
NATIONAL RECONSTRUCTION BUREAU

PLANNING THE TRANSITION

GUIDELINES FOR PREPARING

**DISTRICT GOVERNMENT TRANSITION REPORT
(DGTR)**

**(To be read in conjunction with the revised draft of the Local Government (Model)
Ordinance 2001 dated 11th June 2001)**

14th June 2001

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1 INTRODUCTION

The Government of Pakistan has initiated a plan to establish Local Governments in all Districts of the country on August 14, 2001. The Local Government includes:

- a District Government or a City District Government and Zila Council;
- a Tehsil (Taluqa) Municipal Administration and Tehsil Council;
- a Town Municipal Administration and Town Council and
- a Union Administration and a Union Council.

The process of devolution from the existing system to the new Local Government system requires careful planning and a phased approach to implementation. The proper management of the transition phase is critical to the success of the devolution exercise. The Provincial Governments have adopted the concept of "Transition Teams" in order to ensure a smooth and trouble free operation. These teams are:

Provincial level

- Provincial Transition Team (PTT)

District Government

- District Transition Team (DTT)
- Tehsil Transition Team (TTT)

City District Government

- City District Transition Team (CTT)
- Town Transition Team (TwTT)

The Provincial Transition Teams, City District Transition Teams and District Transition Teams have commenced work and are providing the necessary momentum and direction for change. The other teams are being established.

The National Reconstruction Bureau has been providing guidelines on transition to the Provincial Governments. An initial set of guidelines, were provided on February 22, 2001.

Since then many developments have taken place and the law has also undergone revisions. The process of transition in addition to the administrative, personnel and organizational changes, also has financial implications. The Government has setup a "Devolution Transition Fund" to assist the provinces in the transition phase. However, to access the funds requires the preparation of a "District Transition Report" (DTR) and or City District Transition Report. Thus every District Transition Team has to prepare a District Transition Report while every City District Transition Team has to prepare a City District Transition Report. The District Transition Report/City District Transition Report shall be finalized by the District Transition Team/City District Transition Team in collaboration with the Tehsil Transition Team/Town Transition Team and shall include the following reports:

For each District Government

- a District Government Transition Report (DGTR)
- a Tehsil Transition Report (TTR) for each Tehsil Municipal Administration in the District

For each City District Government

- a City District Government Transition Report (CDGTR)
- a Town Transition Report (TwTR) for each Town Municipal Administration in the City District

Keeping in view these changes, it was felt that there is a need to update the information / guidelines issued previously by National Reconstruction Bureau and to provide additional guidelines for preparing the District Transition Report/City District Transition Report.

This document only includes guidelines on the preparation of District Government Transition Report. The guidelines for the Tehsil Transition Report, City District Government Transition Report and the Town Transition Report will be provided in another report to be issued by National Reconstruction Bureau.

To facilitate the District Transition Teams in preparing the District Government Transition Report and the Provincial Transition Teams in analyzing the Report, it is imperative that appropriate guidelines be provided and as far as possible standard forms be used.

The main objective of this document is to facilitate the transition planning process and help in preparing the District Government Transition Report. More specifically this document:

- i. provides an introduction to District Government transition;
- ii. explains the planning process for transition and the role of the transition teams;
- iii. spells out a time frame for transition;
- iv. identifies the information requirement for preparing District Government Transition Report;
- v. outlines the steps to be followed by District Transition Teams, in preparing for transition;
- vi. presents a tabulation plan for compiling and presenting the information including the cost of transition to the Provincial Transition Team; and
- vii. proposes a format for District Government Transition Report.

The overall objectives of the District Government Transition Report is to provide a roadmap through which one can:

- *Ensure continuity of services during the transition phase*
- *Ensure that staff, facilities and logistics are identified, allocated/reallocated in a organized manner*
- *Access funds for the transition period provided in the Federal Devolution Fund*
- *Ensure that the transition takes place at minimum cost*
- *Ensure consolidation and improvement of services during the transition phase*

Devolution offers an opportunity as well as a challenge for strengthening systems at the District level and to improve quality of services.

2. BASIC PARAMETERS OF TRANSITION

Chapter XVIII in the SBNP Local Government (Model) Ordinance 2001 provides the legal parameters for managing transition. The Transition teams must adhere to these laws when formulating the District Government Transition Report. The main areas especially those relating to District Government are highlighted below. The readers are encouraged to read the complete chapter on Managing Transition.

- On commencement of the SBNP Local Government (Model) Ordinance 2001, the properties, assets and liabilities of the Local Councils, namely, District Councils, and Union Councils under the SBNP Local Government Ordinance, 1979 (of 1979), shall be succeeded by the following local governments under this Ordinance: -
 - (a) District Government in the case of District Council;
 - (b) Union Administration in the case of Union Councils.
- The Government shall make arrangements of accommodation for the offices of the local governments and, as far as possible, for that purpose the existing infrastructure shall be utilised.
- On coming into force of SBNP Local Government (Model) Ordinance 2001, any office, authority or municipal body set up or controlled by the Government shall continue providing services without any interruption during the decentralization process or its entrustment to any local government under this Ordinance.
- All functionaries of the Zila Councils and Union Councils set up under the SBNP Local Government Ordinance, 1979 (of 1979), shall continue to perform their respective duties and responsibilities with the successor local government under this Ordinance, until transferred to any other local government.
- The Government shall commence closing down the operations of divisional offices and, where applicable, regional and zonal offices on coming into force this Ordinance, provided that such offices shall cease to function on 31st day of December, 2001.
- The Government shall, on the commencement of this Ordinance, decentralize administrative, financial and appellate powers of the divisional, regional and zonal officers to the Deputy District Officers, District Officers, Executive District Officers and District Coordination Officers, as the case may be.
- On allocation, re-allocation or transfer of the employees of the Government, Metropolitan, Corporations, Municipal Corporations, District Councils, Municipal Committees, Town Committees and Union Councils or any other authority, agency or body to any local government established under this Ordinance, the salaries, emoluments and pensions of such employees shall not be reduced on such allocation, re-allocation or transfer.
- During the transition period, no fresh recruitment shall be made to fill any vacancy in the local governments set up under this Ordinance;

- The local governments shall utilize the services of the employees of the Local Councils set up under the repealed SBNP Local Government Ordinance, 1979 (of 1979) for meeting the shortfall in the offices of the Zila Councils and Union Administrations.

- All actions required for giving effect to the provisions of this Ordinance and transition to the local government systems set up thereunder shall be completed by the 30th day of June, 2002.

3. FRAMEWORK FOR DISTRICT GOVERNMENT TRANSITION

The transition process for District Governments can be classified into the following phases and activities:

SR.	PHASE	ACTIVITY
1	Planning	
1.1		Data collection on existing staffing, assets etc.
1.2		Developing the organizational chart for the new structure
1.3		Matching the staffing requirements and availability
1.4		Preparing a staff relocation/deployment plan
1.5		Determining the office requirements
1.6		Identification of Administrative/Financial changes
1.7		Developing a cost proposal for the transition
1.8		Preparing the District Government Transition Report
1.9		Approval District Government Transition Report by Provincial Transition Team
1.10		Review by Joint committee of the Federal Ministry of Finance and National Reconstruction Bureau.
1.11		Release of funds by Federal / Provincial Governments
2	Implementation phase	
		Revision of Rules and Administrative / Financial powers
		Issuance of necessary administrative orders
		Establishment of offices
		Staff deployment
		Movement of assets etc.
3	Consolidation phase	
		Develop capacity to: <ul style="list-style-type: none"> - Manage the new administrative structure of the District Government - Improve service delivery - Improve systems and procedures - Plan, implement and monitor services

The planning phase identifies:

- 1 the existing resources that need to be reallocated or realigned, and additional resources required in each District for delivery of needed services. These may include human, financial, infrastructure, and other resources;
- 2 the financial, administration, and technical responsibilities and powers of various functionaries that need to be revised in order to deliver services under the devolved setup;
- 3 the changes to be made in the rules of business and financial rules
4. Approval of Funds to District Transition Teams

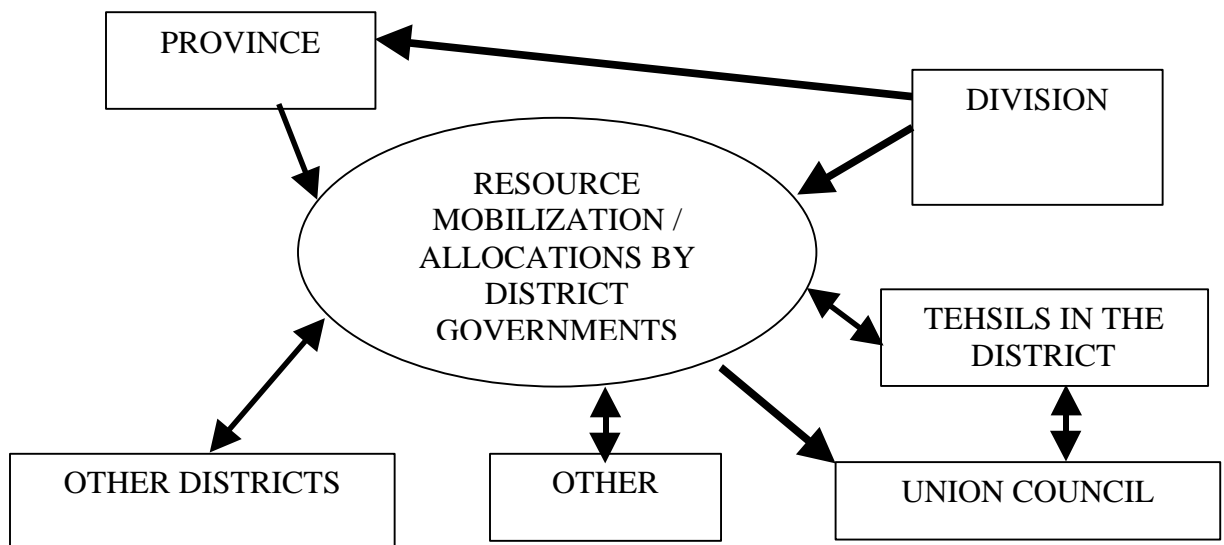
The first two of the above steps are to be done by the District/Tehsil tiers. Step 3 and 4, regarding changes in rules of business and delivery of resources are to be undertaken by the Provincial governments based on feedback received from District Transition Teams/Provincial Transition Teams.

The District Government transition, therefore, is to take place in a two pronged fashion:

- *The bottom up resource analysis*
It entails identification of resource needs at the lowest level and for preparing the District Government Transition Report. It will be done at the District level by the District Transition Team (DTT)
- *The top down resource delivery*
It includes provision of resources as per assessed needs, and changes in rules of business and Administrative/Financial rules to facilitate the functioning of District Governments.

The matching of resources with the requirements at the District Government level can take place through a number of geographical movement. The major ones would be from Division to District and from District to Tehsil. The major option are listed below:

- From Province to District
- From Division to Province
- From Division to District
- From other Districts
- To other Districts
- To Tehsil
- From Tehsil
- To Union Council
- From Union Council
- Other movements which may optimize the transition exercise



Each District Transition Team shall comprise of:

- (i) District Coordination Officer (designate) - BPS 20 for District Government and BPS 21 for City District Government;
- (ii) Upto two other officers;
- (iii) Lieutenant Colonel from the Army;
- (iv) The District Transition Team if required could be reinforced at the discretion of the DCO.

The Provincial Transition Team will then place its overall resource requirement of the Province before the joint committee of National Reconstruction Bureau and Ministry of Finance for accessing the Federal Devolution Transition Fund.

The Federal Government will provide the resources required for completing the transition, from the **Federal Devolution Transition Fund** based on a matching grant system.

The detailed time frame for transition is given in section 5 of this document

4. STEPS IN PREPARING DISTRICT GOVERNMENT TRANSITION REPORT

The District Transition Team are responsible for the District Government Transition Report and for compilation of the District Transition Report. It will function under the Provincial Transition Team but it will be located at the office of the Deputy Commissioner.

The District Transition Team will need to undertake the steps outlined below to prepare District Government Transition Report for its District. In some cases the District Transition Teams may already have completed some of the steps mentioned below.

Important Note:

District Transition Teams, which have already compiled this information need not fill these forms/tables. However, they should use them as a checklist to ensure that they have collected all the information that is necessary for preparing a District Government Transition Report. Other DTTs may modify these forms as per their requirements. These forms are basically presented as a guide/sample.

Step 1 Initial meeting of DTT with District officers of each line department

The District Transition Team will hold a meeting with each department. During the initial meeting, the District Transition Team will explain the process of transition and the objectives of the District Government Transition Report. The District Transition Team will also explain about the details of information listed below which is to be provided in the District Government Transition Report:

- a) current organogram of the department;
- b) the organogram of the structure planned under the new Local Government system;
- c) current status of human resource; details of staff to be transferred/moved from one department/office to another and basis/criteria for moving the staff;
- d) current status and requirement of movable and immovable assets; details and type of assets to be transferred from one department/office to another and basis/criteria for moving assets;
- e) list of administrative and financial powers of different functionaries that need to be changed under the devolved setup; and
- f) cost estimates of completing the transition (including the cost of relocating staff and assets).

A set of instruments (organogram and tables) has been prepared and attached in Annex I, II and III to compile the above information. A detailed format for data collection was developed and sent by National Reconstruction Bureau to the Districts. The NARIMS Forms were designed to

collect information on existing human, infrastructure, financial and other hardware resources of the line departments at Division, District and Tehsil levels. It is suggested that the District departments may consider the NARIMS forms as the primary source of their data, and use them in filling the tables given in Annex II.

Each department will prepare an organogram (item a) of its current structure at District and Tehsil levels as well as organograms for future structure (item b) under the new Local Government system. Figure 1 in Annex I presents an example of how these organograms may look like (using the case of Health Department).

Information on Items (c), (d), and (e) will be collected and compiled in Tables 1-6 of Annex II. The District Transition Team will hand over the blank tables in Annex II to each department and ask them to fill them.

It is envisaged that there will be a one-time cost (item e) of carrying out the transition. This will include cost of relocating staff and assets from one department/office to another, expenses incurred in training/capacity building etc. Each department will prepare a cost estimate for carrying out the transition process on the format attached in Annex III.

The District Transition Team will also agree with each department on a deadline to submit the information and on a schedule for holding a detailed hearing with the department.

Step 2: Hearing with the departments

Once the District Transition Team has received the information from the departments it will start conducting detailed hearings with each of the 12 departments (except the Departments of Law and Information Technology) that are to be established in a District. A list of the 12 departments and their sub-departments is shown in Table 4 (Columns 4 and 5). Representatives of all those departments, which are to be merged/restructured to form a single department, will be invited in the hearing. For example, hearing with the Agriculture department will also include functionaries of all those departments/agencies, which are to be merged into Agriculture department (including Fisheries, Livestock, Forest etc). The hearings will also include various types of functionaries of each department, sub-department and offices. This will ensure a wider representation of various tiers and parts of each department, and would result in a more comprehensive exchange of views on transition assessment.

The District Transition Team will meet each line department, and conduct hearing with the following members of the departments. However, the following list could be modified based on the peculiarities of each department. Effort should be made to include representation of all possible tiers and sections of a department.

- Acting Executive District Officer (EDO) of the Line Department. This is to be notified by District Transition Team by identifying the senior most officers out of the District officers.
- Divisional head/representative of the department
- District head of the department (e.g., DHO, DEO, DPWO etc)
- Head of other office/institutions of the department located in the District headquarter (e.g. Medical Superintendent of the District hospital)

- Tehsil Officers (from all Tehsils of the District) of the concerned department (e.g. Assistant / Deputy District Health Officer)
- Accountant of the department
- One senior representative of facility level staff (e.g. Headteacher of a school, Medical Officer of an RHC/BHU etc)
- MIS Officer, e.g. District Health Management Information System (HMIS) Officer from Health Department

District Transition Team will ensure that all the information needed to prepare the District Government Transition Report has been provided by the department. A checklist of possible questions to be asked by the District Transition Team is attached as Annex IV to facilitate the hearing. Broadly, the hearing will focus on staffing and assets and how these will be readjusted, and what changes are required in administrative and financial powers of functionaries at various tiers of the departments.

Step 3: Preparation of District Government Transition Report (DGTR)

After collecting all the information the District Transition Team will consolidate the information for each line department focusing on current and future human resource, financial resource, movable / immovable property and rules and regulation requirement and prepare District Government Transition Report. It will specify the resource requirement, plan of transferring staff and resources from one department/office to another, and recommendations for changes in administrative and financial authority of functionaries at various levels.

Step 4: Preparation and submission of District Transition Report

The District Transition Team will consolidate the District Government Transition Report and the Tehsil Municipal Administration Transition Reports into a single District Transition Report and submit it to the Provincial Transition Team for onward processing.

Step 5: Review by Provincial Transition Team of District Transition Report

The Provincial Transition Team (PTT) shall review, the District Transition Reports of all Districts, and submit it to the joint committee of the Ministry of Finance and National Reconstruction Bureau. The Provincial Transition Team will also review the requirements for changes in rules and regulations as suggested by the District Transition Teams. The Provincial Transition Teams will then issue directions with respect to the agreed changes for amendments in the rules and regulations falling within the provincial government's mandate.

Step 6: Review of Provincial Transition Report by Joint committee of Ministry of Finance & National Reconstruction Bureau

The Provincial Transition Report will be reviewed by a Joint Committee of Ministry of Finance and National Reconstruction Bureau. The Federal Government will provide matching grant from the (Federal) Devolution Transition Fund after approval.

5. TIME FRAME FOR TRANSITION

In every Province the Governor's Task Force on Devolution is handling the transition from the existing to the new administrative structure, which began on March 1, 2001. The transition phase ends on June 30, 2002 as provided in the new Local Government Ordinance.

This period can be further broken down as follows: -

Upto August 13, 2001

- The start for transition was made on March 11, 2001, when National Reconstruction Bureau gave a presentation to the Provincial Transition Teams (PTTs) on NARIMS, as a tool for decentralization. The process was set in motion with the collection of data through NARIMS Data Collection Forms on 28th March 2001. The data collection forms were sent to all the Districts of Pakistan through the Provincial Transition Teams. The District departments have collected most of the data.
- Initial Guidelines were provided to the Provincial Governments on February 22, 2001 by National Reconstruction Bureau.
- The guidelines for the preparation of the District Government Transition Report is being submitted under this document i.e. on June 15, 2001.
- The Division as an administrative tier will cease to function on August 14, 2001.

From August 14, 2001 till December 31, 2001

- The administrative decentralization is to be completed by August 31, 2001.
- All Divisional/Regional/Zonal Offices shall cease to function on December 31, 2001.
- Consolidation phase starts.

From January 1, 2002 till June 30, 2002

- Consolidation phase continues.

Almost all the District Coordination Officers have been notified and posted in the Districts along with their teams to plan the transition. The Tehsil Transition Teams are in the process of being established. Table 1 presents a schedule for the completion of District Government Transition Report, while Table 2 shows the schedule for implementation of District Government Transition Report. Schedule for consolidation of transition is shown in Table 3.

Table 1: Time Frame for Completing the District Government Transition Report

Activity	Completion Date
1. Notification of District Transition Team	Done
2. Initial Meetings of District Transition Team and departments	
3. Hearings of District Transition Team with the departments	
4. Completion of District Government Transition Report	
5. Presentation of District Transition Report to the Provincial Transition Team	June 30, 2001

Table 2: Time Frame for Implementing the DGTR

Activity	Date July/August
1. Actions by Provincial Transition Team / District Transition Team on District Government Transition Report	
<ul style="list-style-type: none"> • Issuance of transfer orders of staff to be relocated 	July/August, 2001
<ul style="list-style-type: none"> • Changes in the rules / regulations 	July/August, 2001
<ul style="list-style-type: none"> • Release of Transition fund to Districts 	July/August, 2001
<ul style="list-style-type: none"> • Transfer of assets 	July/August, 2001
<ul style="list-style-type: none"> • Setting up offices of the 12 departments 	July/August, 2001

Table 3: Time Frame for Consolidation

Activity	August/June 2002
1. Development of systems	
2. Development of training modules / programs	
3. Implementation of training program	
4. Completion of staff redeployment	
5. Revision in the rules of business/Codes/By-Laws	

6. DEPARTMENTS UNDER DISTRICT GOVERNMENT

The number of current departments, sub-departments and offices varies from District to District. While most of the departments (such as Education, Health, Agriculture etc) exist in all Districts, there are a few departments, which exist in only some of the Districts and Provinces. The total number of departments and sub-departments/offices in a typical District is generally more than 30. As part of the devolution, the departments/sub-departments will be restructured/merged and only 12 departments will operate at District level. Table 4 presents a list of departments under the existing structure as well as the departments and sub-departments that will operate under the Local Government structure. It is with these 12 departments and their sub-department that the District Transition Team will conduct its hearing for preparing District Government Transition Report.

**Table 4: Typical Departments at District Level under the Existing Structure
And Under the Local Government Setup**

S.No.	Typical Departments in Districts Under current set up	Departments to exist under the Local Government	
		Departments	Sub – Departments
(1)	(2)	(4)	(5)
1.	Agriculture	1. District Coordination	<ul style="list-style-type: none"> • Coordination • Human Resource • Civil Defense
2.	Animal Husbandry	2. Agriculture	<ul style="list-style-type: none"> • Agriculture (extension) • Livestock • farm water management • soil conservation • soil fertility • fisheries • forest • wild life
3.	Artificial insemination		
4.	Barani Research		
5.	Board of Revenue		
6.	C & W		
7.	Civil Defense		
8.	District Accounts Office		
9.	District Administration		
10.	District Food Office		
11.	Education		
12.	Environment	3. Community Development	<ul style="list-style-type: none"> • Community organization • Labor • Social welfare • Sports & culture • Cooperatives • Registration
13.	Excise & Taxation		
14.	Fisheries		
15.	Forest		
16.	Housing & Physical Planning		
17.	Health		
18.	LG & RD		
19.	Livestock & Dairy Development		
20.	Magistracy		
21.	Manpower & Labor		
22.	Minerals	4. Education	<ul style="list-style-type: none"> • Boys schools • Girls schools • Technical education • Colleges • Sports • Special Education
23.	PHED		
24.	Police		
25.	Population Welfare		
26.	Poultry Research		
27.	Publicity & information		
28.	PWD		
29.	Registration		
30.	Social Welfare		
31.	Soil & water conservation		
32.	Sports	5. Finance & Planning	<ul style="list-style-type: none"> • Finance & budget • Planning & development • Accounts • Enterprise & Investment Promotion
33.	Transport		
34.	Vocational institutes		
35.	Weights & Measures		
36.	Wild Life		
37.	Cooperatives		
38.	Fuel & power		
		6. Health	<ul style="list-style-type: none"> • Public Health • Basic & rural health • Women & child health • District & Tehsil hospital • Population Welfare
		7. Literacy	<ul style="list-style-type: none"> • Literacy campaign • Continuing education • Vocational Training
		8. Magistracy	
		9. Revenue	<ul style="list-style-type: none"> • Land revenue • Estate • Excise & taxation
		10. Works & Services	<ul style="list-style-type: none"> • Housing • Rural & Urban development • District Roads and buildings • Energy • Transport
		11. Law	
		12. Information Technology	

7. FORMAT OF DISTRICT GOVERNMENT TRANSITION REPORT

Once the District Transition Team has collected the required information and completed hearings with all the departments, it will prepare a District Government Transition Report and present it to the Provincial Transition Team as a part of the District Transition Report. The District Government Transition Report will include the following:

i. Brief Profile of the District

- Population of the District (rural, urban and total)
- Area of the District in sq. km
- Population density
- Number of Tehsils
- Number of Unions
- Other important information about the District

ii. Organization chart of the Departments

- Organogram of existing departments
- Organogram of departments to be established under the devolved setup.

iii. Staffing Plan

- Details of current staffing for each of the existing department (by grade, position, cadre, years of service, qualification, gender, office of duty, etc).
- Details of staff required by the newly established departments under the devolved setup (by grade, position, cadre, qualification, gender, office of duty, etc).
- Details of staff that needs to be moved from one department or office to another by matching the above two (i.e. the existing staffing strength and the requirements).

iv. Plan for Immovable Assets

- Details of immovable assets/infrastructure by existing department. This will include a complete list of all-immovable assets and infrastructure that the department possesses with location, size, physical condition, and description.
- Details of assets/infrastructure required by the newly established departments. This will include a complete list of all-immovable assets and infrastructure that the newly created departments will need. It should specify the type of infrastructure needed, its location, size, and description.
- Details of assets/infrastructure that needs to be transferred from one department or office to another by matching the above two

Table 3, Annex II, will be presented as part of the District Government Transition Report to provide information on immovable assets.

v. Plan for Movable Assets

- Details of movable assets (vehicle, equipment, computer etc) by existing department. This will include a complete list of all Movable assets that the department possesses with description, and physical condition.
- Details of Movable assets required by the newly established departments. This will include a complete list of all Movable assets that the newly created departments will need. It should provide description of the asset.
- Details of assets that needs to be transferred from one department or office to another by matching the above two

Table 2, Annex II, will be presented as part of the District Government Transition Report to provide information on Movable assets.

vi. Plan for Change in Administrative Powers

- List of administrative and disciplinary control powers of functionaries at District level and below which need to be revised under the devolved setup

Table 5, Annex II, will be presented as part of the District Government Transition Report to provide information on changes needed in administrative powers.

vii. Plan for Change in Financial Powers

- List of financial powers of functionaries at District level and below which need to be revised under the devolved setup

Table 6, Annex II, will be presented, as part of the District Government Transition Report to provide information on changes needed in financial powers.

viii. Cost estimate of completing the transition process

- Cost Estimates of relocating staff
- Cost Estimates of relocating Movable assets
- Cost Estimates of renting any building
- Cost Estimates of repair of offices/buildings
- Cost Estimates of training/capacity building of redeployed staff
- Miscellaneous cost for unforeseen activities

Tables in Annex III will be presented to provide information on cost estimates of transition.

Other issues to consider in the District Government Transition Report

The District Transition Team will provide quantified current status of staffing and assets, future requirement under the devolved setup and details of how staff or assets will be reassigned/transferred as needed. The report will also clearly mention what changes in administrative and financial powers at various levels need to be instituted for smooth functioning of the departments under the local government, and what would be the one-time cost of transition. At the end it will include a list of actions that has to be taken by the Province as recommended in the District Government Transition Report.

Since the divisional tier will be abolished under the local government, all staff at divisional level will become redundant and will have to be adjusted based on need. Similarly many other offices will be abolished and their staff will have to be adjusted. The District Transition Teams, therefore, will have to develop a formula/criteria for relocating redundant staff – on what basis an employee will be selected and moved to another office. A simple criterion could be to match the skills/qualification of a redundant staff with the job requirement of a vacant position. Giving priority to domicile of the redundant staff can further refine this so that any person from a particular Tehsil/District should be posted within his/her home Tehsil/District. Seniority could be another additional criteria while relocation of staff. Table 1, Annex II will be presented as part of the District Government Transition Report to provide information on staffing.

ANNEXURES

Annex – I: Organograms showing current and new organization chart of District departments

Annex II: Format for Compiling and Presenting Data to the DTT

Table 1: Data on Status of Human Resources and Requirements Under the Local Government ¹

District: _____ **Tehsil:** _____ **Department:** _____ **Date:** _____

Grade	Sanctioned Posts		Tier ²	Filled (No.)	Vacant (No.)	No. of Posts and Staff that will be in Surplus		No. of Additional Posts, if needed (to be filled through redeployment only)	<u>Plan for Adjusting the Surplus Staff</u>				
	Title of Post	No.				Post in Surplus	Staff in Surplus		No. of Staff to be adjusted against				
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)	(13)	(14)
1.													
2.													
3.													
4.													
5.													
6.													
7.													
8.													
9.													
10.													
11.													
12.													
13.													
14.													

¹ The information is available under the National Reconstruction Information Systems (NARIMS) in each District.

² Enter the tiers of the post (federal, provincial, divisional District, Tehsil, or union level)

Table 2: Data on Immovable Assets and Requirements under the Local Government ¹

District: _____ **Tehsil:** _____ **Department:** _____ **Date:** _____

S. No	Immovable Asset/ Infrastructure	Infrastructure owned or rented by the department			No. of structure needing repair	Total No. of Infrastructure needed ³	No. of Redundant Infrastructure ⁴		No of additional infrastructure needed ⁴	
		Owned	Rented	Total			Owned	Rented	Owned	Rented
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)
1.	Office Building									
2.	Service Delivery Outlets (Specify) ²									
3.	Repair workshops									
4.	Ware houses / stores									
5.	Residential Unit/Hostel									
6.	Rest House									
7.	Recreational /Sports Facility									
8.	Community Center									
9.	Land									
10.	Others (specify) ³									

¹ The information is available under the National Reconstruction Information Management Systems (NARMIS) in each District. In case, the information is not available please use office records.

² Schools/ Dispensaries, BHU, RHC, THQ, DHQ hospitals, water supply scheme, drainage scheme courts, police station, veterinary hospital, veterinary center, tubewell scheme

³ enter the total number of infrastructure (building, land) actually needed by the department at District level and below under the devolved setup.

⁴ Based on the existing infrastructure (cols 3,4,5) and the actual need (col 7), identify the number of infrastructure that will be redundant or needed additionally.

Table 3: Data on Status of Movable Assets and Requirements under the Local Government ¹

District: _____ Tehsil: _____ Department: _____ Date: _____

S.No.	List of equipment ²	Number in working condition	No. in repairable condition	No. in irreparable condition	Total ³ Number Available (3) + (4)	No. Needed ¹	No. in Surplus (6) - (7)	Additional Requirements (7) - (6)
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
	(a) Transport							
1.	Cycle							
2.	Motorcycle							
3.	Car							
4.	Pickup							
5.	Jeep							
6.	Van							
7.	Bus							
8.	Tractor							
9.	Trolley							
10.	Other							
	(b) Office Equipment							
9.	Computers							
10.	Printers							
11.	Photocopying machines							
12.	Telephones							
13.	Fax Machines							

¹ The information is available under the National Reconstruction Information Management Systems (NARIMS) in each District. In case, the information is not available please use office records.

² Please add any other equipment (as needed) to this list. Use extra sheet, if needed.

³ Enter the total number of each item that is actually needed by the department at District levels and below under the devolved setup.

14.	Wireless system							
15.	Other							
	(c) Furniture & Fixture							
16.	Tables							
17.	Chairs							
18.	Sofas							
19.	Filing Cabinets							
20.	Cupboards/Almarian							
21.	Fans							
22.	Other							
	(d) Medical & Other Equipment							
23.	Fridge							
24.	Deep freezers							
25.	Ultrasound machines							
26.	X Ray machines							
27.	Vaccine carriers							
28.	Vacuum cleaner							
29.	Other							
	(e) Machines							
30.	Tubewell machines							
31.	Drilling machines							
32.	Earth moving machines							
33.	Motorized pumps							
34.	Other							
	(f) Other (specify)							
35.								
36.								
37.								

Table 4: List of Administrative Functions and Powers and Proposed Changes

District: _____ Tehsil: _____ Department: _____ Date: _____

S. No	Administrative Functions ¹	Future Role		Present Role
		Who should have the authority for this administrative function under the local govt.?	For employees of which grade? ²	Who has the authority for this Administrative functions under the existing system?
	1	2	3	4
	(a) Administrative			
1.	Creation of Posts			
2.	Abolition of Post			
3.	Recruitment of staff			
4.	Appointment of Staff (Regular)			
5.	Appointment of Staff (Contract)			
6.	Probation			
7.	Extending Probation Period			
8.	Confirmation			
9.	Seniority			
10.	Promotion			
11.	Posting and Transfer			
12.	Approval of TA/DA			
13.	Grant of Honoraria			
14.	Training			
15.	Grant of Leave			
16.	Writing of ACR			
	(b) Discipline and Control			
17.	Appointing inquiry officers/committee			
18.	Award of Major Penalty			
19.	Award of Minor Penalty			
20.	Appellate Powers			

¹ Please add any other administrative function to this list that you want to be revised. Use a separate sheet, if needed.

² Enter the grades for which the administrative power should be vested in a functionary, e.g., enter 1-4 in col. 2 of row 1, if you want to give the authority for creation of posts of grade 1-4 to a particular functionary.

Table 5: List of Financial and Functions and Powers and Proposed Changes

District: _____ Tehsil: _____

Department: _____

Date: _____

Nature of Financial Powers ¹	Future Role		Present Role	
	Who should have the authority for this financial function under the local government set up?	What should be the financial limit of authority (in Rs.)	Who has the authority under the current rules?	Current Limit (Rs)
1	2	3	4	5
(a) Budget:				
2. Preparation of budget proposals a. Development b. Salary c. Non-Salary				
2. Distributing sanctioned grants				
3. Expenditure Control – Reviewing current expenditure				
4. Re-appropriation of funds				
5. Submission of expenditure statement				
6. Submission of excesses and surrenders statement				
(b) Expenditure on Works:				
1. Administrative approval				
2. Preparing estimate of approved works				
3. Issuing Technical Sanction				
4. Powers of special & ordinary repairs				
5. Employment of work charge establishment				
6. Auction of tools & plants				

¹ Please add any other financial function/authority to this list that you want to be revised. Use a separate sheet, if needed.

Nature of Financial Powers ¹	Future Role		Present Role	
	Who should have the authority for this financial function under the local government set up?	What should be the financial limit of authority (in Rs.)	Who has the authority under the current rules?	Current Limit (Rs)
7. Repair of tools & plants				
8. Issuing of notice inviting tenders				
9. Acceptance of tenders				
10. Fixing stock limit				
(c) Non Salary Expenses:				
1. Sanctioning expenditure shown in detail in budget				
2. Sanctioning expenditure not shown in detail in budget – Recurring/ non- recurring				
3. Purchase of furniture & equipment				
4. Repair of furniture & equipment				
5. Hire of furniture & equipment				
6. Purchase of stationary				
7. Rent of office building				
8. Appointment of contingent paid staff				
9. Sanctioning utilities				
10. Sanctioning Local Rates & Taxes				
11. Expenses on Telegrams				
12. Expenses on Service Postage				
13. Purchase of liveries & clothing				
14. Purchase of typewriters				
15. Purchase of bicycles				

Nature of Financial Powers ¹	Future Role		Present Role	
	Who should have the authority for this financial function under the local government set up?	What should be the financial limit of authority (in Rs.)	Who has the authority under the current rules?	Current Limit (Rs)
16. Expenses on printing				
17. Purchase of newspapers & magazines				
18. Purchase of books				
19. Payment of Bonus & Rewards				
20. Fee to law officers				
21. Sanctioning scholarships				
22. Sanctioning grants-in-aid				
23. Declaring stores surplus/un-serviceable				
24. Disposal of surplus stores				
25. Write off of losses				
(d) Payment of advances:				
1. Getting earmarking of funds for new applications				
2. Sanctioning cycle/motorcycle advance				
3. Sanctioning car advance				
4. Sanctioning house building advance				
5. Sanctioning advances on tour				
6. Sanctioning advances on transfer				
7. Making recoveries of advances paid				
(e) General Provident Fund:				
1. Sanctioning Temporary Advances				
2. Making cases for final payment				

Nature of Financial Powers ¹	Future Role		Present Role	
	Who should have the authority for this financial function under the local government set up?	What should be the financial limit of authority (in Rs.)	Who has the authority under the current rules?	Current Limit (Rs)
3. Authorizing final payment without production of succession certificate				
4. Order postponing recovery of advances				
5. Distributing annual statements & obtaining confirmations				
(f) Retirement & Pension:				
1. Identifying employees due for retirement				
2. Preparing pension papers				
3. Sanctioning pension/gratuity				
4. Sanctioning commutation of pension				
5. Ordering condonation of breaks in service				
6. Ordering condonation of deficiency in service				

Annex III: Estimation of One-time Cost of Transition

Annex IV: Checklist for District Transition Teams to Conduct Hearings with Departments

This checklist has been prepared to assist the District and Tehsil Transition Teams in conducting hearings with the departments. The transition teams will use the checklist to ensure that information required to prepare the District Government Transition Report has been provided by the departments. The checklist will be used in conjunction with the information given by the departments in the Tables of Annex I I. Broadly, the Transition Teams will collect and compile information on the following major areas in order to prepare the District Government Transition Report:

1. Profile of the District/Tehsil
2. Number and type of departments, sub-departments and their offices
3. Status and requirement of human resource (staffing)
4. Status and requirement of immovable assets (office building, service delivery outlets, residential units, stores/warehouses, training institutes, land etc)
5. Status and requirement of movable assets (vehicles, equipment, furniture and fixtures, machines etc)
6. Status and requirement of financing
7. Current Services and Administrative rules and regulation, and proposed changes
8. Current Financial rules and regulations and future changes

A set of specific questions on the above mentioned areas has been provided as guidelines for the District Transition Team to complete the information gathering. These questions are in coherence with the set of tables (Annex-II), which will be given to Tehsil and District offices of the line department for filling up before the departmental hearings. This checklist is to ensure that the Annex II tables have been properly filled by the departments.

PROFILE OF DISTRICT

1. What is the Population of the Districts
2. What is the area of the District in sq. km?
3. What is the population density of the District
4. What is the number of Tehsils, and union councils?
5. Other important details

DEPARTMENTAL STRUCTURE (Refer to Annex-I)

6. How many offices does your department have and at which tiers (divisional, District, circle, Tehsil/sub-divisional etc)?
7. Are there any sub-departments? If yes, give names.
8. Which of the department/sub-department/office are planned to be made redundant/merged?

HUMAN RESOURCE (Refer to Table 1, Annex II)

9. What is the total number of the allocated staff position in your department? Please provide the details.
10. What is the actual vacant position in your line department?
11. Are there any positions that you think are surplus and need to be dissolved?
12. Yes No
13. If yes then please provide details?
14. Do you require additional staff?
15. Yes No
16. If yes, then can you please provide details?
17. Can you identify any surplus staff in any of the other line department, meeting general requirements of qualification and experience that can be transferred to your department? If yes, then please provide details.
18. Do you have training facilities to develop the capacity of the staff that may be transferred to your office? If yes, give name and location of the facility.

IMMOVABLE ASSETS (Refer to Table 3, Annex II)

19. What is the total number of department-specific service delivery outlets in the District.
20. Please provide the distribution of the respective department-specific service delivery outlets by Tehsil
21. How many office building, residential unit, hostel, stores/warehouses, training institutes does your department own or has rented?
22. How many pieces of land does your department own or has rented?
23. What is your actual requirement of immovable assets for your department under the local government setup?
24. Which assets do you think would be redundant?

MOVABLE ASSETS (Refer to Table 2, Annex II)

25. How many vehicles do you have in the District?
26. Can you please provide their distribution by model type, number in working condition, number of vehicles, which are non-repairable and need to be disposed off, additional requirement?
27. Likewise, can you provide the list of other equipment/machine that you have in the District?
28. What is your actual requirement of movable assets (equipment, machine, fixtures etc) for your department under the local government setup?
29. Which assets do you think would be redundant?

FINANCE (Refer to Table 4, Annex II)

30. Please provide the budget figures for the year CY 2000/01 (amount allocated, released, and spent for salary, non-salary (recurring) and development).
31. Please provide the amount of revenue collected (if any) during the year 2000/01.
32. For the year 2001/02, what is the total budget required?
33. During the year what is the expected amount of revenue generation?

ADMINISTRATIVE AND CONTROL AUTHORITY (Refer to Table 5, Annex II)

34. Please indicate for each grade, i.e. 1-20, who has the current authority and whom do you want the authority delegated in future for the following administrative functions:

Administrative Functions

Creation of Posts
Abolition of Post
Recruitment of staff
Appointment of Staff (Regular)
Appointment of Staff (Contract)
Probation
Extending Probation Period
Confirmation
Grant of Honoraria
Training
Seniority

Grant of Leave
Writing of ACR
Promotion
Posting and Transfer
Approval of TA/DA

Discipline and Control Functions

Appointing inquiry officers/committee
Award of Major Penalty
Award of Minor Penalty
Appellate Powers

FINANCIAL AUTHORITY (Refer to Table 6, Annex II)

35. Please indicate who has the current authority and the financial limits of authority (in Rs) for the financial functions given in Table 6, Annex II? Whom do you want the authority to be delegated in future and what should be the financial limits (in Rs)

COST ESTIMATE OF TRANSITION

36. Have you prepared the cost estimates for completing the transition (as suggested in the Formats given in Annex III)?