

Abstracts of  
**Articles**  
published in refereed journals



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## The Dynamics of Strategic Militant Managerialism: Analysis of a Strike

In *Indian Journal of Industrial Relations*, 45(4), (2010), 671-693.

### Jerome Joseph

The collectivization efforts of employees evoke strong responses from managements seeking to survive in an uncertain and turbulent environment. The contours of these responses are explored through the analysis of a union mobilization imitative of pilots of an Indian airline company. The pattern of response which emerges from this foray into contemporary industrial relations can best be characterized as “strategic militant managerialism”. The company has its own threefold compulsion revolving around commercial pressures, customer service considerations and competitor actions in responding the way it did in the face of union mobilization efforts of the pilots. The union forming efforts are resisted through a variety of means and interventions based on the “hard positional bargaining mode” with all the consequences for industrial relations processes as well as outcomes.

**Amit Garg** is Associate Professor in the Public Systems Group. His current areas of research interests are Sustainable Development and Climate Change, Vulnerability Assessment due to Climate Change, Carbon Finance, Carbon Foot Printing, Public Management, Water-Energy-Agriculture-Climate Change Nexus, and Energy Environment Modelling.



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## N2O Emissions of India: An Assessment of Temporal, Regional and Sector Trends

In *Climatic Change*, Online Publication DOI: 10.1007/s10584-011-0094-9, (2011).

### Amit Garg, P. R. Shukla and J. Upadhyay

This paper estimates the national level trend of India’s N2O emissions from 1985-2005 and detailed sub-regional (594 districts) level and sector emissions for the year 2005. N2O emissions are estimated using the latest methodologies (IPCC 2006), disaggregated activity data and indigenized emission factors. The estimates show that India’s N2O emissions have grown from 144 Gg in 1985 to 267 Gg in 2005 exhibiting a compounded annual growth rate of 3.1%, which has been gradually declining from 4.7% over 1985-1990 to 2.4% over 2000-2005. N-fertilizer

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application contributed most to N<sub>2</sub>O emissions, a 49% share in 2005 compared to 40% in 1985. Sub-regional (district-level) distribution of N<sub>2</sub>O emissions showed rising mean and spread over the years, with average emissions per districts increasing from 305 ton N<sub>2</sub>O per year in 1990 to 450 tons in 2005. The main reason being increased use of N-fertilizer. However crop selection plays an important role in N<sub>2</sub>O emissions and there are crops providing high economic returns but low N-fertilizer requirements. Agriculture sector could contribute considerably to GDP even with very low N<sub>2</sub>O emissions. Indian agriculture practices vary widely in input applications and crop yields across states. The gradual transition from traditional to modern agriculture over the last two decades has enhanced the intensity of inputs like N-fertilizer. A simple correlation based on 1985-2005 trends shows that, *ceteris paribus*, a 10% increase in total crop production is accompanied with a 12.4% increase in N-fertilizer application and a 9.7% increase in total N<sub>2</sub>O emissions from India.

### Private Bank Licensing: Very Few Will Qualify

In *Economic and Political Weekly*, 45(41), (October 2010), 10-12.

#### T. T. Ram Mohan

The Reserve Bank of India's discussion paper on entry of new banks in the private sector lists a number of issues in the next round of licensing of such banks. If the new private banks are to focus on inclusion, then a number of possible candidates—including industrial houses—would possibly be ruled out. Deep pockets, sound governance and an appetite for financial inclusion are not terribly common and these requirements cannot be relaxed merely in order to have more players.

A few years ago, while working on my book on privatization, I stumbled upon an interesting fact. The sample of public sector companies included a number of loss-making companies, as well as those whose net worth was negligible or even negative. They were in the sample because the government had not shut them down. In the private sector sample, such instances were rare because loss-making companies simply exited the population. Any comparison of profitability between the two samples was thus flawed by the "survival bias" in the public sector sample.

Anybody comparing public and private sector banks would confront the same reality. Public sector banks that had been making losses have been turned around, have accessed the market for capital and have provided excellent returns to shareholders. In contrast, some of the private banks, licensed after 1994, have been absorbed into other private or public sector banks and are not to be found in the sample today.

This record of private banks must be taken into account as the Reserve Bank of India (RBI) prepares to issue fresh licenses to private banks. The RBI has issued a detailed and thoughtful paper titled *Entry of New Banks in the Private Sector*, which shows it is alive to this issue and a host of other issues related to new private bank entry.



## A Quest for Social Justice: A Colloquium to Build a Network

In *Vikalpa: The Journal for Decision Makers*, 35(2), (April-June 2010), 63-100.

### Anil K. Gupta

The goal of social justice can sometimes be seen as making a lion's den, a happy zoo. It can also be seen as balancing the competing claims for common spaces, be it in economic, social or cultural domains. But the most contentious situation arises when historically marginalized communities expect past wrongs to be set right through affirmative action. The contestation arises not just on the action the state or the other civil society actors take or the intentions behind those actions but also on the consequences of those actions. Three spheres of social responsibility could be: intentions, actions, and consequences.



**Anil K. Gupta** is Professor at the Centre for Management in Agriculture. His research interests include expansion of global and local space for grassroots innovators to ensure recognition, respect, and reward for them; blending excellence in formal and informal science; protection of intellectual property rights; ethical issues in conservation and prospecting of biodiversity; research management linking innovations, investments and enterprise; institution building for self renewal; socio-political transformation towards a meritocratic society; creating knowledge network at different levels for augmenting green innovations, in formal and informal sector, helping individuals and communities to transcend the limits of imaginations for larger social good.

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Abstracts of

# Cases

registered with the Case Unit



## Cases in Market Manipulation and Regulatory Violations

Case Registration No. and Date: F&A0490, 10-2-2011

### Jayanth R. Varma

This case brings together four incidents of market manipulation and regulatory violations in different organizations in India and the UK. It highlights the importance of regulatory compliance and ethics in financial organizations. Principles-based regulation is more flexible but can be ambiguous and uncertain. Rules-based regulation has the advantage of clarity and certainty but encourages regulatees to find loopholes in the law. The case illustrates the differences between rules-based and principles-based regulation and the role of the appellate process. It also points to the risks involved in pursuing strategies that are not explicitly prohibited by law but would be perceived as unfair or inappropriate.



**Jayanth R. Varma** is Professor in the Finance and Accounting area. His areas of research interest are Study of Money and Debt Markets, Equity Markets, Foreign Exchange Markets, Derivative Markets; Pricing and Valuation of Various Securities; Market Microstructure; Regulatory and Policy Issues; Financial Sector Reforms; Functioning of Banks, Financial Institutions and the Financial Services Industry in General; International Financing and Investment Decisions; and Foreign Exchange Risk Management.

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**Sanjay Verma** is faculty in the Computer and Information Systems Group. His areas of research interest include E-Governance, Knowledge Management, Multiple Resource Constrained Project Scheduling Problems, and Measurement of Business Performance.



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## Managing Knowledge of Field Staff: Creating Knowledge Management Processes at Eureka Forbes

Case Registration No. and Date: BP0337(A), 31-3-2011

### Sanjay Verma

This is the first case from a series of three cases. The case describes a situation in Eureka Forbes Ltd. (EFL) which is a 'direct sales' company. EFL is planning to start Knowledge Management (KM) initiatives. The strength of the company is its sales people who work under tremendous performance and social pressures. There is a significant variation between competencies of various sales personnel, and EFL wants to bridge the gap. What should be the strategy for KM is the prime question.

## NMDC Limited - Public Offer

Case Registration No. and Date: F&A0487, 21-9-2010

### Prem Chander and Sobhesh Kumar Agarwalla

National Mineral Development Corporation (NMDC), a company owned predominantly by the Government of India, undertakes a further public offering (FPO). The key issue in the FPO is the pricing of a share which is infrequently traded. As compared to earlier issues in the recent past, the conflict between the Government's desire to raise resources through divestment and the markets reluctance to price the share to the satisfaction of the Government leads to changes in the price discovery mechanism. The stepping in of state financial and insurance companies raises questions about the entire divestment exercise. The case essentially examines the pricing and marketing of an FPO of a public enterprise with minimal public holding.

## Sale of ONGC Shares by IOC

Case Registration No. and Date: F&A0484, 25-5-2010

### S. K. Barua

The case describes the decision making process followed by Indian Oil Corporation, a large, listed company for selling a significant portion of their shareholding in Oil and Natural Gas Company, another large listed company. The case discusses one of the largest offers-for-sale in the Indian capital markets. The case covers the Board processes associated with such a decision, the choice of the method for selling of the shares, the process of selection of merchant bankers, the process of book building and broader issues related to the functioning of capital markets. The case lends itself to a discussion of the pros and cons of selling shares to a strategic investor vs selling them to a large number of non-strategic, portfolio investors. The case also highlights the manner in which potential investors and markets react to such events.

# Abstracts of Book Chapters

authored by IIMA Faculty



## Challenges of Identity Management: A Context in Rural India

In *Information Security and Digital Forensics*, edited by D. Weerasinghe. London: Springer Berlin Heidelberg, 2010, 172-183.

**Rajanish Dass and Sujoy Pal**

An efficient identity management has been an aspiration and dream for many nations and organizations. The objectives for uniquely identifying individuals have been different for different entities. For some, the need for better security was the driving factor, while for others, identity management would mean better transparency and improved efficiency. The challenges in implementing an efficient identity management mechanism in a country like India are immense. In this paper we have tried to identify the challenges and factors effecting identity management in rural India at a micro level by studying the membership management of Self Employed Women's Association (SEWA) an organization working in rural districts of India.



**Rajanish Dass** is faculty in the Computer and Information Systems Group. His primary research and teaching interests are in the areas of Strategic Information Systems, IT Policies of Organizations, Technology Impact on Society, Competitive Intelligence and Data Mining. He also works on current issues of e-Governance in India and has a keen interest in the evolution of the Indian IT industry.

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**Sujoy Pal** is a Research Assistant at IIMA.

Abstracts of doctoral

# Theses

awarded in March 2011



## Capability Building Leading to Commercialization: A Study of Product Based Indian Telecom Start-Ups

**Prageet Aeron**

New ventures, especially high-tech new ventures, have received wide recognition for their important contributions to the economy as prior research suggests that such ventures create more net jobs, distribute wealth more effectively, and innovate much more than established firms. In the last 25 years, two-thirds of the net new jobs and 95% of the radical innovations have come from these new ventures in developed markets like US. However in India product based high tech companies are a rare phenomena. Product based start-ups face greater problems due to technology volatility and they take longer time to commercialize as compared to other start-ups especially those focused on services. Even though high tech new ventures play such a pivotal role in growth of the economy, very few scholars have attempted to understand the trajectory of evolution of various capabilities among such start-up firms.

With this objective at the core, present work is aimed at identifying the technological and marketing capabilities that enable product based high tech start-ups to commercialize and understanding their evolution with the context being set as the telecom start-ups from India. What really sets apart telecom start up firms from other technology based start ups is the high knowledge intensity vis-a-vis other start-ups and active regulatory interventions which play a major role in the way these firms evolve and build capabilities.



**Prageet Aeron** is Assistant Professor with Jindal Global Business School, O. P. Jindal Global University, Sonapat, Haryana. His research interests include Decision Support Systems, Dynamic Programming, Network Economics and Telecom Policy. His teaching interests primarily include Spreadsheet Modelling, MIS, Quantitative Techniques and Research Methods.

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After an extensive review of extant literature on entrepreneurship and resource based view (RBV) we identified our primary research questions as identifying technological and marketing capabilities among product based telecom start-ups and the process of their evolution. Further we explore the role of entrepreneurs' and their social network as well as regulatory interventions in the process.

Given the context of the problem and the multiple complex linkages that drive the commercialization process, we have analyzed the above problem using case study based inductive methodology. Purposive sampling was carried out for selecting the appropriate four cases based on maximum variation to ensure wider context. Primary data was collected by semi-structured interviews of founding teams involved by visiting the firms. Secondary data was collected from the published reports, working papers, and published articles. The interview based data was transcribed and transformed into case studies to establish a chain of events and this constituted the first level of analysis as has been suggested by Eisenhardt (1989). The case studies and anecdotal evidence was then analyzed to establish entrepreneurial characteristics and identify technological capabilities and marketing capabilities by studying various activities undertaken by the firms.

Among the product based Indian telecom start-ups, we identified architectural design, algorithmic implementation and product adaptation as the technological capabilities. Similarly, marketing capabilities identified include market orientation, positioning and segmentation, selling and after sales services. Each of the identified components of technological capability and marketing capability was further analyzed to understand the relationship between entrepreneurial characteristics, regulations, standard making bodies and the impact of these capabilities on firm performance. We also present a first cut operationalizable model for the above relationships. The evolution of these capabilities was also mapped as a conceptual, three staged process linking knowledge acquisition and capability lifecycle approach.

Our work is first such attempt to understand the product based high tech start-ups in an Indian context and assumes especial significance given the high growth rate in the telecom sector. Our main contribution is identifying the technological and marketing capabilities among our sample of Indian telecom start-ups as well as identifying the bottlenecks that they face in testing, promoting, selling and scaling up their operations. Another contribution that we make is the conceptual staged capability evolution model that we have proposed for technological and marketing capabilities in a knowledge intensive and regulated environment. This work also enables a firsthand view of how institutions such as financing and incubating institution contribute to the development of technological and marketing capabilities in telecom start-ups by enabling access to their resources such as their social network. This work has also enables better understanding of the impact of policy making bodies on the capability building process of technology based start-ups, especially their role in creating new business opportunities through deregulation and acting as sources of information for the start-ups. Lastly, the work points out a need for a more proactive policy related to hardware development and hardware manufacturing in India as well as a need for promoting indigenous start-ups to help them in finding customers in India.

## Infrastructure Investments, Urbanization and Regional Growth in India

**Astha Agarwalla**

There are significant differences in the level of economic development across states in India. Economic theories differ on the issue of convergence or divergence in regional incomes along with national economic growth. Neo-classical theory predicts convergence in regional incomes, caused by diminishing factor returns and no barriers to internal mobility of factors. On the other hand, cumulative causation hypothesis predicts divergence in regional incomes. An empirical inquiry into regional growth differences in India forms the basis of the present study.

**Astha Agarwalla** is Adjunct Faculty at Indian Institute of Management Indore. Her areas of research interest include Urban Management, Infrastructure and Development, Public Policy, Regional Economic Development.



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In regional economic growth literature, regional growth is analyzed as a function of structure, size, and location, in addition to factors of production, and technology (Boventer, 1975). Structure refers to the growth effects of industry structure, employment share of particular sectors, and employment shifts from low productivity to higher-productivity sectors. Size and location reflect the factors defining attractiveness of a region. One such factor is agglomeration economies, which result from clustering of economic activities, as level of urbanization increases (Graham, 2008). These economies emanate from availability of locally traded inputs, wider buyer-supplier linkages, access to supporting services, specialized labor pool, and inter-industry information transfers. Another factor having productivity enhancing impact in a particular location is availability of infrastructure services. These services are directly used as inputs in production. Further, availability of infrastructure reduces the cost of other inputs, and generates external economies by attracting investments (Kawakami, 2004).

We examine the issue of differences in regional economic growth in India during the period 1980-81 to 2006-07. Specific objectives of the study are: (i) to ascertain convergence or divergence in regional incomes in India during the above mentioned period; (ii) to establish association of structural change with regional growth differentials; (iii) to analyze the pattern of urbanization in India and measure the magnitude of agglomeration economies; (iv) to analyze the impact of infrastructure availability on productivity and growth.

We employ panel data estimation method to test the hypothesis of convergence, based on neo-classical framework. The analysis reveals convergence in regional incomes during the above-mentioned period. Speed of convergence has increased after 1992-93, when India implemented structural reforms. Association of structural change with regional growth differentials is measured using decomposition analysis based on Shift-share technique. Results display the positive association of industrial sector productivity with regional growth differentials. Mobilization of factors from low productivity sectors to high productivity industrial sector are also related to high regional growth differentials.

We analyze presence and magnitude of agglomeration economies in India in a growth accounting framework. The analysis establishes the existence of positive agglomeration economies, contributing to total factor productivity growth for manufacturing, transport, storage, and communication, and other services sectors in India. Diseconomies of agglomeration are found for service sector at around 30% urbanization level.

We analyze education, health, transport, and power infrastructure indicators state-wise, using principal component analysis to construct infrastructure indices. We perform Discriminant analysis to test if economic performance of the states is associated with availability of infrastructure. The analysis reveals that economic infrastructure; especially power infrastructure and public expenditure on infrastructure are important discriminating factors between leading, intermediate, and lagging states. A panel data analysis in growth accounting framework also shows the positive and significant relationship between availability of economic infrastructure and total factor productivity growth. In the last part of the study, we measure the interrelationship between regional economic growth, urbanization, and infrastructure availability by building a regional growth model, and empirically estimating it for Indian data. Estimation results re-establish the previous findings.

The study tries to reconcile macro economic growth theory with spatial location theory. It is first such attempt in Indian context so far. Further, there is a dearth of studies focusing on and comprehensively analyzing regional aspect of growth in India. The study highlights that regional incomes are showing a convergent trend in India, and therefore the best policy at present seems to be strengthening the emerging convergent forces in the system. One such converging factor is changing structure of the working force. Improving upon agricultural productivity in lagging regions, and simultaneously facilitating mobilization of resources from the lagging sector to more productive sectors will lead to further convergence. Results also suggest that promoting growth of urban centers in lagging regions and providing economic infrastructure may lead to productivity enhancement, which is the key for growth.

Brief notes on

# Books

authored/edited by IIMA Faculty



**Akhileshwar Pathak** is faculty in the Business Policy area. His current interests are in the field of Law, Liberalisation and Globalisation.



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## Contract Law

New Delhi: Oxford University Press, 2011

**Akhileshwar Pathak**



Avoiding the standard manual style of exposition of law, this book thoroughly analyses the fundamental concepts and principles of contract law. It uses cases and illustrations to clarify not just the law, but also the conceptual basis for the law. The book, developed as a text book, comprehensively discusses Contract Law I, a compulsory course for both five-year and three-year LLB courses.

The book has been divided into six parts—formation of agreement, consideration, setting the contract aside, void contracts, discharge of contracts, restitution, and breach and damages. As the Indian Contract Act is drawn from the common law, most of the principles used in the book are based on everyday experiences and reason. It also elaborately maps the expression of the principles enumerated in the Indian Contract Act. Since the British courts had developed the principles, the book relies on the leading new and old British cases for exploring the principles further. Finally, the work surveys the leading cases from the Indian courts to understand the law in India, and brings out the provisions which are different from the common law.

**Sukhpal Singh** is faculty at the Centre for Management in Agriculture. His research interests include Food/Fibre Value Chains and their Co-ordination, and Governance from a Small Primary Producer and Farm Worker Perspective.



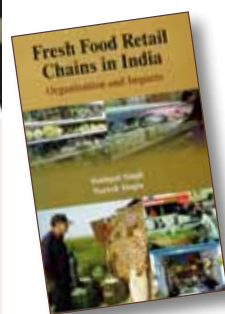
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**Naresh Singla** holds a Master's degree in Agricultural Economics from Punjab Agricultural University (PAU), Ludhiana, Punjab. He worked as Deputy Manager with NDDDB, Anand. Currently, he is pursuing his Ph.D. in Economics from Guru Nanak Dev University (GNDU), Amritsar, Punjab. His research interests are in agricultural marketing, supermarkets, and contract farming.

## Fresh Food Retail Chains in India: Organization and Impacts

New Delhi: Allied Publishers, 2011

**Sukhpal Singh and Naresh Singla**



Food retail chains and supermarkets have emerged as important players in global food economy co-ordinating and controlling the sector in many countries including developing countries. In India too, the recent policy thrust on improving the food value chain management with the participation of the private corporate and multinational players has gained currency as part of the economic liberalisation process in agricultural and food sector. As part of this policy change, 100% Foreign Direct Investment (FDI) in wholesale trade and 51% FDI in single brand retail trade has been permitted and now there is an ongoing debate on the opening up of the retail trade sector, including food, to multi-brand FDI retail players. For the past few years, many domestic corporate players have been present in food retail, including in perishable produce (fruits and vegetables), with most of them procuring directly from growers. The perishable produce sector has become a major attraction from its various angles like increasing consumption of fruits and vegetables, so called high and avoidable wastages, smallholder production base, presence of millions of traditional and small fruit and vegetable retailers, need for new investments, especially FDI for supply chain improvements, and role of perishables in food security. Given this policy thrust on the expected and assumed role of FDI and supermarket food retail chains in improving the efficiency of the food sector in general, and perishable produce sector in particular, this book examines the issue with empirical evidence. It analyses the inclusiveness and the

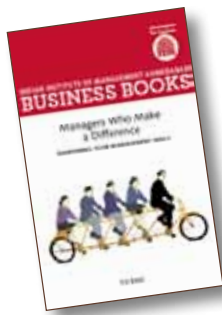


effectiveness of farmer linkage of these chains in perishable produce sector across states and vegetable crops based on an understanding of the organization of the chains and their farmer linkages. It attempts case studies based on interviews with chain managers, facilitators, and supplying farmers across chains and locations in Gujarat, Karnataka, and Punjab/Haryana which have had varying degrees of retail chain penetration in procurement and retail. It also examines the impact of modern food retail chains on traditional fruit and vegetable retailers of various types based on surveys in the cities of Ahmedabad, Bangalore and Chandigarh. The book also attempts case studies of alternative procurement and retail channels in India and makes policy and practical recommendations to leverage the modern retail chain players for small holder benefit and suggests mechanisms to protect the traditional retail interest.

## Managers Who Make A Difference: Sharpening Your Management Skills

Noida: Random House India, 2010

**T. V. Rao**



What qualities do you need to be a successful manager, and how can you develop the qualities you already possess? *Managers Who Make a Difference* examines how managers' perceptions about themselves shape their behaviour at work, and studies the ways in which people can translate their ambition, sense of purpose, perseverance, confidence, and resourcefulness into successful management. How can you train yourself to spot competences in others and build on them to create an effective team? How do you achieve the right balance between adherence to existing systems, and creative or experimental problem-solving? And do you have the people skills—the ability to network extensively and build trust-based relationships—required to be a leader? Richly illustrated with anecdotes and experiences of well-known managers, and with a broad array of tips and self-assessment tools to sharpen your management skills, this book is a must read for all practising and aspiring managers.



**T. V. Rao** is Adjunct Professor in Organizational Behaviour. His areas of research include Leadership Development, 360 Degree Feedback, Assessment and Development Centers, Performance Management, HRD Audit and HRD Score Card, Entrepreneurship Institution Building, Education Systems and Interpersonal Competence.

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# Spotlight

on research conducted by  
**Centre for Management of Health Services**



Each issue of the R & P Newsletter will highlight research conducted at one of the centres, groups, or areas at IIMA.

IIMA's involvement in the health sector started with the establishment of the Public Systems Group in 1975. In the initial period, the research focus of this group was on the management of primary healthcare services and family planning. This was later expanded to include the management of secondary healthcare services in the 1980s and to tertiary healthcare services in the 1990s. Current research interests focus on the governance and management issues in the areas on Rural Health, Urban Health, Public Health and Hospital Management.

In June 2004, IIMA Board approved the setting up of a Centre for Management of Health Services (CMHS) in recognition of IIMA's contributions to the health sector in the past and the felt need to strengthen the management of the health sector in the context of the socio-economic developments of our country. The overall objectives of CMHS are to address the managerial challenges in the delivery of health services, to respond to the needs of different segments of our population efficiently and effectively, build institutions of excellence in the health sector, and influence health policies and wider environments. These initiatives aim to:

- provide thrust and long term sustainability the Centre's activities in the health sector;
- highlight its commitment to social sector;
- facilitate its involvement in large projects;
- attract healthcare researchers from all over the world;
- develop synergies with other institutions involved in healthcare management; and
- actively participate in the dissemination of knowledge.

All the research projects are externally funded and the Centre has developed research collaborations with 15-20 international universities in USA, UK, Europe, and Asia. CMHS has also established strong linkages with the Ministry of Health and Family Welfare at the national and state government levels, particularly in the states of Gujarat, Maharashtra, Rajasthan, Madhya Pradesh, Chhattisgarh, Orissa, and Bihar, with the objective of capacity-building. The Centre also offers Hospital Management Programmes.

In addition to the working papers, journal articles and books that have been authored by members of the CMHS, the Centre is actively involved in numerous research projects and consultancies. It conducts workshops on issues related to enhancement of healthcare services and participates in conferences and seminars on healthcare service management.

- Workshops, conferences and seminars of the Centre focus on:
- Human Resource Management in Healthcare
- Averting Maternal Mortality and Disability
- Public-Private Partnerships in Health
- Strategic Challenges in Health Services Management

Projects of CMHS have dealt with various aspects of managing healthcare services. These projects include: managing child and maternal health, and emergency healthcare services; making health policies; hospital management; issues of HIV/AIDS; urban health management; rural healthcare management and enhancement through training programmes for general doctors and childbirth assistants; management capacity assessment of National Health Programmes; and the role of public private partnership in managing healthcare services better.

<http://www.iimahd.ernet.in/faculty-and-research/research-centers/cmhs.html>



