## Status of implementation of the IICA 9 – Step Strategy

(as on 31 January 2020)

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<tr>
<th>S. No.</th>
<th>Strategy</th>
<th>Activities</th>
<th>Status</th>
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</table>
| 1      | **1.1** Central Registry of Independent Directors. | • Create self-learning website with tutorials  
• Start advanced tutorials  
• Issue fliers  
• Start other services | • Portal for registration and learning launched. |
| 1.2    | Investor education and protection. | • Complete Advocacy study  
• Jointly prepare IEPF Advocacy Strategy  
• Start Advocacy | • Advocacy study completed.  
• New project(s) are being continuously sent to IEPF_Awards(e.g. capability, strategy, digital outreach, training of resource persons) |
| 1.3    | National CSR Awards. | • Award notification.  
• Promote submission  
• Complete shortlist.  
• Get detailed submissions  
• Finalize awards | • Completed for 2018.  
• Started for 2019. |
| 1.4    | It is recommended to be engaged by the Government and Regulatory bodies (Like CCI) for its discharge of public good functions and Advocacy role. | • Prepare Advocacy Strategy  
• Obtain orders from CCI on Advocacy Strategy  
• Obtain orders from IEPF to start Advocacy  
• Obtain orders from MCA to start hybrid CDM programs  
• Start CDM programs | • CCI Advocacy strategy prepared and submitted.  
• IEPF under implementation  
• CDM orders received.  
• FOIR Centre established. |
| 2      | **2.1 (a) Chair Professors** | | |
| 2.11   | • Set up Chair Professors in the areas of Competition Law, Insolvency and Bankruptcy, CSR etc. with the financial support of MCA/affiliated organizations such as IEPF Authority; CCI, IBBI, etc. | • IEPF – Send Proposals Obtain orders  
• CCI - Send Proposals Obtain orders  
• CG - Send Proposals Obtain orders  
• IBBI - Send Proposals Obtain orders  
• NHRC - Send Proposals Obtain orders | • Research Chairs for CCI, IEPF, IBBI, RBI and NLU-Bengaluru have been set-up. IEPF Chair Professor appointed. Process of filling up of other Chairs is under progress |
| 2.12   | • The induction of Chair Professor to be through a “Search-Cum-Selection” mode. | • Appoint HR agencies  
• Start appointment | • All notified |
### (b) Induction of academic staff

| 2.21 | **Fill up the revived positions of 38 academic and non-academic positions to be at the earliest on “Search-Cum-Selection” mode.** |
| 2.22 | **Research opportunities to attract faculty members from reputed institutions such as IIMs on deputation/ sabbatical in areas of corporate affairs.** |

| 2.21 | **● Implement VII CPC**  
**● Start interviews**  
**● Complete** |
| 2.22 | **● Appoint HR agency**  
**● Complete recruitment** |

| 2.31 | **Develop a mandate document for each Department.**  
**● Identify Grand Challenges.**  
**● Complete Implementation** |
| 2.32 | **Continuous efforts to upgrade capacity of its own faculty and staff.**  
**● write papers and articles**  
**● write competitive proposals for projects**  
**● promote cross functional sharing of consultancy** |

| 2.31 | **Grand Challenges have been identified and implementation started.** |
| 2.32 | **Score given in PMIS for all these activities**  
**Partnership Policy developed and implemented** |

### (c) Role of Schools and centers

| 2.31 | **Develop a mandate document for each Department.**  
**● Identify Grand Challenges.**  
**● Complete Implementation** |
| 2.32 | **Continuous efforts to upgrade capacity of its own faculty and staff.**  
**● write papers and articles**  
**● write competitive proposals for projects**  
**● promote cross functional sharing of consultancy** |

| 2.31 | **Grand Challenges have been identified and implementation started.** |
| 2.32 | **Score given in PMIS for all these activities**  
**Partnership Policy developed and implemented** |

### (d) Multidisciplinary activity

| 2.41 | **Create cross-functional teams across schools and centers as points of multidisciplinary.**  
**● Implement cross functional teams of Consultants and strategy**  
**● Implement cross functional teams of Schools/Centers – multidisciplinary and interdisciplinary** |

| 2.41 | **Implemented and are being created continuously depending on programmes** |

### (e) A flat organizational structure

| 2.51 | **Wherever possible, avoidable layers of reporting may be eliminated.**  
**● Develop flat structure in Admin/Finance**  
**● Form teams in Schools/Centers.** |

| 2.51 | **Completed and being reviewed continuously** |

### (f) Right size human resources

| 2.61 | **Maintain balance between revenue generation and non-revenue generation activities of personnel.**  
**● Complete savings targeted through 9-step strategy, cross functional teams, flat structure and frugal initiatives** |

| 2.61 | **Completed and is under constant review** |
| 2.62 | **To achieve self-sufficiency ratio needs to be brought down to 2:1.**  
**● Minimize non - revenue staff** |

| 2.62 | **Completed and being reviewed continuously** |

### (g) Performance Appraisal System

| 2.71 | **A system of Results Framework Document (RFD) for each department may be instituted to bring in clarity in planning and resource generation targets.**  
**● RfD (2018-19)**  
**● RfD (2019-20)**  
**● Develop brochures**  
**● Start using PMIS** |

| 2.71 | **RfD developed and implemented.**  
**Brochure prepared**  
**PMS started** |

### (h) Specialized consultancy and advisory

| 2.81 | **To build its internal capacity and offer such specialized advisory**  
**● Include in RFD of 2018-19 (CCI case studies;**  
**● Included** |
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<th>Section</th>
<th>Tasks</th>
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<td>3</td>
<td>Develop a coherent policy in the form of guidelines to engage experts of eminence.</td>
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| 3.1     | Design Policy  
|         | Engagement of experts to be started.  
|         | Design ‘Plug-and-Play’ guidelines  
|         | Implement ‘Plug-and-Play’  |
|         | Policy designed, experts engaged, Plug-and-Play policy implemented |
| 3.2     | Design Policy  
|         | Fellows engagement to be started  |
|         | Completed. One Clinton Fellow has also joined |
| 4       | To facilitate capacity building design, an MOU may also be signed with Department of Public Enterprises (DPE). |
| 4.11    | Identify programs for 2018-19  
|         | Identify programs for 2019-20  |
|         | Regular programs are being organized and are available in RFD of School |
| 4.21    | Training support to for newly recruited officers and cadres/Departments such as DoPT (IAS, CSS), Dept of Telecommunications (P&T Accounts and Finance, ITS), Dept of Revenue (IRS), Dept of Forest (IFoS), Min of External Affairs (IFS) etc.  
|         | Identify opportunities in different Ministries/Departments  
|         | Include in RFD  
|         | Identify opportunity in PSUs  
|         | Include in RFD  
|         | Being done continuously |
| 4.22    | Sign MOUs with international organizations.  
|         | IFC  
|         | Indian Institutions and organization.  
|         | Foreign Institutions and organization.  
|         | MoUs signed with IFC, State Government of Haryana, NCGG and Gurugram University. |
| 5       | Business and human rights  
|         | Complete NVGs  
|         | Prepare NAP  
|         | Support to legally binding treaty  |
|         | Completed  
|         | Draft NAP prepared  
|         | Approach paper prepared. |
| 5       | Competition law and market regulation  
|         | Program in competition & Law; Competition & game theory  
|         | APC upgraded  
|         | FOIR capacity building strategic plan prepared |
|         | Investor education and protection  
|         | Prepare plan of action  
|         | Prepared and sent to |
| 5.2 | Offer **Graduate Insolvency Programme** to Young Professionals. | 6.0 | Started on 1 July 2019 |
| 5.1 | • Insolvency and bankruptcy | 6.1 | • Develop a partnership policy based on the principle of “value-based partnerships aligned with core agenda of the institute”. |
| 5.2 | • Role of independent directors in corporate governance. | 6.1 | • Develop partnership guidelines |
| 5.3 | • Corporate Governance and behavioral economics, Business Laws | 6.2 | • Collaboration with agencies including international ones (e.g. SAARC, IFC, etc.) |
| 6.0 | • Support to NFRA | 6.2 | • IFC and SAFIR under implementation |
| 7.1 | • Offer Graduate Insolvency Programme to Young Professionals. | 6.3 | • Execute more short-term certified programmes in collaboration with delivery partners through e-learning and MOOCs. |
| 7.2 | • To assist corporates in policy making strategy and its monitoring | 6.3 | • Short term certified courses started under CDM |
| 7.3 | • Capacity building of CSR professional- form on distributed training model, online course, specialized courses, etc | 7.3 | • Planned in IDs Databank |
| 8.1 | • Reduce fixed expenditure from current level of Rs. 11 crore as per NPC recommendations. | 8.1 | • Restructure as in strategy |
| 8.2 | • Restructure as in strategy | 8.2 | • Phase I completed and is an ongoing process |
| 8.3 | • Fix school/centre wise revenue targets as part of RFD. | 8.3 | • Fixed for both years |
| 8.4 | • Rent out excess infrastructure to interested wings of Central and State Governments. | 8.4 | • FOIR and IRF established. |
| 8.5 | • Need to develop an accommodation policy. | 8.5 | • Completed |

IEPF

- GIP started
- Mediation course started
- IRF established
- Included
- Subsumed in GIP
- Draft inspection manual prepared
- Started on 1 July 2019
- Guidelines prepared and under continuous implementation
- Completed
- IFC and SAFIR under implementation
- Short term certified courses started under CDM
- Planned in IDs Databank
- Corporates have been identified and work has been completed for first list of corporates
- Completed
- ICP – V started
- Started and continuing
- Fixed for both years
| 8.5 | Policies in the area of HR, Consultancy, Career Progressions Plan, Entitlement and Seniority. | HR Policy (e.g Career Progression) | Under development |
| 8.6 | Establish Board of Studies in due course. | Morph Academic consultancy to BoS- prepare guidelines | BoS for independent directors established |
| 8.7 | Develop offices of Registrar and Central Marketing Team. | Create Marketing Team | Central Marketing Cell established |
| 8.8 | Embrace digitization in areas promotion of courses/ outreach to relevant stakeholders, conduct of various courses, etc. | Start social media cell. | Newsletter being published |
|     |                                                                             | Issue newsletter | KRC has been upgraded |
|     |                                                                             | Upgrade KRC | Social media/marketing cell has been started |
| 8.9 | Full usage of BlackBoard, an LMS to be made in both short-term as well as long-term courses. | Switch over completely to Bb | Completed |
|     |                                                                             | Switch over to e-office. | |
| 8.10| City office in Delhi to conduct training and courses in a centralized space for convenience of participants. | Identify location | 1000 sq. ft. identified at Hindustan Times Building. To be handed over by MCA |
|     |                                                                             | Establish learning center | |
| 9   | Grant Institute of National Importance (INI) status to IICA | To be initiated |

**Steps to be taken to achieve the aim-**

- Drafting of a Bill.
- Consultations with MCA, MHRD etc.
- Scrutiny of other statutory requirements under UGC ACT.