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Report No: PAD1034

INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT

PROJECT APPRAISAL DOCUMENT

ON A

PROPOSED LOAN

IN THE AMOUNT OF US\$ 39.2 MILLION

TO THE

REPUBLIC OF INDIA

FOR AN

ASSAM CITIZEN-CENTRIC SERVICE DELIVERY PROJECT (P150308)

May 4, 2017

*GOVERNANCE GLOBAL PRACTICE
SOUTH ASIA REGION*

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CURRENCY EQUIVALENTS

(Exchange Rate Effective {30 March 2017})

Currency Unit = Indian Rupee
64.92 INR = US\$1

INDIAN FISCAL YEAR
April 1 – March 31

ABBREVIATIONS AND ACRONYMS

AC	Accounting Center	MDG	Millennium Development Goals
AMTRON	Assam Electronics Development Corporation Limited	M & E	Monitoring & Evaluation
		MeitY	Ministry of Electronics and Information Technology
ARIAS	Assam Rural Infrastructure and Agriculture Services Society	MIS	Management Information System
AR & T	Administrative Reform & Training	MOU	Memorandum of Understanding
ARTPS	Assam Right to Public Services	NC Hills	North Cachar Hills (now Dima Hasao)
BBNL	Bharat Broadband Network Limited	NE	North-East
BPL	Below Poverty Line	NeGP	National e-Governance Project
BPR	Business Process Reengineering	NFSA	National Food Security Act
BSNL	Bharat Sanchar Nigam Limited	NICNET	National Informatics Center Network
CAG	Controller and Auditor General	NLTA	Non-Lending Technical Assistance
CE	Citizen Engagement	NOC	No Objection Certificate
CM	Chief Minister	NOFN	National Optical Fiber Network
CS	Chief Secretary	PAD	Project Appraisal Document
CSC	Common Service Center	PCI	Per Capita Income
DC	Deputy Commissioner	PDO	Project Development Objective
DICT	Department of Information and Communications Technology	PMU	Project Management Unit
DFC	District Financial Consultants	POP	Point of Presence
DLI	Disbursement Linked Indicators	PPP	Public Private Partnership Project
DO	District Office	PRAMS	Procurement Risk Assessment and Management
DOT	Department of Telecommunications	PRI	Panchayati Raj Institutions
EEP	Eligible Expenditure Programs	PSM	Procurement and Supply Management
ESD	Electronic Service Delivery	PTBC	Plain Tribals and Backward Classes

FM	Financial Management	RFD	Results Framework Document
FY	Financial Year	RIK	Rural Information Kiosks
G2B	Government-to-Business	RTI	Right to Information
		RTPS	Right to Public Services
G2C	Government-to-Citizen	SBD	Standard Bidding Document
G2G	Government-to-Government	SC	Scheduled Castes
GoA	Government of Assam	SCA	Service Center Agency
GoI	Government of India	SDC	State Data Center
GRM	Grievance Redress Mechanism	SDO	Sub Divisional Office
GSDP	Gross State Domestic Product	SMS	Short Messaging Service
HADP	Hill Areas Development Program	SSDG	State Service Delivery Gateway
HR	Human Resources	ST	Scheduled Tribes
IA	Implementing Agency		
IBRD	International Bank of Reconstruction and Development	STEP	Systematic Tracking of Exchanges in Procurement
ICB	International Competitive Bidding	SWAN	Statewide Area Network
		TA	Technical Assistance
ICR	Implementation Completion Report	TRAI	Telecom Regulatory Authority of India
ICT	Information & Communications Technology	TTL	Task Team Leader
IEC	Information, Education & Communication	VSAT	Very-Small-Aperture-Terminal
IPF	Investment Project Financing	WPT&BC	Welfare of Plain Tribes and & Backwards Classes
IUFR	Interim Unaudited Financial Report		

Regional Vice President:	Annette Dixon
Global Practice Vice President:	Jan Walliser
Country Director:	Junaid Kamal Ahmad
Senior Global Practice Director:	Deborah L. Wetzel
Practice Manager:	Alexandre Arrobbio
Task Team Leaders:	Vikram K Chand and Mohan Nagarajan

INDIA

ASSAM CITIZEN-CENTRIC SERVICE DELIVERY PROJECT (P150308)

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PAD DATA SHEET

India

IN :Assam Citizen-Centric Service Delivery Project (P150308)

PROJECT APPRAISAL DOCUMENT

SOUTH ASIA

0000009305

Report No.: PAD1034

Basic Information			
Project ID P150308	EA Category B - Partial Assessment	Team Leader(s) Vikram K. Chand, Mohan Nagarajan	
Lending Instrument Investment Project Financing	Fragile and/or Capacity Constraints []		
	Financial Intermediaries []		
	Series of Projects []		
Project Implementation Start Date 19-Jul-2017	Project Implementation End Date 30-Jun-2022		
Expected Effectiveness Date 19-Jul-2017	Expected Closing Date 30-Jun-2022		
Joint IFC No			
Practice Manager/Manager Alexandre Arrobbio	Senior Global Practice Director Deborah L. Wetzel	Country Director Junaid Kamal Ahmad	Regional Vice President Annette Dixon
Borrower: Government of India			
Responsible Agency: Assam Rural Infrastructure and Agricultural Services (ARIAS) Society			
Contact: Telephone No.:	Siddharth Singh 91-361-2332125	Title: Email:	State Project Director spd@arias.in
Project Financing Data (in USD Million)			
<input checked="" type="checkbox"/> Loan	<input type="checkbox"/> IDA Grant	<input type="checkbox"/> Guarantee	
<input type="checkbox"/> Credit	<input type="checkbox"/> Grant	<input type="checkbox"/> Other	

Total Project Cost:	49.00	Total Bank Financing:	39.20							
Financing Gap:	0.00									
Financing Source		Amount								
BORROWER/RECIPIENT		9.80								
International Bank for Reconstruction and Development (IBRD)		39.20								
Total		49.00								
Expected Disbursements (in USD Million)										
Fiscal Year	2017	2018	2019	2020	2021					
Annual	4.875	7.725	9.90	7.65	9.05					
Cumulative	4.875	12.6	22.5	30.15	39.20					
Institutional Data										
Practice Area (Lead)										
Governance										
Contributing Practice Areas										
Cross Cutting Topics										
[] Climate Change										
[] Fragile, Conflict & Violence										
[X] Gender										
[] Jobs										
[] Public Private Partnership										
Sectors / Climate Change										
Sector (Maximum 5 and total % must equal 100)										
Major Sector		Sector		%		Adaptation Co-benefits %		Mitigation Co-benefits %		
Public Administration, Law, and Justice		Public administration-Information and communications		50						
Public Administration, Law, and Justice		Sub-national government administration		50						
Total				100						
<input checked="" type="checkbox"/> I certify that there is no Adaptation and Mitigation Climate Change Co-benefits information applicable to this project.										

Themes		
Theme (Maximum 5 and total % must equal 100)		
Major theme	Theme	%
Public sector governance	Other public sector governance	50
Public sector governance	e-Government	50
Total		100
Proposed Development Objective(s)		
The Project Development Objective is to improve access in the delivery of selected public services in Assam.		
Components		
Component Name	Cost (USD Million)	
Component 1. Technical Assistance	31.70	
Component 2. Results-based Financing	7.50	
Systematic Operations Risk- Rating Tool (SORT)		
Risk Category	Rating	
1. Political and Governance	Moderate	
2. Macroeconomic	Moderate	
3. Sector Strategies and Policies	Moderate	
4. Technical Design of Project or Program	Moderate	
5. Institutional Capacity for Implementation and Sustainability	Substantial	
6. Fiduciary	Moderate	
7. Environment and Social	Low	
8. Stakeholders	Substantial	
9. Other		
OVERALL	Substantial	
Compliance		
Policy		
Does the project depart from the CAS in content or in other significant respects?	Yes []	No [X]
Does the project require any waivers of Bank policies?	Yes []	No [X]
Have these been approved by Bank management?	Yes []	No [X]
Is approval for any policy waiver sought from the Board?	Yes []	No [X]

Does the project meet the Regional criteria for readiness for implementation?		Yes [X]	No []
Safeguard Policies Triggered by the Project		Yes	No
Environmental Assessment OP/BP 4.01		X	
Natural Habitats OP/BP 4.04			X
Forests OP/BP 4.36			X
Pest Management OP 4.09			X
Physical Cultural Resources OP/BP 4.11			X
Indigenous Peoples OP/BP 4.10		X	
Involuntary Resettlement OP/BP 4.12			X
Safety of Dams OP/BP 4.37			X
Projects on International Waterways OP/BP 7.50			X
Projects in Disputed Areas OP/BP 7.60			X
Legal Covenants			
Name	Recurrent	Due Date	Frequency
Safeguards	X		Throughout the period of Project implementation
Description of Covenant			
Borrower and Assam to: (a) carry out the Project in accordance with the Environmental Management Plan and the Tribal Development Plan in a manner and substance satisfactory to the Bank; and (b) refrain from taking any action, or consenting to an action to be taken, which would prevent or interfere with the implementation of the Environmental Management Plans and/or the Tribal Development Plan.			
Legal Covenants			
Name	Recurrent	Due Date	Frequency
Financial Management (1/3)	X		Throughout the period of Project implementation
Description of Covenant			
Borrower and Assam to have their Financial Statements audited in accordance with the provisions of Section 5.09 (b) of the General Conditions. Each audit of the Financial Statements shall cover the period of one fiscal year of the Borrower, commencing with the fiscal year in which the first withdrawal was made under the Preparation Advance for the Project.			
Legal Covenants			
Name	Recurrent	Due Date	Frequency

Financial Management (2/3)	X	9 months after the end of the relevant period	Yearly
Description of Covenant			
The audited Financial Statements for each such period shall be furnished to the Bank. in respect of Part 1 of the Project			
Legal Covenants			
Name	Recurrent	Due Date	Frequency
Financial Management (3/3)	X	1 year after the end of the relevant period	Yearly
Description of Covenant			
The audited Financial Statements for each such period shall be furnished to the Bank in respect of Part 2 of the Project.			
Legal Covenants			
Name	Recurrent	Due Date	Frequency
Project Guidance Council and Governing Body	X		Throughout the period of Project implementation
Description of Covenant			
Assam to maintain, within ARIAS: (a) the Project Guidance Council, with mandate and composition satisfactory to the Bank, and responsible for the overall management of the Project; and (b) the Governing Body, with mandate and composition satisfactory to the Bank.			
Legal Covenants			
Name	Recurrent	Due Date	Frequency
Project management unit	X		Throughout the period of Project implementation
Description of Covenant			
Assam to maintain, throughout the period of implementation of the Project, the Project Management Unit within ARIAS Society, headed by a Project director, with functions and resources satisfactory to the Bank and with staff in adequate numbers and with qualifications, experience and terms of reference satisfactory to the Bank.			
Legal Covenants			
Name	Recurrent	Due Date	Frequency
Operations Manual		30 days after the Effective Date	
Description of Covenant			

Assam to adopt the Operations Manual in a form and substance satisfactory to the Bank and implement the Project in accordance with the Operations Manual.

Legal Covenants

Name	Recurrent	Due Date	Frequency
Financial Management Manual	X		Throughout the period of Project implementation

Description of Covenant

Assam to implement the Project in accordance with the Financial Management Manual.

Legal Covenants

Name	Recurrent	Due Date	Frequency
DLI Verification (1/2)	X		Yearly

Description of Covenant

Assam to undertake a verification process in accordance with the DLI Verification Protocol and in a manner satisfactory to the Borrower and the Bank, through the independent third party entity or entities to ascertain whether the DLI Targets have been achieved for the respective DLI Period(s) under review.

Legal Covenants

Name	Recurrent	Due Date	Frequency
DLI Verification (2/2)	X	30 days after the end of the relevant period	Yearly

Description of Covenant

Assam to furnish to the Bank the reports of Independent Verification Agency (IVA) verifying the achievement of DLI targets, in form and substance acceptable to the Bank.

Legal Covenants

Name	Recurrent	Due Date	Frequency
Completion Report		4 months after the Closing Date	

Description of Covenant

Assam to provide to the Borrower for incorporation in the report referred to in Section 5.08 (c) of the General Conditions all such information as the Borrower or the Bank shall reasonably request.

Conditions

Source of Fund	Name	Type
IBRD	Retroactive Financing	Disbursement

Description of Condition

No withdrawal shall be made for payments made prior to the date of this Agreement, except that withdrawals up to an aggregate amount not to exceed \$7,840,000 may be made for payments made prior to this date but on or after January 1, 2017, for Eligible Expenditures.

Conditions

Source of Fund	Name	Type
IBRD	DLI disbursements	Disbursement

Description of Condition

Team Composition

Bank Staff

Name	Role	Title	Specialization	Unit
Vikram K. Chand	Team Leader (ADM Responsible)	Lead Public Sector Specialist		GGO18
Mohan Nagarajan	Team Leader	Senior Economist		GGO18
Giovanni Bo	Lawyer	Counsel		LEGDF
Swayamsiddha Mohanty	Procurement Specialist (ADM Responsible)	Senior Procurement Specialist		GGO06
Mohan Gopalakrishnan	Financial Management Specialist	Senior Financial Management Specialist		GGO24
Gaurav D. Joshi	Safeguards Specialist	Senior Environmental Specialist		GEN06
Simon Carl O'Meally	Team Member	Senior Governance Specialist		GGO18
Suryanarayana Satish	Safeguards Specialist	Senior Social Development Specialist		GSU06
Victor Manuel Ordonez Conde	Loan Operations	Senior Finance Officer		WFALA
Girija Sawkar	Team Member	Program Assistant		SACIN
Savita Dhingra	Team Member	Sr. Program Assistant		SACIN

Extended Team

Name	Title	Office Phone	Location
Anand Pardhy	Consultant		New Delhi

Naimur Rehman	IT/Business Process Re-engineering	New Delhi
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Locations

Country	First Administrative Division	Location	Planned	Actual	Comments
India	Assam	Assam		X	

Consultants (Will be disclosed in the Monthly Operational Summary)

Consultants Required? Yes

I. STRATEGIC CONTEXT

A. Country Context

1. **With 1.2 billion people and the world's fourth-largest economy, India's recent growth and development has been impressive, however this has been accompanied by growing inequality.** Life expectancy has more than doubled, literacy rates have quadrupled, health conditions have improved, and a sizeable middle class has emerged. Inequity in all dimensions –region, caste and gender –remains a key challenge to be addressed.
2. **Poverty rates in India's poorest states are three to four times higher than those in the more advanced states.** With a per capita income of US\$1410 (in 2011), India ranks among the lower tier of middle-income countries. Economic development and growth has been uneven and the eastern and north-eastern states have lagged behind.
3. **The North Eastern States of India such as Assam face geographic isolation and severe service delivery challenges.** Service delivery access continues to be a major challenge, arising from hilly terrain, poor connectivity and access, particularly in remote and rural underserved areas. To improve access to services, the Government of India has made notable efforts to support digitization of service delivery. However, the e-Governance reform in Assam has not kept pace with the rest of the country.
4. **The Northeast state of Assam has faced natural disasters, social tension and ethnic complexity and is now one of the most disadvantaged in India.** With a population of 31 million (38% of which are poor) and a GDP per capita of US\$383, Assam's profile looks similar to other low-income states in India.¹ Its northeastern location and dominant regional size heighten its geo-strategic importance for India. Assam has wrestled with natural disasters, social tensions, and ethnic heterogeneity, which have required exclusive focus on crisis management. Assam has 3.88 million tribal people which accounts for 12.45% of the total population and 3.72% of the tribal population in India. Tribal live predominantly in 10 districts and 90 % of them belong to eight major tribes.

B. Sectoral and Institutional Context

Access to Services Challenges from the Supply Side

5. **Assam's service delivery system is marked by limited efficiency, inaccessibility and "citizen-friendliness."** A first challenge is that the majority of processes at the district and sub-district levels are paper-based. The systems are primarily manual stand-alone systems, usually with no web-based capacities or database integration. Manual processing of applications limits service delivery efficiency because of cumbersome processes, and delays. Repeated citizen attempts to procure services and associated travel time and costs can

¹Based on a classification system developed in 1969 by India's 5th Finance Commission, Assam is identified as a special category state. Special category states are deemed to have a low resource base and limited ability to mobilize resources for development. Designation as special category provides these disadvantaged states with preferential treatment in the form of central assistance and tax breaks. In terms of per capita Assam is the third poorest state in India.

encourage rent-seeking and middlemen, which deters people from accessing services on the front end. Second, ICT infrastructure in the state remains in the early phases of development, and many regions remain disconnected from networks and telecom connectivity, limiting service access points and resulting in high personal transport costs for securing services. Third, front-line institutions, which are the citizen's window to government, may operate in a non-transparent and bureaucratic manner and lack "citizen friendliness" which can create further opportunities for rent-seeking.

6. **Front-line service delivery institutions are understaffed, fragmented and not well-understood by citizens.** The District Office (DO), headed by the Deputy Commissioner (DC), plays the lead role in service provision. There is insufficient organizational and personnel capacity in the offices of DCs and subordinate offices. The challenge of low capacity is compounded by heavy administrative burdens and wide variations in staffing patterns across district offices. In addition, most of the 31 Government-to-Citizen (G2C) Departments maintain their own individual offices, while 212 Public Facilitation Centers² and 2521 public-private Common Service Centers (CSCs) - entrepreneurial village-based service centers – provide local access to a handful of digital services ("e-services"). In sum, many essential services for the poor and vulnerable are administered through a myriad of front-line delivery institutions.³
7. **Despite the National e-Governance Plan (NeGP) efforts to provide a foundation for state-wide ICT connectivity, Assam's ICT infrastructure remains weak.** NeGP resources have provided a first step toward establishing a foundation for statewide connectivity in Assam; however, this core architecture remains operationally limited. Neither the State Data Center nor the State Wide Area Network (SWAN) is fully functional, calling for an infrastructure overhaul. Many parts of the state are not ICT networked at all. Lack of power in many areas and non-availability of communication bandwidth – below block and circle level – limit village level connectivity. While some states have chosen to finance their own last mile connectivity, others with modest resources such as Assam, are more dependent on central resources and initiatives. Lastly, NeGP did not finance horizontal connectivity – limiting communication among offices functioning at the same level as well as communication among multiple departments.
8. **Assam has had a history of difficulty in implementing e-governance projects.** The National E-Governance Project in Assam produced little by way of results as noted earlier. The State

² 212 Public Facilitation Centers were established under the e-District program of NeGP. At the District level, 27 District Head Quarters are connected to the State Head Quarters through by a primary link of National Knowledge Network of 1 MBPS with Secondary Connectivity of 2 MBPS provided by ASWANs Points of Presence (POP). There are 181 links from District Head Quarters to Block Head Quarters through BSNL leased lines of 2 MBPS for the 277 Block headquarters. Of the 304 POPs required only 165 are available through ASWAN, rest probably use Dongles. A commissioned IIT Guwahati study points to serious maintenance and installation issues with the ASWAN POPs at the Block level affecting the connectivity of Public Facilitation Center and G2C operators though frequent breakdowns and slow speed at ASWANs POPs. In our estimate based on e-District usage data less than 110 of the Public Facilitation Centers appear to be functioning.

³ Districts are divided into sub-divisions, which cover exactly the same functions as the District Office, except for planning. Sub-Divisions are in turn divided into blocks and circles. Circle Offices are mapped to the Revenue Department; block offices are mapped to the Panchayati Raj and Rural Development Department. Block offices are under the direct purview of the Deputy Commissioner (Head of the District).

Data Center is still not functional, while the state wide area network (SWAN) is incomplete with significant parts of the state especially below the level of district headquarters outside its scope. CSCs have largely failed to take-off because of poor connectivity as well as a lack of government services to offer to citizens. On the other hand, the state does have a functional State Services Delivery Gateway and the state had made progress in developing websites for major departments. The fact that NEGP failed to make much headway in Assam reflects Assam's weak administrative capacity, the low priority accorded to e-governance, and problems in managing procurement in the complex area of information technology.

9. **This project focuses on the transformation of back-end processes for reliable electronic service delivery across departments.** In terms of front-end delivery, the project intends to focus on delivering services through Public Facilitation Centers (PFCs) using existing infrastructure at the block and circle levels. Back-end re-engineering including the creation of an on-line portal to process, track, and deliver services will also make the delivery of services at the CSC level easier in the future.
10. **The project contains several elements to ensure sustainability and mitigate the risk of failure.** First, given the low capacity and associated implementation challenges in a state like Assam, it was decided to focus on strengthening PFCs at the block and circle level in this project. This would involve staffing PFCs with contract manpower to deliver fee-based services. It is expected that these PFCs will emerge as model centers, generating in the process demand for their services and ensuring their sustainability. The project will develop a PPP framework for the Government of Assam to roll-out the Right to Public Services once the success of PFCs has been established.
11. **Second, the emphasis on process re-engineering, human resource development/change management, and simplification of procedures would allow the project to complement technological change with administrative reform that was missing in the implementation of most NEGP initiatives.** The project will work initially with departments that have a high commitment to reform to generate 'quick wins'. The high-level Project Guidance Council will include senior officials from key departments to ensure cooperation across administrative boundaries. The Team intends to support the creation of a delivery unit housed in the Chief Minister's office to drive the process of change with the support of the political leadership.
12. **Third, GoA has asked the Bank to implement the project through a society that has strong procurement and financial capacity thereby reducing the risk of mismanagement considerably. The Bank will engage in intensive supervision to reduce this risk even further.** The society chosen to implement this project has received several awards for successfully implementing prior World Bank projects.
13. **Fourth, the project seeks to build demand for better service delivery by creating 'model' Public Facilitation Centers at the block/circle level that will effectively alter the expectations of citizens.** Extensive IEC work under the project should also spark greater awareness and demand for RTPS services, while the development of a variety of feedback

mechanisms (e.g., social media, SMSs, call centers) will also place decision-makers under pressure to deliver more effectively.

Access to Services Challenges from the Demand Side

- 14. Citizen access to public services is limited by geographic isolation, connectivity, and social and ethnic factors.** First, Assam's geography, topography and connectivity make service access and delivery difficult. Second, limited transport and communication infrastructure in certain parts of the state impose unreasonable costs on citizens for securing Government services. Third, social conflict in some areas has resulted in limited service delivery and development activities. Fourth, Assam's ethnic diversity makes it challenging to develop a service delivery system which can respond flexibly to different needs.
- 15. Service delivery is provider-centered with limited involvement of citizens in the process.** Citizen engagement is a critical approach to improving accountability associated with service delivery. Ethnic fragmentation has, however, limited the emergence of a well-organized civil society and constructive alliances between the state and society in Assam. This deficit has resulted in a service delivery system that is provider-centered, with less emphasis on ensuring that citizens have reliable access to services they need. There have been only limited attempts to ensure that citizens are aware of their entitlements and are informed about where to go and how to access a service or enhance their current access to services.
- 16. Effective citizen engagement towards ensuring accessible and responsive services would need to address several challenges.** They include (i) the development of key accountability mechanisms, particularly effective implementation of Assam's Right to Public Services (ARTPS) Act, (ii) targeted support to selected departments involved in key service delivery functions, and (iii) the mainstreaming of citizen feedback and engagement mechanisms. Also, it would be critical to ensure implementation of the Assam RTPS law in the six autonomous districts⁴ so citizens living in those areas can also benefit from timely, efficient, and accountable service delivery.

The Government Plan

- 17. In 2012, the Government passed the "Assam Right to Public Services Act" (ARTPS) to strengthen service delivery in the state.** Fourteen⁵ out of 31 service delivery departments participate in the RTPS initiative which aims to improve efficiency and accountability of delivery. In particular, RTPS assures citizens of time-bound service delivery and of a formal appellate process which can penalize the responsible government official in case of non-compliance. Currently, these 14 departments provide 55 RTPS services, and the Government

⁴ Autonomous councils were established under 6th Schedule of Indian Constitution to substantially administer tribal areas in the States of Assam, Meghalaya, Tripura and Mizoram; and have power to make laws related to land administration and inheritance of property, management of forest and water-resources, regulation of Jhum cultivation practice, establishing village or town committees and matter relating to tribal administration, marriage and social customs. In Assam, there are six Autonomous Councils that have been conferred with additional powers to make laws within its areas on delegated subjects.

⁵ A list of currently notified RTPS services and 14 participating departments is provided in Table A.6.1 in Annex 6.

is in the process of expanding this number. The vast majority of these services are government authorizations, approvals, licenses or certifications that citizens need in order to access basic services. The certificates are essential documentation for securing entitlements and access to core social services, such as schooling and educational scholarships, which are fundamental for the most vulnerable citizens. Citizen consultations in Assam indicated however that the implementation of RTPS needs to be reinforced, since most citizens were unaware of RTPS services and how to access them.⁶

18. **The Government of Assam aims to deepen the service delivery reforms and provide equitable access to critical services through a citizen-centered reform program.** The GoA has initiated a program to improve access to service delivery, efficiency, and accountability. The program aims to strengthen service delivery by strengthening the implementation of the state's RTPS Act; e-enabling and restructuring processes in selected departments with a large public interface; creating a network of Public Facilitation Centers to electronically process service delivery applications under RTPS, particularly at the block and circle levels; and establishing effective citizen feedback mechanisms.
19. **Targeting and digitization of the service delivery system is expected to improve access to services.** E-service delivery also marks the next step in the public sector modernization of Assam, building upon NeGP and the Department of Telecoms efforts to establish state-wide ICT infrastructure and to provide connectivity to village-level Gram Panchayats, India's rural locally-elected government institutions. Last mile connectivity, the critical link for expanding service access in rural Assam, is a core component of the Government of India's Digital India Program, which was approved in August 2014.
20. **The GoA commissioned an assessment of the bottlenecks and challenges to service delivery in the state.** These analyses, conducted through Non-lending Technical Assistance (NLTA) support by the Bank, revealed the following constraints: (i) the lack of a robust policy, legal, and administrative framework for delivery of G2C services; (ii) inadequate processes for identifying and prioritizing services under RTPS; (iii) insufficient personnel capacity and staff motivation; (iv) insufficient citizen interface and weak accountability in the service delivery mechanisms; (v) the overly complex and unclear organization and functions of District Offices; and (vi) other administrative challenges, such as inadequate resourcing. Key recommendations of this analytical work include simplification and streamlining of administrative procedures, reduction in levels for processing service delivery requests, and preparation of a comprehensive ICT plan and associated backend process re-engineering for efficient G2C service delivery. Government of Assam is expected to consider these recommendations and draw-up a Strategic Action Plan for improving service delivery.
21. **Based on these findings, the GoA has developed an implementation plan to strengthen access to public services leveraging RTPS legislation and existing e-government initiatives.** The GoA approach aims to provide citizens access to digital services through

⁶ Report on the Consultations with Grassroots Citizens Groups in Assam, World Bank, June 2014.

numerous front-line offices, CSCs, mobile phones, or even home computers, where available, while at the same time strengthening the demand side by broadening user awareness and participation across the range of stakeholders and taking measures to mitigate the effects of the digital divide. The GoA, supported by the Bank's Project Preparation Advance (PPA), has developed an Implementation Plan detailing these reforms.⁷

22. **The Government of Assam has drawn on key lessons from international e-Government experience, as well as from the successful implementation of the Right to Public Services in states such as Madhya Pradesh, Karnataka, and Bihar.** MP and Karnataka have developed effective one-stop centers to deliver services; Karnataka has led the way in developing a portal that allows for easy on-line access to many services; and Bihar has shown how political commitment can drive RTPS implementation through a high-level delivery unit. All these lessons have been explicitly incorporated into Assam's strategy to promote better service delivery through RTPS. The Bank has studied the implementation of RTPS in India's states extensively and incorporated lessons from other states, such as Karnataka and MP, in the design of this Project.

23. **Government of Assam assigns high priority on Sustainable Development Goals (SDGs) and has launched an initiative "Assam 2030 in light of SDG" to implement SDGs as *Single Holistic Synergized Initiative (SHSI)*.** The 17 SDGs adopted by the Member States of United Nations will guide global action on sustainable development until 2030; and the emphasis under this new GOA initiative would be to orient, align and synergize the existing efforts and programs of government to SDGs. Research in national and international context have demonstrated that government effectiveness and rule of law appear to have positively impacted on progress with the MDGs; and this will be more relevant in the pursuit of more integrated and aspirational goals like the SDGs. Given that the realization of SDGs is directly or indirectly related to the delivery of key services to people, the new citizen centric approaches for public services would serve as enabler to achieving SDG targets in Assam. The vast majority of these RTPS services are government certificates, authorizations or licenses that are essential to access basic entitlements by citizens with incomes below the poverty line. The project outcome would therefore contribute achieving a number Sustainable Development Goals, in particular Goal 1 (*end poverty in all its forms everywhere*). Other SDGs that the project is expected to influence are Goal 8 (*productive employment and decent work for all*); Goal 6 (*sustainable management of water and sanitation*); and Goal 11 (*make cities inclusive, resilient and sustainable*). Further, the inclusion focus of the project is directly related to Goal 10 (*reduce inequality within and among countries*); and easier efficient access to land related services by rural people will advance the *achievement of food security and promotion of sustainable agriculture* (Goal 2). Subsequent extension of project activities to health and education related services of the government is expected to impact achievement of Goal 3 & 4 (*ensuring healthy lives and equitable education for all*). It is also noteworthy to mention that the PDO and result indicators of CCSD project are in complete harmony with Goal 16 (*build effective, accountable and inclusive institutions at all levels*).

⁷ The PPA is US\$ two million.

24. **The World Bank’s contribution to the program will focus on expanding access to services and promoting citizen engagement for a more responsive service delivery.** This operation aims to support the GoA efforts to continue improving service delivery through implementation of the Assam Right to Public Services Act by building capacity of the various institutions involved and providing incentives to broaden access to RTPS services particularly with regard to scheduled areas, increase the number of notified services and incentivize the establishment of Public Facilitation Centers across the state.

Other Development Partners

25. **Over the last decade, the Asian Development Bank (ADB) has also supported important reforms in Assam, including in financial management and land registration.** Specifically, the ADB provided a US\$225 million loan to the GoA under the Assam Governance and Public Resource Management Sector Development Program (AGPRMSDP). The loan and technical assistance aimed to strengthen the capacity of the state public financial management institutions to stabilize public finances, boost economic growth and reduce poverty. In addition to improving the state's expenditure and debt management capacity, ADB funding (combined with additional National Land Record Modernization funds) has resulted in the digitization of land records in 21 districts of the state.

26. **The European Union has launched an initiative to improve access to information and delivery of public schemes in selected districts of Assam as part of a broader program in North East India.** The four-year initiative supports activities such as the use of citizen report cards, the development of a service provider handbook, the use of phone-based alerts, strengthening of RTI and grievance redress mechanisms, gender and minority audits related to targeting centrally sponsored schemes, and a targeted public information campaign. The EU-funded collaboration between local civil society organizations and district level government officials serves as a strong complement to Bank-financed activities under this Project, particularly as it relates to strengthening front-line institutions and citizen engagement in service delivery.

C. Higher Level Objectives to which the Project Contributes

27. **The Project is expected to have a positive contribution towards the achievement of the Twin Goals - eliminating extreme poverty and boosting shared prosperity- in India.** By facilitating access to services, the project will contribute to reducing the transaction cost for citizens to access services, particularly for those living in remote and isolated areas, and enhance their access to basic public services and government schemes.

28. **The proposed Operation has direct relevance to the India Country Partnership Strategy (CPS).** The CPS (FY13-17, Report no. 76176-IN) for India reflects a rebalancing of the Bank portfolio toward state-level activities especially for low-income and special category states, such as Assam. The CPS envisions extensive capacity building in low-income states in order to strengthen their opportunities for growth and development. Specifically, the CPS focuses on three broad engagement areas: (i) integration; (ii) transformation; and (iii) inclusion. This Project supports improved integration by strengthening institutional capacity and ICT connectivity in the state of Assam to increase participation in the broader economic growth of India and to facilitate South Asia-Southeast Asia linkages. The Project also addresses

challenges of inclusion by aiming to enhance citizen access to services particularly at the block and circle levels as well as in autonomous tribal districts. As RTPS services are used heavily by the poor, the Project also promotes inclusion and empowers citizens through its support of the effective implementation of the RTPS Act, which is designed to strengthen accountability in service delivery.

II. PROJECT DEVELOPMENT OBJECTIVES

A. PDO

29. **The Project Development Objective** is to improve access in the delivery of selected public services in Assam.

B. Project Beneficiaries

30. **Primary beneficiaries are the citizens of Assam, especially the poor.** The Project seeks to enable citizens to access services under the state's Right to Public Services in a timely, efficient, and accountable manner. It also seeks to ensure that citizens can apply for services through a Public Facilitation Center closer to where they reside, particularly at the block and circle levels. Because RTPS services are used heavily by the poor in order to obtain the documentation needed to access a variety of government programs and benefits, it is expected that poorer citizens will benefit from this Project. The extension of RTPS to tribal areas is also expected to benefit the state's tribal population. A secondary group of beneficiaries are the staff of departments in the Government of Assam who are involved in the delivery of selected services. Such staff is primarily involved in the back end processing of selected services and will benefit from capacity building in the electronic delivery of services.

C. PDO-level Results Indicators

31. **The following indicators have been selected to assess progress against the PDO:**

- Number of applications submitted on-line for RTPS services.
- Number of Public Facilitation Centers fully operational.

III. PROJECT DESCRIPTION

A. Project Components

32. **The proposed Project is an Investment Project Financing (IPF) of US\$ 39.2 million with a technical assistance and a results-based financing components.** The Project adopts an integrated approach to improve access and accountability, addressing both the supply-side and demand-side aspects of service delivery. Project interventions will (i) strengthen RTPS implementation; (ii) support process re-engineering in selected services; (iii) develop Public Facilitation Centers to deliver services electronically at the block and circle levels; and (iv) promote citizen engagement. The selection of services targeted in this Project is based on

government priorities, citizen consultations in underserved areas,⁸ and services of importance to disadvantaged communities.

Component One: Technical Assistance (US\$ 31.7 million IBRD; US\$ 7.925 million GoA)

33. This component will provide specialized technical assistance to support implementation of the government program and the achievement of the PDO. Eligible expenditures under this component are consulting and non-consulting services, acquisition of goods, training and operating cost. This component will provide funding for the following 4 sub-components:

- ***Sub-component 1. Strengthening RTPS implementation.*** Activities under this sub-component will include the creation of (i) a comprehensive RTPS ICT platform for automated tracking of individual service requests and appeals, actions taken by the designated officer and staff, and rule-based escalation in case of time overruns beyond the stipulated period; (ii) a Management Information System (MIS), along with institutional mechanisms, to ensure that data from the MIS is used for calibrating the implementation of RTPS, and (iii) an online portal to promote proactive disclosure related to citizens' entitlements under the Act and procedures for accessing RTPS services, as well as allow citizens to apply for services online. The online portal will leverage, wherever feasible, the existing core infrastructure and services such as SSDG, SP and e-District; and efforts will be made to align its design with the architecture of GI Cloud initiatives (MeghRaj) of Government of India. In addition, this sub-component will finance two other activities, including (iv) capacity-building to support adaptation to electronic processing, and (v) the design and implementation of a change management strategy. Finally, the Project will support the creation of a high-level delivery unit with adequate authority and capacity to drive RTPS implementation across the state. The project will provide advisory support to the delivery unit as well as assistance in monitoring. The delivery unit will rely heavily on knowledge transfers from across the Indian states as well as globally particularly with regard to the reform of processes, the establishment of the delivery unit, and the implanting of new technological solutions, including an on-line portal, data mining, electronic grievance redress, and an MIS-based monitoring system.
- ***Sub-component 2. Supporting Process Re-engineering in Selected Services.*** Activities under this sub-component will include: (i) integration of electronic approaches to G2C service delivery with 18 targeted RTPS services initially within four Departments/Agencies (Revenue and Welfare of Plain Tribes and Backward Classes, and Transport as well as,⁹ the Guwahati

⁸Areas of the State where citizens have unique access constraints and complex ethno-social-political challenges: (i) the six districts of Assam administered by Autonomous Councils under sixth schedule of the Constitution; (ii) riverine areas of certain districts; (iii) tea-tribe communities (plantation laborers in the Tea Gardens of Assam); and (iv) residents of forest villages near the state's borders.

⁹ Refer to Annex 7 for the detailed list of services in the Revenue, WPT&BC and Transport Departments, and Guwahati Municipal Corporation. Electronic service delivery will include (1) electronic submission and acceptance of citizens' applications (either at Public Facilitation Centers and/or remotely through the Portal where feasible) for all notified RTPS services. In addition, reforms for selected services will involve (i) automated electronic transmission of citizens' applications to departments, (ii) rule-based electronic workflow for back end processing by departments, and (iii) secure electronic delivery of digitally authenticated

Municipal Corporation; (ii) process simplification, such as delegating responsibilities to lower levels of government, reducing the number of supporting documents required to access services; (iii) improving the field verification system for delivery of selected services, and streamlining the issuance of digitally signed certificates¹⁰; (iv) the development of a quality management system within departmental delivery processes; and (v) the creation of an integrated electronic repository of government-issued certificates available online. The electronic repository would conform to IDCA standards and IS27001 standards on security. The project will try to leverage the State Data Centre, as and when it becomes operational and conforms to IDCA and IS27001 standards. Other services may be chosen as the project demonstrates success in re-engineering these 18 services.

- ***Sub-component 3. Setting up Public Facilitation Centers.*** Activities under this sub-component will include (i) creating about 428 Public Facilitation Centers in blocks/circles and other designated offices; (ii) equipping them with critical ICT infrastructure and reliable broadband connectivity to handle RTPS requests and deliver e-enabled selected services¹¹; (iii) hiring contracted staff to operate centers (two per center), and (iv) supporting other incidental costs (e.g., maintenance). The project will not finance any construction of PFCs which will be located in existing government buildings at the block and circle levels. This sub-component will also support the development of a Public Private Partnership and licensing framework. Beyond these, the Project would explore alternative methods such as the use of Online to Offline (O2O) mechanisms¹², in view of the limited ICT connectivity in the state. Given that the connectivity solutions under this subcomponent focus primarily on the block and circle levels, such O2O mechanisms could play a vital role in bringing services even closer to local communities. The O2O mechanism will leverage Mobile Service Delivery Gateway (MSDG) / Mobile Seva of MietY to enable service delivery on mobile devices. In addition, Citizens would have the option to access these services electronically from a nearby Common Service Centre (CSC) with reliable network connectivity. It is expected that Public Facilitation Centers will adopt a PPP mode for delivery once the delivery of services has stabilized; services will be appropriately priced as part of a fee-based revenue model to facilitate sustainability.
- ***Sub-component 4. Promoting Citizen Engagement.*** Activities supported will include: (i) a state-wide Information and Education Campaign (IEC) to publicize the provision of RTPS Act and the procedures related to accessing RTPS services; (ii) the creation of an effective beneficiary feedback mechanisms in service delivery systems, involving the development of a mobile phone and web-based citizen feedback system with respect to individual service

certificates / documents delivered at Public Facilitation Centers and/or downloaded from the portal where feasible. Standards and guidelines prescribed by MietY on business process reengineering will be referenced and suitably incorporated.

¹⁰ Support covers assessments to determine the scope of simplification as well as select implementation costs where appropriate (e.g., ensuring the use of digital signatures).

¹¹ This includes the ability to process payments electronically through Public Facilitation Centers and the portal.

¹² Online to Offline (O2O) is the principle of connecting the online digital world to the Offline world. O2O would allow services being transacted in the field using Smart Phones and/or mobile internet-connected POS terminals, which then get pushed to electronic system in batch mode when reliable network connectivity could be accessed.

delivery transactions. This electronic approach for beneficiary feedback would be integrated into the ICT platform (sub-component 1) to automatically elicit feedback after the service is delivered. Such feedback will be analyzed and used to pinpoint specific areas for further improvements; and (iii) the establishment of a call center to provide assistance to citizens in accessing services. The call center will also register, collate and forward any reported grievances to the relevant department for resolution within the stipulated time. Information on the status of complaint resolution would be a key area of focus for the Management Information System (MIS).

34. **The Project design incorporates strategic sequencing of activities to support achievement of the PDO.** The sequencing approach is summarized in Annex 2 (Table A.2.2).

Component Two: Results-Based Financing (US\$ 7.5 million IBRD; US\$ 1.875 million GoA)

35. **This component aims to support the Government of Assam to implement critical public management reforms related to delivery of public services.** Specifically, this component supports the Government's Program which aims to broaden access to RTPS services particularly with regard to scheduled areas, increase the number of notified services and incentivize the establishment of Public Facilitation Centers across the state. For more details about the activities and the expected results see Annex 2.
36. **A result-based financing approach will be used to provide incentives for achieving key results.** It will disburse upon achievement of key results as measured by the Disbursement Linked Indicators (DLIs) included in Table 1.
37. **Disbursement-Linked Indicators (DLIs):** Four DLIs have been selected for providing incentives to expand the coverage of RTPS to tribal districts; increase the number of services notified under the law; promote the setting-up of Public Facilitation Centers; and encourage the use of RTPS services by an increasing number of citizens. An independent verification agency will be procured to assess achievement of the respective DLIs.
- i. ***DLI 1: Increase in the volume of applications submitted on-line for RTPS services (US\$2.5 million).*** The Project will also incentivize citizens' increased access to services under RTPS, given that citizens are mostly unaware of the Act and how to access services under its provisions; and number of citizens accessing RTPS services is meager.
 - ii. ***DLI 2: Public Facilitation Centers fully operational (US\$1 million).*** The fully equipped and adequately staffed centers would be required to function at least six hours on all working days to receive RTPS service requests and be able to electronically deliver the targeted set of RTPS services.
 - iii. ***DLI 3: Access to RTPS Services expanded to Targeted districts¹³ (US\$2.5 million).*** The RTPS Act has not been implemented in the six Autonomous districts and formal endorsements of the Autonomous Councils would be required before an Act of the State Legislature is enforced

¹³ The targeted districts under the Project are the following six districts under the jurisdiction of the Autonomous Councils: (i) Karbi Anglong; (ii) Dima Hasao; (iii) Baksa; (iv) Kokrajhar; (v) Chirang; and (vi) Udalguri.

within their jurisdiction. The Government of Assam has initiated dialogue with the Autonomous Councils to extend the coverage of RTPS Act to all these six Autonomous districts.¹⁴

- iv. **DLI 4: Increased number of services notified under RTPS Act (US\$ 1.5 million).** The result based financing approach would also incentivize expansion of the number of services from the present 55 services to at least 80 services over the next five years. Some key services such as the issuance of ST and income certificates and income certificates would be notified as RTPS services over time.

Table 1: Disbursement-Linked Indicators (DLIs)

<i>Project DLIs</i>	<i>Rationale</i>
DLI #1: Number of applications submitted on-line for RTPS services.	Facilitate access to more accountable, effective and transparent public services by citizens of Assam.
DLI #2: Public Facilitation Centers fully operational	Facilitate access to public services through the geographical expansion of the service access center network to district, sub-division, circle and block offices.
DLI #3: Access to RTPS Services expanded to Targeted districts.	Expand coverage of Assam RTPS Act to all Autonomous Council districts administered by Autonomous Councils under the 6th Schedule of the Indian Constitution.
DLI #4: Number of services notified under the RTPS Act	Notifying additional services under the Assam Right to Public Service Act for simplified, time-bound service delivery.

38. **Eligible Expenditure Programs (EEPs):** Based on an analysis of the state budget, selected budget heads related to staff salaries in the department responsible for the delivery of most RTPS services (i.e. the Department of Revenue) has been identified as EEPs to support achievements under the DLI component. Disbursement against the DLI component will be made on an annual basis based on achievement of the DLIs as per the independent verification and the execution of the identified EEPs. Additional information on EEPs is provided in Annex 3.

B. Project Financing

Lending Instrument

39. **Loan amount, lending instrument and Project duration.** The proposed Operation will be financed by an Investment Project Financing (IPF) Loan of US\$ 39.2 million to the Government of India for the state of Assam and will include a results-based financing modality to provide incentives for results. The duration of this Operation is five years. Loan proceeds will be disbursed against the execution of specific EEPs and the fulfillment of DLIs.

Project Cost and Financing

¹⁴ The Secretaries of the respective Councils have agreed in principle to pursue the extension of the RTPS Act to the Autonomous Councils. The Secretaries are Government of Assam appointees who liaise with the Councils. The process of endorsement is as follows: The Chief Executive Member of each Autonomous Council tables a resolution in the Council extending the RTPS Act, the Council endorses (or rejects) the resolution, and the Secretary then issues a notification completing the process.

40. **Project funding.** Component one will reimburse the GoA for the following eligible expenditures: non-consulting and consultant services, goods and training, and incremental operating costs. The EEPs for disbursements under Component Two include salaries.

Table 2: Project Cost and Financing (US\$ Million)

Project Components	Project Cost	IBRD Financing	% IBRD Financing	GoA Financing	% GoA Financing
Component One: Technical Assistance	39.625	31.7	80%	7.925	20%
Component Two: Results-Based financing	9.375	7.5	80%	1.875	20%
Total Project Costs	49	39.2	80%	9.8	20%

41. The Government of Assam has already initiated some activities while simultaneously preparing for the Loan so that there is no loss of the reform momentum. To this extent, the GoA has already requested a USD 2 million Project Preparation Advance to establish the PMU and initiate some of the activities under Component 1. So far USD 400,000 have been disbursed. Similarly, the government has initiated some of the activities under the results-based component (Component 2).

Lessons Learned and Reflected in the Project Design

42. **Successful e-Governance implementation requires taking a multi-pronged and incremental approach.** This lesson comes from an analysis conducted by the Bank at the request of the GoA, which provided a strong foundation for Project design¹⁵. While the Project will strengthen RTPS as a whole, process-reengineering will initially focus on four selected departments/agencies with a large public interface but may expand to include other departments.
43. **Delivering services to the poor and excluded requires their participation.** The Bank has supported work to develop a framework for citizen engagement/feedback associated with service delivery in Assam. The work grew out of an identified weakness, notably that most service delivery in the state was conducted without beneficiary input or feedback. This work has played a critical role in shaping the subcomponent on citizen engagement. The design of this Project incorporates inputs from Project beneficiaries through consultations with grassroots civil society groups. A key part of the strategy of citizen engagement will be the conduct of awareness-raising campaigns on access to public services and the RTPS Act.
44. **Strong client engagement is critical for effective project implementation.** Experience with similar projects, including similar state-level operations in India, suggest that strong and early client engagement increases the likelihood of successful implementation. The Project indicators have therefore been designed, in close coordination with the Government, to be

¹⁵ This report was part of several background pieces on several delivery issues prepared by the Bank for GoA. See IN e-Governance in the North East - (P132645).

realistic, measurable, and achievable within the reform efforts. The number of DLIs has been limited to four to keep the Government focused on the key priorities for the Project. Verification protocols and methodology have also been discussed in great detail and designed to be as simple and clear as possible.

IV. IMPLEMENTATION

A. Institutional and Implementation Arrangements

45. **The Project will use existing state-level institutional arrangements to support the management and implementation of envisaged activities.** The Project will be implemented by the Assam Rural Infrastructure and Agriculture Services Society (ARIAS), which manages Bank-financed projects in Assam. The State Project Director of ARIAS will serve as Project Director of this Project. This existing institutional arrangement will be beneficial for coordination among GoA departments and streamlining fiduciary arrangements. The procurement and financial management specialists to be hired under the project will facilitate all fiduciary activities related to the Project, under supervision of the existing Senior procurement and financial management experts of ARIAS.
46. **The existing high level Project Guidance Council of the ARIAS Society will be responsible for the overall management of the Project.** The Council is headed by the Chief Secretary with the senior most Secretaries of all stakeholder departments associated with the project co-opted as members, such as Administrative Reforms and Training Department (AR&T), Finance, Planning & Development, Revenue, WPT&BC, and Information Technology (IT). This Council will provide strategic direction and facilitate coordination among different departments. It will also resolve any major problems that affect project implementation. The Council is an integral part of ARIAS's existing governance structure.
47. **The existing Governing Body of the ARIAS Society will directly oversee the Project and be responsible for regular monitoring.** The Governing Body will be chaired by the Additional Chief Secretary and Agriculture Production Commissioner, Assam; other co-opted members will be the Secretaries of stakeholder Departments, such as Administrative Reforms and Training, Finance, Planning & Development, Revenue, WPT&BC, and IT, among others. The mandate of the Governing Body will also include routine coordination among involved departments. It will be responsible for monitoring the Project's goals and targets on a regular basis.
48. **A senior civil servant from the GoA will serve as the full-time Project Director and will oversee implementation on a day-to-day basis.** The Project Director will serve as the Member Secretary of the Governing Body. Other key implementing entities responsible for different Project components will be the departments of Revenue, WPT&BC, Transport and Guwahati Municipal Corporation, with other departments to be included subsequently. The respective Secretaries of these departments will assist in Project management and collaborate with the Project Director on supervision of Project activities. Nodal officers in targeted departments will drive process re-engineering and/or e-enablement, using PMU-appointed staff. Authority to approve all procurement under this project has been delegated to the ARIAS Society. See Annex 3 for a detailed description of these implementation arrangements.

49. **The Department of Administrative Reform and Training (AR&T) will serve as the counterpart department for technical implementation of project activities.** However, the ARIAS society will be responsible for actual implementation of the project. AR&T will facilitate the achievement of project objectives by providing policy support for the Project.
50. **A Project Management Unit (PMU) will be established within the Assam Rural Infrastructure and Agricultural Services Society (ARIAS) to manage day-to-day implementation and** coordinate with all participating or recipient agencies and liaise with the Bank. The PMU will oversee technical inputs, consolidate required documentation, and conduct financial management and procurement related to the Project. The PMU will be responsible for ensuring compliance with the Bank's financial management, procurement regulations and safeguard requirements, and reporting to the Bank in a timely manner.

B. Results Monitoring and Evaluation

51. **The Operation will build sustainable M&E practices through the strengthening of existing systems and the use of data for ongoing monitoring and problem solving.** The Operation will strengthen monitoring systems by supporting the establishment of a dedicated M&E cell in the PMU to monitor the Project's result indicators. The Project will rely on various data sources to track progress, including data generated by the centralized RTPS platform and/or sourced from departments; feedback collected from mobile or web-based applications relating to transactions as well as information from the call center; and survey data to validate administrative data and assess citizen satisfaction levels over time.
52. **The Project will contribute to strengthening the state's monitoring system, data collection efforts, and the quality of administrative data.** During the first year of Project implementation, mechanisms will be put in place to strengthen the collection of administrative data for selected RTPS services, through alternate methods of obtaining data, such as the use of surveys of service users. As a result, possible adjustments to the results framework might be required during implementation stage.
53. **The monitoring system is designed to provide concurrent and triangulated feedback to the key stakeholders of the Project about progress towards achieving the Project's key goals.** A survey instrument will be developed to gather input from citizens using RTPS services on a periodic basis. Performance indicators, monitored by the implementing agency, will also be cross-checked with actual feedback from the Project's beneficiaries and triangulated with government data wherever possible.

C. Sustainability

54. **Commitment to reform is strong in the state resulting from a desire to address long-standing challenges related to public service delivery.** By adopting the Right to Public Services Act in 2012, the GoA established a strong legal framework for improving access, efficiency, and accountability in the public service delivery system. The Chief Minister has focused on using the Project to streamline government bureaucracy and red tape, while the Chief Secretary has provided strong leadership to establish priorities for ensuring that reforms benefit disadvantaged citizens.

55. **For further sustainability, the Project will strengthen both staff capacity and systems and take measures to ensure appropriate servicing and maintenance of Project infrastructure.** The Project will invest in staff training and development as well as systems and processes that are likely to endure beyond its life including the creation of a Budget Line for the implementation of the RTPS Act. The sustainability of the infrastructure developed by the Project will be addressed by ensuring adequate servicing and maintenance through a tightly designed Service Level Agreement (SLA) with the provider.
56. **It is expected that as the delivery of public services improves, citizen support will rise accordingly, enhancing the prospects for sustainability.** The Project is likely to benefit citizens in Assam, particularly the more vulnerable. As citizens experience the benefits of timely and accountable service delivery across a range of services, it is likely that popular support for the initiative will grow considerably. This will, in turn, make it hard to reverse the changes set in motion by the Project.
57. **The GoA is discussing the creation of a high-level delivery unit to monitor the delivery of RTPS services with its own budget, staff, and authority which will strengthen the sustainability of the Project’s key objectives.** The delivery unit will be housed in the Chief Minister’s Office and focus on ensuring the proper functioning of the RTPS Act. It will be modelled on delivery units in other states (e.g., Karnataka, Bihar) as well as countries (e.g., Malaysia, the United Kingdom). The sustainability of the Public Facilitation Centres and the CSCs will be strengthened through the dependable availability of a stream of high demand electronic Government services, priced appropriately to cover the cost of maintaining these centres. A Public Private Partnership and licensing framework will be developed under the project to guide the licensing of the CSCs and potentially the PFCs once a stream of electronic government services is established. Even now the financing model of Public Facilitation Centres are dependent partially on fees chargeable for different electronic services that is retained in the district e-governance societies. This will be examined and strengthened.¹⁶

V. KEY RISKS AND MITIGATION MEASURES

A. Risk Ratings Summary

Table 3: Risk Ratings Summary

Risk Categories	Rating
1. Political and governance	Moderate
2. Macroeconomic	Moderate
3. Sector strategies and policies	Moderate

¹⁶ At present only five services are priced at INR 30 each. These are (i) Permanent Resident Certificate; (ii) Non-Creamy Layer Certificate; (iii) Next of Kin Certificate; (iv) Permission for Delayed Birth; (v) Permission for Delayed Death. The revenue in a CSC is shared in a proportion of 62.5% for the Village Level Entrepreneur, 7.5% for the District e-governance society and 30% for the Service Centre Agency that appoints the village level entrepreneur. In the case of Public Facilitation Centres 100% of the revenue is retained by the District e-Governance Society. A quick analysis shows that the CSC’s are unsustainable if dependent purely on government e-services. At the applicable fee rate and an anticipated cost structure (Rs. 39,500 pm for one PFC that includes manpower cost, O&M, electricity and overheads), the operational sustainability was assured for only 1 of the 212 PFCs examined! However, in the current model of eDistrict implementation, the staff is borrowed out of an existing office pool. In this scenario, the PFC cost structure comes down drastically and works out to be Rs 9500 pm. Even in such case, only 23 PFCs reflect operational break-even and 20 of them are in District Commissioner’s Offices. The case for initial support to the functioning of the PFCs until revenue stabilizes is therefore a necessity for the success of the delivery mechanism.

4. Technical design of Project or program	Moderate
5. Institutional capacity for implementation and sustainability	Substantial
6. Fiduciary	Moderate
7. Environment and social	Low
8. Stakeholders	Substantial
Overall	Substantial

B. Overall Risk Rating Explanation

58. **As is indicated in the Systematic Operations Risk-rating Tool (SORT) table above, the overall risk for the Project is assessed as “Substantial”.** The risk rating is based on an array of factors as described in the table below. See Annex 4 for a more detailed discussion of the Project’s risks and mitigation strategies.
59. **A key risk for the Project is the lack of institutional capacity.** This is likely to lead to challenges in inter-departmental coordination as well as Project implementation. In order to mitigate this risk, a high level Project Guidance Council of the ARIAS Society headed by the Chief Secretary with the senior most Secretaries of all stakeholder departments associated with the project as members will facilitate coordination among different departments. It will also resolve any major problems that affect project implementation. Locating the project in a society such as ARIAS is also likely to facilitate implementation given ARIASs experience in procurement and financial management.
60. **Another risk involves the project’s stakeholders.** Efforts to enhance accountability might be blocked by vested interests; in addition, autonomous councils could fail to endorse the extension of RTPS legislation to sixth schedule districts under their control. The Project mitigates these risks by focusing first on departments that have a high level of ownership for reform as well as phasing reforms appropriately. With regard to autonomous councils, GoA has indicated that the Secretaries of the Autonomous Councils are willing in principle to facilitate the extension of RTPS legislation in sixth schedule districts. It is possible that not all the three Councils agree to endorse RTPS legislation to areas under their control. The DLI relating to this issue is scalable, thus making it easier to accommodate any delay in the adoption of RTPS services in Autonomous Council areas.

VI: APPRAISAL SUMMARY

A. Economic Analysis

61. **The economic analysis is based on savings on the “extra costs” for citizens’ accessing select RTPS certificate-related services that are essential for most citizens with incomes below the poverty line.** An appropriate methodology to measure economic impact would involve a carefully designed survey framework for end-users, citizen scorecards and organizational assessments of delivery institutions. However, this is costly and time-consuming and, thus, not feasible for this analysis. A citizen consultation conducted in June 2014 in six districts of Assam highlighted rent seeking by intermediaries and considerable travel costs involved with multiple visits to district government offices (20 km-150 km) as associated costs for accessing certificates. These multiple visits have high opportunity costs

implying lost wages. Therefore, this economic analysis will consider the savings generated from the reduction in extra payments and transport costs as direct benefits accruing to citizens. These services fall into four categories for purposes of the analysis as discussed below: (i) certificates associated with land transfers; (ii) certificates facilitating access to social welfare, such as disability programs; (iii) certificates establishing membership of a social category that benefits from affirmative action; and (iv) certificates relating to vital records, such as births, deaths, and marriages.

62. **Impact on land-related transactions.** The citizen consultation indicates that citizens are paying between INR 2,000 – INR 10,000 (USD 33 - USD 160) per transaction on land-related certificates. Requests for land-related certificates can reach one million per year. Assuming the lowest informal fee (INR 2,000) and only 50 percent of the annual land-related certificate transactions affected by the informal payment, the Project would generate a total of USD 16 million in potential private savings in the first year and USD 80 million in five years. This anticipated amount is considered conservative, as almost all land-related transactions involve payment of such informal fees. In Assam, this amount could reach USD 166 million over a five-year period.
63. **Cost savings from facilitating access for disability certificates.** According to the latest estimates shared by the GoA, the total number of disabled persons in the state is approximately 530,000. GoA has issued disability certificates to approximately 195,000 persons over the last few years. By strengthening effective RTPS implementation, the Citizen Centered Service Delivery (CCSD) Project will facilitate issuance of the remaining 335,000 certificates over the Project period, thus generating savings due to reduced transportation costs accrued through multiple visits to the nearest government office and rent seeking by intermediaries. For the purposes of the economic analysis, a conservative estimate of Rs. 500 (USD 8) is considered as the cost for attaining these certificates by a beneficiary. The estimated cost savings accruing to the beneficiaries in this case amounts to approximately USD 2.8 million over the Project period.
64. **Cost savings from birth and death (vital records) certificates.** Comparative surveys (such as the RTPS survey in Bihar) indicate that citizens can accumulate savings of INR 100 (USD 1.6) by accessing these certificates electronically. Assuming a conservative estimate of 60,000 live births (approximately 1% of all births registered) being registered electronically, this could potentially translate into a costs savings of INR six million (USD 100,000) per year. The actual savings could be much higher, as the number of births registered electronically rises over time.
65. **Social category certificates (Scheduled Caste and Non-creamy Layer).**¹⁷ Presently, reliable information on the number and cost of transactions is not available. However, GoA has recently initiated the e-District program to facilitate electronic delivery of G2C services. Assam currently has an SC population of more than 1.8 million. Each year approximately 315,000 additional SC and non-creamy layer OBC certificates are issued in Assam.

¹⁷ Non-Creamy layer refers to members of other backward castes who fall below a certain income threshold.

66. **Table 3 below summarizes savings by category.** Using conservative assumptions, total estimated cost savings to citizens resulting from the Project would be a minimum of USD 82.9 and a maximum USD 168.9 million.

Table 4: Savings by Category

Category of Services to be Electronically Delivered	Channels of Savings/Benefits accruing to Citizens	Expected Cost Savings
Certificates associated with land transfer.	Primarily savings will accrue from the reduced rent seeking by intermediaries.	USD 80 million - 166 million
Certificates facilitating access to social welfare.	Reduction in cost associated with intermediaries. Savings from transportation costs.	USD 2.8 million.
Certificates on vital records.	Cost savings from transportation costs. Savings from service charges by intermediaries.	USD 100,000 (for each percentage point of all live births registered electronically).
Certificates establishing social category for affirmative action in jobs/education.	Cost savings from transportation and service charges by intermediaries.	N/A

B. Technical

67. **The technical design aims to balance cross-cutting service delivery reform with a targeted, pragmatic approach that maximizes opportunities for success.** The Project seeks to promote effective implementation of Assam’s Right to Public Service Act. Simultaneously, it seeks to re-engineer and e-enable processes in 18 selected services covering initially four departments/agencies.
68. **The selected services have been selected based upon consultations with citizens in 6 districts of Assam, as well as discussions with leadership.** Consultations indicated that these 18 RTPS services are of high priority to citizens. Consistent feedback indicated that rent-seeking and travel costs to access those services are high. E-governance creates an opportunity to strengthen those institutions that are on the front line of service delivery and secure citizen feedback to improve service delivery.
69. **The Project design reflects an integrated approach to service delivery reform focusing on both the demand and supply side constraints.** Supply-side strategies aim to strengthen the Government’s delivery of services through process simplification and electronic delivery, improved horizontal and vertical connectivity, and the development of more service- and citizen-orientated front-line delivery institutions. On the demand side, the Project seeks to engage with underserved communities to inform and strengthen feedback loops from below and bring pressure to bear on providers.

C. Financial Management

70. **The Project has acceptable financial management arrangements for accounting and reporting of Project expenditures.** From a financial management perspective, the primary implementing agency will be the Assam Rural Infrastructure and Agriculture Services Project (ARIAS) Society, which manages Bank-financed projects in Assam, with all major procurement of goods, consulting and non-consulting services being managed centrally at the state level. The State Project Director of ARIAS will serve as Project Director of this Project. A dedicated Project Management Unit (PMU) within ARIAS will coordinate with all participating departments and liaise with the Bank. For detailed financial management arrangements for the TA component and the DLI Component, see Annex 3.

Financial Management Arrangements (for the TA Component)

71. **Budgeting:** The Project would be budgeted under a separate budget heading in the Government of Assam's budget under the "demand for grants"¹⁸ of the Department of AR&T. A detailed work plan for the Project as prepared by ARIAS will be the basis for the budget provision in the state budget.
72. **Funds Flow:** Bank Funds will flow on a reimbursement basis to the GoA using normal inter-government transfer mechanisms. The Drawing and Disbursing Officer (DDOs) in AR&T/ARIAS will periodically draw funds from the state budget as 'Grant in Aid', which would be deposited into the Project specific bank account for both the TA activities. In respect of EEPs, i.e. salaries will be paid and accounted for through the state's treasury system. Fund transfers from ARIAS for decentralized activities¹⁹ to district e-governance societies²⁰, will be facilitated by centralized fund management arrangement with commercial banks (parent-child zero balance account) to facilitate payments at the district level.
73. **Accounting, internal control and financial reporting:** ARIAS society operates an off the shelf accounting system (TALLY) and follows the cash basis of accounting, which will be extended to this Project also at the PMU level. Over 80 % of the project expenditures will be managed, paid and accounted for centrally. District e-governance societies will operate on an imprest (advance) basis and submit monthly standardized statement of expenditures to the PMU for purposes of accounting. The Financial Management Manual of ARIAS has been modified cover the activities under this project. The position of Chief Financial Controller in ARIAS needs to be filled by a full time incumbent.

Financial Arrangements for the DLI Component

74. **Eligible Expenditures and Programs (EEP):** The EEP supporting the DLI component will be salaries of the Department of Revenue and Disaster Management. Specific budget heads from the state budget have been identified which will adequately cover the value of DLIs each year.

¹⁸ The term 'demand for grants' refers to the departmental budget.

¹⁹ These activities would include operations and maintenance, refurbishment, and the provision of minor supplies with regard to Public Facilitation Centres.

²⁰ The district e-governance societies are government bodies headed by the Deputy District Commissioner (DDC), one per district. They are meant to drive e-governance initiatives at the district level. Public Facilitation Centers would fall under the purview of the e-governance societies.

Controls over the preparation and payment of salaries are considered adequate with the state in the process of transiting to electronic payment of salaries. An EEP report will be submitted semi-annually in support of the DLIs achieved. This will be based on the expenditure generated from the Computerized Treasury Management Information System.

75. **External Audit:** A firm of chartered accountants, acceptable to the IBRD will audit the annual financial statements of the Project as per TORs acceptable to the Bank. The audit report would be submitted to the Bank within nine months of the close of each financial year. For the DLI component, reliance will be placed on the state audit report, supported by a financial report of EEPs from Auditor-General (A&E). As the state audit report is made available only after it is placed in the state legislature, the report will be shared with the Bank within 12 months of the close of the financial year. Accordingly, the following audit reports will be monitored.

Table 5: Project Audit Arrangements

Implementing Agency	Audit	Auditors	Period of submission
ARIAS	Annual Project financial statement for the Technical Assistance Component	Firm of Chartered Accountants	Within nine months of close of financial year, i.e. by December 31.
ARIAS	State Annual Audit Report (for DLI Component)	CAG	Within 12 months of the close of the financial year, i.e. by March 31 st of the following year.
DEA	Designated Account	CAG	Within nine months of the close of financial year, i.e., by December 31.

76. The audited Project financial statements will be hosted on the website of the Society in line with the Bank’s disclosure policies, while the state’s annual audit report will be hosted on the website of the C&AG.
77. **Disbursements:** Disbursements under the TA Component will be based on quarterly IUFRRs. The need for advance will be determined in consultation with GoA and GoI. Funds will be transferred from GoI and GoA, as per standard practices (budget). Disbursement against the DLI component will be made on achievement of DLIs, supported by EEPs (and independent verification of the DLIs achieved), and reported through IUFRRs.

D. Procurement

78. **Procurement for the Project will be carried out in accordance with the World Bank’s procurement guidelines.** Specifically, procurement of the Project will be subject to the “Guidelines: Procurement of Goods, Works and Non-Consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers” (January 2011 as updated in July 2014) [Procurement Guidelines] and “Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers (January 2011 as updated in July 2014)” [Consultant Guidelines]; and the provisions stipulated in the Loan Agreement. The Project would be subject to the Bank’s Anti-Corruption Guidelines, dated October 15, 2006, and revised January 2011.
79. **E-Procurement:** The implementing agency shall use e-procurement for procurements under Bank financing. The GoA uses the National Informatics Center (NIC) e-procurement system.

However, the implementing agency does not have experience using e-procurement for their transactions. Therefore, the implementing agency will have to be trained by NIC on the use of the system.

80. **Procurement Risk Assessment:** The Procurement Risk Assessment and Management System (PRAMS) assessment has been carried out for the implementing agency. The State has weak procurement capacity, and the Department of Administrative Reform and Training has no prior experience in procurement under Bank funded Projects. To mitigate this risk, it has been agreed that the Project will be implemented by the Assam Rural Infrastructure and Agriculture Services Society (ARIAS), which has been tasked with implementing Bank-Financed Projects in Assam. A Project Management Unit (PMU) will be established within the Assam Rural Infrastructure and Agricultural Services Society (ARIAS) to manage day-to-day implementation and liaise with the Bank. The PMU will oversee all procurements related to the Project and will be responsible for ensuring compliance with the Bank's procurement requirements, and reporting to the Bank in a timely manner.
81. The PMU will have dedicated procurement staff conversant with Bank's procurement guidelines and experience of working in Bank-funded Projects. Based on these arrangements, for the Project, the procurement risk is "Moderate" as procurement staff at ARIAS are conversant with the Bank procurement guidelines.
82. **The Project management unit (PMU) will create a dedicated procurement and contract management cell to undertake routine procurement functions.** These include procurement planning, monitoring, reporting, and coordination with the Bank as well as implementation of procurement risk mitigation plans.
83. **Procurement Plan and Readiness.** The procurement plan for first 18 months of Project implementation has been prepared and the same has been accepted by Bank. More details on implementation arrangements and procurement thresholds are mentioned in Annexure-3.

E. Social (including Safeguards)

84. **Project interventions have the potential of bringing positive benefits for citizens by creating an enabling environment for improvement of services.** However, the extensive diverse conditions – physical as well as socio-economic and cultural – may pose a challenge. The success of the project depends upon the project's efforts at reaching the communities which, however, are quite diverse. Given the above background, the project identifies the following as significant social issues: (i) ensuring local participation as well as inclusion and enhancing equity; (ii) decentralizing service delivery; and (iii) human and institutional development. Towards achieving this, project's strategy is underpinned by 'change management initiatives' aimed at government institutions and backed up by an effective information, education and communication (IEC) campaign.
85. **The social safeguards policy for Indigenous Peoples OP/BP 4.10 is triggered by the Project.** While the project would be centered around these participation and inclusion initiatives, special efforts will be made to reach out to tribal people. Assam has 3.88 million tribal people which accounts for 12.45% of the total population and 3.72% of the tribal population in India. (See Annex 3 for more information). This in view, the World Bank's

Operational Policy (OP) 4.10 is triggered. The other social safeguard policy, OP 4.12, Involuntary Resettlement, is not applicable as the project's facilities will be housed in the existing government buildings and hence acquisition of lands is not warranted.

86. **The project has developed Tribal Development Plan (TDP) to ensure that the tribal populations impacted by the project are adequately and fully consulted and included in the entire process of preparation, implementation and monitoring of project.** The other emphasis is to make sure that the tribal people are provided with special assistance as per prevailing laws and policies, so that project benefits are equally accessible to the tribal communities. The TDP focuses on expanding RTPS to tribal areas. There will be a mid-term assessment after two years of project implementation to take stock of project implementation and its influence/impact on tribal communities in Sixth Schedule and non-Scheduled areas; and to recommend corrective action, as necessary. As part of the TDP, it is expected that at least 66 Public Facilitation Centers (PFCs) under the project will be located in the Sixth Scheduled Districts with their specific locations to be decided by the Autonomous Councils. The project also expects to cover the issuance of scheduled tribe certificates as a new service to be notified under RTPS. The project will provide capacity-building support to Autonomous Councils to implement RTPS effectively in their jurisdictions. The TDP was based on extensive consultations in three districts from October 28 to November 6, 2016 and was published by the Bank on January 28, 2016. The TDP was updated and re-disclosed by the Government on April 20, 2016.
87. **The project will incentivize gender aspects and the use of RTPS services by women in at least three ways.** First, it will launch a dissemination campaign explicitly tailored to potential women users of services. Second, it will encourage the engaging of women as staff responsible for operating Public Facilitation Centers being supported by the project. It is expected that at least one-third of all staff to be hired under the project will be women. Third, it will systematically track the use of RTPS services accessed electronically by women at blocks and centers.

F. Environment (including Safeguards)

88. The project is likely to have limited impacts on the environment, as activities supported are mostly small scale and located within existing building complexes, and has been assigned Category B. A simple environmental management plan has been prepared for implementing necessary measures to ensure that the issues are handled systematically and in line with requirements of the GoI and World Bank OP4.01. The key issues include the management of electric generators – gaseous and noise emissions, vibrations, and fuel storage, and handling and disposal of not-in-use equipment that are potentially hazardous material. These would include Batteries, which may contain Lead and would need to be recycled, and electronic equipment like computers that would need to be properly stored and recycled. Temporary impacts during installation and small construction to accommodate the installations would be managed so that the risk to safe movement of people using the facility is minimized. The implications for climate change are negligible. The ARIAS society, where the PMU is located, confirmed that the EMP formats would be used and properly filled for record purposes with measures undertaken in line with the stipulations. The EMP was published by the Bank on April 20, 2016 after consultations with key stakeholders which were concluded by February

10, 2016., The EMP has been updated and was re-disclosed by the Government on April 12, 2017.

G. World Bank Grievance Redress

89. **Communities and individuals who believe that they are adversely affected by a World Bank (WB) supported project may submit complaints to existing project-level grievance redress mechanisms or the WB's Grievance Redress Service (GRS).** The GRS ensures that complaints received are promptly reviewed in order to address project-related concerns. Project affected communities and individuals may submit their complaint to the WB's independent Inspection Panel which determines whether harm occurred, or could occur, as a result of WB non-compliance with its policies and procedures. Complaints may be submitted at any time after concerns have been brought directly to the World Bank's attention, and Bank Management has been given an opportunity to respond. For information on how to submit complaints to the World Bank's corporate Grievance Redress Service (GRS), please visit <http://www.worldbank.org/grs>. For information on how to submit complaints to the World Bank Inspection Panel, please visit www.inspectionpanel.org.

Annex 1: Results Framework and Monitoring

Project Development Objective: To improve access in the delivery of selected public services in Assam.

Table A.1.1: Results Framework

RESULT	INDICATOR	Cor	DLI	Unit	Baseline	Year 1	Year 2	Year 3	Year 4	Year 5
PDO Indicator										
Key Result 1. Volume of applications submitted on-line for RTPS services increases.	Number of applications submitted on-line for RTPS services.		X	Number	350,000	Customized RTPS awareness campaigns conducted across state.	437,500	612,500	796,250	1,035,125
Key Result 2. Public Facilitation Centers (PFC) fully operational	Number of Public Facilitation Centers fully operational ²¹		X	Number	30 fully operational PFC identified.	Implementation Strategy and roll-out plan approved by GoA	Additional 70 PFC made fully operational. (i.e a total 100 centres)	Additional 120 PFC fully operational. (i.e a total 220 centres)	Additional 120 PFC fully operational. (i.e a total 340 centres)	Additional 88 PFC fully operational (i.e a total 428 centres)
Intermediate Indicators										
Sub-Component 1: Strengthening RTPS implementation	RTPS ICT platform is operational.			Text	Detailed project report and implementation plan to be approved by GoA.	Design of RTPS ICT platform completed and work initiated.	RTPS ICT platform operational including MIS.	Annual Service Delivery Report based on MIS published.	Annual Service Delivery Report based on MIS published.	Annual Service Delivery Report based on MIS published.
	Access to RTPS Services expanded to Targeted districts.		X	Text	Coverage of RTPS Act not extended to the	Preparation and adoption of tribal action Plans and	Notification of 10 new RTPS services by at least two	Notification of 10 new RTPS services by at	Notification of 10 new RTPS services by at	Notification of 10 new RTPS services by

²¹ Fully operational Public Facilitation Centers would entail fully equipped centers with adequately trained staff that functions at least 6 hours on all working days to receive RTPS service requests; and deliver targeted set of RTPS services, using electronic means.

RESULT	INDICATOR	Cor	DLI	Unit	Baseline	Year 1	Year 2	Year 3	Year 4	Year 5
					Autonomous Councils.	notification of 5 new RTPS services by at least two Autonomous Councils (i.e. total 10 new services)	Autonomous Councils (i.e. total 30 services)	least two Autonomous Councils (i.e. total 50 services)	least two Autonomous Councils (i.e. total 70 services)	at least two Autonomous Councils (i.e. total 90 services)
	Number of services notified under RTPS Act		X	Number	55 RTPS services have been notified under the Act.	5 additional RTPS Services over Year 0 notified. (i.e. total 60 services)	10 additional RTPS Services over Year 1 notified. (i.e. total 70 services)	10 additional RTPS Services over Year 2 notified. (i.e. total 80 services)	10 additional RTPS Services over Year 3 notified. (i.e. total 90 services)	5 additional RTPS Services over Year 4 notified. (i.e. total 95 services)
	Number of applications for RTPS with women as beneficiaries ²²	X ²³		% of total applications	Outreach strategy for women designed.	Outreach Strategy for women implemented.	Baseline established.	Increase of 5 percent over year 2.	Increase of 7.5 percent over year 3.	Increase of 10 percent over year 4.
Sub-component 2 Supporting Process Re-engineering in Selected Services	Government departments with improved processes ²⁴ for selected services.			Number	0	0	4	10	4	0
Sub-component 3 RTPS services delivered within	RTPS services applications responded to within			Percentage	0	Monitoring system for time compliance established	50%	60%	70%	80%

²² This indicator will be measured by data from the centralized monitoring system.

²³ Equivalent to core sector indicator: "Direct project beneficiaries (number), of which female (percentage)."

²⁴ Process reengineering involves a combination of administrative streamlining/simplification; ICT enablement; integration with the RTPS portal. Proposed departments are Revenue, WPT&BC, Transport and GMC.

RESULT	INDICATOR	Cor	DLI	Unit	Baseline	Year 1	Year 2	Year 3	Year 4	Year 5
stipulated time limits. ²⁵	the legal time-frame.									
Sub-component 4 Promoting Citizen engagement	Increase in RTPS beneficiary feedback on service delivery ²⁶			Percentage	No user feedback.	Citizen Feedback system designed	Citizen Feedback system rolled out.	Citizen Feedback and responses published	Citizen Feedback and responses published	Citizen Feedback and responses published

²⁵ Baseline of services received within the time-frame to be determined by a survey; in later years we will rely on data from the centralized monitoring system.

²⁶ This indicator tracks beneficiary feedback received through various mechanisms (e.g. IVRS, SMS, and the web). The Government will compile all the feedback, analyze it and use for identifying specific areas for improvement. The report with the feedback and the response of the Government will be published on annual basis.

Table A.1.2: Indicator Description

Project Development Objective Indicators

Indicator Name	Description (indicator definition etc.)	Frequency	Data Source / Methodology	Responsibility for Data Collection
Number of applications submitted on-line for RTPS services	This indicator measures the increase in the number of applications submitted on-line for RTPS services.	Annually from Year 2	Centralized tracking system	GoA
Public Facilitation Centers fully operational	Fully operational Public Facilitation Centers would entail fully equipped centers with adequately trained staff that function for at least six hours on all working days to receive RTPS requests and deliver targeted set of RTPS services, using electronic means as appropriate.	Annually from year 2	GoA progress reports and MIS	GoA

Intermediate Results Indicators

Indicator Name	Description (indicator definition etc.)	Frequency	Data Source / Methodology	Responsibility for Data Collection
RTPS ICT platform is operational	A centralized RTPS ICT platform would be created to facilitate service delivery workflow and track compliance.	Annually	GoA progress report and MIS	GoA
Access to RTPS Services expanded to Targeted districts.	RTPS extended and services notified in the six tribal districts of Assam administered by Autonomous Councils (referred as “autonomous districts”). From year 2 to 5 the indicator will measure the number of RTPS services that are notified by the Autonomous Councils. Same service in different Autonomous Council qualifies as a different service.	Annual	GoA Notification	GoA
Number of Services notified under RTPS Act	GoA notifies additional services annually.	Annual	GoA Notifications	GoA
Number of applications for selected RTPS services filed by women	The number of applications for selected RTPS services submitted electronically by women.	Annually from Year 2	Centralized RTPS tracking system	GoA

Government departments with improved processes ²⁷ for service delivery	Process reengineering involves a combination of administrative streamlining/simplification; ICT enablement; integration with the RTPS portal. Proposed departments are Revenue, WPT&BC, Transport and GMC.	Annually from year 2	GoA orders and circulars and evidence of process change	GoA
Increase in RTPS beneficiary feedback	Feedback from beneficiaries gathered through various channels (mobile and web).	Annually	Collation of feedback.	GoA

²⁷ Process reengineering involves a combination of administrative streamlining/simplification; ICT enablement; integration with the RTPS portal. Proposed departments are Revenue, WPT&BC, Transport and GMC.

Table A.1.3: Disbursement-Linked Indicator Matrix²⁸

DLI	Amount of the Loan Allocated to DLI (US\$000)	Year 0 Baseline (2016-17)	Indicative DLI Period for DLI achievement				
			Year 1 (2017-18)	Year 2 (2018-19)	Year 3 (2019-20)	Year 4 (2020-21)	Year 5 (2021- 22)
DLI 1: Number of applications submitted on-line for RTPS services		350,000	Customized RTPS awareness campaigns conducted across state.	437,500	612,500	796,250	1,035,125
DLI Value (in US\$):	2,500		500	500	500	500	500
DLI 2: Public Facilitation Centers fully operational. ²⁹		30 fully operational Public Facilitation Centers identified.		Additional 70 Public Facilitation Centers fully operational over Year 0 (i.e. total 100 centers).	Additional 120 Public Facilitation Centers fully operational over Year 2 (i.e. total 220 centers).	Additional 120 Public Facilitation Centers fully operational over Year 3 (i.e. total 340 centers).	Additional 88 Public Facilitation Centers fully operational over Year 4 (i.e. total 428 centers).
DLI Value (in US\$):	1,000			250	250	250	250
DLI 3: Access to RTPS Services expanded to Targeted Districts.		Coverage of RTPS Act is not extended to the Autonomous Councils.	Preparation and adoption of Tribal Action Plans and notification of 5 new RTPS	Notification of 10 new RTPS Services by at least two Autonomous Councils over Year 1 (i.e.	Notification of 10 new RTPS Services least two Autonomous Councils over Year 2 (i.e.	Notification of 10 new RTPS Services by at least two Autonomous Councils over Year 3 (i.e.	Notification of 10 new RTPS Services by at least two Autonomous Councils over Year 4 (i.e.

²⁸ All DLIs are scalable with partial achievements eligible for reimbursement in the relevant year and the carrying over of what has not been achieved for reimbursement in subsequent years of the project. Measurement will be based on the arithmetical value of the relevant unit for the DLI.

²⁹ Fully operational Public Facilitation Centers would entail fully equipped centers with adequately trained staff that functions at least six hours on all working days to receive RTPS requests; and deliver a targeted set of RTPS services, using electronic means as appropriate.

DLI	Amount of the Loan Allocated to DLI (US\$000)	Year 0 Baseline (2016-17)	Indicative DLI Period for DLI achievement				
			Year 1 (2017-18)	Year 2 (2018-19)	Year 3 (2019-20)	Year 4 (2020-21)	Year 5 (2021- 22)
			Services by at least two Autonomous Councils (i.e. total 10 new services)	total 30 services)	total 50 services)	total 70 services)	total 90 services)
DLI Value (in US\$):	2,500		1,100	350	350	350	350
DLI 4: Number of services notified under the RTPS Act. ³⁰		55 services have been notified under the RTPS Act.	5 additional RTPS Services over Year 0 notified (i.e. total 60 services)	10 additional RTPS Services over Year 1 notified (i.e. total 70 services)	10 additional RTPS Services over Year 2 notified (i.e. total 80 services)	10 additional RTPS Services over Year 3 notified (i.e. total 90 services)	5 additional RTPS Services over Year 4 notified (i.e. total 95 services)
DLI Value (in US\$):	1,500		187.5	375	375	375	187.5
Total Loan Allocated (in US\$):	7,500		1,787.5	1,475	1,475	1,475	1,287.5

³⁰ Not including RTPS Services notified in Targeted Districts.

Table A.1.4: DLI Verification Protocol Table

#	DLI	Definition/ Description of achievement	Scalability of Disbursements (Yes/No)	Protocol to evaluate achievement of the DLI and data/result verification		
				Data source/agency	Verification agent (VA)	Procedure
1	Number of applications submitted on-line for RTPS services.	Citizens being able to submit applications for RTPS services through Public Facilitation Centers located in blocks, circles, and selected departmental offices through an on-line portal.	Yes	Sample Survey / Centralized RTPS tracking system.	Third Party Assessment	The DLI targets are cumulative. Sample Survey. MIS Report.
2	Public Facilitation Centers fully operational.	Fully equipped centers with adequately trained staff that functions at least six hours on all working days to receive RTPS requests and deliver targeted set of RTPS services, using electronic means.	Yes	GoA progress reports/MIS. Sample Survey.	Third Party Assessment	Sample Survey/MIS data.
3	Access to RTPS Services expanded to Targeted districts.	RTPS extended to and services notified in the six targeted districts of Assam.	Yes	Adoption of RTPS and notification by the Autonomous Councils.	N/A	Official notifications extending RTPS to Targeted Districts and notifying services issued by authorities.
4	Number of services notified under the ARTPS Act.	GoA notifies additional services annually.	Yes	GoA Notification.	N/A	Notifications expanding the number of services issued by GoA.

Annex 2: Detailed Project Description

1. **Overall approach:** The proposed Project design combines three key critical and interrelated elements: (i) a technical assistance component to support the achievement of the agreed results; (ii) a set of disbursement conditions that provide a performance framework to advance the reform agenda and contribute to the development objectives supported by the Operation; and (iii) eligible expenditure programs against which loan proceeds can be disbursed.

Project Description

2. **The proposed Project is an Investment Project Financing (IPF) of US\$ 39.2 million with results-based financing.** The Project takes an integrated approach to improve access and accountability addressing both the supply-side and demand-side aspects of service delivery. Project interventions aim to (i) strengthen RTPS implementation; (ii) support process re-engineering in selected services; (iii) set up Public Facilitation Centers; and (iv) promote citizen engagement. The selection of departments and services targeted by the Project is based on Government priorities for improving service delivery, citizen consultations in underserved areas, and services of importance to disadvantaged communities.
3. **Assam has had a history of difficulty in implementing e-governance projects** The National E-Governance Project in Assam produced little by way of results as noted earlier. The State Data Center is still not functional, while the state wide area network (SWAN) is incomplete with significant parts of the state especially below the level of district headquarters outside its scope. CSCs have largely failed to take-off because of poor connectivity as well as a lack of government services to offer to citizens. On the other hand, the state does have a functional State Services Delivery Gateway and the state had made progress in developing websites for major departments. The fact that NEGP failed to make much headway in Assam reflects Assam's weak administrative capacity, the low priority accorded to e-governance, and problems in managing procurement in the complex area of information technology.
4. **This project focuses on the transformation of back-end processes for reliable electronic service delivery across departments.** In terms of front-end delivery, the project intends to focus on delivering services through Public Facilitation Centers (PFCs) using existing infrastructure at the block and circle levels. Back-end re-engineering including the creation of an on-line portal to process, track, and deliver services will also make the delivery of services at the CSC level easier in the future.
5. **The project contains several elements to ensure sustainability and mitigate the risk of failure.** First, given the low capacity and associated implementation challenges in a state like Assam, it was decided to focus on strengthening PFCs at the block and circle level in this project. This would involve staffing PFCs with contract manpower to deliver fee-based services. It is expected that these PFCs will emerge as model centers, generating in the process demand for their services and ensuring their sustainability. The project will develop a PPP framework for the Government of Assam to roll-out the Right to Public Services once the success of PFCs has been established.

6. **Second, the emphasis on process re-engineering, human resource development/change management, and simplification of procedures would allow the project to complement technological change with administrative reform that was missing in the implementation of most NEGP initiatives.** The project will work initially with departments that have a high commitment to reform to generate ‘quick wins’. The high-level Project Guidance Council will include senior officials from key departments to ensure cooperation across administrative boundaries. The Team intends to support the creation of a delivery unit housed in the Chief Minister’s office to drive the process of change with the support of the political leadership.
7. **Third, GoA has asked the Bank to implement the project through a society that has strong procurement and financial capacity thereby reducing the risk of mismanagement considerably. The Bank will engage in intensive supervision to reduce this risk even further.** The society chosen to implement this project has received several awards for successfully implementing prior World Bank projects.
8. **Fourth, the project seeks to build demand for better service delivery by creating ‘model’ Public Facilitation Centers at the block/circle level that will effectively alter the expectations of citizens.** Extensive IEC work under the project should also spark greater awareness and demand for RTPS services, while the development of a variety of feedback mechanisms (e.g., social media, SMSs, call centers) will also place decision-makers under pressure to deliver more effectively.

Project Development Objective

9. **The Project Development Objective** is “to improve access in the delivery of selected public services in Assam.”

The Project Components include:

- Component 1: Technical Assistance
- Component 2: Results-based Financing

Reform Strategy by Component

10. **The Program takes an integrated approach to improving access and accountability, addressing supply and demand constraints.** In addition, the Project recognizes the low capacity context and the complexity associated with e-Governance reform in the State. To address this challenge, the Project sequences activities to support achievement of the Project development objective.
11. **The Government of Assam has drawn on key lessons from international e-Government experience, as well as from the successful implementation of the Right to Public Services in states such as Madhya Pradesh, Karnataka, and Bihar.** MP and Karnataka have developed effective one-stop centers to deliver services; Karnataka has led the way in

developing a portal that allows for easy on-line access to many services; and Bihar has shown how political commitment can drive RTPS implementation through a high-level delivery unit. All these lessons have been explicitly incorporated into Assam's strategy to promote better service delivery through RTPS. The Bank has studied the implementation of RTPS in India's states extensively and incorporated lessons from other states, such as Karnataka and MP, in the design of this Project.

12. **Learning lessons from national and international e-Government experiences, the project approach aims to provide citizens access to RTPS services.** This is through digital channels such as citizens' service centres, computer systems with network connectivity or even mobile devices. Concurrently the Project would invest in simplifying administrative processes for service delivery; strengthen the "demand side" approaches, by maximizing user awareness on RTPS and putting in place robust beneficiary feedback and grievance redress mechanism; and addressing inclusion by (a) tribal areas of Sixth Schedule districts, (b) expanding the list of notified RTPS services, and (c) making sure that substantially large number of citizens do access the benefits of RTPS.

Component 1: Technical Assistance (US\$ 31.7 million IBRD; US\$ 7.925 million GoA)

13. **This component will provide specialized technical assistance to support implementation of the government program and the achievement of Project results.** Eligible expenditures under this component are consulting and non-consulting services, and acquisition of goods and operating costs. This component will provide funding for the following sub-components:

(i) Sub-component 1. Strengthening RTPS implementation:

- **ICT Platform:** This activity involves creating an ICT platform for the automated tracking of individual service requests and appeals under RTPS; actions taken by designated officers and staff; and rule-base escalation in case of time overruns. Efforts will be made to leverage Open Source Technologies, wherever feasible, in the design and development of the ICT platform.
- **Management Information System:** An RTPS Management Information System (MIS) would be designed to facilitate centralized monitoring related to compliance with RTPS requirements and administrative actions for resolving bottlenecks.
- **Online Portal:** In addition, the Project will finance the creation of an online portal, which will offer information on the procedures and processes needed to access services as well as allow citizens to apply for certain services online. The online portal will leverage, wherever feasible, the existing core infrastructure and services such as SSDG, SP and e-District; and efforts will be made to align its design with the architecture of GI Cloud initiatives (MeghRaj) of Government of India. The portal would be made available in Assamese, Bengali and English. It would have easy to use navigation, and search and browse features. The portal will be designed with capabilities to promote proactive disclosure related to citizens' entitlements under the Act and procedures for accessing RTPS services. The platform will also allow citizens to apply for RTPS services online, moving towards an operating model that eliminates the need for a physical visit to departmental offices. The Portal would also serve as a gateway to access 18 RTPS services under the Revenue and Welfare of Plain Tribes and Backward Castes (WPT&BC) and Transport departments as well as the Guwahati Municipal Corporation.

- **Training and Capacity Building:** The Project will develop and implement an extensive training and capacity program to support staff adaptation to electronic processing as well as developing a citizen-centered approach to service provision.
- **Change Management:** A strong effort will be made to build consensus in support of the change and mitigate resistance. A specialist consulting firm will be hired to implement strategy for managing the change process.
- **Establishment of RTPS Delivery Unit:** The Project will support the creation of a high-level delivery unit housed in the Chief Minister’s office with adequate authority and capacity to drive RTPS implementation across the state. The Delivery Unit will have a mandate to: (i) drive delivery of high- priority public services by providing support to departments to overcome key delivery challenges; (ii) monitor service delivery performance across government; and (iii) address cross-cutting administrative obstacles that impacts service delivery to citizens. Lessons from across India such as Sakala Mission in Karnataka, the Bihar Administrative Reforms Mission, and other international experiences such as the United Kingdom, Singapore and Malaysia would be drawn through consultations, case-research and study visits to help develop the permanent institutional capacity of this Delivery Unit, which will be housed in a strong cross-cutting institution. Effective functioning of a strong delivery unit will make sure that the Project’s results are properly institutionalized within government. The Delivery Unit (and the Project) will thus rely heavily on knowledge transfers from across the Indian states as well as globally particularly with regard to the reform of processes, the establishment of the delivery unit, and the implanting of new technological solutions, including an on-line portal, data mining, electronic grievance redress, and an MIS-based monitoring system.

(ii) Sub-component 2. Supporting Process Re-engineering in Selected Services

14. **Electronic approaches to G2C service delivery would be initiated with 18 RTPS services of the Revenue, WPT&BC, Transport Departments as well as the Guwahati Municipal Corporation.** Back end processes of these departments will be simplified, wherever relevant re-engineered, and automated building on previous efforts by the state. The Business Process Re-engineering (BPR) would cover the processes in its entirety, adhering to standards and guidelines prescribed by MeitY, Government of India. Electronic service delivery will include electronic submission and acceptance of citizens’ applications (either at Public Facilitation Centers and/or remotely through the Portal where feasible) for all notified RTPS services. In addition, reforms for selected services will involve (i) automated electronic transmission of citizens’ applications to departments, (ii) rule-based electronic work-flows for back end processing by departments, and (iii) secure electronic delivery of digitally authenticated certificates/documents delivered at Public Facilitation Centers and/or downloaded from the portal where feasible.

Table A.2.1: 18 RTPS Services for Process Reengineering

<ul style="list-style-type: none"> • Mutation of property ownership • Certified copy of land records • Registration of property documents • Non-encumbrance certificate • Certified copy of registered sale deeds
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- Marriage certificate
- Certified copy of mutation order
- Partition of property
- Scheduled Caste certificate
- Non-creamy layer other Backward Caste certificate
- Guwahati Municipal Corporation Services (Issuance of birth certificates, death certificates, trade licenses, mutation certificates, building permissions) – 4 services.
- Transport Services (Issuance of driving licenses, vehicle registration, permits for commercial vehicles, fitness/pollution-under-control certificates for vehicles) – 4 services.

15. **In the Revenue Department, the Project would build on previous and current e Governance initiatives to allow for the electronic delivery of land and property related services with regard to ownership, management of land records and registration of property titles.** This would necessitate a shift from manual to electronic back end processing in select offices, such as the Circle Office and Sub-Registrar Offices of the Revenue department. The reform initiatives would ensure that an application for the registration of a land transfer deed at the office of Sub-Registrar would automatically lead to the Office Mutation of the land parcel at the Circle Office, without having to apply for that service again. This specific reform will consolidate two existing services into one, simplifying the delivery process and reducing the time spent on accessing these two services as well as the costs of doing so.
16. **In the Department of Welfare of Plain Tribes and Backward Classes (WPT&BC), the Project will concentrate on making the delivery of the Scheduled Caste and non-creamy layer certificate services electronic.** Over time, Scheduled Tribes and Other Backward Classes certificates would also be slated for electronic delivery.
17. **The Guwahati Municipal Corporation is a critical agent of government.** The Project expects to work with the Corporation to re-engineer processes, such as the issuance of birth and death certificates, trade licenses, and submission of property taxes, among other services.
18. **The Transport Department renders a large volume of services that directly touch the economic lives of citizens.** The project will assist the transport department in re-engineering process for vehicle registration, the issuance of driving licenses, and several other services. The Department operates independently through 27 district transport offices (DTOs) with only variable attention to service standards. The project will streamline the working of these offices and link them to the central RTPS portal as well as facilitate delivery of transport services through Public Facilitation Centers in addition to departmental counters.
19. **In addition to promoting e-enablement in these organizations/departments, the Project will support process reforms, such as administrative simplification** (e.g., delegating responsibilities to lower levels of government, reducing the number of supporting documents required to access services, improving field verification processes, and streamlining the issuance of digitally signed certificates. Quality management systems will be established in key departments. Support covers assessments to determine the scope of simplification as well as select implementation costs where appropriate (e.g., ensuring the use of digital signatures).

Simplification of government procedures would also involve creating a secure online repository of government certificates, available real-time to citizens on demand. The electronic repository would conform to IDCA standards and IS 27001 standards on security. The project will try to leverage the State Data Centre as and when it becomes operational and conforms to IDCA and IS27001 standards.

20. **Other services may be chosen** as the project demonstrates success in re-engineering these 18 services, possibly in health and education.

(iii) Sub-component 3. Setting up Public Facilitation Centers

21. **The Project will establish about 428 Public Facilitation Centers, at the Block and Circle offices and certain designated offices such as Sub-Registrar Offices of the Revenue department.** The Project would make strategic investments to ensure that critical ICT infrastructure and reliable network connectivity with appropriate bandwidth is available in all about 428 Public Facilitation Centers locations for registering and tracking applications for RTPS services; and delivery of ten targeted bellwether services, using electronic means. These Public Facilitation Centers will also have the ability to effect electronic payment transactions.³¹ By bringing electronic service delivery down to the block and circle levels, the Project will bring services closer to citizens. In addition, Citizens would have the option to access these services electronically from a nearby Common Service Centre (CSC) with reliable network connectivity. This hybrid approach is aimed at expanding service access –increase 'access points' as well as 'channels' for accessing the required services. It is expected that Public Facilitation Centers will adopt a PPP mode for delivery once the delivery of services has stabilized; services will be appropriately priced as part of a fee-based revenue model to facilitate sustainability.
22. **The Project would also finance hiring of staff to ensure that the Public Facilitation Centers are fully operational.** Each center will be staffed with two suitably qualified Service Center Operators, one of whom would have IT competencies to take care of regular upkeep and maintenance of IT equipment. It would also finance other incidentals linked to the functioning of Public Facilitation Centers (e.g., maintenance).
23. **To address the challenges of power supply constraints, the Project may provide stand-by generators of an appropriate power rating in offices with no reliable power.** This would be done after an audit of power availability in Public Facilitation Centers and back end processing centers. The Asian Development Bank (ADB) has recently executed a US\$300 million loan to the Government of Assam under the “Assam Power Sector Investment Program” to assure universal and reliable access to electricity over the next ten years.

³¹ Almost all RTPS services have a service fee associated with it; and physical submission of cash (or any other instruments such as Treasury Challan) would create additional hassles for the citizen requesting the service. The electronic payment approach would help avoid cash payments and enable a system that allows for online payment during the course of application at the Public Facilitation Centers. For these kind of transactions, Govt. of India has established “PayGov India” (an e-payment gateway) to make online payment using net banking, credit cards and debit cards. With the RuPay card being made available to all under the new Pradhan Mantri Jan Dhan Yojana (PMJDY), anyone would be able to use these cards for making electronic payment.

Providing stand-by generators is, therefore, purely an interim measure, not one required for the long-term.

24. **Beyond the Public Facilitation Centres, the Project will support the development of a Public Private Partnership and licensing framework and would explore alternative methods such as through Online to Offline (O2O) mechanisms,** given the limited ICT connectivity in the state. Online to Offline (O2O) is the principle of connecting the Online digital world to the Offline world. O2O would allow services to be transacted in remote locations using Smart Phones and/or mobile internet-connected POS terminals, which then get pushed on-line in batch mode when reliable network connectivity becomes accessible. The O2O mechanism will leverage Mobile Service Delivery Gateway (MSDG) / Mobile Seva of MeitY to enable service delivery on mobile devices. Given that the connectivity solutions under this sub-component focus primarily on the block and circle levels, such O2O mechanisms could play a vital role in bringing services even closer to local communities.
25. **The project does not envisage any civil works except refurbishment of some facilities in existing buildings to accommodate the new equipment procured under the project.** Hence, the construction related impacts will be confined to existing government buildings. Safe movement of people would need to be ensured during the duration of the refurbishment period.
26. **Installation of generators to ensure that the IT-enabled systems work has some impacts that need to be handled carefully.** These would include the proper siting and isolation of the equipment, and handling of the fuel and noise during operation. Normally, with ‘silent’ generators, these impacts should be manageable. Safe handling of the fuel and managing the fire risk are two key impacts that would need attention. The Assam Pollution Control Board may also require the installation to have a consent, depending on the size and capacity of the generator to be installed.
27. **Equipment used for the project activities can have end-of-life impacts that need to be properly managed – computers and other electronic waste can have hazardous material and batteries used for back up may contain Lead (Pb).** These need to be handled in line with existing regulations that apply to such E-waste and Batteries.

(iv) Sub-component 4. Promoting Citizen Engagement (CE)

28. **This is a critical approach to improving accountability associated with service delivery.** Citizen Engagement (CE) methods strengthen the communication between citizen users and service providers, narrowing the gap and distrust which often exists. Structured dialogue between communities and front-line service providers allows for direct input from service beneficiaries to their immediate providers about ways to improve delivery performance. In addition, these methods bolster provider “answerability” for its decisions, while improving incentives and sanctions to support a performance-oriented delivery system. This component will focus on two sets of activities designed to empower citizens in relation to service delivery providers.

29. **First, the Project will seek to provide access to information relating to service delivery focusing on ensuring greater awareness of citizen entitlements as well as the procedures and processes for accessing services under the RTPS law.** In order to ensure that all groups are targeted and reached, the Project would utilize multiple channels/media that are appropriate to the service, context, geography, user characteristics and other relevant factors. Key steps would be to:

- Undertake a detailed information requirement analysis (including the needs of excluded groups/under-served areas) and develop a realistic state-wide and grassroots Information, Education & Communication (IEC) plan;
- Conduct a state-wide IEC campaign customized to different communities;
- Ensure provision of information in a variety of ways including the on-line portal, notice-boards at RTPS centers, and effective implementation of the *suo motu* disclosure provisions of the Right to Information Act of Indian key service delivery departments.
- Conduct periodic audits on the state of information provision at centers/websites.

30. **Second, the Project will develop and integrate effective beneficiary feedback mechanisms in service delivery systems.** It will finance the development of a mobile phone and web-based citizen feedback system with respect to individual service delivery transactions. This electronic approach for beneficiary feedback would be integrated into the ICT platform to automatically elicit feedback after the service is delivered. Such feedback will be analyzed and used to pinpoint specific areas for further improvements. Additionally, a call center will be established to provide assistance to citizens in accessing services. The call center will also register, collate and forward any reported grievances to the relevant department for resolution within the stipulated time. Information on the status of complaint resolution would be a key area of focus for the Management Information System (MIS).

31. **The Project design incorporates strategic sequencing of activities to support achievement of the PDO. The sequencing approach is summarized in the table below:**

Table A.2.2: Sequencing of Activities

Component 1: Technical Assistance	Year-1	Year-2	Year-3	Year-4	Year-5
Strengthening RTPS implementation					
• Development of RTPS ICT platform and on-line portal					
• Capacity-building support for adaptation by staff					
• Establishment of RTPS Delivery Unit					
• Implementation of change management strategy					
• Strengthening of Project Base-line					
• Project MIS fully functional tracking Project performance					
Supporting Process Re-engineering in Selected Services					
• Simplification of Administrative procedures					
• Development of electronic systems for delivering targeted RTPS services within Departments.					
• Electronic delivery of services in 1 targeted department					
• Development of a quality management system					
• Electronic delivery of services in 3 targeted departments					

Component 1: Technical Assistance	Year-1	Year-2	Year-3	Year-4	Year-5
• Electronic delivery of services in all 4 targeted departments.					
• Integrated electronic repository of government certificates					
Setting-up Public Facilitation Centres					
• Setting up of about 428 Public Facilitation Centers with reliable broadband connectivity, ICT equipment and staff					
Promoting Citizen Engagement					
• Information and Education Campaign					
• Mobile based citizen feedback system					
• Establishment of call center					

Component 2: Results- based financing (US\$ 7.5 million IBRD; US\$ 1.875 million GoA)

32. **A result-based financing approach will be used to reinforce the technical assistance program described in Component One and provide incentives for achieving key results.** Specifically, this component supports the Government’s Program which aims to broaden access to RTPS services particularly with regard to scheduled areas, increase the number of notified services and incentivize the establishment of Public Facilitation Centers across the state.
33. **Component Two aims to support the Government of Assam to implement critical reforms related to the delivery of public services.** It will disburse upon achievement of key results as measured by the Disbursement Linked Indicators (DLIs) included in Table A.2.3, against the execution of agreed-to Eligible Expenditures Programs (EEPs) included in Table A.2.4.
34. **Disbursement-Linked Indicators (DLIs):** Four DLIs have been selected for providing incentives to expand the coverage of RTPS to tribal districts; increase the number of services notified under the law; promote the setting-up of Public Facilitation Centers; and encourage the use of RTPS services by an increasing number of citizens.

DLI 1: Volume of applications submitted on-line for RTPS services increases

35. **The project aims to create a single online system through which all RTPS requests can be processed.** The Project will also incentivize citizens’ increased access to services under RTPS, given that citizens are mostly unaware of the Act and how to access services under its provisions; and number of citizens accessing RTPS services is meager.

DLI 2: Public Facilitation Centers fully operational to receive RTPS service requests on-line; and delivery of selected services

36. **Fully operational Public Facilitation Centers would entail fully equipped centers with adequately trained staff.** The centers would be expected to function at least six hours on all working days to receive RTPS service requests and be able to electronically deliver the targeted set of RTPS services. The Project proposes to allocate an amount of US\$ 1 million of the loan which will be disbursed upon achievement of this result.

DLI 3: Access to RTPS Services expanded to Targeted districts.

37. **Citizens’ access to services is uneven – especially in underserved geographical areas and sections of population.** To address the service delivery challenges and improve accountability, the GoA enacted the RTPS Act in 2012; 14 out of 31 service delivery departments participate in RTPS initiative, providing 55 RTPS services. The Government is in the process of expanding this number. However, citizens are mostly unaware of the Act and how to access services under its provisions. Even though there is a system for centralized monitoring of RTPS implementation in Assam, the quality of the information provided is lacking; and the number of citizens accessing RTPS services is meager. It is proposed that an amount of US\$ 2.5 million of the Loan to GoA be allocated for disbursement to facilitate citizens’ increased access to services under RTPS.
38. **The Assam RTPS Act 2012 has so far not been implemented in the six Autonomous Districts of Assam, which are largely inhabited by tribal and indigenous people.** These six districts are substantially administered by local Autonomous Councils under the sixth Schedule of the Indian Constitution; and formal endorsements of the local councils are required before an Act of the State Legislature is enforced within their jurisdiction. GoA has initiated the dialogue process with the Autonomous Councils to extend the coverage of the ARTPS Act to all these six districts; and progressively notify public services under this Act. The Project proposes to allocate an amount of US\$ 2.5 Million of the Loan to GoA which will be disbursed upon achievement of this result.

DLI 4: Increased number of services notified under RTPS Act

39. **Fifty-five (55) public services of 14 departments have so far been notified under the Assam Right to Public Service Act.** The GoA plans to notify at least 25 more services within the ambit of the Act over the next five years. An amount of US\$1.5 million of the loan has been allocated for disbursement upon achievement of this result.

Table A.2.3: Disbursement-Linked Indicators (DLIs)

<i>Project DLIs</i>	<i>Rationale</i>
<u>DLI #1:</u> Number of applications submitted on-line for RTPS services increases.	Facilitate access to more accountable, effective and transparent public services by citizens of Assam.
<u>DLI #2:</u> Public Facilitation Centers fully operational.	Facilitate access to public services through the geographical expansion of the service access center network to district, sub-division, circle and block offices.
<u>DLI #3:</u> Access to RTPS Services expanded to Targeted districts.	Expand coverage of Assam RTPS Act to all Autonomous Council districts administered by Autonomous Councils under the 6th Schedule of the Indian Constitution.
<u>DLI #4:</u> Number of Services notified under the ARTPS Act.	Notifying additional services under the Assam Right to Public Service Act for simplified, time-bound service delivery.

40. **The DLIs will be disbursed against Eligible Expenditure Programs (EEPs).** The Eligible Expenditure Program to support the DLI component will be salaries of the Department of

Revenue under major Heads of Stamps and Registration and Land Revenue. An Eligible Expenditure Program for the Project has been estimated. The EEP has been computed from Major Heads 2030 and 3473 for Stamps and Registration and Major Head 2029 for Land Revenue. The Object Heads include Pay, DA, LTC, Medical Allowance, HRA and medical reimbursements. The Minor Heads include Direction and Administration, Survey and Settlement, Land records and collection charges. An EEP report will be submitted annually in support of the DLI achieved. This will be based on the expenditure generated from the CTMIS. Disbursement against the DLI component will be made on an annual basis based on achievement of the DLIs as per the independent verification and the execution of the identified EEPs.

Table A.2.4: Projected Disbursement against DLIs

Particulars	Total	Year 1	Year 2	Year 3	Year 4	Year 5
Bank share (million \$)	7.5	1.79	1.48	1.48	1.48	1.29
GoA share (million \$)	1.9	0.44	0.37	0.37	0.37	0.32
Total (million \$)	9.4	2.23	1.85	1.85	1.85	1.62
Converted to INR million (@ 65)	611	144.95	120.25	120.25	120.25	105.3
In INR lakhs	6,110	1,449.5	1202.5	1202.5	1202.5	1053

Annex 3: Implementation Arrangements

Project Institutional and Implementation Arrangements

- 1. The Project will use existing state-level institutional arrangements to support the management and implementation of envisaged activities.** The Project will be implemented through the Assam Rural Infrastructure and Agriculture Services Society (ARIAS), which manages Bank-financed projects in Assam. The State Project Director of ARIAS will serve as Project Director of this Project. This existing institutional arrangement will be beneficial for coordination among GoA departments and streamlining fiduciary arrangements. The procurement and financial management specialists to be hired by under the project will facilitate all fiduciary activities related to the Project, under supervision of the existing Senior procurement and financial management experts of ARIAS.
- 2. The existing high level Project Guidance Council of the ARIAS Society will be responsible for the overall management of the Project.** The Council is headed by the Chief Secretary with the senior most Secretaries of all stakeholder departments associated with the project co-opted as members, such as Administrative Reforms and Training Department (AR&T), Finance, Planning & Development, Revenue, WPT&BC, and Information Technology (IT). This Council will provide strategic direction and facilitate coordination among different departments. It will also resolve any major problems that affect project implementation.
- 3. The existing Governing Body of the ARIAS Society will directly oversee the Project and be responsible for regular monitoring.** The Governing Body will be chaired by the Additional Chief Secretary and Agriculture Production Commissioner, Assam; other co-opted members will be the Secretaries of stakeholder Departments, such as Administrative Reforms and Training, Finance, Planning & Development, Revenue, WPT&BC, and IT, among others. The mandate of the Governing Body will also include routine coordination among involved departments. It will be responsible for monitoring the Project's goals and targets on a regular basis.
- 4. A senior civil servant from the GoA will serve as the full-time Project Director and will oversee implementation on a day-to-day basis.** The Project Director will serve as the Member Secretary of the Governing Body. Other key implementing entities responsible for different Project components will be the departments of Revenue, WPT&BC, Transport and Guwahati Municipal Corporation, with other departments to be included subsequently. The respective Secretaries of these departments will assist in Project management and collaborate with the Project Director on supervision of Project activities. Authority to approve all procurement under this project has been delegated to the ARIAS Society.
- 5. A Project Management Unit (PMU) within ARIAS will coordinate with all participating agencies and liaise with the Bank.** The PMU will oversee technical inputs,

consolidate required documentation, and conduct financial management and procurement activities. The Project Director and the PMU will be responsible for ensuring compliance with the Bank's financial management, procurement regulations and safeguard requirements, and will report to the Bank on a regular basis.

6. **In addition, the Project will identify focal points in each of the implementing agencies to facilitate Project implementation.** A nodal officer in each of these departments will coordinate Project activities, with the support of PMU-appointed staff. Such staff will assist with the implementation of process re-engineering, and the conduct of change management and capacity-building initiatives.

Financial Management Arrangements

7. **Financial Management:** The Project has, acceptable financial management arrangements for accounting and reporting of Project expenditures. From a financial management perspective, the primary implementing agency will be the Assam Rural Infrastructure and Agriculture Services Project (ARIAS) Society, which manages Bank-financed projects in Assam. The State Project Director of ARIAS will serve as Project Director of this Project. A dedicated Project Management Unit (PMU) within ARIAS will coordinate with all participating departments and liaise with the Bank. The PMU will oversee technical inputs, consolidate required documentation, and conduct financial management and procurement activities.

Financial Management Arrangements (for the TA Component)

8. **Budgeting:** The Project will be budgeted under a separate budget head in the Government of Assam's budget under the demand for grants of the Department of Administrative Reforms and Training (AR&T) – Budget Head (Grant No 11-2052-00-090-32-99) has been created. A detailed work plan for the Project as prepared by ARIAS will be the basis for the annual budget provision in the state budget.
9. **Funds Flow:** The DDO in AR&T/ARIAS will periodically draw funds from the state budget as 'Grant in Aid' which will be deposited into Project specific bank account. Fund transfers from ARIAS for decentralized activities to district e-governance societies will be facilitated by extending the existing centralized fund management arrangement with commercial banks (parent-child zero balance account) to facilitate payments at the district level. Activities related to the acquisition of major goods (IT and non IT), non-consultancy and consultancy contracts will be centralized in ARIAS.
10. **Accounting and financial reporting:** ARIAS society operates an off the shelf accounting system (TALLY) and follows the cash basis of accounting, which will be extended to this Project. The chart of accounts reflecting the Project specific activities will need to be updated in TALLY, which will enable Project specific reporting. 80 % of the project expenditures will be managed, paid and accounted for centrally. District e-governance societies, will operate on an imprest (advance) basis for meeting costs related to training and operating costs from such imprest and submit monthly standardized statement of

expenditures to the PMU for purposes of accounting. The Financial Management Manual has been prepared covering the project activities.

11. **Staffing:** The finance function of ARIAS is headed by a Chief Financial Controller (CFC) and supported by 2-3 finance consultants at the state level. The finance staffing at ARIAS has been strengthened with two FM consultants. The position of Chief Financial Controller in ARIAS needs to be filled in by a full time incumbent.
12. **Internal Control:** ARIAS is a special purpose vehicle (Society) with its own governing body and project guidance council. ARIAS has a long history of implementing Bank-financed Project and the internal control framework is documented in the FM manual as 80% of the project activities is centralized at ARIAS level.

Financial Management Arrangements for the DLI Component

13. **Eligible Expenditure Programs (EEPs):** The main EEP to support the DLI component will be the salaries of the Department of Revenue under major Heads of Stamps and Registration and Land Revenue. For this, specific budget heads from the state budget have been identified which will adequately cover the value of DLIs each year. Monthly pay bills are prepared manually by the DDOs and submitted to the respective treasuries, based on which payments are made by the treasuries. The Directorate of Accounts and Treasuries is in the process of transiting to electronic payment of salaries without any manual intervention and efforts are also underway to populate the HRMIS with pay related data which will facilitate electronic preparation of pay bill by the DDO. An EEP report will be submitted annually to the World Bank in support of the DLI achieved. This will be based on the expenditure generated from the CTMIS.
14. **The Eligible Expenditure Program to support the DLI component will be salaries of the Department of Revenue and Disaster Management.** The Department is responsible for administering all facets of land and land revenue besides various aspects of disaster management and strengthening the resilience against disaster. They are also responsible for delivering the most relevant RTPS services. The Budget heads operated by the Department of Revenue and Disaster Management Department that have been identified as related to the delivery of project results as shown in Table A.3.2.³² The EEP has been computed from Major Heads 2030 and 3475 for Stamps and Registration and Major Head 2029 for Land Revenue. The object Heads include Pay, DA, LTC, Medical Allowance, HRA and medical reimbursements. The Minor Heads include Direction and Administration, Survey and Settlement, Land records and collection charges.

³² The following EEPs will provide funding to support achievement of DLIs as follows: DLI 1: 202900001317; 202900101000; 202900102444 and 202900102446. DLI 2: 202900103146. DLIs 3 & 4: 202900102447; 20300300131; 3475008001474; and 20300100100.

Table A.3.1: Eligible Expenditure Programs (EEPs)

S. No.	Major Head	Sub Major Head	Minor Head	Sub Head	Detailed Head					
Grant name: Land Revenue (06)										
1	2029	Land revenue	n/a	n/a	001	Direction & Admin	140	Directorate of Land Records	01	Salaries
2	2029	Land revenue	n/a	n/a	001	Direction & Admin	317	Directorate of Land Requisition and Acquisition	01	Salaries
3	2029	Land revenue	n/a	n/a	101	Collection Charges	n/a	n/a	01	Salaries
4	2029	Land revenue	n/a	n/a	102	Survey and Settlement Operations	444	General & Controlling Section	01	Salaries
5	2029	Land revenue	n/a	n/a	102	Survey and Settlement Operations	445	Drawing Sections	01	Salaries
6	2029	Land revenue	n/a	n/a	102	Survey and Settlement Operations	446	Reproduction Sections	01	Salaries
7	2029	Land revenue	n/a	n/a	102	Survey and Settlement Operations	447	Traverse Section	01	Salaries
8	2029	Land revenue	n/a	n/a	103	Land Records	146	District Charges	01	Salaries
Grant name: Stamps and Registration (07)										
9	2030	Stamps and Registration	01	Stamps - Judicial	001	Direction & Admin	n/a	n/a	01	Salaries
10	2030	Stamps and Registration	03	Registration	001	Direction & Admin	31	HQ Admin	01	Salaries
11	3475	Other General Economic Services	n/a	n/a	800	Other Expenditure	1474	Registration of firms and societies	01	Salaries

15. For each year, the amount eligible for disbursement will be equivalent to the price of the DLIs achieved as given in the table above. Where achievement of a DLI cannot be verified, an amount equivalent to the price of that DLI will be withheld. This amount may be paid at any later date when such achievement can be verified by the Bank.

Table A.3.2: Pricing of DLIs

DLI	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
		US\$ ('000)					
DLI 1: Number of applications submitted on-line for RTPS services	0	500	500	500	500	500	2,500
DLI 2: Public Facilitation Centers fully operational	0	0	250	250	250	250	1,000
DLI 3: Access to RTPS Services expanded to targeted Districts.	0	1,100	350	350	350	350	2,500
DLI 4: Services notified under the ARTPS Act.	0	187.5	375	375	375	187.5	1,500
Total Financing Allocated:	0	1,787.5	1,475	1,475	1,475	1,287.5	7,500

16. **Disbursement schedule.** Table A.3.4 below presents the indicative disbursement schedule for DLI based disbursements under Component 2.

Table A.3.3: Indicative Disbursement Schedule (DLI component)

S. No	EEP Reporting Period	DLI verification and EEP Reporting	Disbursement	No. Of DLIs to be achieved	Expected Disbursement USD million
1	June 30, 2016- March 31, 2017	30-Jun-17	Aug-17	1	1.100
2	April 2017 to September 2017	30-Nov-17	Dec-17	2	0.6875
3	October 2017 to March 2018	31-May-18	Jun-18	2	0.850
4	April 2018 to September 2018	30-Nov-18	Dec-18	2	0.625
5	October 2018 to March 2019	31-May-19	Jun-19	2	0.850
6	April 2019 to September 2019	30-Nov-19	Dec-19	2	0.625
7	October 2019 to March 2020	31-May-20	Jun-20	2	0.850
8	April 2020 to September 2020	30-Nov-20	Dec-20	2	0.625
9	October 2020 to March 2021	31-May-21	Jun-21	2	0.500
10	April 2021 to September 2021	30-Nov-21	Dec-21	1	0.7875
			Total	18	7.500

EEP will be considered on a cumulative basis.

17. **External Audit:** ARIAS will engage a firm of chartered accountants acceptable to the Bank to audit and certify the annual financial statements of the Project. The TORs for the audit will be agreed with the Bank and documented in the FM Manual. The audits would be conducted on an annual basis and the audit reports would be submitted to the Bank within nine months of the close of each financial year. For the DLI component, reliance will be placed on the state audit report, supported by a financial report from AG (A&E) for the specific budget head up to the Object Head level. As the state audit report is made available only after it is placed in the state legislature, the same will be shared with the Bank within 12 months of the close of the financial year. Thus the following audit reports would be monitored:

Table A.3.4: Project Audit Arrangements

Implementing Agency	Audit	Auditors	Period of submission
ARIAS	Annual Project financial statement for the Technical Assistance Component	Firm of Chartered Accountants	Within nine months of close of financial year i.e. by Dec 31.
ARIAS	State Annual Audit Report	AG (audit)	Within 12 months of the close of the financial year i.e. by March 31 st of the following year.
DEA	Designated Account	CAG	Within nine months of close of financial year i.e. by December 31.

The audited Project financial statements will be hosted on the website of the society in line with the Bank's disclosure policies.

Disbursements and Designated Account: Disbursements and Designated Account:

18. There will be no advance. Withdrawals from the designated account will be on the basis of withdrawal applications to the extent of reported expenditure in Interim Unaudited Financial Reports (IUFs) by ARIAS. Disbursement against the DLI component will be made on an annual basis based on achievement of DLIs, supported by EEPs and independent verification of the DLIs achieved.
19. **Retroactive Financing:** Project expenditures incurred after January 1, 2017 and procured following Bank procurement guidelines will be eligible for retroactive financing up to a maximum of 20 percent of the proposed loan (that is, US\$7.84 million). A Project Preparation Advance (PPA) of USD 2 million has been made available to the Project which will be refinanced through this IBRD Loan.³³

Procurement Arrangements

20. **Procurement for the proposed Project will be carried out in accordance with the World Bank's Guidelines:** (a) "Guidelines: Procurement of Goods, Works and Non-Consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers" dated January 2011 and as updated in July 2014 (Procurement Guidelines); and (b) "Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers" dated January 2011 and as updated in July 2014 (Consultant Guidelines) and the provisions stipulated in the Legal Agreement. The Project would be subject to the Bank's Anti-Corruption Guidelines, dated October 15, 2006, and revised January 2011.
21. **E-procurement System:** The GoA is using the National Informatics Center's (NIC) e-procurement system for procurements. An assessment of the NIC e-procurement system has been done and it has been found suitable for use in Bank funded projects, in accordance with Multilateral Development Banks (MDB) e-Governance projects requirements. Therefore, the same system shall be used for high value procurements under this Project as required during the implementation of the project.

The following major procurements are envisaged under the Project:

22. **Procurement of Works:** There are no works envisaged to be procured under the TA component of the Project.
23. **Procurement of Goods:** The major goods and non-consulting services to be procured under the project during the first 18 months are purchase of ICT Hardware, Selection of Manpower Agency, selection of service provider for ensuring reliable network connectivity, services for hosting RTPS portal software applications. Procurement of Goods shall be done following Shopping, NCB and ICB procedures of the Bank which

³³ USD 400,000 have been allocated in the Loan Agreement (Section IV.A.2. of Schedule 2) to refinance this PPA.

would be carried out by using the Bank's Standard Bidding Documents (SBD) as a base and as agreed with the Bank. The provisions of paragraphs 2.55 and 2.56 of the Procurement Guidelines, providing for domestic preference in the evaluation of bids, will apply to goods manufactured in the territory of the borrower.

24. Other goods including IT equipment and software will be procured following ICB, NCB, shopping methods and using framework agreements. Framework Agreements using DGS&D rate contracts can be used to procure goods up to NCB threshold subject to incorporation of right to audit and Fraud and Corruption (F&C) clauses. The Standard Bidding documents of the Bank as agreed with the Government of India Task Force (as amended from time to time) for all procurement under NCB will be used.

Selection of Consultants

25. The full details of the procurements to be carried out under the Project as far as consultants are concerned have been finalized and are disclosed in the Procurement plan.

Procurement Capacity and Risk Assessment of Implementing Agencies

26. **Procurement Risk Assessment:** The Procurement Risk Assessment and Management System (PRAMS) assessment has been carried out for the implementing agency. The State has weak procurement capacity, and the Department of Administrative Reform and Training has no prior experience in procurement under Bank funded Projects. To mitigate this risk, it has been agreed that the Project will be implemented by the Assam Rural Infrastructure and Agriculture Services Society (ARIAS), which has been tasked with implementing Bank-Financed Projects in Assam. A Project Management Unit (PMU) will be established within the Assam Rural Infrastructure and Agricultural Services Society (ARIAS) to manage day-to-day implementation and liaise with the Bank. The PMU will oversee all procurements related to the Project and will be responsible for ensuring compliance with the Bank's procurement requirements, and reporting to the Bank in a timely manner. The PMU will have dedicated procurement staff conversant with Bank's procurement guidelines and experience of working in Bank-funded Projects. Based on these arrangements, for the Project, the procurement risk is "Moderate" as procurement staff at ARIAS are conversant with the Bank procurement guidelines.
27. **Record Keeping:** All records pertaining to the award of tenders, including bid notification, register pertaining to sale and receipt of bids, bid opening minutes, Bid Evaluation Reports; and all correspondence pertaining to bid evaluation, communication sent to/with the World Bank in the process, bid securities, approval of invitation/evaluation of bids by the PMU/PMC would be retained by the Implementing Agency.

Procurement Plan

28. For contracts to be financed by the Bank, the different procurement methods or consultant selection methods, the need for prequalification, estimated costs, prior review requirements, and time-frame are agreed between the Borrower and the Bank in the procurement plan.

29. The procurement plan for procurement to be taken up during the first 18 months of Project implementation is enclosed below. The procurement plan will be updated at least annually or as required to reflect the actual Project implementation needs and improvements in institutional capacity. The Procurement Plan as agreed will be uploaded in Bank's online procurement plan system – STEP (Systematic Tracking of Exchanges in Procurement). Initial training on the operation of the STEP system has been provided to the procurement staff of the implementing agency.

Complaint Handling Mechanism

30. **To address procurement complaints received by the proposed Project, a complaint handling mechanism will be implemented by the PMU.** Upon receipt of complaints, immediate action would be initiated to acknowledge the complaint and to redress it within a reasonable timeframe. All complaints will be addressed at levels higher than the level at which the procurement process was undertaken or the decision was taken. Any complaint received will also be forwarded to the Bank for information, and the Bank would be kept informed after the complaint is redressed.
31. **Procurement Training:** Key staff of the project and the procurement specialist may be sent for trainings at ASCI, Hyderabad / NIFM, Faridabad. The project could also avail of the free Massive Open Online Course on public procurement (www.procurementlearning.org) offered by the Bank as well as the paid Professional Diploma in Public Procurement course delivered through the Charter of Public Procurement Studies.

Disclosure of Procurement Information

32. **The following documents shall be disclosed on the Project websites:** (i) procurement plan and updates, (ii) invitation for bids for goods for all ICB, NCB and shopping contracts, (iii) request for expression of interest for selection/hiring of consulting services, (iv) contract awards of goods procured following ICB/NCB procedures, (v) list of contracts/purchase orders placed following shopping procedure on quarterly basis, (vi) shortlist of consultants, (vii) contract award of all consultancy services, (viii) list of contracts following direct contracting, or consultant qualification selection or single source selection on a quarterly basis, (ix) monthly financial and physical progress report of all contracts, and (x) action taken report on the complaints received on a quarterly basis.
33. **The following details shall be publishing in the UNDB online and World Bank external website:** (a) invitation for bids for procurement of goods using ICB procedures, (b) request for expression of interest for consulting services with estimated cost more than US\$300,000, (c) contract award details of all procurement of goods using ICB procedures, (d) contract award details of all consultancy services with an estimated cost of more than US\$300,000, and (e) list of contracts/purchase orders placed following SSS or CQS or Direct Control procedures on a quarterly basis. In addition, implementing agencies will

also publish on their websites any information required under the provisions of “*suo motu*” disclosure as specified by India’s Right to Information Act.

Procurement Post Review

34. All contracts not covered under prior review by the Bank will be subject to post review during Implementation Support Missions and/or special post review missions including missions by consultants hired by the Bank. Notwithstanding the foregoing, the Bank will be entitled to conduct, at any time, independent procurement reviews of all the contracts financed under the Loan.
35. **Frequency of Procurement Supervision:** Two missions in a year each at an interval of six months are envisaged for procurement supervision of the proposed Project. Mission frequency may be increased or decreased based on the procurement performance of the project.

Contract Management

36. **A fully staffed PMU will be responsible for overall Project/contract management.** The team will be ably assisted by a multi-skilled Project management team, engaged to provide overall implementation support and monitor all consultancy and non-consultancy contracts.
37. **Use of government owned enterprises and institutions:** Government-owned enterprises or institutions in India may be hired for activities of a unique and exceptional nature if their participation is considered critical to achievement of project objectives. In such cases the conditions provided in clause 1.13 of the Consultant Guidelines and clause 1.10 of the Procurement Guidelines, will be satisfied and each case will be subject to prior review by the World Bank.

Prior Review Thresholds for Procurement of Goods and Non-Consulting Services:

Prior Review for Procurement of Goods and Non-Consulting Services (NCS)

38. Prior review and procurement method thresholds agreed for the Project based on the risk assessed are detailed in the tables below. These thresholds are based on “Moderate” procurement risk rating and may be reviewed and revised, if necessary, during the life of the proposed Project so that these are consistent with the risk assessments made periodically.

Table A3.5: Procurement Methods and Thresholds For Goods/NCS

Method of Procurement	Thresholds for Method (USD equivalent)	Prior Review Threshold (USD)
ICB (Goods, Information Technology and non-consulting services)	> 3 million	First contract (irrespective of threshold) and all contracts above USD 4 million

NCB (Goods, Information Technology and non-consulting services)	> USD 100,000 and up to USD 3 million	
Shopping (Goods, Information Technology and non-consulting services)	Up to USD 100,000	
Direct Contracting	As per paragraph 3.7 of Procurement Guidelines	All contracts above the respective prior review thresholds mentioned above. The justification for Direct Contract shall be prior reviewed in all cases.

NOTE: The Procurement Plan shall set forth those contracts which shall be subject to the Bank's Prior Review. All other contracts shall be subject to Post Review by the Bank. Notwithstanding the foregoing, the Bank shall be entitled to conduct, at any time, independent procurement reviews of all the contracts financed under the Loan.

39. For Supply & Installation packages, the following will apply:

(a) For the purpose of clearance of the bidding documents, the value of each slice will be considered:

- If the estimated value of any slice of a package is more than US\$15 million, the bidding document for the entire package will be prior reviewed.
- If the estimated value of each slice is less than US\$ 15 million, but the combined value of all the slices is more than US\$ 15 million, the bidding documents will not be prior reviewed. However, one sample bidding document will be agreed with the Bank for each type of package and the bidding documents, including those under post review, will be prepared as per this agreed sample. The clauses which will need modifications will also be agreed with the Bank

(b) For the purpose of clearance of the recommendation for award, the following will be considered:

- If the estimated value of any of the slices in the package is US\$ 15 million or more, the entire package will be subject to prior review.
- If the estimated value of each slice is less than US\$ 15 million but the value of any recommended contract is US\$15 million or more, the award recommendation and the evaluation report for the complete package of all the slices will be subject to prior review. For this purpose, PMU will forward a set of complete bidding documents and the evaluation report to the Bank for prior review.
- If the estimated value of each slice is less than US\$15 million and the value of the recommended contract for each slice is also less than US\$15 million, but the aggregate value of contracts recommended for award to one bidder is US\$ 15 million or more, the award recommendation and the evaluation report for the complete package of all the slices will be subject to prior review. For this purpose, the implementing agency will forward a set of complete bidding documents and the evaluation report to the Bank for prior review.

40. The Prior Review Thresholds will be reviewed during the implementation of the project and may be modified.
41. In the case of contracts subject to prior review, before granting / agreeing to (a) a material extension of the stipulated time for performance of a contract; or (b) any substantial modification or waiver of the scope of services or other significant changes to the terms and conditions of the contract; or (c) any change variation order or orders under such contract amendment (except in cases of extreme urgency) which would in aggregate, singly or combined with all variation orders or amendments previously issued, increase the original contract amount of the contract by more than 15% (fifteen percent); or (d) the proposed termination of the original price contract, the Borrower shall seek the Bank's no objection to the proposed extension, modification, or change order.
42. A copy of all amendments to the contract shall be furnished to the Bank for its record.
- i. **Prequalification:** Not Applicable
- ii. **Reference to Project operational/Procurement Manual:** Standard Bidding Documents agreed between Project and Bank will be used for all Supply & Installation, consultancy and goods procurements.
- iii. **Any Other Special Procurement Arrangements:** National Competitive Bidding (NCB) method for procurement of goods as per the above value thresholds will be conducted in accordance with paragraph 3.3 and 3.4 of the World Bank Procurement Guidelines and the following provisions:
- a. Only the model bidding documents for NCB agreed with the GoI Task Force (and as amended for time to time), shall be used for bidding;
 - b. Invitations to bid shall be advertised in at least one widely circulated national daily newspaper (or on a widely used website or electronic portal with free national and international access along with an abridged version of the said advertisement published in a widely circulated national daily inter-alia giving the website/electronic portal details from which the details of the invitation to bid can be downloaded), at least 30 days prior to the deadline for the submission of bids;
 - c. No special preferences will be accorded to any bidder either for price or for other terms and conditions when competing with foreign bidders, state owned enterprises, small scale enterprises or enterprises from any given state;
 - d. Extension of bid validity shall not be allowed with reference to Contracts subject to Bank prior review without the prior concurrence of the Bank (i) for the first request for extension if it is longer than four weeks; and (ii) for all subsequent requests for extension irrespective of the period (such concurrence will be considered by Bank only in cases of Force Majeure and circumstances beyond the control of the Purchaser/ Employer).
 - e. Re-bidding shall not be carried out with reference to Contracts subject to Bank prior review without the prior concurrence of the Bank. The system of rejecting bids outside a pre-determined margin or "bracket" of prices shall not be used in the project;

- f. Rate contracts entered into by Directorate General of Supplies and Disposals will not be acceptable as a substitute for NCB procedures unless agreed with the Bank on case to case basis. Such contracts will be acceptable however for any procurement under the Shopping procedures. Framework Agreements using DGS&D rate contracts can be used to procure goods up to NCB threshold subject to incorporation of right to audit and Fraud & Corruption clauses.
- g. Two or three envelope system will not be used (except when using e-Procurement system assessed and agreed by the Bank);
- h. No negotiations are conducted even with the lowest evaluated responsive bidders.

43. **Domestic Preference:** The provisions of paragraphs 2.55 and 2.56 of the Procurement Guidelines, providing for domestic preference in the evaluation of bids is applicable.

44. The bid evaluation will be carried out as per agreed timeline in the Procurement Activity Schedule.

Selection and Employment of Consultants

45. All consulting contracts estimated to cost the equivalent of US \$ 300,000 or more per contract will be awarded following the procedures in Section II (Quality-and Cost-Based Selection) of the Bank’ s Consultant Guidelines. All other consulting contracts will be awarded following the Selection Based on the Consultants’ Qualifications (CQS) method as per Para. 3.7 or Section V (Selection Individual Consultants) of the Consultant Guidelines, as appropriate.

46. **Prior Review Threshold for Selection of Consultants:** Prior review and procurement method thresholds agreed with the Project based on the risk assessed are detailed in the tables below. These thresholds are based on “Moderate” procurement risk rating and shall be reviewed and revised, if necessary, during the life of the proposed Project so that these are consistent with the risk assessments made periodically.

Table A.3.6: Procurement Methods and Thresholds for Consultants

Method of Procurement	Threshold (USD Equivalent)	Prior Review Threshold
(a) Quality and Cost Based Selection	No threshold	First consultancy contract irrespective of threshold and subsequently all other contracts above USD 2 million
(b) Quality Based Selection	No threshold	
(c) Selection Made Under a Fixed Budget	No threshold	
(d) Least Cost Selection	No threshold	
(e) Selection Based on Consultant’s Qualifications	< 300,000	
(f) Single Source Selection	As per Consultant Guidelines Para 3.9-3.11	All contracts above the prior review threshold for selection of firms and individuals, as applicable for this

		project, i.e. USD 2 million for firms and USD 400,000 for Individuals. The justification for Single Source shall be prior reviewed for all single source selections, irrespective of prior review thresholds.
(g) Selection of Individual Consultants	As per Section V of Guidelines	All contracts above USD 400,000. In case of contract to individuals, the qualifications, experience, terms of reference and terms of employment shall be subject to prior review

Note: The Procurement Plan shall set forth those contracts which shall be subject to the Bank's Prior Review. All other contracts shall be subject to Post Review by the Bank. Notwithstanding the foregoing, the Bank shall be entitled to conduct, at any time, independent procurement reviews of all the contracts financed under the Loan. The Prior Review Thresholds will be reviewed during the implementation of the project and modified. For selection of particular type of consultants, procedures mentioned in paragraphs 3.15 to 3.21 of the consultant guidelines shall be followed.

47. In the case of contracts subject to prior review, before agreeing to: (a) an extension of the stipulated time for performance of a contract; (b) any substantial modification of the scope of services, substitutions of key experts, or other significant changes to the terms and conditions of the contract; or (c) the proposed termination of the contract, the Borrower shall seek the Bank's no objection. A copy of all amendments to the contract shall be furnished to the Bank for its record.
48. Short List comprising entirely of national consultants: Short list of consultants for services, estimated to cost less than USD 800,000 equivalent per contract, may comprise entirely of national consultants in accordance with the provisions of paragraph 2.7 of the Consultant Guidelines.
49. The Request for Expression of Interest for consultancy services estimated to cost above USD 300,000 equivalent per contract for firms shall be advertised in UNDB online and World Bank external website and in accordance with other provisions of Para 2.5 of the Consultant Guidelines.

**Table A.3.7 Procurement Plan for Goods and Non-Consulting Services
(Period: Within first 18 months of the Project)**

1	2	3	4	5	6	7	8	9	10	11	12	13	14
SL	Pkg. No	STEP-Reference No	Description of Works/ Goods/ Non-Consulting Services	Estt. Cost. (Rs. in Lakhs)	Estt. Cost. (Rs. in Million)	Estt. Cost. (US\$ in Million)	Review by Bank (Prior / Post)	Method of Procurement	Estimate Preparation (Month/ Yr)	Preparation of Bid Document (Month/ Yr)	Bid Invitation (Month/ Yr)	Bid Open (Month/ Yr)	Contract Sign (Month/ Yr)
Conversion Rate: 1 US\$ =Rs. 68													
A			GOODS										
	CCSDP/G 1	IN-ARIAS-10226-GO-RFB	Purchase of ICT Hardware for Public Facilitation Centers and Departments	1198.35	119.84	1.76	Post	NCB	Oct.2017	Nov.2017	Dec.2017	Jan.2018	Mar.2018
B			NON CONSULTING SERVICES										
1	CCSDP/NCS1	IN-ARIAS-9370-NC-RFB	Manpower agency for hiring staff for 428 Public Facilitation Centers	8160.00	816.00	12.00	Prior	NCB	Feb.2016	Mar.2016	May.2016	June.2016	Mar.2017
2	CCSDP/NCS2	IN-ARIAS-9385-NC-RFB	Service contract for ensuring reliable network connectivity at first 428 identified Public Facilitation Centers (PFC) and backend of departments	5208.96	520.90	7.66	Prior	NCB	Feb.2016	Mar.2016	May.2016	June.2016	Mar.2017
3	CCSDP/NCS3	IN-ARIAS-9391-NC-RFB	Services for hosting RTPS Portal software applications (Lumsum)	450.00	45.00	0.66	Post	NCB	Dec.2017	Jan.2018	Jan.2018	Feb.2018	Mar.2018
			Total	15017.31	1501.73	22.08							

**Table A.3.8 PROCUREMENT PLAN FOR CONSULTING SERVICES
(Period: Within first 18 months of the Project)**

1	2	3	4	5	6	7	8	9	10	11	12	13	14
Sl	Pkg. No	STEP-Reference No	Description of consultancy	Estt. Cost. (Rs. in Lakhs)	Estt. Cost. (Rs. in Million)	Estt. Cost. (US\$ in Million)	Review by Bank (Prior / Post)	Method of Procurement	Finalization of TOR (Month/ Yr)	Issue REOI (Month/ Yr)	Prepare Short List (Month/ Yr)	Issue RFP Doc. (Month/ Yr)	Evaluate Proposals (Month/ Yr)
Conversion Rate: 1 US\$ =Rs. 68													
1	CCSDP/CONS-1	IN-ARIAS-9394-CS-CDS	Study to assess gaps in e-district for current and sustained e-services delivery over time.	9.00	0.90	0.01	Post	Single Source	Nov.2016	Dec.2016	-	Jan.2016	Jan.2016
2	CCSDP/CONS-2	IN-ARIAS-9337-CS-CQS	Hiring of a Head Hunting Firm for hiring of recruitment of Lead Consultants (Lumsun)	30.00	3.00	0.04	Post	CQS	Jan.2017	Jan.2017	Feb.2017	Mar.2017	Apr.2017
3	CCSDP/CONS-3	IN-ARIAS-9338-CS-QCBS	Hiring of an agency to conduct Business Process Reengineering (BPR) for RTPS service delivery in selected departments (#1)	678.00	67.80	1.00	Post	QCBS	Feb.2016	Feb.2016	June.2016	June.2016	Aug.2016
4	CCSDP/CONS-4	IN-ARIAS-9344-CS-QCBS	IEC Campaign – citizen awareness: Conduct of statewide Information and Education Communication (IEC) Campaign to publicize the provision of RTPS Act, and with contextually customized outreach messages for all communities, especially the excluded social groups.	1250.00	125.00	1.84	Post	QCBS	Feb.2016	Feb.2016	June.2016	Mar.2017	Apr.2017
5	CCSDP/CONS-5	IN-ARIAS-9346-CS-QCBS	Conduct a project baseline and annual follow-up studies; design a Monitoring & Evaluation (M&E) system for project performance; and support project MIS (#2)	600.00	60.00	0.88	Prior	QCBS	Feb.2016	Feb.2016	June.2016	July.2016	Dec.2016
6	CCSDP/CONS-6	IN-ARIAS-9350-CS-QCBS	Develop, implement and maintain RTPS Integrated Portal for GOA (#3)	2040.00	204.00	3.00	Prior	QCBS	Nov.2017	Dec.2017	Jan.2018	Jan.2018	Feb.2018
7	CCSDP/CONS-7	IN-ARIAS-9355-CS-CQS	Ensuring implementation of RTPS and linkages of selected departments as per FRS & SRS by TPA	300.00	30.00	0.44	Post	QCBS/LCS	Nov.2017	Dec.2017	Jan.2018	Jan.2018	Feb.2018
8	CCSDP/CONS-8	IN-ARIAS-9357-CS-QCBS	Change Management (#4)	2000.00	200.00	2.94	Prior	QCBS	Feb.2017	Mar.2017	Apr.2017	May.2017	July.2017
9	CCSDP/CONS-9	IN-ARIAS-9362-CS-CQS	Third party verification of DLIs – annual	50.00	5.00	0.07	Post	CQS/LCS	Nov.2017	Dec.2017	Jan.2018	Jan.2018	Feb.2018
10	CCSDP/CONS-10	IN-ARIAS-9371-CS-INDV	Technical Support to selected Departments	750.00	75.00	1.10	Prior	Indv. Consultant	Feb..2017	Mar.2017	Apr.2017	May.2017	July.2017
11	CCSDP/CONS-11	IN-ARIAS-9378-CS-INDV	Technical support to Autonomous Councils	100.00	10.00	0.15	Post	Indv. Consultant	Feb..2017	Mar.2017	Apr.2017	May.2017	July.2017
12	CCSDP/CONS-12	IN-ARIAS-9384-CS-CQS	Support to Autonomous Councils (#5)	700.00	70.00	1.03	Post	QCBS	Nov.2017	Dec.2017	Jan.2018	Jan.2018	Feb.2018
13	CCSDP/CONS-13	IN-ARIAS-11197-CS-INDV	Development of a Public Private Partnership and licensing framework for PFCs and CSCs	15.00	1.50	0.02	Post	Indv. Consultant	Feb..2020	Mar.2020	Apr.2020	May.2020	July.2020

INDIVIDUAL CONTRACTS FOR PMU												
14	CCSDP/ CONS- 14	Individual Contract 1: Senior Advisor ACCSDP	152.50	15.25	0.22	Post	Indv. Consultant	Dec.2015	Dec.2015	Dec.2015		
15	CCSDP/ CONS- 15	Individual Contract 2: Business Process Re- engineering and IT Specialist (# 6)	120.00	12.00	0.18	Post	Indv. Consultant	Jan.2016	May.2016	May.2016		
16	CCSDP/ CONS- 16	Individual Contract 3: ICT Infrastructure Specialist (# 7)	120.00	12.00	0.18	Post	Indv. Consultant	Apr.2017	May.2017	May.2017		
17	CCSDP/ CONS- 17	Individual Contract 4: Social Development and Communication Specialist (#8)	120.00	12.00	0.18	Post	Indv. Consultant	Apr.2017	May.2017	May.2017		
18	CCSDP/ CONS- 18	Individual Contract 5: M & E Specialist (#9)	120.00	12.00	0.18	Post	Indv. Consultant	Apr.2017	May.2017	May.2017		
19	CCSDP/ CONS- 19	Individual Contract 6: Senior Procurement & Contract Management Specialist	120.00	12.00	0.18	Post	Indv. Consultant	Apr.2017	May.2017	May.2017		
20	CCSDP/ CONS- 20	Individual Contract 7: Financial Management Specialist	120.00	12.00	0.18	Post	Indv. Consultant	Apr.2017	May.2017	May.2017		
21	CCSDP/ CONS- 21	Individual Contract 8: PMU Support Staff (#10)	186.30	18.63	0.27	Post	Indv. Consultant	Dec.2015	Jan.2016	Jan.2016		
Total			9580.80	958.08	14.09							

- #1
- Make recommendations for reengineering/ simplification of administrative processes for service delivery under RTPS
 - Conduct diagnostics related to reform of RTPS services and make recommendations for strengthening implementation of RTPS Act
 - Recommend suitable record management system
 - Develop Functional Requirement Specification (FRS) for RTPS portal and electronic delivery of each targeted services (e.g. linkages to RTPS portal, departmental workflows, feedback system and grievance redressal)
 - Prepare DPR and Bid Documents for the electronic service delivery system/ ICT Platform
- #2
- Administer baseline survey
 - Establish project M&E framework based on the Results Framework & DLIs
 - Conduct annual follow-up surveys to gather feedback from citizen using RTPS services
 - Deploy a monitoring system to track project delivery, collating information from multiple channel and sources
- #3
- Develop System Requirement Specification (SRS) on the basis of approved FRS
 - Develop Portal to receive and process citizens' RTPS service requests on-line; and serve as gateway for citizens' online access to e-enabled targeted service, FAQs, Grievance Redressal system etc.
 - Centrally monitor RTPS in the State through automated tracking of individual service requests and appeals
 - Execute process simplification and digitization of 18 targeted services
 - Ensure horizontal linkages of modules among GoA departments, and offices within a department for back-end processing
 - Creating repository and digitization of legacy data
 - Maintain and monitor performance of RTPS portal and its services for a period of 5 years
- #4
- Frame and implement the change management strategy in Assam context to mitigate people and process related resistance to change.
 - Conduct training workshops and promote effective communication to support staff in adapting to change in their work methods
- #5
- For Business Process Reengineering and IT Services
- #6
- For Provide consulting input in the PMU to lead Business Process Re-engineering & Electronic Service Delivery (ESD) of targeted services
- #7
- Provide consulting input in the PMU to lead ICT infrastructure and connectivity upgrade for the project
- #8
- Provide consulting input in the PMU to lead IEC, Social Accountability & Change Management initiatives
- #9
- Provide consulting input in the PMU to lead M&E, Results and MIS
- #10
- Support Staff Total 11 Nos. - viz 4 Procurement & Contract Management + 2 Financial Management + 2 Office Management + 3 Office Boys. Estt. Cost= 4 for Procurement & Cpntaet Management upto @ Rs.55,000 pm/each + 2 for Financial Management upto @ Rs.55,000 pm/each+ 2 for Office Management upto @ Rs.35,000 pm/each + 3 Office Boys@Rs.13,500 pm; As on 31 Jan.2015, one FM Support Staff and one Office Management Staff have already been hired and contract issued for two Procurement & Contract Management Staff

Environmental and Social Safeguards

50. **Project interventions have the potential of bringing positive benefits for citizens by creating an enabling environment for improvement of services.** However, the extensive diverse conditions – physical as well as socio-economic and cultural – pose a challenge. The success of the project depends upon the project’s efforts at reaching the communities which, however, are quite diverse in many ways – social (scheduled castes, others), economic (landless, small, marginal, and large farmers), ethnic (scheduled tribe, others), gender (female headed households) and geographical setting (hills, plains, forests, flood prone). Added to the diversity and heterogeneity, there are other dimensions, such as those areas characterized as Conflict Affected, driven by migration and encroachment of lands as well as insurgency, leading to unrest and tensions rendering frequently accessibility highly difficult. Given the above background, the project identifies the following as significant social issues: (i) ensuring local participation as well as inclusion and enhancing equity; (ii) decentralizing service delivery; and (iii) human and institutional development. Towards achieving this, project’s strategy is underpinned by ‘change management initiatives’ aimed at government institutions and backed up by an effective information, education and communication (IEC) campaign.
51. **While the project would be centered on these initiatives, special efforts will be made to reach out to tribal people.** Assam has 3.88 million tribal people which accounts for 12.45% of the total population and 3.72% of the tribal population in India. Tribal people of Assam live predominantly in 10 districts and 90 % of them belong to eight major tribes. The tribal population in Assam is predominantly rural with 94.4% residing in rural areas. Further, in order to protect the interests of the tribal population, the provision of Sixth Schedule is enshrined in the Indian Constitution under Articles 244(2) and 275(1) which enables autonomous administration of certain tribal areas of Assam and other North Eastern States. The six such districts of Assam, under the Sixth Scheduled Areas, are: Karbi Anglong, Dima Hasao, Kokrajhar, Chirang, Baksa & Udalguri. While project interventions will have no negative impacts on tribal people (or for that matter, on any one), affirmative efforts targeting tribal people would be necessary to ensure that they are ‘included’ and derive ‘equitable’ benefits from project interventions.
52. **This in view, the World Bank’s Operational Policy (OP) 4.10 is triggered.** The other social safeguard policy, OP 4.12, Involuntary Resettlement, is not applicable as the project’s facilities will be housed in the existing government buildings and hence acquisition of lands is not warranted.
53. **A tribal Development Plan (TDP) is prepared in accordance with the Bank’s Operational Policy 4.10 (Indigenous Peoples) as well as in line with state/ national legal provisions.** The plan aims at building the capacity of both state as well as traditional institutions in the tribal areas to enable them to improve service provision to citizens. The Tribal Development Plan also focuses on expanding the ARTPS to tribal areas, including: (i) extension of ARTPS Act to the Sixth Schedule Areas, which would also involve provisioning of external consultancy support to the Autonomous Councils to assess the institutions, actors and processes for service delivery; and accordingly frame protocols of

refining / re-engineering these Statutes and processes; (ii) establishment of 66 Public Facilitation Centers to bring service delivery closer to tribal people; (iii) notifying the issuance of Scheduled Tribe certificate as RTPS services; (iv) communication and awareness campaign in local tribal languages using traditional communication media and art-forms; and (v) continued engagement with tribal communities during project preparation and implementation.

54. **Consultations have been held with all of the following Project stakeholders:** (i) targeted departments involved in service delivery; (ii) front-line service delivery institutions including District, Block, and Circle offices, as well as panchayats and CSCs; (iii) citizens in selected remote areas and communities; and (iv) NGOs working with underserved populations. In-depth citizen consultations were conducted in the more remote areas in order to understand citizen perceptions and needs related to service access. These consultations were conducted in six districts of Assam – Kamrup Metro, Kamrup, Nalbari, Baksa, Sonitpur and Morigaon. These districts were randomly selected to ascertain the status of connectivity and access to RTPS services.
55. **The PMU, which is housed in the ARIAS, a society of Government of Assam, will share the EMP with the participating block officials.** The EMP has a 4-part checklist of which 3 are to be filled up in the field by the block officials. Consultations have been organized with stakeholders for February 10 to seek their views on the draft EMP cleared by the Bank, which has been publicly disclosed, and complete the environmental safeguard preparation. Once these are filled up at the beginning of each of the sub-project steps, PMU will confirm the same and track progress in a 4th format which would be available for Bank review. The implementation of the relevant measures, including regulatory permissions, wherever required, would be confirmed by the block officials and verified by ARIAS during the site visits. The description of responsibilities of staff working on social aspects clarifies these responsibilities also.

Annex 4: Systematic Operations Risk-rating Tool (SORT)

I. Table A.4.1: SORT SUMMARY

Risk Category	Rating
1. Political and Governance	Moderate
2. Macroeconomic	Moderate
3. Sector Strategies and Policies	Moderate
4. Technical Design of Project or Program	Moderate
5. Institutional Capacity for Implementation and Sustainability	Substantial
6. Fiduciary	Moderate
7. Environment and Social	Low
8. Stakeholders	Substantial
9. Other	-
OVERALL	Substantial

II. SORT Risk Categories, Identified Risks and Mitigation Strategies

1. Political and Governance

Identified Risk

- The project might face challenges in delivering public services in remote parts of the State because of connectivity problems and isolation.
- While political commitment is evident in the enactment of RTPS legislation, cross-departmental governance remains a challenge.
-
- Weak transparency and accountability mechanisms couple with resistance to reform could hamper project implementation.

Primary Mitigation Strategies

- A high level Project Guidance Council chaired by the Chief Secretary has been established to facilitate cross government dialogue and reform and to provide strategic guidance and oversight of the Project. On a more routine basis, the Governing Body will provide this function.
- The Project design will include customized reform for marginalized citizens in underserved areas and it will tailor a reform approach to the individual contexts of these remote areas.
- A robust service delivery design will help address any malpractices and will aim to develop incentives to improve staff performance.

2. Macroeconomic

Identified Risks

- Assam is heavily dependent on the Central Government. The devolution of Centrally Sponsored Schemes to the states as a reaction to increased devolution of untied resources by the fourteenth finance commission is expected to raise the state's expenditure responsibilities.

Primary Mitigation Strategies

- Project funding is relatively unaffected, as these are earmarked budgetary resources and receive priority over other investment expenditure, as these are reimbursable by the World Bank.

3. Sector Strategies and Policies

Identified Risks

- The Project requires significant cross-department collaboration to achieve effective implementation of RTPS as well as process reforms within selected departments.
- Several Departments will be involved in the Operation. They could have varying levels of ownership and commitment; accountability and oversight; capacity and decision-making ability.
- Cross-government e-Governance/ICT-related projects involve inherent risks including: (i) coordination difficulties; (ii) staff resistance to change; and (iii) an overemphasis on technology as a solution.
- Land-related services are complex across India and can pose a challenge to the reform process.

Primary Mitigation Strategies

- Project implementation plans will include the design of a five-year strategy to improve RTPS service delivery in Assam.
- Structured implementation arrangements will be created to institutionalize departmental coordination and decision-making.
- The Project Guidance Council and other higher Bodies of ARIAS will facilitate departmental cooperation.
- Knowledge exchanges will be conducted to focus on how other states institutionalize cross departmental activity and collaboration, particularly involving ICT Projects.
- Some reforms have already taken place in land-based services, reducing the possibility of resistance under the current Project.

4. Technical Design of Project or Program

Identified Risks

- Improving service access and accountability is a complex process involving supply and demand elements; technical and behavioral aspects; and multiple actors. These problems are accentuated in challenging topographical contexts.
- The complex nature of the design, involving many counterparts and beneficiaries, two inter-linked components, and a number of activities under each component.

- Additional analysis will be required to verify the nature of connectivity challenges in remote areas.

Primary Mitigation Strategies

- The Project design includes a sequencing of implementation strategies to ensure the Project focuses on service reforms that are likely to support achievement of the PDO.
- The Project will select only those departments for process reforms where there is clear commitment to meaningful reforms.
- The Project design will seek to use a combination of means to address the connectivity challenges in remote areas, including VSATs, if necessary.

5. Institutional Capacity for Implementation and Sustainability

Identified Risks

- The lack of routine coordination and collaboration among service delivery departments may create implementation challenges for a cross-cutting Project.
- Low staff capacity and motivation; resistance to change within Departments and frontline institutions.
- Implementation capacity of line departments may pose a challenge for implementation.

Primary Mitigation Strategies

- Institutional arrangements in ARIAS will promote cross-departmental collaboration on strategy and implementation.
- Departments have been selected for process re-engineering based on their ability to execute reforms as well as their ownership of the Project.
- A change management strategy will be adopted to mitigate resistance.
- Both the Project Guidance Council (chaired by the Chief Secretary) and the Governing Body (chaired by the Additional Chief Secretary) of ARIAS will track Project progress.
- The Bank in collaboration with the Department of Economic Affairs (DEA) and senior officials of GoA will review the progress of the Project on a regular basis.
- Extensive training and support will be provided to the PMU on financial management, procurement, and M&E. The ARIAS which has successfully managed two World Bank funded projects since 1998 is well versed with the Bank's operational policies.

6. Fiduciary

Identified Risks

- Less than adequate experience in Government Departments relating to the Bank's procurement and financial management requirements.

Primary Mitigation Strategies

- Designation of ARIAS as the implementing agency for the Project. ARIAS is the main vehicle for implementing Bank-financed projects in Assam since 1998. It has prior experience in dealing with Bank projects and has benefited from capacity building interventions from earlier Projects.
- Training in Bank fiduciary/procurement systems as necessary will be provided to new Staff.

7. Environment and Social

Identified Risks

- The main social risk relates to the unintended consequence of reinforcing inequalities in access to services and information through its focus on ICT-based interventions.

Primary Mitigation Strategies

- The Project has developed a comprehensive Tribal Development Plan that enlists a series of affirmative actions to address the inclusion issues and to make sure that the indigenous communities and tribal people could draw from the benefits of the Project.
- Citizen education and engagement activities will aim to ensure that remote and vulnerable communities are well-informed about service rights and access.
- Improving service access particularly in remote areas through Public Facilitation Centers will minimize differentiation in service access.

8. Stakeholders

Identified Risks

- Risk of insufficient participation by and input from key target groups (e.g., the elderly, disabled, widows, and poor rural households) during Project design and implementation.
- Engaging stakeholders may raise expectations beyond delivery capacity, thus creating a backlash.
- Citizen engagement strategies in conflict-prone environments are inherently challenging due to political economy matters.

Primary Mitigation Strategies

- Conflict-sensitive methods and planning would be adopted. Also, NGOs and other locally based organizations could be engaged to design effective approaches to local engagement, particularly in regions prone to conflict.
- Change management is being adopted as a critical function of the PMU.
- Careful sequencing of reforms will help to manage expectations.

Annex 5: Implementation Support Plan

Strategy and Approach for Implementation Support

- 1. The Implementation Support Plan (ISP) has been developed on the basis of the proposed Project activities as well as lessons from other Bank projects.** It articulates the Bank's approach to help GoA achieve expected Project results based on the Project's nature and risk profile. Its purpose is to put more attention on the actions required to facilitate better results, appropriate risk management, and increased institutional development.
- 2. The ISP puts particular emphasis on: (i) providing the necessary technical advice to build the capacity of the implementing agencies for timely implementation; and (ii) managing the risks identified in the Project's SORT.** The Bank team that will support Project implementation will include specialists in public sector reform, procurement, financial management, monitoring and evaluation, and ICT. The Bank team will provide technical assistance to the PMU. It will support the PMU with the introduction of best practices from other states of India and countries. The Bank team will provide guidance on the DLI-based component of the Project given that the counterpart has no prior experience in this area.
- 3. The Bank's procurement and financial management specialists will provide timely and effective support on procurement and fiduciary management issues, especially during the start-up phase of the Project.** In addition to carrying out an annual ex-post review of procurement that falls below the prior review thresholds, the procurement specialist will lead focused missions depending on the procurement needs of GoA. The financial management specialist will review all financial management reports and audits, and will take necessary follow-up actions as per Bank procedures. These team members will also take steps to strengthen procurement and financial management capacity. Implementation agency staff will be trained on the Bank's procurement guidelines and the Project will strengthen its fiduciary capacity by hiring staff fully conversant with the Bank's financial management practices. These will be supplemented with the expertise provided through the Project Management Consultancy Support (PMCS) firm.
- 4. The ISP includes regular and thorough reviews of implementation performance and progress.** This is especially important given the geographical spread of Project activities and involvement of multiple departments. The Bank team will monitor progress on several fronts including: (i) key performance indicators as defined in the Results Framework; (ii) component-specific Project implementation plans; (iii) supervision of procurement activities; (iv) fiduciary management of all activities carried out by the PMU, and other agencies; and (v) independent verification of achieving DLIs.
- 5. There will be formal half-yearly implementation support missions and field visits.** These will be supplemented with annual review workshops with the PMU to collectively review progress against the implementation plan and decide on follow-up actions. The first implementation support mission will take place immediately after Project effectiveness and will be aimed at strengthening implementing agencies with fiduciary management, including timely implementation of the procurement plan, timely compilation of financial reports, and implementation of risk mitigating measures. Subsequent missions may have a stronger

emphasis on reinforcing technical expertise with regard to M&E or DLI verification, for example. The Implementation Status Reports will be produced to provide management with updates on implementation progress, the tracking of risk, and the efficacy of mitigation measures. In addition, thematic missions will be conducted at key decision points of the Project to provide targeted support to the counterpart in addressing relevant and emerging issues such as expanding e-enabled delivery of RTPS services to other targeted departments.

6. **The Bank will work with the PMU to establish a viable monitoring and evaluation system.** An independent firm will be contracted to conduct a baseline survey; (ii) design and implement an MIS to track Project implementation progress; and (iii) evaluate the impact of the Project as it nears completion.
7. **The administrative data-set on RTPS implementation in Assam is not credible; and this has impeded framing of a reliable Project-baseline.** During the preparation stage, the Project will rely on administrative data provided by government counterparts to determine the baseline for Project indicators. Subsequently, during the first year of Project implementation, mechanisms would be put in place to strengthen the baseline for selected RTPS services, through alternate methods of obtaining data, such as use of exit polls and surveys of service users by an outbound call centre. Pursuit of this two-pronged approach might result in adjustments of base-line data during the implementation stage.
8. **The Bank team will hold a Mid-term Review (MTR) mission to take stock of Project implementation and take corrective action, as necessary.** The MTR is expected to take place in December 2018; and, prior to that mission, the GoA will send to the Bank a comprehensive report summarizing Project progress and highlighting any particular issues that require special attention. At the end of the Project, the Bank team will prepare an Implementation Completion and Results Report (ICR) which will evaluate the Project and draw lessons. This report will also include an assessment of the Project by the GoA.
9. **Information from various sources will be used to assess and monitor the progress of the Project throughout its implementation.** In addition to the data generated through the Project's MIS, Citizen Feedback and M&E systems, the Bank will also review the findings and results of independent third party assessments, which will be undertaken during the course of Project implementation.

Implementation Support Plan

10. **The Table below reflects preliminary estimates of the skill requirements, timing, and resource requirements over the life of the Project.** Keeping in mind the need to maintain flexibility from year to year, the ISP will be reviewed annually to ensure that it continues to meet the implementation support needs of the Project.

Table A.5.1: Main Focus of Implementation Support

<i>Time</i>	<i>Focus</i>	<i>Skills Needed</i>	<i>Resource Estimate</i>	<i>Partner Role</i>
0-6 months	<ul style="list-style-type: none"> • Project launch with focus on scheduling of Project implementation, baseline study and staffing of all positions in the PMU. • Review of Procurement practices; and support to finalize/ initiate key procurements following Bank norms. • Review of Fiduciary Management practices. • Review of technical aspects related to Project implementation. 	<ul style="list-style-type: none"> • Team Leads • Procurement Specialist • FM Specialist • ICT & e-Gov Specialist • Operations Staff 	3 Staff-weeks 2 Staff-weeks 2 Staff-weeks 1 Staff-weeks 3 Staff-weeks	<ul style="list-style-type: none"> • Staffing of PMU. • Get relevant notifications issued. • Be available to meet with Bank staff to discuss progress/plans. • Contracting of PMCS & other key consultants.
6-12 months	<ul style="list-style-type: none"> • Establish the MIS and M&E system. • Monitor implementation of Project activities. • Review institutional arrangements to ensure their effective functioning. • Assessment of additional training needs on FM and procurement issues. • Independent verification of results. 	<ul style="list-style-type: none"> • Team Leads • Public Sector Specialist • ICT & e-Gov Specialist • Procurement Specialist • FM Specialist • M&E Specialist • IVA 	2 Staff-weeks 1 Staff-weeks 1 Staff-weeks 1 Staff-week 1 Staff-week 2 Staff-weeks Need-based	<ul style="list-style-type: none"> • Contract the M&E Firm. • Conduct base-line. • Prepare Project progress report in advance of mission.
13-48 months ³⁴	<ul style="list-style-type: none"> • Implementation support missions to monitor progress of Project activities. • Annual Project review workshops with PMU. • Thematic Missions at key decision points of the Project. • Annual independent verification of results. • Mid-term Review. 	<ul style="list-style-type: none"> • Team Leads • Public Sector Specialist • ICT & e-Gov Specialist • Procurement Specialist • FM Specialist • M&E Specialist • Thematic experts • Operations Staff & IVA 	4 Staff-weeks 2 Staff-weeks 2 Staff-weeks 3 Staff-week 3 Staff-week 2 Staff-weeks Need-based Need-based	<ul style="list-style-type: none"> • Prepare Project progress report in advance of each mission. • Organize field visits. • Conduct mid-line survey and facilitate MTR. • Be available to meet with Bank staff to discuss progress/plans.

³⁴ Staff time has been annualized for this period.

<i>Time</i>	<i>Focus</i>	<i>Skills Needed</i>	<i>Resource Estimate</i>	<i>Partner Role</i>
49-60 months	<ul style="list-style-type: none"> • Implementation Progress and outcome review. • Review end-term Impact Evaluation Studies. • Review of M&E Systems • Develop Implementation Completion and Results Report (ICRR). • Plan for scale-up support to successful models. • Project withdrawal and closure. 	<ul style="list-style-type: none"> • Team Leads • Public Sector Specialist • ICT & e-Gov Specialist • Procurement Specialist • FM Specialist • M&E Specialist • Operations Staff & IVA 	<ul style="list-style-type: none"> 2 Staff-weeks 2 Staff-weeks 1 Staff-weeks 2 Staff-week 2 Staff-week 4 Staff-weeks Need-based 	<ul style="list-style-type: none"> • Conduct end-term Impact Evaluation survey. • Prepare comprehensive Project progress report. • Support ICR Mission.

Annex 6: Service Delivery in Assam

1. Access to service in Assam constitutes a major challenge both from the supply and demand sides, particularly in remote and poorly connected areas. Access to government services encompasses two interlinked dimensions: (i) the supply of services through a delivery chain managed by a service provider, and (ii) the demand for services from users or citizens. Both supply and demand for services can be seriously constrained by remoteness and lack of connectivity. From the supply side, services should be fairly and adequately provided by the State to citizens on (a more-or-less) equal basis throughout the relevant territory. From the demand side, citizens throughout the territory should have the information, knowledge, capability, and resources required for accessing the services. In remote rural areas, access to public services is normally more difficult and more costly than in urban locations, due to several factors, including: (i) economies of scale, as unit costs in small communities tend to be significantly higher than in large ones; (ii) higher percentage of disadvantaged/poor people in rural areas, resulting in a greater need for some services and lower capacity to interact with service providers; (iii) greater distances which imply increased travel costs and unproductive use of time; (iv) additional communication costs and difficulties in networking and connectivity; and (v) poorer access to training, consultancy and other support services, as these are inevitably more costly for remote areas.

2. This annex provides a description of the current status of access to service delivery In Assam from the supply and demand sides, the reforms introduced by the Government in recent years and the Government program, which provides the basis for the interventions proposed in this Project.

Access to Selected Services from the Supply Side

3. Service delivery in Assam happens at the district and sub-district level. Out of the total 55 departments in Assam, Government to Citizens (G2C) services are being provided by approximately 31 departments including Agriculture, Elementary and Secondary Education, Health and Family Welfare, Irrigation, Labor and Employment, and Transport among others.³⁵ The consolidated budget of these 31 departments in Assam totaled just under US\$6 billion in 2013-2014.

4. From a citizen perspective, front-line service delivery institutions are fragmented and not well-understood. The District Office, headed by the Deputy Commissioner, plays the lead role in service provision – managing sub-divisional, circle and block operations. However, most of the 31 G2C Departments maintain their own individual offices at the District level, and have direct contact with citizens with respect to the services they deliver. Over 6000 district-level offices fall into this category. In addition, 212 Public Facilitation Centers and over 2521 public-private Common Service Centers (CSCs) - entrepreneurial village-based service centers – provide local access to a handful of digital services (“e-services”). Finally, at least two departments –

³⁵ The 31 Departments include: Agriculture; Border Areas Co-operation; Elementary Education; Environment and Forest; Excise; Fishery; Food, Civil Supply and Consumer; Guwahati Development; Health and Family Welfare; Higher Education; Hill Areas; Information Technology; Irrigation; Labor and Employment; Minorities Welfare and Development; Panchayat and Rural Development; Power (Electricity); Public Health Engineering; Revenue and Disaster Management; Secondary Education; Social Welfare; Soil Conservation; Sports and Youth Welfare; Tourism; Transport; Veterinary; Water Resources; Welfare of Plain Tribes and Backward Classes; and Home. The remaining 24 departments provide either G2G (Government to Government), G2B (Government to Business), or public services which involve less face-to-face interaction between the citizen and the government (such as infrastructure).

Panchayat and Rural Development, and Social Welfare – also utilize local panchayats for essential aspects of service delivery. In sum, many essential services for the poor and vulnerable are administered through this myriad of front-line delivery institutions of the State with a handful of critical schemes also administered through the local panchayats.³⁶

5. Service delivery capacity is weak at all levels, especially with regard to front-line delivery agents at district and sub-district levels. There is insufficient organizational and personnel capacity in the offices of Deputy Commissioners and subordinate offices. The weak capacity is challenged by increasing governance burdens, as well as inconsistency of personnel numbers and workload between the various District Offices.³⁷ Citizens trying to apply for and access a given service, face cumbersome procedures, and bureaucracy. As is reflected in citizen consultations, intermediaries take advantage of these holes to facilitate the process, creating high transaction costs for citizens.³⁸ In sum, the front-line institutions are not designed to provide an efficient and transparent single window for citizens.

Access to services is low in Assam

Citizens routinely need to undertake multiple visits to local government offices (often traversing more than 20 kilometers) to access land, disability and other RTPS services at the Block and Circle levels. Caste certificates require a longer trip to the District Office. But time is not the only challenge. Securing services can involve rent seeking by intermediaries.

6. The majority of processes at the district and sub-district are paper-based, meaning there is little automation of services or other functions. The systems are primarily manual stand-alone systems, usually with no web-based capacities or database integration. Manual processing of application limits access because it is fundamentally linked to rent seeking, cumbersome processes, delays, and travel/time costs which deter people from accessing services on the front end.

7. As part of an incremental approach to address these challenges, the Government of Assam enacted the Assam Right to Public Services Act (RTPS) in 2012, which provides for the creation of an efficient citizen-centric service delivery framework. Fourteen of the 31 service delivery departments participate in Assam’s RTPS initiative which aims to improve efficiency and accountability of delivery. In particular, RTPS ensures citizens of time-bound service delivery (i.e. notified

Birth registration

“According to recent estimates, as of 2012, the world has failed to account for the births of 230 million children under the age of five. Moreover, an additional 70 million registered children have not received a birth certificate. These children lack a key building block for legal identity, potentially precluding them from economic and social opportunities later in life such as participating in the modern economy, accessing public services, or registering to vote. Within a supportive governance context, birth registration can also help to protect children from abuse and exploitation.” (Center for Global Development, Policy Paper 046)

³⁶ The Sub-Division is an area-based branch office of the District Office and covers exactly the same functions, except for planning. The Circle and Block are Revenue Offices, although they may be required to take care of other issues from time-to-time.

³⁷ The office of Deputy Commissioner (DC) is the most important administrative unit of the governance apparatus; it plays a critical role in the delivery of public services. The DC is the head of the district administration. He/is appointed to the post by the state government. The DC is responsible for numerous core functions at the district level including land and revenue administration, maintenance of law and order, disaster management, public distribution and civil supplies, excise, elections, transport, census, protocol, general administration, treasury management and Coordination with various agencies/ departments.

³⁸ Report on the Consultations with Grassroots Citizens Groups in Assam, World Bank, June 2014.

services are provided within a certain time frame) and of a formal appellate process which can penalize the responsible government official. Currently, these 14 departments provide 55 RTPS services, and the Government is in the process of expanding this number. The vast majority of these services are government authorizations, approvals, licenses or certifications required by citizens to access services (See Table A.6.1 for a full list of notified RTPS services). Based upon citizen consultations, numerous RTPS services are of high priority and relevance to citizens living in remote areas, especially those services provided by the Departments of Revenue, Welfare of Plain Tribes & Backward Classes, Health and Family Welfare, and others. Yet, citizen consultations in Assam indicated that most citizens were unaware of RTPS services and where they are provided.³⁹

8. In addition, the Governments of India and Assam have invested in electronic service delivery (ESD) for the state, but progress has been slow. Two districts have been running an e-District pilot under the National e-Governance Plan (NeGP) for almost four years which has been rolled out across the state in July 2015. The e-district provides 42 services to citizens electronically, either at the DC Office, Sub Divisional Office (SDO), the Circle Office (CO) or through the Common Service Centers (CSCs) which are to be the main delivery channel. However, a check at one of the centres⁴⁰ showed on 10 services being actually provided through the portal whereas others are offered through stand-alone systems. Besides, the e-district service faces network connectivity and funding challenges and service is uneven. Many of the e-District services have not shifted fully from manual to digital delivery. ICT capacity to manage and adapt to digital service delivery is an issue in the state, and resistance to change from manual to digital service provision also constitutes a constraint.

9. While NeGP efforts have provided a foundation for state-wide ICT connectivity, Assam's ICT infrastructure is not operational or reliable. The Government of India's NeGP provides all states in India with funding to create a common "ICT backbone" for the state. This common backbone provides consolidated ICT architecture for state connectivity and digitization needs – allowing departments to "plug in" to the backbone to meet their data management and digitization needs, avoiding the development of separate and parallel departmental structures. NeGP's ICT backbone typically includes a State Data Center, a Statewide Area Network (SWAN), and Common Service Centers (CSCs). In Assam, NeGP resources have provided an important first step toward establishing a foundation for statewide connectivity; however, this core architecture remains operationally limited. The State Data Center is not fully functional and the SWAN, which was developed in 2009, is reaching the end of its useful life, calling for major maintenance, an alternative system, or the establishment of dual systems. Further, ICT infrastructure is not existent in many parts of the state. At the District level, 27 District Head Quarters are connected to the State Head Quarters through by a primary link of National Knowledge Network of 1 MBPS with Secondary Connectivity of 2 MBPS provided by ASWANs Points of Presence (POP). There are 181 links from District Head Quarters to Block Head Quarters through BSNL leased lines of 2 MBPS for the 277 Block headquarters. Of the 304 POPs required only 165 are available through ASWAN, rest probably use Dongles. A commissioned IIT

³⁹ Report on the Consultations with Grassroots Citizens Groups in Assam, World Bank, June 2014.

⁴⁰ Kamrup Metro.

Guwahati study points to serious maintenance and installation issues with the ASWAN POPs at the Block level affecting the connectivity of Public Facilitation Center and G2C operators through frequent breakdowns and slow speed at ASWAN POPs. In our estimate based on e-District usage data less than 110 of the Public Facilitation Centers appear to be functioning. Lack of electricity in many areas and non-availability of communication bandwidth – below block and circle level – limit village level connectivity. The US\$4 billion Government of India initiative, which is authorized to provide broadband connectivity for 250,000 village-level panchayats, remains in early stages, although GoI is committed to reinvigorating the effort. While some states have chosen to finance their own last mile connectivity, others with modest resources, such as Assam, are more dependent on central resources and initiatives. Lastly, the NeGP did not finance horizontal connectivity – limiting communication between offices functioning at the same level as well as communication between multiple departments. This is a significant need in Assam, as many services require multiple departmental approvals, exacerbated by security issues associated with being a border state. Until connectivity and automation become the norm, citizen access to public services will remain a challenge, and public service delivery will continue to be characterized by high levels of bureaucracy, lack of responsiveness, and high transaction costs.

10. To sum up, although the RTPS, the NeGP and initial ICT investments constitute important steps to improve access to services, there are still important challenges that need to be addressed. First, most services are provided manually with high transaction costs, deterring citizens from access and use. Second, ICT infrastructure in Assam is in early phases of development, and many regions remain disconnected from broadband, telecom, or mobile connectivity, resulting in high transport costs for securing services. Finally, front-line institutions, which are the citizen’s window to government, may operate in a non-transparent and bureaucratic manner, creating opportunities for rent-seeking.

Access to Selected Services from the Demand Side

11. Citizen access to public services in Assam is uneven, and there are a range of challenges to ensure all people, especially the poor, receive public services. First, Assam’s geography and topography make service access and delivery difficult. The topography is such that large parts of the region remain physically inaccessible. This is particularly the case in remote rural hill areas of Karbi Anglong and Dima Hasau districts, predominantly inhabited by tribal population; and the Brahmaputra valley riverine and flood-prone areas of western and central Assam districts.⁴¹ The riverine basins (often referred to as the ‘char’), mostly inhabited by Bengali-speaking Muslims, have little or no infrastructural development. Connectivity is minimal due to the lack of roads and periodic flooding. Boats are often the only means of reaching out to these riverine areas. The flooding creates massive challenges for service access. Local communities are forced to relocate every year during floods. Most of these remote communities have no access to schools or health facilities; and state institutions are nearly absent. Welfare activities are mainly undertaken by local NGOs. Second, limited transport and communication infrastructure in certain parts of the state make travel associated with securing services both time-consuming and costly. Third, there are conflict-affected areas in Assam – namely the hill districts of Karbi Anglong and Dima Hasao; and

⁴¹ Dhubri, Goalpara, Barpeta, Morigaon, Darrang and Nagaon.

the Bodoland Territorial Area Districts including Kokrajhar, Chirang, Baska and Udalguri – where regular conflict has resulted in limited service delivery and development activities, internal displacement, and some marginalization of local tribes and Muslim communities. Fourth, Assam is an ethnically diverse state with different languages, traditions and cultural practices; its diversity makes it challenging to develop a service delivery system which can respond flexibly to different needs. Finally, when the above factors are combined with complex socio-economic dynamics in Assam, certain groups are at a disadvantage in accessing services. These populations include: (i) the 4.3 million people living in the six districts of Assam which are significantly administered by Autonomous Councils under the 6th schedule of the Constitution; (ii) the estimated 3 million people inhabiting the targeted riverine areas of Dhubri, Goalpara, Barpeta, Morigaon, Darrang and Nagaon districts; (iii) the more than 4 million people from Tea-tribe communities residing in and around the Tea Gardens of Assam; and the 0.37 million people⁴² living in forest villages near the borders across multiple districts of Assam. The Government of Assam has developed a number of programs and schemes to address the unique needs of these groups.

12. The access challenges include a wide gap between the state and society in terms of citizens' involvement in service delivery and the state's responsiveness to their voices. This gap results in a service delivery system that is provider-centered, with less emphasis on ensuring that citizens have reliable access to services they need. There have also been limited attempts to ensure that citizens are aware of their entitlements and are informed about where to go and how to get service or to enhance their access to services.⁴³ Panchayats tend to be the first point of contact for rural citizens. Information is often limited at the Panchayat level resulting in citizens being steered to District Offices, which are far away. Citizen consultations indicated that District Offices are characterized by cumbersome procedures and application processes, along with constant demand for more information for supportive documents. Ultimately, the citizens experience multiple visits and high costs associated with the large number of documents (often originals, even notarized) required to submit an application further undermine demand for services, and create fundamental issues related to access. Administrative illiteracy adds to the challenge of navigating both the Front Line institutions as well as its administrative processes. These issues have contributed to a view that government is disconnected from citizens, especially the poor and disadvantaged, and that it does not adequately incorporate citizen concerns and needs into the design and implementation of development schemes.

13. The context is further challenged by a citizenry that is complex and not homogenous. Assamese society is divided along a number of social markers such as gender, class, income, ethnicity and so on. Furthermore, the capacity and willingness of citizens to constructively engage in dialogue with the state is limited, even if there are exceptions. Conflict, ethnic fragmentation, sectional politics and the limited history of state-citizen engagement have limited the emergence of a well-organized civil society and constructive alliances between state and society actors. While there are active social movements in Assam, these have not been harnessed for constructive

⁴² As per 2001 Census.

⁴³ For example, according to a recent performance audit report of the implementation of the National Rural Employment Guarantee Act (NREGA), less than two fifths of beneficiaries are aware of the four main benefits granted to them under Act. As concluded by the Comptroller and Auditor General (CAG), "the low degree of awareness amongst beneficiaries would diminish their ability to fully exercise their rights." (CAG, 2013).

engagement between the state and society. These challenges are complex, with deep social, political and historical moorings – they must be addressed incrementally and with patience. Nonetheless, they are important factors in the development, or lack thereof, of citizen accountability and engagement mechanisms related to service delivery.

14. In sum, demand for services, citizen engagement and responsiveness face major challenges. These include: (i) how to improve access by providing support to selected underserved geographical areas and sections of the population via the relevant departments; (ii) how to narrow the gap between the state and citizens to improve access and social monitoring via the piloting and mainstreaming of constructive feedback and engagement mechanisms; and (iii) how to ensure that key accountability mechanisms, namely RTPS and Grievance Redress Mechanisms, function effectively and are accessible to all citizens.

Government Program

15. The GoA recognizes that a structured comprehensive approach, including both supply and demand side strategies, is needed to ensure that citizens across the state have access to critical services. To tackle these challenges, the Government of Assam has initiated a citizen-centered reform program to improve service delivery access, efficiency, and accountability. Recognizing that weak public service delivery impacts the legitimacy of the state, particularly amongst the poorest, the GoA program aims to strengthen its service delivery through: (i) institutional strengthening, including automation, associated with service provision; and (ii) enhancing engagement with citizens to improve service delivery outcomes and to increase trust in government. A brief discussion of the Government Program in each of these areas follows.

16. To strengthen institutional aspects of service delivery, Assam's Departments of Administrative Reform & Training and IT are implementing multiple initiatives. These include: provision and expansion of RTPS “time-bound” services; digitization of manual, paper-based processes; improving connectivity across the State; rolling-out Citizen Service Centers (CSC's) and creating a reliable base for Electronic Service Delivery at front-line institutions across the state. These efforts are consistent with the Government of India's National e-Government Plan (NeGP), with a number of existing and anticipated Union Acts, and with the Assam Right to Public Services Act of 2012. The GoA is fully aware that progress on service delivery will require attention to both vertical issues and horizontal connectivity and processes with the greatest challenge relating to automating back end functions, particularly involving more than one department. In addition, in preparation for the passage of the Government of India's Electronic Delivery of Services (ESD) Bill, Assam's Department of IT is preparing streamlined Electronic Service Delivery Rules. Presently, ESD rules are validated under the Information Technology Act. A District e-governance Society is already constituted in every district and a payment gateway established under e-district program. Under this framework the state government would support departments to implement electronic service delivery.

17. Automation of the service delivery system creates an opportunity to improve access to services to underserved citizens. E-service delivery also marks the next step in public sector modernization, building upon National e-Governance Plan (NeGP) and Department of Telecom efforts to establish state-wide ICT infrastructure and to provide connectivity to village-level gram

panchayats, India's rural locally-elected government institutions.⁴⁴ Last mile connectivity, the critical link for expanding service access in rural Assam, is a core component of the current Government of India's Digital India Program which was approved in August 2014. An ambitious initiative with nine identified priorities, Digital India aims to establish broadband highways, universal mobile connectivity, public Internet access, e-Governance, e-Kranti, information for all, electronics manufacturing, IT for jobs, and early harvest programs.

18. The Government has also standardized processes to enhance citizen engagement in service delivery. Efforts are being made to improve the effectiveness of Citizen Charters in all departments of Government. Further, there is a clear recognition that government does not have a strong mechanism for managing and responding to citizen grievances. Developing a stronger, more responsive Grievance Redress Mechanism, and securing citizen feedback, particularly using electronic and other means, is a priority.

19. Through Non-Lending Technical Assistance, the World Bank has supported analysis of public administration constraints to service delivery as a means of providing a clear understanding of bottlenecks and challenges to service delivery access. This analysis was conducted in concert with the Government of Assam (GoA) and revealed the following areas of public administration constraints: (i) need for a robust policy, legal, and administrative framework for delivery of G2C services; (ii) inadequate processes for identifying and prioritizing services under RTPS; (iii) insufficient personnel capacity and staff motivation; (iv) insufficient citizen interface and weak accountability in the service delivery mechanisms; (iv) the overtly complex organization and unclear organization and functions of District Offices; and (vi) other administrative challenges, such as inadequate resourcing. Many of these constraints were identified in two earlier reports on Assam.⁴⁵ The two reports contain valuable analysis of the situation, and useful recommendations, although resulting implementation was limited, mainly due to the enormity of reform involved.

20. The NLTA analysis of public administration constraints was accompanied by extensive discussion of reform options, seeking improvements that could be accomplished with a reasonable effort. Simplification and streamlining of administrative procedures, reduction in levels for processing service delivery requests, and preparation of a comprehensive ICT plan and associated backend process re-engineering for efficient G2C service delivery emerged as certain key recommendations of this analytical work. The recommendations focused on "manageability" of the options that could be prioritized, with the use of incremental steps to address challenging and systemic problems.

⁴⁴ Under existing e-Governance initiatives, e-procurement is being supported by the e-GP Mission Mode Project under NeGP in both States. E-procurement is a G2B initiative.

⁴⁵ Report of the Assam Administrative Reforms Commission (2005) and Report of the Assam 2008 Pay Commission (published October 2009).

Table A.6.1: Assam’s Right to Public Services Act/List of Notified Services

S. No	Service	Department	Purpose: Why does a Citizen need this Service
1	Office Mutation	Revenue	The Office Mutation Certificate acts as a proof of transfer (through inheritance or transaction) of land ownership.
2	Certified copy of Jamabandi or record of rights/chitha	Revenue	The Jamabandi & Chitha (Assamese words that roughly translate to “record of rights”) Certificates act as a proof of land ownership. These certificates are essential for applying for loans, permanent residency and caste certificates.
3	Registration of documents	Revenue	Registration is essential for the legal validation of certain documents (primarily related to land ownership).
4	Non Encumbrance Certificate	Revenue	The Non Encumbrance Certificate certifies that the citizen is the sole owner of a land. It is essential for applying for loans and mortgage/ collateral of land.
5	Certified copy of the registered document	Revenue	This allows citizens to ask for a certified copy of any previously registered document for whatever purpose.
6	Marriage Certificate	Revenue	The Marriage Certificate acts as a proof of marriage under court jurisdiction. It is used predominantly in urban areas for loan and visa applications.
7	Certified copy of mutation order	Revenue	Certified copy of the mutation confirmation form.
8	Perfect partition	Revenue	Proof of partition of land between two or more entities.
9	Duplicate Mark sheet by Board Of Secondary Education, Assam (SEBA)/ Assam Higher Secondary Education Council (AHEC)/State Madrasa Board	Secondary Education	Duplicate copy of the original mark sheet. If the original mark sheet is misplaced, the duplicate copy can be used for college, job applications etc.
10	Duplicate pass certificate by SEBA/AHEC/ State Madrasa Board	Secondary Education	Duplicate copy of the original pass certificate. If the original pass certificate is misplaced, the duplicate copy can be used for college, job applications etc.
11	Migration Certificate by SEBA/AHEC	Secondary Education	Students require migration certificates to seek college admissions.
12	Birth Certificate in GMC area	Guwahati Development Department (GDD)	A Birth Certificate acts as a proof of birth. This certificate is required at the time of school/college admissions, for opening a bank account, applying for a ration card/BPL card, applying for student loans,

S. No	Service	Department	Purpose: Why does a Citizen need this Service
			applying for Permanent Residence Certificate (PRC) etc.
13	Delayed registration of birth in GMC area	GDD	In case a Birth Certificate is not given on time, a delayed registration of birth can be issued. The application for a delayed registration must be made one year after the birth.
14	Death Certificate in GMC area	Health and Family Welfare Department (Health)	A Death Certificate is required to claim insurance and inheritance benefits, mutation rights etc.
15	Delayed registration of death	GDD	In case a Death Certificate is not given on time, a delayed registration of death can be issued. The application for a delayed registration must be made one year after the death.
16	Permission for construction of building	GDD	This service relates to the approval of a building construction blueprint plan and the permission to begin construction.
17	Trade license	GDD	Trade licenses are required to set up shops/businesses in urban areas.
18	Certified copies of public documents	GDD	This service allows citizens to request a certified copy of any previously registered document.
19	Municipal Holding Certificate	GDD	Once a building has been constructed, each unit is given a holding number for property tax purposes. This allows the units to obtain public utilities.
20	Holding Mutation	GDD	A Holding Mutation is required in case the Municipal Holding Certificate has to undergo a transition in ownership for inheritance purposes etc.
21	Learner's License for transport	Transport	A learner's license for commercial vehicles enables citizens to learn driving.
22	Learner's license for non - transport	Transport	This refers to a learner's license for non-commercial vehicles.
23	Driving license for transport	Transport	A driving license is used as a proof of identity for commercial transport purposes.
24	Driving license for non-transport	Transport	A driving license that can be used as proof of identity for non-commercial transport purposes.
25	Vehicle registration for transport	Transport	Registration of a commercial vehicle.
26	Vehicle registration for non-transport	Transport	Registration of a non-commercial vehicle.

S. No	Service	Department	Purpose: Why does a Citizen need this Service
27	Duplicate driving license	Transport	In case the original driver's license is misplaced, a duplicate copy can be obtained from the Transport department.
28	Duplicate vehicle registration for transport	Transport	In case the original registration document for a commercial vehicle is lost, a duplicate copy can be obtained from the Transport department.
29	Duplicate vehicle registration for non-transport	Transport	In case the original registration document for a non-commercial vehicle is lost, a duplicate copy can be obtained from the Transport department.
30	Birth Certificate in rural areas	Health	A Birth Certificate acts as a proof of birth. This certificate is required at the time of school/college admissions, for opening a bank account, applying for a ration card/BPL card, applying for student loans, applying for PRC etc.
31	Death Certificate in rural areas	Health	A Death Certificate is required to claim insurance and inheritance benefits, mutation rights etc.
32	Delayed registration of birth in rural areas	Health	In case a Birth Certificate is not given on time, a delayed registration of birth can be issued. The application for a delayed registration must be made one year after the birth.
33	Delayed registration of death in rural areas	Health	In case a Death Certificate is not given on time, a delayed registration of death can be issued. The application for a delayed registration must be made one year after the death.
34	Issuance of disability certificate	Health	A disability certificate is required to access government benefits/entitlement allocated for the disabled.
35	Scheduled Caste (SC) Certificate	WPT&BC	An SC certificate is required to seek education scholarships, college admissions and jobs that fall under the SC quota (seven percent in Assam).
36	Non-creamy layer certificate	WPT&BC	A Non-creamy layer certificate is required to prove a citizen's eligibility to claim access to government benefits under the SC, ST and OBC quota.
37	Next of kin certificate	GAD	This certificate enables the next of kin to avail of compensation or inheritance benefits.
38	Registration of individuals in the Employment Exchange	Labour & Employment	Registration of a citizen in the Employment Exchange.
39	Registration of Establishments under the	Labour & Employment	Registration of business establishments and shops under the Assam Shops and Establishment Act, 1971.

S. No	Service	Department	Purpose: Why does a Citizen need this Service
	Assam Shops and Establishment Act, 1971		
40	Renewal of registration certificate of the Establishments under Assam Shops & Establishment Act, 1971	Labour & Employment	Periodic renewal of the registration certificates of business establishments and shops.
41	Duplicate copy of Registration Certificate of the Establishments under Assam Shops & Establishment Act, 1971	Labour & Employment	In case the original registration document is misplaced, a duplicate copy can be obtained by business establishments and shops.
42	Registration of cooperative societies under Cooperative Societies Act, 2007	Co-operation	A co-operative society must register itself with the Registrar of Co-operatives.
43	Issuance of Permanent Resident Certificate (PRC) for higher education	Political	A PRC is required to establish a citizen's nationality. It is required during college admissions.
44	Issuance of Residential Status Certificate/ Report for Kisan Seva Kendra Dealership under Indian Oil Corporation Ltd.	Political	Residency certificate is required to establish the residency status in a locality.
45	Issuance of No Objection Certificate (NOC) for fire safety of building	Home	An NOC for fire safety confirms a building's adherence to fire safety laws.
46	Renewal of NOC for fire safety of building	Home	The Renewal of NOC for fire safety re-confirms a building's adherence to fire safety laws.
47	Issuance of Fire Attendance Certificate	Home	This certificate is required for all public, commercial and multi-storied buildings.
48	Application of registration under Rule 13(1) of The Assam Value Added Tax Act, 2005	Finance	A registration that all businesses must complete under the Assam VAT Act.
49	Application for grant of declaration in forms C or F under Rule 12 of the CST (Registration & Turnover) Rules, 1957	Finance	Commercial establishments are required to obtain declarations under these statutory forms.
50	Post mortem report of animals/birds	Animal Husbandry and Veterinary Department (AH&V)	A report that is required to claim insurance benefits in case of the death of one's cattle or poultry.

S. No	Service	Department	Purpose: Why does a Citizen need this Service
51	Valuation certificate of animal/bird for insurance	AH&V	A valuation certificate is required to claim insurance benefits in case of the death of one's cattle or poultry.
52	Birth Certificate in Urban areas other than the Guwahati Municipal Corporation (GMC) area	UDD	A Birth Certificate acts as a proof of birth. This certificate is required at the time of school/college admissions, for opening a bank account, applying for a ration card/BPL card, applying for student loans, applying for PRC etc.
53	Death Certificate in Urban areas other than GMC area	UDD	A Death Certificate is required to claim insurance and inheritance benefits, and mutation rights etc.
54	Delayed Registration of Birth in Urban areas other than GMC area	UDD	In case a Birth Certificate is not given on time, a delayed registration of birth can be issued. The application for a delayed registration must be made one year after the birth. An affidavit is required for this purpose; hence there is a separate procedure.
55	Delayed Registration of Death in Urban areas other than GMC area	UDD	In case a Death Certificate is not given on time, a delayed registration of death can be issued. The application for a delayed registration must be made one year after the birth. An affidavit is required for this purpose; hence there is a separate procedure.