

Proceedings of the FICCI Conference on Quality Practices

Improving the Quality of India as a Manufacturing Eco-System

Federation House, New Delhi, February 3-4, 2014



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Table of Contents

ORGANIZER'S NOTE	4
SCIENTIFIC COMMITTEE	5
BEST PRESENTATION AWARD WINNERS	5
BEST POSTER AWARD WINNER	5
SESSION PLAN	6
SUMMARY OF PRESENTATIONS	8
SESSION I - STREAMLINING OPERATIONAL PROCESSES	12
SAKALA "NO MORE DELAYS - WE DELIVER ON TIME"	13
STREAMLINING THE PROCESS OF COMPLAINT REDRESSAL MECHANISM IN MOBILE CATERING IN IRCTC	17
E-COMMERCE COMPLAINT RESOLUTION	19
SESSION II - CONCEIVE AND IMPLEMENT COLLABORATIVE INITIATIVES	24
IMPROVED EFFICIENCY IN GOVERNANCE THROUGH INTRODUCTION OF PROCUREMENT BEST PRACTICES	25
IMPROVING QUALITY OF INDIAN OIL AND GAS DATA	30
SCALING UP FAMILY HEALTH SOLUTIONS IN BIHAR USING SOCIAL NETWORKS	34
KNOWLEDGE MANAGEMENT THROUGH COLLABORATION IN A LARGE ORGANIZATION	36
SESSION III - IMPROVING SOCIAL SECTOR RESULTS	40
DALIA JALAO- LIBERATING MANUAL SCAVENGERS AND MOVING TOWARDS TOTAL SANITATION	41
BEHAVIOURAL SCIENCE BASED APPLICATION TO INFLUENCE SANITATION BEHAVIOUR	45
TRANSFERRING GOOD BUSINESS PRACTICES IN SOCIAL DEVELOPMENT IN RURAL CONTEXT	49
PROJECT BACK TO SCHOOL: ENHANCING TEACHER EDUCATION THROUGH COLLABORATION	53
SESSION IV - TRAINING/TEACHING AIDS	58
ESSENTIAL SKILLS FOR MULTI-STAKEHOLDER COLLABORATION	59
ELECTIVE COURSE ON INCLUSIVE BUSINESS MODELS	63
'WINNING TO LEAD' PROGRAM OF BORN TO WIN FOR CANARA BANK	68
—AN ATTITUDE TRANSFORMATION PROCESS FOR SENIOR MANAGERS	68
ABOUT THE ORGANIZER-FICCI	72
PARTICIPATING ORGANIZATIONS	73

Organizer's Note

Of late there have been severe concerns voiced around the difficulties in rejuvenating the Indian manufacturing sector. While the application of Quality Tools and Techniques (QTT) is important to ensure manufacturing competitiveness, the discourse is now moving towards the application of quality practices and systems thinking to the eco-system within which Indian industry operates.

With this imperative in mind, FICCI has created a multi-stakeholder platform on Quality Practices (QUPRAC) in partnership with Planning Commission and The World Bank. This initiative will take the India Backbone Implementation Network (IbIn) concept further on its path from drawing board to implementation. **IbIn**¹ calls for *widespread capabilities to systematically convert confusion to coordination, contention to collaboration, and intentions to implementation.*

QUPRAC is a flagship event instituted by FICCI aimed at fuelling a national quality movement to strengthen co-ordination and collaboration, with focus on implementation and address gaps in processes and practices of government, infrastructure and social sector. The 1st edition of QUPRAC held on February 3-4, 2014 at New Delhi was attended by participants from government, multilaterals, manufacturing, media houses, consultancy services, and academia.

With a guiding theme of “Quality for Co-ordination, Collaboration, and Implementation”, contributions for QUPRAC 2014 were invited under the following focus areas:

- A. Training/Teaching tools developed/deployed to:
 - Conceive and Implement Collaborative Initiatives
 - Enhance Alignment across Projects/Programs
 - Streamline Operational Processes in Government
 - Improve Results in Social and Infrastructure Sectors
- B. Application of Systems Thinking/Quality in above areas

Over 50 contributions were received through the call for contributions campaign out of which 14 were finally selected for presentation. The topics ranged from the success factors behind a campaign to ease traffic congestion in Pune by organizing Pune Bus Day to exemplary work by a District Collector for liberating manual scavengers in Budaun District of Uttar Pradesh. Presenting authors were invited to compete for best presentation awards in various categories aligned with the objectives of the Conference.

Deliberations at QUPRAC 2014 will be the building blocks for nationally relevant methods and practices to make the eco-system more enabling and enterprise-friendly so as to ‘Improve the Quality of India as a Manufacturing Eco-System’.

¹ For more details on IbIn, please visit <http://ibinmovement.in/>

Scientific Committee

Chair: Arun Maira, Member, Planning Commission, Government of India

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5. Shalini Rajneesh
Secretary, Department of Administrative Reforms, Govt. of Karnataka
6. V Sridhar
Senior VP & Operating Head (Manufacturing), Honda

Best Presentation Award Winners

1. Amit Gupta
Dalia Jalao- Liberating Manual Scavengers and Moving Towards Total Sanitation
2. Manoj Rajan
SAKALA "No more Delays-We Deliver on Time"
3. Nandita Pal, Sumit Ghosh and Jaydeep Chakraborty
Knowledge Management through Collaboration in a Large Organization
4. Ram Prasad and Alok Gangaramany
Behavioural Science based application to influence sanitation Behaviour
5. Sourav Mukherji
Elective Course on Inclusive Business Models

Best Poster Award Winner

1. Amitava Bandyopadhyay and Ranjan Sett
Improving Quality of Indian Oil and Gas Data

Session Plan

Session Plan

Session I - Streamline Operational Processes

SAKALA "No more Delays-We Deliver on Time"

Streamlining the process of Complaint Redressal Mechanism in Mobile Catering in IRCTC

E-Commerce Complaint Resolution

Session II - Conceive and Implement Collaborative Initiatives

Improved efficiency in governance through introduction of procurement best practices

Improving Quality of Indian Oil and Gas Data

Scaling up Family Health Solutions in Bihar using Social Networks

Knowledge Management through Collaboration in a Large Organization

Session III - Improving Social Sector Results

Dalia Jalao- Liberating Manual Scavengers and Moving Towards Total Sanitation

Behavioural Science based application to influence sanitation behaviour

Transferring Good Business Practices in Social Development in Rural Context

Project Back to School: Enhancing Teacher Education through Collaboration

Session IV - Training/Teaching Aids

Essential Skills for multi-stakeholder collaboration

Elective Course on Inclusive Business Models

Winning to Lead' Program of Born To Win for Canara Bank

-An attitude transformation process for Senior Managers

Summary of Presentations

Summary of Presentations

Behavioural Science based application to influence sanitation behaviour

The paper describes a project on behavioural change interventions at 17 villages in Davangere and 14 villages in Gulbarga, Bidar and Yadgir districts of North Karnataka. The interventions were targeted at discouraging open defecation and improving sanitation.

Dalia Jalao- Liberating Manual Scavengers and Moving Towards Total Sanitation

The paper describes a project on integrated interventions for liberation of manual scavengers in Budaun district of Uttar Pradesh. It explains the seven levels at which these interventions were designed and implemented.

E-Commerce Complaint Resolution

The paper describes a research project under which 1,250 customer complaints related to online shopping were taken up, out of which 650 were resolved during the course of this exercise. It explains the process followed for identifying complaints, taking each case to its logical conclusion, and making recommendations for preventive action to avoid recurrence.

Elective Course on Inclusive Business Models

The paper describes an elective course on inclusive business models offered at IIM Bangalore. The course deals with the challenges of addressing the needs of the poor in a financially sustainable manner.

Essential Skills for multi-stakeholder collaboration

The paper describes a course module offered in UK for developing 'Partner-Brokers'. The aim of the course is to develop professional skills for handling multi-stakeholder collaborations.

Improved efficiency in governance through introduction of procurement best practices

The paper describes a project on Capacity Building through Change Management in Public Health procurement. It explains the process followed to enable adoption of international best practices in public procurement in Haryana and West Bengal.

Improving Quality of Indian Oil and Gas Data

The paper describes a project on developing a system to control the quality of data in the Indian oil and gas sector. It explains how collaboration, technical solution and implementation were addressed in this project.

Knowledge Management through Collaboration in a Large Organization

The paper describes the Knowledge Management system deployed at Tata Consultancy Services Ltd. It explains how best practices and lessons learnt from projects become a part of organizational assets and are reused in future projects.

Project Back to School: Enhancing Teacher Education through Collaboration

The paper describes a project on enhancing teaching skills through practice teaching and job shadowing by B.Ed. students. The students were attached with experienced teachers in order to develop higher competencies before they actually join as teachers.

SAKALA "No more Delays-We Deliver on Time"

The paper describes the Karnataka Guarantee of Services to Citizens Act that lays down time norms and standardized processes for delivery of more than 450 routine services of 47 departments. It explains the various measures Sakala Mission is taking to ensure that the Act empowers citizens to avail services as a “matter of right”.

Scaling up Family Health Solutions in Bihar using Social Networks

The paper describes a project on analysis of network connectivity among district and block health officials on knowledge sharing and adoption of family health solutions in Bihar. It explains the results from this analysis and design of interventions to scale up the solutions.

Streamlining the process of Complaint Redressal Mechanism in Mobile Catering in IRCTC

The paper describes IRCTC’s new complaint management system that went live on January 1, 2014. It explains system features including parameterization for filtering out irrelevant complaints, obtaining immediate information about reason/source of dissatisfaction, and facilitating preventive action to avoid problem recurrence.

Transferring Good Business Practices in Social Development in Rural Context

The paper describes a project on a Quality Circle like intervention in 50 villages of Jharkhand enabling the community to take ownership of their problems and find solutions. Problems addressed under the project include increasing paddy productivity, checking unscrupulous practices that lowered farm product prices, preventing health hazards from unsafe drinking water and waste water logging.

‘Winning To Lead’ Program of Born To Win for Canara Bank-An attitude transformation process for Senior Managers

The paper describes a course module on attitudinal and behavioral change. The course is conducted over four hours per week for six weeks and is targeted at helping participants to believe, think and act like winners.

Session I

Streamlining Operational Processes

Session I - Streamlining Operational Processes

Session Chair:
Sanjay Kothari
Secretary
Department of Administrative Reforms & Public Grievances
Government of India

Two of the sectors that we are focusing on for QUPRAC, namely government and social, are known to operate in silos. Since they undertake many activities from which commercial organizations have kept away. Therefore the pressure to be lean and mean, to be efficient and non-wasteful, is not there. Here the ideas and plans are already made, but implementation and day-to-day working is tardy and unsystematic. If more efficiency can be injected into the system by following some basic principles of Quality – those of faster turnaround and waste elimination, the gains could be substantial. Here we are not talking big words and new ideas at a strategic level; rather we are talking about how the ideas that have been around for years have been converted into routines. Of course the routines will need some revisions from time to time, but there will be reasonably long intervals of stability as well. This session is about setting timelines and respecting them, it is about doing causal analysis and taking preventive action instead of reacting afterwards, it is about taking things to their logical conclusion and not abandoning them midway. And all this in matters of routine, in matters involving activities that we do day in and day out.



Sakala "No More Delays - We Deliver on Time"

Manoj Rajan

Sakala Mission - Department of Administrative Reforms

Capacity in which Author was associated with the case being presented-

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Abstract

Sakala- Karnataka Guarantee of Services to Citizens Act, 2011 empowers citizens to avail services from the Government of Karnataka in a time-bound manner. The Act mandates the delivery of 478 services across 47 departments within a stipulated time. Whenever a citizen requests for a service, he/ she will receive an acknowledgement slip with a Unique GSC number. Using this number, the citizen can monitor the status of the application on the Sakala website. One can also check the status of the application by sending an SMS. In case the application is rejected or if the service is not provided within the stipulated time, the citizen may file an appeal to the next officer. In case of a delay /default of a service request, the officer responsible is liable to pay a fine of Rs. 20 per day limited to a maximum of Rs. 500 to the citizen as compensation.

The primary goal of Sakala is to make the delivery of services citizen friendly. This flagship program of the Karnataka government intends to tackle corruption and arbitrariness at the roots and make the government more accountable to its citizens. Today, just about 20 months after the State wide launch of the Sakala services, about 41 million citizens of the state have availed of its timely deliverance across the departments. Several Universities of world repute have extensively researched Sakala and other Indian States have studied and are trying to emulate this delivery model. The team at Indian Institute of Management- Bangalore has been associated with Sakala since its inception and has focused primarily on improvement and business process reengineering by conducting various field surveys, interacting with different stakeholders and submitting their reports to the government on a regular basis.

Empowerment of citizens to avail the services as a matter of right

The initiative has thus changed the image of Government from an institution where delays were a common feature to an institution where efficiency in service delivery is guaranteed. 100% Transparency has been achieved by publicizing office workflow and check list of documents with the prescribed service procedure,

fees payable etc. for all the services under "Sakala". 100% Accountability on the part of officials is ensured through online monitoring system and speedy redressal of grievances with a single window and paper less approach.

1. Case Background

The citizens were deprived of receiving basic routine services as there was

1. Undue delays in obtaining services from the government.
2. Undefined time lines for service delivery leading to at least 5-6 visits on an average, for receiving a service.
3. Poor enforcement of Citizen Charter in the absence of centralized monitoring system.
4. Careless attitude of the staff.
5. Rampant corruption at the cutting edge.
6. Lack of single window solutions for public grievance redressal and tracking to identify the problem areas and provide suitable policy interventions for a sustainable solution.
7. The business statistics were either not available or were incomplete.
8. Those with paying capacity could manage the show, while poor illiterate and under-privileged citizens were harassed and humiliated.

With this background, to enable efficient and citizen friendly governance Karnataka Sakala services Act was introduced. This Act enshrines "**Government to Citizen Services**" as a Right of the people and is statutorily committed to provide these services on time, in a hassle free manner. The Government has used e-Governance as a backbone for enhancing effectiveness, bringing about accountability and transparency through this citizen centric legislation.

2. Approach Taken

Re-inventing Government as a single Citizen-friendly unit: Converging heterogeneous departments into a single platform for integrating the functions like entering the application, tracking the service request, processing, delivery monitoring delays, defaults, rejections, complaint redressal etc. has made this possible. Inducing a competitive spirit among employees by monthly performance ranking. Issue of a compulsory

computerized unique GSC number which helps to establish citizens' "Right" for timely service delivery. Single window grievance management: A single call to the call center is enough to lodge a complaint and raise an appeal. A closed loop system to ensure final resolution ensures speedy redressal. Participative governance: Involving citizens, civil society and bureaucracy in Government process reengineering results in simplified governance.

Implementation of the Initiative

Pro-active engagement of Citizens - The project was launched in a unique manner. It has been named by the citizens through an open competition. The best entry selected was- SAKALA, which in Kannada means, "in time", or "good time". The Logo has also been designed by citizens, which represents a clock with a hammer of justice. The slogan says- "**No more Delays, we deliver on Time.**"

Ownership by Government Employees - Extensive discussions and deliberations were held with government functionaries and their associations to convince them about the benefits of implementing this Act & improving their own brand image. They accepted the fact that they are citizens first and employees later and it is high time to put themselves in citizens' shoes!

Performance Agreements- Bottom up planning- Once the services were identified by respective departments along with their time lines, workshops were conducted at State, District and Sub District level to build their confidence levels. Workflow charts were built to map the time taken by each government servant for providing the service and to ensure that the administrative system can gear up to deliver much before the stipulated time.

Upgrading Capacity and Infrastructure - A training plan was drawn with the help of Administrative Training Institute, Mysore to train 16000 designated officials about the roles and responsibilities. This is envisaged as an ongoing process. Infrastructural needs to boost confidence was provided in the form of additional staff (over 460 data entry operators, 200 junior Engineers etc), hardware like computers, UPS and printers to every remote office (worth nearly 7 crore) which was necessary for ensuring improved output.

Transforming work-culture- Needless to say e-Governance is a key factor in assessing and enhancing effectiveness of citizen services legislation. The National Informatics Centre (NIC) has created a state of art Information Technology portal –www.sakala.kar.nic.in, which provides a seamless interface to the citizens and a platform to the government officials to (i) Receive (ii)

Process (iii) Deliver, the services as per a pre-designed format. An acknowledgment receipt is generated along with an SMS, indicating due date for delivery. Citizen can use the unique 15 digit acknowledgement number to track status of the application on-line and can also register a complaint to the call center, whenever there is a delay/default. There is no need for any papers, documents and personal visits etc. to register an appeal against delay or default.

Management by Objectives - On the Management front, a Mission has been constituted for the successful implementation of this Act. Effective monitoring was and is the key to successful implementation of this project. Earlier, there was no tool to measure what is happening in government offices, on real time basis. Analytics software has been developed to give insights into critical managerial aspects to help in crucial decision making process.

Multi-pronged Communication Strategy & Awareness Creation – The Department of Information and Publicity has been making citizens aware of their rights by virtue of publicizing various provisions of the Act. Over 1620 Street plays were enacted at peoples' door steps. Interaction with consumer forums, resident welfare associations, student community as well as women self-help groups and other NGO's were carried out to spread the awareness of this program. Awareness generation campaigns through social media such as face book, twitter and bulk e mails to corporate sector, to spread the word of Sakala are undertaken

Right to be heard- Our integrated Grievance redressal mechanism includes:

1. **Call Centre-** 080 44554455 functions as a hub for receiving & channelizing complaints, providing information and serving as a feedback tool to understand the pulse of our citizens. Over 500,000 citizens have already availed the services of the Call Center.
2. **Helpdesks-** 200 desks run by consumer forums, NGOs etc. have been established at every District and Taluk HQ.
3. **Phone-in program on Doordarshan** - Every first and third Wednesday, the Hon. Law minister hears out public grievances for suitable action at the highest level. This puts everyone on high alert.
4. **A unified grievance portal** - e JANASPANDANA has also been developed and operated to act as a single window for grievance and complaint management, across the State.

The project which started with 151 services under its umbrella, added another 114 services based on citizens’ demand in December 2012 , 110 in August, 2013 , 44 in September 2013, 28 in November 2013, and 32 in January 2014 ,adding up to a total of 478 services.

Outcomes

“Sakala” initiative has yielded many notable outputs in the area of guaranteeing public services to citizens. Major outputs can be summarized as follows:

1. End to end tracking / traceability of 40 million citizen applications in an on-line manner. This was not possible earlier as each department was a stand-alone entity and citizen had no knowledge on how to trace their applications and get their work done in government offices.
2. 98% Services delivered within Stipulated Time: “Sakala” initiative has created a sense of awareness among people, including employees who have ensured the timely delivery of the services. “Sakala” initiative has conveyed a positive message about the Government policy of a Right-based approach to Governance.
3. 40,000 offices directly involving 200,000 employees, integrated on to Sakala e-platform www.sakala.kar.nic.in, to have a uniform service delivery mechanism across the State. This has made Governance transparent and accountable, in one go.
4. Reduction of average service delivery time by at least 50% in most cases. This has been possible due to standardized work processes across various departments of the Government. Redundant steps in the processes, if any were removed to ensure simplicity. “Sakala” has completely channelized the flow of documentation in obtaining services.
5. Reduction of grievances by minimum 50%. The call center and help desks act as a bridge between citizens and the Mission. For a large number of people who may be unable to use either the SMS mode or the website, a single call to **080-4455 4455** by the citizen giving the GSC no. is sufficient to set the appeal process rolling.
6. **Simplified procedures**
 - a. Self-declarations in place of Affidavit for all certificate related services
 - b. Exemption of Domicile Certificates by Housing Board for allotments
 - c. Caste certificate, now valid for life (earlier 1 year)
 - d. Integrating all departments’ data bases to avoid duplication. eg. Death certificates linked to pensions.

Sustainability of “Sakala” initiative

1. The Entire working of the Sakala model is clubbed into 20 sections read with 18 Rules that define the way services should be provided. Being simple, this is most replicable.
2. Standard operating procedures have been evolved at the stage of formulating the Act itself –which is defined by the employees themselves, thereby resistance is minimal or NIL.
3. Clear timelines are defined at each officer level to exactly pin point the cause of delay. This is not just to identify or penalize the staff, but also helps in understanding the grey areas causing delays in delivery.
4. Making Government SMART (Specific, Measurable, Achievable, Relevant & Time bound)
5. Integrating all the functions like implementation, evaluation, monitoring and complaint redressal under one portal.
6. Performance ranking – Healthy competition among all functionaries for continuous performance improvement.
7. Reducing the workload – Simplified procedures – Delegating powers commensurate with responsibilities. The ‘Designated Officer’ (DO) is the sole responsible person for delivery of services.
8. Introducing Personnel Services under RTPS – The first in the country to do so.
9. Painless and paper less mechanism for seeking information, lodging complaints/ appeals and ensuring compliance provided through a Call Centre.
10. Better/proactive beneficiary/Citizens’ feedback for ensuring better delivery to citizens.
11. Increased efficiency of outputs/processes and effectiveness of outcomes
12. The entire process is automated to reduce workload and increase efficiency and ensure qualitative and quantitative monitoring.
13. The government staffs are conscious of the deadlines and are reminded through SMS/e-mail alerts on delay basis leading to 98% timely delivery.
14. Concurrent evaluation by Indian Institute of Management, Bangalore keeps the Mission on its tenterhooks.
15. Quality control checks are conducted to deliver quantities without compromising with quality.
16. Guidance and handholding to countries like Afghanistan, Bangladesh, and Pakistan. Institutions like World Bank and other Indian States have found Sakala to be a role model for implementation at their end. Involvement of Fiscal Policy Institute which coordinates Result Framework

Documentation for the State on behalf of the Cabinet Secretariat links the performance outcomes with department activities on a continuous basis.

Creating awareness among citizens about the services of Sakala plays a very important role in the sustainability of “Sakala” in the future years.

Important elements required for replicability

1. Strong political leadership
2. Publicity and awareness
3. Independent and Concurrent evaluation
4. Citizens trust is the key
5. Government process reengineering
6. Involvement of senior bureaucrats
7. Ownership by departments
8. Lean Mission mode
9. Employees acceptance
10. Defined periodic monitoring
11. Training and capacity building
12. Augmentation of IT resources /infrastructure

Streamlining the Process of Complaint Redressal Mechanism in Mobile Catering in IRCTC

Amitabh Nigam

Indian Railway Catering and Tourism Corporation

Capacity in which Author was associated with the case being presented-

Group General Manager (Procurement & Quality), IRCTC

Author's Role in the Presented Case Study-

Heading the Complaint Redress Mechanism at IRCTC

1. Case Background

IRCTC aims to achieve a comprehensive assessment of complaints in Mobile Catering Segment leading to speedy redressal as well as subsequent prevention. To achieve this, the problem areas which contribute to delay in the process of registration, disposal and analysis have been identified by a nominated Quality Circle. Based on the recommendations of the circle, the system improvements have been planned.

Mobile Catering Operations of IRCTC

Consequent to the Catering Policy of July 2010, IRCTC has been entrusted the Catering of a few Premium trains. IRCTC is presently catering to a total of 32 pairs of Premium trains (22 Durantos, 8 Rajdhani and 2 Shatabdis). In addition, 12 Mail /Express trains are also catered, bringing the total to 44 pairs of trains. The services offered in these trains are Morning Tea, Breakfast, Lunch, Evening Tea and Dinner. The food is prepared at Base Kitchens of IRCTC as well as at its licensees' kitchen, en route. The Pantry Car operations are managed by IRCTC departmentally. Complaint Books are available with Pantry Car Manager (PCMs) who give a counterfoil to the complainant as a token of receipt of complaint.

IRCTC also carries out Customer Satisfaction Surveys through reputed Third Party agencies to gauge the satisfaction levels of passengers. Certification of ISO 22000:2005 is being obtained for some of the trains, to begin with. The Base Kitchens of IRCTC at New Delhi, Patna, Howrah and Noida are ISO 22000:2005 certified.

The Prevalent System:

Complaint Redressal being carried out by IRCTC for the Mobile Catering segment involves the following:-

1. Feed Back from the customers is recorded in any one of the following:
 - a. Complaint Book.---64%
 - b. Web Portal-----23%
 - c. Redirected from Railways ---10%

- d. Directly to Corporate Office/Zonal Office and Regional Office. ---2%
 - e. Toll Free Number/SMS ---- 1%
2. After registration of the complaint in Complaint management system (CMS), an auto-generated acknowledgement is immediately sent to the complainant through email, in which a unique registration number is sent, which is required to be referred in future correspondence.
 3. An investigation of the complaint is carried out by the Zonal/Regional Office and report is submitted to the Corporate Office. This may involve action taken reports from Base Kitchens or Food Labs.
 4. On receipt of the explanation, the complaint redressal machinery at the Corporate Office takes a decision on the disposal of the complaint. This involves preventive and corrective action being advised to the Zonal/Regional Office and replying to complainant.

The complaints are analyzed with regard to the major heads such as

1. Food Quality
2. Food Quantity
3. Hygiene
4. Over charging
5. Poor Services
6. Staff behavior
7. Miscellaneous

The above system is continuing from 2011-12 and performance for the year 2011-12 (average number of trains managed being 38.49) is mentioned in the table below

	2011-12		
	No. of complaints regd. in CMS	Total disposal time (in days)	Average disposal time
TOTAL	1307	32072	24.54

2. Approach Taken

Some changes were introduced in 2012-13, (from July 2012 onwards) by adopting following measures:-

1. Flow of information rationalized
2. Expeditious registration of complaint

3. Quicker investigation
4. Single point of action at Zonal/ Regional level
5. Consolidated decision making at the Corporate Level for early disposal of the complaint.

The results of 2012-13 and 2013-14 (Apr-Sep) are shown in the table below:

Month	2012-13			2013-14		
	No. of complaints regd. in CMS	Total time taken (in days)	Average time taken for a complaint.	No. of complaints regd. in CMS	Total time taken (in days)	Average time taken for a complaint.
APR	119	2251	18.92	122	552	4.52
MAY	214	4034	18.85	135	621	4.60
JUN	105	1856	17.68	99	265	2.68
JUL	150	1446	9.64	108	769	7.12
AUG	114	1433	12.57	71	426	6.00
SEP	104	721	6.93	80	379	4.74
OCT	99	1159	11.71			
NOV	96	825	8.59			
DEC	160	882	5.51			
JAN	164	606	3.70			
FEB	131	399	3.05			
MAR	105	283	2.70			
TOTAL	1561	15895	10.18	615	3012	4.90

It is seen that in the first quarter of 2012-13, the average disposal time was 18.6 days which reduced to 9.8 days in the next quarter. It further reduced to 8.0 days in the third quarter. Finally, in the last quarter it was 3.2 days, on an average. The registration time reduced from quarter on quarter.

3. Work Done

Refinement of the System

The analysis of complaint in the present system, however, remains cumbersome, as discussed below:

1. Passengers are provided with an unlimited space to record the complaint. This obfuscates the issue especially since many passengers are not articulate enough.
2. Similarly, multiple issues being mentioned in the complaints promote subjectivity in prioritization at the level of complaint-handling official.
3. Another problem associated with manual registration is poor legibility, leading to errors during digitization

4. The heads chosen as nature of complaint are only indicative, making it difficult to identify critical sources of complaints.

In order to refine and streamline the analysis part of the complaint, the exercise of parameterization is carried out with the help of IT Department. Since IRCTC is providing 5 services in the Premium trains, parameterization is being undertaken with respect to the items provided by IRCTC and their possible adverse outcomes. This classification was carried out after converting detailed complaints into parameterization format in the compiled months of August and September, 2013.

Parameterization will help in resolving a number of problems, as detailed below:

1. Identification of critical areas of dissatisfaction, within the larger head.
2. Focusing on each of the multiple issues raised in the complaints.
3. Establishing correlation between complaints and the inputs provided.
4. Provide a roadmap and key areas for improvement

The parameterization is being shortly introduced to be carried out in parallel with the present system.

4. What worked/What didn't

Future Scenario

1. Digitization of complaints at the time of lodging, through either hand-held devices with the Pantry Car Manager with the parameterized format or through an app developed for the purpose.
2. Acknowledgement of registration of the complaints will be immediate (a return SMS).
3. Expeditious investigation, since the exact nature of complaint is known.
4. Real-time redressal and disposal of complaints
5. Analysis of complaints in a scientific manner, leading to elimination of roots causes.
6. Overcoming subjectivity in complaints as well as in handling complaints

The aim of the continuous improvement in the Complaint Redressal Machinery is to be achieved by moving from a manual to electronic regime (thus preserving eco-systems) and from verbose to specific. IRCTC is attempting to carry out the task by employing a well thought-out action plan which, when in place, will result in higher levels of passenger satisfaction and comfort.

E-Commerce Complaint Resolution

Devesh Verma
iShout

Author's role in the presented case study-

Founder and Business Head

Capacity in which Author was associated with the case being presented-

CEO

Activities done by the Author personally-

- Planning, Resource Acquisition and Risk Management
- Design and Review of operational processes
- Establishing new relationships with CXO of e-commerce companies
- Handling complex complaints and escalations to CXO level
- Guidance to team for handling routine complaints

Abstract

A critical component of any complaint management system is the ability to give a definite closure within a reasonable time frame and suggest next steps for unresolved issues. It is with this mindset that we launched iShout with the intent to make a positive impact on the customer service scene in the country by helping to resolve consumer complaints.

To begin with we decided to focus on the e-commerce sector because 1) trust and superior customer service is essential for growth of this sector and to convince the average Indian to start shopping online 2) being a sunrise sector it is important that consumer friendly processes are put in place as soon as possible.

We designed the operational processes based on systems thinking and quality management principles with a focus on documentation, evidence gathering and validation.

Our initial research on complaints data suggested that lots of complaints on the Internet were lying unused, unattended and unresolved. Therefore we decided to work on these complaints rather than collecting afresh. A challenge here was that this data had genuine complaints mixed with generic opinions and reviews and therefore we setup a cleansing and validation process to separate genuine complaints from everything else.

Next we contacted to check status of the complaint or register it formally (if not already done) and obtain a reference no. Then a status update was given to the complainant based on merchant feedback. The process of follow-up with the merchant and status update/check

with the complainant was repeated till closure was obtained in one of the following ways: 1) The complaint was resolved 2) Evidence required was not available with the complainant and hence the complaint was dropped or 3) The merchant refused to consider the complaint and hence the complainant was guided to approach the consumer court.

We were able to resolve 650 out of the 1250 complaints, dropped 350 due to lack of evidence and guided 250 complainants to approach the consumer court.

Thus a definite closure was obtained on all complaints in a time bound manner, our problem-solving attitude (as against a vindictive presumption of negative intent) was appreciated by the merchants and the decision making approach based on facts and evidence worked well. However validating telephone conversations, reducing overall resolution time and escalating to CXO level for all some merchants remained a challenge.

1. Case Background

A rapidly growing country like ours faces multiple challenges as it embraces new-age capitalism and consumption levels go up. In such a dynamic scenario often the level of customer service leaves a lot to be desired especially when compared with our western counterparts. iShout was launched on Sep 11, 2012 with the intent to make a positive impact on the customer service scene to ensure consumers are heard and their issues resolved.

Initially we decided to focus on the e-commerce sector because online shopping is just taking off in India and trust and superior customer service are going to be essential for growth of this sector. Also considering the rapid growth expected, it is important that consumer friendly processes are put in place sooner rather than later while the scale of operations is still relatively small.

Also, in theory fast and definitive resolution of complaints benefits both the complainant who chose to shop online partly because he/she wanted to save time and effort and the merchant who anyways does not make money on a single transaction and to be profitable needed the customer to come back at least 3-4 times.

Therefore the challenge is to bridge the communication gap between the two stakeholders (complainant and merchant) so that issues can be resolved in a transparent manner based on facts and evidence. This paper shares our experiences of resolving e-commerce complaints from September 2012 to August 2013.

2. Approach Taken

The founders of iShout believe that most customer service issues can be solved by application of quality management principles and problem solving attitude. This formed the basis of our approach to help consumers in complaint resolution.

The objectives we set out to achieve were to:

1. Give a definite closure to each complaint in a time bound manner
2. Resolve more than 50% complaints (we arrived at this figure based on past experience and discussion with stakeholders regarding ratio of genuine complaints versus frivolous and false ones)
3. Make the complainant aware of the recourse (such as consumer court etc.) available for unresolved complaints

In order to achieve the above objectives we believed we needed to:

1. Be transparent in our communication with both merchant and complaint
2. Take decisions based on facts and evidence
3. Proactively reach out to those who had complaints rather than waiting for them to contact us
4. Make available multiple means such as phone, email, website for complainants to check status of their complaints or share information with us
5. Collect sufficient documentary evidence before approaching the merchant
6. Ensure that each step in our operational process had a clearly defined entry and exit criteria
7. Put in place a time bound escalation mechanism

The risk was whether consumers would give us complaint details and if merchants would share complaint related updates. In order to mitigate these, we kept an outcome focus with a problem-solving attitude. In hindsight, this has indeed helped us win the trust of complainants and cooperation from merchants thereby resulting in resolution of complaints.

3. Work Done

Our operational process involved undertaking the following tasks for each complaint:

1. **Collecting Complaints:** Our initial research suggested that lots of complaints on the Internet were lying unused, unattended and unresolved. Therefore we decided to work on this existing complaint data rather than collecting afresh. Initially we had made a list of different blogs/websites that

listed complaints. However, we observed that these source blogs/websites kept going offline therefore we decided to:

- a. Keep text/screenshot of each complaint and
- b. Use Google search rather than referring to a static list of source websites

2. **Cleansing and Validation:** We observed that the complaint data had genuine complaints mixed with generic opinions and reviews. Entry criteria for the validation process was that the complaint should have been considered genuine after cleansing i.e. it contained:

- a. Reference to a particular consumer transaction
- b. Complainant details (Name and at least one of email/phone number)

The process of validation involved speaking to the complainant on phone (at least once) and interacting through email, if required. Existing criteria for validation was collection of the following data relating to the complaint:

- a. Complainant related information such as name, age (optional), location, marital status (optional), location
- b. Unique reference number for transaction
- b. Current status of complaint
- c. Documentary evidence of interactions with company, if not available complaint was treated as fresh

3. **Coding:** In this step the information collected was documented using the following two excel sheets:

- a. Master Sheet with complainant related details collected for validation e.g. Name, Age, and Address etc.
- b. Status Sheet containing complaint related details & status of interactions with both complainant & e-commerce company.

Some information such as complainant contact information & order related details was common to both sheets.

4. **First contact with merchant:** Contact was established with merchant named in the complaint using multiple channels like phone, email and social media (FB/Twitter) to check:

- a. Ref no. given is valid and relates to an order from the said merchant
- b. Whether a complaint has been recorded against order (if complainant doesn't have ref no.)
 - i. If complaint existed, complaint no. was noted and status/action taken was enquired

- ii. If complaint did not exist, complaint was formally registered & complaint no. taken

Documentary evidence was shared with the merchant as required and name of the customer care representative and/or call ref. no. (if available) was noted for future reference.

5. **Status update to consumer:** The consumer was given update on phone/email on the response from the merchant. Also clarification or additional details/evidence was taken and the consumer was reminded to keep the iShout team in loop for all future communications from merchant.
6. **Subsequent follow-up with merchant:** The following three step process was repeated in tandem with task 5:
 - a. Step 1: Follow-up with Company periodically for next two weeks, document each interaction. After 1 week, Escalate to manager level and connect on social media. Duration: 2-3 weeks
 - b. Step 2: Escalate to CXO level through email/social media if possible. Duration: 2-3 weeks
 - c. Step 3: If no action or response from company after steps 1 & 2, then advise the complainant on how to approach the nearby consumer court & how to present case.

This task was repeated for 4- 6 weeks or till closure of the complaint as resolved, dropped or consumer court as detailed in the next task.

7. **Closure:** Three different closures were possible:
 - a. Complaint resolved: Verify from Complainant before marking resolved.
 - b. Dropped: If documentary evidence not available or 3 unsuccessful attempts at contacting complainant
 - c. Consumer Court: Complaint cannot be resolved at iShout's level and complainant guided to approach Consumer court

In total 1250 complaints were collected from September 2012 to August 2013. We were able to resolve 650 out of the 1250 complaints, dropped 350 due to lack of evidence and guided 250 complainants to approach the consumer court. Zero pendency was achieved in October 2013. Average resolution time was 3-4 weeks.

4. What worked/What didn't

Achievements

1. Closure for all complaints in time bound manner
2. The outcome focus and problem-solving attitude worked well with complainants and merchants as they appreciated the fact that the issues were not sensationalized and instead solutions were explored.
3. More than 52% complaints resolved and those complainants who did not get a resolution, they were guided on what are the other actions they could take

Improvement Opportunities

1. Around 30% issues could not be resolved at iShout's level. This was either because connect at CXO level could not be found to escalate the issue or documentary evidence was insufficient.
2. The online ticketing systems and emails for most service providers did not get time bound response and therefore only connect in such cases was merchant call centers.
3. Validating telephone conversations became a major issue especially because merchants were not willing to share a copy of the recorded conversations.

Lessons Learnt

1. Leadership and Team responsible for Complaint resolution systems such as iShout's need to have a problem-solving attitude and also be ready to constantly review and dynamically change processes at periodic intervals to improve efficiency.
2. Well defined operational process with built in automatic escalation mechanism plays a key role in ensuring a high resolution and 100% closure
3. Documentary evidence and fact based approach helps speed up decision making, this helped get better response from almost all merchants

5. Replicability

Focus on giving definite closure in a time bound manner, automatic escalation to ensure high-resolution rate and transparent evidence based decision-making can be reused/replicated.

6. Conditions for Replicability

The work can be replicated in situations where senior/middle management is willing to intervene when presented with sufficient evidence to decide, the merchant/organization is concerned about its brand image /reputation and an online (telephone/internet) complaint resolution mechanism is available.

7. Conversion to Training Tool

Is a Teaching/Training Tool ready on the subject presented in the case?

No, it will require further work for using the learning from the case to design a training tool that includes overall approach, team attitude and process design aspects.

Session II

Conceive and Implement Collaborative Initiatives

Session II - Conceive and Implement Collaborative Initiatives

Session Chair:
Ivan Rossignol
Chief Technical Specialist and Head of CIIP
World Bank

The sectors that we are focusing on for QUPRAC, namely infrastructure, government and social, usually require cross-organizational collaboration among people linked through non-hierarchical relationships. They must work together for a common objective, but have no formal control over others to collaborate. While one cannot claim that collaboration is easily forthcoming in hierarchical relationships, at least there is a starting point. For those who have no such starting point, it is all the more important to understand the basic principles and conditions that make collaborations work; and work consciously towards creating those conditions. The presentations scheduled in this session are looking precisely at such issues.



Improved Efficiency in Governance through Introduction of Procurement Best Practices

Jyoti S. Choudhary

United Nations Development Programme (UNDP)

Author's role in the presented case study-

Case Study developed by the author

Capacity in which Author was associated with the case being presented-

UNDP staff member

Activities done by the Author personally-

Managing the Change Process

Abstract

At the global level, public procurement spending accounts for about 15% of the world's GDP. In India, estimates of public procurement vary between 20% of GDP to 30% of GDP. Ministries like Railways, Defense etc. spend almost half of the total budget on procurement alone. Public procurement, therefore, is not only voluminous but also delivers economic and social benefits. However, the public procurement system in India, in most states, largely suffers from a non-existent or very sketchy institutional arrangement. The gap is, both at the personnel and institutional levels. Lack of Procurement Manual/SOPs and standardized generic technical specifications, absence of a self-contained solicitation document, transparent and clear bid evaluation and contract award procedures, ambiguity regarding bidder's enforceable rights of protest and review, loose contract management and lack of trained staff, are some of the common themes running across the public procurement landscape in India.

Acknowledging the importance of public procurement, the Government of India introduced THE PUBLIC PROCUREMENT BILL, 2012, to regulate public procurement, with the objectives of ensuring transparency, fair and equitable treatment of bidders, promoting competition, enhancing efficiency and economy and safeguarding integrity in the procurement process.

Against this backdrop, when the Government of India approached United Nations office in India, to support it in the procurement of health sector goods, the latter adopted a strategy of 'structured intervention' in the public procurement process, to not only beef-up the depleting stock but also to bring about improvement in governance efficiency. To achieve the objective, it was decided that the capacity building assistance would be sequenced over a period of time and will include

diagnostic assessment of procurement capacities of the existing government entity, followed by corrective actions to plug the identified gaps. The approach adopted in this was to prepare both, the procurement staff and the procurement entity, to graduate towards international certification in skill sets and processes. Towards this end, modern management techniques and tools of 'Change Management' were used.

Although it is still work in progress, the results are showing with quality of goods supplied being of best international standards and yielding a high value for money. The collaborative 'learning by doing' approach has also proved, in this case, to be much more effective than the 'workshop' kind of pedagogical intervention. The approach adopted in bringing about this change is simple yet highly effective and has the potential of being replicated in especially, public sector setting.

1. Case Background

It has been widely recognized that two pillars of effective and successful governance are increasing value for money and improving public service delivery system. Public procurement has links to both and acts as a key driver in creating an enabling environment for better governance. It follows that while a good public procurement system provides impetus to economic growth and effective public investment, poor governance of public procurement systems can turn public investment into major political and economic liabilities, hinder development goals and outcomes, and result in additional costs and waste public funds.

The health systems prevailing in the states of India suffer from significant gaps in their operational procurement framework and capacities. With increased allocation of budget, there has been a substantial rise in the procurement volume and the transaction numbers. Procurement, therefore, has become technically complex and challenging. In this backdrop, some states are struggling to procure even routine items like weighing scales, thermometers etc. With the emphasis of National Rural Health Mission (NRHM), now National Health Mission (NHM), and other programmes as well, on decentralization of both planning and delivery, these weaknesses have been seriously impacting the outcomes. A closer look at the programmes in general and those related to health, in particular, reveals that

the public procurement system is vulnerable to corruption which thwarts competition, transparency and other fundamentals of robust procurement framework. Then there has been the issue of 'conflict of interest', which has not been addressed in a substantive manner in India. Partly, it can be attributed to the fact that the public procurement system in India has failed to acquire the internationally accepted best practices. Also, not much thought has gone into gearing the system for 'Sustainable' and 'Green Procurement'. Besides, lack of trained staff and absence of watertight oversight have ensured that the prevailing procurement system does not perform to the internationally accepted standards.

The minimum elements of such standards include effective and wide advertisement of procurement opportunities, a self-contained solicitation document disclosing all requirements and relevant information, including transparent and clear bid evaluation and contract award procedures, clear accountabilities for decision making, and bidder's enforceable right of protest and review, when public entities deviate from the set procedures.

The procurement system followed in India, especially in some states; do not have these minimum basic elements in entirety. There are either gaps or absence of these fundamentals. This has resulted in a lot of ad-hocism and subjective interpretation of existing rules and procedures. Coupled with this is the fact that there are no Standard Operating Procedures (SOP) in place.

These together with lack of generic technical specifications, more so in the case of medical equipment and devices, render the procurement process totally vulnerable to manipulations and consequent malpractice.

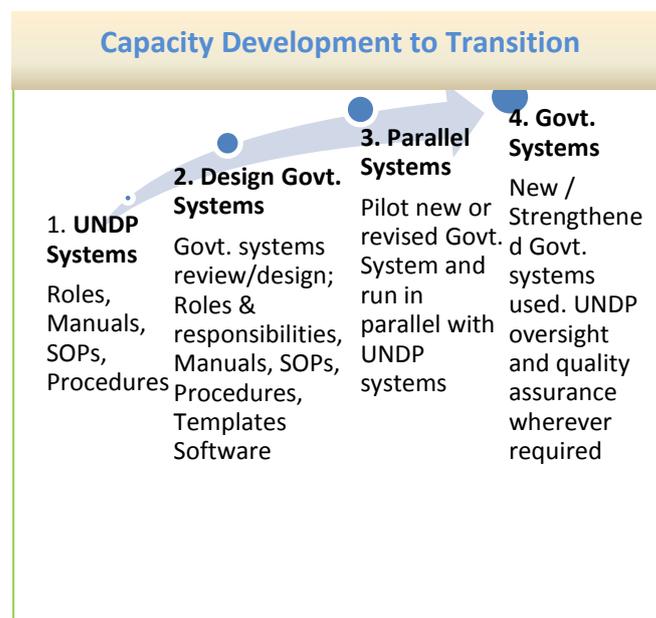
In this background, Government of Haryana and West Bengal approached United Nations to support their procurement set-up in transactional procurement as well as capacity building.

2. Approach Taken

The challenge before the United Nations was to deal with the filling of supply gaps immediately and simultaneously build capacity so that the procurement entities become fully self-reliant in 3-5 years. The critical decision was whether to take a 'Workshop approach or go for a 'Change Management'. Workshops are great for brainstorming, interactive learning, building relationships, and problem solving. Change Management is defining and implementing procedures and/or technologies to deal with changes

in the business environment and to profit from changing opportunities.

The experience gathered in other countries has shown that there is no better way to learn the tenets of robust procurement but through actually getting involved in the process. Therefore, at the inception itself, it was decided that 'work-shop approach' will not yield much results. Since Change Management addressed the broader tapestry of the procurement set-up, it was given precedence. The strategy adopted, therefore, was to build capacity along-with transactional procurement. This was done through two-pronged intervention. One, by involving the procurement personnel in the process of procurement wherein the state government got its procurement staff involved in procurement done by the UN agency as an 'Observer'. Secondly, capacity building plan was chalked out to develop capacities in the procurement entities, in a structured manner. The trajectory worked out for this purpose involved using the UNDP systems initially, followed by designing Government systems, running the two in parallel, and finally the revamped Government system, taking over.

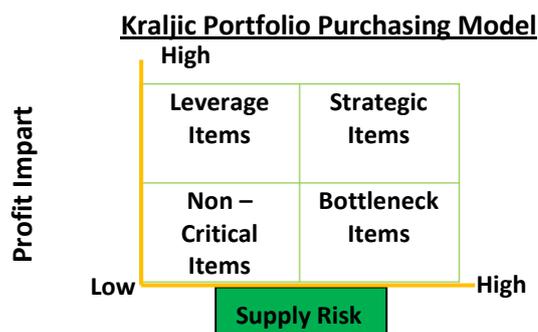


In this process, while theoretical tools like Kurt Lewin, & Kraljic Models, Pareto and, Force Field Analysis etc. were used to dissect and understand the system, capacity building was oriented towards making the organization ready for adoption of new procurement practices like e-tendering, category management etc.

3. Work Done

The purchasing pattern was mapped and categorized through the Procurement Spend Analysis. Using Kraljic Model, these were categorized into Routine (Low risk and low spend), Leverage (Low risk and high spend), Bottleneck (High risk and low spend), and Strategic (High risk and high spend), and procurement strategy was framed accordingly.

Procurement Spend Analysis



Source - Peter Kraljic, 'Purchasing Must Become Supply Management'; Harvard Business Review Sept-Oct 1983

Product Categorization and UNDP Strategy

Category	Typical characteristics	UNDP strategy
Routine (Low risk and low spend)	<ul style="list-style-type: none"> - Usually low – medium value items - Represent routine procurement processing - Competitive local supply markets for these items. 	Shopping/RFQs (Weighing scales, BMI calculator etc.)
Leverage (Low risk and high spend)	<ul style="list-style-type: none"> - High vol. Commodities - Mature and competitive supply markets - Few suppliers with extensive distribution networks. 	Setting-up LTAs (Radiant Warmers, PT Units etc.)
Bottleneck (High risk and low spend)	<ul style="list-style-type: none"> - Highly specialized goods - Only a few potential suppliers - Few transactions 	ITB (Blood mobile units, ambulances)

Strategic (High risk and high spend)	<ul style="list-style-type: none"> - Goods, services or works that is critical to the organization. - Complex specifications - Very few suppliers available. - High stakes for both DSC and partner 	ITB (with inputs from strategic partners) (Cancer treatment units)
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Following this, an extensive exercise for Risk Identification and Mitigation was undertaken. The risks associated with each step of procurement process, viz; requisition, solicitation, evaluation, and contract management, were evaluated and mitigation protocols put in place.

Risk Identification & Mitigation

Stage	Risk	Likely Consequences	UNDP strategy
Indent	<ul style="list-style-type: none"> - Non-generic specs - Unrealistic delivery schedule 	<ul style="list-style-type: none"> - Restrictive participation - Complaints - High costs 	<ul style="list-style-type: none"> - Data base of generic specs - pre-bid meetings - dialogue with partners to improve specs
Solicitation	<ul style="list-style-type: none"> - Non-standard documents - Failure to address bidders' queries - Breach of confidentiality - Low Response 	<ul style="list-style-type: none"> - Subjective interpretation of tender clause - Allegation of bias - Malpractice and Complaints - High cost; reputed suppliers staying away 	<ul style="list-style-type: none"> - Standard bidding clauses - SOPs - Provision of Bid protest - Wide circulation through UNGM, UNDP, Partners
Evaluation	<ul style="list-style-type: none"> - Failure to follow pre-set evaluation criteria - Selecting inappropriate supplier 	<ul style="list-style-type: none"> - Non transparent selection - Failure to fulfill contract 	<ul style="list-style-type: none"> - Robust oversight - Procurement Review Committees

Contract Management	<ul style="list-style-type: none"> - Poor quality - Delays in delivery - Delays in payments 	<ul style="list-style-type: none"> - Rejections - Negative impact on Programme - Low suppliers' confidence 	<ul style="list-style-type: none"> - Funds received in advance - Pre & Post-dispatch inspections - LD provisions along-with constant monitoring - Mandatory payment within 30 days, clause
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Kurt Lewin Model of Change

One of the biggest challenges in Change Management is to make the transformation being brought about, acceptable to the existing personnel. Fortunately, in both the cases, of Haryana and West Bengal, the procurement personnel were new and open to improved ways of procurement. This, however, still required the unfreezing of the existing procurement environment, prevailing in the Government setup. Not being exposed to best practices in the procurement discipline meant that ad-hoc practices were being used which rendered the process vulnerable to manipulation thereby increasing manifold, the risks to both the individual and the institution. This was overcome by adopting the Kurt Lewin Model of Change.



Source – Kurt Lewin, "Frontiers of Group Dynamics", Human Relations, Volume 1, (1947)

During various interactions with the procurement staff of the Government, the benefits of following a transparent and robust procurement process was explained in great detail.

This included conveying the message that following a scientific approach to procurement not only leads to the success of the Programme but also enables the procurement professionals to reduce the risks associated with the activity. This helped greatly in overcoming cynicism associated with any introduction of such change in the system. Once 'Unfreezing' was achieved, the 'Change' and 'Refreeze' processes were taken up.

Besides, SOPs were developed, a compendium of generic specifications for medical equipment was

prepared, and workflow software capturing the entire procurement process was created for better contract management. At the individual level, the staff has been motivated to take up an internationally recognized Procurement Certification Programme, which would include understanding the Corporate Environment, Analyzing Supply Markets, Developing Supply Strategies, Managing the Contract & Supplier Relationships, Logistics and Inventory management, Performance evaluation, Green Procurement, E-Procurement, and Managing Finance along the Supply Chain etc.

4. What Worked/What Didn't?

There has been significant progress in streamlining the processes of the procurement institution of Health Department, in both the States. Through a collaborative approach, desired improvements have been made which is more system driven than personality driven. The transfer of officers, therefore, will not have an impact on the system which has been set-up. The SOPs etc. would ensure that the process continues without much impact. The procurement environment has also improved drastically with the vendors more than willing to provide quality products at competitive prices. This has resulted in delivery of quality products with reduced procurement timelines. The efficiency achieved through adoption of the best practices in procurement is getting reflected in better and more effective Programme results.

However, presently only seeds have been sown. The oversight mechanism and avoidance of conflict of interest continue to remain a challenge. Procurement as a discipline and practice, in India, is still to take off. Therefore, the newer concepts and tools have still not been fully imbibed by the procurement professionals. The results of training and certification program will provide evidence of bottlenecks in this regard. Therefore, there is a huge scope for improvement in the existing system to make the whole process more transparent and value added service.

5. Replicability

The entire system can be replicated with or without modifications. This model can be also adopted by States which have some sort of procurement institution already in place but standardization of processes has not been achieved. In private sector, the context would be different but principles of procurement remain the same. Therefore, the methodology can be utilized there also.

6. Conditions for Replicability

The replicability of the model presupposes the existence of a procurement set-up. Although not a pre-condition, a different approach and management tools would be required where the institution is to be created from

scratch. However, some aspects of methodology and tools adopted here are generic in nature and can be used in these cases.

Improving Quality of Indian Oil and Gas Data

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 SQC & OR Unit, Indian Statistical Institute, Kolkata

Author's role in the presented case study-

Formulation of the data quality problem from a statistical perspective and designing the system accordingly. The authors played the roles of being the chief architect, system designer as well as software tester apart from developing an overall vision for the data quality system.

Capacity in which Author was associated with the case being presented-

Project Consultant and Knowledge resource

Activities done by the Author personally-

- Developing an overall vision for the data quality system
- Identification of required data quality characteristics
- Designing a data quality system (particularly data formats and checks) acceptable to all stakeholders
- Designing, testing and validating a software product to support the system
- Providing implementation support including training and making modifications in formats and data compilation methods, and
- Developing a data quality manual and providing training

Abstract

Ensuring quality of data is a challenge faced by most large organizations. Quality of data has many facets like accuracy, timeliness, completeness, relevance, reliability and configurability. While inability to maintain data quality exacerbates quality of decision as a whole, designing and implementing a system to take care of the multitude of characteristics defining data quality remains a formidable challenge.

This project was carried out for Petroleum Planning and Analysis Cell (PPAC). PPAC is responsible for maintaining Indian oil and gas data and gets data on import and extraction of crude oil, natural gas and petroleum products as well as the quantities of petroleum products produced, stocked and sold within the country and abroad from a variety of sources including public and private sector companies and government bodies. Getting timely, complete and accurate data was a major issue faced by PPAC.

This system for ensuring data quality was designed jointly with PPAC and all agencies supplying data. Five main areas of focus were:

1. Development of a vision about the data quality system
2. Collection of data along the supply chain
3. Operational definition of data elements and joint development of formats
4. Clarity regarding expectations from the data suppliers, and
5. Introduction of systems to benefit the data suppliers

Collecting data along supply chain coupled with statistical techniques like outlier detection and time series methods facilitates balance checks and provides an objective method to assess accuracy – presumably the most important yet illusive data quality characteristic. Operational definitions and clarity of expectations enabled devising objective scoring system of timeliness and completeness. The scoring system improved transparency, introduced healthy competition between data suppliers and facilitated reporting to the central ministry.

Following Fogg's behavioural model, the system was redesigned to minimize the data supply effort. Simple forecasting and outlier detection systems were provided to the data suppliers to help them achieve their KRA. An overall balance check system that was hitherto unavailable was also introduced to enable early detection of data issues.

Although the project was carried out specifically for the Indian oil and gas sector, a set of replicable principles for carrying out large collaborative projects to assess and maintain data quality could be developed. We believe that these principles can be used by large organizations and government sectors involving many interacting agencies, to assess and improve the quality of data. This report briefly describes the collaborative journey and pinpoints the lessons learnt.

1. Case Background

India faces formidable challenges in meeting its energy needs. Considering the fact that oil and gas constitutes about 39% of the total energy consumption of India, timely availability of reliable data on this sector occupies a pre-eminent place in economic planning and policy

making of the country. This project aims at developing a statistical system to control and improve the quality of Indian oil and gas data.

PPAC has observed that ensuring quality of the data obtained is extremely challenging. The data are supplied by many organizations. Often the data may be incomplete and may not come in time. The supplied data may not be accurate and there is no guarantee that different agencies supplying the same data use the same definitions and measurement principles. Data on the same attribute supplied by different agencies may, therefore, be widely different. This project was taken up jointly by PPAC and Indian Statistical Institute (ISI) to alleviate these problems.

2. Approach Taken

The solution architecture consisted of three dimensions, namely collaborative, technical and implementation. The collaborative dimension looks at defining a system acceptable to all stakeholders. At the technical dimension solutions for assessing the identified data quality characteristics need to be developed. Finally, at the implementation dimension, software solution need to be designed, developed and put into practice. Further, training programmes were designed to facilitate implementation and a governance mechanism was thought through and implemented to ensure sustainability.

Aside from these three dimensions of the main activities, the lessons learnt and general principles developed were compiled as a part of this project and are described below.

3. Work Done

Collaborative Dimension

At this stage attempts were made to bring all the stakeholders together. The main objective was to generate enough motivation for designing an effective system where all participants provide valid data on time. Following Fogg's model on human behaviour, it was decided to look at the level of difficulty to provide data and the benefits the data providers may obtain. The collaborative design of the system consisted of the following steps:

1. Developing an understanding regarding the system through-
 - a. Understanding the data sent to PPAC
 - b. Understanding the issues faced by the data providers and PPAC

2. Providing an overview of the system to all stakeholders
3. Developing outline of a system including-
 - a. Data formats and their interconnections
 - b. Reports and data quality checks that may be generated through the system
4. Sharing the proposed system with the stakeholders from time to time for their comments and critical review and updating the system as necessary

Some of the issues faced by the data providers were Code Mismatch, Extra Data Preparation Effort, Loosely Defined or Undefined Formats, Non-availability of Operational Definitions and Non-availability of data. It was noted that removal of these problems through appropriately designed system and forecasting methods (to estimate data that may not be available to the provider who may depend on other agencies for the data) would reduce data providing effort substantially thereby improving the chance of timely submission.

Six data quality characteristics identified at this stage were timeliness, completeness, accuracy, reliability, relevance and configurability.

Technical Dimension

At this stage attempts were made to develop methodologies to ensure that the six quality characteristics may be routinely assessed. We have developed technical solutions to assess all these characteristics except one, namely relevance and the methodologies are described below.

Timeliness and Completeness

These two characteristics were measured in terms of the different data formats expected to be filled in and sent by the data providers. Percentile based scoring methods were developed to facilitate meaningful reporting and objective comparison of the different data providers.

Accuracy

Accuracy of the provided data may be theoretically defined as the difference between the true value and the reported value. Since the true value is unknown, it is theoretically impossible to assess accuracy. In this project, we have attempted to assess accuracy using the statistical concept of a stationary series. A non-stationary time series usually indicates lack of accuracy.

Reliability

The characteristic reliability may be defined as the chance that the entire data set is correct. Subjectively speaking, reliable data inspires confidence. As the previous case, measuring reliability objectively in this

situation is extremely difficult. In this project, we have looked at three different characteristics of data, namely internal consistency, external consistency and overall balance to assess reliability. While internal consistency compare same figure repeatedly supplied by the same agency, external consistency refers to the relationship between the data sent by different entities and overall balance check refers to the material balance along the overall supply chain. A data set that passes all these three tests may be considered to be reliable.

Configurability

This characteristic refers to the ability of preparing wide variety of reports from the data provided. In this project, this was taken care of by ensuring that the data are captured in relational formats and are appropriately normalized to ensure generation of flexible reports.

Implementation Dimension

This stage comprised of two major activities, namely-

1. Development of a software solution to facilitate unobtrusive data capture, implementation of the proposed data quality checks and flexible reports
2. Development of training programmes for the personnel using the system to facilitate interpretation of the reports related to data quality
3. The software was implemented on trial basis for about 6 months to ensure that defects, if any, are eliminated and the users get enough exposure to the usage of the software product. The software product was backed by appropriate documentation to ensure sustainability

4. What Worked / What Didn't

It was observed that a number of points need to be taken care of to ensure success of a large collaborative project to improve data quality. These points are given below-

1. Developing shared vision
2. Ensuring that the data is collected unobtrusively
3. Data Collection in Relational Format along the Supply Chain
4. Upfront agreement about the data quality characteristics
5. Providing operational definition of all data elements
6. Ensuring that all stakeholders have opportunity to air their views
7. Using Concept of Stationary Time Series to verify accuracy
8. Using Concepts of Internal and External Consistency and Concepts of Balance Checks to assess accuracy and reliability

9. Using Normalized Relational Formats to achieve configurability
10. Objective, percentile based checks for Timeliness and Completeness

5. Replicability

All ideas articulated in the previous section are replicable and most of them, particularly the technical ones may be converted into tools. The statistical and database related methods have already been implemented as a software product.

6. Conditions for Replication

Some major conditions impacting successful replication include-

1. Accepting that data quality is a major issue. The senior management of the central organization and the governing body / board must not be in a denial mode
2. The central organization (in this case PPAC) must have the commitment and capability to bring all the data providers together
3. Accepting the possibility that the data supplied may be in error and avoid blame game
4. Knowledge of rudimentary database and the suggested statistical techniques
5. Ability to provide requirements for the software system and spending time and effort towards development and testing of the software solution

7. Conversion to Training Tool

General purpose training tool has not been developed as a part of this project. However, most of the ideas may be converted into training tools. The ideas developed in this project may be converted into two training tools, namely tools for collaborative design of data quality system and technical tools. The contents of these two tools may be combined to have a training tool for data quality in general.

8. Any Other Aspect

Collecting data in relational format along the supply chain is a concept that may be used in many other areas like food supply, change of price of food or other commodities, and so on. These areas may be modelled as a supply chain and data may be collected at different points of the supply chain. Most of the ideas propounded may be applied directly to improve quality of data, reports and eventually decisions. It may further be noted that government data are often not reported

in normalized, relational formats. Changeover to these formats and application of the suggested techniques has the potential to improve data quality substantially. The ideas may be fruitfully replicated for many economic data as well.

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Scaling up Family Health Solutions in Bihar Using Social Networks

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Activities done by the Author personally-

- Planning and Execution of Study- District Level Network Mapping in Bihar
- Monitoring and Quality Assurance
- Performing network analysis

1. Case Background

Bill and Melinda Gates Foundation (BMGF) supported Ananya Program in Bihar which has three main objectives:

1. Developing innovation public-and private-sector solutions to improve essential health and nutrition services (especially for pregnant women and children up to two years), and diagnosis and treatment of pneumonia, diarrhea, tuberculosis and visceral leishmaniasis (kala-azar).
2. Helping government programs to adopt the most promising approaches across the state.

Documenting the results and lessons learned to inform health and nutrition programs in India and other resource-limited settings

2. Approach Taken

The study was conducted in 15 districts of Bihar. The study aimed at facilitating government and non-government organizations to achieve Ananya program goals.

The project assisted the ongoing efforts to scale impact through the network of government actors with the collective knowledge of administering and implementing family health solutions within and across districts in Bihar. The primary challenge was how to move innovative ideas and family health practices proven to be successful in the 8 “innovation” districts in Bihar to spread to the larger network of so-called scale-up districts within the state?

This project addressed that challenge leveraging recent advances in our understanding about (i) “who” are touch points in the network, (ii) “how” they can be socially influenced, and (iii) strategic choices about communication channels ranging from face to face to social media. It began by identifying health-related government officials who were deemed influential both within their own districts as well as with other districts.

Once these government officials were identified we developed influence and communication strategies to connect the influential officials in innovation districts with those in scale-up districts to help accelerate the spread of innovative ideas and family health practices. Specifically, the intended result is to accelerate and increase the chances of successful scale-up of maternal, neonatal, and child health solutions in Bihar.

3. Work Done

The project assessed the network connectivity among district and block health officials on knowledge sharing and adoption of various family health solutions. The first goal of this project was to identify key players in the network, since these key players can help spread knowledge, give advice or help people adopt new family health innovations. We identified four different types of key people:

1. **People with high overall influence:** A person has high overall influence if he is connected to others with high overall influence. And, those individuals have high overall influence because they are connected to others with high overall influence. The algorithm used to compute this seemingly circular definition is analogous to the technique used by Google to rank order the web page results in response to a search query. These overall influencers are well positioned to help create communication strategies and collaborate with the other key people in more specialized roles. Specifically, we measured overall influence by looking at the influence of the people in the network.
2. **Connectors:** These people have many incoming links and therefore often receive much information from other people. Generally they are the go-to people for advice and are therefore well suited to influence the adoption of scale-up practices. We identified the connectors that are most important in the network as a whole, as well as the top five connectors per district.
3. **Brokers:** Brokers connect groups of people that would otherwise not be connected to each other. Brokers are very well suited to influence the design and initiation of scale-up solutions and to spread information and knowledge between segments of

the network and hard to reach people. We use a measure called closeness centrality to identify brokers. This measure allows us to assess the people who most often lie on paths between other people. We identify the brokers that are most important in the network as a whole, as well as the top five brokers per district.

4. **Sensors:** Sensors have the shortest degrees of separation on average with others in the networks. Since their place in the network positions them as 'people in the know', they are often well aware of new developments and supplying them with accurate and relevant information about Family Health Innovations will help in sharing knowledge as well as to influence the feedback or real-time assessment of scale-up implementation. We identified the sensors that are most important in the network as a whole, as well as the top five sensors per district.

4. What worked/What didn't

The study highlights-

1. The significant network connections among districts and within blocks of a district
2. The important brokers and connectors within the network of Department of Health and Women and Child Department
3. Health solutions adoption and network influence among scale up and innovation districts
4. Knowledge sharing medium among scale up and innovation districts

Opportunities

1. Utilizing the varied degree of influencers positioned at different levels in a system such as at block and district level for scaling up health solutions in scale up districts of Bihar
2. Utilizing the brokers, sensors and connectors within identified block and district level actors for setting up a Technical Support Unit

Lessons Learnt

1. Overall the density of all networks was low, signifying a (relatively) low number of links between the government in the network. People have about twice as many links within their block/district as outside their block district. Most contacts take place on weekly or monthly basis.
2. These relationships are most often used to share knowledge and to a (marginally) lesser extent for advice and influence

3. The number of links correlates strongly with the roles of health officials. Lady supervisors are poorly connected; whereas civil surgeons are strongly connected to others in the field
4. The overall readiness to adopt new family health innovations varies across districts but is in general higher for scale up district. The perceived likelihood that officials will be influenced by their peers also varies across districts

5. Replicability

The approach taken, social network analysis, to a) assess the knowledge sharing structures in specific communities and b) identify key people -with key roles- in these communities is replicable in many government, organizational and social settings.

6. Conditions for Replicability

Applicable in all healthcare settings for identifying community, government and non-government sector linkages necessary for successful implementation of health programs across states

Contribution of the Case presented

1. Showing practical ways in which social network analysis can guide better co-ordination among stakeholders for achieving actionable outcomes
2. Decreasing the gap of knowledge and understanding to improve decision-making among philanthropic actors, implementers, and government personnel

To Strengthening Implementation

By providing concrete information on both the community and actor level that allows shaping operational strategies

7. Conversion to Training Tool

The case is now a blueprint for how to conduct social network analysis in rural settings using (nowadays) unconventional data collection methods (paper and pencil network surveys). Additionally, we have already created extensive training materials on how to collect and code the data.

8. Any Other Aspect

Level of analysis: Study is clear on the levels of analysis –Region, District and Block level. The study captured data using an official roster of known actors across all levels.

Knowledge Management through Collaboration in a Large Organization

Nandita Pal¹, Sumit Ghosh² and Jaydeep Chakraborty³
Tata Consultancy Services (TCS)

Author's role in the presented case study-

- Nandita Pal is leading delivery excellence for Utilities Customers for major market of TCS. She is working with TCS for 16 years. She works very closely with each project in Utilities domain and facilitates deployment of best practices in collaboration. Her responsibility is to ensure all deliveries made from this unit has implemented TCS One global standard which ensure experience certainty. Her team enables deployment of collaboration framework to capture knowledge of diversified teams and increase effectiveness of ongoing assignments.
- Sumit Ghosh leads the delivery excellence function for Energy and Resources (E&R) domains of TCS. Having an IT experience of over 17 years, he is responsible for implementing effective processes and collaboration within accounts and projects serving E&R industries globally. His team facilitates deployment of quality and knowledge management framework across the E&R unit in order to ensure TCS One global standard in transformative solutions served over multiple platforms.
- Jaydeep Chakraborty has over 22 years of experience in IT and extensive experience in Project Delivery, Quality Assurance and Change Management and is currently a Process Deployment Consultant at TCS.

Abstract

The market for IT services is rapidly changing and transforming. Customers are looking for efficiency and agility; seeking new technologies and products to drive business growth. Their expectations are problem solving, value delivery and risk management.

An organization must be customer focused for sustained business success. Coping up with the evolving business processes and decreasing average shelf-life of technology, calls for agility and an increased rate of innovation. Handling the already well networked, fast paced, technology savvy "internet generation" and managing an increasing mobility of workforce are the key challenges for any organization. Increasing trends in the Indian and global IT spend, create new market opportunities.

Large organizations are geographically spread across many countries and handle various industry types. As an example, TCS has a global and diverse workforce in 40+ countries, 30+ business domains, serving 1000+ customers. An effective collaboration platform helps such global and diverse teams and functions to imbibe industry best practices, share lessons learned, innovate, promote reuse and apply the collective wisdom of an organization. Collaboration platform aids in leveraging and enhancing the tacit knowledge. Identification of experts and expertise happen through collaboration in many ways.

TCS, like all its competitors in application services, facing a rapidly changing and transforming market has responded to the market landscape in the following manner that leverages its strengths-

1. Experience of Certainty in delivery to the customers
2. Collaboration among associates for learning and sharing, through effective knowledge management framework
3. Standardization, innovation, demand creation and decision making for differentiated offerings
4. Systematically creating, sharing and applying knowledge to achieve business objectives

With specific examples and adopted best practices, this paper stresses on the need to deploy an integrated knowledge management framework in the current challenging business environment. It also draws the attention of the reader to continuously unearth and adopt best practices across business units in a large IT organization like TCS.

1. Case Background

Our customers are transforming for efficiency and agility and seeking new technologies / new products to drive growth. The vision of TCS to be best-in-class and the best partner of choice for the customers is based on the core promise of Experience Certainty and a customer centric business model. For a typical business unit, engagement is spread across multiple geographies encompassing various domains and technologies.

Knowledge Management (KM) is the discipline of enabling individuals, teams and entire organizations to collectively and systematically create share and apply knowledge, to better achieve the business objectives.

Collaboration across workforce is critical to survive. This paper focuses on Quality Tools and Techniques (QTT) used for internal collaboration.

2. Approach taken

TCS consists of Industry Solution Units (ISU), the core operating business units that function globally and each of the units focuses on domain expertise in a specific industry verticals. Through this structure, TCS enhances customer-driven excellence, drives operational agility and develops domain-specific capabilities and solutions. Learning happens in patches across different customer locations and which has to be disseminated within the ISU. The Delivery Excellence Group (DEG) in TCS is a key organizational infrastructure Unit that works across ISUs to share best practices and learning across TCS.

TCS values are aligned to TATA group values. Based on the value “Learning and Sharing”, TCS has created and enterprise knowledge driven culture that develop knowledge workers through senior management leadership. The KM platform fosters an environment for collaborative enterprise knowledge sharing and translates TCS as a learning organization and enables TCS to transform enterprise knowledge into stakeholder / shareholder value. Using such framework enables associates to connect, communicate, collaborate and transform TCS, which makes it a winner of global Most Admired Knowledge Enterprise (MAKE) award.

3. Work done

Plan- In a global knowledge-driven organization, learning happens at all levels – individual, team (work-group) and organization. Individual learning consists of skill enhancement and on-job experience. Team learning comprises of project-level good practices and common errors. Organization learning gets built up through contribution of individual and team learnings. Once the learnings are documented in a sharable repository, they transform into knowledge. Thus learning is tacit form while knowledge is explicit form of information.

Do- We have used the existing intranet based Knowledge Portal (KP) to host a virtual library of project profiles and communities (based on special-interest-groups). Also the KP has been used as a mind sharing platform for the workforce operating across the globe. We have additionally leveraged the KP for creating Wikis for different functional areas. Mind sharing through KP is like social networking at the organizational level.

A project profile is a summarized document containing business scope, technical and functional landscape, project meta-data and risks. Such profiles are uploaded

into KP virtual library by each active project and are used by new projects at startup as a ready reference.

Communities are forums for people having similar interests to work together towards learning from others in the same interest area. Depending on ISU requirements, Wikis are developed on KP by functional experts for ready reference by the global workforce as and when needed.

Such a Web 2.0 based Knowledge eco-system and Mind Sharing is a conscious shift from documents, processes and workflow to tacit knowledge, conversations and flow. It is designed to help organizations harness knowledge and share it throughout the enterprise and partners. Project information, quality and knowledge are managed through such organizational systems and facilitated by DEG through Knowledge Officers and Knowledge Champions for all industry verticals.

Check- The knowledge platforms are monitored on a periodic frequency by the knowledge champions and knowledge officers at the ISU level to measure the deployment and effective usage. Several KPI are in place for checking the effectiveness of such KM systems

Act- As an ongoing or BAU process, Organizational Process Assets (OPA) is identified during project kick-off. The project plan defines the approach for identifying such reusable assets. Artifacts created by one project during its planning or execution are uploaded in the knowledge repository during the project closure phase for use by similar projects in future.

Suitable governance frameworks are in place for KPI tracking. KP Awareness trainings to the associates are provided where the demonstration of the KP, navigation to various features of KP are covered.

KM in Energy & Utilities

In a specific business unit (Energy and Utilities) **Virtual Library** contains Project Profiles and Communities. A sample project profile outlines customer background, scope of work, technologies used and the key functionalities of the proposed solution.

A sample community could be on “**Smart Metering**” where people working on similar functional areas collaborate, exchange ideas, brainstorm to find solutions on Smart Metering. Smart meter generally refers to a type of meter (usually an electrical meter) that identifies consumption in more detail than a conventional meter, communicates the information via some network back to the local utility for monitoring and billing purposes. It also supports two-ways communications. Smart meters involve a different technology mix such as real-time or near real-time reads, power outage notification and power quality monitoring.

Mind Sharing is done through Social Networking within the ISU on domains like Utilities (electricity, gas, and water), Energy (Oil & Gas), Resources (Metals, Mining). Anyone belonging to the ISU can join, connect, and invite others, post blogs, questions and surveys. Posts can be liked, commented on, shared with other user groups. Also Notice-board items contain important announcements, organizational events promotion, messages from ISU leadership.

Functional Wikis on Utilities Domain Areas contains reusable content on-

1. Electricity Home outlining power market operations, value chain (e.g. generation, transmission, distribution and retail), IT initiatives (e.g. Smart Meeting, Customer service and billing), key trends and challenges, training and induction and glossary
2. Water Home outlining Water and Environment, value chain (abstraction, treatment, operations, waste water), IT Initiatives (Asset Management, Reporting), Key Trends and Challenges, Training and Induction and glossary

4. What worked/What didn't?

Achievements

1. TCS is the winner of the global Most Admired Knowledge Enterprise (MAKE) award for creating an enterprise knowledge-driven culture, developing knowledge workers and transforming enterprise knowledge into shareholder and stakeholder value.
2. TCS is adjudged as an industry leader through external assessments of Tata Business Excellence Model (TBEM). This framework developed by the Tata group is based on the 11 core values, which are embedded beliefs and behaviors, common in world class organizations, as outlined in the Balridge model.
3. Knowledge portal has been successfully rolled out in all ISU. Hits to the portal are monitored and shows increasing trends.
4. Over 400 communities have been created in our Mind Sharing platform and regularly used.
5. Adoption of Known Error Database (KEDB) in TCS projects have resulted in reduction of repeat errors and problems (recurring issues).
6. Below are some of the statistics from TCS KM system (Knowmax)
 - a. No. of associates accessing Knowmax: 2,90,000+
 - b. Average concurrent users per day: 8000+
 - c. Re-usable assets 49873 and growing about 1500+/month

- d. Quizzes hosted online 78201 (in which active - 64740)
- e. Ideas posted in Ideamax 67055 (selected - 3815, implemented - 707)

Lessons learnt

1. Sponsorship & buy-in from top level management is a key to success
2. Periodic monitoring of KM deployment through Delivery Excellence Group
3. Collaboration with external entities – Academia & Research Institutes
4. Rewards & Recognitions for KM Excellence – KPro awards
5. Collaboration, Competency and Innovation go hand in hand, any two of them leading to the third

5. Replicability

1. Collaboration channels and communities are all replicable and reusable across the various business units and accounts
2. Proven practices piloted in projects of one ISU were replicated through mechanisms already described in this paper
3. Best practices and lessons learnt from projects that form a part of organizational process assets were reused in future projects
4. Collaboration platforms can be applied under the following organizational characteristics
 - a. Large size
 - b. Geographic spread
 - c. Multiple product/service line
 - d. Varied operational processes
5. Intranet usage in IT-enabled organizations
6. Management to actively promote the approach for sharing best practices and learning
7. Continuous Improvement could be effectively replicated in following conditions
 - a. Organization needs / wants to change
 - b. Organization aspires to grow
8. Organization is willing to adopt new ways of working

6. Conversion to Training Tool

Training programs on KM could touch upon best practices and success stories.

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Session III

Improving Social Sector Results

Session III - Improving Social Sector Results

Session Chair:
Kalpana Tewari
Member (Planning)
Postal Services Board

The diversity of our country is legendary. While the differences in language, culture and topography across various parts of the country add to the richness of diversity, there are many differences we would rather not have – the differences arising out of inequitable distribution of wealth and social status. This session looks at how some of the deep-rooted mindsets and ways of doing things that need to change. This session deals with issues that are top priorities for every country: Agricultural productivity, Education and Health are critical areas, and as a subset of Health, sanitation has to be very high on the agenda. In India, sanitation related issues are riddled with complexity. They are associated with many undesirable practices, born out of deep rooted habits and prejudices, which may have had some relevance in the past, but are totally outdated now.



Dalia Jalao- Liberating Manual Scavengers and Moving Towards Total Sanitation

Amit Gupta

Government of Uttar Pradesh

Author's role in the presented case study-

Implemented the Idea

Capacity in which Author was associated with the case being presented-

District Magistrate, Budaun

Activities done by the Author personally-

- Leading the Team
- Designing & implementing solution
- Monitoring & review

Abstract

The initiative primarily aimed at the liberation of manual scavengers. They manually sweep household dry toilets; and collect and carry away human excreta usually on head to a designated place on the outskirts of village/town. Dry Toilets are non-flush toilets that a household constructs as a family toilet, whereby each day the accumulated night soil (human excreta) is cleaned and collected manually by a human being. Manual Scavenging is done by one of the scheduled castes known as Balmiki community and worse, among them by women including minor girls. The practice is being carried on from generation to generation and is being culturally accepted rather legitimized.

Dry latrines affected its users by exposing them to all types of diseases and health hazards, specially caused by faeco-oral route, and much worse than those caused by open field defecation. Especially they affect women and children who are in the house for most of the times in the midst of stinking environment and flies, exacerbated further by delay in cleanliness. They also affect people living in the vicinity of houses having dry latrines, because they are also exposed to all types of health hazards. Excreta lie open sometimes for two or three days as well and sometimes washed away into open drains areas having large number of dry latrines.

District Budaun had around 50,000 dry toilets in rural areas and around 20,000 dry toilets in urban areas. There by having around 4 lacs people using dry toilet and around 8 lacs people getting adversely affected. As a result, frequent outbreak of epidemics such as of diarrhea, dysentery, jaundice, gastroenteritis, typhoid, and intestinal worms were common. In year 2009, the district had one of the highest cases of wild polio viruses in India.

Thus dry latrines and consequent manual scavenging constitute a problem that transgresses into the domains of caste and gender; health and occupation; human dignity and freedom; and human rights and social justice and it is impossible to attain the Millennium Development Goals 1, 3, 4, 5, 6 & 7 without addressing the issue.

The practice is still continuing mainly because:

1. Incomplete Rehabilitation focusing only on loan based employment
2. There has been little or no effort in psychologically liberating Manual Scavengers
3. Lack of effort for social inclusion of Manual Scavengers
4. No focus on conversion of dry toilets in rural areas and large amount of money demanded by villagers for toilet conversion

1. Approach Taken

The Initiative had a participatory and multi-layered strategy. Initiative began putting Toilet on District agenda. Focus of the drive was on the one hand on the conversion of dry latrines to help tame the problem of manual scavenging, and on the other hand rehabilitating manual scavengers to push people to convert their dry latrines. The effectiveness of one goal thrived on the effectiveness of the other.

Team Building: The concept was developed and planning was done by DM. During the course of campaign, the strength of the Initiative rested on the intensive deliberations and informed decision making among the district, tehsil, block and village level officials and workers. Beginning with the district officials (CDO, ADMs CMO, DPRO, DSWO, BSA, DSO); tehsil officials (SDMs) and block officials (BDOs) in joint meetings, District Magistrate was able to impress upon the point that issue of dry toilets and manual scavenging is not any individual's agenda but it is an issue of District prestige. Accordingly teams for each tehsil and block were formed with district level officials as nodal officers. To carry out the task in such a large number of villages, a strong educated and motivated village level team was also required and the team was formed with village pradhan & Panchayat Sachiv as leader and BDC member, primary school teachers, shiksha mitra, ANM, Anganwadi worker,

ASHA, Rojgar Sewak, ration dealer, lekhpal, safai karmi, as key members.

Secondly, workshops at the block level were conducted under the leadership of District Magistrate & ADMs with village level team. As rule village level workers were required to construct pour flush latrines in their houses and set examples for others. At later stage village pradhans and other team members doing good work were honored in open meetings to motivate others.

Awareness Meetings in Villages: District level nodal officers along with their respective tehsil and block functionaries organized series of workshops and open meetings, numbering around 500 in all, in the villages to orient the masses on the ill effects of dry latrines and other issues of health, hygiene and sanitation as also of the legal implications and penalties of having dry toilets and engaging manual scavengers

Manual Scavengers and Daliya Jalao (Burning of Baskets): Among Manual Scavengers there were mainly three types of groups: some were forced to take this work due to lack of any other employment opportunity, some wanted to get rid of this but the people in their villages having dry latrine forced them to continue and some others did not saw any taboo or any social evil attached to this work. To all of them rehabilitation package was provided so that their dependence on this work could be mitigated. Any person found restricting any manual scavenger from leaving his job, was dealt very strictly within the existing provisions of law. The influential people from Balmiki community were also contacted and mobilized. The posters developed by them were got printed and they were provided with vehicles for moving to distant places using IEC fund. The poster named Naya Savera brought a new morning, as its name meant, to many villages.

But for all of them what was most important was to counter the hegemony and destroy the legitimacy that the society has given to manual scavenging through centuries of oppression. It was necessary to liberate manual scavengers not only physically but also psychologically so that they do not fall into the slavery of dry latrine users and clutches of manual scavenging again. The wicker baskets and brooms which are used to collect and carry human excreta are the primary symbols of slavery and the mark of scavenger's identity. Hence it was decided to collect baskets and brooms and as a final NO to manual scavenging in that village burn it in front of everybody. It ended their century long bondage with scavenging work. It was like a bone fire celebration of freedom for manual scavengers.

Rehabilitation of Manual Scavengers: There has to be a rehabilitation package that not only assimilates 'them' into the main stream but also creates avenues of social inclusion. So it was decided to provide them with a rehabilitation package at their door step to gain their confidence. They were given benefits of various schemes such as loan schemes (SCP, SGSY), MNREGA, TPDS, pension schemes, special scholarship for children, Rural housing schemes and skill up-gradation training. It is utmost important to get the children of manual scavengers enrolled and study in the schools so that the differences that are generated right from the childhood are minimized. They were given special scholarship at the rate of Rs 1850, not given till now merely because of denial of existence of scavenging work, and it was ensured that they sit and have MDM with other children. Two components were deliberately introduced into the package of rehabilitation: one was the provision of flush toilets in houses of manual scavengers and another training them as masons which not only ensured a benefit for them but also ensured that they were their own change agents.

Reducing cost of toilet: Super structure of the existing dry toilets was used. Material required for construction was arranged in village itself so as to reduce hassles and extra cost required in going and buying in small quantity. Beneficiaries themselves were used as labor and money was given once they dug the pit.

Fund management: Initially funds for incentive money were available for only around 6000 toilets. It was found that part of funds released under TSC to various village Panchayats during the last 5 years were unutilized. Such villages were identified and funds were reallocated. Thus an amount of around Rs 15 million was recovered and given to the BPL families at earlier rate of Rs.1500 under TSC, which was hitherto not even known to not have been spent.

Monitoring and review: District Magistrate had ensured the daily assessment of progress by e-mails, every evening and over that used to discuss telephonically with BDOs. Regular meeting with district level officials SDM(s), BDO(s) were held to review progress, remove obstacles and impart new and innovative ideas. Extensive field visits were done to check the effectiveness of strategies planned and also to get innovative ideas. WHO, UNICEF, Media and peoples representatives were used as independent source of feedback. As was necessary in such a voluminous work, any shortcoming brought to notice was immediately rectified and mid-course correction was done as and

when required. A blog was also created which gave daily updates of ongoing activities.

2. Work Done

1. With the liberation of 2750 Manual Scavengers, the district is now free from the inhuman practice of manual scavenging. These manual scavengers, their children and family members have been successfully linked to government schemes and programs, and have also engaged in alternative trades like mason work; other skilled labor works; buffalo keeping for which loans and training were being imparted. Their children have been enrolled in school and given special scholarship
2. The Initiative has been successful in removing the existing 50000 dry toilets and converting them into Pour Flush latrines with 100% usage
3. During the campaign approximately 7,000 village level government functionaries have constructed their own toilet. They set example for other villagers and generated positive atmosphere for the elimination of open defecation

3. What worked/What didn't

Achievements

1. Problems have been highlighted at national level and other districts have been forced to accept harsh reality
2. No polio case in the District since Feb 2010 as compared to 52 in the year 2009
3. The users of dry latrines and people of villages are feeling the extinction of flies that used to be there in their houses and report that their houses and streets no more stink with the foul smell of human excreta. The impact of this on health is very obvious and has historically shifted the paradigm of health and sanitation conditions in those villages
4. Before the start of campaign nobody was ready to build toilet with the government support of Rs.1500. But as a result of campaign now everybody is ready if he or she gets Rs. 1500 support. This is evident from the fact that Rs. 15 Million released earlier to villagers and were unutilized of 3-4 years were used fully and there was shortage of funds.
5. Reports have provided that there is a sharp decline in the epidemics in the villages this year. The initiative has also contributed in identifying the actual beneficiaries of government schemes and services and in ensuring that these services reach the actual beneficiaries on time and at their doorstep. This is evident from both the proactive

rehabilitation of manual scavenger and beneficiaries' selection and money distribution to them under TSC in open meeting. For another example, over 1300 BPL and antyodaya cards of ineligible people were cancelled and given to deserving scavengers

- 6 Participatory approach has contributed in the capacity building of masses to raise their voice and get their due entitlements. The initiative has proved that participatory approach works and yields more results. It has set an example of participatory and convergent district planning

Improvement Opportunities

Complete rehabilitation is long term process and there is also a scope for improvement in the type of vocational training given to liberated manual scavengers.

Lessons Learnt

The initiative demonstrates that if the strength of government machinery, available at the village level in the form of village level workers, is channelized properly and the fact that they are from the village and part of village level community, district administration can become a change agent in any field.

4. Replicability

A recently public census report has shown around 20 lacs insanitary toilets (dry toilets and toilets in which human excreta is washed away in open drains) in various states of India and chances are that even this in less than actual figures. This means around 15-20 million people facing worst kind of health hazards and few lacs people engaged in manual scavenging. The initiative is sustainable and transferable because Total Sanitation Campaign which is a national flagship program of Government of India has been the focal point of this. Major components of the initiative are taken from various government schemes which exist in every district. The strength of replicability also lies in the fact that available government machinery, infrastructure, programs and services are sufficient enough to engineer the process of dry toilets conversion and liberation of manual scavengers. Only a push is awaited. Then DM of Budaun Mr. Amit Gupta himself replicated this model in his later postings as DM in district Bijnor & Pilibhit. Budaun model has been presented, appreciated and adopted at state and national level workshops organized for elimination of manual scavenging. Learning from the Budaun experience, districts such as Gautam Budhh Nagar, Ghaziabad, Firozabad, Bulandshahar, Meerut, Farrukhabad, Muradabad, Bareilly etc. have started the program and some others are in the process of doing so.

5. Conditions for Replicability

1. In areas having manual scavenging
2. In other places to end practice of open defecation

6. Conversion to Training Tool

Is a Teaching/Training Tool ready on the subject presented in the case? Yes

If ready, is it already being offered? No

If not, what further work is needed to develop the same?

Tool is under preparation and is almost ready. It is in case study form & is being developed by Department of Administrative Reforms & Public Grievances, Government of India.

Behavioural Science Based Application to Influence Sanitation Behaviour

Ram Prasad¹, Alok Gangaramany²
FinalMile Consulting Pvt Ltd

Author's role in the presented case study-

1. Project Manager
2. Behaviour Specialist

Activities done by the Author personally-

1. Project Management
2. Planning and conducting the research and Designing of solutions.

2. Case Background

Building toilets for over 50% of India's population that defecate in the open is the primary goal of the Nirmal Bharat Abhiyan (NBA), the flagship scheme of Ministry of Drinking Water and Sanitation. The goal of the Nirmal Bharat Abhiyan on which 6140.2 Cr has been spent in the year 2011 alone is an "open defecation-free society". The numbers under TSC indicate that over 9 crore household toilets have been constructed which covers over 70% of households.

However, in a joint exercise conducted by World Health Organisation and UNICEF in 2011, about 66% of India's rural populations continue to defecate in the open.

Toilet usage is clearly lagging behind and large numbers of newly built toilets remain unused or partially used. In particular, majority of men and children continue to defecate in the open. Merely building toilets isn't going to solve the problem. Efforts are needed to drive regular usage. The problem is not economical but needs to be handled at the behavioural and social level.

3. Approach Taken

The wicked problem of Sanitation

Wicked problems are problems where defining the problem itself is a challenge. As a result, there is a high degree of subjectivity in everyone's perspective of the problem as well as the solution.

Sanitation practices we know have evolved over years. The behaviour is a consequence of multiple environmental factors such as infrastructure, education, lifestyles, and social norms. The history associated with the problem also leads to multiple beliefs. For example, we could argue that defecating in the open is a natural activity and using toilets is more a modern and unnatural act. On the other hand, we also know that the practice even though done individually negatively impacts the collective.

With such varied arguments for the same problem, it is important to have a non-traditional approach in tackling the issue. Standard linear processes of following an orderly and linear 'top down' process i.e. working from the problem to the solution are not effective for such problems.

The current awareness led communication approach has had a limited impact; a new and unique approach is needed. FinalMile has used its Behavioural Science expertise based on emerging fields of Cognitive Neuroscience & Behavioural Economics to tackle this problem.

An opportunity-driven approach in which problem solving and learning are tightly intertwined would lead to better outcomes. The approach includes understanding people's emotions, mental models and then influencing them by planting multiple experiments, testing prototypes etc. All solutions also need to be tested for both impact and feasibility.

FinalMile has used this approach to deal with the problem of sanitation. We have implemented and tested experiments designed on behavioural science principles. A final package of solution has been designed that will be piloted in 5 villages in Davangere district of Karnataka.

After the completion of the Pilot, the solution will be scaled up across the state.

4. Work Done

As part of this project, 5 members of FinalMile team conducted 2 rounds of observational research followed by 2 rounds of experimental research over a period of 6 months.

Research footprint covered 17 villages in the Davangere district of Central Karnataka and 14 villages in the Gulbarga, Bidar & Yadgir districts of North Karnataka.

Initial research was largely ethnographic in nature where we identified different contextual factors that influence sanitation behaviours and also looked for positive deviances in the community.

Key research insights:

1. Open Defecation as a practice has been present in the villages for generations and is an acceptable social norm.
2. People built toilets not with the intention of usage but due to a number of external factors such as

increasing peer pressure, utilising subsidies and building new assets.

3. While Open Defecation is a habit that people have developed over the years, there is also an initial sense of unfamiliarity that causes anxiety – which way to sit? How long before the pit fills up? What is the process once it fills up? What will it cost to clean the pit? This leads to the mental model that Toilet is a depreciable asset. The less we use the longer it will last.
4. Unlike the context of big cities where underground sewage pipelines take away the waste from individual household toilets, toilets in the rural space use pits / septic tanks placed below the actual structure to store this waste. Since the villagers are involved during the construction process, there is an inherent emotion of disgust associated with the idea of “shitting in my backyard”.
5. Usage of toilets is thus limited to exception cases such as emergencies, sickness, rains etc. Other external factors like open space constraints may lead to women using toilets. Men, however, continue to defecate in the open.
6. Patterns observed across the Positive Deviance behaviour of where toilets were built and used – Commitment and Personalisation of toilet that improves the overall experience of toilet and makes it more familiar and likeable.

Experimental research was conducted in two phases across the villages in Gulbarga & Yadgiri district.

These villages based on 2 key parameters:

- Observed pattern of mixed usage (partial to none)
- Significant coverage (50% or at least 100 toilets) in each village

The first phase of experiments was designed based on the following levers:

1. **Familiarity & Likability:** Familiarity of a place reduces the anxiety associated with usage and visual alienation of new asset. The emotion of disgust is associated with avoidance tendency towards the source / stimulus. Reducing disgust associated with the space around toilet can mitigate this action tendency. Increasing Likability mitigates negative emotions such as Disgust.
2. **Managing Uncertainty:** Reducing anxiety associated with usage and maintenance of toilets - filling up of pit, etc. can improve toilet usage.
3. **Habit:** Managing the cognitive load associated with toilets by making it a non-conscious habit.

4. **Commitment & Consistency:** Increasing commitment towards toilet maintenance and usage can influence the behaviour positively.
5. **Shame:** Using shame, a powerful social emotion, to make Open Defecation a shameful activity.

Following 2 experiments were implemented in Phase 2:

1. **Implementing a Toilet Catalogue** (Convenience, Commitment, Ease Cognitive Load) and **Activating Social Norms:** Campaign approach that uses education & awareness on how individual behaviour impacts the collective as a trigger, builds a commitment towards usage at social level, followed by instilling private acceptance and building feedback using internal references group members.
2. **Breaking misperceived social norms & commitment:** Breaking misperceived social norms around Open Defecation, committing to near term goal and using catalogue as means to increase convenience

Based on the research outcomes, the Pilot has been proposed. The Karnataka state administration has approved the pilot idea as well as the implementation plan.

The current IEC campaigns tend to be lecture-based and usually non-engaging. Using ‘Play’ as a means to communicate is a much better medium to facilitate learning and behaviour change. As part of the Pilot, a Games Truck is being proposed with the following purpose:

- a. Managing negative associations with the toilet
- b. Introduce the catalogue items
- c. Connect the villagers with the RSM / retail stores to buy the catalogue items
- d. Facilitate empirical learning in rural schools with regards to sanitation
- e. Facilitate creation of new social norms in the villages

In the village:

The truck will be equipped with a set of engaging games with the target participants as men and children in the villages. There will be an IEC coordinator, who will execute the games in each village in a time frame of approximately 90 minutes per village. At the end of the games, the participants will be provided with the catalogue flyer that includes the name of the retail store, the catalogue items and the price of catalogue items. The RSM / retail store owner will be introduced in the IEC campaign so that

he can take the orders for the catalogue items on the same day.

At the schools:

The IEC coordinator will collaborate with the school teachers to rename the school breaks as “Toilet Breaks”, update the timetable in children’s notebooks and display it in common areas and install posters that direct students towards the toilet. The teacher can use the audio/ video equipment to narrate sanitation related stories as a classroom session for a maximum of 100 students. The teachers will then distribute the homework survey questionnaires that require students to run the survey with about 5-10 households in the villages. The homework needs to be handed back to the teacher the following day. This survey will be executed periodically.

5. What worked/What didn't

Each phase of the experiment was monitored for a period of 2 to 3 weeks. As the research is primarily qualitative in nature, we looked at directional outcomes of the experiments.

Key outcomes in Phase 1 of the experiment:

- 1. Familiarity & Likability:** The familiarity experiment resulted in change of the value perception of the toilets. The toilets where the experiments were carried out were much better maintained than the others.
- 2. Habit:** The habit experiment performed in the school increased the usage of the toilets – primarily the boy’s urinals.
- 3. Commitment & Consistency:** The commitment experiment resulted in a significant increase in the usage patterns.
- 4. Managing Uncertainty:** While the uncertainties were managed, they did not directly result in the usage improvement indicating that implementing this may be required but may not be sufficient on its own to result in a significant behaviour change.
- 5. Shame:** This experiment did not result in any behaviour change and that was primarily because the emotion of shame was not present within the community.

Key outcomes in Phase 2 of the experiment:

- 1. Implementing a Toilet Catalogue and Activating Social Norms:** Positive Usage patterns were observed with signifiers in 27 out of the 35 toilets indicating high usage. Toilet Usage in men also improved.

- 2. Breaking misperceived social norms & commitment:** No significant change was observed in the toilet usage pattern. Village where the experiment was performed had low availability of water which had a big negative impact.

Lessons Learnt

Key learning’s from the project:

1. Static communication without any conversation is ineffective. Since toilet usage is also a silent activity, it is critical to trigger conversations within the community.
2. Interventions aimed at individual level are effective but limited in scope at a social level.
3. Curating new social norms requires communication within the in-group.
4. While the emotion of shame was experienced only with reference to is relevant for external reference groups, it was not present within the community. Thus this lever may not be suitable for behaviour change.
5. Selection and buying of goods increases commitment towards using the toilet.
6. Interventions that happen periodically are more effective than conducting them together in a single instance.
7. Communication that is generated using in-group members (such as children) is much more effective than communication by experts from outside the community.

6. Replicability

The entire research was conducted in-context of sanitation and focused on identifying and using the fundamental reasons – emotions, heuristics, biases etc. that influence behaviour.

Considering the fundamental nature of the research outcome, the insights explain the sanitation behaviour which would be applicable across the board.

All elements of the Pilot being proposed have been designed with the intention of scaling it up across the state and then across the country. There will be extensive use of imagery and videos that reduce relying on text. This has been done to manage both the literacy as well as language issues.

The tool is expected to be ready by April 2014.

7. Condition of Replicability

In order to achieve the impact of the behaviour change, following infrastructural requirements should be met:

1. **Coverage:** Villages with at least 50% households with functioning toilets.
2. **Water:** Access to water through public taps / bore-wells.
3. **Schools:** Presence of schools around villages with toilets in a usable condition.

Contribution of the Case presented

The central and state governments have spent and continuing to invest in improving the sanitation infrastructure across the country. The TSC numbers indicate that over 9 crore household toilets have been constructed across the country and many more are in the pipeline. About 15% of budget has also been

allocated towards Information, Education and Communication (IEC).

Based on our sample research, the usage of the toilets tends to vary from 0% to at best 50%. The same situation has also been reported by multiple organisations. This confirms that the current impact of IEC is limited in changing people's sanitation habits.

FinalMile's sanitation project is contributing towards enhancing the effectiveness of the IEC campaign and ultimately increases the utilisation of Social infrastructure built under the NBA umbrella.

8. Conversion to Training Tool

FinalMile's will be building a Toolkit that could be used by any IEC coordinator related to sanitation. The tool kit will include the implementation methodology, training videos, imagery / posters and other related artefacts.

Transferring Good Business Practices in Social Development in Rural Context

Basant Kumar Jhawar
Krishi Gram Vikas Kendra (KGVK)

Author's role in the presented case study-

Guide

Capacity in which Author was associated with the case being presented-

Conceiving the idea to transfer best business practices in social development sector (rural set-up); convincing the team to take up this idea and how to use it for rural development

Activities done by the Author personally-

Use of Quality Circles in the context of Rural Development

1. Case Background:

The process of rural development needs creation of infrastructure, technology transfer, skill development, and most importantly behavior change to accept and be part of the change and make it sustainable. Policies and programmes of government are planned in top down approach, without any involvement of villagers. As a result, villagers not only distance themselves with these projects, they look at the whole process with mistrust. Lack of ownership and association has been a bane for government's approach to rural development and unimaginable amount of scarce resources have gone down the drain because of this. It has created problems in planning, implementation and sustainability and long term viability. This was the case with KGVK implemented projects as well before it ushered in the Total Village Management (TVM) model. This resulted in faulty planning, delayed execution, low quality output and conflict among user groups for equitable use and maintenance. The villagers did not associate themselves with project as their own. They did not associate themselves with either the work process or the infrastructure created. But now through TVM process KGVK's intention has been to include maximum number of villager right from the planning to implementation and utilization stage. Quality circle is one of the most important tools used by KGVK to involve villagers in solving their problems.

2. Approach Taken:

TQM is a continuous improvement process and integration of Quality in production, quality in services and quality in management processes. The TQM aims to bring about qualitative progress in various activities of

industries. Quality Circle (QC) plays an important role to achieve the objective of the TQM. A Quality Circle is a volunteer group composed of workers, usually under the leadership of their supervisors or elected team leaders, who are trained to identify, analyze and solve work related problems and present their solutions to management in order improve the performance of the organization, and motivate and enrich the work of employees.

The members of the group sit together in a meeting to discuss and solve the problems faced by them during the work. They operate on the principle that employee participation in decision-making and problem-solving improves the quality of work. The meetings are held once ortwice in a month. Through the interaction in the meetings, root cause analysis of the problem is done and the solution of the problem is brought out through a systematic approach. By adopting the solution brought out by collective and participatory mode of members, there is immense improvement in quality of production and efficiency of the workers. It helps the team to attain maximum quality produced at lesser cost and efforts.

Usha Martin Industries adopted this practice and progressed very well in terms of production, quality product and quality services. Keeping in mind the benefits coming out of best practices of corporate for enhancing business, quality of product and services, the idea was further taken forward by KGVK, CSR arm of Usha Martin Ltd., in social sector for sustainable and continuous development. KGVK for the first time adopted this idea to strengthen its Total Village Management (TVM) model in rural areas of Jharkhand for income enhancement of community & leading quality life. Based on the idea of QC group, several groups were formed at the village level; the groups are named as **TVM SamasyaSamadhanSamooh (SSS)**. Its objectives are:

1. To enhance income of villagers
2. To bring positive change in quality of life
3. To aware and motivate them about quality education of their children
4. To increase their thinking capacity for quality life
5. To avail medical facility for leading a healthy life

The **TVM SamasyaSamadhanSamooh (SSS)** also sit together at a fixed interval (mostly bi-monthly), discuss on problem, find out the root cause of the problem and chalk out the action plan in 5W, 1H and 1C (What, why,

how, when, who, where and check) format with mutual agreement and act upon it. The cycle of planning, do, check and act (PDCA) goes on. Thus they resolve their problem by own at village level using the local resources.

The Process of SSS:

A rural set up is beset with problems. But problems exist for such a long period that villagers get used to it and life continue as usual. For an outsider a problem could be so serious that life can come to a standstill without finding a solution to it. While villagers have lived with the problem for such a long time that inertia gets better of them and they don't try to address the problem.

In theory, SSS should be formed by the villagers voluntarily for solving their problems, but in practice, it does not catalyze unless they are prodded and pushed to tackle it head on. Our animators at the village level zero-in on a problem that has been existing for some time and which can be solved by mobilizing the community. The animators then find people who are directly affected by the problem and are willing to participate in the process to solve the problem. As far as possible, the process is such that people who will not only contribute in the process while being part of SSS but also be active while working on the possible solution that has been found in the SSS. Sometimes we need only women to be part of the group for discussing maternal health. If they are discussing an issue related with technology adoption in agriculture then they need a diversified group of men, women, young and old as agriculture is a family affair. Wherever it is needed representatives from panchayat are also included in the SSS. Those who don't show much enthusiasm in the process or are not impacted by the problem that is going to be discussed, are generally not included in the process unless their contribution during the process of discussion is deemed to be valuable.

Only one issue is discussed in a meeting of SSS. Issues can be varied like, hand-pump repairing, mortality in poultry, maintenance of pump for lift irrigation, gambling prevention, etc.

In the meetings of SSS brainstorming helps to reach the bottom of the issue. The brain storming session is held with one person in-charge of the process and he/she ensures that each person gets to speak on the issue. If any person does not have anything to say then he/she passes on. The next person puts his/her point. In the process of discussion, participants are requested to not laugh at or deride points raised by fellow members. This maintenance of decorum in the discussion process is important for it to be dignified.

One of the persons is entrusted to keep note of the points raised during the discussion process. This person is quite important in the whole process as documentation and analysis of the problem is very important part of the process. This person is trained by KGVK staff on the process of documentation and analysis of problems. Some of the tools used in SSS that has been found to be quite useful by the villagers are fish-bone diagram and tally chart. The villagers are trained to segregate different elements discussed in the root cause analysis in a few broad categories. This helps in concentrating on a few issues like human resource, capital, knowledge transfer/process, etc. After analysis of the problem recommendations for implementing the solutions are chalked out. Responsibility of work is divided among members to see that solutions found after discussion are implemented properly. In the next meeting follow up of the implementation plan is done.

It has been observed that if problem taken up is small and affects the people involved then it is implemented properly. If the problem taken up is of bigger scale which needs concerted efforts for a long time then it fizzles out. Another important thing found to be useful is to involve every member. Domination of one or two members works against the democratic principle of SSS.

Our village animators have been entrusted with the task of monitoring the activities that has been planned. Sometimes he/she needs to prod and push members entrusted with the task. It has also been observed that there are some peak seasons for work in the agricultural cycles. They are more willing to take such work during off-season. But many times when they need to tackle some problem urgently for their agricultural activity it is useful to do it sooner rather than later.

3. Work Done:

KGVK has taken the concept of **TVM Samasya Samadhan Samooh (SSS)** to more than 75 villages of Jharkhand till date. The organization is in the process of strengthening these **TVM SSS** so that community can take the ownership of the problems they face and find solutions. The history of interventions in these villages is such that villagers look for monetary and/or physical benefits out of any association with outside world. Since there is no apparent tangible benefit out of formation or being part of **TVM SSS**, it was difficult to convince villagers to be part of this. Regular interaction with villagers and in most cases solution found to some lingering problems has helped develop confidence in villagers about the process. Another notable thing is that women have been found to be more enthusiastic in participating in **TVM SSS** than male members. After

working in more than 50 villages it seems that we just taken baby steps before villagers can start using *TVM SSS* approach to solve problems on a regular basis. This will not only develop confidence among villagers about their ability to solve problems and organize them, it will also sow the seeds of cooperation and collective action among villagers.

Some incredible solutions brought out by *TVM SSS*

Problem: To increase productivity of Paddy cultivation at Madhukama village

Solution: The chief occupation of farmers in this village is paddy cultivation. Despite hard work and good rains in the region the farmers were not able to reap high yield in the entire farming season. This problem of low rice production was discussed by members in the *TVM SSS*. Through the various steps of *TVM SSS*, it was brought out that the low yield is due to faulty and outdated farming procedures.

Members suggested that by adopting new technique/methods we can increase our production. They decided to adopt System of Root intensification (SRI) method in farming. Through this method farmers increased their quality and approximately doubled their production of paddy.

Problem: Unscrupulous practices in prices of farm products at Hetkanchi village

Solution: The villagers received very low prices for their farm produce due to the unscrupulous practices of middlemen. The members of *TVM SSS* discussed over this problem and came out with the idea that if we could get perfect information of market price of each product every morning then we would sell our produce at the market rate and thereby increase our benefits. Members suggested about installation of *Gyan Pattika* (Knowledge Board) in village, where the daily market rates of each produce is written.

Farmers in the village developed the habit of consulting the rates on the *Gyan Pattika* before selling. Now they are greatly benefitted and get reasonable price for their produce.

Problem: Health hazards due to unsafe drinking water and waste water logging in Madhukama village

Solution: The people in this village are dependent on well and pond for drinking water. These sources of water are open and contaminated as a result there were many case of Diarrhea.

Due to improper discharge of waste water from households there was water logging at several places in the village that caused spread of Malaria.

The *TVM SSS* did the root cause analysis and came out with the solution for essential embankment and covering of the wells. They also suggested using chlorine pills and adopt the habit of boiling water before drinking. After this practice, cases of diarrhea have gone down.

Members came out with the solution to divert the waste water of household in kitchen garden and make soak pit. This practice resulted in proper management of water and controlled spread of mosquito in the village.

4. What worked?

We have been able to scale it up to more than 75 villages. We have not found any extraordinary difficulty which is not there with any other technology adoption process. At the conceptual level it fosters cooperation and collective action for problem solving at the village level and at the same time planning is taken to the grass root level so it may take some time but once villagers are convinced it becomes effective. If there is lack of cohesion and will power among villagers the process may take more time but with sustained effort it will work.

6. What does not?

Works that are influenced with vested interest and personal motive are not suitable for the *SSS* since it is based on democratic principles. It is not a demand of any kind made by the members of the group. Since it is based upon the collective efforts of solving a common problem, it loses its effectiveness in a situation of demand. It isn't an advice plan as it doesn't adhere to the advice of any single participant instead it does the analysis of all the suggestions and thereby reach conclusion.

This isn't applicable for making financial plans too.

The pre requisite of *SSS* group is a positive frame of mind and progressive outlook that is willing to accept positive changes in life.

Learning:

1. It provides simple method for solving problems
2. It's a cooperative and collaborative mode of working that develops team spirit
3. Provides chance to every individual member in problem solving
4. The Brainstorming session stimulates the members in thought process
5. Improves quality of life with lesser inputs, efforts and local resources

6. Develops feeling of accountability for work
7. Enhances work efficiency
8. Develops ownership towards developmental work and leadership quality

7. Replicability:

The **TVM SSS** could play a significant role in strengthening the Panchayati Raj institutions at the grass root level. The formation of such groups will help in regularizing and standardizing the processes in official work of Gram Panchayat, Ward and Zila Parishad. The representatives of the village through their active involvement in the process can go into the root cause analysis of the problems that causes hindrance in the developmental process and thereby bring about sustainable and scalable progress.

This procedure is apt for government, private, other institutions and NGOs. It encourages systematic, simple and democratic way of working and giving equal opportunity to all stakeholders. The process enhances work efficiency and appreciation of local knowledge.

8. Conversion to Training Tool

Is a Teaching/Training Tool ready on the subject presented in the case? Yes

If ready, is it already being offered? Yes

Project Back to School: Enhancing Teacher Education through Collaboration

Akanksha Thakore Srikrishnan
R N Podar School

Author's role in the presented case study-

Project Lead

Capacity in which Author was associated with the case being presented-

Associate: Strategy, Innovation, Training

Activities done by the Author personally-

- Conceptualized the project design
- Executed the project from start to end
- Coordinated with all individuals and institutions involved
- Gathered on-going feedback and evaluation of outcomes
- Presented the idea to CBSE and Podar Education Network Chairman

Abstract

Research points to teacher quality being one of the most important factors in determining student learning outcomes. Lack of availability of high-quality teachers is a wide-spread problem in India. The pre-service teacher-training curriculum has been found to focus excessively on theory, with little inputs from schools to connect it to reality. To address this, a job-shadowing, mentor-apprenticeship program was conceived and executed by R N Podar School in partnership with Mahatma Gandhi's Pillai, K.J Somaiya, and Smt. Kapila Khandwala Colleges of Education in Mumbai.

As part of the pilot, implemented over two phases in August-September 2013 and January 2014 respectively, 73 B.Ed students spent time in the school, shadowed teachers, and were mentored by them on a one-to-one pairing basis beyond fulfilling their mandatory course requirements of practice-teaching and internship. They were hand-held by their respective mentors on lesson-planning, innovation in classroom, use of technology, exposure to the CBSE Continuous and Comprehensive Evaluation (CCE) system, assessments, classroom management, and soft skills needed by a teacher on a day-to-day basis. The trainees also had free access to the library, computer room, and other resources of the school for them to have an immersive experience. In Phase II, a skill-building workshop was organized for the trainees by the school teachers.

Each participating college decided its own parameters for selecting the B.Ed students for the program. At the

school's end, the teacher-mentors were given an orientation and involved in coming up with ideas for mentoring. While overarching objectives were agreed upon, the intricacies of the engagement were left to the individual teachers. The feedback from teachers was that the trainees were found lacking in preparation before their practice-teaching classes. This and other process-related feedback from Phase I was incorporated into Phase II; a mentor check-list was created based on collective experience. Other changes brought in to mitigate risks included mandating lesson-plan checking before the practice-class to ensure minimum quality standards, daily meetings with trainees to track mentoring effectiveness, and on-going feedback from mentors. Feedback from trainees—taken through individual, structured questionnaires and focused group discussions alike—conveyed improvement in the trainees' skills and confidence levels. The project created a win-win for all stakeholders, easing recruitment for the school in the process and building goodwill through exposure. The school has made recommendations to CBSE and proposes to approach Universities to institutionalize the core idea of collaboration between schools and B.Ed. colleges.

1. Case Background

A challenge of enormous magnitude facing the education sector today is the lack of high-quality teachers. The profession does not attract sufficient competent candidates, nor does the teacher education process produce teachers that are market-ready. In India, like in many other countries, one of the reasons for low availability of high quality teachers is that Teacher Education Colleges (TECs) and schools do not have an exchange of knowledge, skills, and perspectives. There is a clear gap between theory and practice, academia and industry. Though there is a mandated practice-teaching component for Bachelor of Education (B.Ed.) students, they are not necessarily given feedback by the school teachers, let alone provided any further exposure into practice. As a result, B.Ed. curriculum and practices are often rendered outdated and teachers who enter the workforce are largely disconnected from the classroom reality, stuck in old methods of teaching, without an understanding of what works with students in the present age. The use of technology and innovation in the classroom often exist only at a conceptual level.

2. Approach Taken

The approach taken to bridge the skills gap was of job-shadowing. Multiple studies support the idea of on-the-job mentoring for teachers as a sustainable teacher development tool. One of the methods to develop teachers into effective instructors as mentioned in a McKinsey report² is on-the-job mentoring and job-shadowing. The project created a win-win for key stakeholders – trainees who gained skills and perspectives, teachers who got a leadership experience and a chance to reflect on their own practices, the school management which enjoyed spread of goodwill and an expanded recruitment pool, and the B.Ed. colleges who were able to provide an enhanced practice-teaching experience for their students and received an infusion of fresh ideas.

A recent article in The Atlantic³ argues that not only are teacher training programs expensive, but also they do not necessarily equip teachers with real-world skills. Quoting the authors: *‘Teacher apprenticeship can take many different forms, but at its core it means pairing a beginner teacher with an experienced “master teacher” who can both demonstrate effective teaching techniques—a good transition between a lesson and independent practice, for example—and then help the beginner adopt these techniques, reflect on them, and eventually forge his or her own unique style.’* (Eger & Zuckerman, 2014)

The Model

Our model clearly supports the findings of the above article. Through a short but intensive engagement, the B.Ed. students gained hands-on experience of all the functions of a school teacher, specifically those employed with R N Podar School and teaching CBSE curriculum under the CCE. They are exposed to the use of technology in efficient organizing of their work and to innovation – with or without technology – in the classroom to make learning personalized, engaging, and

² ‘How the world’s best-performing school systems come out on top’, September 2007, McKinsey & Company

³ ‘There’s a cheaper, more effective way to teach teachers’, William Eger and Michael Zuckerman, The Atlantic. January 3, 2014

<http://www.theatlantic.com/education/archive/2014/01/theres-a-cheaper-more-effective-way-to-train-teachers/282778/>

effective. In the process, their mandatory course components of practice-teaching and internship are also partially accounted for. The genesis of the idea was at LearnShift India 2012, a national-level educational conclave organized by the school bringing together a cross-silo network of innovators working to solve educational problems. The partners for this project were Mahatma Gandhi’s Pillai’s Education Trust, Chembur; K.J. Somaiya Comprehensive College of Education, Vidya Vihar; and Smt. Kapila Khandwala College of Education, Santacruz.

3. Work Done

A partnership was established with three TECs in Mumbai who collectively sent 73 students (33 in Phase I, 40 in Phase II) to our school for practice-teaching and internship based on job-shadowing. The two phases took place in August-September 2013 and January 2014 respectively. Each trainee was paired with one school teacher who would mentor and guide him/her not just in creating lesson plans but also in understanding the CCE system, assessments, documentation, classroom management, integrating technology into the classroom, work planning etc. All details were regularly shared with the colleges (Exhibit 1). The school subject teachers gave written feedback for every practice-lesson delivered by the trainee. A skills workshop was organized by the teachers in January 2014 for 40 trainees from Phase II of the pilot. Right from the start of the project, common ground was established with the colleges, and constant communication was maintained thereafter. There were several points of differences, but they were resolved through dialogue and mutual flexibility to make things work.

Selection of Trainees

The school did not prescribe a set format for student-selection. Hence, each college used its own approach, ranging from ease of commute to the school for the trainee to command over English language and overall quality, owing to a shared perception of high standards adhered to at the school.

Mentoring Process and Preparation

To enthuse the mentor-teachers and bring in ownership of the idea, a brainstorming session was held wherein the vision behind the idea was shared and inputs taken from teachers to make the project work. With the school’s existing culture of innovation and experimentation, the teachers received the idea well. Care was taken to balance their schedule such that some of their time was freed up for active mentoring. After

the discussion, the preparation was decentralized and left to the teachers' discretion since this was the first time the school was doing this; a few broad guidelines were given along with clear objectives.

Impact Assessment

Feedback was taken from every stakeholder in the project. Feedback forms and video testimonies were used for the TECs (Exhibit 2) in Phase I that generated positive responses as well constructive criticism to help improve the process in Phase II. The mentoring idea itself received encouraging feedback from almost all B.Ed. students (Exhibit 3); the ideas for improvement mostly related to the logistics of the practice-teaching. It was also discovered that mentors differed in how engaged and proactive they were, so a feedback session was arranged before Phase II to share their experiences and ideas on mentoring with each other. Trainees found the program to contribute to their skills in lesson planning, innovation in classroom, work planning, classroom management, and softer aspects like dealing with disappointments in class etc. They also reported a rise in their confidence and self-esteem because of the mentor's support and encouragement.

Feedback from Teachers

Real-time feedback was taken from teachers on daily basis to make immediate improvements in the program. Most of this feedback was discussed with the trainee; some critical points were shared with the college as well. Apart from this, there was an internal discussion in the school with the mentors using a structured questionnaire (Exhibit 4). The overall finding was that while the attitude of the mentees was positive, they were often found lacking in preparation. Compulsions on the B.Ed. course front meant that many did not think of experimenting in the class until pushed by the mentor. A few mentees ended up making factual errors in the class while teaching, which created discomfort among our teachers and students. Many points of improvement were generated which were later incorporated in Phase II.

Changes made in Phase II

In Phase II, changes to the process were made based on feedback received to make the program more effective and smooth. The school took a lower intake of trainees, clarified expectations with the TECs and students, mandated lesson plan-checking of trainees by mentors to ensure quality in practice-teaching, put up a mentor check-list in the staff-room (Exhibit 5), held daily feedback sessions with trainees to track mentoring

effectiveness, and organized a skill-building workshop for the trainees.

Achievements

The B.Ed. students learned innovative ways of teaching and use of technology. They showed a gradual improvement in their practice-teaching through individual feedback given by their mentors/subject-teachers observing the class and gained confidence in the process. A solid relationship was established between the school and the teacher education colleges, paving the way for on-going collaboration. Already many organizations/bodies have shown interest in this project including the CBSE board, the Podar Education Network, The Teacher Foundation, and several other schools and TECs in Mumbai.

Improvement Opportunities

There needs to be better coordination between the school and college academic calendars. Much is dependent upon the University-defined schedule and structure. The school needs to find ways to incentivize teachers to take up mentoring over time. Active involvement of school students as stakeholders is needed, safeguarding their interests at all times.

Lessons Learnt

Simple collaboration between these two institutions helps improve the teacher trainee's learning. As a resource-constrained school, we learnt to take only as many trainees as we could comfortably accommodate. We learnt it is better to over-communicate than risk a misunderstanding. Commitment at the leadership level is extremely important to see the project through; it trickles down to others in the organization taking it seriously as well. Documentation should be simple and easy to do on an on-going basis, and must be prioritized to be able to learn, track impact, and make steady progress.

4. Replicability

1. Having a single point of contact for relationship-building
2. Creating enthusiasm and responsibility for an idea within all stakeholders
3. Balanced mentoring process giving clear objectives with ample flexibility for individual styles
4. On-going iteration and course-correction
5. Regular, real-time documentation of mentoring and feedback

5. Conditions for Replicability

1. Leadership commitment at both ends
2. Buy-in from enthusiastic teachers willing to be mentors
3. Supportive school students who co-operated through the B.Ed. students' practice-teaching
4. Constant communication and process iteration

6. Conversion to Training Tool

Compilation of the mentoring and documentation processes into one cohesive module and evolving a workshop out of it is under progress to convert these processes to teachable tools.

7. Any Other Aspect

The model could be tweaked based on the school and college involved. We have presented the complete paper to CBSE along with recommendations to make schools open their doors to TECs. We have also included suggestions for Universities to introduce feedback and job-shadowing by school teachers as a mandatory part of practice-teaching.

Session IV

Training/Teaching Aids

Session IV - Training/Teaching Aids

Session Chair:

Sunil Soni

Director General

Bureau of Indian Standards

The importance of teaching and training in today's day and age can hardly be over-emphasized. With ever-increasing complexity in the world that we live in, there are so many new professions that have come up and so many new skills that we all need to learn. Many of the areas that were considered specializations a few years back are becoming must-have life skills. In an ever evolving world, we are also seeing an evolution in the new areas to which quality principles are now being applied. Quality is no longer product quality, and quality is no longer applicable only to hard parameters that can be measured with physical instruments. Howsoever difficult it may be to quantify or measure, quality of service, quality of behaviour, quality of professionalism, and the quality or ability to work together in a coordinated manner is extremely significant. The IIn movement takes the view that there are principles at work behind successful collaborations and systematic ways of working. This session focuses on a question that may have befuddled many, how can we teach these qualities? For example, can we transform the way we work by developing certain principles and methods into teachable processes and fuel a movement like TQM in Japan? What courses, what modules are actually available out there in the real world that might nurture these qualities, on which many other desirable outcomes depend.



Essential Skills for Multi-Stakeholder Collaboration

Sita Rosalind Tennyson
Partnership Brokers Association

1. Case Background

The Collaboration Imperative

A multi-stakeholder collaborative approach is fast becoming the predominant development paradigm but it is a disappointing reality that most multi-stakeholder collaboration falls far short of intention and potential and there is a risk that ‘partnering’ will become discredited before it has had a chance to prove its value. On the whole, the partnering / collaboration **process** is poorly understood (by partners, donors, champions) and is often badly managed so. We have worked hard to understand why this is so and to make the case for investment in the development of partnership brokering competencies because we are confident that this makes a measurable difference to the quality, innovation, reach and sustainability of complex collaboration.

Box 1

Collaboration myths and truths – what we have learnt from working with partnership brokers worldwide	
(PROBABLE) MYTHS	(POSSIBLE) TRUTHS
Agreement / consensus is essential	Alignment / relishing diversity is more important than agreement / consensus
Stakeholders must have common objective(s)	Stakeholders must have complementary objectives and be willing to understand and respect each other’s
All depends on leader(s)	All depends on new models of leadership
Successful projects are the most important outcome	Changed mindsets, more ‘fit for purpose’ systems and innovation are the most important outcomes
Intermediaries / partnership brokers must be neutral	Intermediaries / partnership brokers must be transparent and willing to change their views if necessary
Collaboration requires compromise and being prepared to lose control	Collaboration at its best re-defines and re-builds each sector’s key roles & responsibilities
Collaboration is simple – it just takes common sense	Collaboration is complex – it takes a range of skills, patience, impatience, persistence, vision, rigour and (above all) COURAGE

Why is partnership brokering necessary?

It is common for partnerships to be highly project and outcome-focused – which is, of course, as it should be since all those involved want to see that their efforts achieve tangible goals and have impact. However, to maximize the added value of collaborating across traditional boundaries requires more than a signature on a piece of paper, it requires a considerable amount of effort to understand the drivers, priorities, imperatives, constraints and values of those working. Most of us are

quite ignorant about sectors other than our own and we therefore make judgments about others sectors based on assumptions rather than knowledge.

The views summarized in Box 2 are directly drawn from early-stage partnership building workshops in widely different contexts – including India (it is noteworthy that inter-sector prejudice is remarkably global!).

Box 2: Stereotyping of each sector by those from different sectors

Government	Business	Donors/ un	Ngo’s	Community
Bureaucratic	Profit driven	Arrogant	Demanding	Unprofessional
Buck passing	Quick fix	Latest ‘fad’	Lazy	Point scoring
Dogmatic	Hard-nosed	Overpaid	Uneducated	Self-righteous
Short-term	Self-centred	Wasteful	Difficult	Narrow focus
Inflexible	Greedy	Insensitive	Hot-tempered	Unrealistic
Controlling	Inconsiderate	Imposing	Weak-willed	Unaccountable

Many partnerships proceed without any real attempt to get beneath these stereotypes. Those involved collaborate with a degree of suspicion and/or skepticism. They more or less expect the partnership to fail and for this reason refrain from investing fully and/or relinquishing ‘behaviour-as-usual’.

A partnership broker* is an active ‘go-between’ who supports partners/stakeholders in complex collaborations in navigating their partnering journey by helping them to create a map, plan their route, choose their modes of transport and change direction when necessary.

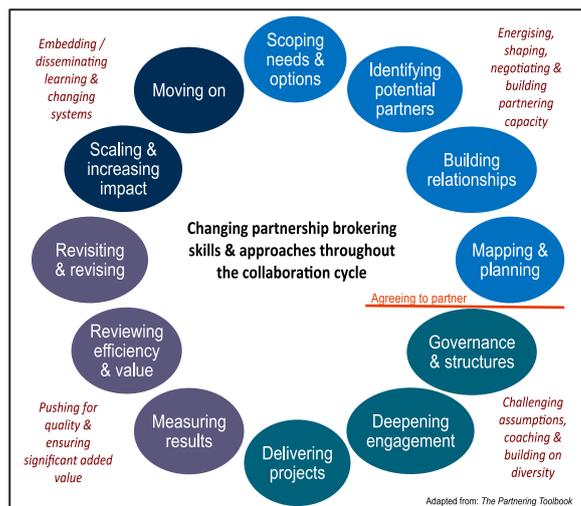
Partnerships brokers:

1. Are active enablers, catalysts, shapers and coaches
2. Operate both formally (explicit) and informally (implicit)
3. Can be ‘internal’ or ‘external’ to the partnership
4. May need to operate pro-actively and / or re-actively

5. Work at all levels (grass roots implementation to strategic decision-making)
6. Can come from any sector / professional background
7. Seek to make their brokering role redundant by empowering partners

Partnership brokering (effectively ‘process management’) is not important solely in the early stages, it can be critical throughout the partnership’s life cycle – though what brokering is required will change over time – see box 3:

Box 3:



2. Approach Taken

Partnership brokering – a new profession

What constitutes a ‘profession’? A professional is understood as someone who possesses an important and / or uncommon expertise – undertaking things that others cannot do for themselves. They are accepted because of their qualifications – typically defined by education, training and certification – that are designed to protect the public.

They are able to work with a significant degree of autonomy – trusted to do the right thing, to practice with excellence and to look after the interests of those they work with/for. Typically, professionals are affiliated to an organization that sets standards and represents their interests.

The international Partnership Brokers Association was established in 2012 based on work to develop training and formal accreditation that started in 2003. In addition to offering professional/vocational training, the Association:

1. Undertakes research, reviews, evaluation and case studies of partnership brokering in action and makes findings available in the public domain

2. Makes the case for the adoption of partnership brokering competencies by decision-makers in all sectors including donors and international agencies
3. Builds global and regional alumni networks as part of its commitment to a distributed delivery model
4. Sets and maintains standards through a professional accreditation system

As a non-profit, social business (not a charity) we operate a self-financing model without dependence on grants – when the training ‘takes off’ in a new context, it markets and funds itself.

The Association has established a code of conduct for partnership brokers– see Box 4.

Box 4: Principles of partnership brokering good practice

- ◆ Refrain from promoting a partnering process when aware of a realistic alternative that would deliver more appropriate or better sustainable development outcomes.
- ◆ Keep in touch with new developments in partnership theory and practice.
- ◆ Apply the most appropriate tools and approaches at each stage of the partnering cycle and innovate wherever necessary.
- ◆ Avoid taking actions as part of a brokering process that might involve risk without prior endorsement of these actions from all parties likely to be impacted.
- ◆ Demonstrate a responsible attitude by raising concerns of an ethical or legal nature with partners when necessary.
- ◆ Know one’s own competence limitations when acting as a partnership broker and the circumstances in which it is appropriate to handover tasks or request assistance from others.
- ◆ Take every opportunity to build partnering capacity in others in order to share or hand over the partnership-brokering role and avoid over-dependency by partners on an individual partnership broker.

Copyright: Partnership Brokers Association

3. Work Done

What have we learnt so far?

The foundation of the Association’s work is a 4-day intensive vocational training course – see box 5 for details.

Box 5:

Building Professional Competencies



Partnership Broker Training Outline/Timetable

Day 1	Day 2	Day 3	Day 4
SCOPING	BUILDING	MAINTAINING	MOVING ON
Introduction, expectations and overview of the course Making the case for a partnership approach Understanding different perspectives 'Positions' vs 'interests' Interest-based negotiation What is 'partnership brokering'? Partnership brokering challenges (1)	Designing and facilitating multi-stakeholder workshops: • Managing the first meeting • Agreeing objectives • Mapping resource contributions • Addressing outstanding issues • Reaching agreement Building skills in facilitation, observation, empathy, collaboration problem solving Formal agreement options	• Managing & maintaining partnerships • Synthesis of complex information • Understanding what happens in groups Collaboration & leadership Professional development: • What kind of partnership broker am I? • Becoming a more reflective practitioner • Partnership brokering as a profession Mapping the partnership brokering journey	Reviewing & revising a partnership – the partnership brokering role Sustaining outcomes and moving on – how do partnership brokers help? Partnership brokering challenges (2) Applications & action planning Partnership brokering – what does it take to be successful? Closing session (Finishing at 4pm)


Note: This is a basic level course, there are further courses in accreditation, training skills, research & advanced practice.

Box 6: Partnership brokering: innovation, inclusion, quality and sustainable outcomes

INNOVATION	by using the challenges of diverse / divergent interests as a springboard for dramatically different solutions
INCLUSION	by building equity and respect as a genuine alternative to command and control
QUALITY	by insisting on collaboration as a journey not a destination and making constructive critique and continuous improvement central to the modus operandi
SUSTAINABLE OUTCOMES	by demonstrating & modeling how society / the economy / the environment can benefit by real collaboration becoming the norm not the exception

To date the course has attracted individuals (1,300 to date coming from all sectors and many different disciplines) who are by nature ‘boundary spanners’ and who relish a professional training that endorses their collaboration values. Of this number, 80% are enabled to take the course through funding provided by their employers / partnerships, 20% are self-funding independent specialists.

The fact that the course itself is delivered cross-sectorally means participants confront their own assumptions and prejudices by learning alongside each other and what binds our course alumni together (across sectoral, geographic and cultural boundaries) is a shared conviction that collaboration is critical to the future of our planet.

As an Association, we are interested in ‘practice’ rather than ‘theory’ – though we work hard to build knowledge and concepts from practice. We believe the practice of partnership brokering is an approach not a formula and that it will always evolve, challenge and change.

The key to success of this course internationally, has been the building up of a cadre of trainers (who deliver the course collaboratively by drawing on their diverse experiences and their different training styles). The trainers meet face to face once a year as a global Community of Practice (our last meeting was in Goa!)

The training is informed and adjusted by parallel work in reviewing, evaluating and learning from the day-to-day work / realities of partnership brokers in action.

4. What worked/What didn't

Building capacity for partnership brokering in India

We believe that whilst every partnership is (and should be) unique to its context, the **process** of partnering is truly universal, cross-cultural and transferable. We have been told again and again that India is starting to put a high premium on effective multi-stakeholder collaboration for inclusive and sustainable growth. We believe that we can work with our partners⁴ and partnership broker colleagues in India to:

1. **Introduce the concept** of partnership brokering as fundamental to effective collaboration
2. **Support entities** operating as partnership brokers / catalysts / intermediaries to significantly improve the quality, impact and reach of collaboration in all sectors (by working with IIn / Planning Commission)
3. Help build a **cadre of qualified individuals** as a resource for those requiring these specialist skills that will ensure more efficient and resourceful collaboration

⁴ Including: Business Community Foundation; Centre for Responsible Business; FICCI; India Backbone Implementation Network (IIn); MetaCulture and the World Business Council for Sustainable Development (India) (WBCSD)

4. Undertake **practical projects and action research** to test how effectively partnership brokering competencies can be developed at all levels and how this leads to more innovative and efficient partnerships as well as more sustainable outcomes
5. **Set standards and train enough people** for partnership brokering training to take place frequently and to be able to be adapted for different groups – aiming for wide reach and significant scale

5. Training Tool

Is a Teaching/Training Tool ready on the subject presented in the case? Yes

If ready, is it already being offered? Yes

If not, what further work is needed to develop the same?

References:

Tennyson, R, *The Brokering Guidebook: Navigating Effective Sustainable Development Partnerships* (download from www.ThePartneringInitiative.org)

For more information partnership brokering, partnership brokers training, research into partnership brokering and / or the work of the Partnership Brokers Association go to: www.partnershipbrokers.org or contact PBA via email at: info@partnershipbrokers.org

Elective Course on Inclusive Business Models

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Abstract

This short paper describes my experience of developing and teaching a course titled *Inclusive Business Models* at the Indian Institute of Management, Bangalore. A first of its kind, this course talks about the challenges of addressing the needs of the economically underprivileged in a financially sustainable manner. Through a series of real life case studies, most of which I have written and published, the course engages students to apply business principles to tackle some of the toughest problems facing the Indian society such as providing healthcare, education and energy services to the poor or creating livelihood opportunities for those at the base of the pyramid. In the process, it also discusses the various tradeoffs and debates that arise when social entrepreneurs tend to balance the dual institutional logic of social development and financial sustainability.

This course was intended to fill a gap in the business school curriculum by sensitizing students, budding leaders and policy makers, to “other India” that was not yet touched by fruits of India’s rapid economic growth. I propose a course assessment framework based on intended design objectives and highlight where the course has succeeded and where it has failed so far. I hope that this would enable teachers, researchers and scholars to discuss and debate the challenges of integrating such courses in existing business school programmes, identify what might be some of the good practices and suggest ways of overcoming some of the existing shortcomings the course.

1. Case Background

Introduction: the Genesis

The Indian Institute of Management, Bangalore (IIMB) is one of the premier business schools in India. Established in 1983 by the government of India, IIMB’s goal was to prepare managers for India’s public sector enterprises, which were burgeoning under the national policy of a centrally planned closed economy. Because of various macroeconomic factors in early nineties, the Indian economy was liberalized, ushering in market forces and resulting in privatization and globalization of leading Indian enterprises. Sensing a gradual erosion of the importance of public sector enterprises under the new economic policy, IIMB reconfigured itself such that it could prepare its students for managing and leading private enterprises in a fiercely competitive and

globalized world. Within the next decade, IIMB established itself as the chosen destination for leading national and international recruiters. Such was the demand for its students among potential recruiters that every year the number of jobs offered during week long campus recruitment far exceeded the number of students in its MBA program and there were hardly any takers for job offers from public sector enterprises. This was a testimony to the fact that keeping pace with changes in the Indian economy; IIMB was able to transform itself such that it could cater to the demands of the market based economy both in terms of its problem solving and teaching competencies.

While liberalization ushered in rapid growth of the Indian economy, in the last few years it became increasingly clear that economic prosperity has not been inclusive, the so called “trickle- down effect” has remained elusive and economic disparity, as indicated by the Gini coefficient, has increased. India today has the dubious distinction of having both the largest number of billionaires and the largest number of people living under two-dollars-a day. India seemed to be having two faces – one that is liberalized, prosperous, shining and full of opportunities while the so called “other India”, that is poor, riddled in superstition and caste based preferences and devoid of opportunities. Driven by the market forces, most of IIMB’s activities, especially in its core MBA program were geared towards catering to the needs of premium national and international private enterprises – representing the shining and prosperous part of India. Naturally, its students were educated to understand global financial markets, high stakes mergers and acquisitions, brand strategy of Louis Vuitton handbags and the existential crisis of CEOs who got paid in millions rather than livelihood struggles of a push cart vendor or the technological challenges of reaching high quality healthcare to rural India.

Therefore, some of us among the faculty members at IIMB felt that even if there was no option of going against market forces, there was an acute need of informing and sensitizing students to the realities of “other India” which hardly got discussed in any of the courses during their program at IIMB. Management education at India’s premium institution would be incomplete if students passed out without having an awareness of the challenges faced by millions of Indians who lived under two-dollars-a day. We were also helped by certain events that increased the

general awareness of these challenges among management practitioners and academicians – the release of the book “Fortune at the Bottom of the Pyramid” by Professor C K Prahalad and awarding of Nobel Prize to Muhammad Yunus for his commendable work in the area of microfinance with Grameen Bank of Bangladesh. Suddenly, commercial enterprises started to look at the “bottom of the pyramid” as a potential market opportunity and the financial sector started to consider the merits of lending to the poor. While about a decade ago, talking or teaching about poverty would have labeled one as archaic socialists and out-of-sync with times, Prahalad and Yunus made these topics part of board room discussions, increasing its acceptability within the context of a business school such as IIMB.

Thus the idea of a course that discussed the problems of the poor and created scope for applying management principles to solve such problems was formed and I named it “Inclusive Business Models”. I have been teaching this course for the past three years, having completed five cycles of it and the rest of the paper is a discussion of my insights from the journey.

2. Approach Taken

The Design Philosophy

A course in the MBA curriculum at IIMB needs to satisfy the dual criteria of *relevance* and *rigor*, each of which can be further broken down into several interdependent components. The course needs to be relevant for the curriculum in MBA education, it needs to be relevant for a specific context such as India or the world and it needs to be relevant for the career aspirations of the students, which is usually aligned with the expectation of the recruiters, one of IIMB’s important stakeholders. Likewise, the course needs to develop one or more analytical frameworks that would enable students to take decisions and it should be amenable to performance discrimination and evaluation. Of late, there has also been a lot of debate about business school curriculum failing to develop the right set of *skills* that are necessary for students to apply their classroom learning as well as failing to imbue students with *values and attitudes* that are necessary to make students responsible citizens and be accountable to the entire society rather than only to their shareholders⁵. It was my

⁵ For a detailed discussion on this, see *Rethinking the MBA* by S M Datar, D A Garvin and P G Cullen, Harvard Business Press, 2010. The authors discuss a triad of *knowing, doing and being* as the desired foundation of MBA curriculum. In our case, the knowing or the

ambition to design the course such that it would be relevant, rigorous, make the students examine their values and develop some kind of skills in them that might be useful for solving societal problems.

There were three courses in IIMB’s MBA curriculum that dealt with the larger concerns of the society instead of the usual focus on competitive advantage of commercial enterprises - a core course titled *Business, Government and Society*, and two optional / elective courses namely *Economics and Development* and *Social Entrepreneurship*. Before I designed my course I attended most of the classes of these three courses to understand what might be an unaddressed space where I can position my course as well as to seek potential areas of complementarities. As their names implied, *Business, Government & Society* and *Economics & Development*, offered by the Economics department at IIMB, were courses concerned with macroeconomic forces and interdependencies between various sectors of the society. They were mostly concerned with policy implications. The *Social Entrepreneurship* course discussed social movements and some cases of not-for-profit enterprises.

I therefore decided that my course will focus on organizations that addressed the needs of the poor in a financially sustainable manner. I named the course Inclusive Business Models – *inclusive* because they addressed the needs of the poor as the most important objective and because they aspired for financial sustainability, they needed to have a robust *business model*. Their quest for financial sustainability differentiated them from not-for-profits or NGOs. Such organizations were a relatively new phenomenon because traditionally addressing the needs of the poor was considered the responsibility of the government or the NGO sector, neither of who needed to worry considerably about the challenges of financial sustainability. The government had its own source of funds while the NGOs raised money from donors and philanthropies to fund their operations.

The key unit of analysis of the course was organizations and social entrepreneurs, thus differentiating it from courses offered by the economics department often focusing on policy and macro-economic issues. Bringing in the notion of financial sustainability made the course relevant for the management curriculum at IIMB, because the aim of financial sustainability compelled these enterprises to be managed, to some extent, like commercial enterprises – reducing cost of operations,

knowledge component is being addressed by developing rigorous analytical frameworks

maximizing efficiency, and innovating to meet the needs of the markets. The business dynamics of such enterprises are significantly different from not-for-profit organizations that are dependent on donors for funding. Financially sustainable enterprises, more often than not, attracted investments from investors and not from donors, which made them conscious about returns on such investments – issues that were similar to though not identical with those faced by commercial enterprises.

3. Work Done

The Course Structure

Inclusive business models could be found in various sectors in India, namely education, healthcare, waste management and energy. The challenges of addressing the needs of the poor in each of these sectors in a financially sustainable manner are often very different from one another, resulting in different business models. Even within a sector, different organizations follow different models. For example, in order to deliver low cost healthcare to the poor, Aravind Eyecare follows a model of cross subsidy and centralized service delivery, while Vaatsalya Hospitals follow a decentralized model that does not have any cross subsidies. I therefore divided the course into modules based on different sectors where the various challenges of a particular sector were discussed over one or two sessions and some analytical framework was developed. However, there were certain themes such as deployment of technology; challenges of scaling and assessment of impact that was common across each of these sectors and such “horizontal” were discussed during each of the modules.

In order to make students intimately aware of the issues confronting founders and leaders of inclusive businesses, almost every session had a pivotal case study that was assigned as a pre-reading, along with some other readings about the sector. A majority of the sessions was devoted to discussing the case, analyzing the challenges such as those of creating positive social impact and attaining financial sustainability and debating the various means adopted by the organizations to deal with such challenges. Wherever possible, I invited the protagonist of the case to the class, who would answer queries, explain his or her motivation for founding the organization and update them about the present challenges for the organization. Since I had written many of these cases⁶, I could provide the students some

additional information and insights beyond what was mentioned in the case.

While case analysis is an effective pedagogy for learning in a business school curriculum, it was important to have elements of experiential and practical learning in this course. This, I intended to achieve through three assignments. First, the students were encouraged to spend a day where they would not spend more than INR 20 for their expenses pertaining to food. Research indicated that close to 600 million Indians spent less than INR 20 a day and this was considered as unofficial poverty line by some developmental institutes. Therefore, this exercise was intended to make the students understand the various tradeoffs that the poor needed to make in order to live their lives by spending less than INR 20 rupees a day. This exercise was however made voluntary (since it involved physical hardship and not all student might be in a position to undergo such hardship) and therefore not graded.

The second assignment involved interviewing four or five poor people where poverty was defined by households that had a daily income of less than INR 150 per day or INR 4500 per month. This was a graded assignment and was intended to give the students a firsthand impression of the conditions in which the poor led their lives, their aspirations, their means of livelihood and the constraints that prevented them from improving their economic conditions. This was a group exercise where students were given some inputs about interviewing techniques and guidelines on the questions that they needed to ask. The students presented their findings in class through creative means such as making a short film or doing role plays. This assignment also served to generate ideas about the third assignment, namely developing a plan for an inclusive business model. This exercise was intended to test the students’ ability to understand core issues about creating financially viable business models

European Business schools. I had therefore decided to write most of the case studies, which would be taught in this course. While this initiative is still in progress, I am the sole or first author of majority of the pivotal cases that are taught in this course. The research that I need to do in order to develop these case studies helps me to intimately understand the organizational and contextual challenges of the domain. Moreover, since I get to know the organizations and their leaders closely during the case development process, it enables me to be in touch with them and keep track of the organizational progress long after the case has been written. Discussing some of those events in class keeps the case and context alive and enriches the case discussion.

⁶ Indian academicians are often criticized for using cases written by academicians from the N American and

servicing the poor in specific sectors, to solve problems in groups and to come up with solutions which, though far from being complete, could be a starting point for discussions with social investors. It also enabled the students to synthesize many of the concepts that they had learnt in other courses in the MBA curriculum and to apply them in the context of markets at the base of the pyramid. Students presented their business plan in groups and their plans were graded based on their novelty, practical utility, depth of analysis, creativity, and the team's ability to understand the context.

The course also has individual assessments where students were given in-class or take-home assignments pertaining to case analysis or application of concepts learnt in class. This was necessary to abide by IIMB's academic guideline that not more than 50% of the total assessment in any course can be based on team work.

4. What worked/What didn't

Course Evaluation

Having taught the course five times during a period of three years, it is probably a good time to take stock of what has worked and what has not in my attempt to integrate a course on inclusivity into the curriculum of a business school. For the purpose of evaluation, I use a set of four categories – rigor, relevance, skills development and development of values- that are summarized in Table 1.

The course Inclusive Business Models seem to be quite relevant to the context of India that has more than 500 million people mired in poverty and it might be relevant for other nations that have large number of poor people such as Bangladesh or those from the African continent. Since it involves understanding and analyzing various management concepts that make such businesses financially sustainable, the course fits well into the curriculum of the business school. It can act as a capstone course where the students get the opportunity to integrate many of the concepts that they learnt in earlier courses. The unfamiliarity of the context can be a possible drawback. However, it is the third dimension of relevance – namely relevance of the course for careers of students- where the course is weak. Majority of students joining IIMB are young. Given the high fees that they need to pay for the course, they are eager to seek jobs that pay them high salaries. Therefore it is unlikely that they will become social entrepreneurs, as much as it is unlikely that they will be joining inclusive businesses. Thus, the course has little relevance for their careers even if there is a growing interest among consulting and private equity companies to look at issues pertaining to inclusivity. There can be a small proportion of students

who will be involved with initiatives pertaining to Corporate Social Responsibility in their respective organizations who might find this course useful.

In terms of rigor, the course in its current form has lot to achieve. While I have developed frameworks of analysis for most of the modules, unlike other courses in management, I am yet to discover an integrative framework that is able to cut across all the modules. Therefore, there is a feeling that the knowledge from the various modules might not be cumulative resulting in a learning process that is disparate and remains fragmented. This is possibly the biggest weakness of the course in its present form, something that I intend to overcome with greater theory development in this nascent field. When it comes to rigor of performance assessment, the weakness stems from IIMB's requirement of having at least 50% assessment based on individual performance. While the team based performance parameters show good results in terms of its ability to differentiate, I am yet to find ways of assessing individual efforts meaningfully. Using case analysis for assessing individual learning in a course like this somehow defeats the purpose.

Is the course able to provide 'doing skills' to the students that will be useful to them in future? Certain aspects of it such as working in teams, analyzing complexities of real life situation and planning to solve problems of the poor while developing their business plans seem to be achieving that. However, lot more can be done in this aspect if students are provided with opportunities of developing actual products and services or new distribution models suitable for these markets that they can experiment with. This will require much long term engagement with the problem, greater deployment of resources from the institute and increased interaction with the industry.

Finally, does the course lead to change in values and attitudes of the students? When students live a day spending less than INR 20 for their necessities or when they meet and interview people from households that earn less than INR 100 a day they engage, even though temporarily, with a context that they were hardly familiar with. This is likely to make some impression on their mental models, their worldview, which hopefully will bring about some positive change in their values and attitudes. While there is no good way of assessing this change, I enclose in Table 2 some of the comments that I received from students which might be indicative of such change.

Conclusion

While India’s teeming millions of poor people and widening disparity is of grave concern, it also represents a significant opportunity. Possibly nowhere else in the world is there such co-existence of the problem and the talent and resources that can be used to solve such problems. However, in order to arrive at suitable solutions, India’s best and the brightest needs to be sensitized and inspired to engage with the problems of the poor. Introducing a course such as Inclusive Business Models in the MBA curriculum of India’s premier business school is an attempt in that direction. While five teaching cycles in less than three years might be too early to assess the utility of the course, this paper highlighted the on-going challenges with the intention of receiving feedback from the academic and managerial community. In the process, it proposed an assessment framework that might be used by other courses to develop a common understanding of how courses pertaining to sustainability and inclusivity can be integrated in the business school curriculum.

Table 1: How Inclusive Business Model Addresses Various Desirable Dimensions of a Course

Category	Sub-Category	How it is addressed in the Course	Qualitative Assessment
Relevance			
	Context	Relevant to context of India and other developing nations	Strong
	MBA Curriculum	Applying management principles to ensure financial sustainability, scaling	Medium
	Career Aspiration	Relevant for consulting, private equity and CSR practices of commercial enterprises	Medium / weak
Rigor			
	Analytical Framework	Developed individually for most of the modules, but not an integrative framework	Medium / weak

	Performance Evaluation	Suitable for collective assessment but unsuitable for individual assessment	Medium
Skills Development		Case analysis, business plan development, team work	Weak
Values / Attitude		Profiling of the poor, living under RS. 20 / day	Medium

Table 2: Representative Comments of Students after Field Exercises

<p>“We found that it is cheaper to buy vegetables and fruits towards evening. This is when the push cart vendor is in a hurry to sell off his stuff because he has no storage facility. Some of his fruits have already started to look stale; this is when the poor typically shop, almost like a bargain hunter. Thus, the market starts to operate at a different price point. We would have never realized this had we not been talking to the vendor in the wet market. The nutrition value and income can be increased if one could develop a low cost cold chain”.</p>
<p>“We were surprised to know that Delhi alone has one lakh rag pickers who dispose 14% of Delhi’s waste. These rag-pickers come from the poorest sections of the society, earning less than a dollar a day and bearing the brunt of all kinds of exploitation. Yet, there seems to be money to be made in this space if we can deploy the right kind of technology”.</p>
<p>“ I did not know that we were so important this makes us conscious of our responsibilities” – a student reacting to a debate on national media on whether the course requirement of living under INR 20 / day was of any use for students in an institutions like IIM Bangalore.</p>

5. Conversion to Training Tool

Is a Teaching/Training Tool ready on the subject presented in the case? Yes
 If ready, is it already being offered? Yes
 If not, what further work is needed to develop the same?

'Winning to Lead' Program of Born to Win for Canara Bank —An Attitude Transformation Process for Senior Managers

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Author's role in the presented case study-

- Consulting — We met the Executive Director of Canara Bank to understand the objectives and the key aspects they wanted to enhance in their team
- Conceptualization — We customized our process so that it would address the needs and add value to the organization
- Activation — We deployed the structured spaced experiential learning intervention, where the team comprises of not more than 30 participants.

Abstract

'Winning To Lead' Program of Born To Win for Canara Bank

Canara Bank, a Premier Scheduled Bank desired to emerge as a Global Bank with Best Practices. For a select group of future leaders, it retained Born To Win Learning Services, Bangalore for 'Winning To Lead', a result-oriented Training Program.

The Objective

The Dynamics of Banking are changing rapidly. It is the Bank that has to go to the Customers and not the other way. In this scenario, the role of the Senior Managers has to undergo a complete Mindset Change.

The "Winning to Lead" Program

Mahatma Gandhi has inspired the program: "If we can bridge the gap between what we do and what we are capable of doing, we will address all our problems." Using active experiential learning format for adults, the intervention planned was to enable participants to change their Attitudes & Behaviors towards both work & personal life and help them to reach their potential—Believe, Think and Act as 'Winners'. Our process is based on the philosophy that – A Strong Belief system creates positive attitude and behavioural pattern in individuals and team members, enabling them to unleash their full potential and produce optimum results. Highly Exploratory and Interactive: the process encourages free flow of thoughts and ideas which helps in

understanding the benefit of learning from others. This Self Introspective process helps individuals to discover their **Personal goals**, structure **Professional goals** and align them with the **Organization's goals**.

Desired Results

Through heightened self-confidence, it would enable the Managers to embrace emerging opportunities and achieve enhanced performance in the area of CRAR, by focusing on:

1. Communication—ensure it is clear and evokes cooperation
2. Leadership—handle change, mentor people, take decisions
3. Bridge Differences—manage self and others

Participants

72 Chief Managers, Senior Managers & Managers, in three groups of 24 each

Duration of Each Intervention

The process was deployed for the Branch Managers & Chief Managers of CANARA Bank based in Bangalore over six sessions, each session of 4 hours each on once in a week basis at the STC Bangalore.

The focus of the sessions was on implementing Bite Sized Goals. Each Session would begin by reviewing progress on Goals set and would end by setting Goals that they would work on during the week. There was a daily structured reach out program through Motivational mails.

1. Case Background:

Canara Bank is a Premier Commercial Bank in India, with a distinct track record, in the service of the nation, for over 105 years. The bank has a strong pan India presence and is recognized as a Financial Conglomerate in India. It is all set to emerge as a Global Bank with Best Practices.

The demands on the Banking sector are growing rapidly; a dynamic market place with increasing competition- the old style of Banking is being targeted. The Banks Customers are being targeted

by the competition and a whole host of financial services are being offered to them.

Deployment of Technology has also thrown up interesting challenges on employees having had to move out of comfort zones.

In this scenario, Service being provided by the officers and staff of the Bank to their Customers is the big and only differential. This requires a Mindset Change - the Bank has to now 'Go to the Customer' and not the other way around.

Born To Win Learning Services Bangalore was retained by Canara Bank for training a select group of future leaders for the program titled "Winning To Lead".

2. Approach Taken:

There was an Attitude Audit that was conducted in two phases.

In the first phase, we did a Customer walk through. We visited 30 select branches and engaged the staff and managers in simple tasks- opening an account, taking a DD and asking for a car/ bike loan. We gauged three parameters—response times, ambience of the bank and approachability of Managers.

In the second phase, we met select Managers at the Branch to do an unstructured interview to find out from them what they believed was needed to enhance Customer satisfaction.

We then shared our findings with Senior Managers and got their feedback, post which we customized our intervention to suit the requirements of the Bank.

The customization was in terms of Content, Facilitation style and also Scheduling issues. We had to be conscious of the fact that the participants had put in long tenures in the bank and some of their Attitudes would have hardened and that it would be difficult to change the same.

3. Work Done:

The three groups were taken through the process: the First from June 27 to August 5, 2011, the Second from April 11 to May 16, 2012 and the Third from February 9 to March 2013.

Sessions Break-Up:

The six sessions were patterned to cover the following:

Session 1: Positive Attitude

Deliverable: An important attribute of being an 'I CAN' Person

Session 2: Discover Self

Deliverable:

- Self-evaluation of strengths, weaknesses, attitudes and values
- Culture worksheet of the organization (What the organization means to them, how their strengths fit in with the organization's needs)

Session 3: Work SMART

Deliverable:

- Activity Management (Appreciate benefits of taking time out for planning. Distinguish between working on the important and the imperative)
- SMART goals (The need to set goals both in their personal life and their work life, need for goals to be SMART and Action Oriented)

Session 4: Working with Others

Deliverable:

- Expectations, Team working (Work with others in a team, get teams to work for them, delegate, motivate, and empathize with team members)
- Effective Communication (How to 'Speak' and 'Listen' using LAER technique in communication)

Session 5: Being a 'Winner'

Deliverable:

- Self-Image (The key to a confident 'I', how self-worth contributes to their Individual Growth)
- Overcoming the Fear of Failure (An easy to implement method)
- Wisdom working (The principles of WIN-WIN)

Session 6: A Final Presentation

Deliverable: Reinforce the effectiveness of the tools & focus on results

4. What worked/ What didn't:

Achievements during the interventions were seen in the following 3 areas:

- 1. Managing Self:** The participants became more Positive and Confident; realized passing judgment is a hindrance in getting support from others; took pro-active steps to improve performance.

Achievements in Managing Self

Positive thinking, self-confidence, readiness to work hard to achieve greater goals, not being value judgmental. Managed time for achieving long-term goals without undergoing pressure. I could mobilize sound loan proposals & deposits to meet my advance target ahead of time.

D R Chandramathy, Chief Manager

Earlier I was doing my job in a routine manner. We have learnt skills & techniques, which enhanced our winning ability. Discovered winning ways/ tools & hitherto hidden details of our personality. Started practicing winning tools to achieve our goals. Have actively participated in Operation Vijaypath and achieved opening of 150 accounts.

K Mahendran, Chief Manager

Confidence levels gone up, time management improved; explaining expectations explicitly & saying no to proposition. Some pending tasks distributed to all in small bites are working well.

N Ravi Kumar, Chief Manager

My happiness level has improved. Wisdom tool adoption, being positive and confidence level improved. By not being judgmental, I have been able to ensure better customer service.

Sudha Venugopal, Manager

2. Managing Work: The learning helped the participants to manage their time better; enables them to achieve the targets; complete the tasks on time; work under pressure with less stress. Their productivity and quality of work improved.

Achievements in Managing Work

Opened 251 accounts against the set targeted level of 200; mobilized retail lending proposals to the tune of Rs. 3.60 crores.

A J Hattalli, Chief Manager

Effective time management reduces pressure on the eleventh hour. Productivity: has improved at my level and also at the group level

V S Hariharasudhan, Chief Manager

Happiness, An improved person, Capable of shouldering greater responsibility; Working with confidence. Drastically improved, made a detailed list of cadre wise, section wise, staff strength for the circle as a whole in a single page for ready information.

K L Raghunath, Chief Manager

Time conscious, Goal achiever, better customer handling & Goals split to bite size chunks

T Ramesh, Chief Manager

3. Managing People: The participants involved their staff to get their work done; communicated with clarity; listened with empathy, leading to a better interaction with the customers & more business.

Achievements in Managing People

Ambiance of our branch improved by the contribution of every staff. Customers noticed change in Ambiance and appreciated

M N Muralidhara, Chief Manager

Feel better: can cope up with work pressure, organized better, understood people better. Winning techniques, which would help in realizing my dreams, achieve the targeted goals, to become a good leader. Allotting specific tasks to each employee depending upon their potential. Coordinated with card section to get a 'Credit Card' to one of the customer who helped in getting a bulk deposit.

J S Jagadeesh, Chief Manager

When the corporate objective of bringing numbers down below 31/3/2011 level is informed to down the line people, they understood and participated whole heartedly. The task got completed in 2 days, well before the presentation date. I felt very happy

K Hema, Chief Manager

Felt motivated and level of self-confidence has increased. Got solutions to many of our practical issues. Looked at the team positively and documented their contributions.

M S Muralidharan, Senior Manager

More clear in expectations. Byte size chunks concept is helpful and its practice has improved the time management. Group Dynamics has been used to attend the Job of KYC compliance.

Dr. A K Pandey, Chief Manager

Lessons Learnt

The following are some of the lessons learnt from the intervention:

1. The Management's willingness to deploy Senior Manager to undergo the intervention in spite of their busy schedule, week after week, for 4 hours a day, for 6 weeks

2. The participants' desire to undergo the Born To Win process to manage change proactively.

5. Replicability:

1. During the intervention free flow of thoughts and ideas were encouraged with a view to enriching the whole group. The group participated and interacted actively all through.
2. Aware of the challenges from competition, the participants were committed to improve overall performance by meeting increased targets; enhanced accountability at all levels; handle change.
3. The difference between a 'manager' and a 'leader' was an unexplored area to many participants.
4. While applying the learning of the sessions, the participants put forth issues in specific areas; came up with solutions; felt equipped to evaluate and respond to crisis situations in a positive manner.

5. They felt that the learning from the program helped them in bringing more clarity, better planning and reduced stress giving them more happiness and higher confidence.

6. Conditions for Replicability:

None, the program can be replicated across organizations, across levels, across regions.

7. Conversion to Training Tool:

The program has been ready as a Teaching/Training Tool and is already being offered pan India.

8. Any Other Aspect:

The program has been developed as a process focused on implementation towards desired results.

References

Mahatma Gandhi has inspired the program:

"If we can bridge the gap between what we do and what we are capable of doing, we will address all our problems."

And so has Swami Vivekananda:

"All the powers in the universe are already ours. It is we who have put our hands before our eyes and cry it is dark."

About the Organizer-FICCI

FICCI, a not-for-profit body is the country's apex chambers of commerce and industry and works very closely with the Indian Government, public and private sector on policy and capacity building initiatives. It plays a leading role in policy debates that are at the forefront of social, economic and political change. FICCI was established in 1927 and incorporated in its present form in 1956. FICCI regularly takes up research work to identify and analyze national/international best practice trends, draw implications relevant to our national context, and disseminate them widely.

FICCI Quality Forum (FQF) is a specialized training and consultancy division of FICCI and facilitates organizations in adopting best practices through training, consultancy and research. FQF has developed unique capabilities to provide training and consultancy services for effective implementation of citizen service guarantees. On its own initiative, FQF regularly approaches Government Departments to develop initiatives for streamlining their work, with special focus on capacity building for time-bound service delivery through workflow standardization, process improvement, regular monitoring, root-cause analysis, and waste elimination.

FQF regularly conducts open house, certified courses in Quality Management Systems including Environment, Food Safety, Occupational Health/Safety, and Six Sigma. It also develops and delivers special courses and modules to meet requirements for which no readymade courses are available in the market.

Participating Organizations

Accenture	Krishi Gram Vikas Kendra (KGVK)
ARTHA	L&T Institute of Project Management
Administrative Training Institute	Leema Mogre Fitness Centre
Australian Institute of Management	Partnership Brokers Association
Binty	Postal Services Board
Born To Win Learning Services	Project Management Institute
Bureau of Indian Standards	Quality Council of India
Capacity Building Initiative for Trade Development in India (CITD)	R.N. Podar School
Centre for innovations in Public Systems (CIPS)	Rajasthan Patrika
Consumer Coordination Council	Sakal
CUBIC COMPUTING (P) LTD	Sakala Mission- Department of Administrative Reforms
DAR&PG	Sequa
Department of Administrative Reforms and Public Grievances	Shri Ram College Of Commerce
FinalMile Consulting Pvt Ltd	SOFTWARE DATA (INDIA) LTD
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