

CAPACITY BUILDING
OF PUBLIC (SECTOR)
ENTERPRISES
OF ASSAM [CBPEA] :
SCHEME GUIDELINES

2010

GOVERNMENT OF ASSAM
PUBLIC ENTERPRISES DEPARTMENT
DISPUR

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I.BACKGROUND:

There is an urgent need to bring about greater productivity and professionalism in the functioning and governance of the state PSUs. Both the productivity and professionalism are subject to the capacities and motivation of employees in the process of revenue generation and contribution to the State welfare. Currently, the State Public Sector Enterprises are undergoing change. With the ongoing reform process under the Asian Development Bank assisted programme undertaken with the Finance Department as the nodal agency, it is felt that an understanding and insight into the relevant issues related to appropriate functioning of PSUs and fostering a professional attitude in keeping with the corporate world is necessary. In these times of globalisation and world wide economic changes, the educated and motivated personnel of the PSUs must march ahead and acquire higher skills and qualifications and exposure to the recent remarkable changes taken place in industry, trade and commerce etc. The rapid changes seen in the social and economic conditions with in the state and outside, demand the active involvement of the employees of the State PSUs to adapt, create and generate resources for the overall improvement and managerial success of the PSU to contribute the state.

II.OBJECTIVE

The objective is to improve the performance of the SLPEs through capacity building of human resource by way of providing an opportunity to pursue further education and learning leading to (i) Two Years Masters degree, (ii) One Year Post Graduate Diploma (iii) Short term Certificate programme in any field of relevance.

III. CATEGORIES OF PROGRAMMES COVERED UNDER THE SCHEME

- a.Long Term In-service Programme (LTIP) leading to either Two Years Masters Degree or One Year Post-Graduate Diploma in the specified fields at Academic Institutions.
- b.Short term In-service Programme (STIP) of relevance.

IV. LONG TERM IN-SERVICE PROGRAMME

SALIENT FEATURES

a.Eligibility conditions:

- i.Officers of (functional) State Public Enterprises, who have completed at least 10 years of service and having at least 10 years of service left for superannuation
- ii.An officer can avail of the scheme only once in his / her entire career.
- iii.Officer should have secured admission for the study from university / institute recognised by the UGC.
- iv.In case of selection, execution of a bond for undertaking to serve the SLPE for a period of five years after the completion of the course.

In-eligible conditions:

- v. An officer who already possess the required educational qualifications of specified field or who has been on long term study earlier.
 - vi. The officer should not have any departmental proceedings pending or contemplated against him/her and there should be no standing adverse entry in the ACR of the officer.
- b. Fields of study:** The fields of study will have to be of relevance to the state PSU where the applicant is working and may be in diverse fields like Industry, Trade, Commerce, Sales and Marketing, Human Resources Management / development, Finance, Production, Operations, Management etc. The list is illustrative. The Public Enterprises Department and the SLPE may also recommend a field which it feels that it would be of particular relevance and importance for the officer. Distance Education courses are not considered.
- c. Period of Study:** The financial assistance under the scheme is limited for a maximum period of two years in case of Master Degree and for one year in case of PG Diploma from the date of admission. No requests for extension will be considered.
- c. Institutes for which eligible applicants would be supported:** Financial support is extended to officers, who secure admission for a study / programme in the universities / institutions which are recognised under UGC Act, 1956.
- d. Number of candidates to be selected in a year:** Two candidates will be selected every year for each of the (i) Two Years Masters Degree and (ii) One Year Post Graduate Diploma subject to the Government approval on year to year basis.
- e. Extent of financial help:** The financial assistance under the scheme is limited to Rupees three lakhs for two years Masters Degree and Rupees one lakh for one year PG Diploma. The assistance would be limited to the cost of officers' (i) Tuition fees, (ii) Hostel/living expenses, (iii) Books and (iv) Travel by train in class AC III tier. The first charge on the funding would be towards tuition fees, the second charge would be on living expenses and balance if any would be towards meeting Books and travel charges. The Hostel/living expenses would be provided for a maximum period of 18 months in case Two Years Masters degree and 10 months in case of PG Diploma @ 2500 per month. Thus limiting the living expenses entitlement of the officer to Rs.45, 000.00 in case two year Masters Degree and Rs.25, 000.00 in case of one year PG Diploma. Ceiling for Books and travel are Rs.5, 000.00 and Rs. 10,000.00 respectively for both the courses. The ceiling of this scheme would be inclusive of funds provided under this scheme and any other scheme or grant of Central / State Government or any other agency, substantially funded by the Government.

No requests for enhancement of financial assistance to cover their tuition fees,

living/hostel expenses, Books and travel expenses will be considered. The candidate will have to bear all the costs from his/her own sources if these items cost exceed the assistance provided under the scheme.

In case the officer receives financial support in any form, including tuition fees waiver from any other institution / agency / donor, then the extent of assistance under the scheme will be limited to the total funds required for the approved heads (with in the approved limits) of the study less funds provided by the donor institution / agency / donor or ceiling under the scheme which ever is less.

f. Disbursement mechanism: The assistance under the scheme is disbursed in two equal instalments. In case of Two Years Master Degree Rs.1.50 lakhs will be disbursed in the first year at the beginning of the course and the remaining Rs.1.50 lakhs will be disbursed in the II year, upon submission of a certificate from the University / Institute authority that I year was completed successfully. In case of one year PG Diploma Rs.50,000.00 will be disbursed at the beginning of the course and the remaining Rs.50,000.00 will be disbursed after six months subject to satisfactory progress of earlier six months study attested in the form of a certificate form the University / Institution authority.

Immediately upon selection the Public Enterprises Department issues a letter to the University / Institute that it will pay the tuition fees as outlined in the above Para-Extent of financial help with in the prescribed limits year wise with a request not to demand from the candidate. This can be submitted by the candidate to the University /Institute in the admission process. The assistance under the scheme towards tuition fees etc. will be disbursed directly by crossed cheques in favour of the University / Institute authority.

g. Study Leave: *The period of study will be adjusted against the study leave or any other type of leave, admissible and due to the officer concerned. However the officer will not be entitled to any TA/DA during the period.*

h. Application and documents to be submitted along with the application:

- i. The application is as prescribed in Annexure-I.
- ii. The application should be filled in fully and every page of the application should be self attested by the applicant.
- iii. The application should be submitted to the Principal Secretary to the Government of Assam, Public Enterprises Department, C-Block, III Floor, Assam Secretariat, Dispur **through respective SLPE CMD/CEO/MD** under intimation to the respective Administrative Department. An Advance copy is marked to the Public Enterprises Department by email:pe.assam@gmail.com
- iv. Last date for the receipt of application with SLPE nomination by PE Deptt is 31st July of every year. Applications received after 31st July will not be considered for selection process.

Documents to be submitted from applicant end:

- i. A copy of the letter of admission for the study from the University / Institution.
- ii. A copy of prospectus of the University / Institute related to the programme.

Documents to be submitted from the SLPE (nominating authority):

Nomination details of the candidate in the prescribed format stating the details of years left for superannuation, earlier availment of the scheme, possession of educational qualifications, departmental proceedings and vigilance clearance and reason for the nomination including how the SLPE benefit out of the enhanced knowledge and skills of the applicant on successful completion and an undertaking that the person will be effectively used.

i. Selection process and criterion:

i. Upon receipt of applications duly nominated by the respective SLPEs, the Public Enterprises Department will shortlist the applications into (i) List of applications complying with the eligibility conditions of the scheme and (ii) List of applications not complying with the eligibility conditions of the scheme. Each list is provided with comments and placed before a Selection Committee for Long Term In-Service Programme (LTIP) duly notified by the Public Enterprises Department in the Government of Assam. Generally the selection process will be completed and informed to the concerned applicants before 15th August. The select list and waiting list will be hosted in the Deptt. website.

ii. The Selection Committee will be comprised of the following members viz.,

S.No	Committee Designation	Official Designation
1	Chair person	Chief Secretary, Assam
2	Member	Principal Secretary, Finance Deptt.
3	Member	Principal Secretary/ Com.& Secy., Technical Education Deptt.
4	Member	Representative of concerned SLPE Administrative Department.
5	Member Secretary	Principal Secretary, Public Enterprises Deptt

Selection criterion:

- i. Critical Position of the applicant and benefit to the SLPE performance (50%).
- ii. ACR grading of the applicant based on the last 5 Year ACRs (20%).
- iii. Preference to candidates who got admission in Universities/ Institutions with NAAC accreditation -Very Good (A: 3.01-4.00) and Good (B: 2.01-3.00) under new methodology. (20%)
- iv. There will be preference to SC, ST, Minority, OBC, MOBC and Women candidates. (10%).

Selection list and Waiting list

The Selection Committee approves one candidate for each of the seat considered for assistance under the scheme. Further the selection committee shortlist two candidates under waiting list in priority for consideration in case the selected candidate(s) have not finally joined the study for various reasons.

j. Guidelines to the applicants / candidate:

- i. The Government / Public Enterprises Department will not make any correspondence with the Universities / Institutes in favour of any candidate seeking admission.
- ii. Admission to the University / Institution will be the sole responsibility of the candidate.
- iii. The selected employee will execute a bond in a prescribed format (Annexure-II) with the SLPE to serve the organisation for a period of minimum period of 5 years after completion of the course.
- iv. The candidate will submit a certificate (listing the subjects / credits / assignments/ projects etc. required and completed) from the University / Institute authority / HOD of programme Department of the Institute at two intervals during the study viz.,
 - In case of Two Year Masters Degree: (i) On completion of I year that the candidate has successfully completed the all the requirements of first year and (ii) on completion of II year that candidate has successfully completed all the requirements for awarding the Masters Degree.
 - In case of One Year PG Diploma: (i) On completion of I semester / first six months that the candidate has successfully completed the all the requirements of first six months of the course and (ii) on completion of one year that candidate has successfully completed all requirements for awarding the PG Diploma.

k. Other conditions:

- i. The candidates who are selected by the Selection Committee but have not joined the study will be debarred from future consideration.

- ii. In the event of the officer- (a) failing to complete the study programme and to obtain the Masters Degree / PG Diploma for which financial assistance under the scheme was provided or (b) not returned to duty after the study or (c) left or resigned or quit the organisation etc, he/she shall refund financial assistance received under the scheme to the Government in Public Enterprises Department as per the terms stated in the bond executed.
- iii. The officers shall fully comply with all the requirements that may be insisted upon from time to time by the Government as an enabling agency to ensure that the officers successfully complete the study.

V. SHORT TERM IN-SERVICE PROGRAMME

a. Eligible Category:

1. The Managers /officers of SLPEs
2. The officers of Public Enterprises Department

b. Field of courses / Programmes:

- i. For officers: The programmes in diverse fields like Industry, Trade, Commerce, Sales and Marketing, Human Resources Management / development, Finance, Accounting, Company affairs, Production, Operations, Management etc. The list is illustrative.
- ii. The Public Enterprises Department and the SLPE may also recommend a field /course / programme which it feels that it would be of particular relevance and importance for the officer / employee.

c. Period of Course / Duration: 2 months to 4 months.

d. Institutes for which eligible applicants would be supported:

- i. Financial support is extended to officers, who secure admission for a short term In-service programme in the universities / institutions which are recognised under UGC Act, 1956.
- ii. Training Institutes or professional organisations viz., The Institute of Public Enterprise (IPE), Hyderabad, Institute of Chartered Accountants of India (ICAI), The Institute of Company Secretaries of India (ICSI), The Institute of Cost and Works Accountants of India (ICWAI), Premier Management or Business Administration Institutes / Departments of Indian Institute of Managements, IITs, Tezpur University, Assam University, Gauhati University and other Universities of the country .

- e. **Number of programmes and candidates to be selected in a year:** The number of candidates to be provided assistance / sponsorship is subject to availability of budget of the Year.

f. **Extent of financial help:**

The maximum financial assistance to be provided is Rupees 75,000.00 per officer depending upon the programme, institution and fees etc. towards the expenditure heads of (i) officer's tuition fees, (ii) living expenses, (iii) reading material and (iv) travel by train class AC III tier. In case of All India Service officers the maximum limit is Rs.50, 000.00 towards tuition fees excluding travel expenses.

The ceiling of this scheme would be inclusive of funds provided under this scheme

and any other scheme or grant of Central / State Government or any other agency, substantially funded by the Government.

No requests for enhancement of financial assistance to cover their tuition fees, living/hostel expenses, Books and travel expenses will be considered. The candidate will have to bear all the costs from his/her own sources if these items cost exceed the assistance provided under the scheme.

In case the officer receives financial support in any form, including tuition fees waiver from any other institution / agency / donor the extent of assistance under the scheme will be limited to the total funds required for the study programme less funds provided by the donor institution / agency / donor or ceiling under the scheme which ever is less.

g. Disbursement mechanism:

The assistance under the scheme is disbursed directly to the University / Institution offering the identified programme either in advance or upon completion of the course / programme depending on the nature of institution and course / programme and feasibility. Immediately upon selection, the Public Enterprises Department issues a letter to the University / Institute that it will pay the course fees as outlined in the above Para-Extent of financial help within the prescribed limits year wise with a request not to demand from the candidate. This can be submitted by the candidate to the University /Institute in the admission process.

h. Study leave / duty consideration: The selected candidates will be allowed to avail of study leave during the period of study as per the existing leave rules. In case of All India Service Officers and the Assam Civil Service officers their respective rules are applied as applicable.

i. Application and documents to be submitted along with the application:

Individual applications (Annexure-III) from officers_for courses offered by various universities / institutes the application should be received along with SLPE nomination at least 45 days prior to the starting of the training programme. The application should be filled in fully and every page of the application should be self attested by the applicant. A copy of the letter of confirmation from the University / Institution along with a copy of prospectus of the University / Institute related to the programme is to be enclosed. The application should be submitted to the Principal Secretary to the Government of Assam, Public Enterprises Department, C-Block, III Floor, Assam Secretariat, Dispur **through respective SLPE CMD/CEO/MD** under intimation to the respective Administrative Department and to the Public Enterprises Department.

j. Selection process and criterion:

i. Upon receipt of applications duly nominated by the respective SLPEs, the Public Enterprises Department will shortlist the applications into (i) List of applications complying with the eligibility conditions of the scheme, (ii) List of applications not complying with the eligibility conditions of the scheme. Each list is provided with comments and placed before a Selection Committee for Short Term In-service Programmes (STIP) duly notified by the Public Enterprises Department in the Government of Assam.

ii. The Selection Committee for Short Term In-Service Programmes (STIP) will be comprised of the following members viz.,

S.No	Committee Designation	Official Designation
1	Chair person	Principal Secretary / Sr. Most Secretary in the PE Department, Assam
2	Member	Representative of concerned SLPE Administrative Department.
3	Member	Training Agency to be nominated by the PE Deptt.
4	Member Secretary	Secretary/Addl./Joint / Deputy Secretary, Public Enterprises Deptt

Selection criterion:

- i. Critical Position of the applicant and benefit to the SLPE performance (50%).
- ii. ACR grading of the applicant based on the last 5 Year ACRs. (20%)
- iii. Preference to candidates who got admission in Universities/ Institutions with NAAC accreditation -Very Good (A: 3.01-4.00) and Good (B: 2.01-3.00) under new methodology. (20%)
- iv. There will be preference to SC, ST, OBC, MOBC, Minority and Women candidates. (10%).

VI. TRAINING NEEDS ANALYSIS AND TRAINING PLAN

The Public Enterprises Department will undertake Training Needs Analysis, Training design and training plan of employees of SLPEs at five-ten years interval. The first exercise will be taken up in the current year by availing services of one of the reputed Government academic institution approved by the Government of Assam as a mentoring and consultancy organisation. The exercise will be a basis for all future training programmes in the Department. The training managers of SLPEs and the concerned Administrative Departments will extend full cooperation in the

completion of this exercise. Assam Administrative Staff College will provide required inputs on TNA technique to the consultancy team.

Objective of Training Needs Analysis of SLPEs: to identify training needs of officers and other staff category both at induction level and at in-service, linked to career progression.

The mentoring and consultancy team will

- i. Understand various TNA techniques in Public Enterprises context.
- ii. Study and analyse primary and secondary sources of data about SLPEs including about the institutions, statutory auditors and Accountant General.
- iii. Review present status and prevalent system of meeting training needs.
- iv. Decide the content, format and structure of the questionnaire for data collection and test and standardise the questionnaire and decide interview methodology.
- v. Scientific representative sampling method is followed for collection of data.
- vi. Collect data and conduct interviews.
- vii. Conduct stake holder's workshop.
- viii. Analyse and interpret the data, making it amenable to the identification of training needs.
- ix. Determine training needs and its linked non-training needs having bearing on the cadre training plan.
- x. Present outcome of the Study viz., Training Needs, Design, Plans and calendar and Institutional plan for various categories of employees of each SLPE for validation
- xi. Submit final report.

VII. BUDGET PROVISION FOR THE SCHEME FOR THE YEAR 2010-11

Head of Account: 44- Grants-in-Aid under Non-Plan budget for Rs.12.00 lakhs.

Category	Programmes	No. of candidates	Assistance per candidate (in Lakhs)	PE Dept. Proposal for current Yr. (in Lakhs)	Total Amount sanctioned \$ (in Lakhs)
Long Term In-service Programme	2 Yr Masters Degree*	2	1.50 /Yr	3.00	
	1 Yr PG Diploma	2	1	2.00	2.00
Short Term In-service Programmes	Individual applications of officers	**	**	2.00	2.00
Total				12.00	4.00

*: The approvals are under process; **: are variable subject to applications and proposals. \$: as on 30th June 2010.

In case there are no selections / takers for LTIP in a Year (to be known by August); the allocated money could be used for STIPs in the same year.

- Note: The allocation may be enhanced in subsequent years subject to fund availability and concurrence of the Finance Department, Assam.

VIII. ROLE AND RESPONSIBILITY OF SLPEs

- All the SLPEs should designate one of the Sr.Manager dealing HR matters as Training Manager and inform the same to the respective administrative department and the Public Enterprises Department. All changes in future are to be informed along with email and contact numbers.
- The SLPE Training Manager shall liaison with training manager of the concerned administrative department and PE Department.
- Maintain a database of trained personnel, resource persons and institutions in different fields.
The SLPE shall circulate the scheme to all the stakeholders and encourage the officers and the staff to avail the facility and forward nominations / proposals to the PE Department through proper channel timely.
- Shall nominate identified participants to all the training programmes to be organised by the PE Department positively.
- Undertake training programmes based on internal training needs analysis and on Public Enterprises Dept. TNA study.
- The SLPEs will make appropriate inclusion of training head in the employees ACRs. Failure to attend the nominated training programme will invite appropriate disciplinary action besides debarring the candidate from the future training programmes and promotions.

Guidelines while forwarding nominations:

- The SLPEs shall recommend and forward only such applications which have satisfied all the eligibility conditions mentioned in the scheme.
- Upon successful completion of the study / course the SLPE will utilise the candidate in the field of his/her expertise to achieve expected outcomes and also use the officer as a Resource person for in-house trainings.
- [Upon successful completion with in time, the Public Enterprises Department in Government of Assam may consider to recommend two advance increments to the candidate subject to Finance Department concurrence and will get preference in promotion if no such required qualification is not found among the peers coming under the zone of consideration subject to Personnel Department approval.]*

IX. ROLE AND RESPONSIBILITY OF SLPE ADMINISTRATIVE DEPARTMENTS

- All SLPE administrative departments designate one of the middle management rank officer (Deputy / Joint /Addl./Secretary) dealing HR matters as Training

- Manager and inform the same to the SLPE and the Public Enterprises Department. All changes in future are to be informed along with email and contact numbers.
- xi. The Administrative Departments are responsible for circulation and awareness of the scheme and to derive benefit for the improved performance of respective SLPEs.
 - xii. The administrative departments will move file in cases, where ineligible candidates are nominated by their SLPE(s) with advice.
 - xiii. Participate in the Selection Committee meetings in selecting right candidate and approving SLPE proposals.
 - xiv. Maintain a database of trained personnel, Resource Persons and Institutions in different fields.
 - xv. Upon successful completion of the study / course by the candidates, it will ensure that the SLPE utilises the candidate in the field of his/her expertise to achieve expected outcomes and also use the officer as a Resource person for in-house trainings.

X. ROLE OF GOVERNMENT OF ASSAM IN PUBLIC ENTERPRISES DEPARTMENT

- i. The Public Enterprises Department is the nodal department both for policy making and operationalisation of the scheme. Based on experience, the scheme provisions will be improved further for intensifying, expanding and diversifying the capacity building amongst the SLPEs. The decision of Chief Secretary Assam will be final in the matters that arise during the implementation of the scheme.
- ii. Notification of Scheme:
 - a. The Public Enterprises Department in Government of Assam will advertise the scheme in at least three local dailies (Assamese, Bengali and English) in the month of April / May every year. Simultaneously the PE Dept. will write to various administrative departments controlling SLPEs and to the SLPEs directly. The Administrative Departments are responsible for circulation and awareness of the scheme and to derive benefit for the improved performance of respective SLPEs.
 - b. A copy of the advertisement and scheme guidelines including application format and bond format will be hosted in the PE Dept. website (<http://dpeasom.gov.in/>).
 - c. For the current year the advertisement will be issued in the first week of July' 2010.
- iii. The Public Enterprises Department will designate Secretary/ Addl. Secretary / Joint Secretary of the Department as Training Manager to look after the training needs of the department and SLPEs within the parameters of the scheme. He will be assisted by the Jr. Economist and Statistical Officer. The team will service the Selection Committee for Long Term In-Service Programme (LTIP) and Selection Committee for Short Term In-service Programmes (STIP).
- iv. The PE Dept / Selection Committee will consider any candidature and proposal only

after the nomination is duly recommended and forwarded timely by the respective SLPE under intimation to the respective administrative departments.

v. The job chart of the Training manager of Public Enterprises Department:

- a. Budget planning / allocation for the scheme every year regularly.
- b. Timely advertisement of scheme in the month of April/ May through DIPR, web hosting and circulation among Administrative Departments and SLPEs.
- c. Liaison with Training Managers of Administrative Departments and SLPEs.
- d. Liaison with Management and Business Administration Departments of various reputed Universities / Institutes.
- e. Liaison with Professional institutions / bodies viz., The Institute of Public Enterprise (IPE), Hyderabad, Institute of Chartered Accountants of India (ICAI), The Institute of Company Secretaries of India (ICSI), The Institute of Cost and Works Accountants of India (ICWAI), Assam Administrative Staff College and such others.
- f. Preparation of Training calendar for the officers and employees of SLPEs and to the officers of Public Enterprises Department.
- g. Maintenance of database of Training Institutions, Resource Persons and participants.
- h. Processing financial sanctions and proper utilisation of budget and expenditure.
- i. Coordinate and Supervise Training Needs Analysis, Training Design and Training plan preparation and its implementation in future programmes.

XI. GUIDELINES TO THE APPLICANTS / CANDIDATE:

- i. All the prospective participants seeking financial assistance under the Scheme should fill up the application and submit the same to their CMD/CEO/MD of the SLPE with an advance copy to the Principal Secretary to the Government, Public Enterprises Department, Assam Secretariat (C-Block III Floor), Dispur for examination and nomination upon satisfaction.
- ii. Confirmation of participation / admission to the Long Term In-service Programme / Short Term In-service Programme in a University / Institution will be the sole responsibility of the officer candidate.

The scheme guidelines can also be found in the Public Enterprises Department website: <http://dpeasom.gov.in/>