



**Karnataka Jnana Aayoga
(Karnataka Knowledge Commission)
Bangalore**

**Sub: Conceptual Framework and Management Procedures for KJA
Adopted in Third Meeting of KJA held on January 31, 2015
FOR
Re-adoption in 7th Meeting of KJA on September 7, 2017**

1. In the 1st meeting of KJA-MC, an action was identified to work out project management procedures for KJA. This note provides an initial proposal prepared by KJA Secretariat for discussion within KJA-MC and KJA.
2. As KJA is a body of experts of recommendatory nature with a 3-year term, procedures are adopted by KJA for easy, smooth and quick functioning of time-bound activities of KJA and would evolve from time-to-time. Thus, these procedures could be easily modified and updated or improved as and when required and adopted by KJA.
3. As KJA is a body of experts and is of recommendatory nature with a 3-year term – thus, procedures for various activities are important so that proper communication/information exists for KJA Members; for KJA Secretariat operations and also for internal work-practice and setting transparency. At same time, procedures also help in communicating external to KJA and for public-domain information. Towards this, KJA Secretariat had prepared a Procedures Document outlining easy, smooth and quick functioning of time-bound activities of KJA and that could be evolving/developing/improving from time-to-time. Thus, KJA procedures should be easily modified and updated or improved as and when required and adopted by KJA. The Procedures pertain, as of now, are for:
 - Conceptual Framework of KJA
 - Organising KJA Meetings and activities
 - How KJA would take up tasks/activities
 - Providing funds for KJA projects/tasks/activities
 - Recruitment and review of KJA Secretariat Consultants
 - Funds disbursal and expenditure would happen
 - Financial Approval Limits
 - KJA Accounts procedures
4. KJA-MC in its 2nd meeting held on Jan 6, 2015 formally adopted the Note on Concept and Procedures for KJA. KJA-MC requested Member-Secretary, KJA to take up formal approval of KJA on the above Procedures recommended by KJA-MC and formally implement them.
5. **These were earlier approved by KJA in the 3rd Meeting held on January 31, 2015. KJA may formally approve and adopted these conceptual framework and procedures for KJA operations in its 7th meeting held on September 7, 2017.**



CONCEPT OF KJA

6. Even as the procedures are worked out, the concept of KJA and its tasks – as approved by Chairman, KJA has been the guiding principle for the procedures. The concept outlines that:
 - 6.1. The present Karnataka Jnana Aayoga (KJA) has been re-constituted vide Government of Karnataka's (GOK) GO - ED 354 URC (Part-1) of August 2, 2017 with a 3 years term till December, 2019. As per the GO, the main aims and objectives of KJA are to **recommend actions for institution building, policy innovation and excellence in the field of education, health, S&T, industry, entrepreneurship, research and innovation, traditional knowledge, agriculture, E-Governance, rural development and ANY other relevant areas.**
 - 6.2. **KJA is mainly a recommendatory body** – a body of experts and professionals in various fields who, together, bring a wealth of knowledge and expertise. KJA Members bring new ideation, undertake extensive brain-storming and wide consultations on important and relevant issues for the state's development.
 - 6.3. As of now KJA has 30 Members, including the Member-Secretary, and these are professionals/experts in different fields. None of the KJA Members, including its Member-Secretary, avail any monthly wages/salary from KJA and are involving themselves on a honorary basis – for which Honorarium (to Member-Secretary) and Sitting Fees (to Members) are provided.
 - 6.4. **Tasks of KJA are mainly “proof-of-concept”** and get defined/formulated, either through internal discussions within KJA – mainly issues of public/societal/technological and knowledge relevance for the state OR are identified through interactions with GOK departments – mainly issues of governance and development in the state. KJA tasks are “anchored” with one or more departments of GOK – so that after proof-of-concept stage by KJA, any executive implementation can get effectively coordinated by relevant departments of GOK.
 - 6.5. As part of “proof-of-concept”, **KJA takes up technical assessments, studies, small demonstrations, proto-typing analysis, policy analysis, social impact assessment etc** – which result in relevant recommendations to GOK.
 - 6.6. In the 3 years term till December, 2019, KJA would submit, from time-to-time and as tasks conclude, **specific and focused recommendations to GOK.** Subsequently, the implementation actions on these recommendations would get taken up through various departments of GOK.

HOW MEETINGS OF KJA ORGANISED

7. KJA Meetings are Chaired by Chairman, KJA and are agenda-based and focused for clear decisions/actions. Member-Secretary, KJA coordinates all activities of KJA, plans and organizes meetings of KJA (under direction of Chairman, KJA), ensures implementation actions for the recommendations/approvals of KJA and, based on approvals of KJA, formally coordinates/authorises technical and financial expenditure actions to be implemented.
8. KJA may establish specialist task groups/teams/groups to address specific aspects of activities/tasks/projects. Experts and eminent persons and appropriate GOK persons would be included in such teams/groups to ensure best of inputs are available and are aligned for GOK. Formal Office Orders would be issued for all such teams/groups/projects.



9. Meetings of KJA subsidiary task groups/teams/projects etc will be organised by respective Member-Secretary, in coordination with KJA Secretariat. Within KJA Secretariat, specific Focal points will be identified for each such team/group. Reports/Deliverables/Recommendations etc resulting from such activities will be submitted to KJA.
10. KJA Secretariat, coordinated under Member Secretary, will implement all actions and undertake any background and secretarial work for KJA. KJA Secretariat will create and organise the technical and administrative/financial procedures for all its activities to support KJA and hire consultants on annual or time-bound contract basis, reporting to member-Secretary, KJA.
11. Monthly Reports would be generated and submitted by KJA Secretariat.
12. As HED, GOK is the formal GOK administrative department for KJA, it is natural that any RTI related to KJA would be handled by HED, GOK. Inputs for any such RTI queries on KJA would be provided by KJA Secretariat.
13. KJA Secretariat would maintain and operate a KJA website in compliance with GOK and mainly thru e-GOV guidelines/department.
14. All decisions/recommendations/actions of KJA are to be communicated to HED, GOK – for implementation actions or for any specific formal approval or for consultation/advise, as the case may be.

HOW KJA WILL TAKE UP TASKS/ACTIVITIES/PROJECTS

15. Within the envelope of the concept identified above, the procedures to be adopted by KJA for any tasks/activities etc would be based on:
 - 15.1. KJA Members have collective responsibility, authority and accountability for activities of KJA. Based on merit of discussions and common agreement of KJA Members, KJA finalizes its recommendations or actions.
 - 15.2. KJA envisages that all its activities/tasks will start from an “ideation/concept” and result in specific approved KJA tasks/activities/projects and ultimately into recommendations of KJA.
 - 15.3. KJA would not be able to take up any operational large-scale implementation projects (except to proof-of-concept or pilot-level or demonstration) and any such activity would be linked/taken up by GOK Departments – though KJA may get associated in monitoring/evaluating/guiding any such large-scale implementation projects, if required by GOK.
 - 15.4. Ideation/Concepts for KJA activities could come from 3 sources (as visualised now):
 - Member ideation – Members can and have brought various ideation that they feel are important for the state and within the scope of KJA. These ideations could be in various fields and mostly emanate from the Member’s professional experience, their societal interaction and their perception of making a knowledge or new impact.
 - GOK need for knowledge inputs – specific needs and requirements of various GOK



- Departments for knowledge inputs for their governance activities. Such requirements emanate from constant interaction between KJA Members and GOK Departments and generally result in some “joint-interest” tasks/activities.
- Institutional knowledge support need – institutions within Karnataka – universities, research institutions, NGOs, industries and others can also suggest specific ideation/concepts based on their assessment of knowledge support and alignment of KJA goals.
 - Citizen input or Public Good – basically coming from some specific citizen input.
- 15.5. It is important that any ideation/concepts that results into KJA tasks/activities/projects must illustrate the following:
- A unique idea or knowledge activity
 - Be of benefit to state
 - Anchored/Linked to any GOK Department – so that sustained activity of the idea can be ensured and so also alignment of GOK activities to KJA activities.
 - All ideation/concepts are organised/submitted in specific format and submitted to KJA.
- 15.6. KJA Secretariat will undertake a 1st evaluation/assessment of each ideation – from its relevance to KJA Goals, anchor-support for GOK Department, overall methodology, costs and schedule aspects etc and make an Assessment report.
- 15.7. KJA-TC will consider all ideation/concept proposals that are submitted to KJA and also the KJA Secretariat assessments/evaluations. Based on discussions within KJA-TC, technical approval for consideration will be recommended to KJA. If KJA-TC so determines, expert views may be obtained before formally approving the tasks/activities. KJA then accords formal approvals and recommends further actions.
- 15.8. KJA-MC will consider all aspects of administration and management – budget/costs, schedule, contracts, how funds will be approved/provided budget and any other administrative matter related to the KJA tasks/activities. If KJA-MC so determines, HED, GOK or expert views may be obtained before formally approving the finance/administration of tasks/activities. Based on KJA Management Committee recommendations, KJA accords formal approvals and recommends further actions.
- 15.9. KJA-TC and KJA-MC recommendations on each ideation/concept would be discussed within full-KJA meetings and final approval of approving into KJA tasks/activities/projects and also financial/administration would be provided. If KJA so determines, expert views may be obtained before formally approving the tasks/activities. HED, GOK or any other Department of GOK may also be consulted, as required and determined by KJA.
- 15.10. Finally, based on formal approval of Chairman, KJA the specific activity would be initiated within KJA.
16. KJA Secretariat will implement the final technical and financial/administrative recommendations made by KJA.



HOW FUNDS WILL BE PROVIDED BY KJA FOR PROJECTS/TASKS

17. On approval of KJA, funds will be approved/provided by KJA Secretariat for all KJA tasks/activities/projects.
18. A formal sanction order (if to an external agency) or Office Order (if internal to KJA) will be issued by KJA Secretariat for each KJA task/activities/project as per approval – detailing tasks, deliverables, total costs, payment milestone and terms, closure requirements etc to the awarding institution.
19. Any KJA funding to be provided only to institutions based on formal submissions/proposals and after approvals of KJA. For any distribution of funds to any non-government organisation/agency, sufficient care/security to be ensured for funds – in terms of BG and other mechanisms.
20. All payment to be made by cheques drawn on awarding institution or any service agency as per KJA Sanction order.
21. Proper utilisation certificates and audit reports to be obtained, in compliant with GOK requirements.

HOW FUNDS DISBURSAL AND EXPENDITURE FOR KJA

22. KJA has a Bank Account in SBM, Vidhana Soudha Branch with about INR 8.56 crores in balance as of Jul 31, 2017.
23. Dr Mukund Rao, Member-Secretary, KJA and Mr Kodi Mallesh, Sr Accounts Officer (In-Charge), KJA have been authorised by GOK to sign cheques and operate this Bank-Account.
 - GOK has deputed, in additional capacity, Mr Kodi Mallesh, Sr Audit Officer of HED, GOK to serve as Sr Accounts Officer (In-Charge) of KJA
24. For finance disbursal and expenditure, the following procedures would be adopted:
 - Based on KJA approval, Member-Secretary, KJA accords approval for KJA to incur expenditure on various items.
 - To maintain work and also ensure that work is not halted, Mr Ashok is the present person handling Finance/Administration to his best capability and knowledge – is supported by Mr Roshan who assists Mr Ashok.
 - Based on approval of KJA, through Member-Secretary, Mr Kodi Mallesh, GOK signs all cheques and operates KJA bank-account.
 - A cheque signing procedure has been worked out by Mr Ashok and the same is adopted – a cheque-list is prepared by Mr Ashok; approved by Member-Secretary, KJA for expense required for KJA and finally cheques are signed. A systematic list is maintained for each approval. Generally, cheque list is prepared 2 times a month.
 - Imprest is maintained by Mr Ashok and is drawn through cheque as per above process. All expenses of imprest are maintained by Mr Ashok and for each imprest a closure statement is prepared with all bills and counter-signed by Member-Secretary for verification.
 - Every expense of KJA is indented/requested by concerned person (say, for KJA meeting



expenses; travel expenses for guests; imprest request etc). Based on this expense indent, which is verified by Mr Ashok, Member-Secretary, KJA authorises for the expenditure to be incurred. Only after this is the cheque-list updated for the item.

- Mr Ashok maintains all accounting for KJA – bills, invoices, account-books etc.
- KJA appoints an external Auditor who audits the accounts of KJA and reports on accounts. M/s SNB Associates are the Auditors appointed by KJA.
- KJA Accounts upto 2016-17 have been audited and placed to KJA.
- HED, GOK is the administrative agency for KJA and is audited by AG audit – when KJA funds are also audit as part of HED. Such an AG audit has happened once till now.

LIMITS FOR APPROVING EXPENDITURE

25. With a view to collective responsibility methods for approving finance decisions for KJA and to maintain good practice and over-sight and also to ensure quick processing and decisions, the following limits of approval for individual transaction are proposed:

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| 25.1 | Member-Secretary, KJA | - | Upto INR 1 lakhs for individual approvals |
| 25.2 | Chair and Co-Chair, KJA-MC | - | Between INR 1 lakhs and 5 lakhs for individual approval (for any urgent basis but to be ratified by KJA-MC formally subsequent meeting) |
| 25.3 | KJA-MC Approval | - | Upto INR 10 lakhs for individual approvals |
| 25.4 | Chairman, KJA | - | Upto INR 1 crore for individual approvals (for urgent basis and later to be ratified under KJA formally subsequent meeting) |
| 25.5 | KJA Approval | - | Upto INR 5 crores for individual approvals |
| 25.6 | KJA with HED/FD approval | - | Anything more than INR 5 crores |

26. Any finance sanction/provision, of any amount, to private sector agencies or NGOs would require formal approval of HED, GOK.

27. Imprest maintenance is approved by KJA for limits at INR 50K.

HOW KJA ACCOUNTS MAINTAINED

28. It is important that proper accounts and finance records are maintained for KJA. GOK procedures would be followed by KJA for finance and accounting procedures.

29. Annual Finance Reports would be generated by an appointed Audit Firm and Report on Finance and Accounts provided to GOK. Such reports would be approved by KJA formally and so will the appointment of any audit firm for this purpose. With public funds in KJA, accounts must also be open to government audit, as required.

HOW RECRUITMENT AND REVIEW FOR KJA SECRETARIAT CONSULTANT

30. KJA Secretariat will hire consultants on contract basis – annual contract or time-bound task contracts on fixed-fee basis for consultants.

31. As part of this, any openings be notified on KJA website (with 10-12 days' notice) to get applicants AND nominations also sought from KJA Members/GOK senior officers (so that good and known/recommended persons can be considered). In this way, we will get suitable number of



candidates. The consultant requirement details – qualification, experience, fees, period etc will be clearly defined by KJA Secretariat for the hiring.

32. Finally, the candidates will be selected thru the KJA Recruitment and Review Committee. Based on the recommendations of this committee, formal offer can be given by KJA Secretariat.
33. KJA Secretariat will adopt a standard contract template for hiring consultants.
34. When consultants join, records of Proper address proof, identity proof and PAN card details of these employees have been obtained from the 4 persons and are maintained in KJA Secretariat.
35. Any performance review of hired consultants (for raise, expansions of tasks etc) would also be conducted by KJA Recruitment and Review Committee for addressing all aspects of recruitment/review of KJA Secretariat staff and expert consultants and reviewing their performance. Based on the recommendations, KJA Secretariat personnel are hired and reviewed.

TRAVEL PROCEDURES TO BE ADOPTED IN KJA (APPROVED IN 4TH KJA MEETING HELD ON JULY 4, 2015)

36. KJA Members may have to travel to attend to KJA meetings, KJA-TC, KJA-MC, KJA-R&RC and KJA TG/TT meetings. KJA Members may also be called upon to attend Conferences, Seminars, Meetings, Workshops outside of Karnataka – in other places in India. Various experts from different places in India are invited by KJA to specific expert meetings, project evaluation and assessment etc. In addition, KJA Secretariat consultants/personnel have to travel for KJA TT/TG meetings, KJA official work and on deputed work of KJA (say, to Conferences, Meetings, Workshops etc) – either within Karnataka or outside.
37. KJA has adopted the following as KJA Travel Procedure Guideline:
 - KJA funds would be used for supporting travel for KJA purposes/work.
 - For all domestic KJA-related travel, Member-Secretary, KJA will, on behalf of KJA, authorize/approve travel as per following guidelines:
 - Travel entitlement (class of travel) would be on par of what the Member/Expert/Invitee is entitled in his parent profession/organisation. Member-Secretary, KJA may determine this to best extent.
 - For urgent/emergent KJA tasks/work, Member-Secretary, KJA is authorized to approve air-travel for specific cases.
 - Air-Ticketing arrangements would be made by KJA Secretariat thru MSIL.
 - Rail-ticket/Bus-ticket to be arranged by individual and the amount may be re-imbursed on actuals.
 - Stay arrangement would be arranged by KJA Secretariat in appropriate GH. GH charges, if any would be borne and paid by KJA.
 - In case, stay in GH is not possible then Member-Secretary is authorised, on case-by-case basis, to approve appropriate hotel stay/charges, limited within INR 6000/day
 - DA of INR 500/day will be paid by KJA Secretariat for relevant period.
 - Local conveyance would be provided/arranged by KJA OR actuals be re-imbursed, limited to INR 1500 per day
 - For any deviation to above, approval of Member-Secretary, KJA along with either Chairman, KJA-MC OR Chairman, KJA would be required for authorization/approval.
 - International Travel is not envisaged by KJA, as of now. However, for any international travel,



approval of Chairman, KJA – both for international travel permission and also for expenditure to be incurred will be mandatory.

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