qualified full time town planning staff within the authorities. Currently, the town-planning department carries out all the work of the UDAs in most of the places. As such, we recommend that only urban areas with more than 5 lakh populations may be considered as possible candidates for continuing as UDA. **In other places, the UDA should be replaced with Municipal Planning Authorities.**
- Independent Planning Authorities are similar to UDAs. Their work load, financial status, manpower status is very similar or even worse than that of UDAs. Similarly, all independent Planning Authorities should be replaced with Municipal Planning Authorities. Suitable action regarding planning area jurisdiction should be worked out.
- The retained big urban development authorities should have a full time town-planning member and adequate technical staff deputed from the town-planning department. This factor itself can be a criterion to determine whether the UDA is financially strong enough to justify an independent existence. It is better if the commissioner of the authority is either a town planner or from the KMAS, as they will be conversant with urban problems. Required changes in the act should be brought out.

1.7 Directorate of Municipal Administration

- The work functions of the directorate are essentially of the nature of HRD tasks. It also works as an appellate body regarding disputes concerning HRD matters. The DC exercises substantial amount of control on local bodies regarding expenditures, asset creation and local public grievances.
- The Directorate of Municipal Administration does not have any powers regarding grants to local bodies, manpower structure in local bodies, transfers and promotions or on scheme implementation. The Government's approval is required for all these activities and the role of the department is more in the nature of a scrutinizing and recommending body
- We think that there is need for this department to go beyond its present focus on HRD functions as substantially the DC and the secretariat are carrying out this work. For example, there are other important works concerning urban management which are not being looked after by anybody and this directorate is the ideal body to carry out such tasks.

- Almost all the manpower in the department in level of Group 'A' officers is obtained through deputation from other departments. In terms of functions there is a need for a change.
- With reference to the control of local bodies i.e., Town Panchayats and Town Municipal Councils and City Municipal Councils, powers of scheme scrutiny, physical inspection, staff matters, etc., can be completely transferred to the DC. Inducting a KMAS official and some supporting staff in the DC's office in the place of the municipal tahsildar will strengthen the DC's office. This is also appropriate as local issues can be more effectively resolved in the districts rather than in Bangalore.
- DMA can take the lead in developing appropriate software for the use of local bodies. The type of IT applications relate to tax collection, defaulter lists, khatha certificates, death and birth certificates, building permissions, completion certificates, budgets, project management, voters lists, etc.
- DMA should also look into the training needs of the employees of the local bodies in urban management generally, and specifically in computerization, town planning, and urban finance and project management. They should build up the required expertise to offer induction courses to new employees, refresher courses to middle level employees and advanced courses to senior officers.
- The DMA can also be assigned the work of regulating the City Corporations, thus subtracting some work from the secretariat.
- It can also handle HRD matters regarding KMAS officials including transfers and promotions thus further subtracting the work from the secretariat.
- If the above recommendations have to be implemented, the staff pattern of the DMA will have to be totally changed from the current staff pattern which is more geared to handle HRD and legal works.

1.8 Local Bodies and Municipal Planning Authorities

- The 74th constitutional amendment empowers local bodies substantially. They virtually form the third level of government for urban areas. Some of the functions currently carried out by planning authorities can be transferred to them. All aspects of urban planning and management should be carried out by local bodies.
- Currently, both the Department of Municipal Administration and the DC supervise the urban local bodies. Most of the works related to schemes and also other day-to-day problems are supervised by DC. The urban local bodies visited indicated that their relation is more at the level of DC who is the person located at the district level rather than at the DMA which is located far away in Bangalore.
- The local bodies get financial grants under various schemes both from central government and state government. In addition they have limited powers to raise taxes. The obligatory and discretionary functions of local bodies are laid out according to the Municipal Administration Act, 1984. But the grants do not meet the requirements of the organizations even to discharge their obligatory duties. Strengthening of urban finances is their first demand.

- The local bodies do not have autonomy regarding staff structure or strength and these are determined by the Government. The Government pays the salary of staff through local bodies and also directly takes care of their retirement benefits. However, they have powers to contract out the work. Many local bodies have used this provision to contract out sanitation activities and street light maintenance.
- Now that the planning activity also needs to be carried out by the local bodies, the planning authority can be a part and parcel of the local body. Substantial load can be transferred to local bodies by creating Municipal Planning Authorities in place of UDAs or Independent PAs.
- However, all the local bodies will not have the strength—human resource or financial or technical—to prepare development plans. So it is still the town planning department which will have to assist the local body to prepare the development plans and help in getting approval for the same. The municipal planning authority will subsequently implement it. A prerequisite is that the planning area and municipal area should be one and the same.
- The engineering staff of the MPA can be trained by the town planning department to look after the work of issuing CCs. In the first instance, the CC of residential buildings can be given to them with the town planning department still providing technical opinion on non-residential buildings. Similarly, the opinion of the town-planning department should become mandatory for all layout approvals and in matters concerning change of land uses, notification and de-notification of land to town extensions, etc. A part of the revenue earned by the MPA, say 25%, through CC, layouts, etc can be transferred to DTP for its technology up gradation. The transfer of funds can be through the State Town Planning Board.

1.9 Action Plans

- The UDD should prepare an action plan to implement the above suggestions. This action plan should relate to the change in the functions of the departments and the required technical manpower.
- The Town and Country Planning Act needs to be revised to give a status to regional plans. Similarly, to speed up the development plan preparation, certain amendments will be required in the act, e.g., consolidation of the ODP / CDP process.
- The C & R rules of the department should also be revised regarding the basic qualifications required at different levels in the town planning department
- Induction of IT approach to urban planning and management requires a total change of mind-set at the level of employees in addition to financial commitment from the Government. The DMA should work out an action program for this.

INTRODUCTION

The Government of Karnataka has resolved to take concrete steps to improve efficiency, enhance transparency and ensure accountability in government operations internally and in its dealings with its citizens. In order to accomplish these goals, the Government of Karnataka has established the Karnataka Administrative Reforms Commission (KARC) and given it a broad mandate to streamline administrative procedures and suggest ways in which both the structure of government and its functioning can be transformed for the better. The KARC has therefore embarked on a functional review of major departments of government, covering all hierarchical levels. Implementing the spirit of outsourcing, the KARC has entrusted the Indian Institute of Management Bangalore with the charge of conducting a functional review of five departments, viz., Commerce and Industries, Forest, Irrigation, Public Works, and Urban Development. The objective of this review is to analyze the nature of departmental operations and to suggest methods to improve efficiency and effectiveness, enhance procedural transparency and implement Information Technology (IT) solutions to improve service delivery at all levels in the above Departments.

1.1 Study Assignments

This study covers the following aspects of the Urban Development Department:

- Rationale for functions and departmental activities in the context of current perceptions and policies at the macro level
- Nature and spread of schemes / activities supported from state budget or central / externally aided programs / projects, and the proliferation and duplication of schemes. This part is limited to macro level issues.
- Linkages between all entities connected with the main department, overlaps and complements with other departments, public sector enterprises and functional agencies, at the macro level.
- Nature of planning and decision-making, level of decentralization for approval of schemes, provision for feedback and iterative corrections, efforts to address delays at different stages of implementation or delivery of services.
- Departmental structure at various levels, including the Secretariat, the Directorates, Divisions, Districts and Field Offices, and the nature of delegation of authority and financial linkages in the main line department.
- Number of employees at various levels, scope for merger / outsourcing of tasks to reduce employee strength, extent of surplus employees at every level and in each cadre for main line department.
- Nature of Secretariat procedures, extent of computerization, record management and retrieval.
- Nature of measures undertaken for effective utilization of budget provisions at the Secretariat and Head Office levels.
- Nature and quality of performance evaluation, recognition and reward systems, and of steps undertaken to enhance morale and motivation, from a macro level, qualitative perspective.

- Nature and extent of human resource development through training at the workplace and outside.
- Steps for internal communication of departmental goals and expectations to employees at all levels, and publicized procedures for public grievance redress and consultation.

1.2 Citizen Views

From the perspective of citizens, the following issues are important:

- Publicly available and accessible information about the services provided by department and its agencies at different levels and declarations of citizens' charters, etc.;
- Level of transparency in the working of the departments and their agencies; access of people to information on activities and decisions, speed of response to demands for information, and grievance redress mechanisms;
- Quality of service delivered through counters, and constraints of employees in responsive delivery

1.3 Scope of the Study

The scope of the work includes the detailed analysis of the structure, functions, cadres and manpower at different levels of the main line departments, i.e., Town Planning and Municipal Administration departments. The linkages of these main line departments with other statutory bodies such as Urban Development Authorities & Planning Authorities, City Corporations & Municipalities have also been analysed to enable the development of measures to improve the functioning of the main line departments.

The study covers the functions and cadres of the urban development department at the Secretariat, head offices of the main line department, the offices of the main line departments in selected taluks of the selected districts and linkages to statutory bodies located in selected taluks. The study does not cover detailed functioning and cadre analysis of the statutory bodies.

Policy level discussions regarding the organizational functions were held at the Secretariat level. Organizational data regarding overall command structure, manpower at different cadres, functions of different cadres, overall budgetary provisions and utilization were collected from the Head Offices and Secretariat. Possibility of outsourcing certain activities and application of Information Technology were also discussed at the head office level. These factors were once again checked at the meetings with the taluk level officials. Data regarding organization strengths and weaknesses, critical functions and required support were discussed with Group A and B cadres and personnel manning these cadres. This information was also collected through a questionnaire.

The perceptions of beneficiaries were informally ascertained through discussions with other officials and meeting with some citizens

1.4 Key Deliverables

Based on the functional review, the recommendations cover:

- Organizational Restructuring of the Urban Development Department to improve efficiency and provide better service to the people
- Rightsizing of the departments and staff with specific reference to cadres and levels in the main line departments.
- Modification of certain processes
- Identification of activities that could be outsourced
- Identification of areas where Information Technology (IT) can be usefully employed in the departments
- Devolution of powers
- General recommendations to improve systems and work methods for greater accountability and transparency in functioning.

1.5 Districts and Taluks Selected for Field Studies

The KARC recommended that the following five districts and three taluks in each district be studied in the field in order to gain an understanding of the diversity of urban development activities in the state:

Table 1.1 Sampled Districts and Taluks

Sl.no	District	Taluk	Local Administration	Planning Body	Town Planning office
	Bangalore		Secretariat	DTP	DMA
1	Bijapur	Bijapur	CMCI	UDA	ADTP
2		Muddebihal	TMC		
3		Sindagi	Town Panchayat	PA	
4	Chamarajanagar	Chamarajanagar	CMC	UDA	ADTP
5		Kollegal	TMC	MPA	
6		Gundlupet	TMC		
7	Gulbarga	Gulbarga	City Corporation	UDA	ADTP
8		Yadgir	TMC	TPA	
9		Shorapur	TMC	MPA	
10	Kolar	Kolar	CMC	UDA	ADTP
11		Mulbagal	TMC	MPA	
12		Bagepalli	Town Panchayat		
13	Uttara Kannada	Karwar	CMC	UDA	ADTP
14		Haliyal	Town Panchayat		
15		Bhatkal	TMC	MPA	

1.6 Methodology of the Study

The study was carried out in three stages. At the first stage an interview schedule and a semi structured open-ended questionnaire were prepared. Feedback from the

departmental staff as well as the representatives of KARC was obtained and the modified proforma was used for data collection. Meetings were held with the departmental heads in Bangalore to understand the main objectives and the overall functioning of the departments. Organizational data regarding structure, sanctioned and in-place staff, the overall scope of the work, legislative bases, and the difficulties faced at the field level by the departments were collected.

At the second stage, personal interviews were conducted with the officers as well as staff at the secretariat and head offices level. This was also supported by focus group discussions particularly with group B and group C employees.

At the third stage, field visits were undertaken to the offices of the Department in the selected district and taluks. The three main offices at the urban level in the districts and taluks were the office of the town planning department, office of the local body and the office of the planning authority / development authority. Discussions were also held with the chief officials regarding autonomy, field level problems and citizen's perceptions.

The primary data obtained from the Secretariat, Headquarters, as well as district levels were supplemented with secondary data such as departmental documents, annual reports and other publications of the department, as were made available.

1.7 Urban Area

Urban areas are defined by the following criteria, as per the 2001 census:

- **Statutory Towns:** All places with a municipality, corporation, cantonment board or notified town area committee, etc., as declared by state law.
- **Census Towns:** Places which satisfy the following criteria:
 - a minimum population of 5,000;
 - at least 75 per cent of male working population engaged in non-agricultural pursuits; and
 - a density of population of at least 400 persons per sq. km.
- **Urban Agglomeration:** Urban agglomeration is a continuous urban spread constituting a town and its adjoining urban outgrowths, or two or more physically contiguous towns together with any adjoining urban outgrowths of such towns. Examples of outgrowths are railway colonies, university campuses, port areas, military camps etc., that may have come up near a statutory town or city but within the revenue limits of a village or villages contiguous to the town or city. For Census of India, 2001, it was decided that the core town or at least one of the constituent towns of an urban agglomeration should necessarily be a statutory town and the total population of all the constituents should not be less than 20,000 (as per 1991 Census). With these two basic criteria having been met, the following are the possible different situations in which urban agglomerations could be constituted.
 - a city or town with one or more contiguous outgrowths;
 - two or more adjoining towns with or without their outgrowths;
 - a city and one or more adjoining towns with their outgrowths, all of which form a continuous spread

URBAN DEVELOPMENT DEPARTMENT

Karnataka state covers an area of 1,91,791 sq km. The census data of 1991 had indicated a total population of 44.80 million where the urban population of the state accounted for 30.91 % of the total population. The census data for 2001 indicates that the population of the state is 51 millions and the share of urban population has increased to 34%. The full census data for 2001 has not yet been released.

As per the census data of 1991, out of 254 census towns in 1991, 21 were Class 1 towns i.e., towns with more than 1 lakh population. Of these, 13 cities had a population of less than 2.00 lakh, 2 with a population of 2 lakh to 3 lakh, 3 cities with 3 to 5 lakh and two cities with a population of 5 to 10 lakhs. Bangalore city is the lone Metropolitan city with a population of 4 .1 million in 1991.

The census 2001 has indicated that Bangalore continues to be the lone metropolitan city in the state with a population of 5.69 million and it is the fifth largest city in the country. Nearly one-third of Karnataka's urban population is in Bangalore.

The Urban Development Department (UDD) of the Government of Karnataka is concerned with matters (except housing and slums) relating to citizens living in the Urban Areas of the State. The UDD is responsible for:

- Ensuring good government and fulfilling urban civic needs
- Providing drinking water and sewerage services in the urban area
- Preparing Comprehensive Development Plans for better managing urban growth around cities and towns
- Providing sites and services, particularly for the weaker sections
- Improving infrastructure in urban areas.
- Implementing state plan, centrally sponsored- and other schemes
- Administering various Acts/Rules through which the above responsibilities are discharged.

2.1 The Urban Development Department (UDD)

The main line departments that come under the department are the Directorate of Municipal Administration and the Department of Town Planning. The urban local bodies that the department supervises are the City Corporations (six) and Municipalities (211)

In addition, there are 29 development authorities under the department. These are: Bangalore Metropolitan Regional Development Authority (BMRDA), Bangalore Development Authority (BDA), and 27 other UDAs in all district centers. The following statutory organizations also are supervised by the UDD.

- Bangalore Water Supply and Sewerage Board (BWSSB)
- Karnataka Urban Water Supply and Drainage Board (KUWSDB)
- Karnataka State Town Planning Board
- Bangalore Urban Arts Commission

Under the UDD there are two Companies, viz., Karnataka Urban Infrastructure Development Corporation (KUIDC) and Bangalore Mass Rapid Transport Limited (BMRTL). Two Special planning authorities, viz., Bangalore International Airport Area Planning Authority and Bangalore Mysore Infrastructure Corridor Local Planning Authority are also under UDD.

In this study, only the main line departments are studied in detail and the linkage of these departments with planning and development authorities and local bodies are covered. All Bangalore-based organizations have not been included in the study.

2.2 Urban Policy

A comprehensive urban policy for the state has not yet been formulated. However, there are a number of policy interventions by both the Central and the State Governments by way of programmes. Some of the important programmes initiated by the Central and State Government are:

- Integrated Development of Small and Medium Towns - a programme initiated by the Central Government
- Urban infrastructure projects taken up by the Karnataka Urban Infrastructure Development and Finance Corporation (KUIDFC) with the financial assistance of the Asian Development Bank in Tumkur, Ramanagaram, Channapatna, Mysore, and coastal towns, etc
- Programmes initiated by the Department of Industries and Commerce to promote industries in urban and rural areas of the state
- Infrastructure projects initiated by the Central and State Government for economic development of urban and rural areas such as market facilities, road network and social facilities such as health, education, etc
- Swarna Jayanthi Shahari Rozgar Yojana, initiated by the Central Government on the occasion of the 50th anniversary of India's independence, to promote urban development activities.

2.3 Secretariat

The Secretariat is the interface between the line departments and statutory bodies on the one hand and the Government on the other hand. In addition to its core mission of formulating policy, the secretariat also directly administers a few entities in the UDD, which do not come under the purview of the DTP and the DMA. The Principal Secretary to the urban development department heads the secretariat in the department and advises and assists the urban development minister.

At the Secretariat level, there is also a full-fledged Secretary with specific allocation of work in the UDD. The principal secretary and secretary are assisted by two Deputy Secretaries, an Internal Financial Adviser, a Joint Director of Planning and seven Under Secretaries. The work is organized around 10 Sections. The Legal Section is shared with the Energy and Housing Departments. The organization structure of the secretariat is given in Annexure 1.

2.4 State Town Planning Board

A State Town Planning Board has been constituted which provides the policy guidelines and acts as an intermediate agency between the Secretariat and the DTP. Its two main functions are:

- Advising and assisting the state government in matters relating to planning, development and use of rural and urban lands in the state
- Advising in the preparation and implementation of development plans and town planning schemes
- Undertaking, assisting and encouraging the collection, maintenance and publication of statistics, planning bulletins, etc.

The Board is expected to meet twice a year and also as and when required. Its chairman is the minister for urban development and it has both ex-officio members and also other nominated members.

2.5 Town Planning Department

The main functions of the department are as follows:

- Preparation of development plans for the cities and towns covered under the Karnataka Town and Country Planning (KTCP) Act after conducting necessary physical and socio-economic surveys
- Preparation of town extension improvement schemes, slum improvement schemes, urban renewal and redevelopment schemes for towns and villages;
- Preparation of regional development plans;
- Monitoring and supervision of the works of the planning organization functioning under the KTCP Act and the Karnataka Urban Development Authorities (KUDA) Act.
- Working out traffic and transportation plans for cities
- Beautification schemes for preserving and enhancing urban aesthetic qualities;
- Assisting Karnataka State Town Planning Board;
- Assisting planning authorities, development authorities and local authorities in plan preparation, implementation and enforcement under the KTCP Act;
- Providing technical assistance to Urban Development Agencies like Karnataka Housing Board, Karnataka Industrial Areas Development Board, Karnataka Slum Clearance Board, etc.;
- Furnishing technical opinion in all matters related to development of lands
- Approval of plans for private individual, organizations, government and quasi-government agencies

- Furnishing of technical opinion to revenue authorities, regarding conversion of agricultural lands to non-agricultural developments;
- Providing technical reports to the district magistrate regarding location and construction of cinema theatres in the state;
- Environmental planning and co-ordination.

2.6 Directorate of Municipal Administration

The main functions of the Directorate of Municipal Administration are to oversee the working of the local bodies. The organizations in Bangalore and also the City corporations do not come under their purview. Thus they look after 210 local bodies classified as below:

Table 2.1 Urban Local Bodies in Karnataka

Type of local body	Number
City Municipal Councils	40
Town Municipal Councils	82
Town Panchayat	88

The main functions of the Directorate of Municipal Administration are to essentially deal with the Human Resources management issues concerning the employees of the local bodies mentioned above.

The functions as perceived by the directorate are:

- Overall supervision of the functioning of Urban Local Bodies
- Redress of public grievances
- Achieving the target set forth in recovery of taxes and other dues
- Achieving the target under all centrally / state sponsored schemes and other departmental works
- Extending the civic amenities to the users and disposal of solid waste.

Since the local bodies carry out the last four items, the role of the DMA essentially becomes overall supervision only.

2.7 Planning and Urban Development Authorities

Under the Karnataka Town and Country Planning Act, the first step to bring in planning regulation for any area is the declaration of the local planning area and the constitution of a Planning Authority (PA) to prepare development plans and town planning schemes and also to enforce the plans.

The Karnataka Town and Country Planning Act 1961 provides the legal basis for the town planning activities of the state. This Act has been extended to 87 urban centers covering all the class I, class II and 49 out of 82 class III towns. Urban Development

Authorities (UDAs) have been constituted under the Karnataka Urban Development Authority Act 1987. Urban Development Authorities have been constituted for 27 towns, mainly constituting district headquarters.

There are 18 planning authorities constituted under the KTCP Act for which the ADTP of the concerned unit office of the Department is functioning as Member Secretary of the town planning authority. The main functions of these planning authorities are to prepare the development plans (Outline Development Plans/Comprehensive Development Plans or ODP/CDP), planning schemes, and to enforce the plan proposals.

In order to implement the provisions of the 74th Constitutional Amendment, 41 town municipalities have been declared as planning authorities under the KTCP Act. They are known as the Municipal Planning Authorities (MPA).

The KTCP Act, under section 81, provides for delegation of powers for enforcing development plans proposals to statutory authorities like local authorities within their jurisdiction. The following municipal corporations have been delegated the powers under section 81 of KTCP to enforce development plan-ODP/CDP.

- Bangalore Mahanagara Palike (BMP)
- Hubli -Dharwad City Corporation
- Mysore City Corporation
- Mangalore City Corporation
- Belgaum City Corporation
- Gulbarga City Corporation

This act has to be enlarged for another 33 class III towns as per the 1991 census. The number may increase if one considers the 2001 census.

2.8 Local Bodies

The urban bodies have two types of functions viz., obligatory and discretionary.

The obligatory functions are: maintenance of roads, street lights, sanitation, water supply, registration of births and deaths, public immunizations, regularization of buildings, etc. The discretionary functions are formation and maintenance of layouts, parks, schools, libraries, hospitals, etc.

Urban local bodies now have a great responsibility thrust on them by the 74th Amendment to the Constitution-1992. Schedule 21 specifies additional functions such as:

- Urban Planning including Town Planning
- Regulation of land use and construction of buildings
- Provision of urban amenities and facilities such as parks, gardens and playgrounds

2.9 Planning Legislations

The 74th Amendment to the Constitution Act, 1992, provides for preparation of plan at the following levels, viz.,

- State perspective plan.
- Metropolitan Area Planning.
- Preparation of District Development Plan. This would be in the form of a Regional Plan in every district.
- Preparation of Master Plan for each urban area based on the proposals of District Development Plan
- Preparation of Development Plans for special areas.

The Urban Development Department's function is essentially controlled by the following acts:

- The Karnataka Municipalities Act 1964
- The Karnataka Municipal Corporation Act
- Karnataka Town and Country Planning Act 1961
- Karnataka Urban Development Authorities Act 1987

There are also other acts dealing with the Bangalore Metropolitan Regional Development Authority, Karnataka Urban Water Supply and Drainage Board, etc., which are not within the purview of the current study as defined by the scope of work. Similarly there are general legislations dealing with land acquisition, environment, etc., which have an impact on the schemes.

The KTCP Act totally governs the way the town planning department will function. The Karnataka Town & Country Planning Act 1961 was enacted in the year 1961 and was given effect from 15-1-1965. The act provides for preparation of plans in two stages, i.e., Outline Development Plan and Comprehensive Development Plan for any urban area for which a local planning area is declared under the provisions of the Act. This Act does not provide for preparation and implementation of Regional Development Plans. The details of Outline Development Plan/ Comprehensive Development Plan / Revised Comprehensive Development Plan prepared for the urban areas are given in Annexure 2.

There are 254 towns in the State as per census of 1991 out of which 217 settlements have been declared as "urban areas" under the provisions of Karnataka Municipal Corporations Act 1976, and Karnataka Municipalities Act 1964. The Karnataka Town & Country Planning [KTCP] Act 1961 has been extended to 94 urban areas in the State. The KTCP Act 1961 is not extended to the remaining urban areas mainly due to lack of infrastructure in terms of manpower and the development of an information system required for plan preparation, implementation and management, in the Department of Town. Planning.

2.10 Budgetary Support

The total budget for the urban development department for the last four years is:

Table 2.2 Budget for Urban Development Department

Year	Budget (Rs. lakhs)
1998-1999	72,213.87
1999-2000	83,103.35
2000-2001	110,556.12
2001-2002	137,557.35

TOWN PLANNING DEPARTMENT

The Department of Town Planning came into existence as a separate entity in the year 1959. Till then the Public Works Department used to look after the town planning activities in the state.

3.1 Autonomy

The Town Planning Department requires the prior approval of the Government for the following activities:

- Approval of ODP/CDP.
- Development schemes initiated by the Urban Development Authorities and Town Planning schemes initiated by the Planning Authorities
- Creation of Posts/New Offices in the Department.
- Filling up of posts in A, B, C & D category.
- Transfer of officials.
- Deputation of staff for higher studies.
- Deputation of staff for training programme conducted out side the State.
- Purchase of vehicles.
- Purchase of computer software and hardware.
- Filling up of encadred posts in the Urban Development Authorities and Local Authorities.

3.2 Process of Plan Preparation

The Karnataka Town & Country Planning Act 1961 requires Urban Development Plan in two stages. First the Outline Development Plan is to be prepared and then the Comprehensive Development Plan will be prepared by the Planning Authority and approved by the Government. The entire process of the preparation of Outline Development Plan and Comprehensive Development Plan involves a number of steps:

3.2.1 Outline Development Plan

- Under Section 10 of the Act, the concerned Planning Authority declares its intention to prepare the Outline Development Plan and a copy of the same is submitted to the Government for publication in the official gazette for public comments. The time limit fixed for public comments is two months from the date of publication of the declaration.
- Within two years from the date of declaration of the Local Planning Area, the Planning Authority will have to conduct a detailed survey of the area within its jurisdiction and prepare an Outline Development Plan and submit the same to the Government for provisional approval through the Director, under Section 9(1) of the Act.

- The Director will then make a scrutiny of the plan and forward the same to the State Government with recommendations to accord provisional approval to the plan with some modification as it deems fit under section 13(1) of the Act.
- The provisionally approved ODP is returned to the Planning Authority, which should publish, by notification, the plan and the particulars inviting public comments within a month.
- Then the Planning Authority is required to consider the relevant comments and suggestions by the public and re-submit the Plan and the regulations to the State Government through the Director, with recommendations for modification in the light of public comments under section 13(2).
- The Director will again make a scrutiny of the resubmitted plan and then forward the same to the State Government to give final approval to the ODP.
- The Government, in consultation with the Director, will give final approval to the O.D.P. under Section 13(3) of the Act.
- Under Section 13(4), the Planning Authority is again required to publish the finally approved O.D.P. in the official gazette, after conducting fresh surveys and the ODP is to be again submitted to the State Government through the Director.

3.2.2 Comprehensive Development Plan:

- Under Section 19(1) of the Act, the Planning Authority is required to prepare a CDP for the Local Planning Area within three years from the date on which the finally approved ODP is published in the gazette, after conducting fresh surveys and this is to be again submitted to the State Government through the Director.
- The Director will make a scrutiny of the CDP and, with the Director's comments, it is forwarded to the Government.
- The Government will return the plan, with modifications if any required, to the Planning Authority under Section 22(1). The Planning Authority is again required to publish the said plan and regulations in the official gazette for public comments within 3 months from the date of such publication.
- Then the Planning Authority is required to modify the CDP in the light of the public comments and to resubmit the same to the Government through the Director Under Section 22(2).
- The Director will again make a scrutiny of the re-submitted plan and with his remarks the CDP is sent to the Government for final approval. The Government has to give its final approval to the CDP under section 22(3) of the Act.
- The concerned planning authority will publish the finally approved CDP in the official gazette for inspection by the public.

3.2.3 Contents of ODP / CDP

The Karnataka Town and Country Planning Act provides for a three-tier system of planning. The Outline Development Plan (Outline Development Plan) for the local

planning area is first prepared, indicating broadly the proposed land uses, zoning of land use for residential, commercial, industrial, recreational, educational and other public purposes, proposed circulation pattern and a set of zoning regulations. Then the Comprehensive Development Plan (CDP) is prepared indicating therein the comprehensive zoning of land use together with zoning regulations, complete street pattern, improvements to existing road patterns, reservation of areas for public purpose such as parks, playgrounds and other recreational uses, public buildings, institutions, areas for housing, etc. Finally, the town planning schemes are prepared for the planning area for implementation of the proposals of CDP. The town planning schemes contains detailed proposals for laying out of streets, reconstitution of plots, provision of amenities and other facilities, etc

The zoning regulations which are a part of ODP / CDP cover the following:

- Land use zoning regulation prescribing the uses permissible under different urban uses of land;
- Regulation for controlling the construction of buildings, prescribing minimum setbacks, maximum plot coverage, maximum height of buildings, maximum floor area ratio, etc.,
- Regulations for sub division of land;
- Standards for off street parking;
- Building lines and width of important roads.

3.3 Current Organization Structure

The Department of Town Planning has its headquarters in Bangalore. The Director of Town Planning is in charge of the head office. After a delay of 14 months, a regular appointment has finally been made to this position and the senior Joint Director who had been placed in-charge of the position has been confirmed. There are three divisional offices at Dharwar, Mysore and Gulbarga, headed by Joint Directors of Town Planning. At present, the head office at Bangalore is looking after the Bangalore division also in addition to its statewide work.

The branch offices are functioning at all district head quarters and also at important taluk level centers. There are 32 branch offices in existence. The organization structure is provided in Annexure 3

3.3.1 Director's Office

In the central office, one Joint Director, three Deputy Directors and five Assistant Directors assist the Director. A Gazetted Manager and an Accounts Superintendent along with supporting staff look after the administrative work. The head office also functions as the divisional office for the Bangalore region.

3.3.2 Joint Director's (Divisional) Office

As it is not possible to monitor, give instructions, and solve problems from the central office in Bangalore, the divisional office of the Joint Director of Town Planning (JDTP) monitors and advises the branch offices in the preparation of development plans. It also advises the UDA's and PA's in the preparation of development plans. It also coordinates planning work by forming teams to survey, to prepare land use registers etc. and also gets all development plans into shape in the Divisional office itself before sending it to the Director of Town Planning for onward submission to the Government.

- In addition to the above tasks, under various statutory acts the divisional office also assists in intersection improvements, etc., to the towns under its jurisdiction.
- The divisional level office also gives its technical opinion for conversion of land to non-agricultural (NA purpose) and scrutinizes the opinion given by the branch offices and as and wherever necessary it offers corrective advice.
- The divisional level office also offers its technical expertise for the design of layouts and also scrutinizes the layouts approved by the branch offices where and when necessary
- The JDTP works with the urban local bodies under his jurisdiction to scrutinize, inspect and advise in all technical matters of urban planning.
- The Divisional level office scrutinizes and passes financial orders and traveling allowance bills, pension, increments, etc., of all the branch offices coming within its jurisdiction

3.3.3 Assistant Director's Office

The office of the Assistant Director of Town Planning (ADTP) has been established in each District and in some of the important towns to carry out the following functions on day-to-day basis:

- Preparation of layout plans based on the requisition from the local authorities
- Extension of technical support to the local authorities in the preparation of town extension schemes and schemes taken up under various programs of the Government
- Extension of technical support to the Urban Development Authorities in performing planning functions such as preparation of ODP, CDP, issuance of commencement certificate for construction of buildings, preparation of schemes, preparation and approval of private layouts and all other related works
- Furnishing technical opinion to the revenue authorities with respect to conversion of land for non-agricultural purposes as and when the proposals are required from the revenue department

- Preparation of project related rehabilitation and re-settlement schemes for various projects initiated by the Government Departments.
- The Assistant Director of Town Planning is also required to attend the following meetings such as:
 - District Co-ordination Committee meeting.
 - Road safety committee meeting
 - Ashraya Committee constituted for each Taluk and the Town level Committee.
 - Single window agency meeting of the industries and commerce department
 - Swarna Jayanthi Shahari Rojgar Yojana (SJSRY) meeting
 - Any other meeting organized by the district authorities
 - The Assistant Director of Town Planning is also required to tour within his jurisdiction in connection with site visits for preparation of schemes and in connection with attending meeting.
 - The Assistant Director of Town Planning and his staff are also required to extend technical support to the Municipalities, which are covered under the KTCP Act 1961 in performing Planning functions.
 - The Assistant Directors of Town Planning are also required to visit the Head Office as and when the progress review meeting is fixed by the Central office, which is generally twice in a year.

In practice, the Assistant Director spends virtually one third of the time in attending meetings, many of which do not even require the town planning department's inputs. As a matter of routine, invitations are sent, and being a junior officer, the person is forced to attend the meetings.

The main work of the personnel is the issue of commencement certificate for local bodies. The other infrequent work is the technical opinion on the change of land use and permission for layouts. Both of these tasks are fairly small with about an average of 1 or 2 layouts a month and three or four cases of land use changes a month. Of course, the quantum of work depends on the size of the settlement and the number of planning authorities under the jurisdiction of the ADTP office.

The main work is supposed to be preparation of ODP and CDP, which require surveys to be conducted, data analyzed, projections carried out and alternative configurations of land use analyzed.

3.4 Current Cadre Structure

The current cadre structure for the technical side of the department is given below:

Table 3.1 Staff Position in Town Planning Department

Sl. no	Group	Positions	Sanctioned position	Filled up positions	To be filled by direct recruitment	To be filled by promotion
1	A	Director	1	-	0	1
2	A	Joint Director	10	7	0	3
3	A	Deputy Director	14	13	0	1
4	A	Assistant Director	37	14	23	
5	B	Junior Town Planner	73	59	14	
6	B	Geographer	1	0	1	
7	C	Head Draughtsman	11	5	0	6
8	C	TP Supervisor	127	85	42	
9	C	Draughtsman	37	29	0	8
10	C	Model maker	1	1	0	
11	C	Tracer	40	21	19	
12	D	Blue Printer	4	4	0	-
		Total	356	238	99	19

Substantial numbers of positions are vacant including, until recently, that of the Director. When a position is vacant, an in-charge posting is done for all offices. Since direct recruitment has been stopped for a very large time, a substantial number of positions, which can only be filled under that method, are vacant. The large number of vacant Assistant Directors positions has affected the department's work. Some promotional positions have also not been filled. But otherwise, promotions have taken place over a period of time, which has created a very peculiar situation of reducing the quality of manpower. This aspect is discussed further later in this report.

For a total sanctioned technical manpower strength of 356, the sanctioned strength of ministerial manpower is 594. Out of this 443 positions have been filled leaving 151 vacant positions. All the ministerial positions belong to group B and C and D, except for one position of Gazetted Manager belonging to group A.

There is no vacant position of Group D in the town planning department.

3.5 Functions of Cadres

The department has not notified job functions to cadres, though generally the staff occupying the cadres has a general understanding of their roles in the department. Due to the shortage of staff in all the Cadres and at all levels i.e., Central Office, Divisional Office and the Branch Offices functioning at District level, technical and administrative work is being managed with whatever available staff in the offices and prescription of job functions without filling up of the vacancies may lead certain confusion and may also affect the overall performance of the functioning of the department.

The Department has prepared a draft job chart prescribing the functions to be performed in each cadre. This can be used after the manpower system in the department stabilizes.

3.5.1 Director of Town Planning

Sanctioned position 1

In place - 1

A senior Joint Director was placed in-charge of the position of Director for fourteen months.

Functions of this Position:

The director is the technical and administrative head of the department. This position is filled up from within the department based on an interview with the Departmental Promotional Committee. A post-graduate degree in Town and Country Planning or equivalent is an essential qualification for this post.

The Director of Town Planning is also an ex-officio member in the following organizations

- Karnataka Housing Board
- Karnataka Slum Clearance Board
- Karnataka Industrial Area Development Board
- Command Area Development Authority for Bhadra, Tungabhadra, Krishna, Cauvery, Malaprabha and Ghataprabha River Valley Regions.
- Environment Clearance Committee.
- Bagalkot Town Development Authority, Bangalore Metropolitan Region Development Authority
- Bangalore Urban Art Commission.
- State Road Safety Council.

3.5.2 Joint Director of Town Planning

Sanctioned positions are 10. The breakdown of this position is as follows: Four positions are in the department and six positions in the deputation reserve category. In place - 7, out of which three positions are in the department and four positions in the deputation reserve category.

Functions of this position:

The joint director is the technical and administrative head in a divisional office and holds the second position in the department. When on deputation to major urban development authorities, this person is the town planning member and the technical (town planning) head of that office. It is the responsibility of this office to look after the orderly growth of major metropolises in the state when on such deputation. This position is filled up from within the department based on an interview with Departmental Promotional Committee.

No minimum qualifications are prescribed for this position

3.5.3 Deputy Director of Town Planning

Sanctioned positions are 14, out of which 13 positions have been filled.

Functions of this position:

When on deputation to major urban development authorities, this person is the town planning member and the technical (town planning) head of that office. It is the responsibility of this office to look after the orderly growth of major metropolises in the state when on such deputation. Preparation of ODP / CDP and attending to all technical work related to lay-outs and changes in land uses and advising the various Govt departments as when needed are the main functions.

This position is filled up from within the department based on an interview with Departmental Promotional Committee.

No minimum qualifications are prescribed for this position.

3.5.4 Assistant Director of Town Planning

This is the basic group A position and entry level for the position officers in the town Planning department. The entry to the cadre is both through the promotion route from the lower levels as well as through direct recruitment.

When through direct recruitment, a postgraduate qualification in Town and country planning or equivalent is a basic necessity. However, when the positions are filled up on promotion, no qualifications are prescribed. The person need not even be a graduate.

Currently about 37 positions, 23 positions reserved for direct recruitment are vacant. All the 14 positions reserved for promotion quota has been filled up.

The job functions are very similar to that of Deputy Director of Town Planning.

3.6 Status of IT Applications

The Department is extremely poorly served with reference to computing facilities. The head office has a couple of computers with some printing facility. Even this facility is used by a couple of junior staff that has some experience in handling word processing and rudimentary data base systems. Software packages, which can be used for urban planning and data management, are not available. Essentially the computers are used for report preparations rather than urban data analysis. Neither officers nor other technical staff make good use the system, probably due to small number of systems, or lack of training or lack of confidence. None of the district level offices have computing facility. This is a major lacuna in the present state of the system.

The Department of Town Planning has submitted an ambitious proposal to the Government for establishment of an "Urban and Regional Information System Cell" to develop an information system for urban and regional planning, and for integrating it with an urban mapping project using aerial photography and remote sensing techniques. The main output of this proposal will be an urban information system using a Geographic Information System (GIS). The Department has proposals to extend these activities and computerization to the Divisional Office level and the Branch Office level also in a phased manner.

There is a budget provision of Rs. 100 lakhs for the current year (2001-02) for taking up urban mapping project for selected towns in the State. The Department has submitted proposals from time to time to computerize the service particulars of various cadres in the Department and also for e-governance in the Department. It is understood that the Government has set up a committee to examine the computerization of various Departments under Urban Development and to look into matters such as requirement of software for each Department.

3.7 Outsourcing Possibilities

The department of town planning has not outsourced any major work so far. However, some of the development authorities have initiated action to entrust the work of preparation of development plans, preparations of project for providing underground drainage, mass transportation systems, etc., to the consultants and professional institutes such as Institute of Town Planners India, Karnataka Regional Chapter, Bangalore. Some UDAs are trying to outsource the CDP preparation, for example in Hassan and Bijapur, to external agencies.

During our interaction with the UDAs we learnt that the reason for outsourcing the CDP work to the outside agencies is the UDAs' inability to take up the work due to man power constraints

3.8 Activities that can be Transferred

One of the major items of work that occupies substantial part of the time of the staff is the technical assistance offered to development authorities, planning authorities and municipal planning areas for completion certificate and lay out approvals. Where as lay out approval does require a thorough town planning knowledge, the commencement certificate issue does not. This function can be transferred to local bodies, and if required, the staff there can be trained in a week or so to handle this matter. Some of these factors are discussed later.

3.9 Capacity Building Requirements

The Department of Town Planning is already well versed with the preparation of master plan for towns, preparation of schemes for various urban development activities such as residential, industrial, commercial layouts and town extension schemes. However, since the last five years there is a noticeable quality problem in the cadre structure due to the change in cadre and recruitment rules. (Annexure 4)

Town planning is an interdisciplinary science requiring the knowledge of subjects such as engineering, architecture, economics, statistics, geography, law, computer science and the basic knowledge of planning theory and practice. Since all these bodies of knowledge cannot be provided as inputs in under-graduate courses, post-graduate courses have been set up to provide this inter disciplinary character to basic degree holders in engineering, architecture or post graduate degree holders in geography, economics and statistics.

The cadre and recruitment rules for the town planning department were modified in 1996 to make the town planning qualifications redundant. Now it is a mandatory requirement only for the position of Director. For all other positions, it is not required

if one rises through the promotional channel. In particular, one can join as a town-planning supervisor with a diploma in civil engineering qualification and rise up to the position of Joint Director of Town Planning. The following table provides information, as of August 2001, regarding the number of qualified personnel in Town and Country Planning or the equivalent.

Table 3.2 Qualified persons in different cadre

Cadre	Number of persons working	Number with PG qualification in T&CP
Deputy Director and above	20	19
Assistant Director	14	6
Junior Town Planner	59	8
Below Junior Town Planner	139	9
Total	233	41

Within the next two to three years, many Joint Directors and Deputy directors will retire and the manpower quality problem will be very serious.

The following table gives the statistics regarding people with no T&CP qualifications and no graduate degrees.

Table 3.3 Staff size and qualifications in Town Planning Department

Cadre	Total number	With T&CP qualifications	With out T&CP qualifications but graduates	Non- graduates
Deputy Director and above	20	19	1	nil
Assistant Director	14	6	nil	8
Junior Town Planner	59	8	21	30
Below Junior Town Planner	139	10	9	120
Total	233	43	31	159

With so many people without even a graduate degree, there is no scope to send them for a post-graduate degree and through promotions the department will be saddled with non-graduates.

3.10 Scope of Future Activities

The department, when fully equipped with computer hardware, software and other equipment and trained manpower in all positions is theoretically capable of providing expert advice and taking consulting assignments to help government, statutory bodies and private sector in the following fields

- Environmental impact assessment.
- Planning of mass transport system.
- Preparation of traffic management plans for urban areas.
- Comprehensive area development plan.
- Resettlement planning
- Project feasibility studies.
- Cost benefit analysis.
- Studies on municipal finances.
- Conducting training programmes for various Government Departments/ Statutory agencies involved in the implementation and management of urban development programmes.

3.11 Budgetary Allocations

During the year, 2000-2001, the budgetary outlay was Rs. 379.84 lakhs for non-plan and Rs. 59 lakhs for plan schemes. The actual utilization was Rs. 304.16 lakhs and Rs. 58.24 lakhs respectively. Almost all the fund utilization is for administrative expenses like salary, Travel Allowance & Daily Allowance, telephone, etc. The shortage probably is due to many vacant positions in the town-planning department.

3.12 Citizen Views

Since the department does not directly deal with average citizens, the question of citizens' views is not totally relevant. But citizen's views are important at the level of local bodies and development authorities.

DIRECTORATE OF MUNICIPAL ADMINISTRATION

The Directorate of Municipal Administration was set up in the year 1984 to supervise the administration of local bodies in the state.

4.1 Functions

The main functions of the Directorate of Municipal Administration are:

- Overall supervision of the functioning of urban local bodies apart from city corporations
- Redressal of public grievances
- Achievement of targets set for recovery of taxes and other dues
- Supervision of centrally and state sponsored schemes and other departmental works

4.2 Current Activities

The directorate deals only with the matters concerning local bodies other than city corporations. Many types of developmental schemes are implemented at the level of local bodies. The department supervises the overall implementation of schemes. It does not control the local bodies in its day-to-day affairs. Even for formal approval of schemes, the concerned papers from the local bodies are routed through the Deputy Commissioner of the district who acts as their immediate regulator. The concentration of the department is more oriented to the human resources management aspect of local bodies. The transfers, promotions and postings of chief officers and other group B and C personnel matters are dealt with at the directorate (about 20,400 employees).

4.3 Current Organization Structure

The office of the Department of Municipal Administration is located in Bangalore and is headed by a director. The director is a senior IAS officer. Two joint directors assist the director. Other group 'A' officials in the directorate are Headquarters Assistant, Accounts Officer, Assistant Controller, Assistant Directors, and Assistant Executive Engineer. A group B officer, i.e. Tahasildar, also assists the director. The detailed organization chart is given in Annexure 5.

4.4 Current Cadre Structure

The current cadre structure in terms of group A, B, C and D employees are given below.

Table 4.1 Staff Position in Directorate of Municipal Administration

Group	Designation	Sanctioned positions	Filled up positions
A	Director	1	1
A	Joint Director (Admn)	1	1
A	Deputy Director (A&A)	1	1
A	Deputy Director(Eng)	1	-

Group	Designation	Sanctioned positions	Filled up positions
A	Headquarter Assistant	1	1
A	Asst. Director (Admn)	1	1
A	Asst. Director (Engg)	1	1
A	Asst. Director (A&A)	1	-
A	Accounts Officer	1	1
A	Joint Director (Dev)	1	1
A	Deputy Law Officer	1	-
A	Asst. Law Officer	1	-
A	Asst. Director (Stat)	1	-
B	Special Tahsildar	1	1
C	Managers	5	5
C	Accounts Superintendent	1	1
C	Superintendent	1	1
C	Draftsmen	1	-
C	First Division Asst.	20	12
C	Stenographers	6	6
C	Second Division Asst.	13	13
C	Typist	7	7
C	Drivers	3	3
C	Statistical Assistant	1	1
C	Data Entry Operator	1	1
C	Driver	1	1
D	Group D	15	15
	Total	89	59

4.5 Functions of Cadres

Specific functions have not been assigned to cadres. However, depending upon their designations they do appear to know the expected functions.

4.6 Status of IT Applications

The directorate has computing facilities, which are essentially used for routine office work. These include preparation of scheme details, employee details, inspection reports, letters and some statistical details. Five computers with adequate printers and MS Office software are used.

4.7 Karnataka Municipal Administration Service

The Karnataka Municipal Administrative Service (KMAS) constitutes the main body that provides the officers and chief executives to the local bodies.

As per the Section 365 of Karnataka Municipalities Act, 1964, every local authority shall have an Officer of Karnataka Municipal Administrative Service (KMAS) to be filled by or appointed by Government.

In the KMAS cadre the following officers are working in Urban Local Bodies.

- Municipal Commissioner Grade-I
- Municipal Commissioner Grade II
- Chief Officer Grade-I
- Chief Officer Grade-II

For the positions of Municipal Commissioner Grade I and II, posts are filled from the Chief Officers Grade-I. For the Chief Officer Grade II posts are filled by direct recruitment and by promotion of Chief Officers Grade-II. The Grade II Chief Officers posts are filled in the following manner: 33 1/3% of posts by direct recruitment (by competitive examination) conducted by the Karnataka Public Service Commission. The balance of 66 2/3% by selection on the state level based on seniority cum merit among the official/officer holding the following post who have put in total service of not less than five years in one or more categories.

- | | |
|---------------------------|--------|
| □ Manager | 24.76% |
| □ Revenue Officer | 19.05% |
| □ Senior Health Inspector | 22.85% |

These KMAS officers in future will have to manage all the urban planning and management functions of the local bodies as per the 74th constitution amendment act.

4.8 Capacity Building Requirements

KMAS officials, officials of DMA as well as chief officers of local bodies need to be trained in various aspects of Town and Country Planning, IT applications, Project Management, and Financial Management. Both basic courses and refresher courses will have to be organized. This should be one of the basic functions of the DMA

DEVELOPMENT AND PLANNING AUTHORITIES

Once a basic decision to prepare an ODP / CDP for an area is undertaken, it is mandatory to declare the local planning area and create a planning authority to prepare the plan. The planning authority for an area can be an Independent Planning Authority, or an Urban Development Authority or a Municipal Planning Authority. In this chapter wherever the term Planning Authority is used, it refers to an Independent Planning Authority.

Karnataka has constituted 28 urban development authorities including Bangalore Urban Development Authority. The urban development authorities have been constituted under the Karnataka Urban Development Authorities Act 1987 and Bangalore Urban Development Authority under Bangalore Development Authority Act. The main function of the Urban Development Authorities is the orderly development of the area under their jurisdiction.

The staffing pattern of UDAs and Planning Authorities has to be fully approved by the Government. They do not have any powers to recruit personnel. Given the lack of technical personal for the one-time major activity of ODP and CDP, many UDAs are thinking in terms of outsourcing this particular activity. Once the plan is approved, they will be in a position to look after the routine work of lay out preparations, building permits, plan enforcement, etc., with their normal though meager staff.

The plans prepared by the Planning Authorities and Urban Development Authorities have to be formally approved by the local bodies. They also have to go through the process of public hearings.

At present the Town Planning Department is fully assisting the Planning Authorities and Development Authorities in the preparation of development plans and in the enforcing functions of the Planning Authorities. The town planning department still has to scrutinize all the plans prepared by the planning and development authorities and after its concurrence is obtained, the same is sent to Government (UD Secretariat) for approval and finally for notification.

5.1 Urban Development Authority

Urban Development Authorities have been constituted mainly for the District Headquarters. Wherever a Development Authority has been constituted, the Development Authority itself is the Planning Authority

The Development Authority is a body corporate having members with the chairman and certain other members being appointed by the Government. The executive head is designated as the Commissioner and is an ex-officio member of the authority. The Chairman, the Town Planner-Member and the Engineer-Member are the permanent members of the Authority. The members of the Karnataka Legislative Assembly representing a part or whole of the urban area where the Development Authority is constituted will also be the members of the Development Authority.

The Town Planner Members of the Urban Development Authorities are invariably deputed from the Town Planning department when the load in the UDA is substantial. In smaller UDAs, an official of the Town planning department is designated as a town-planning member, but the inputs will be part time. Whereas the pay of the full time members are met by the concerned UDA, in case of part time inputs, the UDA does not contribute to the salary or tours or visits of the official and the town planning department bears this expense.

The main functions of the Urban Development Authorities are:

- Preparation of development plans (Outline Development Plan /Comprehensive Development Plan) and enforcement and implementation under KTCP Act
- Land acquisition and development of schemes to provide sites/houses under KUDA Act
- UDAs also act as planning authorities and assist the local bodies in issuing building permission by issuing commencement certificates.
- They also scrutinize and approve lay out plans.

The last two items are the essential income generators of the urban development authorities.

5.1.1 Current Status

Urban Development Authorities have been constituted for the following 28 urban centers.

Table 5.1 Urban Development Authorities in Karnataka

Bangalore	Belgaum	Bellary
Bidar	Bijapur	Chamarajanagar - Ramaşamudram
Chitradurga	Chikmagalur	Davanagere - Harihar
Gadag - Betageri	Gulbarga	Hassan
Haveri	Hospet	Hubli - Dharwad
Karwar	Kolar	Kolar Gold Fields
Koppal	Madikeri	Mandya
Mangalore	Mysore	Ramanagaram - Channapatna
Raichur	Shimoga - Bhadravathi	Tumkur
Udupi - Malpe		

The officers of the Town Planning department are working as full time town planning members in the following seven Development Authorities viz.,

Table 5.2 Town Planning Department Officials in UDA

Authority	Position
Bangalore	Joint Director
Mysore	Joint Director
Hubli - Dharwad	Joint Director
Belgaum	Deputy Director
Mangalore	Joint Director
Gulbarga	Joint Director
Shimoga - Bhadravathi	Joint Director

In the remaining twenty-one development Authorities, Assistant Directors of Town Planning are functioning as Town Planning Members, in addition to carrying out their normal duties as Assistant Directors in the Town Planning department.

5.1.2 Linkages with DMA, DTP and Secretariat

The Secretariat directly controls the Urban Development Authorities. There is no direct linkage of UDAs with the DMA. However, the informal linkages with local bodies are quite strong. As soon as layouts are formed and full development takes place and sites are allotted, the area is handed over to local bodies. Sometimes this fact has become a bone of contention, when local bodies have refused to accept the layouts, which are not developed to their satisfaction, as they will have to spend resources in providing basic services and also on their maintenance

The linkage with DTP is very strong as the Town Planning Members are drawn from the Town Planning department. Further, the activities of UDAs are strongly in the nature of town planning. In terms of the actual work of the UDA, which is the preparation of ODP and CDP, the work is actually carried out by the town planning staff. Further the main funds generation to the UDA is through commencement certificate issuance and layouts, which is also carried out by the staff of town planning department

5.1.3 Functioning of UDAs

The Urban Development Authorities do not get any budgetary support and are self-financing. Obviously the UDAs in the bigger cities have the potential to raise the money for their activities and are in a position to have full time employees. The UDAs in smaller places perforce have to depend on other departments for part time employees and they do not contribute to the salary and expenses of these employees. As such, the UDAs are also handicapped when these part time employees from other Government Department give more attention to their parent departments than to the UDAs.

The role of UDAs in plan enforcement is very meager and it is the local bodies that have to shoulder this burden.

The financial position of most of the UDAs is very weak. The size of the district headquarters and the economic activities in such places cannot sustain a well-developed UDA. The small amount of money generated through commencement certificates and

layouts is just enough for the salary and perks of commissioner and chairman. These UDAs cannot afford even a full time town-planning member. Except UDAs in big cities, all other UDAs have very meager staff, some times consisting of a chairman, an UDA and a couple of attenders.

The private layouts in these district headquarters have affected the land market and the scope for new layout formation by UDAs is meager.

5.2 Planning Authorities

The planning authority is a body corporate having perpetual succession with a chairman appointed by the Government and other members and elected representatives of the concerned local bodies as its members. There are 20 planning authorities constituted under the KTCP Act for which the ADTP of the area is functioning as Member-Secretary of the Planning Authority. The Planning Authority for the Bangalore-Mysore Infrastructure Corridor has the Joint Director of Town Planning, Head office, Bangalore as the member- secretary. The main functions of these planning authorities are to prepare development plans (ODP/CDP), planning schemes and to enforce the plan proposals.

5.2.1 Current Status

Town Planning Authorities constituted under the Karnataka Town & Country Planning Act are functioning in the following 19 urban centers

Table 5.3 Independent Planning Authorities

Basavakalyana	Bagalkot	Bangalore-Mysore Infrastructure corridor
Chintamani	Dandeli	Gangavathi
Gokak	International Airport	Jamkhandi
Magadi	Nelamangala	Nippani
Puttur	Ranebennur	Rabakavi - Banahatti
Sirsi	Shahpur	Wadi - Shahabad
Yadgir		

5.2.2 Linkages with DMA, DTP and Secretariat

The linkages with DMA, DTP and Secretariat is exactly the same as for UDAs

5.3 Municipal Planning Authority

With a view to make a beginning on implementing the provisions of the 74th Constitution Amendment, 41 town municipalities have been declared as planning authorities under the KTCP Act. A Town Planning official provides part time technical guidance to these authorities to assist in planning functions. The concerned district office of the town planning department takes up the preparation of development plans as required under the KTCP Act.

5.3.1 Current Status

In view of the 74th Constitutional Amendment, the following 42 Town Municipal councils have been declared as planning authorities with the local planning area coinciding with Municipal area.

Table 5.4 Municipal Planning Authorities

Arasikere	Ilkal	Naragund
Bailhongal	K.R.Nagar	Ramadurga
Bhalki	Kadur	Sagar
Bantwala	Kampli	Savadatti
Bhatkal	Kollegal	Savanur
Challakere	Kumta	Shidalghatta
Chikkaballapur	Laxmeshwar	Shikaripur
Chitradurga	Maddur	Sindagi
Guledgudda	Madhugiri	Sindhanoor
Harapanahalli	Mahalingpur	Sira
Hiriyur	Malavalli	Siraguppa
Holenarasipur	Manvi	Surapura
Humnabad	Mudhol	Tiptur
Hunsur	Mulbagal	Virajpet

5.3.2 Linkages with DMA, DTP and Secretariat

The planning area coincides with the municipal area in these places. The local municipal councils have also been entrusted with the planning work. But considering the quantum of their own planning work, which is very small in terms of day to day activities, Staff / Assistant Director of Town Planning in the concerned district visit the municipal office on specified days and mainly attend to work related to building commencement certificate or occasionally about change in land use. Even this work is very small. The chief officer of the Municipal council is also the head of the planning authority. These municipal planning authorities do not have the technical expertise to prepare ODP or CDP, which is prepared by the town planning department.

URBAN LOCAL BODIES

The local bodies that come under the jurisdiction of the Department of Municipal Administration are the City Municipal Councils, Town Municipal Councils and Town Panchayats. Bangalore City Corporation as well as other City Corporations do not come under the purview of the Directorate of Municipal Administration and are directly controlled by the Secretariat.

Town Municipal Councils have a population of less than 50,000 and Town Panchayats have a population of less than 10000. CMCs have a population of more than 50000 but less than 5 lakhs. Depending on the population, officers of different rank are posted to head the executive wing of municipalities.

6.1 Functions and Finances

The obligatory functions of a local body include maintenance of roads, street lights, sanitation, water supply, registration of births and deaths, public immunization, building licences, etc.

Our discussions with the local bodies indicated that all the municipal bodies ranked sanitation as their most important function and as something where people will notice the functioning of the local body. Gundlupet has contracted out this activity in some parts of the town and the local body mentioned that there are no problems.

Water supply was ranked as the next most important factor. Street lighting was viewed as another important function, and within this, replacement of light bulbs was a central issue for local governments.

Local authorities have a tax base that should be sufficient for them to plan and implement various development and maintenance activities. However, as we shall discuss further below, the insufficient tax collection prevents the taking up of development activities, as one is not sure of the concerned body's financial position and thus cannot plan activities in a reasonable manner.

Local authorities can also play a leading role in countering illegal construction, in ensuring the orderly management of roads, parks, markets, and other urban infrastructure that these bodies are charged with providing and maintaining.

6.2 Control by DMA

The control by DMA appears to be very limited. Apart from answering some routine queries, sending periodic reports and inspection, some times even once in two years, was all that they could mention as the interaction with DMA. The general feeling was that it was the district's Deputy Commissioner (DC) who is their immediate superior and even replies to DMA are forwarded through the DC. Promotions and transfers were possibly handled at the DMA level but the officials we interviewed thought it was really done at the Government level.

6.3 Linkages with DC, DTP and Secretariat

Linkages with the DC are very strong and virtually all schemes, correspondence are routed through DC. Only personnel matters are dealt with at the level of DMA.

In all towns where there is a planning or development authority, the commencement certificate for buildings, change of land use, layout approvals are given by the planning / development authorities. Since the planning authority itself is deficient in terms of town planning staff, the actual work is carried out by the staff of the town planning department as part of its assistance to the planning body.

After obtaining the commencement certificate, the individual who wants to construct the building applies to the local body, which will issue a building permission. Subsequently, the body also gives a completion certificate.

In the case of Municipal Planning Authorities, the local body is also the planning authority. The municipal area is co-terminus with the planning area. In this case it is more of a re-designation of the title indicating the intention to transfer the planning function to the local body rather than the capability of the local body to take up planning activity. In all such cases, officially the town planning department assists the local bodies for building licence issues by giving its technical opinion in the form of commencement certificate. The chief officer, who is the head of the planning function, gives the administrative approval. In Town Municipal Councils, which are not formal planning bodies, the staffs of TMC carries out these functions.

Direct linkages of the local bodies with the secretariat are minimal.

FUNCTIONAL PROBLEMS AND PROPOSED REMEDIES

7.1 State Town Planning Board

The Town Planning Board has not prepared any policy paper or conducted any other major statistical analysis of urban features. We would therefore conclude that the Town Planning Board's performance is not up to the mark. This board has an important role to play as the advisor to the Government and should continue, but with a clear mission and agenda that results in a set of deliverables in terms of policy planning and urban development strategy. Since the non-official members can serve a very important, creative and constructive role in this context, we suggest that the government pay special attention during selection of non-official members.

- It should immediately prepare a policy paper on urbanization in Karnataka and its impact on land and fiscal requirements. The needed infrastructure to sustain such urban settlements and the methods to provide them should be covered in the policy.
- It should take an active role in re-working out the town planning legislation in the context of the 74th Constitution Amendment empowering local bodies.
- It should also work out the requisite changes required in cadre and recruitment rules.
- It should set up the database on all aspects of urban planning, management and finance.
- It has a role to play in sponsoring research studies, developing planning standards, software development and preparing planning manuals.

7.2 Town Planning Department

Though the urban population and number of towns have increased manifold since the inception of the Town planning Department, the Department's capacity in terms of either manpower requirement or in the adoption of new technologies in the process of preparation of development plans or its enforcement has not been built up commensurately. As a result, the Department is at present very much handicapped in discharging its duties. Staff strength is hardly sufficient to look after the day-to-day activities let alone preparation of plans. Computerisation in the Department is nil. We address these problems below:

7.2.1 Time Taken for ODP/CDP Preparation

The time taken from the publication of the declaration of local planning area to the final approval of the Comprehensive Development Plan by the Government is about 19 years. This is an extraordinarily long time, and would make the entire ODP/CDP process useless, as it is almost impossible to regulate urban development while such a tedious process is going on. By the time the CDP is completed, the entire baseline data upon which the proposals are based would have changed.

In Annexure 6, we provide some details about the starting date and completion dates of ODP and CDP. An analysis of the data in the Annexure 2 and Annexure 6 shows the time taken for these plan preparations. It indicates that based on 24 urban areas for which CDP is prepared, on an average it has taken about 19.3 years from the date of local planning area declaration to the completion of CDP. Based on the information for 46 urban areas, the time taken from local planning area declaration to final completion of ODP is about seven and half years. Thus, one can see the extraordinary time taken to complete the CDP from scratch.

Such a huge time period, and time gap in between, for what is a strategic plan for a fast-changing urban area is excessive by any standards. The reasons could be many for this:

- Not giving sufficient importance to ODP and CDP. We do not think that this is the fact in a highly technical organization set up purely for the purpose of plan preparation.
- Too much of work in the department. Probably this is true when one considers that quite a sizable time of the junior staff is spent on items like commencement certificate for buildings.
- Having taken up too much of work and hence not being able to devote time for completion of projects already started. Probably true as the number of urban areas are very large compared to staff strength
- Cumbersome procedure for plan preparation. Probably this is the main reason for this extraordinary delay
- Insufficient numbers of trained manpower. – Probably true

Even a decade back, the Karnataka State Town Planning Board in its meeting held on 15.4.91 had suggested that amendments to the K.T.C.P. Act may be considered to simplify the procedure for the preparation and getting approval of ODP/CDP by replacing it with the concept of one single Development Plan. This is a very good concept and it is worthwhile for the Government to have a re-look into this.

7.2.2 Director of Town Planning

The Director of Town Planning is the head of an organization with significant responsibilities in ensuring that the state of Karnataka has orderly and well planned growth management of its urban areas. As such, it is a very important position and it is essential that this position is never left vacant without a permanent incumbent. However, in actual fact, the position of Director of Town Planning had been left vacant since 29-10-2000 for a period of fourteen months. A joint director was in-charge of the position. An organization without a regular head can run into innumerable difficulties and various activities of the department can be affected. For example:

- It can affect the morale of the organization as the employees feel that the Government does not give adequate importance to the department.
- Other departments with which this department has to co-ordinate or collaborate will not have sufficient confidence to deal with an in-charge head of the organization.

- Such delays provide a bad image of the Government as non-caring organization.
- A person requires authority to push through improvements and reforms. Authority is derived from the power vested in a position. An in-charge person cannot exercise the power to the full extent, as his subordinate today may be his boss tomorrow.

The position of the head of the organization should not be vacant. Six months before the current head retires, the search process should be initiated, and within three months the new incumbent should be selected and the organization and all employees should be so informed. This gives a time of three months for the new person to work as an understudy, and when the current incumbent retires, a fully prepared person can take over the department.

For the present case, it is a relief to learn that the position of Director of Town Planning has recently been filled up.

7.2.3 Joint Director of Town Planning, DDTP, ADTP

For such important, complex and technical positions, surprisingly, a post-graduate degree in Town and Country Planning or equivalent has not been made an essential qualification. In fact even a graduate degree is not mandatory. This should be remedied at the earliest through suitable amendments to the cadre promotion and recruitment rules.

7.2.4 Divisional and District Offices of Town Planning

The Divisional and district offices have a very important functional role to play, which cannot be performed from the central office effectively. Some new functions like regional planning, district planning, etc may have to be taken up by these offices in future. In order to accomplish their missions and ensure effective functioning, there is a necessity to strengthen the staff position both in terms of number and quality and through the posting of qualified persons.

7.2.5 Information Technology in the Department of Town Planning

A department like Town Planning should normally be handling extremely huge amounts of data regarding land use on plot-by-plot basis, socio-economic data of the inhabitants, demographic data and traffic and transportation data including traffic flows and vehicle numbers. These data will be required for plan analysis, comparative analysis of different classes of towns to prepare an urban policy, and for prediction modeling. The lack of such collection and retrieval mechanism of data is a major handicap in terms of the department's functioning.

The work of the department requires frequent interaction / consultation with the public regarding ODP and CDP preparations. If there is one department that should be required to put its information and reports on web, it is the town planning department. Such thinking and consequent planning appears to be absent. This is one item that requires immediate attention.

In addition, a department such as town planning, which has a highly technical agenda, should be equipped with the latest relevant technology, such as geographic information systems, that should also be provided to its various branch offices. Once these data have been computerized, it should be possible to update and change maps, keep track of changes in various relevant variables, speed up exchange of plan documents between offices, etc. Therefore, significant emphasis needs to be placed on the immediate deployment of information technology, and coming up with plans for specific software applications in the Town Planning Department.

It should be noted that computerisation is not a one-time effort. Software and hardware get outdated in three to four years. Data that has been collected and displayed becomes outdated. There has to be a continuous effort and investment when one goes for computerisation.

7.2.6 Outsourcing in the Town Planning Department

Whether ODP/CDP preparation can be outsourced is a matter of divergent opinion. Some UDAs, for example, Hassan and Bijapur, are trying to outsource the CDP preparation to external agencies. The pros and cons are as follows:

Pros: ODP/CDP preparation is a complex task involving expert knowledge of a variety of fields such as traffic and transportation, water supply and sewerage systems, etc., and the department may not have the requisite expertise. Nor can it afford to build such expertise within the organization, as the workload is not that much in these areas. This work can be accomplished more quickly by employing an outside agency on a contract basis.

Cons: Outsourcing the preparation of ODPs/CDPS will be a very costly exercise which none of the Urban Development Authorities can currently afford. At the end of the exercise, even minor readjustments may require approaching the outside agency that may charge exorbitantly or not respond. The institutional capacity building opportunity may also be lost in the process. Further, outside agencies may not have the required expertise under one roof. They in turn will have to outsource it to many others and in the process, integration and quality of the work may suffer.

Given that the department is mainly set up to prepare these strategic plans, we strongly feel that ODP / CDP should not be outsourced. The department should mobilize people from within and also hire short-term consultants and carry out the job itself. It should also focus on building capacity within the organization through aspects discussed further below:

7.2.7 Capacity Building in the Department of Town Planning

The fact that just engineers or architects will not be able to guide the growth of cities and regions and it requires specialised inputs was recognized by a set of pioneers from Karnataka and one of the first schools established to focus on planning was the School of Planning and Architecture, New Delhi. Indeed, the School of Planning and Architecture, New Delhi was manned almost exclusively by these pioneers from Karnataka, as the Director, and almost all the professors and the registrar were from Karnataka. These groups of people popularized the field of Town and Country Planning

in India and were instrumental in setting up almost all the town planning departments in all the states of the country. It is ironical that in Karnataka, the Town Planning qualification is not considered essential and a substantial portion of the manpower in the organization does not have this qualification.

It is at the level of deputy directors that the overall technical guidance is required in preparing regional and city plans. The assistant director will be the actual officer who will organize the surveys, check the base maps and provide the conceptual inputs for plans and perform the forecasting of population and the required space distributed by various land uses. The junior town planner is the person who does the actual field studies and conducts data analysis, carries out all the computations for forecasting and prepares the requisite drawings. Hence there is a necessity to definitely have qualified town planners at the DDTP and ADTP levels and preferably at the level of JTP also.

One person at the level of Deputy Director of Town Planning does not have the technical qualifications in town and country planning. At the level of ADTP, only 40 per cent have the postgraduate qualification in Town and Country Planning. Over the next few years, when senior qualified persons retire and when juniors are promoted to superior positions, the department will become a substantially non-technical department. Experience alone is not enough and fundamental knowledge is required, which can only be gained through formal training in the discipline.

We strongly recommend that this state of affairs should be changed immediately. The cadre and recruitment rules should be amended to make sure that all persons holding group A positions, whether by promotion or direct recruitment, have post-graduate qualifications in Town and Country Planning.

Direct recruitment for the position of ADTP should start immediately and a few persons, perhaps 8 to 10, should be recruited immediately

There has to be a qualified ADTP to look after the development of a district. However, it is not necessary that this person has to be physically located there. Given that the scope of the department should also include regional planning, it is imperative that within the next few years, all the sanctioned positions in the department at the level of ADTP and above are filled immediately with qualified persons.

Some further data analysis brings up the further dismal state of affairs. Since direct recruitment has almost stopped and only promotional avenues are open, a critical issue that will confront the department pertains to how to get qualified people to man group 'A' positions.

The brighter side of the picture is that even amongst town planning supervisors and head draughtsman, there are 10 people with Town and Country Planning qualifications. These qualified people at junior positions are likely to become a frustrated lot unless they are provided with promotional opportunities and responsibilities commensurate with their advanced degrees and specialized training.

The department should depute or encourage all graduates to go in for Town and Country Planning qualification. Since only a limited number can be sent at governmental expense, the alternative is to provide for study leave, and grant additional increments

to those who do the course at their own cost. Three to four increments appear reasonable. Such people with qualifications should also be considered for positions against direct recruitment along with others from outside.

The big problem is with reference to non-graduates. They must be encouraged (since most of them hold Diploma in civil engineering) to complete their graduation through part time programmes. For people of advanced age without qualifications, obviously the scope is limited. Operationally all such people should work under a qualified town planner of higher rank.

The cadre and recruitment rules should be modified to have graduation in Engineering, Architecture or a Master's degree in Economics, Statistics as the minimum qualification for entering JTP positions.

The positions of junior planner and senior draftsman have almost identical functions – in terms of practice —as the functions have not been laid out. These two cadres can be merged into that of junior town planner.

The positions of draftsman, tracer, blue printer, etc., do not have any relevance in the modern set up. They can all be merged into the position of Town Planning supervisor.

The non-technical group C and D employees see no future for themselves in the department. With greater penetration of 'IT' in to the department, these people can be trained in planning-related support software and also in the fields of programming, data based management systems, project management techniques, accounting packages, word processing and spread sheet analysis, etc. They can be designated as 'office assistants' with two or three sub-levels for their career path. The advantage is that they can be deployed in a number of departmental activities, which also provides them a basic variety in their activities.

7.2.8 Regional Plans

The department should immediately commence regional planning exercises. It was a big mistake to give up regional plan preparation. The future town plans should be fully integrated into a master regional plan. The town-planning department can decide the number of regions, their extent and the time frame for taking up the studies.

7.3 Directorate of Municipal Administration

7.3.1 Proactive Role Needed for DMA

The DMA currently is focused substantially on personnel management issues related to local bodies. This demonstrates a limited vision of the role that this department can fulfill in a nation where urbanization is rapidly increasing. In the context of the 74th constitutional amendment and the nation's commitment to devolution of power to local bodies, the DMA must play a proactive role in ensuring that local bodies are well trained and well supported to perform their roles and handle their increasing responsibilities. Therefore the DMA should initiate the process of policy guidance, strategic planning, and training to get local bodies geared up for better local urban governance. Thus the DMA should organize training programs, refresher courses, special

programs on urban finance, project management, IT applications, and financial accounting, etc.

7.3.2 Information Technology Implementation in the DMA

Currently there is practically no computerization in the Department of Municipal Administration, except at the head office in Bangalore. There is, however, a budget provision of Rs. 1 crore (a token grant) to initiate IT, e.g., through the computerization of land records.

Computerization and deployment of information technology should be a tremendously fruitful exercise for the DMA. The directorate should spearhead the development of IT applications to serve the needs of local bodies. This could be done, for example, in areas such as the development of standardised software for accounting, employee details, tax collection, property listings, birth and death certificates, Khatha certificates, etc. The directorate could help in field-testing and training local bodies in these software programs. Further, the directorate should introduce the concept of web based information distribution to general public.

The Directorate could also establish a Wide Area Network between the field offices and the Directorate and a Local Area Network between the Directorate and Secretariat. These will enhance the speed at which personnel and other decisions are taken, improve file tracking, and ensure transparency and efficient handling of files.

7.3.3 Role of Deputy Commissioners

Currently, all appeals against local government officials on cases involving change of Khathas come to the Directorate. These should devolve to the DC so that the matter is settled close to the parties involved. To ensure this, the DC should be given appellate judicial powers in such matters.

Further, there is a question as to whether there should be a role for the DMA as an intermediate body between the DC and the Government. Instead, the DC's office can be strengthened and more powers delegated to the DC. There is, after all, already a post of Tahasildar (Municipality) in DC's office. If necessary, replacing this position by a KMAS officer of suitable level can strengthen this position and the control of DMA on local bodies can be totally removed. This would also be in line with decentralisation policy where the district matters can be handled at the district level. In any case, with the establishments of Zilla Panchayats, which, along with their CEOs, handle much of the district-level development work previously handled by the DC, there should be scope for allocating more responsibilities to the DC. Regarding inter-district transfer of officials, it can still be handled at the Government level.

7.3.4 Karnataka Municipal Administration Service

Given that the 74th amendment to the constitution firmly commits Karnataka to decentralization and devolution of power to local bodies, the KMAS can play an important role in ensuring the effective functioning of local bodies. However, the overall role of the KMAS needs to be clarified and organized. In spite of it being a specialized cadre dedicated to municipal administration, recruitment has been erratic. In 1981, direct recruitment took place. Since then 50% of the recruitment is through the KPSC and 50% is through promotion from several feeder cadres.

Further, it appears that the training provided to the KMAS cadres is minimal, in spite of their critical role in ensuring the effectiveness of devolution of power. It is imperative that members of the KMAS cadre are given adequate training in town planning aspects as well as in matters pertaining to local self-government.

7.3.5 Status of Municipal Employees

It appears that the law is not very clear and blurs the distinction between state and municipal employees. This raises the question, if they are not state government employees, why does disciplinary authority rest with the DMA? Other complications pertain to the ability of municipalities to hire and pay employees, and also the question of who bears the pension burden for municipal employees. All these issues need to be sorted out in a clear and logical manner, consistent with the letter and spirit of the 74th constitutional amendment.

7.4 Urban Local Bodies

7.4.1 Sanitation

Our discussions with the local bodies indicated that all the municipal bodies ranked sanitation as their most important function and as something where people will notice the functioning of the local body. Invariably all of them mentioned that the shortage of poura karmikas as a major problem. Some chief officers wanted more staff in this category; while others thought outsourcing this activity through contracting it out is the best solution. Some commented that outsourcing will be very costly and the contractor would exploit the labourers. Gundlupet has contracted out this activity in some parts of the town and the local body mentioned that there are no problems.

Many local bodies have contracted out the work and they feel quite satisfied. Two types of contracts have been tried. In one case, it is the awarding the work of sanitation in selected wards to the contractor. The other type is where the contractor supplies the people who will work under the jurisdiction of the municipal body. There is a certain amount of worry with the second type of contract as to whether the hired personnel, even if they come through the contract system will claim to be the regular workers of local body after some time.

We suggest that both approaches to outsourcing be tried, with appropriate safeguards to prevent additions to the municipal payroll and with appropriate penalties for non-performance on the part of contractors.

7.4.2 Water Supply

Shortage of water was mentioned as a key problem and all local bodies are looking out for a state sponsored scheme for this purpose. It is imperative that local body officials are trained in traditional and innovative methods for enhancing water resources, such as rain water harvesting, check dams, etc., so that the water resources, both over ground and underground are not depleted rapidly due to the fast growth of urban areas. If such rapid depletion takes place, urban bodies are perforce moved to supply water through tankers on alternate days and other temporary measures. Strategic management of water resources is given short shrift when local bodies are constantly dealing with water shortage crises.

Insufficient numbers of Valve Men was also mentioned as a problem. Some effort needs to be put into training valve men so as to ensure that water resources are managed and that the enormous leakages that currently occur in the system are plugged. Some of these leakages occur due to illegal tapping of pipes. This needs to be addressed as a matter of substantial importance because of the enormous wastage and potential for contamination.

Thus, additional training in advanced water management methods, additional emphasis on leak prevention enforcement, and additional staff such as valve men, are the key issues that need to be addressed in this area.

7.4.3 Street Lighting

This was mentioned as an important factor but there were no major problems. The only problem was the burnt out light bulb replacement. Contracting out is a feasible proposition and Mysore Lamps has been awarded contracts by a number of agencies to deal with light bulb replacement. Such measures can be tried at other urban bodies as well.

7.4.4 Tax Collection

The other major problem facing urban local bodies is that of tax collection. Some respondents suggested that both water tax and house tax collection posed a problem, as people were not paying their dues properly. A significant amount of time and manpower resources had to be devoted to repeated visits to defaulting citizens in order to get them to pay their tax dues. Surprisingly, many local bodies mentioned that they have the problem of tax collection from Governmental bodies such as Karnataka State Road Transport Corporation, Public Works Department, Karnataka Power Transmission Corporation Limited, Taluk Panchayaths, etc. Finally, some respondents suggested that the problem would be totally solved if the local politicians were cooperative.

Some respondents suggested that bill collection could be outsourced. This is a feasible idea and worth an experiment at least. If contracting of bill collection is done carefully (without windfalls to the contractors), then the local bodies can be assured of reasonably certain revenue projections and this will enable them to focus on their development and maintenance activities. A substantial amount of time and manpower currently focused on bill collection will also be freed up for such activities.

With respect to non-payment of dues from other governmental entities, some respondents suggested a system where the bills will be sent to the Government who can cut the tax from the grants to the particular department and give it to local bodies. Such a system is functioning with respect to the Karnataka State Power Transmission Corporation Limited (KPTCL) where the electricity charges due to KPTCL by local bodies are cut from the grants to local bodies and deposited to KPTCL. This method could be tried; however, care must be taken to ensure that all entities still receive bills so that they can identify areas where efficiency improvements can be initiated and costs contained.

An alternative perspective on the tax collection problem can be considered: Earlier, local bodies were dependent on tax collections for both salaries and development activities. Later, when funds were allocated through the State Finance Commission for development activities, a significant portion of these funds were actually allocated to

salaries (see Annexure 7). For example, in 2001-2002, a monthly grant of Rs. 35.75 crores from the State Finance Commission accrues to local bodies. Of this amount, Rs. 20 crores is divided equally between city corporations and municipalities and is allocated to salaries. Rs. 12.75 crores is allocated towards past and current electricity dues. The remaining Rs. 3 crores is allocated toward the Karnataka Urban Water Supply services.

Once salaries are paid out of State Finance Commission resources, this removes an incentive for these local bodies to ensure efficient tax collection. If it were mandated that local bodies cannot expend State Finance Commission resources for salaries and can only spend tax revenues on salaries, there is a strong possibility that tax collection will improve. This measure is worth considering.

7.5 Financial Empowerment of Local Bodies

One impression that stands out from our field visits is that urban local bodies are cash-strapped, and hence end up focusing merely on survival rather than on proactive urban management and asset creation. Given that urbanization is increasing rapidly in Karnataka and more than a third of the state's population lives in urban areas, it is imperative that this state of affairs undergoes a change. Only when urban local bodies are financially viable and strong will they be truly empowered to effect change and ensure progressive urban management.

The financial empowerment of local bodies can be accomplished through actions both at the level of local bodies themselves, and through actions undertaken by the state government. At the level of local bodies, they can reduce their financial difficulties by improving tax collection (as discussed in the section above) and by reducing their salary burdens, through more use of outsourcing and contracting (as discussed in previous sections). Those entities which are totally unviable (such as the majority of urban development authorities) should be abolished altogether and their functions entrusted to Municipal Planning Authorities. Other local bodies should enhance their financial position through the creation of assets that will generate revenues which can be utilized for urban development activities.

The state government can also play a role in enhancing the financial strength of local bodies through various measures: Given that rural areas are the beneficiaries of significant resources from various central government schemes, it would not be inappropriate for the state government to allocate a larger share of State Finance Commission resources to urban local bodies. These resources must be earmarked for developmental activities and asset creation and should not be spent on salaries. It would also be advisable for the state government to create a revolving fund that would provide a corpus from which urban local bodies could borrow money for development activities involving significant initial expenditures; this would apply to urban development authorities also, and would enable them to efficiently proceed with layout creation and ensure timely compensation to farmers and others whose lands have been acquired (and who otherwise are put to tremendous hardship because of significant delays in compensation). We must emphasize, however, that the resources from the revolving fund must strictly be treated as loans and not as grants.

STRUCTURAL CHANGES PROPOSED

8.1 Secretariat

One major complaint regarding the secretariat pertains to the enormous delays that arise when dealing with it. ODPs and CDPs lie unattended for a very long time with out any decision, or returned with trivial queries. Once the matter is cleared by a technical organization viz., DTP, there should be no necessity for the files to again go through the whole process of caseworker, superintendent, etc, in the secretariat. Thus there is a need to flatten the hierarchy for file movement by empowering various levels of officials to deal with different types of cases. There is also a need to introduce lateral movement of files at the same level, so that queries do not go up and down the system constantly.

There are three or four alternatives:

- A technical person, qualified in planning and holding a rank at the level of DDTP or JDTP and posted at the secretariat at an appropriate level can assist the Secretary in taking quick decisions
- The Director of Town Planning can be deemed as ex-officio additional secretary for ODP / CDP related matters and the file can be directly put up to the secretary
- An internal rule in the secretariat that all ODP / CDP related matters should get the highest priority and should be disposed off in three weeks else the matter directly brought to the secretary's notice to speed up the processing.
- Powers can be given to Director of Town Planning to approve provisional ODPs and CDPs

Some functions of the secretariat like transfers of group B, C and D staff can be delegated to the town-planning department.

Similarly, some functions of the DMA can be transferred to the DC office.

Maintaining all the data structure of KMAS officials, and their transfers can be delegated to DMA. Similarly the supervision of City Corporations can be transferred to DMA.

With the winding up of most of the UDAs and PAs, the load in the Secretariat will be considerably reduced.

8.2 Department of Town Planning

A regular incumbent should always occupy the position of Director of Town Planning and no in-charge arrangement should be practiced. We recommend that six months before the director retires, the search process should start. Within three months a person should be declared as the next director and that person should work in the head office along with the retiring director so that a smooth transition takes place.

For a group of three neighboring districts, a Deputy Director of Town Planning office needs to be created, which will have one deputy director and two assistant directors.

With this arrangement, the ADTP's office in every district may be dispensed with. Such pooling of personnel will provide greater flexibility to post people for work when the load becomes concentrated as in preparation of CDP. The nominal arrangement is that ADTP and DDTP will look after routine works in one district each and in special circumstances work together. To mitigate hardship to clients regarding layout approvals, etc, an officer can visit the district on specified days of the week. The main advantages are:

- It would provide a critical mass for surveys and analysis
- When the work load in different districts vary, this system provides easier methods for work balancing through redeployment
- Provides an environment for mutual consultation amongst group of officers when there is a mixture of qualified and nonqualified persons
- Computers, software, AutoCAD system, plotters, digitizers, etc., can be provided which will be better used and will be cost effective rather than providing them in every district office
- More efficient as lesser administrative manpower can support the system

When the workload increases or new items like district planning are taken, it is possible to revert back to the old system of district offices.

Four JDTP positions are required whose office will specifically work on the regional plans, and each JDTP office will also supervise the work of two DDTP offices spread over six districts. The exact staffing pattern of JDTP office will have to be worked out based on the region selected.

All other main functions of the Department of Town Planning will continue as in the current set up.

To provide more flexibility in the organization, the cadres of senior draftsman and JTP can be merged into the JTP position. Similarly, the multiple positions of town planning supervisor, draftsman, tracer and blue printer should all become one cadre of town planning supervisor.

Over a period of time, the various non technical staff positions can be converted in to two or three grades of "Office Assistants" who will be trained to handle all office correspondence, data storage and minor accounting work on computer. In the Town Planning department, the ratio of technical to non-technical can be less than 1 rather than 1.5 as at present.

The department should go in for web based information dissemination regarding all their ODPs and CDPs, particularly regarding eliciting public opinion. This work should be outsourced.

We do not recommend any outsourcing of ODP/CDP work, as this is a core competency in town planning and should be handled inside the department.

8.3 Directorate of Municipal Administration

The role and mission of the DMA will have to undergo a drastic change. Rather than a department dealing with personnel matters, they must become a proactive department focusing on enhancing the quality and efficiency of local governments. They should also take up the handling of all IT related aspects in local bodies, in addition to that of city corporations.

The DMA should standardize the hardware requirement of the local bodies. They must collate the software requirement of the local bodies and get the software developed by an outside agency and arrange for training and distribution of this software to all local bodies. The advantage of such a system is the cost sharing in software development, uniform and computer collatable reports that can be generated from all local bodies, and easy access of expertise /users in near by local bodies when one is in doubt about software usage. Almost all local bodies that we visited stressed this fact.

The control exercised hitherto by the DMA on the local bodies can be transferred to the DC. Towards this instead of a special tahsildar's position drawn from revenue department in DC's office, an appropriate position managed by KMAS officials can be set up. This will not increase the number of positions in DC's office as the abolition of UDAs and tahsildar's position will be higher than the number of new positions.

The regulation of City Corporations can be transferred to the Directorate of Municipal Administration. This will subtract some work from the secretariat.

Managing all issues of HRD of group B officers and below of municipal bodies, including transfers and promotions can be carried out by DMA and this will relieve the secretariat of quite a bit of work.

8.4 Urban Development Authorities

UDAs are directly controlled by the secretariat. The question is whether the UDAs can sustain themselves under the current set up. The main problems with the UDAs are: insufficient staff, lack of seed money to take up the projects, and an undeveloped market for such self-sustaining organizations. While the concept of a development authority that is self-sustaining and does not increase the financial burden on government is indeed good, our examination reveals that UDAs in most towns are far from viable, and their continuance is counterproductive.

However, UDAs do have a role in bigger metropolises. So UDAs may still be considered for cities with more than 5 lakh populations provided there is also a good economic base in the town. Such UDAs must be in a position to have a full time town-planning member as part of the set up. If they do not have work or financial strength to have such a position, that itself is a criterion not to have the UDA. They must also have sufficient support staff strengths.

All other UDAs are not necessary and that work should be transferred to Municipal Planning Authorities. This is also in keeping with the spirit of the 74th constitution amendment. The Town Planning department should continue to support such municipal planning authorities for town planning functions.

The distinction between municipal area and planning area also has to be sorted out.

8.5 Planning Authorities

There does not appear to be any special need for planning authorities either. The same arguments mentioned for the abolition of urban development authorities hold good for planning authorities also. Their functions can also be transferred to local bodies. The main difference between the planning authority staff pattern and the development authority staff pattern is the position of a commissioner in UDAs, and the possibility of full time town planning members in UDAs which are missing in planning authorities. Otherwise there is tremendous duplication in the activities. Whereas UDAs can take up land acquisition and site preparation activities, planning authorities cannot take up even these tasks. Their financial position is equally weak and staff pattern even weaker than UDAs. Municipal Planning Authorities can take up the function of planning authorities.

8.6 Revised Linkages of Local Bodies

Currently, the UDA and Planning Authorities are giving technical advice in terms of commencement certificates to local bodies. Giving technical opinion about commencement certificates essentially has the following features: Checking with the zoning regulations, checking the setbacks, checking plot coverage and computing the license fee. None of these require advance planning knowledge. An engineer or any other staff of the local bodies, with some brief training can handle this task. If this work is entrusted to the local body, then the Town Planning staff can devote more time to their own departmental activities like ODP and CDP, which are suffering due to a shortage of people.

Thus we recommend that this work be transferred to local bodies and their staff be trained to handle this task. Even now in all local bodies where there is no planning authority or in city corporations, the local body issues the commencement certificate.

However, the technical sanction regarding the change of land use and layout approval should stay with the Town Planning department. This will save time for getting the license, handled at local level where more than one site inspection, if required, can be made, saves unnecessary travel of town planning department officials and releases more people for the department work. The appropriate amendment in the planning legislation may be necessary.

The town planning department will have to bear quite a heavy burden as the technical consultant to the local bodies / Municipal Planning Areas in ODP / CDP preparation, lay outs, change of land use, etc. The MPAs will be collecting a fee for these activities from the clientele for CC, layouts, etc. We suggest that a percentage of such money collected, say 25%, be transferred to the Town Planning Department which should keep this money in a separate dedicated account and use it to upgrade its technology like computers, software, instruments for surveying, etc.

SUMMARY OF RECOMMENDATIONS

9.1 The Secretariat

- The day-to-day work of the secretariat currently largely consists of HRD matters such as promotions, transfers, etc. It should concentrate more on policy matters rather than routine HRD matters. More time should be devoted to items such as ODP and CDP and efforts made to reduce delays in clearing these files.
- Many of the clarifications sought and received from the town-planning department can be reduced and quick and correct decisions taken if a qualified town planner is inducted to the secretariat.
- Alternatively, matters relating to ODP/CDP can be directly submitted by the Director of Town Planning to the Secretary as these are technical matters and the junior hierarchy of secretariat can hardly contribute any new thoughts. For this purpose, the Director of Town Planning can be deemed as ex-officio additional secretary for matters pertaining to ODP and CDP
- All transfers for group B, C and D employees should be left to the concerned departments. Depending on the exigencies of the work, the heads of the departments can take decisions regarding the posting of the officials.
- Personnel matters concerning group 'A' officials can still be handled at the secretariat.
- The regulation of City Corporations can be transferred to the Directorate of Municipal Administration. This will subtract some work from the secretariat.
- Maintaining all the data structure of KMAS officials, and their transfers can be delegated to DMA. This will also subtract some work from the secretariat.
- All matters pertaining to training should be left to the concerned heads of the departments.

9.2 State Town Planning Board

- The Board should immediately prepare a policy paper on urbanization in Karnataka and its impact on land and fiscal requirements. The needed infrastructure to sustain such urban settlements and the methods to provide them should be covered in the policy.
- It should take an active role in re-working out the town planning legislation in the context of 74th amendment to the constitution empowering local bodies.
- It should also work out the requisite changes required in cadre and recruitment rules.
- It should set up the database on all aspects of urban planning, management and finance.

9.3 Town Planning Department

- This department was, until recently, functioning with only an in-charge person heading the organization for fourteen months. Such a system should not happen in any organization as it will affect the organization's working internally as well as with outside agencies, and will affect the morale of the employees. The suggestion is that six months before the head of the department retires, the search

process should start for the new incumbent, and three months before the current director's retirement, a person should be in place as the new incumbent. Then a smooth transition can take place.

- Over a period of time no lateral entry to the department has taken place. The planning field is changing radically both in terms of technology and planning philosophy. The C & R rules do permit such lateral entry at the level of Assistant Director of Town Planning. Some lateral entry should be considered straightaway.
- The department will also be benefited if there is a provision to have positions of advisors or consultants for short term for specific works. In town planning department, it could be advisors for GIS, IT application, Traffic & Transportation study, Environmental Impact Analysis and Project Management.
- There is a need to Change C & R rules to ensure that all the officers appointed to the technical positions of ADTP, DDTP and JDTP have post-graduate qualifications in Town and Country Planning. The existing personnel, if they are in the age group of below forty years and have a graduate degree in engineering or architecture should be deputed for a post-graduate course in Town and Country Planning
- In addition, The Government should actively encourage employees to take study leave and complete a PG course in Town and Country Planning. When such employees obtain a degree at their own cost, a few increments can be given as an incentive.
- The junior staff who do not have a graduate degree must be encouraged to enroll to the university to obtain their graduate degrees. The appropriate study leave or facility to attend evening classes may be granted to them subject to the exigencies of the department.
- The C & R rules should be modified to have graduation in Engineering, Architecture or a Master's degree in Economics, Statistics as the minimum qualification for entering JTP positions.
- The positions of junior planner and senior draftsman have almost identical functions – in terms of practice, as the functions have not been laid out. These two cadres can be merged in to that of junior town planner.
- The positions of draftsman, tracer, blue printer, etc do not have any relevance in the modern set up. They can all be merged in to the position of Town Planning supervisor.
- Similarly the positions of various types of clerks, stenographers, UDA, FDA, etc, are not relevant to Town Planning Department A position of Office Assistant can cover all these positions. This group should be trained extensively in the usage of computers. Probably many positions were created as a promotional avenue rather than due to changes in the job content. Two or three levels within the category of Office Assistant such as 1,2 and 3 levels can be created for promotional considerations.
- Overall in the Town Planning department, the ratio of technical staff to supporting administrative staff should be less than one
- In terms of organization structure, some modifications are suggested. Director of Town Planning will head the organization. The DTP office should be given full autonomy regarding training, deputation to seminars, type of computing facilities - both hardware and software, and other equipments.

- ❑ The department should take up Regional Planning exercises and fit in the ODP/CDP concepts within that framework. The preparation of such regional plans should be entrusted to ranks of JDTP.
- ❑ Four zonal offices each covering about 6-7 districts can be formed. A Joint director can head this Zonal office with adequate supporting staff. All the matters pertaining to plan preparations within the zone should be dealt at this office level only. The zonal office should also carry out regional plans within the zone.
- ❑ The district offices of the ADTP have too small a staff strength to provide any meaningful technical inputs. Three neighboring districts can be amalgamated into one office headed by a Deputy Director, with the support of two ADTP and junior technical and administrative staff.
- ❑ The work of issuing Commencement Certificates (CC) which was carried out by the town planning department through UDA / PA, can be transferred to the MPA. Their engineers can be given training on all aspects of issuing building licenses from the town planning angles such as land use, floor area ratio, and building set backs. However, the department of town planning should still carry out the work of change of land use and layout approvals.
- ❑ The preparation time for ODP/CDP should be speeded up. Currently the average time taken from the starting date to completion of CDP is about 19 years. This work should be completed in a period of 3-4 years. By suitable change of legislation, this two-stage process of ODP/CDP can also be brought to a single stage.
- ❑ The department should be fully equipped with computer software and hardware, and the staff should be trained to make full use of this system. Regular budgetary support is required to keep the department up-to-date. Alternatively, a part of the money earned by the department through their support activities for CC, layouts, etc can be earmarked for this purpose.
- ❑ Base map preparation is a time consuming and tedious task and requires proper type of instrumentation. There is a good possibility for outsourcing this work, which will be cost and time effective.
- ❑ The preparation of ODP / CDP should be a departmental job and should not be outsourced. However, selected aspects of these development plans such as specific town planning schemes, or traffic and transport improvements can be outsourced, that too in complex cases for which the department may not have enough expertise. Every such outsourcing should be a completely transparent exercise with open bidding by all qualified groups.
- ❑ The department should use web based information services about all aspects of its ODP / CDP and receive public comments and suggestions through net. This aspect of the work can be outsourced.
- ❑ The town planning department should immediately start work on the development of the Urban Management Information System and link it with the Geographical Information System. Standardized hardware and software should simultaneously be used in head office and its field offices.

9.4 UDA and PA

- ❑ Only urban areas with more than 5 lakh populations may be considered as possible candidates for continuing as UDAs. **In other places the UDA should be replaced with Municipal Planning Authorities.**

- Similarly, all Independent Planning Authorities should be replaced with Municipal Planning Authorities. Suitable action regarding planning area jurisdiction should be worked out.
- Big urban development authorities should have a full time town-planning member deputed from the town-planning department. It is better if the commissioner of the authority is either a town planner or from KMAS, as they will be conversant with urban problems

9.5 Directorate of Municipal Administration

- With reference to the control of local bodies, i.e., Town Panchayats and Town Municipal Councils and City Municipal Councils, powers of scheme scrutiny, physical inspection, staff matters, etc can be completely transferred to the DC. Inducting a KMAS official and some supporting staff instead of a municipal tahsildar can strengthen the DC's office.
- DMA can take the lead in developing appropriate software for the use of local bodies, look into the training of the employees of the local bodies in computerization, town planning, and urban finance and project management.
- The DMA can also be assigned the work of regulating the City corporations, thus subtracting some work from the secretariat.
- It can also handle HRD matters regarding KMAS officials including transfers and promotions.
- With the above changes, the size of DMA can be much smaller than what it is now. Its skill mix will also have to be different than the current mix.

9.6 Municipal Bodies and Planning Authorities

- The 74th constitution amendment empowers the local bodies substantially. Some of the functions currently carried out by planning authorities can be transferred to them. All aspects of urban planning and management should be carried out by local bodies.
- Currently, both the Department of Municipal Administration and the DC supervise the urban bodies. Most of the works related to schemes and also other day-to-day problems are supervised by DC. The DC, who is the person located at the district level, is more easily accessible than the DMA which is located very far from the field.
- All personnel matters relating to group C and D staff (municipal employees) can be handled by the DC. Group B employees can still be regulated by the DMA
- Since the planning activity also needs to be carried out by the local bodies, the planning authority can be a part and parcel of the local body. The town planning department will have to assist the local bodies to prepare the development plans. The Municipal Planning Authority will subsequently implement it. A part of the revenue earned by the MPA, say 25%, through CC, Layouts, etc can be transferred to DTP for its technology up gradation. The transfer of funds can be through the State Town Planning Board.

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