



# **ACTION RESEARCH AND RESEARCH STUDY SCHEME**



**SPONSORED BY:**

**MINISTRY OF PANCHAYATI RAJ  
GOVERNMENT OF INDIA, NEW DELHI**



**ST. JOHN'S COLLEGE  
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*(Dr. Alok Kumar)*  
Project Director

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## **List of Abbreviations**

AR & RS	Action Research and Research Study Scheme
BRGF	Backward Regions Grant Fund
CRRID	Centre for Research in Rural & Industrial Development
CSS	Centrally Sponsored Schemes
DI	Devolution Index
DPC	District Planning Committee
EWR	Elected Women Representative
GOI	Government of India
IIPA	Indian Institute of Public Administration
IRMA	Institute of Rural Management, Anand
JS	Joint Secretary
MNC	Multi National Corporation
MoPR	Ministry of Panchayati Raj
NGO	Non-Government Organization
NIAR	National Institute of Administrative Research
NIRD	National Institute of Rural Development
OKD	Omeo Kumar Das Institute of Social Change and Development
PEAIS	Panchayat Empowerment & Accountability Incentive Scheme
PESA	Panchayat Extension to Schedule Areas
PRI	Panchayati Raj Institution
RAC	Research Advisory Committee
RD	Rural Development
SC	Scheduled Caste
SIRD	State Institute of Rural Development
ST	Scheduled Tribe

# **ACTION RESEARCH AND RESEARCH STUDY SCHEME**

## **EXECUTIVE SUMMARY**

The Ministry of Panchayati Raj has implemented unique scheme by the name and structure of “Action Research and Research Study Scheme” for getting the SWOT analysis done at grass root level of its various programmes on timely basis to make authentic, qualitatively sound and result oriented policy interventions.

The Ministry in the initial years used the RAC (Research Advisory Committee) to identify the themes of action research and assigned the studies to the reputed research institutions. Initially, the themes of the studies were of the interest of the State government having limited national level application. The Ministry decided to select the themes which had national coverage and entrusted the responsibility to the Research Advisory Committee (RAC).

The Ministry of Panchayati Raj from the initial year of the 11<sup>th</sup> Plan i.e. 2007-08 got the Action Research & Research Studies scheme approved with an objective to get an in-depth analysis of long – term issues, impacts and experiences in Panchayati Raj across the country and evaluate/ assess the efficacy of programmes implemented by the PRIs in the States.

The advantage of such studies is to promote action research to highlight grass root challenges and suggest policy recommendations to make mid-term improvement in its programme and also to implement the various initiatives taken by Ministry of Panchayati Raj. The aim of action research scheme is to bring an improvement in the structure and functioning of Panchayats, Gram Sabha, ZilaPanchayat, Intermediate Panchayats, Panchayat finances, the devolution of power and responsibilities of Panchayat, capacity building, training, elections, effectiveness in implementation of CSS, etc.

The major advantage of Action Research and Research Study Scheme is that it functions as a direct link between the most vulnerable section of the society and the Ministry at the Central Government level. This scheme helps them to communicate the benefits and hardship of the Panchayati Raj system, which otherwise would remain unspoken or unheard of. It is through this the MoPR gets the State intervention done at the grass root level. The Ministry sanctioned 56 research studies out of which 38 have been completed and 18 are still under way and released an amount of Rs.

10.53 crore during the eleventh plan period. A sample size of 10 research institutions out of 56 involved in Action Research to whom the thematic research study was sanctioned were selected to constitute the sample for the evaluation of AR & RS Scheme. These institutions selected covered the MNCs, NGOs, Academic Institutions, Private Ltd. Company, Autonomous Institutions and Government Institutions.

**Findings:**

The following are the major findings of the study:

- The themes selected by RAC of the Ministry were all relevant and gave an insight of the functioning of the PRIs. 19 themes were identified on them the research studies were conducted during the XI Plan period.
- The Ministry of Panchayati Raj sanctioned 56 research study proposal to different type of institutions using different methods during the 11<sup>th</sup> Plan period. In certain cases studies were sanctioned by RAC, some by limited tender and others by open bidding system. The current system of allocation of action research projects is by Bid system – limited, selective or open.
- The studies sanctioned to these institutions ranged from Rs. 3.65 lakh to Rs. 1.95 Crore.
- In the case of low costing projects, the ministry adopts either the selective or limited bidding system, but in the case of research study having extensive coverage and high budget open bid system was adopted. There are some studies where the research institutes have been invited to submit the proposal.
- Currently, bidding system is being used along with invitational tender system. The Technical Bid has 70% weightage while the Financial Bid has 30% weightage. This system may be good for NGO's, Private companies, MNC's etc. but it is a total failure when it comes to government organizations and premier academic institutions.
- In the bid most of the premier institutes are left out in competition because of the financial bid. In the bid system, technical capability of the institute is ignored which is most desired to meet the objectives of the study. The impact is that the premier academic institutions and government institutions have started withdrawing themselves from action research. In the process the ministry is unable to get expert technical opinion.

- It has been observed that MNC's and Private Limited Companies have been given studies in the Social Sector Research, through Open Bidding. These Institutes do not have the knowledge of the Panchayats, and lack competent men power. This results in out sourcing of the work, often at low cost resulting in poor quality results. The reports are delayed, inferior in quality and do not deliver the desired outputs.
- The academic institutes feel that the Technical Bid submitted by non-government institution is pretended and fictitious. Secondly, the capacity, expertise and field experience of the manpower is not conducive as per the requirement of the Ministry. The institute which doesn't have permanent employment involve themselves in projection of a much higher magnitude, resulting in an error in selection.
- There are certain cases in which the institute submits the financial bid of a lower amount to make sure that they get the project study. But, subsequently when they submit the report the Ministry comes to know that the research output is irrelevant and inferior in quality. In certain case when selected institute realizes that it is difficult to conduct the study, they stop responding to the Ministry. This causes delay and at times the study is not even conducted.
- In the present system, the lowest bidder is often not the best bidder. The cost of consultancy of academic institution is not met by the Ministry and usually it is very low as compared to the merit of the Principal Investigator. This result in the Institute withdrawing voluntarily and the studies go to MNC's, NGO's who lack professional and permanent faculty. They depend on seasonal recruitment and regional men power.
- The Ministry writes to State Authorities about the study, authenticating the research institute. The delay in filtering of this information from states to district authorities results in delay in completing the study. The district authorities often lack commitment and tend to avoid interaction.
- The study time period calculated by the Ministry is much lesser than what is actually required. The Ministry fails to account the administrative delays that occur at various levels i.e. district, block, Panchayat, etc. Secondly, it is calculated from the date of sanctioning of study and not the release of funds.

- The current system of releasing of funds for the projects approved by the Research Advisory Committee (RAC) is in three installments in the ratio of 30:30:40. This system has been found to be non-practical as more funds are required in the initial stages of study.
- The current policy of allowing only 5 % overhead cost in the proposed cost of the research study is less in case of Premier Academic Research Institution.
- There is no system of re-costing the study with the expansion of area of study by the Ministry. At times the agency/Institute conducting the study is often under financial stress due to increased quantum of work or reasons beyond their control (elections/ official work/ meetings/ VIP visits, cost fluctuations, etc.).
- The road-blocks in the process of increasing the allocation of funds should be removed.
- The time taken to complete the formalities of study ranged between one to three months in general except in the cases where the delay has been on the part of research institution.
- The quality of report of IIPA, NIRD, IRMA, AC Nielson, NIAR, and CRRID were qualitatively good and beneficial to MoPR. The reports of NR Management Pvt Ltd, Ernst & Young, OKD are yet to be finalized. The non-cooperative attitude of Ernst & Young on some pretext or the other creates doubt of several natures.

### **Recommendations**

The following recommendations are suggested to further strengthen the quality of AR and RS Scheme:

1. AR & RS Scheme helps the Ministry to identify the areas of study which need to be taken up for efficient functioning of the MoPR. New themes should be identified by the Ministry and research studies conducted to improve the functioning of Panchayats at all levels.
2. The selection of institutions for conducting Action Research studies should not be based open tender system. These studies require academic excellence and premier academic institutions with academic excellence don't send their tenders. The MNCs and Private Limited Company mostly have profit oriented approach and no experience in Social Sector Research or to work in the village set up take the study under open tender system. These institutions outsource the study at



low cost. The reports are delayed, inferior in quality and fail to deliver the desired outputs. These institutions don't cooperate and give feedbacks.

3. Ministry can empanel institutions having experience in social sector research based on past records; academically strong research team, Project coordinators/ Investigators research profile, permanency in appointment, etc. MoPR is already following it in principle for selecting institutions for research studies. The Ministry can adopt selective/ limited invitational method asking the premier academic institution to send their research proposals on specified themes. After discussing the technical aspects the financial parameters can be decided between the research institute and the competent authority in the Ministry and then sanction the study.
4. The MoPR may make a panel of institutions for a period of five years based on the Technical specifications and past standing. These institutions can be asked to submit the proposal on the area of study or be engaged to do National Level. This will reduce the burden of frequently asking for technical proposal.
5. Selection of institutions for conducting Research studies upto Rs. One crore may be done from amongst the empanelled institutions through selective/ invitational tendering system. The cost negotiation can be done by RAC depending on the area of coverage, nature of study and quality of man power deployed.
6. Open bidding system, if necessary, can be adopted where the study cost is for Rs. One crore and above. But along with it reputed Academic institutions may be invited to submit the research proposal, even if they have not submitted the bid. The presentation on objective, methodology and area of coverage of study, expertise of manpower, etc. should be done by all institutions to grade them technically (system already exists in the Ministry). After grading the institutes technically then the financial proposal should be considered. But, the weightage of technical bid may be increased to 80 to 85 percent and of financial proposal to not more than 20 percent.
7. Financial proposal should not be the major factor in allocation of study. The Ministry can fix its expected costing for the study and negotiate it with the institution. The institutions with manpower with high academic qualifications normally have high research cost, RAC of the Ministry is competent to decide on financial budget with the research institute.

8. The Ministry should fix some hidden minimum expected budget/ cost below which the study cannot be done. All financial proposals below that budgeted cost should not be considered as either the agency will not be able to conduct the study or will give the report with poor quality. The screening committee should examine such proposals thoroughly before venturing in this direction.
9. The release of funds can be done in the ratio of **50:30:20**. Ministry of Panchayati Raj has already modified and is currently releasing the funds for research studies in the ratio of 50:30:20.
10. It is suggested that the overhead cost should be increased to 10% of the Cost of the Study if Premier Research Institution are to be engaged for work.
11. The Ministry of Panchayati Raj sometimes increases the area of study after sanction. There arises a need to revise the cost of study to provide for the increased quantum of work. There are situations where after the submission of proposal the cost variation takes place due to increase in fuel cost, railway fares, cost of accommodation which varies with season, etc. The Ministry may streamline the procedure for quick approval of increased revised cost.
12. The audited statements of accounts need to be asked at the time of release of the third installment and not at the time of release of second installment. The certificate of Utilization of more than 80% of funds by the Project Coordinator/ Director of the agency may be treated as sufficient condition for the release of second installment.
13. The calculation of time period of study need to be from the date of release of funds to the bank account of the research institute and not the date of sanction of study. Ministry has modified it and currently treating the date of release of fund as the starting point of study.
14. The Ministry has to make special efforts to involve academic research institutions/ government organization to undertake Action Research Studies.  
(Refer Annexure-V)

The Action Research and Research Study Scheme of Ministry of Panchayati Raj is a strong tool to get timely impartial feedback to take desired policy intervention to strengthen the Panchayati Raj Institution at all levels. The Ministry needs to get more thematic studies conducted by reputed research institutes to become fully functional at all tiers of Panchayats.

# **1 ACTION RESEARCH AND RESEARCH STUDY SCHEME:**

## **BACKDROP STUDY**

The Ministry of Panchayati Raj has implemented unique scheme by the name and structure of “Action Research and Research Study Scheme” for getting the SWOT analysis done at grass root level of its various programmes on timely basis to make necessary policy interventions. In the absence of such a scheme it would not be possible to know the impartial status of Panchayati Raj functioning at the State, District, Intermediate and Gram Sabha level.

The Ministry of Panchayati Raj through its “Action Research and Research Study Scheme” gets the quality test done of its various schemes by the Professional Research Institutes impartially. The aim of the “Action Research & Research Study Scheme” is to get the evaluation of the system of selection procedure of themes, institutes, the quality of output and relevance of the studies for the Government done so that, the desired action policy may be formulated to make the research studies so conducted more authentic, qualitatively sound and result oriented.

The change in development strategy from top down to bottom up approach with the enactment of 73<sup>rd</sup> Constitutional Amendment Act 1993 has strengthened the grass root machinery. The 73<sup>rd</sup> Constitutional Amendment gave Constitutional Status to Panchayats at the Village, Intermediate and District levels. The strengthening of local democracy has invoked the traditional self-governing institutions of the village through democratic decentralization of power. The implementation of number of Centrally Sponsored Schemes (CSS) has been entrusted to the Panchayats for planning and implementation. The responsibility of Ministry of Panchayati Raj has increased with the adoption of decentralised development strategy and that is the reason why, the Ministry has to continuously evaluate the developments taking place regarding effective devolution of functions, finances and functionaries. It has to also monitor and strengthen the planning process, Gram Sabhas, women involvement, reservation for SCs/STs, special problems of SCs/STs, elections, audit, parallel bodies, capacity building and training, etc. All this necessitates focused target oriented action research conclusions to make mid-term and intermittent timely corrective interventions.

Action Research and Research Studies will help to study the efficacy of programmes implemented by the Panchayats and to identify the weak areas which need special attention. The Action Research and Research Study gets the first-hand unbiased opinion from the beneficiaries at the grass root level for whom the programme is designed. The studies conducted, at times observe and document such good practices which may go un-noticed. The documentation of best practices followed by States and Panchayats can be disseminated and replicated in other identical areas. Good research projects can also help in convincing other Central Ministries to devolve powers to Panchayats. Appropriate action research is, therefore, vital to analyse policy issues and schemes, document best practices and improve understanding of practices regarding Panchayats.

The dynamic developmental processes require frequent and timely rectification of deficiencies in the guidelines of the existing schemes. The “Action Research and Research Studies” scheme help the Ministry in identifying and removing gaps in the existing schemes and formulation of appropriate policies for effective implementation of the provisions of Part IX of the Constitution.

The research studies will also provide information to the States on improving and strengthening their Panchayati Raj System, which would improve service delivery. Action Research & Research Studies scheme therefore, would have indirect economic implications through the effective implementation of the schemes devolved to the Panchayati Raj Institutions.

The Ministry of Panchayati Raj was established in the year 2004 from the Ministry of Rural Development. The Ministry started functioning immediately to reach the grass root level and involved itself in the implementation of 73<sup>rd</sup> Constitutional Amendment of Government of India. The constitution recognized, for the first time since independence, the role of Gram Sabha where the needs and issues of village can be articulated and consensus can be built. To achieve this target the MoPR, Took a major step in 2004- 2005, by implementing the Action Research and Research Studies Scheme.

The Ministry in the initial years used the RAC (Research Advisory Committee) to identify the themes of action research and assigned the studies to the reputed research institutions. The themes of the studies were mostly of the interest of

the State government. The Ministry of Panchayati Raj later realized that studies when conducted taking the State government suggestions into priority were not yielding the desired results as expected. The findings of these studies were restricted to particular aspects relevant to the particular State. The Ministry was unable to use the findings to make generalized policy interventions owing to difference in state government priorities and different status of Panchayat functioning. Realizing this major constraint, the MoPR decided to identify the themes which had larger coverage and the findings of which can be used for central policy intervention. The MoPR also consulted the State Panchayat functionaries in identifying the themes.

The Ministry of Panchayati Raj with the incoming of the 11<sup>th</sup> Plan took a decision to identify its own themes which had larger national interest in implementing and improving effectiveness of the Panchayati Raj System. It was in the year 2007-08 the Action Research & Research Studies scheme got approved and since then the reputed research institutes are involved in conducting studies on vital parameters of Panchayati Raj functioning. These studies have been a great help to the Ministry of Panchayati Raj in deciding on desired policy changes as and when required.

## **ACTION RESEARCH AND RESEARCH STUDY**

### **SCHEME:OBJECTIVESOF SCHEME**

The Action Research and Research Study Scheme provides Central assistance to Academic Institutions, NGOs, Research Organizations, Registered Societies, Non Profit Organizations and SIRDs, having specialized experience in research and evaluation in the areas of Panchayati Raj for their proposals to conduct Action Research, Impact Studies, Research Studies, on subjects dealt with by the Ministry of Panchayati Raj. The objective of the Action Research and Research Studies is to get an in-depth analysis of long – term issues, impacts and experiences in Panchayati Raj across the country and evaluate/ assess the efficacy of programmes implemented by the PRIs in the States. The findings of such research would be widely disseminated to all concerned - citizens, elected representatives of Panchayats, Government officials, State Governments and Ministries in the Government of India for appropriate change of policies and training methodologies.

The Ministry of Panchayati Raj, Government of India through its “Action Research and Research Study Scheme” gets the quality test done of the research studies done by the research Institutes. The aim of the evaluation of Action Research & Research Study Scheme is to get the evaluation of the system of selection procedure of themes, institutes, the quality of output and relevance of the studies for the Government so that, the desired action policy formulation may be done to make the research studies so conducted more qualitatively sound and result oriented. The Ministry gets training manuals designed, best practices studies documented and status of Panchayati Raj studies, pilot projects studies; impact assessment studies, etc. conducted by professional research institutes to have the real picture at the grass root level and to improve its efficacy in its delivery.

Financial assistance is only provided to such institutions / organizations that have at least three years working experience in the field of social research, action research, etc. The proposals received under the scheme are to be considered by the Research Advisory Committee (RAC) headed by the Secretary, Ministry of Panchayati Raj, Government of India.

The projects funded under the scheme are based on the themes identified by this Ministry in consultation with the respective divisions in the Ministry and also if any suggested by the State Governments / UTs.

### **Benefits of the Scheme**

The Action Research and Research Study scheme of Ministry of Panchayati Raj has taken up research projects regarding various aspects of Panchayati Raj, such as the structure and functioning of Panchayats, Gram Sabhas, Panchayat Finances, Devolution of Powers and Responsibilities, Capacity Building and Training, Elections, E-enablement, PESA, Programmes related to Panchayats and any other issues that affect Panchayats.

The advantage of such studies is to promote action research to highlight grass root challenges and suggest policy recommendations to make mid-term improvement in its programme and also to implement the various initiatives taken by Ministry of Panchayati Raj. The main objective of action research scheme is to bring an improvement in the structure and functioning of Panchayats, Gram Sabha, ZilaPanchayat, Intermediate Panchayats, Panchayat finances, the devolution of power and responsibilities to Panchayat, capacity building, training, elections, effectiveness in implementation of CSS, etc.

The major advantage of Action Research and Research Study Scheme is that it functions as a direct link between the most vulnerable section of the society and the Ministry at the Central Government level. This scheme helps them to communicate the benefits and hardship of the Panchayati Raj system, which otherwise would remain unspoken or unheard. It is through this the MoPR gets the State intervention done at the grass root level.

The Ministry of Panchayati Raj under takes different type of research projects like:

- Preparation of training manuals
- Impact assessment of MoPR schemes
- Preparation of Status of Panchayats document
- Implementation and benefits of Centrally Sponsored Schemes

- Best Practices studies
- Programme evaluation
- Workshops, training programmes, etc.
- Preparation of devolution index
- Empowerment programmes of marginalized section of society
- Status of DPCs
- Activity Mapping of Panchayats
- Budgeting manuals, etc.

The Ministry of Panchayati Raj, in order to get real picture of its various programmes at the grass root level has conducted a number of research studies from time to time. During the Eleventh plan period (2007-2012), the Ministry of Panchayati Raj sanctioned 56 research studies out of which 38 have been completed and 18 are still under way. The following table mentioned below shows the physical and financial progress made under the said scheme during the Eleventh Plan.

### **Physical and Financial Progress**

(As on 31<sup>st</sup> March 2012)

S. No.	Year	<i>(Rs. in Crores)</i>			No of Studies Sanctioned	No. of Studies Completed	No. of Studies Still Underway
		B.E.	R.E.	Amount Released			
1	2007-08	2.00	3.00	3.00	16	10	6
2	2008-09	2.00	3.00	2.97	10	8	2
3	2009-10	3.00	1.75	1.61	18	12	6
4	2010-11	3.00	1.40	1.40	7	5	2
5	2011-12	3.00	1.55	1.55	5	3	2
TOTAL					56	38	18

The year-wise details of projects undertaken during the 11<sup>th</sup> plan period are enclosed as **Annex. I**.



### **3 ACTION RESEARCH AND RESEARCH STUDY SCHEME:**

#### **METHODOLOGY OF STUDY**

The Action Research and Research Study Scheme study the quality of reports submitted by the research institutes, their method of selections, allocation of funds and timely submission of reports. The proposed study is mainly based on secondary data and covers all parameters from the time of initiation of study to its final conclusion.

The proposed study has also taken the primary feedback of the research institutes involved in conducting research studies and the implementing agencies. The study has taken all parameters which deals with the terms of contract and the factors responsible for the delay in submission of the final reports by the respective institutes into consideration, while preparing the report. The primary feedback from the Project Coordinators and their team has been taken through a questionnaire and open ended interview in a free wheel discussion.

The secondary data/ information will constitute the main component of Action Research & Research Study Scheme. The secondary data will include the existing procedures of selection of research themes for study, the past and the current procedure adopted in selection of institutions, the procedure and time taken in allocation of studies, the timely submission of reports, etc.

The evaluative study will also study the time period assigned for conducting studies, the quality of output delivered by the institutes (quality of report) the findings and their relevance for Ministry of Panchayati Raj in particular and the country as a whole.

The primary information about the research study schemes will be taken from the official associated with the Action Research Study programme. Free wheel discussion and interviews will be conducted with the institutional representatives involved in conducting these identified sample research studies to have their perspective regarding the action research scheme.

#### **Selection of Research Institutes**

The selection of Research Institutes is done from the list of institutions to whom the study was sanctioned by the Ministry of Panchayati Raj under Action Research and Research Study Scheme during the Eleventh Five year Plan (2007-12). The selections of agencies have been well spread over the whole Plan period with more concentration on the last three years of the XI Plan period i.e. 2009-10, 2010-11 and 2011-12.

Out of 56 studies, a sample size of 10 research institutions involved in Action Research to whom the thematic research study was sanctioned were selected to constitute the sample for the evaluation of AR & RS Scheme. These institutions are from amongst the Research Institutes involved in conducting research study during the 11<sup>th</sup> five year plan.

The table below shows the number of agencies allocated Action Research Studies and the representative sample which is selected as the final sample.

**List of Sample Research Institute**

S.No.	Financial Year	No. of Studies sanctioned	No of Agencies Selected	Name of Research Institute
1.	2006-07	18	1	• ACNielsen ORG_MARG, New Delhi
2.	2007-08	16	1	• IIRM, Anand
3.	2009-10	18	3	• NIAR, LBSNAA Mussoorie, • CRRID Chandigarh, • Samarthan, Bhopal and 3E Law
4	2010-11	7	3	• NIRD, Hyderabad, • OKD, Guwahati, • NR Management Consultant Pvt Ltd, New Delhi
5	2011-12	5	2	• IIPA, New Delhi, • Ernst & Young Pvt Ltd, Gurgaon

The selection of Research Institutes involved in Action Research and Research Study Scheme was done in consultation with the Ministry of Panchayati Raj from the list showing the current status of studies as on July 2012, taking the following parameters:

- (i) **Budget Basis:** Covers low budget, medium budget & high budget studies.

- (ii) **Study Status:** Which covers institutions which have completed the studies and submitted the report/ agencies whose reports are awaited (or revised reports submitted)/ which are facing some type of delay.
- (iii) **Area Coverage:** The institution involved in North East is also taken to get the coverage of the functionality/ challenges faced by the agencies in North Eastern States. Further institutes located in Gujarat, Madhya Pradesh, Chandigarh and Andhra Pradesh was taken to get an all India spectrum.

The complete details of the selected research institution are given in Annexure II.

The questionnaire approved by the MoPR for conducting study is attached as Annexure III.

### **Final Stage of Study**

The concluding stage involved the feedback from the dealing branch and shall be through open ended questions. The final stage shall cover the feedback from the officials dealing with the programme i.e. the Joint Secretary (AR&RS), Under Secretary, etc.

### **Objectives of the Study**

The study will have a holistic approach while conducting the evaluation of Action Research & Research Study Scheme. The study will be conducted with the following objectives:

- Evaluate the themes of research and their relevance in MoPR's work.
- Evaluate the process of selection of the themes, agencies, allocation and dispersal of funds, reasons of time lag, etc.
- Evaluate the Quality of output.
- Suggest ways of improvement and modifications needed.
- The Study would suggest suitable policy recommendation to make the scheme more effective and result oriented for MoPR's work.

## **4 ACTION RESEARCH AND RESEARCH STUDY SCHEME:**

### **THEMES OF STUDY**

The themes of “Action Research & Research Study” Scheme constitute the integral part of the scheme. The research studies conducted on these themes and their feedback helps the Ministry in formulation of appropriate policies and also to identify and remove the gaps in the effective implementation of the provisions of Part IX of the Constitution. The themes are selected with the aim to improve the effectiveness of the Ministry to implement its programme and to evaluate the programmes implemented by the PRIs in the States.

The identification of the themes has been done in consultation with the State Governments, Governments of Union Territories, Programme implementation division of the Ministry of Panchayati Raj and Research Advisory Committee to make the Action Research Scheme more relevant and result oriented.

The selection of themes done by Ministry of Panchayati Raj was apt to the period during which the research studies were conducted. These studies were useful not only to the Central Ministry of Panchayati Raj but also to the State Governments and the District authorities monitoring/ implementing these schemes at various levels. The studies on the implementation aspects of various Centrally Sponsored Schemes highlight both the strength and weakness at different levels in different parts of the country. The studies help in taking corrective measures to improve the positive impact of the schemes. The research studies are covering all aspects of the functioning of Panchayati Raj institutions to the extent of taking into account the marginalized section of the society and the women at large. The studies on devolution index, best practices, EWR, NayayaPanchayat, training modules, DPCs, etc. are worth commending. List of 19 selected themes identified is in Annexure IV.

#### **Future Themes**

The Ministry of Panchayati Raj may take up studies and programs on themes which shall focus on the larger section of the rural masses. The basic need is to train and motivate the elected Members of PRI's and also the women and youth, so that the implementation of the projects becomes effective. The following themes are

suggested to Ministry of Panchayati Raj for Action Research and Research Study Scheme:

- Empowerment of EWR's
- Inclusive growth and governance
- Capacity building of marginalized section in the PRIs.
- Study on Empowerment status of SC, ST and Women in Panchayati Raj Institution.
- Study the Role of PRIs in Child education, Child Rights, Girl Child Rights and Adverse Child Sex Ratio.
- Community Participation in health care and education etc.
- Impact assessment of Implementation of CSS by PRI
- Functioning of DPCs
- Studies on Functioning of Gram Sabha- how they can be made more effective
- Developing localized training of PRI members by Academic Institutions and SIRDs located in the area.
- Gender issues in employment, Capacity building for addressing gender issues
- Management of convergence in different RD programs
- Panchayati Raj and Social Justice
- Estimation of Poverty and evaluation of Poverty alleviation schemes
- Assessment of the Status of Devolution of 3 F's in PRI
- PRI's and their structure
- Role of PRI in environment, natural resources, climate change
- IT for PRI's
- Audits and PRI's
- PRI's and energy sector
- Training of Target Groups and Training Need Assessment
- Identification and documentation of Good Practices
- Development of Training Modules for effective PRI governance
- Training in financial Management.
- National evaluation on Performance of elected representatives in PRIs in India
- Democratic Decentralization And Decentralized Planning In The North East Region

- Impact of the Capacity Building activities in the improvement in functioning of PRIs.
- Success of BRGF in the empowerment of PRI.
- Gender Budgeting.

The scheme being demand driven, the different divisions of Ministry should identify the theme for research and forward them to JS (AR&RS) for getting those approved by RAC.

## **5 ACTION RESEARCH AND RESEARCH STUDY SCHEME:**

### **FINDINGS OF STUDY**

The Ministry of Panchayati Raj is actively involved in the efforts to improve, strengthen and enforce the functioning of the PRI throughout the country. It conducts studies with the help of reputed organizations and then formulates action plans to make the necessary changes, as advised by the different research agencies. The Ministry of Panchayati Raj rectifies the short comings on its side and the focus is also on becoming an effective agency in the successful implementation of the different schemes at the Panchayat level.

The present study was conducted to understand the process and impact of the different studies conducted by premier institutions of the country. The study starts with the initial stage of selection of a theme, then bidding process for the study, sanction of the study, financial allocation system of the Ministry of Panchayati Raj, financial accountability and finally the submission of the draft report and final report.

The study was conducted by including institutes of different kinds, and from different regions, different financial years, different themes and an effort was made to get a wide spectrum of the issues.

The focus of Action Research is to facilitate decentralized development process for good governance at local level to ensure socio-economic transformation. The 'facilitation' process requires mobilization of society, technology transfer for productivity increase, value addition, capacity building of masses, participatory decision making, etc. Action Research is carried out at the implementing level/ grass root level, and the policy recommendations are implemented and the outcome is analyzed. The methods are based on participatory approach, focused group discussion, free wheel interaction to ensure effective participation of the masses. The main idea of Action Research is to research "*with people*" and not "*on people*".

The Ministry of Panchayati Raj is involved in Action Research to achieve the objectives of timely policy intervention and decentralized planning. The objective of this study is to develop a mechanism to make the process short, effective and result oriented. The feedback focuses on the following points.

1. Effective and transparent method of allocation of research studies.
2. Smooth transfer of the funds.
3. Execution of the study in the stipulated time frame
4. Timely feedback on the Draft Reports with necessary comments.
5. Timely submission of the Final Report.

The above objectives if achieved will ensure policy formulation, transfer of ideas, implementation of suggested action-plans and at the same time strengthening of the Panchayats. This will improve the social well-being of the rural poor and improve the quality of life.

The major findings of the evaluative study on Action Research & Research Study Scheme are covered under following heads:

- Studies Sanctioned
- Terms and Condition of research study
- Clarity in theme of research project
- Terms of Reference
- Sanctioning of Study & Bidding System
- Time taken to Sanction Study
- Time Period of Study
- Direction to State governments
- Funding and Financial Parameters
- Overhead Cost
- Allowance for Re-Costing
- Penalty Clause
- Feedback Mechanism of the Ministry
- Quality of Report

### **Studies Santioned**

The Ministry of Panchayati Raj has sanctioned 56 research study proposals to several institutions using different methods during the 11<sup>th</sup> Plan period. In certain cases, studies were sanctioned by RAC, some by limited tender and others by open bidding system. The current system of allocation of action research projects is by Bid system – limited, selective or open.



The institutions covered are the NGOs, Private Limited Institutions, Academic Institutions, Autonomous Institutions, MNCs and Government Institutions. The studies sanctioned to these institutions ranged from Rs. 3.65 lakh to Rs. 1.95 Crore.

### **Terms And Conditions Of Research Study**

The terms and conditions mentioned in the Expression of Interest need to be examined. The major document relating to terms and condition of study is the “Bond” which is signed between the Ministry and the Research Institute. The “Bond” is the document that initiates the study and finally helps in deciding any disputes that arise in the time period of study, release of funds, penalty clauses, etc. The present terms and conditions however need to be modified in the opinion of the respondents. These modifications will be in the interest of enhancing the quality of Action Research conducted by the Research Institutes.

The rigidity in terms and conditions of sanction, without taking into account the topography of the area of study, the climatic condition, the coverage area of the study, unwanted delays on the part of sanctioning authority, release of funds, poor cooperation by the responding state government functionaries, etc. result in both dilution and content of research results, which reduce the effective policy intervention by the Ministry.

### **Clarity in theme of Research Project**

The themes selected by RAC of the Ministry were all relevant and gave an insight of the functioning of the PRIs. 19 themes were identified on which the research studies were conducted during the XI Plan period. The outcomes of these studies were beneficial for taking timely measures to bring effective functioning of the Panchayat system at all levels. The themes selected are helpful in bringing uniformity in mechanism and effectiveness in executing the programmes for the welfare of the community and capacity building of the Panchayats across the States.

### **Terms Of Reference**

The Ministry of Panchayati Raj floats the expression of interest for getting the research study conducted. The terms of reference explicitly specify the objective of study, the area of study, time period of study and the parameters to be covered in the

study. The research institutions submit their technical and financial proposal as per their specific area of study.

### **Procedure Of Sanctioning Study & Bidding System**

The following procedures were adopted for selection of institutions for conducting the study, namely Selective Bidding, Invitational Bidding, Open Bidding, Invitational Proposals based on MoPR concept note and directly sanctioning the proposal to reputed academic/ government institutions.

- In the case of low costing projects, the ministry adopts either the selective or limited bidding system, but in the case of research study having extensive coverage and high budget, open bid system is adopted. There are some studies where the research institutes have been invited to submit the proposal.
- Currently, bidding system is being used along with invitational tender system. The Technical Bid has 70% weightage while the Financial Bid has 30% weightage. This system may be good for NGO's, Private companies, MNC's etc. but it is a total failure when it comes to government organizations and premier academic institutions.
- Bidding System is not effective. The impact of the failure of the system is that the premier academic institutions and government institutions have started withdrawing themselves from action research. In the bid most of the premier institutes are left out in competition because of the financial bid. In the bid system, technical capability of the institute is ignored which is most desired to meet the objectives of the study. In the process the Ministry is unable to get expert technical opinion.
- It has been observed that MNC's and Private Limited Companies have been given studies in the Social Sector Research, through Open Bidding. These Institutes do not have the knowledge of the Panchayats, and lack competent man power. This results in out sourcing of the work, often at low cost resulting in poor quality results. The reports are often delayed, they are inferior in quality and do not deliver the desired outputs.
- In the present system, the 'lowest bidder' is often not the 'best bidder'. The premier institutes have withdrawn from the system because they do not want to face the humiliation. The cost of consultancy is not met by the Ministry and

usually it is very low as compared to the merit of the Principal Investigator. This results in the Institute withdrawing voluntarily and the studies go to MNC's, NGO's who lack professional and permanent faculty. They depend on seasonal recruitment and regional man power. This once again effects the academic standard of the study.

- The academic institutes feel that the Technical Bid submitted by non-government institution is pretended and fictitious. Secondly, the capacity, expertise and field experience of the manpower is not conducive as per the requirement of the Ministry. The institutes generally do not have permanent employment, and they involve themselves in projection of a much higher magnitude, resulting in an error in selection.
- There are certain cases in which the institute submits the financial bid of a lower amount to make sure that they get the project study. But, subsequently when they submit the report the Ministry regrets as the research output is irrelevant and inferior in quality.
- Certain institutions take the study due to lower Financial Bid and then when they find themselves incompetent they either surrender the study or are unable to complete the research task/ finalize the report. This results in delay in results and timely intervention by the Ministry. This needs to be checked.
- In certain case when selected institute realizes that it is difficult to conduct the study, they stop responding to the Ministry. This causes delay and at times the study is not even conducted.

### **Direction To State Governments**

The Ministry of Panchayati Raj while issuing the sanction letter to the research institute also sends a copy of the letter addressed to the State Government Authorities authenticating the research institute for conducting the study. The letter also clearly speak that the study is time bound and is in the interest of State and Central Government. The State Government/ District authorities are requested to cooperate and give proper and timely feedback/data to the research institution. The delay on the part of states to inform the district authorities regarding the study was observed resulting in delay in completing the study.

### **Time Period:**

The time period of the study is an important parameter which is often neglected or rather wrongly calculated. This is crucial and this depends on the theme, area, scope and region of the study.

The study time period decides the cost of the study. At times, the calculation of time period for the study is done by the Ministry, which is much lesser than the actual time period required to conduct the study. This leads to wrong calculation of cost by the Ministry resulting in difficulty in completing the study.

The time period of study is calculated from the date of sanctioning of study while the release of funds takes place at a much later date. Hence, the origin of the two is different. This gap needs to be reduced and streamlined.

### **Funding and Financial Parameters**

The sanction letter is followed by the release of funds. The Action Research and Research Study Scheme provide 100% Central assistance to institutions whose proposals are accepted. The current system of releasing of funds for the projects approved by the Research Advisory Committee (RAC) is in three installments in the ratio of 30:30:40. The three installments are released in the following fashion-

- 1) **First installment** of 30% is released after the concerned organization submits the structure & content of the proposed report, methodology of study, details of project team, time lines of various stages of study / report and the bond.
- 2) **The second installment** of 30% is released after:
  - Furnishing of mid-term progress report containing first draft report
  - Making a presentation on the study,
  - Certificate of utilization of more than 80% of the funds released duly verified by a chartered accountant,
  - Item wise statement of account.
- 3) **The third (final) installment** of 40% is released on furnishing of
  - 10 copies of the final report
  - Soft copy on a C.D. on the sanctioned project on approval of the report
  - Final presentation and incorporating the suggestions (if any) in the final report,
  - Certificate of utilization of the funds sanctioned

- Verification by a chartered accountant
- Statement of account indicating the actual expenditure incurred

This system has been found to be non-practical as the studies are generally conducted by the method of FGD's, surveys, collection of data from different sources and field trips. It involves payment to man-power, printing of relevant materials, field trips to the place of study, arrangement of transport and accommodation of the field investigators, etc. requiring more funds in the initial stages of study.

### **Overhead Cost**

The current policy of the Ministry of Panchayati Raj is to allow only 5 % overhead cost in the proposed cost of the research study. The 5 % overhead cost is very less in case of Premier Academic Research Institution.

### **Allowance for Re-Costing**

The Ministry of Panchayati Raj is continuously striving to serve the cause of the rural masses through research, action research and consultancy activities. There are several challenges faced by the Ministry of Panchayati Raj in the development of policies and programs to achieve its target. In its relentless pursuit for greater outreach, it sometimes increases the area of study after sanction. The agency/Institute conducting the study is often under financial stress and there is need to re-cost the study in order to cater for the increased quantum of work. There are situations where after the submission of proposal the cost variation takes place due to increase in fuel cost, railway fares, cost of accommodation (varies with season), etc. The research institutes have to at times make more than one visit to field due to various reasons (elections/ official work/ meetings/ VIP visits, etc.). There should be some provision to cover such increased cost.

The road-blocks in the process of increasing the allocation of funds should be removed. It is suggested that there be a fast track approach in these cases so that the study is expedited and completed in the desired time frame.

### **Penalty Clause**

In the present bond, there is a provision of “Penalty” on the party. The penalty is of the order of 5%, this may be reviewed in exceptional cases.

The delay is often due to the procedure and functions both at the Ministry and State level. The institute conducting the study is unable to get the desired data from the State and District authorities in time. Further, the delay is often due to the data gaps, delayed feedback and poor cooperation from the District Authorities on some pretext or the other.

Another observation is that in some cases the study was very wide and the time anticipated or sanctioned was less and this resulted in delay in the completion of the study.

There is however no case of imposition of penalty reported by any institution so far. There is certainly a need for Penalty Clause but before imposing it, the other factors which are beyond the control of the research institutes should be considered.

### **Feedback Time in MoPR**

The MoPR invites proposals and then after scrutiny sanctions the same to the research institutes. Sometimes there is a time lag between inviting the research proposal and the final sanction of the research study, causing change in number of factors. The institute is often unable to estimate the constraints that come up due to various reasons e.g. topography of the region, climatic conditions, political scenario, regional festivities and many more, these effect the study in the 1<sup>st</sup> stage. Therefore, when the final discussion is done, then all these factors must be reviewed and keeping in view the technical and financial issues the final time period be ascertained.

The present system fixes all the delay on the research institute, irrespective of the real parameters. This has resulted in a feeling of reluctance amongst some Academic research institutes who don't compromise on quality of deliverables. The institutes appreciate the problems of the Ministry of Panchayati Raj, but yet are of the opinion that some relaxation must be permissible in the light of factors which may not be perceived in the initial stages.

- The time taken by the Ministry for sanctioning the study ranged from one month to three months.

- The time taken to complete the formalities of study ranged between one to three months in general except in the cases where the delay has been on the part of research institution.
- The pursuing division in Ministry of Panchayati Raj has often taken more than the desired time to give the feedback and comments on the Draft Report.

### **Quality of Report**

The quality of report of IIPA, NIRD, IRMA, AC Nielson, NIAR, and CRRID were qualitatively good and beneficial to MoPR. The reports of NR Management Pvt Ltd, Ernst & Young, OKD are yet to be finalized.

The non-cooperative attitude of Ernst & Young on some pretext or the other creates doubt of several natures.

All the agencies have submitted the final reports after incorporating the desired modifications.

The Ministry gets relevant information from the grass root level which is useful in fine-tuning of future policies and programmes. The studies have been useful for the Ministry of Panchayati Raj in identifying the gaps for training the officials and elected representatives involved in the implementation of different schemes of the ministry.

**RECOMMENDATIONS OF STUDY**

To further strengthen the quality of Action Research and Research Study Scheme, the following recommendations are put forth:

15. Action Research & Research Study Scheme helps the Ministry to identify the areas of study which need to be taken up for efficient functioning of both the Ministry of Panchayati Raj and the Panchayati Raj Institution. New themes are to be identified by the Ministry and research studies conducted to ensure further strengthening and the smooth functioning of Panchayats at all levels. Some themes have been identified and suggested for undertaking research studies.
16. The selections of institutions need to be based on past records; academically strong research team, Project coordinators/ Investigators research profile, permanency in appointment, etc. MoPR is already following it in principle for selecting institutions for research studies.
17. The selection of institution for conducting Action Research studies need not be based on open tender bidding system. These studies require academic excellence, professional competence and a visionary approach. The institutions with high Academic Excellence and competence often don't send their proposal in open tenders.
18. It has been observed that MNC's and Private Limited Companies have been given studies in the Social Sector Research, through Open Bidding. These Institutes do not have the knowledge of the Panchayats, and lack competent man power. This results in out sourcing of the work, often at low cost and there is degradation in quality. The reports are delayed, inferior in quality and usually fail to deliver the desired outputs. Thus, the entire effort is futile.
19. The MNCs and Private Limited Companies mostly have profit oriented approach and no experience to work in the village scenario. They take the



study under open tender system but fail to deliver the results. These institutions should not be sanctioned such studies as they subsequently don't cooperate and give feedbacks at the right time. (Ernst & Young, Gurgaon).

20. The Ministry has to make special efforts to involve premier academic research institutions/ government organization to undertake Action Research Studies. (Refer Annexure-V)
21. Ministry can empanel institutions having experience in social sector research and professional man power. These empanelled institutes with experienced human resource will render better quality of research output in a time bound manner assisting the Ministry to take timely policy intervention.
22. The Ministry can adopt selective/ limited invitational method by asking the premier academic institution to send their research proposals on specified themes.
23. Selection of institutions for conducting Research studies upto Rs. One crore may be done from amongst the empanelled institutions through selective/ invitational tendering system. The cost negotiation can be done by RAC depending on the area of coverage, nature of study and quality of man power deployed.
24. Open bidding system, if necessary, can be adopted where the study cost is for Rs. One crore and above. But along with it reputed Academic institutions may be invited to submit the research proposal, even if they have not submitted the bid. The presentation on objective, methodology and area of coverage of study, expertise of manpower, etc. should be done by all institutions to grade them technically (system already exists in the Ministry). After grading the institutes technically then the financial proposal should be considered. But, the weightage of technical bid may be increased to 80 to 85 percent and of financial proposal to not more than 20 percent.
25. It is suggested that the studies may be conducted by institutes having enough experience and which have professional man power. Ministry can empanel certain institutes of repute to do National Level Research/ Monitoring. The empanelment of institutions can be done for a period of five years based on the

Technical specifications and past standing. These institutions can be asked to submit the proposal on the area of study.

26. The Ministry can ask the selected / empanelled institutions to submit their Technical and Financial proposal for conducting the proposed research study. The Screening Committee needs to study the merits of the proposal and before; finalization there can be a discussion between the PI and Ministry.
27. Research Advisory Committee can discuss about the sampling and Research Methodology with concerned Institution. Tentative questionnaire / schedule may also be finalised immediately after sanctioning of the project.
28. Financial proposal should not be the major factor in allocation of study. The Ministry may fix its expected costing for the study and negotiate it with the institution. The institutions with manpower with high academic qualifications normally have high research cost, RAC of the Ministry is competent to decide on financial budget with the research institute.
29. The Ministry should fix some hidden minimum expected budget/ cost below which the study cannot be done. All financial proposals below that budgeted cost should not be considered as either the agency will not be able to conduct the study or will submit the report with poor quality. The screening committee of the Ministry should examine such proposals thoroughly before venturing in this direction.
30. The complete briefing is needed before the study is assigned to the institution. The details of area of study should be documented to avoid confusion at a later stage.
31. The release of fund should be done in the ratio of **50:30:20**. Maximum funds are needed in the initial two stages of study which involves field trips, surveys, collection of data from different sources, payment of man-powers, printing of relevant materials, field trips to the place of study, arrangement of transport and accommodation of the field investigators, etc.

### **Suggested Funding and Financial Parameters**

It is suggested that the ratio may be modified to **50:30:20**. The suggested system of release of funds for conducting of studies should be:

- A. **First installment of 50%** be released after the concerned organization submits the structure & content of the proposed report, methodology of study, details of project team, time lines of various stages of study / report and Bond.
- B. **The second installment of 30%** should be released after:
- Furnishing of mid-term progress report
  - Certificate of utilization of more than 80% of the first installment by the Project Director/ Coordinator of the Research Institute.
- C. **The third (final) installment of 20%** should be released on furnishing of
- 10 copies of the final report.
  - Soft copy on a C.D. on the sanctioned project on approval of the report.
  - Final presentation and incorporating the suggestions (if any) in the final report,
  - Certificate of utilization of the funds sanctioned
  - Verification Statement of account by a Chartered Accountant indicating the actual expenditure incurred

Ministry of Panchayati Raj has already done the modification and is currently releasing the funds for research studies in the ratio of 50:30:20.

32. The audited statements of accounts need to be asked at the time of release of the third installment and not at the time of release of second installment. The certificate of Utilization of more than 80% of funds by the Project Coordinator/ Director of the agency may be treated as sufficient condition for the release of second installment.
33. The current policy of the Ministry of Panchayati Raj is to allow only 5 % overhead cost in the proposed cost of the research study. The 5 % cost is inadequate in case of Academic Research Institution. This overhead cost has to be increased if Premier Research Institutions are to be engaged for conducting research studies. It is suggested that the overhead cost be increased to 10% of the Cost of the Study.
34. The Ministry of Panchayati Raj sometimes increases the area of study after sanction. The agency/Institute conducting the study is hence under financial stress and there is urgent need to revise the cost of study to provide for the increased quantum of work. There are situations where after the submission of proposal the cost variation takes place due to increase in fuel cost, railway

fares, cost of accommodation which varies with season, etc. The Ministry may streamline the procedure for quick approval of increased revised cost.

35. The time period of the study should be calculated from the date of transfer of funds to the bank account of the research institute and not from the date of sanction of study. The Ministry has modified the above and currently treating the date of transfer of funds as the starting point of study.

36. The Ministry is currently issuing letters to the State Governments authenticating the research institute conducting the study. It is the State Governments who have to filter the desired information to District authorities and the research institute in time.

The Action Research and Research Study Scheme of Ministry of Panchayati Raj is a strong tool to get timely impartial feedback to make desired policy interventions to strengthen the Panchayati Raj Institution at all levels. The Ministry ought to undertake more action research studies in different areas of operation of Panchayat functioning.

Action Research Scheme is the strength of the Ministry and is an effective tool to impartially know from the experts and masses the true grass root status of its programme. The Ministry needs to get more thematic studies conducted by reputed research institutes to become fully functional at all tiers of Panchayats.

# **ANNEXURES**

## ANNEXURE – I

### Status of the Proposals approved during 2007-08 under “Action Research and Research Studies”

(Rs. in lakh)

S. No.	Organization	Title of the Study	Sanctioned Amount	Funds Released (Installment / Date of Release / Amount)	Balance Fund
1	Centre for Research, Planning & Action, New Delhi (T-11013/50/2007-Trg)	Evaluation of Transfer and Utilisation of 12 <sup>th</sup> Finance Commission Funds to PRIs.	4.98	a) 1 <sup>st</sup> / Dec, 07 / 1.99 b) 2 <sup>nd</sup> / Jan, 10 / 1.99 c) 3 <sup>rd</sup> / March, 10 / 0.99	Nil
2	Rural Litigation & Entitlement Kendra (RLEK), Dehradun (T-11013/46/2007-Trg)	Study to review the subject laws infringing upon the domain of PRIs.	9.00	a) 1 <sup>st</sup> / Dec, 07 / 3.60 b) 2 <sup>nd</sup> / June, 08 / 3.60 c) 3 <sup>rd</sup> / March, 09 / 1.80	Nil
3	Society for Promotion of Youth & Masses (SPYM), New Delhi (T-11013/58/2007-Trg)	Community Empowerment through Life Skills Education (LSE) FirozpurJhirka block of Haryana	3.56	a) 1 <sup>st</sup> / Nov, 07 / 1.43	2.13
4	Society for Promotion of Youth & Masses (SPYM), New Delhi (T-11013/59/2007-Trg)	Setting up of Tailoring Centre in consultation with local panchayat	1.96	a) 1 <sup>st</sup> / Nov, 07 / 0.78	1.17

5	Institute of Rural Management Anand (IRMA), Ahmedabad. (D-29012/3/2006-GA- (Vol I)	Updating / evaluation of State of Panchayat Report (SoPR)	199.52	a) 1 <sup>st</sup> / Nov, 07 / 79.80	Nil
				b) 2 <sup>nd</sup> / Aug, 08 / 79.80	
				c) 3 <sup>rd</sup> / March, 09 / 34.91	
6	Jan JagranSamiti, Almora (T-11013/49/2007-Trg)	Setting up Women Weaver's Training cum Livelihood Project in Panchachuli, Almora	10.00	a) 1 <sup>st</sup> / Nov, 08 / 4.00	6.00
7	The Women's Cultural and Development Society, Imphal (T-11013/52/2007)	Assess the Status of Fiscal Devolution and Impact of Training on PRIs in Manipur	4.25	a) 1 <sup>st</sup> / Mar, 08 / 1.70	2.55
8	Institute of Social Development, Udaipur. (T-11013/46/2007-Trg)	Application of two child norm for contesting or holding office in PRIs in Rajasthan, M.P and Gujarat.	4.77	a) 1 <sup>st</sup> / Mar, 08 / 1.90	2.86
9	Tick Business Solutions Pvt. Ltd., Hyderabad. (T-11013/48/2007-Trg)	Implementation of Class Room Training Programme	2.00	a) 1 <sup>st</sup> / Jan, 08 / 0.80	1.20
10	FORESIGHT, New Delhi T-11013/27/2007-Trg	An Impact Study of Role of PRIs in Women Empowerment in Three Districts of Haryana.	5.31	a) 1 <sup>st</sup> / Mar, 08 / 2.13	1.06
				b) 2 <sup>nd</sup> / Mar, 09 / 2.13	
11	CONTACT BASE, Kolkata. (T-11013/56/2007-Trg)	To Assess Utilisation of Grants to Panchayats.	7.30	a) 1 <sup>st</sup> / Mar, 08 / 2.92	Nil
				b) 2 <sup>nd</sup> / Oct, 08 / 2.92	
				c) 3 <sup>rd</sup> / March, 09 / 1.46	

12	Voluntary Association for People Service (VAPS),Tamil Nadu (T-11013/19/2007-Trg)	A Study on Impact of PRIs on the Overall Development of Underprivileged in Southern Districts of Tamil Nadu.	6.43	a) 1 <sup>st</sup> / Mar, 08 / 2.57	1.28
				b) 2 <sup>nd</sup> / March, 09 / 2.57	
13	Santek Consultants Pvt. Ltd., Delhi (T-11013/1/2008-Trg)	Quick Evaluation of Infrastructure Development Component of the RGSY	5.59	a) 1 <sup>st</sup> / Mar, 08 / 2.23	Nil
				b) 2 <sup>nd</sup> / March, 09 / 3.35	
14	Santek Consultants Pvt. Ltd., Delhi (T-11013/62/2007-Trg)	Evaluation of Scheme of Training & Capacity Building assistance for the PRIs.	22.57	a) 1 <sup>st</sup> / Mar, 08 / 15.79	Nil
				b) 2 <sup>nd</sup> / March,09 / 6.76	
15	Council for Training & Research in Ecology and Environment, Delhi (T-11013/62/2007-Trg)	Evaluation of Scheme of Training & Capacity Building assistance for the PRIs.	19.80	a) 1 <sup>st</sup> / Mar, 08 / 13.86	Nil
				b) 2 <sup>nd</sup> / March,09 / 5.94	
16	Rajiv Gandhi Chair for Panchayati Raj Studies (Gandhigram Rural University), Tamil Nadu (T-11013/54/2007-Trg)	Evaluation of Utilization of 12th Finance Commission Grants in Panchayats.	5.67	a) 1 <sup>st</sup> / Mar, 08 / 2.27	3.40



**Status of the Proposals approved during 2008-09 under “Action Research and Research Studies”**

*(Rs. in lakh)*

S. No.	Organization	Title of the Study	Sanctioned Amount	Funds Released (Installment / Date of Release / Amount)	Balance Fund
1	Indian Institute of Public Administration (IIPA), New Delhi. (N-39011/14/2007-Pol. II)	To provide necessary assistance to the Technical Committee constituted to advise the Sub – Committee of the Council of Ministers of Panchayati Raj in the preparation of Joint Memorandum on behalf of PRIs for 13th Finance Commission.	10.04	a) 1 <sup>st</sup> / May, 08 / 5.00	5.04
2	Institute of Social Sciences, New Delhi (T-11013/2/2008)	Study of Panchayati Raj Elections in Punjab - 2008	5.25	a) 1 <sup>st</sup> / July, 08 / 4.20	1.05
3	Indian Law Institute, New Delhi (T-11013/8/2008-Trg)	Study of Central Laws relating to Scheduled Areas for harmonizing with the aims and objectives of PESA Act	1.26	a) 1 <sup>st</sup> / Dec, 08 / 0.38	0.88
4	KILA, Thrissur, Kerala (T-11013/10/2008-Trg)	Preparation of Model Panchayat Manual	3.25	a) 1 <sup>st</sup> / Jan, 09 / 0.98	2.27
5	IRMA, Anand (N-11011/3/2008-PMEYSA)	Preparing SoPR 2008-09 – An Independent Evaluation.	174.01	a) 1 <sup>st</sup> / Jan, 09 / 69.60 b) 2 <sup>nd</sup> / Mar, 10 / 68.30 c) 3 <sup>rd</sup> / Nov, 10 / 13.65	Nil
6	NCAER, New Delhi (T-11013/1/2009-Trg)	Construction of Revised Devolution Index 2008-09 for the scheme of PEAIS.	7.50	a) 1 <sup>st</sup> / Feb 09 / 2.25 b) 2 <sup>nd</sup> / Oct, 09 / 5.25	Nil

7	NIPFP, New Delhi (T-11013/2/2009-Trg)	Fiscal Decentralization in India (Financial domain of Panchayats)	20.00	a) 1 <sup>st</sup> / March, 09 / 6.00	14.00
8	NIPFP, New Delhi (T-11013/3/2009-Trg)	Panchayats and Economic Development	4.31	a) 1 <sup>st</sup> / March, 09 / 1.29	Nil
				b) 2 <sup>nd</sup> / March, 12/ 2.54	
9	Kerala Development Society (KDS), Delhi (T-11013/4/2009-AR&RS)	Setting up of Network of Resource Persons for Local Government (NRLG) for six States.	10.94	a) 1 <sup>st</sup> / March 09/ 3.28	Nil
				b) 2 <sup>nd</sup> / March,10/ 3.28	
				c) 3 <sup>rd</sup> / March, 12/4.38	
10	KILA, Thrissur, Kerala (T-11013/5/2009-AR&RS)	Implementation of national Policy on Older persons – Preparation of Activity Mapping, Training Module and Manual.	1.78	a) 1 <sup>st</sup> / March, 09 / 0.54	1.24

**Status of the Proposals approved during 2009-10 under “Action Research and Research Studies”**

*(Rs. in lakh)*

S. No.	Organization	Title of the Study	Sanctioned Amount	Funds Released (Installment / Date of Release / Amount)	Balance Fund
1	School of Planning & Architecture, New Delhi (T-11013/6/2006-Trg)	Preparation of Construction manuals for Rajiv Gandhi SewaKendras	12.00	a) 1 <sup>st</sup> / Oct, 09 / 3.60 b) 2 <sup>nd</sup> / Dec. 09 / 8.40	Nil
2	Rajiv Gandhi Foundation, New Delhi (T-11013/24/2009-AR&RS)	Functioning of DPCs and quality of District Plans – issues and solutions	6.26	Nil	6.26
3	NIAR, LBSNNA, Mussoorie (T-11013/22/2009-AR&RS)	NREGS and PRIs – lessons for the Major Schemes	11.04	a) 1 <sup>st</sup> / Dec, 09 / 2.99 b) March, 11 / 2.99	5.06
4	Indian Institute of Public Administration, New Delhi (T-11013/23/2009-AR&RS)	Determining State Variation in Execution of NREGS, SSA, MDM, ICDS and lessons drawn from other States	12.40	a) 1 <sup>st</sup> / Mar, 10 / 3.72	8.68
5	CRRID, Chandigarh (T-11013/18/2009-AR&RS)	Evaluation of Gram Kachehari / Gram Nyayalaya Act & its implication in 5 representatives States and implication for the proposed NyayaPanchayat Bill of the Ministry of Panchayati Raj and the Gram Nyayalaya Bill of the Ministry of Law.	4.25	a) 1 <sup>st</sup> / Nov, 09 / 1.27 b) 2 <sup>nd</sup> / March, 2011 / 1.27	1.71
6	Allahabad University (T-11013/21/2009-AR&RS)	NREGA : Learning Resources for Gram Panchayats	6.30	a) 1 <sup>st</sup> / Nov, 09 / 1.89 b) 2 <sup>nd</sup> / Feb, 10 / 1.89	2.52

7	IIPA, New Delhi (23/10/09) (N-39011/8/2009-PEAIS)	Construction of Devolution Index in respect of PEAIS for 2009-10.	24.69	a) 1 <sup>st</sup> / Oct, 09 / 7.40	Nil
				b) 2 <sup>nd</sup> / Oct, 10 / 7.40	
				c) 3 <sup>rd</sup> / Aug, 11 / 3.14	
8	SIRD, Karnataka (T-11013/8/2009-AR&RS)	Activity Mapping for PRIs – A Comparative Perspective.	6.00	a) 1 <sup>st</sup> / Mar,10/ 1.80	4.20
9	SIRD, Kerala (T-11013/6/2009-AR&RS)	Activity Mapping of Panchayati Raj in Kerala.	6.00	a) 1 <sup>st</sup> / Mar, 10/ 1.80	4.20
10	Uttarakhand Institute of Rural Development (UIRD), Rudrapur. (T-11013/32/2009-AR&RS)	Activity Mapping on PRIs in District Udham Singh Nagar, Dehradun and TehriGarhwal in Uttarakhand State.	5.50	a) 1 <sup>st</sup> / Mar, 10 / 1.65	3.85
11	State Institute of Panchayats& Rural Development, Nadia, West Bengal. (T-11013/7/2009-AR&RS)	Activity Mapping of West Bengal.	6.00	a) 1 <sup>st</sup> / Mar, 10 / 1.80	4.20
12	Tribal Welfare Research Institute (TWRI), Jharkhand (T-11013/4/2010-AR&RS)	Study on Ground Situation (in terms of PESA)	1.70	a) 1 <sup>st</sup> / Mar, 10 / 0.51	0.68
				b) 2 <sup>nd</sup> / Mar,12 / 0.51	
13	SC & ST Research & Training Institute, Government of Jharkhand, Ranchi (T-11013/2/2010-AR&RS)	Compilation of acts, Rules, Guidelines, Executive Instruction (in terms of PESA)	3.08	a) 1 <sup>st</sup> / Marc, 10 / 0.94	2.14
14	Tribal Welfare Research Institute (TWRI), Jharkhand (T-11013/3/2010-AR&RS)	Common Property Right (in terms of PESA)	3.78	a) 1 <sup>st</sup> / Mar, 10 / 1.13	1.52
				b) 2 <sup>nd</sup> / Mar, 12 / 1.13	
15	SC & ST Research & Training Institute, Government of Orissa (T-11013/1/2010-AR&RS)	Assessment of ground situation in respect of implementation of PESA Act in Orissa State.	3.37	a) 1 <sup>st</sup> / Mar, 10 / 1.01	2.36

16	Samarthan, Bhopal and 3E Law (H-20011/1/2010-P&J)	To analyze the Constitutional and legal validity as well as mechanisms mooted in the Draft NyayaPanchayat Bill	3.30	a) 1 <sup>st</sup> / Marc, 10 / 1.10	2.20
17	Centre for Federal Studies, JamiaHamdard, New Delhi  (T-11013/6/2010-AR&RS)	Study for preparation of Roadmap for Panchayats for Ministry of Panchayati Raj	1.31	a) 1 <sup>st</sup> / Mar, 10 / 0.39 b) 2 <sup>nd</sup> / March, 11 / 0.39 c) 3 <sup>rd</sup> / Mar, 12 / 0.53	Nil
18	Entrepreneurship Development Institute of India (EDII), Gandhinagar, Gujarat (N-11015/146/08-RBH)	Evaluation of the Central sector Scheme on Rural Business Hub.	27.44	a) 1 <sup>st</sup> / Mar, 10 / 16.46 b) 2 <sup>nd</sup> / Mar, 12 / 10.98	Nil

**Status of the Proposals approved during 2010-11 under “Action Research and Research Studies”(Rs. in lakh)**

S. No.	Organization	Title of the Study	Sanctioned Amount	Funds Released (Installment / Date of Release / Amount)	Balance Fund
1	IIPA, New Delhi (N-39011/52/2010-PEAIS/Pol)	Construction of a Devolution Index in respect of PEAIS for 2010-11	23.52	a) 1 <sup>st</sup> / Sept, 10 / 7.05 b) 2 <sup>nd</sup> / Mar, 11 / 7.05 c) 3 <sup>rd</sup> / Mar,12 / 9.40	Nil
2	IPE, New Delhi (N-19011/15/2009-P&J)	Preparation of National Panchayat Accounts Manual and Training Manuals for Panchayats Accounts and PRIASoft Project.	15.68	a) 1 <sup>st</sup> / Sept, 10 / 5.19	10.49
3	Shri Ram Centre for Industrial Relations and Human Resources, New Delhi (A-11012/2/2010-P&J)	Preparation of Model Panchayat Cadre Manual	17.69	a) 1 <sup>st</sup> / Nov, 10 / 5.30 b) 2 <sup>nd</sup> / Mar, 12 / 5.30	7.09
4	NIRD, Hyderabad (N-11012/7/2010-PESA (Pt)	Preparation of Training Modules and Material on PESA	19.42	a) 1 <sup>st</sup> / Jan, 11 / 5.83 b) 2 <sup>nd</sup> / July,11 / 5.83	7.76
5	ELDF, Noida (N-11012/30/2010-PESA	Preparation of a report on Compliance of State Laws, rules and Government Orders on PESA and Suggested Amendments	19.55	a) 1 <sup>st</sup> / Jan, 11 / 5.86 b) 2 <sup>nd</sup> / Aug, 11 / 5.86 c) 3 <sup>rd</sup> / Mar, 12 / 7.82	Nil
6	OKD Institute of Social Change and Development, Guwahati (T-11013/8/2010-AR&RS)	Research Study on Village Councils in Manipur, Mizoram, Meghalaya and Nagaland	10.27	a) 1 <sup>st</sup> / March, 11 / 3.08	7.19
7	NR Management Consultants India Pvt. Ltd, New Delhi N-11011/3/2008-PMEYSA(Vol. II)	Preparation of SoPR 2010-11	1.72 crore	a) 1 <sup>st</sup> / Mar, 011 / 69.14 b) 2 <sup>nd</sup> / Feb, 12 / 51.86	0.51

**Status of the Proposals approved during 2011-12 under “Action Research and Research Studies”**

*(Rs. in lakh)*

S. No.	Organization	Title of the Study	Sanctioned Amount	Funds Released (Installment / Date of Release / Amount)	Balance Fund
1	M/s. Kerala Statistical Institute, Thiruvananthapuram, Kerala. (02/05/2011) T-11013/5/2010-AR&RS	Methodological Study to Design a System for Compilation, Updating and Maintenance of Statistics for Decentralized Planning.	8.66	a) 1 <sup>st</sup> / May, 11 / 2.60 b) 2 <sup>nd</sup> / Mar,12 / 2.60	3.46
2	M/s. Indian Institute of Public Administration (IIPA), New Delhi (29/06/2011) (N-39011/67/2011-PEAIS / Pol. II)	Construction of Devolution Index in respect of PEAIS for the year 2011-12.	23.31	a) 1 <sup>st</sup> / June, 11 / 6.99 b) 2 <sup>nd</sup> / Mar, 12 / 6.99	9.33
3	M/s. State Election Commission, Jharkhand, Ranchi (01/9/2011) (M-11011/11/2011-P&C (AR))	Drafting of Model Panchayat Election Manual	15.55	a) 1 <sup>st</sup> / Sept, 11 / 4.66 b) 2 <sup>nd</sup> / Mar, 12 / 4.66	6.23
4	M/s. AMR-APARD, Hyderabad T-11013/1/2011-AR&RS	Activity Mapping in Andhra Pradesh	5.47	a) 1 <sup>st</sup> / Oct, 11 / 1.64	3.83
5	M/s. E&Y Pvt. Ltd., Gurgaon (N-19011/18/2010-P&J)	Preparation of Model Panchayat (Finance, Budget, Accounts & Audit) Rules	7.97	a) 1 <sup>st</sup> / Jan, 12 / 2.39	5.58

## ANNEXURE II

### LIST OF SAMPLE RESEARCH INSTITUTION

S. No.	Financial Year	Organization	Title of the Study	Sanctioned Amount	Funds Released (Installment / Date of Release / Amount)	Balance Fund	Action Taken
1.	2008-09	IRMA, Anand (N-11011/3/2008-PMEYSA)	Preparing SoPR 2008-09 – An Independent Evaluation	174.01	a)1 <sup>st</sup> /Jan,09/69.69 b)2 <sup>nd</sup> /Mar,10/68.30 c)3 <sup>rd</sup> /Nov,10/13.65	Nil	SoPR released
2.	2006-07	ACNeilsen ORG-MARG, New Delhi	Study on EWR in PRI	112.50	a)1 <sup>st</sup> Mar,07/45.00 b)2 <sup>nd</sup> Feb,08/45.00 c)3 <sup>rd</sup> Oct,08/22.50	Nil	Report Released
3	2009-10	NIAR, LBSNNA, Mussoorie (T-11013/22/2009-AR&RS)	NREGS and PRIs – lessons for the Major Schemes	11.04	a)1st /Dec,09/2.99 b) March,11/2.99	5.06	The agency has submitted the revised report. Case is being examined for the release of 3rd installment.
4.	2009-10	CRRID, Chandigarh (T-11013/18/2009-AR&RS)	Evaluation of Gram Kachehari / Gram Nyayalaya Act & its implication in 5 representatives States and implication for the proposed NyayaPanchayat Bill of the Ministry of Panchayati Raj and the Gram Nyayalaya Bill of the Ministry of Law.	4.25	a) 1st/ Nov, 09/1.27 b) 2nd /Mar,11/1.27	1.71	P&J Division is examining the draft report.
5	2009-10	Samarthan, Bhopal and 3E Law (H-20011/1/2010-P&J)	To analyze the Constitutional and legal validity as well as mechanisms mooted in the Draft NyayaPanchayat Bill	3.30	a) 1st / Marc, 10 / 1.10	2.20	Followed up by P&J Division.



6	2010-11	NIRD, Hyderabad (N-11012/7/2010-PESA (Pt)	Preparation of Training Modules and Material on PESA	19.42	a) 1 <sup>st</sup> / Jan,11/5.83 b) 2 <sup>nd</sup> /July,11/5.83	7.76	Study in progress
7.	2010-11	OKD Institute of Social Change and Development, Guwahati (T-11013/8/2010- AR&RS)	Research Study on Village Councils in Manipur, Mizoram, Meghalaya and Nagaland	10.27	a) 1 <sup>st</sup> / March, 11 / 3.08	7.19	The agency has been requested to cover Assam as well and submit a revised budget.
8.	2010-11	NR Management Consultants India Pvt. Ltd, New Delhi N-11011/3/2008- PMEYSA (Vol. II)	Preparation of SoPR 2010-11	1.72 crore	a) 1 <sup>st</sup> /Mar,11/69.14 b) 2 <sup>nd</sup> /Feb,12/51.86	0.51	Have submitted the draft report.
9.	2011-12	M/s. Indian Institute of Public Administration (IIPA), New Delhi (29/06/2011) (N-39011/67/2011- PEAIS / Pol. II)	Construction of Devolution Index in respect of PEAIS for the year 2011-12.	23.31	a) 1 <sup>st</sup> /June, 11/6.99 b) 2 <sup>nd</sup> /Mar, 12/6.99	9.33	Agency has to submit the UC &SoA/c
10.	2011-12	M/s. Ernst & Young Pvt. Ltd., Gurgaon (N-19011/18/2010-P&J)	Preparation of Model Panchayat (Finance, Budget, Accounts & Audit) Rules	7.97	a) 1 <sup>st</sup> /Jan, 12 /2.39	5.58	Follow up of the study is being done by P&J Division.

**ANNEXURE III**

**ACTION RESEARCH AND RESEARCH STUDY SCHEME**

**QUESTIONNAIRE(INSTITUTIONS)**

**PART-I: GENERAL**

1. Name of Respondent .....
2. Designation .....
3. Institution .....
4. Name of the Project Director / Co-ordinator .....
5. Theme of the Study .....
6. Area of the Study .....
7. Amount Sanctioned .....
8. Method by which the Project sanctioned
  - (i) Limited Bid .....
  - (ii) Open Bid .....
  - (iii) Selective Bid .....
  - (iv) Other , Specify.....
9. Date of submission of Bid.(Technical / financial).....
10. Date when technical Bid Opened.....
10. Date when financial Bid Opened.....
11. Date of communication of allotment of Study.....
12. Time taken to complete the formalities of study-Time Plan.....
13. Date of Sanction Order .....
14. Date of submission of draft Report.....

- 15. Delay if any, reasons .....
- 16. MoPR feedback Positive / Negative .....
- 17. Time taken by MoPR to give feedback .....
- 18. Date when final draft submitted.....
- 19. Strength of the current system of study allotment .....  
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.....
- 20. Weakness of the current system of study allotment .....  
.....  
.....
- 21. Challenges faced during study .....  
.....
- 22. Suggestion for improvement.....  
.....

**PART-II:SYSTEM OF RESEARCH STUDY ALLOTMENT**

- 1. Period from when involved in Research Study .....in MOPR
- 2. Total No.of studies conducted .....
- 3. Procedure by which these studies allotted.....
  - (i)Tender .....
  - (ii)Invitational .....
  - (iii)Selective .....
  - (iv)Other (Specify) .....

4. What Method you feel is best for selection of institution .....
- .....
5. Give reason .....
6. What system would you suggest .....
7. Weightage system in selection

**A. Technical Bid**

CURRENT	IS IT OK	SUGGESTION
70%	Yes/ no	

**B. Financial Bid**

CURRENT	IS IT OK	SUGGESTION
30%	Yes/ no	

8. Reasons for such suggestion .....
- .....
9. Have you required man- power in institution.....
- a) If not, then, what method do you adopt.....
- b) Do you outsource your Study .....
- c) Reason for outsourcing.....
10. Do you have collaboration with other institution.....

**PART-III**

- 1.Relevance of the theme of study.....

**2.Relevance of the findings for the Ministry.....**

**3.Practical application of findings by MOPR.....**

**4.Challenges MoPR will face in adopting them.....**

**5. Suggestions given to overcome them.....**

**FUTURE PLANNING**

**1. What are the areas / themes which should be taken .....**

.....  
.....  
.....

**2. Relevance of those themes from National perspective .....**

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.....

**3. What should be method to get these studies conducted .....**

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**4. Any thing which you feel should be added/covered .....**

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**5. Good Practices adopted by other ministries/ organisation you're your  
institute worked**

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## ANNEXURE IV

### LIST OF IDENTIFIED THEMES DURING XI PLAN (2007-12)

- Critical analysis of Self Help Group programmes in Andhra Pradesh with reference to PRIs.
- Preparation of model guidelines for outsourcing of functions by Local Bodies.
- A study on the Viable Size of Gram Panchayat.
- Research Study on Village Councils in Manipur, Mizoram and Nagaland
- Status of implementation of PESA on ground – specific policy, legal & operational issues to be addressed.
- Evaluation of Gram Katchehari / Gram Nyayalaya Act & its implication in 5 representatives States and implication for the proposed NyayaPanchayat Bill of the Ministry of Panchayati Raj and the Gram Nyayalaya Bill of the Ministry of Law.
- Lessons from BRGF.
- Building long term strategic institutional capacity for Enhancing Efficiency, Transparency & Accountability in PRIs.
- Study on Evaluation of Satellite based Training for the States of Karnataka, West Bengal, Gujarat and Rajasthan.
- Functioning of DPCs & quality of District Plans – issues and solutions.
- Building database at Village/ Block / District Level for Decentralized Planning.
- To determine the State variations in implementation of the major Centrally Sponsored Schemes viz : National Rural Employment Guarantee Scheme (NREGS), SarvaShikshaAbhiyan (SSA), Mid Day Meal (MDM), Integrated Child Development Services (ICDS) – Role of PRIs and lessons.
- Evolving mechanism for benchmarking and assessing performance of Local Bodies.
- A model overarching service delivery policy by States outlining the framework within which each Department would lay down detailed guidelines for preparation of service delivery plans through PRIs.
- NREGS and PRIs – Lessons for the major schemes.
- Evolving objective and transparent norms for devolution and distribution of funds by State Finance Commission.
- State to State analysis of trends and identification of initiatives and drives for enhancing revenue collection by Panchayats.
- A study on local taxation covering taxation capacity of panchayats and incentives packages.
- Study to assess the Status of Fiscal devolution to the PRIs in the states of Andhra Pradesh, Chhattisgarh, Orissa, Gujarat, Punjab and Tripura.

**ANNEXURE V**  
**EFFORTS NEEDED TO INVOLVE**  
**PREMIER ACADEMIC INSTITUTIONS/ GOVERNMENT ORGANIZATION**  
**IN ACTION RESEARCH**

The Ministry has to make some policy changes to encourage the premier academic institutions and government organizations to participate in Action Research Study of the Ministry.

1. The Ministry needs to develop a list of empanelled institution from amongst the academic institutions/ government organization based on their –
  - Past records of research with the Ministry;
  - Academically strong research team,
  - The research profile of Project coordinators/ Investigators,
  - Permanency in nature of employment,
  - Experience in social sector research, inclusive of field experience, etc.
2. The empanelment of these institutions may be done for a period of five years. Frequently asking their technical profile will not be required.
3. The Ministry can adopt selective/ limited invitational method for sanctioning the research studies to these empanelled institutions by asking for their research proposals on specified themes.
4. Ministry of Panchayati Raj has already modified the ratio of release of funds for research studies to 50:30:20.
5. The audited statements of accounts need to be asked at the time of release of the third installment. The certificate of Utilization of more than 80% of funds may be treated as sufficient condition for the release of second installment.
6. This overhead cost has to be increased to 10% if Premier Research Institutions/ Government organization are to be engaged for conducting research studies.
7. The technical weightage may be increased to 80 - 85 percent and of financial weightage may be restricted to not more than 20 percent.
8. These institutions have manpower with high academic qualifications. Their research cost is normally high. The RAC of the Ministry can discuss with the PI and decide on financial budget with the research institute.
9. The Ministry of Panchayati Raj needs to permit revision of cost of study to provide for the increased quantum of work and also streamline the procedure for its quick approval.
10. The reputed Academic institutions/ government organizations may be invited to submit the research proposal for research studies above Rs. One Crore. The selection of institution need to be done on the basis of methodology of study and sample design.
11. The Academic Institution/ Government Organizations are exempt from Earnest Money Deposit and service tax. These organizations are to be exempted from giving Bank Guarantee. Income tax on honorarium/ consultation fee may be exempted in social sector research.