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Backward Regions Grant Fund

Programme Guidelines

**Prepared and Circulated by**  
**Ministry of Panchayati Raj**  
**Government of India**

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## Chapter 1: Statement of Objectives and basic features

**1.1** The Backward Regions Grant Fund is designed to redress regional imbalances in development. The fund will provide financial resources for supplementing and converging existing developmental inflows into identified districts, so as to:

- (a) Bridge critical gaps in local infrastructure and other development requirements that are not being adequately met through existing inflows,
- (b) Strengthen, to this end Panchayat and Municipality level governance with more appropriate capacity building, to facilitate participatory planning, decision making, implementation and monitoring, to reflect local felt needs,
- (c) Provide professional support to local bodies for planning, implementation and monitoring their plans,
- (d) Improve the performance and delivery of critical functions assigned to Panchayats, and counter possible efficiency and equity losses on account of inadequate local capacity,

**1.2.** The BRGF guidelines in this document are applicable to States and Districts that fall within the purview of Part IX of the Constitution. Guidelines for States and districts where Part IX of the Constitution does not apply will issue separately. List of Districts covered under BRGF are at Annexe 1.

**1.3.** Integrated development will commence with each district undertaking a diagnostic study of its backwardness by enlisting professional planning support. **This will include the preparation of a baseline survey which can be used for undertaking evaluation at a later date.** This will be followed by preparing a well-conceived participatory district development perspective plan to address this backwardness during 2006-07 and the period of the Eleventh Five-Year. The Panchayats at the village, intermediate and district level, referred to in Part IX of the Constitution, will undertake planning and implementation of the programme, in keeping with the letter and spirit of Article 243G, while the Municipalities referred to in Part IX A will similarly plan and implement the programme in urban areas in conformity with the letter and spirit of Article 243W, read with Article 243 ZD of the Constitution.

**1.4.** This plan will integrate multiple programmes that are in operation in the district concerned and therefore address backwardness through a combination of resources that flow to the district. **This will be done without giving any schematic overlay to BRGF that would be subversive of the principle of local prioritization in planning.** Programmes identified for implementation under the Fund will be selected through peoples' participation, particularly through Gram and Ward Sabhas in the rural areas and Area Sabhas and Ward Committees in the urban areas. Participatory plans will be

prepared in each Panchayat and Municipality, which would take into account all resources being spent in the area of the Panchayat, which would cover at the very least

- (a) Sectoral and district segments of the State Plan,
- (b) Centrally Sponsored Schemes (particularly Flagship programmes<sup>1</sup>),
- (c) Fund inflows on account of the National Employment Guarantee programme,
- (d) Tied and untied grants from Central and State Finance Commission, and
- (e) Fund inflows on account of the Bharat Nirman programme.

**1.5.** The participatory plans prepared by each Panchayat and Municipality would be consolidated into the district plan by the District Planning Committee (Article 243 ZD of the Constitution). This would reflect all the financial resources available in the district, and ensure their optimal use, without delay, diversion, duplication and leakage.

**1.6.** BRGF consists of two funding windows, as follows:

**(a) A Capability Building Fund of Rs. 250 crore per annum:**

These funds will be used primarily to build capacity in planning, implementation, monitoring, accounting and improving accountability and transparency. This could include arrangements for contracting and outsourcing.

**(b) A substantially untied grant of Rs. 3500 crore for 2006-07 (outlay during the 11<sup>th</sup> Plan period will be intimated in due course):**

The allocation of these funds by Panchayats and ULBs will be guided by transparent norms and they will use these funds to address critical gaps in integrated development, identified through the participative planning processes cited in these Guidelines.

**1.7. Criteria for distribution of funds between districts:**

The substantially untied grants will be distributed among the districts concerned as follows:

- (a) Every district will receive a fixed minimum amount of Rs. 10 crore per annum.
- (b) 50% of the balance allocation under the Scheme will be allocated on the basis of the share of the population of the district in the total population of all backward districts.

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<sup>1</sup> The CSS flagship programmes are the National Rural Employment Guarantee Programme, Sarva Shiksha Abhiyan, Midday Meals Programme, Drinking Water Mission, Total Sanitation Campaign, National Rural Health Mission, Integrated Child Development Services, and National Urban Renewal Mission.

- (c) The remaining 50% will be distributed on the basis of the share of the area of the district in the total area of all backward districts.

**1.8. Indicating the formula for inter-se allocation of BRGF Fund to Panchayats/ULBs within the Districts.**

Each State will indicate the normative formula that will be used for the allocation of BRGF funds to each Panchayat and ULB (excluding capital cities/cities with a population of 1 million). The normative formula will consider:

- (a) The share of each local self-government institution category (Panchayats or Municipalities) within the district,
- (b) Within the overall allocation made for each category, the norms governing the inter-se share of each Panchayat or Municipality concerned.

**1.9. Components that go into the formula may include:**

- (a) Any index that is prepared and accepted within the State which reflects backwardness or level of development,
- (b) Addressing specific district-wise priorities identified in the district envisioning exercise, as described in the guidelines of the Planning Commission on district planning, dated 25-8-06 (Annexe 2)
- (c) A reasonable percentage of funds that may be separately earmarked as performance incentives, based on specified criteria.

The details of the above allocation should be widely disseminated, particularly to all Panchayats and ULBs concerned. Once the above norms are agreed upon, they will be in force for 2006-07 and the entire 11<sup>th</sup> Plan Period.

**1.10. Transition from Rashtriya Sama Vikas Yojana to the BRGF, including start-up modalities for 2006-07:**

The transition path for the smooth change over from the existing RSVY to BRGF will be as follows:-

- (a) All 147 RSVY districts will be released funds when they meet the required stipulations under the scheme, such as submission of utilization certificates till the plans approved under RSVY (plus the existing monitoring fee), have been completed to the extent approved.
- (b) Non-RSVY BRGF districts will begin the process of district plan preparation in 2006-07, in accordance with these guidelines. Those non- RSVY-BRGF Districts, which have consolidated their draft development plan for the district through DPCs in 2006-

07, will receive their entire annual allocation for 2006-07, so that they can immediately commence implementation of their plans.

- (c) During 2006-07, an initial tranche of Rs. 10 crore each will be released to each non RSVY-BRGF district, where DPCs have been set up and a district plan has been prepared, consolidating together a few important schemes in respect of which participatory plans have been prepared. States that are in the process of setting up District Planning Committees, would be eligible to receive funds in accordance with the provisions of this sub-clause, if DPCs are set up by February 15 2007, in accordance with Article 243ZD of the Constitution.
- (d) Funds for capacity building (as described in Para 1.6(a)) earmarked for 2006-07 may be released during 2006-07 to all States in accordance with these guidelines, without the pre-condition that District Planning Committees shall be constituted.

### **1.11. Anticipated Outcomes:**

It is anticipated that the initiative on the Backward Region Grant Fund would mitigate regional imbalances, contribute towards poverty alleviation in backward districts, and promote accountable and responsive Panchayats and Municipalities.

## **Chapter 2: The Planning Process for BRGF**

- 2.1. Each Panchayat or Municipality within the backward district concerned will be the unit for planning under BRGF. Plans prepared by each Panchayat or Municipality will be consolidated into the District plan by the District Planning Committee, constituted in accordance with Article 243ZD of the Constitution. The planning exercise will be done in accordance with the guidelines issued by the Planning Commission from time to time. The current guidelines for the preparation of the district plans issued by the Planning Commission, in respect of annual planning and the 11<sup>th</sup> Five Year Plan are placed at Annexe.2.

### **2.2. Ensuring the inclusion of disadvantaged groups during the consolidation of District plans in accordance with the Vision set out in the Planning Commission's guidelines:**

In keeping with the 'Vision' set out in the Planning Commission's guidelines, during consolidation of plans, particular care shall be taken to ensure that the district plan addresses issues relating to SC/ ST development. In this direction, the following may be fully addressed:

- (a) A separate sub-plan should be prepared, within the plan of each Panchayat and ULB, showing the scheme-wise allocations for SCs/STs,
- (b) Schemes benefiting SCs/STs should be allocated funds at least in proportion to the population of these communities in the jurisdiction for which the plan has been prepared.
- (c) Amenities such as schools, anganwadis, health centers etc. should be provided on priority in those villages that have a substantial SC/ST population.

## Chapter 3: Building Capability of the Panchayats and ULBs for Planning and Implementation

**3.1.** Capability building of Panchayats and ULBs for planning and implementation is a critical component of BRGF. A template for capacity building will need to be developed for capability building, such that it delivers tangible outputs in a short time-frame. A detailed framework for the same is placed at Annexe 3. This will form the building blocks of a ‘**Bharat Samarth Andolan**’, the building of rural capacities within the framework of BRGF.

### **3.2. Resources for funding the Training Programme:**

3.21. Effective implementation of BRGF will require continuous and sustained building of the capability of all Stakeholders. An amount of Rs. 250 crore per annum is especially earmarked under BRGF for capability building of Panchayats. The allocation of funds for each State is calculated at the rate of Rs. 1 crore per BRGF district in that State. In addition, funds may be earmarked for certain aspects of capability building from the development grant for the district as described in this chapter.

3.22. The various components of capability building and the sources of funds for the same within the BRGF are described in the table below:

**Table 1:**

	<b>Component of capability building</b>	<b>Description of sub-components</b>	<b>Source of funds</b>
(a)	Provision of adequate functionaries for the Panchayats for planning and implementation	<p>The functionaries at the Panchayat level can be augmented in the manner described in Para 3.23 below. Augmenting functionaries for Panchayats and Municipalities can be undertaken on the following conditions:</p> <p>(a) This amount <i><b>should not be used</b></i> to pay the salaries of existing Government staff working at the Panchayats and Municipalities level.</p> <p>(b) This facility shall be used only for essential staff wherever gaps exist.</p> <p>(c) Staff shall be recruited by the Panchayats or Municipalities, in the manner prescribed by the State Government.</p>	Earmarking 5 percent of the development grant allocated for the district.

		(d) Panchayats may progressively take over the responsibility of paying staff salaries, utilizing financial transfers such as State and Central Finance Commission grants or own revenues to bridge the gap.	
(b)	Provision of technical assistance, or providing scope for the outsourcing of technical support for planning and implementation, particularly the accessing of services of resource persons to support PRIs as well as Grama Sabhas in the decentralized planning process	(a) Establishing extension or Resource Centre if required, at each Intermediate Panchayat level or below, for the use of all Panchayats and Municipalities, with pooled staff from development departments and/or experts. (b) Access the services of resource persons and professionals through outsourcing,	From the Rs 250 crore capability building fund
(c)	Providing sufficient office infrastructure, including office buildings wherever required and connectivity to these offices through roads, telephones, power supply and e-connectivity,	Physical infrastructure for the conduct of Panchayat affairs provided 30 percent of the cost is contributed from other sources.	Using developmental grants,
		Acquiring computers and peripherals, and providing interface equipment which may be required for broadband connectivity, and training for software use at each Panchayat level	Funded from the Rs. 250 crore capability-building fund.
		Telephone connections to all Panchayats	An effort will be made by the Department of Telecommunication to provide telephone connections to Panchayats, which seek such a facility.
(d)	Providing adequate training	Implementation of training perspective plan as described in the National Capability Building Framework, placed at Annexe 3.	From the Rs. 250 crore capability building fund
		Establishment and maintenance of help lines, as described in Annexe 3. For the proposed help lines, any of the existing telecom providers operating in the State/District may be selected through a tender or any other transparent process.	

(e)	Conduct of surveys, studies on backwardness and development of a baseline databank	Entering data onto the National Panchayat Portal in respect of each Panchayat and deployment it in each Panchayat progressively.  Preparation of a multi-layered GIS based database for local planning, using information put together by the Department of Space and NIC.	From the Rs. 250 crore capability building fund.
(f)	Establishment and maintenance of the accounting and auditing system,		From the Rs. 250 crore capability building fund.
(g)	Securing assistance for Panchayats and the District Planning Committee for preparing and consolidating plans.		From the Rs. 250 crore capability building fund.

**3.23. Preferred focus on provision of trained community level workers at each Gram Panchayat:**

BRGF shall have a clear focus on building community capacities, particularly in the approach to providing staff to the Gram Panchayat. Action may be taken by Panchayats on the following lines:

**(a) A trained community level person for agricultural extension:**

This individual will be a multi-tasked functionary to provide knowledge inputs to the community on agriculture, water management, livestock development, post-harvest management and agri-business. Selection could be done by the local PRI.

**(b) A gender empowerment community leader or volunteer:**

This individual will act as a coordinator in the village and undertake activities for female literacy and micro finance. An elected woman panchayat representative could also be chosen as a gender coordinator. This coordinator will facilitate women at the panchayat level to organize themselves into SHGs, encourage them to register with Panchayats in case they are non-literate and engage any literate person to undertake literacy classes. The Government would make the three Primers for literacy available and introduce a 4<sup>th</sup> Primer on gender rights. Even as they undergo literacy classes, the groups could form themselves into thrift and credit groups for micro finance. At the end of a year, the literacy status could be evaluated through a Common Evaluation Test and an honorarium of Rs.100 or above paid to the person who has made them literate.(to be made available from funds for the literacy campaign) The value of such a model is to create a societal movement for female literacy, which can make nearly 100 million women literate and nearly half a million women self-help groups formed at the national level in addition to building a cadre of women activists who would emerge through this gender empowerment exercise.

**(c) Trained ‘barefoot engineers’, or creation of local engineering capacity:**

At least one person per Panchayat may be trained in minor engineering repairs, such as electricity repair, repair of hand-pump, repair of agricultural pump sets etc.

**(d) Support for Professional Planning:**

Under the professional support envisaged to be provided under BRGF to local bodies for planning and implementation of their plans, in the first two years this support can have a focus on creation of RBHs in the handloom, handicrafts and rural industries sector and professionals in these areas may be linked to crafts-persons through mediation by local bodies. Clusters have been identified at the national level for both handlooms and handicrafts and could be extended for other areas of rural industry especially traditional industry. Good existing models for professional handholding aimed at design and skill upgrading may be replicated through this approach.

**3.24. Training for the above personnel:**

BRGF funds can be used for training such persons at the Panchayat level. Training modules can be developed at the state level and a trainer network organized using existing engineering personnel, agricultural scientists, agricultural and veterinary department officials, private and cooperative sector organizations etc. at the local level to impart training at the local level, as envisaged in Course II(a), described in Annexe 3, Para 2.31.

**3.3. Provision of Training:**

The objectives of the training component of Capability building (Component ‘d’ in Table 1 above) are as follows:

- (a) Upgrading the knowledge and skills of all Panchayats and Municipalities elected representatives to better perform their responsibilities
- (b) Orient key officials associated with functions devolved to Panchayats and who are working under or closely with them to effectively serve and facilitate the Panchayats in the performance of devolved functions.
- (c) Improve functioning of the Gram Sabha, particularly through building the capability of pressure groups such as SHGs and CBOs to participate more meaningfully

Within the broad parameters of the National Capability Building Framework prepared by the Union Ministry of Panchayati Raj (Annexe 3), State and District specific training strategies and plans should be prepared by respective State governments, which will be suitably supported by the Ministry of Panchayati Raj. A State Capability Building Perspective Plan for 5 years, addressing the components described above may be prepared by each State. For this purpose, States may designate a nodal agency, such as the SIRD for preparation and management of the training plan. Technical assistance may be provided by the Ministry of Panchayati Raj for the preparation of State specific perspective plan document for training.

The High-level monitoring and implementation committee at the State level may approve the plan before implementation. The costs can include both capital and revenue costs.

Funds will be released annually by the Ministry of Panchayati Raj on the following conditions:

- (a) Receipt of the plan approved by the High level committee set up at the State level,
- (b) Indication of the funds proposed to be retained at the State level for implementation purposes described in the table above and the funds that will be sent to each district,
- (c) An annual plan, drawn from the perspective plan, indicating the programmes to be taken up in the year in question, with allocations for each component within it.

### **3.4. Evaluation, documentation and monitoring of outcomes of training:**

Independent evaluation of training shall be undertaken by institutions designated by the Ministry of Panchayati Raj.

For the last three years of the Eleventh Plan, i.e. (2009-12) while capacity building will continue to form an integral part of the programme, the emphasis will shift to monitoring and evaluation.

## **Chapter 4: Operationalisation of the BRGF**

### **4.1. Implementation Mechanism at the Panchayat level:**

4.11. The Panchayats, Municipalities and DPC constituted in accordance with Part IX and IX-A of the Constitution would undertake the management of the programme. No special bodies, management committees, societies etc. shall be set up for implementing the Scheme at any Panchayat level or ULB level. In order to facilitate special attention for the supervision, management and monitoring of the programme, Standing Committees constituted within such bodies under legal provisions may be strengthened for the purpose. In addition, the State Government shall take the following steps in this regard:

4.12. The implementation of the works should be by the Panchayats and Municipalities at the appropriate level, in accordance with the respective activity mapping exercise undertaken. The principle of financial subsidiarity will need to be followed, by which even if a higher level of Panchayat, such as a District or Intermediate Panchayat sanctions a work of a value less than a prescribed floor limit, it transfers the money allocated for that work to the Gram Panchayat concerned for implementation. In case the works are outside the domain of the Panchayats and Municipalities, the DPC may decide the implementing department/agency and get the works executed through them with clear powers of monitoring and supervision with the Panchayat(s) concerned.

### **4.2 Approval at the State level:**

4.21. The State government may designate a department, preferably the department of Panchayati Raj as the nodal department at the State level, responsible for the management, monitoring and evaluation of the programme.

4.22. A High-Powered Committee headed by the State Chief Secretary and consisting of inter alia, the Development Commissioner, Planning Secretary, State Secretary of Panchayati Raj, State Urban Development Secretary, State Secretaries in charge of sectors under which works are going to be taken up under the programme, a representative of the Ministry of Panchayati Raj and the State Plan Adviser of the Planning Commission as well as other Government of India nominees deemed to be necessary, shall consider and approve the proposed District Plans to be taken up under the District Window of the BRGF as also the Training Plan. The Secretary of the nodal department shall be the Member Secretary of the HPC.

4.23. The Nodal Department will also be responsible for maintaining a computerized database of all Panchayats in BRGF districts, including a database of Panchayat Bank Accounts to which BRGF developmental grants will be credited. The cell will also maintain details of Utilization Certificates from each Panchayat.

### **4.3 Purpose of development funds:**

4.31. Development funds released under BRGF are to be used for filling critical gaps vital for development in spite of other major interventions. Panchayats and Urban Local Bodies may use these funds for any purpose coming within the items that are devolved to them respectively as listed in the Eleventh and Twelfth Schedule of the Constitution respectively. The funds may not be used for construction of religious structures, structures in the premises of religious institutions, construction of welcome arches **or similar such activities**. Suggested details of the components for which the funds earmarked for SC and ST development are indicated in Annexe 4.

4.32. **Gap filling in local infrastructure linked to flagship programmes:** Gap filling under the programme could be made sensitive to achieving a few selected objectives at the national level even as BRGF aims at filling gaps in local infrastructure. Key gaps in local infrastructure under Bharat Nirman on which BRGF could focus, at the option of the Panchayats, include the following:

(a) **Rural electrification, where intensive electrification of a village may be beyond what is proposed to be done from investment at the national level at present.** Here PRIs could be motivated to take up intensive electrification by bringing a certain component of financial support to add to investment made through the Rajiv Gandhi Grameen Vidyutikaran Yojana (RGGVY) and for electrification of agricultural pump sets.

(b) **Adoption of appropriate technology options by Panchayats for drinking water supply in hilly and tribal areas, where conventional pump and pipe water supply is not able to deliver.** These include gravity-fed systems and sanitary wells. Village Panchayats may be encouraged and provided support under BRGF to take over stand-alone pipe water supply schemes and undertake system upgrading.

(c) **Augmenting Indira Awas Yojana, where the Bharat Nirman only meets a portion of the backlog in provision of new housing.** If a particular DPC aims at making the district free of a housing problem and if the local PRIs see this as a priority, funds may be sourced for rural housing.

BRGF assistance may be preferentially linked to the above Bharat Nirman goals as areas such as rural roads, rural telephony and minor irrigation would have investments made available from other sources, such as PMGSY(for roads), GOI-USO fund (for rural telephony) and NREGA (for micro irrigation and field channels).

#### **4.4. Proposals for use of the developmental grant:**

These proposals shall give details of the following:

- (a) Criteria followed within the district for allocation of funds between the district, block and gram Panchayat levels and ULBs, taking into account the visioning exercise and prioritization of development goals in the district

- (b) The detailed deployment of funds receivable in the district, from several sources, including CSSs,
- (c) Steps taken by the State to equip PRIs and ULBs with substantive financial power in order to generate adequate resources, as also the own resources expected to be raised by Panchayats for the plan
- (d) Steps taken by the State to equip Panchayats with substantive administrative and technical help or means to access these through contracts/outsourcing arrangements.

4.5. The conditions to be met for the release of funds to districts are detailed in Table 2 below:

**Table 2:**

<b>Period</b>	<b>Conditions for release of funds</b>																
2006-07 - First year of the programme	Total allocation for each District for capability building will be released subject to the groundwork detailed in the guidelines. First preference will be given to the release of developmental grants to those Districts where the Draft District Development Plan has been consolidated by the District Planning Committee and approved at the State level by the High Powered Committee.																
2007-08	<p>First installment will be released automatically to those Districts on submission of application in the prescribed performa.</p> <p>Second installment will be released on the fulfillment of the following conditions:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="text-align: center;">a</td> <td>Submission of physical and financial progress reports,</td> </tr> <tr> <td style="text-align: center;">b</td> <td>The opening balance should not exceed 40% of the funds available during the previous year. The amount in excess of this limit will be deducted at the time of the release of the second installment.</td> </tr> <tr> <td style="text-align: center;">c</td> <td>Audit Reports for the programme for the last year and submission of Action Taken Report should contain a Certificate from the Chartered Accountant that while auditing the district account of the programme, he has taken into account the Bank Reconciliation Statement and the accounts of all Implementing Agencies and that advances have not been treated as expenditure</td> </tr> <tr> <td style="text-align: center;">d</td> <td>Utilization Certificates are required to be submitted within one year of the release of funds in the prescribed Proforma as per Annex - 5;</td> </tr> <tr> <td style="text-align: center;">e</td> <td>Submission of non-diversion and non-embezzlement certificate;</td> </tr> <tr> <td></td> <td>All pending progress/monitoring reports should have been sent;</td> </tr> <tr> <td style="text-align: center;">g</td> <td>Confirmation that the district concerned (if Part IX of the Constitution is applicable to it) has established a District Planning Committee in accordance with Article 243 ZD of the Constitution.</td> </tr> <tr> <td style="text-align: center;">h</td> <td>Any other condition imposed from time to time in the interest of smooth implementation of the programme.</td> </tr> </table>	a	Submission of physical and financial progress reports,	b	The opening balance should not exceed 40% of the funds available during the previous year. The amount in excess of this limit will be deducted at the time of the release of the second installment.	c	Audit Reports for the programme for the last year and submission of Action Taken Report should contain a Certificate from the Chartered Accountant that while auditing the district account of the programme, he has taken into account the Bank Reconciliation Statement and the accounts of all Implementing Agencies and that advances have not been treated as expenditure	d	Utilization Certificates are required to be submitted within one year of the release of funds in the prescribed Proforma as per Annex - 5;	e	Submission of non-diversion and non-embezzlement certificate;		All pending progress/monitoring reports should have been sent;	g	Confirmation that the district concerned (if Part IX of the Constitution is applicable to it) has established a District Planning Committee in accordance with Article 243 ZD of the Constitution.	h	Any other condition imposed from time to time in the interest of smooth implementation of the programme.
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g	Confirmation that the district concerned (if Part IX of the Constitution is applicable to it) has established a District Planning Committee in accordance with Article 243 ZD of the Constitution.																
h	Any other condition imposed from time to time in the interest of smooth implementation of the programme.																

2008-09 onwards – first installment	Released unconditionally to those districts that were released the second installment of the immediately preceding year
	Districts, which could not draw the second installment in the immediate preceding year for want of not having met the conditions stipulated, shall submit proposals for the first installment after fulfilling those conditions.
	Districts which received second installment in the previous year conditionally shall submit their proposal for first installment after fulfilling conditions imposed at the time of the release of second installment in previous year.

#### **4.6. Fund flow mechanism:**

All funds will be transferred to the Consolidated Funds of State governments. Those funds that are to be transferred to Panchayats and Municipalities by the State Governments will be transferred to their bank accounts, following the same stipulations as prescribed for the devolution of 12<sup>th</sup> Finance Commission Grants, namely, within 15 days of the release of funds to the Consolidated Fund. From the State level, the funds will be directly deposited into the bank accounts of the Panchayat or Municipality concerned, using the mechanism of bank transfers suggested by the Task Force of the Ministry of Panchayati Raj to study the feasibility of rapid transfer of funds through banks to Panchayats. Bank account details of all Panchayats would be furnished by State Governments concerned as sought for already by the Ministry of Panchayati Raj

#### **4.7. Release of funds:**

Funds: will be released immediately by the Panchayats on the sanction of the works either in full or in installments as may be decided by the Panchayat concerned, in accordance with procedures prescribed for clearance of such payments. The Implementing Agencies which fail to render the accounts and Utilisation Certificate for the funds released earlier should not be considered for implementation of new works and release of further funds. Diversion of resources from one District to another is not permitted.

#### **4.8. Opening of Bank Accounts:**

BRGF funds shall be kept in a nationalized bank or a Post Office in a bank account by the Panchayats concerned. It is desirable to open a separate bank account for BRGF but not mandatory, provided a separate Cash Book is maintained for the scheme.

#### **4.9. Utilization of Interest Earned on Deposits:**

The interest amount accrued on the deposits shall be treated as additional resources under the BRGF and should be utilized as per the guidelines of the Programme.

#### **4.10. Drawing of funds:**

Drawing of funds by Panchayats and Municipalities shall be as per the existing practice detailed in the finance and accounts rules prescribed by the State Government, enacted

under the relevant provision of the State Panchayati Raj Act. Withdrawal of funds for making payments towards the works undertaken by the Executing Agencies will be through cheques and as prescribed by in the rules and departmental manuals concerned. Drawal of funds for any other purpose shall not be permitted.

#### **4.11. Maintenance of Accounts:**

Each Panchayat and Municipality shall be responsible for maintenance of accounts of the funds allocated to them. These accounts can be consolidated by the District Panchayat in respect of Panchayats and presented to audit. Similarly, any executing agency entrusted with funds under the programme would also maintain separate accounts, which shall be submitted to audit. The State shall provide adequate manpower and resources to all Panchayats and Municipalities to maintain the accounts for the programme. Such support may be pooled at the Intermediate Panchayat Resource Centre. The expenditure under this programme shall find place in the annual accounts of the Panchayats and Municipalities concerned, which may be consolidated in the manner as prescribed in the relevant Panchayati Raj and Municipality Acts and Rules and placed before the State legislature.

#### **4.12. Audit of works:**

Regular physical and financial audit of the works under the scheme shall be carried out at the end of each financial year, in each district. The audit shall be done either by Local Fund Auditors or by Chartered Accountants listed in the panel of the State Government or AGs of the State. The audit report together with action taken on the Auditor's observations is required to be submitted along with the proposal for release of second installment of funds. Such Action Taken Note should be authenticated by Auditor.

#### **4.13. Review Committee at District level:**

Peer reviews of progress by Panchayats themselves, upto the Intermediate Panchayat level may be instituted. At the district level, a Review Committee shall be constituted by the District Planning Committee, chaired by the Chairperson of the District Panchayat and Chairpersons of the Intermediate Panchayats and ULBs in the District in rotation such that the Committee consists not more than 8-10 members. The Review Committee would examine the peer review reports prepared by Panchayats.

#### **4.14. Schedule for Inspection of Works**

In order to maintain quality of works, a quality monitoring system shall be instituted. The working of the system shall be reviewed regularly by the High Powered Committee.

#### **4.15. Social Audit and Vigilance at grass root level**

Clear guidelines on social audit by Gram or Ward Sabhas in rural areas and Area Sabhas and Ward Committees in urban areas may be issued by States. The Gram Sabha will authorize the issuance of utilization certificates of funds allocated for the plans, projects or programmes of the Panchayat and the process followed will be the same as prescribed in the guidelines for the National Rural Employment Guarantee Act.

Boards shall be displayed at worksites indicating names of the schemes and the source from which these are being funded to enable the local people to know about the schemes.

Each Panchayat shall publicly display details of all schemes approved as on date and their expected commencements/completion dates;

A separate booklet on verification of works will be prescribed by the Ministry of Panchayati Raj.

**4.16. Progress reports:**

Progress reports will be submitted in proformae prescribed for the purpose.

**Additional provisions under BRGF Guidelines  
Applicable to the States and Districts not covered under  
Parts IX and IXA of the Constitution.**

**Provisions in preceding chapters 1 to 4 apply to the States and Districts  
that fall within the purview of Part IX and Part IX A of the Constitution.**

**Special additional provisions, for states and districts where Part IX and  
IX A of the Constitution do not apply, have been given in the following  
chapter, namely Chapter 5 which now forms an integral part of the  
Backward Regions Grant Fund Programme Guidelines.**

**Chapter 5: Operationalisation of the Backward Regions Grant Fund in areas that do not fall within the purview of Parts IX and IX A of the Constitution.**

**5.1 Recommendations of the Expert committee on Decentralized Planning for areas not covered under Parts IX and IXA of the Constitution on implementation of BRGF in such areas :**

An Expert Committee on Decentralized Planning for areas not covered under Parts IX and IXA of the Constitution was set up by the Ministry of Panchayati Raj in pursuance of the decisions taken at the Empowered Sub Committee held on 13<sup>th</sup> September, 2006. The Committee has submitted its interim Report, recommending the institutional mechanism for the implementation of BRGF in these areas. The additional provisions of the BRGF guidelines, in this chapter, are based on the recommendations of the Committee.

**5.2 Details of the Districts covered in Non- Part IX and IX A areas:**

**5.21** Details of the Districts covered under BRGF to which Parts IX and IXA of the Constitution are not applicable are given below:

State		District		Classification*		Population			Whether NREG District	Village level Institutions
Sl no	Name	Sl no	Name	Category	Sub-category	Rural	Urban	Total		
1	J & K	1	Doda	2		644234	47695	691929	Yes	VPs superseded
		2	Kupwara	2		624898	25495	650393	Yes	
		3	Poonch	2		348635	23978	372613	Yes	
2	Assam	4	Karbi Anglong	1	A	721381	91930	813311	Yes	
		5	North Cachar Hills	1	A	128110	58079	186189	Yes	
		6	Kokrajhar	1	B	841823	63941	905764	Yes	

3	Manipur	7	Chandel	2	A	103365	14962	118327	No	
		8	Churchandrapur	2	A	227905	0	227905	No	
		9	Tamenlong	2	A	111499	0	111499	Yes	
4	Meghalaya	10	Ri Bhoi	1	B	179610	13180	192790	No	
		11	South Hills Garo	1	B	92337	8643	100980	Yes	
		12	West Hills Garo	1	B	459412	58978	518390	Yes	
5	Mizoram	13	Lawngtlai	1	D	73620	0	73620	No	
		14	Saiha	1	A	41230	19826	61056	Yes	
6	Nagaland	15	Mon	2		244062	16590	260652	Yes	Strong VDBs
		16	Tuensang	2		385046	29772	414818	No	
		17	Wokha	2		123587	37636	161223	No	
7	Tripura	18	Dhalai	1	C	289001	18867	307868	Yes	No VPs in non Part IX areas

**\*Classification key**

Category		Sub-category	
Sl	Description	Sl	Description
1	Sixth Schedule Area	A	BRGF District co-terminus with an Autonomous Council
		B	BRGF District part of a larger Regional Council
		C	Part of the District coming within an Autonomous Council and the remaining part covered by Parts IX and IX-A of the Constitution
		D	District covered by more than 1 Autonomous Council
2	Non-Sixth Schedule Area	A	BRGF District co-terminus with an Autonomous Council
		B	BRGF District part of a larger Regional Council

### 5.3 General principles followed in framing the subsequent guidelines:

- Since elected local bodies may have been superseded or allowed to lapse, practical interim measures are required to ensure effective stakeholders' participation at the Grass Roots level in the implementation of **BRGF**.
- Separate arrangements are required for Districts covered under the Sixth Schedule and those which have in place other local arrangements mandated by the laws of the States concerned.

- (c) There must be regard to certain basic principles that underlie in any good system of Local Self-Government, in designing the institutional mechanism for implementation of BRGF.

#### **5.4 General principles to be followed by the State Governments for implementation of participative planning at the village level:**

- (a) Wherever a mechanism for planning at habitation, village or cluster level exists, this should be used for preparing participative plans.
- (b) In the absence of any village level bodies, institutions set up under NREGA may be used.
- (c) The identified institutional mechanism should be as inclusive as possible.
- (d) A Committee may be formed at the habitation level through open meeting of the Gram Sabha for implementation of the Programme. 50% of the membership should comprise women.
- (e) Similar bodies for participative planning may be set up in urban areas within these Districts.
- (f) Inclusive Committees may be set up at the District level.

#### **5.5 Mechanism for fund flow:**

- (a) Funds must be transferred to identified planning and implementing institutions without diversion or delay within 15 days of release.
- (b) The system used for transfer of funds in Nagaland to Village Development Boards may be adopted as a sound locally evolved practice. In particular, the village level committee may, by resolution be authorized to open a bank account, in which funds for the implementation of the scheme shall be deposited.

#### **5.6 Systems for ensuring accountability:**

Strong systems for concurrent and independent monitoring of both planning and implementation by the designated institutions shall be set up. Such monitoring systems may consist of independent monitors selected by the Ministry of Panchayati Raj as also those selected at the State level. Monitoring agencies should have a judicious mix of external and local agencies.

## **5.7 State-wise implementation mechanisms :**

### **A. Jammu & Kashmir**

**a.** In Jammu and Kashmir, elected local governments at the village level currently do not exist. Therefore till such time that local bodies are constituted, an interim consultative and implementation mechanism will need to be developed at the Village level.

**(i) Village level planning:**

Since the three districts covered under BRGF in Jammu and Kashmir are also covered under NREGA, arrangements for village level planning and implementation for NREGA may be adopted for planning and implementation of BRGF.

**(ii) Measures for promoting inclusion of all local stakeholders:**

The micro-level planning methodology adopted in the Tata Ladakh Hill Development Council Development Support Programme may be adopted for the implementation of BRGF.

### **B. Assam:**

**b.** In Assam, there are three Districts that are covered under BRGF, to which Part IX does not apply. All three districts come under the Sixth Schedule. However, while Karbi Anglong and North Cachar Hills are revenue districts which are co-terminus with the respective Autonomous Councils, Kokrajhar district comes within the larger Bodoland Territorial Council.

**(i) Village level planning:**

Since the three districts covered under BRGF in Assam are also covered under NREGA, arrangements adopted for village level planning and implementation for NREGA may be adopted for planning and implementation of BRGF. Care may be taken to ensure that the village level bodies comply with the general principles made in Paragraph 5.4.

**(ii) Measures for promoting inclusion of all local stakeholders:**

The village bodies shall be formed in accordance with the council recommendations.

**(iii) Arrangements at the District level:**

For preparing the district plan and consolidation of the draft plan for the district, a separate sub-Committee of the Autonomous Council concerned may be formed. The Chairperson of the District Autonomous Council shall head the Committee and the Secretary of the Council the Member-Convenor. The Deputy Commissioner of the district shall also be a member. In the case of Kokrajhar District, the Chairperson of the Bodo Territorial Council shall chair the Committee. The Principal Secretary of the Bodo Territorial Council shall be the member-convenor of the Committee. Representatives of the BTC from Kokrajhar district shall also be represented in the District Committee. Representatives of urban areas and municipalities shall also be represented in the Committee.

**C. Manipur:**

c. The Districts covered under BRGF in Manipur do not come within the Sixth Schedule. However, these districts are exempted from the application of Part IX of the Constitution, as per the provisions of Article 243M (2)(b) of the Constitution. The State has constituted Autonomous Councils for these districts, but has not conducted elections to them after their terms had lapsed in 1989. The Councils are therefore headed by an Administrator, the District Collector, till elections are held.

**(i) Village level planning:**

In Tamenlong District, which is covered under NREGA, arrangements adopted for village level planning and implementation for NREGA may be adopted for planning and implementation of BRGF.

In Chandel and Churchandrapur districts, village level bodies shall be formed in accordance with the general principles indicated in Paragraph 5.4.

**(ii) Arrangements at the District level:**

At the District level, a Planning and Implementation Committee may be formed with the District Collector (who is the Administrator of the District Council) as the Chairperson-convenor. Members of the legislative Assembly from the District shall be made members of the Committee. Funds will go to a separate bank account of the District Council, which shall be operated under the control and superintendence of the Deputy Commissioner, in his capacity as the chairperson, of the District Council.

**D. Meghalaya.**

**(i) Village level planning:**

Both South Garo Hills and West Garo Hills Districts are covered under NREGA. In both districts, Village Employment Councils have been set up for implementation of NREGA. These institutions have been further supported and supplemented by participative bodies set up under the Natural Resources Management projects of IFAD. The Village Employment Councils set up may undertake the planning and implementation of BRGF at the Village level. A similar approach may be followed in Ri Bhoi district also.

**(ii) Arrangements at the District level:**

At the District level, a Planning and Implementation Committee may be formed with the District Collector as the Chairperson-convenor. The Committee shall include representatives from the Autonomous Council members and MLAs from the District as representatives of the Committee. Funds will go to a separate bank account of the District Committee, which shall be operated under the control and superintendence of the Deputy Commissioner, in his capacity as Chairperson.

**E. Mizoram**

**(i) Village level planning:**

In Mizoram, Saiha district is covered under the NREGA. However, Lawngtlai District is not. In both districts, Village Councils have been constituted by law passed by the District Council. These Councils may take up the planning and implementation of the BRGF at the village level. However, there is a need to ensure inclusion of women in planning and implementation and they be adequately represented in Village Councils, for the purpose.

**(ii) Arrangements at the District level:**

At the District level, a Planning and Implementation Committee may be formed with the District Collector as the Chairperson-convenor. In Lawngtlai District, the implementation Committee shall include representation from both the Mara and Chakma Autonomous Councils, which cover the district. Funds will go to a separate bank account of the Committee, which shall be operated under the control and superintendence of the Deputy Commissioner, in his capacity as Chairperson.

**F. Nagaland**

**(i) Village level planning:**

The Village Development Boards constituted by Nagaland for undertaking village level planning and implementation of development schemes shall implement BRGF. The modalities of actual planning and implementation would be in the same manner as the Grants-in-aid programme of the State Government, which is implemented by the VDB.

(ii) Funds for the programme shall go from the State Consolidated fund to the District planning and development board and thereafter it shall be operated in accordance with the VDB rules. District Planning and Development Board shall be the body monitoring the programme.

## **G. Tripura**

### **(i) Village level planning:**

In that part of Dhalai district which comes under the Tripura Territorial Autonomous District Council (TTADC) area, village councils have been established. As Dhalai District is covered under NREGA, the village councils have been entrusted the implementation of the programme in villages. The Village Councils set up may undertake the planning and implementation of BRGF at the Village level.

### **(ii) Arrangements at the District level:**

The district plan shall be consolidated by the District Planning Committee. However, since Dhalai district is partly covered under the TTADC and Part IX of the Constitution, due representation will need to be given, based on the population of areas covered by the TTADC, to representatives of the TTADC in the DPC. Since the majority of the population in Dhalai district is tribal, a tribal representative elected to the TTADC from Dhalai may preferably be made the chairperson of the District Planning Committee. Since the district spans both TTADC and Part IX areas the District Collector may be made the member secretary of the DPC. As funds pertaining to the programme will need to go to both areas covered under Part IX of the Constitution and the Autonomous Council areas, it is suggested that these funds may go to a separate bank account of the District Planning Committee, which shall be operated under the control and superintendence of the Deputy Commissioner.

## **5.8 Special monitoring arrangements in non-Part IX areas:**

The State Department concerned shall ensure close monitoring of the implementation of the Scheme and provide periodic progress reports to the Ministry. One or more independent organizations may be identified and entrusted the task monitoring implementation.

The Ministry of Panchayati Raj may also carry out its own monitoring and evaluation of the implementation of the Scheme directly or through independent agencies appointed by it.

## Annexe – 1 BRGF - List of Districts

### Andhra Pradesh

1	Adilabad	2	Anantpur	3	Chittoor	4	Cudappah
5	Karimnagar	6	Khammam	7	Mahbubnagar	8	Medak
9	Nalgonda	10	Nizamabad	11	Rangareddy	12	Vizianagaram
13	Warangal						

### Arunachal Pradesh

1	Upper Subansiri
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### Assam

1	Barpeta	2	Bongaigaon	3	Cachar	4	Dhemaji
5	Golpara	6	Hailakandi	7	Karbi Anglong	8	Kokrajhar
9	Marigaon	10	North Lakhimpur (Laksha)	11	North Cachar Hills		

### Bihar

1	Araria	2	Aurangabad	3	Banka	4	Begusarai
5	Bhagalpur	6	Bhojpur	7	Buxur	8	Darbhanga
9	Gaya	10	Gopalganj	11	Jamui	12	Jehanabad
13	Kaimur /Bhabua	14	Katihar	15	Kishanganj	16	Khagaria
17	Lakhisarai	18	Madhepura	19	Madhubani	20	Munger
21	Muzaffarpur	22	Nalanda	23	Nawadah	24	Patna
25	Pashchim Champanan	26	Purba Champanan	27	Purnia	28	Rohtas
29	Saharsa	30	Samastipur	31	Saran	32	Sheikhpura
33	Sheohar	34	Sitamarhi	35	Supaul	36	Vaishali

### Chhattisgarh

1	Bastar	2	Bilaspur	3	Dantewada	4	Dhamtari
5	Jashpur	6	Kankar	7	Kawardha	8	Korba
9	Koriya	10	Mahasamund	11	Raigarh	12	Rajnandgaon
13	Sarguja						

### Gujarat

1	Banas Kantha	2	Dangs	3	Dahod Dantewada	4	Narmada
5	Panch Mahals	6	Sabarkantha				

## Backward Regions Grant Fund - List of Districts (contd.)

### Haryana

1	Mohindergar h	2	Sirsa
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### Himachal Pradesh

1	Chamba	2	Sirmaur
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### Jammu & Kashmir

	Doda	1	Kupwara	2	Poonch
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### Jharkhand

1	Bokaro	2	Chatra	3	Deoghar	4	Dhanbad
5	Dumka	6	Garhwa	7	Giridih	8	Godda
9	Gumla	10	Hazaribagh	11	Jamtara	12	Kodarma
13	Latehar	14	Lohardagga	15	Pachhim Singhbhum	16	Pakaur
17	Palamu	18	Ranchi	19	Sahibganj	20	Saraikela
21	Simdega						

### Karnataka

1	Bidar	2	Chitradurga	3	Davangere	4	Gulbarga
5	Raichur						

### Kerala

1	Palakkad	2	Wynad
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### Madhya Pradesh

1	Balaghat	2	Barwani	3	Betul	4	Chhattarpur
5	Damoh	6	Dhar	7	Dindori	8	Guna
9	Jhabua	10	Katni	11	Khandwa	12	Mandla
13	Panna	14	Rajgarh	15	Rewa	16	Satna
17	Seoni	18	Shahdol	19	Sheopur	20	Shivpuri
21	Siddhi	22	Tikamgarh	23	Umaria	24	West Nimar

## Backward Regions Grant Fund - List of Districts (contd.)

### Maharashtra

1	Ahmednagar	2	Amravati	3	Aurangabad	4	Bhandara
5	Chandrapur	6	Dhule	7	Gadchiroli	8	Gondia
9	Hingoli	10	Nanded	11	Nandurbar	12	Yavatmal

### Manipur

1	Chandel	2	Churchandrapur	3	Tamenlong
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### Meghalaya

1	Ri Bhoi	2	South Garo Hills	3	West Garo Hills
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### Mizoram

1	Lawngtlai	2	Siaha
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### Nagaland

1	Mon	2	Tuensang	3	Workha
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### Orissa

1	Bolangir	2	Boudh	3	Debagarh	4	Dhenkanal
5	Gajapati	6	Ganjam	7	Jharsuguda	8	Kalahandi
9	Keonjhar	10	Koraput	11	Malkangiri	12	Mayurbhanj
13	Nabrangpur	14	Nuapada	15	Phulbani	16	Rayagada
17	Sambalpur	18	Sonapur	19	Sundargarh		

### Punjab

1	Hoshiarpur
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### Rajasthan

1	Banswara	2	Barmer	3	Chittaurgarh	4	Dungarpur
5	Jaisalmer	6	Jalor	7	Jhalawar	8	Karoli
9	Sawai Madhopur	10	Sirohi	11	Tonk	12	Udaipur

### Sikkim

1	Sikkim North
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### Tamil Nadu

1	Cuddalore	2	Dindigul	3	Nagapattinam	4	Sivagangai
5	Tiruvannamalai	6	Villupuram				

## Backward Regions Grant Fund - List of Districts (contd.)

### Tripura

1	Dhalai
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### Uttar Pradesh

1	Ambedkar Nagar	2	Azamgarh	3	Bahraich	4	Balrampur
5	Banda	6	Barabanki	7	Basti	8	Budaun
9	Chandauli	10	Chitrakoot	11	Etah	12	Farrukhabad
13	Fatehpur	14	Gonda	15	Gorakhpur	16	Hamirpur
17	Hardoi	18	Jalaun	19	Jaunpur	20	Kaushambi
21	Kushinagar	22	Lakhimpur Kheri	23	Lalitpur	24	Maharajganj
25	Mahoba	26	Mirzapur	27	Pratapgarh	28	Raebareli
29	Sant Kabir Nagar	30	Shravasti	31	Siddharthanagar	32	Sitapur
33	Sonebhadra	34	Unnao				

### Uttaranchal

1	Chamoli	2	Champawat	3	Tehri Garhwal
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### West Bengal

1	Bankura	2	Birbhum	3	Dakshin Dinajpur	4	Jalpaiguri
5	Maldah	6	Medinipur East	7	Medinipur West	8	Murshidabad
9	Purulia	10	South 24 Parganas	11	Uttar Dinajpur		

## **Annexe – 2 Guidelines for District Plans in the Eleventh Five Year Plan**

### **Subject : Guidelines for District Plans in the Eleventh Five Year Plan**

#### **I Introduction**

The need for integrated local area plans, based on specific endowments and needs of each area, was stressed from the beginning of planned development in 1950s. However, despite several reports and studies, there were only sporadic efforts and isolated cases of such planning. Development was mostly done through sectoral schemes and programmes of a uniform nature, resulting in limited outcomes and wastage of resources. The constitution 73<sup>rd</sup> and 74<sup>th</sup> Amendments mandated local planning at the village panchayat, intermediate panchayats and district panchayat levels as well as in urban local governments and their consolidation into a District Plan in each district. Though more than fourteen years have gone by since the constitutional mandate was brought into effect, there has been little progress except in very few states.

It has been decided that the ‘district plan process’ should be an integral part of the process of preparation of state’s Eleventh Five Year Plan (2007-2012) and the annual plan 2007-2008. With this in view, the Ministry of Panchayati Raj constituted an Expert Group in 2005, in consultation with the Planning Commission.

The Report of the Expert Group on planning at the grassroots level was presented to government in March 2006. It has been accepted by the Ministry of Panchayati Raj and the Planning Commission and was circulated the States in April-May 2006. Attention is drawn to Chapter 3 of the Report. This circular deals with the further steps to be taken as part of the preparation of the states’ draft Eleventh Five Year Plan/Annual Plan 2007-2008, proposals.

#### **II District Planning:-**

District Planning is the process of preparing an integrated plan for the local government sector in a district taking into account the resources (natural, human and financial) available and covering the sectoral activities and schemes assigned to the district level and below and those implemented through local governments in a state. The document that embodies this statement of resources and their allocation for various purposes is known as the District Plan. It would essentially have three aspects namely:

1. Plan to be prepared by the Rural Local Bodies for the activities assigned to them and the national/state schemes implemented by them with their own resources and those earmarked for these purposes;

2. Plan to be prepared by the Urban Local Bodies for the activities assigned to them and the national/state schemes implemented by them with their own resources and those earmarked for these purposes;

3. Physical integration of the plans of Rural and Urban Local Bodies with the elements of the State Plan that are physically implemented within the geographical confines of the district.

All the three aspects would be considered and consolidated by the District Planning Committee (DPC) into a District Plan. Quite obviously, the District Plan cannot be prepared in isolation, and must take into account and respond to the expected activities of the nongovernment sector of the local economy.

Important among these would be:

1. Plan emerging from activities of people's groups like SHGs, Co-operatives etc.

2. Plan emerging from the financial institutions like the local branch (es) of Commercial Banks (both in the public and the private sector), NABARD, Co-operative Banks and the like.

3. Plans of International Non-Governmental Organizations (INGOs)/NGOS and Bilateral Agencies operating in the District.

4. Plans of other private agents that would either have an impact on the activities of the government or would need the government to respond to those developments insofar as its own areas of functioning/service delivery are concerned.

### **III Steps to be taken at State Level:-**

The State Governments (State Planning Commission/Board/Department) may take urgent steps for the following, **if not already done:-**

1. Complete the assignment of **Activities** to be undertaken by different levels of local governments;

2. Form District Planning Committees (DPC) as envisaged in the constitution, that is, with 80% members being elected from the elected members of the Panchayat and urban local governments in each district and the remaining 20% being nominated by the state governments; preferably with experts.

3. Issue guidelines to the DPC and local governments generally on the lines indicated in Section IV below;

4. Decide on the formula for distribution of local government component of the state plan and indicate the broad order of resources that would be available to

different levels (and therefore to each local government) over the five years/one year (2007-08) from the state plan - this would be sector-wise as well as untied;

5. Indicate the resources that would broadly be available to each local government from central sources through centrally sponsored schemes, special allocations, including those by Finance Commissions, etc;

6. Prepare the draft District Plans and after vetting, present a summary of District Plans, in the format indicated in Section IV, along with State Plan proposals for the Eleventh Five Year Plan/Annual Plan 2007-08.

#### **IV Preparation of District Plan**

In the preparation of the draft district plan, the various steps detailed in Chapter 3 of the Report of the Expert Group on Planning at the Grassroots Level may be generally followed. (Provided as Annexure-I). The present state of development and the resource endowment including capability vary widely across states. It is not necessary to wait for perfection or latest technology to get started with the process. Separate steps may be taken to improve internal capabilities.

The following steps are suggested:

1. The available data may be put together for each local government. The state government agencies, the departments and the district statistical organizations (central and state) should assist them in this. Some of the essential items of data are listed in the suggested form at Annexure-II.

2. Based on the data, a vision document for 10 to 15 years is to be prepared by the district and for each local government based on a participatory assessment. The DPC may hold formal interactions with local governments and other key stakeholders on this and then finalize it. The document should clearly identify the key reasons for backwardness/development shortcomings and address issues impeding development. It will cover:

- Agriculture and allied sectors (as relevant)
- Availability and development of water sources
- Industries - especially traditional, small industries including food processing
- Infrastructure including power
- Drinking water and sanitation
- Literacy, school education
- Health and medical facilities
- Poverty reduction and basic needs
- Gender and children
- Social Justice - SC/ST, Persons with disability etc.

3. To assist the DPC in preparing the vision document (and subsequently to vet the draft plan proposals), a Technical Support Group may be constituted in each district. It may consist of departmental officers (where available) mandated and nominated for the purpose in addition to their duties or retired persons locally available or a local academic institution or established NGO with a proven record - Similarly, technical support as appropriate, may be organized for the urban areas, intermediate panchayats and village panchayats.

4. If undertaken in a campaign mode, the preparation of vision documents can be completed in two months' time.

5. Further, if District is to be the **economic unit** for planning exercise, the scope of **vision document** could be expanded to include areas of comparative advantage of each district (availability of technical institutions, BPO, tourism, agro-industry etc.), which would be the basis for attracting private investment.

6. Based on the vision document/s and following the same participatory process, the needs may be prioritized and goals set for a five-year period for a draft five year plan in the manner indicated below:

**a) The draft plan preparation should start at the Gram Sabha level.**

The Gram Panchayat may finalize its Plan based on priorities emerging from the Gram Sabha and give suggestions for the Intermediate Panchayat. Projects and activities which can be implemented at the Gram Panchayat Level should be included as "Gram Panchayat Plan". Those projects and activities which can be implemented only in **more than one** Gram Panchayat, will be forwarded to the Intermediate Panchayats to be considered for inclusion into the "Intermediate Panchayat Plan". *The Gram Panchayat Plans should also provide an estimate of the community contribution that can be mobilized for the purpose of implementing the development plan.*

b) Based on these suggestions received from Gram Panchayats and its own priorities the Intermediate Panchayat should finalize its Plan. Projects and activities which can be implemented at the Intermediate Panchayat Level should be included as "Intermediate Panchayat Plan". Those projects and activities which need to be implemented in **more than one** intermediate Panchayat will be forwarded to the District Panchayat to be considered for inclusion into the "District Panchayat Plan".

c) Based on the Gram Panchayat Plans, the Intermediate Panchayat Plans and District Panchayat Plans, the District Planning Committee shall finalize the District Plan for the District.

d) A similar exercise may be undertaken in Urban Local Governments. Each local government may be asked to give separate suggestions for inclusion in the Departmental components of the District Plan.

7. The time limit for different steps, in para 6 above, needs to be indicated. Similarly, time frame for integrating District Plans with State Plans also needs to be indicated in view of limited time available for the beginning of Eleventh Five Year Plan.

8. The draft plan proposals of each local government should be in accordance with the approved Activity assignment and the centrally sponsored flag-ship and related programmes (as and where applicable).

9. The draft plan proposals will cover the sectors mentioned in (2) above and will indicate the expected outcomes in terms of production, employment, infrastructure and human development.

10. While preparing the draft plan in accordance with (6), (7), (8) and (9) above, the concerned local government will take into account the district component of the departmental plans as also the Centrally Sponsored Schemes and the Externally Aided Projects that have been assigned to it for implementation. In addition, the physical integration of the District Plan with the elements of the State Plan that are being implemented in the geographical area of the district would need to be given close attention. The resources and outlays in respect of these items of State Plan located in the district (but not implemented through the local bodies) would not, however, be included in the Plan Resources and outlays of the Local Bodies.

11. The local government component of the District Plan would emerge out of the resource envelope containing the following sources of funds:-

- a. Own resources available for development
- b. Transfers by State Finance Commission for development purposes
- c. Twelfth Finance Commission grants passed on by the State Government.
- d. Untied grants for local planning.
- e. Grants in respect of Centrally Sponsored Schemes that have been assigned to the local bodies for the purposes of implementation.
- f. Grants for State Plan schemes assigned for implementation through Local Governments.

g. Grants for Externally supported schemes assigned for implementation through Local Governments.

h. Estimated contribution by the communities themselves.

12. The DPC will consolidate the two streams - the Panchayat plans and the urban area plans, integrate them with the departmental plans for the district and prepare the draft five year plan and the Annual Plan.

13. The State Planning Commission/Board/Department may issue the above as guidelines and suggest the broad structure of the district plan document and the forms to be annexed to the document.


#### **V Presentation as part of State's Eleventh Plan Proposals:**

1. A summary of the District Plans will have to be presented as part of the State's Eleventh Five Year and Annual (2007-08) Plan proposals.

2. For this purpose, a Note on the present status of empowerment of local governments and the procedures adopted in getting local draft plans prepared by all levels of local governments will be attached to the plan proposals.

3. Summary statements will be presented in the attached Annexure-III formats in addition to the forms usually adopted for State Plan Proposals. (The forms refer to Annual Plan could be the same for five year plan).

4. The sum total of the outlay on District Plans in a state may be around 40 percent of the gross state plan outlay..

  
(Avtar Singh Sahota)  
Director (SP-Coord.)  
25.08.2006

#### **Planning Secretaries of States/UT**

Copy to :

1. Principal Advisers/Advisers/ Heads of Divisions in Planning Commission.
2. PS to Deputy Chairman / Members / Member-Secretary

Copy also to :

1. Secretary, Ministry of Panchayati Raj, Krishi Bhavan, New Delhi.

. 'Gross' Plan outlay includes central share of centrally sponsored schemes. It is, thus, State Plan Outlay + Central Share of CSSs.

## **Formulation of District and Sub-District Plans at all Levels of Panchayats**

**3.1** The object of district planning is to arrive at an integrated, participatory coordinated idea of development of a local area. An essential step in this direction is to ensure that each Panchayat at any level or Municipality is treated as a planning unit and the ‘district plan’ is built up through consolidation and integration of these plans as well as by considering the development of the district as a whole. It is a two-way interactive exercise, the district being viewed as a convenient local area.

**3.2** As now practised, the concept of district planning is considerably diluted by the fact that most department schemes envisage in their guidelines, separate and self-contained ‘planning’ processes. One way of curbing this tendency is to ensure that the word “plan” is used restrictively, to mean only that “plan” that is prepared at the level of each local government. Sectoral planning efforts ought to be termed as “programmes” “. Thus a “Plan” would be a composite whole which consists of several programmes in a mutual interdependent way. In Hindi, this would translate into one ‘yojana’ with several sectoral “karyakrams”. It will emphasize mutual reinforcement of sectoral programmes. It will also ensure that resources are not wasted. Another important aspect is that it would entail a back-and-forth consultation as participants strive to temper and prioritize needs to fit the availability of resources. Lack of structure in this consultative process can delay planning indefinitely; yet too much hierarchy and rigidity can inhibit discussion and end up keeping essential participants out of the exercise. Avenues of consultation have to be open, but without too many steps before plan approval.

**3.3** The Expert Group visualizes the process of decentralized planning as falling into a broad sequence of steps. The sequence of preparing the Eleventh Five year plan from grassroots upwards could be to undertake a decentralized envisioning and stocktaking exercise, followed by a planning exercise at each local body level and then the consolidation and integration exercise. The envisioning process would look at how the main priorities are determined as also the participatory processes that enable all stakeholders to be involved. Issues such as the representative profile of Panchayat elected members are critical here – for instance, the fact that women are represented to more than 40 percent of the seats and SC & ST representation is in excess of the seats reserved for them would all have a huge impact on the visioning process. Indeed, Panchayati Raj represents the most potent means for women to lead governance, both in envisioning and implementation. Next would come the actual processes involved in the planning process at each level of Panchayat. Thirdly, comes the process involved in consolidation and integration of plans by the District Planning Committee. This Chapter deals with the first two steps—decentralized envisioning and planning. Consolidation and integration of plans is dealt with in the next Chapter, along with the functions of the District Planning Committee.

### **3.4 Building a District Vision:**

3.4.1 The early part of the year 2006-07 should be devoted to preparing for each district a vision, through a participative process starting from the grassroots, as to what would be the perspective for development over the next 10 to 15 years. In basic terms, the articulation of a vision is best done in each planning unit, right down to the Gram Panchayat level, stating with respect to each area what the needs and potential are, what the attainable levels are and what the goals to be reached could be. A basic requirement is that the preparation of the vision is not conditioned by schemes and programmes. The vision would be primarily articulated in terms of goals and outcomes and would address basically, three aspects of development, namely, human development indicators, infrastructure development and development in the productive sector. The idea is that the envisioning process, being participative, would build a spirit of teamwork and hopefully break down the departmentwise 'planning' process that is now dominant.

3.4.2 Building a vision for basic human development indicators would essentially cover health, education, women and child welfare, social justice and availability of basic minimum services. Each Panchayat could propose, in its envisioning exercise, that they will achieve the levels specified for each such aspect within a particular period of time. Building a stage by stage approach is not precluded - for instance, in districts that are below the national average in literacy, the first step would be to reach the average level and the next would be to attain the desirable level. Similar envisioning could be undertaken in respect of attainments regarding education, health, water supply and sanitation etc. Special attention has to be given to women and disadvantaged groups so as to enable them to take a lead in planning. The current means for inclusion of women in development planning and implementation as well as in allocation of funds is to offer a special women's component plan to ensure that part of sectoral funding is available and used for women. However, what is needed is that, equality has to be built into the envisioning process as a whole, by ensuring that women have an important role in the design of the entire Panchayat plan, rather than only in the women's component. For example, in surveys involved in the planning process, it needs to be ensured that women's views are especially sought, including through focus group discussions. Women community leadership will need to be identified and included in committees that may be formed under various sectors, to ensure that women are included in planning for sectors other than social development, such as infrastructure, use of common lands, natural resources and employment. In ensuring meaningful participation of traditionally muted and excluded groups like dalits and women in the envisioning exercise, there is need for special capacity building for them. Networks of elected women members ought to be encouraged so that they can exert collective pressure as well as throw up leadership for a meaningful development of village and district plans with women's views embedded in them. Capacity building programmes ought to ensure women's empowerment as a cross cutting theme so that women's empowerment is understood by others and development priorities identified by women are respected. These processes can become part of the participatory exercises in building the district vision.

3.4.3 With respect to the vision for infrastructure, the targets aimed under Bharat Nirman could be adopted in the manner as applicable for each district. The vision for the productive sector would consider what is the potential of the district and what can be reached within the plan period, considering the natural and human resources available in the district. There ought to be a close look at all aspects of natural resources use such as food and agricultural production, land and its improvement, irrigation and attainment of water security etc. The vision should also cover the possible local response to the changes taking place as a result of national, state and private development efforts.

3.4.4 There are several districts in the country where the basic targets concerning human development indicators have been already achieved. In such districts, the concentration could be on the next level of envisioning, basically in infrastructure and economic development, modernization of traditional industry and technical development of peoples' skills.

### **3.5 Evolution of the District Vision through discussion in Panchayats and other local bodies:**

3.5.1 It is essential that the district vision is owned by all. This will require a high degree of participation in the preparation of the vision. The Ward and Gram Sabhas will have to be involved fully in the preparation of the district vision. One of the processes that is suggested in the exercise for planning, namely, undertaking participative citizen surveys is itself a good way of starting the process, through giving every citizen surveyed an opportunity to voice his or her needs and vision.

3.5.2 The district vision document should be given wide publicity. There are several means by which DPCs could ensure wide dissemination of the vision, one of them being to progressively cover all Intermediate Panchayats and Gram Panchayats on a block wise basis through a series of workshops for all Panchayat leaders for creating awareness. Copies and brief abstract of the same should also be made available to the people as a priced publication.

### **3.6 Undertaking a parallel stock taking exercise:**

3.6.1 Paralleling the envisioning process, a stock-taking exercise would need to be undertaken, comprising both an assessment of the human condition in the District, as also the availability of natural, social and financial resources and infrastructure. For doing this, data pertaining to these aspects of development already existing in different forms would need to be compiled, assessed and described in a simple fashion. Using a common manner of describing and displaying the results of stock taking would be useful. This Group has elsewhere made suggestions concerning the work of preparing and maintaining databases for planning. The data base prepared would be an invaluable resource for the stocktaking exercise. In this connection, the concept of using development radars<sup>1</sup>, already used by the Planning Commission for preparing the National Human Development Report-2001, merits wider adoption. Development Radars are a pictorial depiction of the performance of a unit of planning in respect of various sectors such as health, education, poverty

alleviation, drinking water, housing etc. These can be redrawn over a time sequence and the difference in attainment measured. Apart from aiding stocktaking and envisioning, DRs could even be used as a report card that can measure progress on the development parameters that comprise it. With the strides being made in electronic data compilation, if a listing of Panchayats with the constituent revenue villages is made available by States, development radars can be prepared for Gram Panchayats too. We strongly recommend that the preparation of Developmental Radars be taken up, on priority, as part of the stock taking exercise.

### **3.6.2 Developing HDR reports for States and Districts:**

Several States have prepared HDR reports, which have become the basis for the development planning exercise in them. It is suggested that HDR reports be prepared district wise, so that there is a common framework within which the envisioning exercise takes place in each district.

### **3.6.3 Other aspects of the Stock taking exercise would be as follows:**

- Determination of cumulative physical and financial achievement regarding the availability of government provided services, from data available with implementing officers,
- Verification of physical assets, both community and individual assets, undertaken at each Panchayat level,
- Determination of works spilling over from the earlier plan and the funds required for the completion of the same,
- In many areas of service delivery, the private sector has supplemented insufficient government provision and the stocktaking exercise has to take into account the extent of such supplementation.
- The credit plans of the district can be used as a starting point for taking stock of the resources that are available through credit for planning. This will need to be supplemented by taking stock of the growth of the self-help movement and microfinance.

### **3.6.4 Taking stock of the own revenue raising capability of Panchayats:**

Raising of local revenues by Panchayats remains neglected in stocktaking, planning and implementation. No serious effort has been made nationwide to implement the recommendations of the Eleventh and Twelfth Finance Commissions in this regard. In several States, while taxes are assigned to local bodies by law, collection is unsupervised and neglected in practice. Experience suggests that given encouragement and with adequate capacity building, panchayats are capable and enthusiastic about collection of taxes. There has to be a substantial emphasis in local planning processes to estimate local revenues, entailing categorization of taxable properties, setting of tax rates for different categories, measurement of properties and self-declaration of taxes. Developing a framework for assessment of own tax and non-tax revenues of Panchayats would be part of the stocktaking exercise. While local variation in legislative provisions relating to taxation may exist, it is useful to look at the policies and practices of States that have undertaken successful reform of taxation at the Panchayat level.

† From the work undertaken by Dr. N.C. Saxena and Jayanthi Ravi.

### **3.7 Intimating available order of resources for planning at local levels:**

It is necessary that an exercise is done to make known the resources that will be available for planning at all levels. Even if a complete indication of funds available is not possible, an indication of the order of resources that will be available from different sources such as CSSs, externally assisted schemes, if any, and state plan funds is possible. Details of funds flowing from bilateral projects and MP and MLA Local Area Development programmes should also be given so that an overall picture of resources is available and could be made public. Untied funds for local plans could be added wherever they are available. As regards the broad time frame within which these processes need to be undertaken, it is suggested that during 2006-07 itself it should be possible to indicate with reasonable precision the resources that will be available for planning at each level of Panchayat. Since the process will take a year to be completed, intimation need to go out from the Planning Commission and the State Governments early in 2006-07.

### **3.8 Some States, such as Kerala have issued detailed guidelines on local planning, including taking stock, which could be adapted and used by other States.**

**3.8.1** After the envisioning and stock-taking exercise, the DPC will need to determine a strategy for the development of the district as a whole and accordingly provide guidelines to the Panchayat Raj Institutions and Municipalities for formulating their Plans. The objective is to ensure that all DPCs prepare and update at least once in five years synchronous with the Five year plans of the Centre, a five year plan for the development of the district, defining the goals of development in each sector and outlining the strategy to be followed for each sector based on local conditions. Such plans may also be prepared with taluk as a unit for the rural areas and a town/city as the unit for the urban areas.

**3.8.2** The next part of this Chapter looks at the planning process at each level of Panchayat. Keeping in mind that the entire focus is on bottom up planning, the sequence followed is to first outline the process recommended at the Gram Panchayat level followed by higher levels.

### **3.9 Participative planning at the Gram Panchayat level.**

**3.9.1** Given below are suggestions on how the planning process could be taken up at the Gram Panchayat level so as to ensure full peoples' participation.

#### **3.9.2 The Gram and Ward Sabhas**

For proper planning at Gram Panchayat level, Gram Sabhas have to function effectively. Their meetings would have to be representative of all people living in a Gram Panchayat. Several States have devised consultative mechanisms below the Gram Sabha, such as Ward Sabhas and Mahila Sabhas to ensure that every socio economic section is properly represented in the Gram Sabha. Even so, the general picture is that meetings are few and far between and that attendance is low, especially of weaker and disadvantaged sections. The following steps are suggested to be carried out on a campaign mode to ensure good participation in Gram Sabhas and Ward Sabhas:

- Dates for meetings to be determined in advance by the Panchayats,
- Notices to be printed and distributed and adequate awareness created through display of fixed notices in public places particularly about the responsibilities of the Gram and Ward Sabhas in Plan formulation
- Special interest groups such as SHGs etc., to be contacted for attending the Ward and Gram Sabhas,
- Information to be given through NGOs, libraries, schools, anganwadis and cooperatives functioning in the area about Ward and Gram Sabhas,
- Campaigns through National Service Scheme and Nehru Yuvak Kendra (NYK) volunteers, NCC cadets and College students could be undertaken,
- House visits through squad work, particularly mobilized through the Ward member could be arranged.
- The Gram Panchayat nominating two facilitators one male and one female identified unanimously for each Ward Sabha. These facilitators could also be earmarked for special training at the Block/Municipal levels.
- Having a proper structure for the Gram and Ward Sabha with scope to break up into smaller groups for discussion.
- It would be useful to meticulously keep records of the meetings, such as attendance register with details; photographs, etc., where feasible.

### **3.9.3 Participative Citizen surveys.**

Information is a basic tool for planning, but information relevant to each area and its population is rarely available. A citizen survey leading to a data-base for each Gram Panchayat to know more about themselves, developed in a participative manner, is a desirable prerequisite for participatory planning. The process of data collection on citizens could be so dealt with that Gram Panchayats see in it, their own empowerment. This also builds a climate of participation even before the actual planning process starts. A good design of data collection by the Gram Panchayat will result in:

- The Gram Panchayat will own the data it collects,
- A basic framework will be developed and local initiatives and add-ons encouraged,
- Data collection would involve the local elected representatives. Gram Panchayat members or their literate assistants could carry out the surveys,
- Data collection is a process, not an event. Data will be continuously refined,
- Gram Panchayats will begin to act on their findings even before the data is correlated.

### **3.9.4 A natural resources database**

Systems for collecting natural resources data are already available, often GIS supported. Data from an existing GIS system can be transferred into a series of static slides that can be given to the Gram Panchayat on a CD.

### **3.9.5 Taking Stock of Gram Panchayat level resources:**

While the importance of this exercise has been mentioned earlier, at the Gram Panchayat level this exercise would, specifically look at the following points:

- Increasing local resource mobilization through taxes, user charges and contributions.
- Innovative means of financing through cess, BOT, Community contribution and borrowings.
- Other efforts at promoting development through local action without significant outflow of funds from the local government. This could include tapping of funds from local philanthropists, NRIs, the Corporate sector and NGOs.

### **3.9.6 The use of IT in the maintenance of databases**

IT ought to be positioned as a tool that enhances the quality of decision-making at the Gram Panchayat level. Several simple processes, such as giving a standard identity number to the family, could help in linking up one database with another, thus adding greater value to it.

### **3.9.7 Making commitments to the people on good governance:**

A housekeeping plan ought to also be part of the Planning Exercise. Each Panchayat may give details of how it is adequately equipped to handle the workload associated with decentralized planning and implementation. This will also take stock of devolution of adequate functionaries to them for better administration. Some of the priorities under the housekeeping plan would be as follows:

- Updating of records,
- Completion of Asset Register,
- Prescribing performance standards for institutions and officers,
- Steps to reduce waste and leakages,
- How procurement would be undertaken for the implementation of the plan,
- Other measures to improve the performance of obligatory functions mandated by law.

### **3.9.8 Matching of resources to the plan:**

Ideally speaking, each gram panchayat should be free to allocate resources in accordance with the assessed needs. However, at this stage of our development, the local planning exercise has to take into account the diversity of sources of funds. The attempts should be to put them to best possible use. Therefore, once the order of resources for the plan are known, it is best to place them into a matrix that is divided into three categories, namely, purely untied funds, partly untied funds (where there is some flexibility in use) and tied funds. Such a matrix would give each Panchayat an idea of how it can slot its priorities into the conditionalities associated with funding. This would ensure that funds, which are inescapably tied should be first used and then untied funds are applied. Once needs are assessed at the Panchayat level, a process of linking each need to the source of funding can be adopted, through the steps detailed below:

#### **• Step 1: Classifying each need into a matrix.**

Discussions with people would throw up several needs, such as housing, sending children to schools, nutrition, roads, health care etc. Each of these will need to be classified under broad headings irrespective of the source of funds.

- **Step 2: Assigning specific purpose grants:**

Having classified the needs, the next step would be to identify the specific purpose grants that address such needs and match these resources to each need.

- **Step 3: Assigning part-untied funds:**

Part-untied funds are available for certain purposes and allow for a certain measure of convergence with other schemes. Examples are SGRY and funds from award of Central and State Finance Commission. These funds can be used for gap filling within limits.

- **Step 4: Assigning fully untied funds:**

The final step is the placement of fully untied funds. These are typically own sources of revenue, general or untied State Plan Grants, SFC grants. In this connection, it would also be very useful to consider the assignment of non-monetary contributions, such as voluntary labour, as fully or partly untied resources.

### **3.9.9 The adaptability to change of a Plan**

Several factors may call for a change in the Plan. One is the possible impact of general development and technological change on a given area and the need to adjust, respond and make use of the opportunity. There could also be a natural calamity, which may necessitate leaving incomplete plans aside and concentrating on immediate relief and rehabilitation. Currently there is no formally designed mechanism that integrates a calamity relief operation, even in a slow acting calamity such as a drought, with the existing Panchayat plan. This leads to duplication of work and irregularities. Systems will have to be put in place for a calamity relief plans to act in concert with a local plan. There will also be a need for frequent monitoring of calamity relief programmes, including through an appropriate social audit mechanism too.

### **3.9.10 Sequencing and processes of planning at the Gram Panchayat level**

The planning exercise ought to lead to a five-year plan for the period corresponding with the national plan period, and annual plans that define and prioritise areas and schemes from such a plan. The longer-term plans would capture the overall picture of the Panchayat and allow people to understand what planning and governmental funding could hold out for them. Once a five-year plan is prepared, the annual plan can be drawn out from it. Considering the size and availability of personnel of gram panchayats, it is obvious that they would need assistance and help in the preparation of projects and schemes, but the decision should be that of the gram sabha. Development Meets/Workshops at gram sabha level would be necessary leading to the emergence of a draft plan, with schemes and projects listed in priority.

### **3.10 General format of a Gram Panchayat level plan**

A basic point to be stressed is that everybody should be able to understand the plan, more so the people of the village and the Gram Panchayat members. The Gram Panchayat level plan could follow a broad and simple pattern. Drawn from best practices, given below is a possible framework:

- The Vision
- Citizens' Profile
- Natural Resources & Infrastructure Profile
- The Financial Resources Profile
- The Anti Poverty Programme
- The Gender Justice Programme
- The Special Component and Tribal Programmes
- Programmes for Social Security
- Implementation
- Monitoring and Evaluation

### **3.11 The planning process at the Intermediate Panchayat:**

3.11.1 The process and format of the Intermediate Panchayat plan will be largely the same as that suggested for the Gram Panchayats. However, the actual components would be dependent on the Activity Mapping for the Block Panchayat and the vision envisaged by the Intermediate panchayat. An important role of this level of panchayat is to act as a facilitator in the various steps of planning at the gram panchayat level. The tasks of the Intermediate Panchayat as regards planning would be:

- Prepare five year and annual plans in accordance with activity mapping and covering inter village-panchayat issues, through a participatory process following the steps listed in the case of gram panchayats (as appropriate).
- Maintain multidisciplinary technical teams (which could include NGOs) for assisting Gram Panchayats in planning and implementation. This would especially synergize inter-tier coordination for watershed development and Rural Business Hub initiatives. There is urgent need to equip each Intermediate Panchayat with a planning support unit.
- Maintain and manage multi-panchayat cadres, such as teachers, engineers, watershed managers, social forestry supervisors, anganwadi supervisors, and intermediate level health supervisory workers.
- Feedback from Gram Panchayats regarding works outside their purview, such as inter-village road formation and multi panchayat irrigation structures could be included in Intermediate Panchayat Plans.

### **3.12 The Planning Process at the District level:**

3.12.1 In Chapter 4, we deal at length with the composition and functions of the constitutionally mandated District Planning Committees. Their task would include assistance in planning to different levels of panchayats as well as the integration of their draft plans.

**3.12.2** As regards district Panchayats, the role would be one of preparing plans in accordance with activity mapping and overall coordination in planning, providing capacity building and technical support, to lower levels of panchayats. Quite often, districts are themselves highly uneven in development. The District Panchayat has the responsibility to provide for equitable development of backward regions within the district. This could be done through guidelines as well as differential allocation of resources to low levels of panchayats under special component plans and programmes in the earmarked fund. The district level, in preparing its plans will particularly need to take into account gender issues, tribal sub-plans and Special Component Plans for the development of SCs.

**3.12.3** It is essential that the District Panchayat plan also looks into several issues that may lie outside activity mapping, but are critical to the overall development of the district as a whole. While all of them cannot obviously be tackled at the district level, the plan could cover measures that would help to promote them. We indicate below some of these issues that need to be addressed in the District Panchayat plan. These are particularly relevant to the district plans in the 200 backward districts where poverty is chronic.

**3.12.4 Agricultural Land related issues:**

Several land related regulatory issues often lie at the root of continuing and chronic poverty. These include backlogs in land survey, confirmation of grant of title to those who do not have title, identification of land alienated illegally, restoration of alienated land so identified through Gram Sabhas under powers vested in them under Provision of Panchayat (Extension to the Scheduled Area) Act 1996 (PESA) and in an analogous manner in non-Scheduled Areas and recognition of Community control over traditional Jhum/Podu areas and promotion of programmes of tree culture and husbandry, as a step towards self-sufficient and sustainable use of resources.

**3.12.5 Forest land Related Issues**

These would include completing the process of conversion of forest villages into revenue villages and settlement of other old habitations, regularisation of pre-1980 occupations and resolution of other disputed claims over forest land in terms of Government of India directions, livelihood rehabilitation of those whose occupation cannot be regularized, identification of all occupied lands and preparation of maps authenticated by the Gram Sabha concerned, the Forest Department and the Revenue Department.

**3.12.6 Credit and Usury related issues:**

These would include the following initiatives:

- assessing the debt liabilities of members of the Scheduled Castes and Scheduled Tribes and other weaker sections,
- revival and restructuring of the Large Area Multi-purpose Cooperative Societies (LAMPS) and Primary Agricultural Cooperative Societies (PACS) with the specific targets of providing all credit needs of the Scheduled Castes and Scheduled Tribes and weaker sections,

- providing special arrangements for provision of long-term loans for purchase of long-term loans for purchase of land by asset less poor and resource less families, who are dependent upon agriculture for their livelihoods.
- Providing effective support price operation for all items of agriculture and minor forest produce.
- Strengthening of the public distribution system, through a system of buffer stock within a village from out of local produce, supplementing the same from outside, to the extent of deficiency.

### **3.12.6 Livelihood Issues**

These would, in particular, deal with steps for effective implementation of the National Employment Guarantee Act, through assistance to the panchayats in the preparation of appropriate shelf of works for each area.

### **3.12.7 Primary Health Care and Nutrition Issues:**

These would include the following:

- Discontinuing commercial vending of liquor and other intoxicants in terms of the excise policy for tribal areas and institutionalize control of the Gram Sabha over the preparation and use of traditional drinks.
- Ensure functioning of health facilities as per national norms,
- Ensure that all sanctioned posts are mandatorily filled in by trained professionals/ para professionals, if necessary through local recruitment,
- Ensure universal full immunization of all children, guaranteed safe deliveries through accredited health provides/skilled birth attendants and management/treatment of communicable diseases together with supply of essential drugs, up to health Sub Center level,
- Establish an identifiable and effective nutrition chain for all pregnant women and nursing mothers in rural areas all mal-nourished children and for all children studying in schools.

**3.12.8 Reinforcing Administration and Planning** through delegation of powers, setting up an effective grievance redressal system, and creation of necessary infrastructure, service conditions, and facilities for all personnel working in these areas would also need to be specifically addressed in the District Plan. The plan for provisioning of larger infrastructure would also be part of the Plan. The thrust areas of Bharat Nirman, such as connectivity of roads, and electrification of all villages and habitations together with electrification of all unelectrified below poverty line households could also be addressed in the District Plan through supplementation of plans of lower levels as well as through attention to interpanchayat issues.

**3.13** There is need to ensure close collaboration between levels of Panchayats, without converting the relationship into either a hierarchical or an effort-duplicating one. The principle of financial subsidiarity will need to be followed, by which even if a higher level of Panchayat, such as a District or Intermediate Panchayat sanctions a work of a value less than a prescribed floor limit, it transfers the money allocated for that work to the Gram Panchayat concerned for implementation. This will lead to a clear understanding and

separation of who implements what, regardless of who sanctions it. In addition, just as district and intermediate levels of Panchayats would be mandated to delegate implementation of schemes below a certain outlay ceiling to the level below, it ought also be open to lower levels of Panchayats to recommend to the immediate higher level such schemes that ought to be undertaken at the higher level. In addition, there is a need to enable clustering of Gram Panchayats for the purpose of building a sufficient scale for efficient planning. This is particularly relevant for States that have a large number of very small and spread out Village Panchayats. Thus an enabling mechanism could be provided that allows Panchayats, either at the three levels or amongst the same level, to form collaborative arrangements with each other. This could be through a system of contracts and MOUs concerning the assignment of functions in planning to each level.

**3.14** Some of the ground rules for planning at the intermediate level would include mandating prior consultation with Gram Panchayats. It is suggested that Intermediate and District Panchayats ought to hold meetings of all elected local government members of the levels of Panchayat within its jurisdiction and carry out a detailed consultation exercise. In the case of District Panchayats a meeting of all Village Panchayat Presidents along with all elected members of the District and Block Panchayats may be held, in order to ensure a structured consultation. West Bengal has developed a system, which may be considered for adoption with suitable modifications. Though an amendment to the Panchayati Raj Act in 2003, each Intermediate Panchayat is to have a Block Sansad, consisting of all members of the Gram Panchayats pertaining to the Block and all members of that Panchayat Samiti. One half-yearly and one annual meeting of the Block Sansad are held every year. A 10 percent quorum is fixed. The Block Sansad has powers to guide and advise the Panchayat Samiti for all matters relating to development including preparation of annual plans and budget and implementation of development programmes for economic development and ensuring social justice. The deliberations, recommendations and observations passed in the meeting of the Block Sansad shall be considered in the meeting of the Panchayat Samiti within one month from the meeting of the Block Sansad. A similar system for District Panchayats is through the Zilla Sansad, which is comprised of Pradhans of all Gram Panchayats in the district, Sabhapatis (Presidents), Sahakari Sabhapatis (Vice Presidents) and Karmadhyakshas (Standing Committee Chairpersons) of all Panchayat Samitis and all members of the Zilla Parishad.

**3.15** At the District and Intermediate Panchayat level, it is also essential that there is detailed consultation with other key stakeholders such as farmers, traders, industrialists, the labour, the poor and the academics and professionals, through well publicized consultations.

**3.16 Time Table for Plan Finalisation:**

It is suggested that a time-table be followed by States starting from 2006-07 to prepare for and draw up the Eleventh Five Year Plan. The following schedule is suggested for completing various phases in the Planning process. The dates are suggestive and States may make changes within the over-all time frame in accordance with local needs. The object should be that by the beginning of the Eleventh plan, a district vision document,

draft Five Year Plan for 2007- 12 as also an annual plan for 2007-08 would be ready for implementation.

Sl.No.	Activity	Activity to be completed (Period or by the Date)
1	State Level Workshop for all Chairpersons, vice-chairpersons and member convenors of all DPCs.	May, 2006
2	First meeting of District Planning Committee to discuss the guidelines and constituting Sectoral Sub Committees for preparation of District Vision and perspective plan	June, 2006
3	Formulation of District Vision	By July 2006
4	Approval of District Vision by DPC and sending the same to all LB's	July, 200
5	District Level Workshops	August, 2006
6	Block Level Workshop	August, 2006
7	Meeting of Local Bodies to discuss the guidelines and constituting Working Groups	September, 2006.
8	Formulation of Local Bodies Vision	September, 2006
9	Approval in the General Body meeting of LBs	October, 2006
10	Conducting Grama Sabha/Ward Sabha	October, November 2006
11	Development Seminars	November, December 2006
12	Preparation of Final Local Bodies' Five Year Plans by Working Groups	January, 2007
13	Consolidation of Final Local Bodies' Five Year Plans	January, 2007
14	Submission of Local Bodies Five Year Plans to DPC	January, 2007
15	Discussion with representatives of Local Bodies and approval by DPCs	February, 2007
16	Approval by DPCs	March, 2007
17	Bringing out Development perspective of the District and Local Bodies' Five Year Plans and Annual Plan 2007-08.	March, 2007

<sup>1</sup> The only state that now has a system of detailed Gram Panchayat level plans is Kerala, where the plan follows a broad pattern of first stating out the human development condition, the resources available and then chapters relating the action points pertaining to each department.

## Main Items of Data for District Plan Proposals (Indicative)

Sl.No.	Indicators	Possible Data Sources
<b>General Indicators</b>		
1	Population by sex, general and SC by sex, age and by social group	Census, 2001
2	No. of Gram Panchayat, no. of elected representative, by sex and by Social Group. Year of last election	Panchayat Dept.
3	Natural endowments in the Block (resource mapping) and water sources	Panchayat Dept., Forestry, Water resources
4	% of population affected by natural calamities, by type, (last 5 years)	Panchayat Dept
<b>Educational attainments</b>		
1	Literacy levels of people by social groups and by sex	Census 2001
2	Enrolment rate, drop out rate, by sex	DISE, NIEPA
3	Teacher-pupil Ratio % of trained teachers, Primary/Seco. Higher Sec.	DISE, NIEPA
4	Number of schools, Primary, Secondary and Higher Secon.	DISE, NIEPA
5	Number of Arts and Science colleges, Engineering Colleges, Medical Colleges, ITI's etc., vocational institutes, etc.	Education Dept.
6	Access to School, (by distance, within the village, upto 2 km, 2-5 km, beyond 5 km)	Education Dept.
<b>Health attainments</b>		
1	Birth rate, death rate and infant mortality rate	Civil Registration Scheme /District Statistics Unit
2	Age distribution of people by sex	Census 2001
3	Population covered by PHC/Sub Centre in the Block	Health Department
4	Population covered by ICDS	Women and Child Dept.
5	Number of Health workers, ANM's ICDS workers	Health Dept./Women and Child Development Department
6	Average no.of Doctors, and paramedical staff per PHC/Sub Centre	Health Department
7	Number of Govt. Hospitals/Private hospitals, Clinics, etc.	Health Department
8	Number of posts sanctioned (PHC/Sub Centre, ICDS) and no. of posts filled	Health Department

<b>Income and Poverty Indicators</b>		
<b>1</b>	Number of families below poverty line as per BPL census (2002) line, by social group as per BPL Census (2002)	RD Department
<b>2</b>	Poverty profile - no. of households without pucca house, frequency distribution of hh by land possessed, occupation, education standard, indebtedness, ownership, etc., as per BPL coding BPL Census coding	RD and Panchayat department
<b>3</b>	Estimated number of working children (Child labour)	RD/Panchayat, Labour Department
<b>4</b>	Major crops grown, area under crops and average yield rate of major crops or crops, area irrigated/unirrigated	Agriculture Dept./ TRS/LUS statistics and General Crop Estimation Surveys
<b>5</b>	Number of enterprises as per Economic Census (98/2005), no. of workers, list of any major Census 1998/2005 by category of NIC, no. of workers	Economic Census/DIC data base
<b>6</b>	Number of employed, no. of unemployed, educated employed by sex and educated unemployed by sex	Panchayts/RD/Labour Dept.
<b>7</b>	Number of landless labour, agriculture labour and other labour by sex	Panchayat/RD/Labour Dept.
<b>8</b>	Per capita consumer expenditure of people below poverty line	RD/Panchayts Dept (BPL Census)
<b>9</b>	Wage rate for skilled/unskilled labour	Labour Dept./Labour Bureau
<b>10</b>	Food security - items supplied through PDS, PDS price vis-à-vis market price for items, quality of items supplied as per consumers assessment	Food and Civil Supplied Dept.
<b>Infrastructure and other facilities</b>		
<b>1</b>	Whether all villages are connected by Pucca road with Block hq., if not by kutchra road/semi pucca road	RD/Planning Dept./Panchayat
<b>2</b>	District to nearest Town, Railway Station, Bus stand, Police Station if not located within the block	RD/Planning Dept.
<b>3</b>	Percentage of villages not electrified	Panchayat/Planning Departments, Electricity Board
<b>4</b>	Distance from nearest agricultural marketing centres	Panchayat Department

5	Number of commercial banks, banks/rural RRBs, Cooperative banks	Agriculture Department/RD Dept.
6	Existence of money lenders (Yes/No)	RD Dept./Agriculture Dept
<b>Agriculture and related sectors</b>		
1	Principal items as applicable in each case	RD Dept./Agriculture Dept
<b>Industry – Traditional/Small</b>		
1	Principal items as applicable in each case	Industries Dept

*Note: In addition to the departments mentioned, the district statistical units state and central - and the State Planning Commission/Board/ Department will also be able to help in compiling relevant data.*

**Annexure-III**

1. Separate GN statements to be prepared giving sector-wise outlays for Urban and Rural Local Bodies.

**Rural Local Bodies Plan**

S.No.	Sector	Local Body's Own Plan	Implementing Agency Plan				Total
			State Plan	CSS	EAP	Total	

**Urban Local Bodies Plan**

S.No.	Sector	Local Body's Own Plan	Implementing Agency Plan				Total
			State Plan	CSS	EAP	Total	

**Annexe – 3 NCB Framework**

**National Capability Building Framework for  
Panchayati Raj Elected Representatives and  
Functionaries**

Ministry of Panchayati Raj  
Government of India

## Contents

<b>Chapter 1:</b>	<b>Introduction and Basic Principles underlying the Framework Design</b>
<b>Chapter 2:</b>	<b>Components and logistics of the Framework,</b>
<b>Chapter 3:</b>	<b>Resource persons for implementing the framework.</b>
<b>Chapter 4:</b>	<b>Development of Material for the Framework.</b>
<b>Chapter 5:</b>	<b>Programme management, evaluation, and documentation</b>
<b>Chapter 6:</b>	<b>Estimation of costs of implementing the framework.</b>

# **Chapter 1. Introduction and Basic Principles underlying the Framework Design**

## **I. Introduction:**

**1.1.** The Constitution provides for the devolution of powers and responsibilities to Panchayats including the 29 matters listed in the Eleventh Schedule. Most States have enacted State Panchayati Raj Acts and Rules, in which they have indicated subjects with regard to which functions would be devolved to Panchayats. However, effective devolution has to still be accomplished. The capability of Panchayats to effectively perform the responsibilities entrusted to them needs to be ensured. The absence of training continues to be used as an alibi for non-devolution or dis-empowering Panchayats, despite the well-grounded fact that the exercise of responsibilities is, in itself, the optimal mode of training.

**1.2.** Effective implementation of the provisions of Part IX of the Constitution will require building of the capability of Panchayats encompassing training, provision of adequate functionaries, technical assistance and other support to Panchayats. This National Capability Building Framework (NCBF) is based on the action points of the Seventh Round Table of State Ministers of Panchayati Raj held at Jaipur in December 2004 relating to training and capacity building of Panchayat elected representatives, office bearers, chairpersons of Standing Committees and officials.

**1.3.** The framework aims to break through the deadlock of whether capacity building should precede devolution of functions, funds and functionaries.

### **1.4. Objectives of the National Framework:**

The basic objectives of the NCBF are:

- (a) enabling Panchayat elected representatives to upgrade their knowledge and skills to better perform their responsibilities, such as implementing programmes equitably, enabling them to think in terms of concrete actions they can take or facilitate and equipping them with the skills required for day-to-day performance of executive duties.
- (b) Orienting key officials associated with the devolved functions to (i) better function as technical advisors and trainers and (ii) respect, be more receptive and learn from the ground level experience of elected Panchayat representatives.
- (c) Improving the Gram Sabha functioning, particularly for the poor, to assert their demands through participative planning, monitor plan implementation and to hold their Panchayat to account through invoking Right to Information and social audit.
- (d) sensitising the media, political parties, representatives in the legislatures, civil society organisations and citizens to accepting and promoting Panchayati Raj as an effective level of local government.

### 1.5. Basic principles underlying the Framework:

The Framework is grounded on the following basic principles:

- (a) **First**, implementation of the Framework is an all round continuous and sustained process aimed at long-term transformation and development,
- (b) **Second**, the focus of training under the Framework is not upon information alone, but on inter-learning between trainers and participants.
- (c) **Third**, training cannot provide ready-made answers to all problems, but should provide space and time for trainees to reflect on and analyze their situation and seek solutions to their problems.
- (d) **Fourth**, mutual learning, assimilation and retention happens best in a multimodal and non-hierarchical training environment.
- (e) **Fifth**, All participants bring with them well honed knowledge which must be respected. SCs, STs, and Women. should be given special attention in training.
- (f) **Sixth**, training programmes must ensure participation of all members - not just a talkative and domineering few
- (g) **Seventh**, The training team should be objective and non-judgmental in outlook, and function as facilitators, friends and counselors, who can evoke and stimulate thinking among trainees.
- (h) **Eighth**, The processes and logistics of the framework must be convenient and relevant to the ground reality of elected representatives.
- (i) **Ninth**, the programme must aim at maximum initial coverage within a limited period of time, so that all stakeholders can quickly settle down in to playing their roles and commence their work.
- (j) **Tenth**, training for PESA areas should be designed in keeping with the cultural traditions and special needs of tribal people.
- (k) **Eleventh**, the framework has to constantly develop and evolve on the basis of regular impact assessment.

### 1.6 The Stakeholders:

The Framework is targeted to reach the following:

#### (a) Elected Panchayat Representatives:

These comprise of Ward Members and Territorial Constituency members, Presidents (Sarpanchas, Mukhiyas, Adhyakshas), vice-Presidents (up-Sarpanchas, up-Mukhiyas, Upadhyakshas) and Chairpersons of Standing Committees.

**(b) Officials working with Panchayats,**

The main categories of such officials are as follows:

- (i) Panchayat Secretaries,
- (ii) Junior Engineers,
- (iii) Anganwadi workers,
- (iv) Primary Health Workers,
- (v) Public Health Workers,
- (vi) Panchayats own employees such as bill collectors and clerks,
- (vii) Agricultural Extension Officials,
- (viii) Teachers and Education Administration Workers.

**(c) Pressure groups within the Gram Sabha such as SHGs and CBOs,**

**(d) Elected representatives and officials of higher levels of Government.**

Officials and Elected representatives of Professional cadres such as engineers, doctors and engineers need to be sensitized to become facilitators of Panchayatis. There is also a strong need to sensitise policy makers such as MLAs, MPs, political leaders and media to ensure that they provide a nurturing environment for the growth of Panchayats.

## Chapter 2. Content of the Framework

### 2.1. Introduction:

The training content and phasing of the training programme is detailed in Table 1 below:

Table -1

	Theme	Description of the manner of interaction	Area covered, in brief	Category covered	Duration	Time line for completion
<b>Part I</b>	<b>Building the right mindset for implementation of Panchayati Raj and learning basic functions</b>	<b>Course 1(a):</b> Foundation Course	<b>Overview of Panchayati Raj</b>	Elected Panchayat representatives: about 22 lakh  Panchayati Raj Officials: about 8 lakh	<b>4 days, in toto</b>	Within 20 weeks of election
		<b>Course 1(b):</b> Basic Functional Course	Internal Housekeeping, including understanding of accounts, Social Audit, Right to information, Panchayat revenues	Elected leaders of Panchayats at all levels and Chairpersons of Standing Committees (5 per Panchayat): About 10 lakh: Panchayati Raj Officials; about 5 lakh	<b>4 days</b>	Within 20 weeks of election. (Including foundational course, each office bearer would undergo 8 days of training)
		<b>Course 1(c):</b> Functional Literacy Course	Give those who need to an exposure to functional literacy	Illiterate of semi-literate elected representatives (about 8 lakh people)	One month, or as required, preferably at the village level itself.	<b>6 months</b>

<b>Part II</b>	<b>Basic skill building for planning and implementation</b>	<b>Course II(a):</b> Sectorally focused training programme	Coverage of core functions of Panchayats aimed at improving capacities to deliver services and development programmes,	Elected Panchayat representatives: about 22 lakh Officials associated with Panchayati Raj: about 8 lakh	At least 6 days (2 phases of 3 days each)	Within 40 weeks of election
		<b>Course II(b):</b> Computer Training	Training in basic computer skills and selected software for Panchayat level training	At least 2 persons per Panchayat: about 5 lakh.	At least 6 days, with local handholding from the resource centre	Within 52 weeks.
<b>Part III</b>	<b>Consolidation through interaction and networking</b>	<b>III(a):</b> Gram Sabha level Campaigns	<b>Awareness creation</b>	Gram Sabhas, NGOs, SHGs and CBOs	At least 3 days a week	Coverage of all Gram Panchayats at least once a year
		<b>III(b):</b> Panchayati Raj TV channel and radio programmes		People at large	At least 3 days a week	All-India coverage
		<b>III(c):</b> Panchayati Raj Newsletter		Panchayati Raj members and individual subscribers	Once a month	All Panchayats
		<b>III(d):</b> Formation of networks of Panchayat elected representatives	<b>Experience sharing</b>	Elected Panchayat representatives: about 22 lakh		Within the first year after election
		<b>III(e):</b> Yearly refresher course		Elected Panchayat representatives: about 22 lakh	At least 4 days	Once a year for remaining 4 years
		<b>III(f):</b> Visits to identified 'beacon' Panchayats	<b>On the site training</b>	At least 10 lakh elected leaders of Panchayats	At least one full day each, excluding travel	At least two exposure visits every year
		<b>III(g):</b> Intermediate Panchayat level Resource Centers	Daily assistance to support Panchayat level planning and implementation	Elected Panchayat representatives: about 22 lakh	Every working day	To commence by 20 weeks, when members have finished Part I training
		<b>III(h):</b> Helplines			16 hours a day, every working day	

		III(I): Certificate courses	More intensive and academic study	Interested stakeholders	6 month course	For about 100 persons per State.
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## **2.2. Part I: Description of courses comprising Part 1 of the framework:**

Part I aims to give each participant a basic grounding in Panchayati Raj and skills required to get started. Part I is also the primer for Part II. The details of the courses that comprise Part I are as follows:

### **2.21. Course I(a):**

Basic foundation course; Building the right mindset for implementation of Panchayati Raj:

Course I(a) is aimed at building the right mindset in all concerned on the aims and objectives of implementing Panchayati Raj and its broad spirit. Course I(a) will be designed to enable participants to reflect on and understand the strengths and weaknesses in implementing Panchayati Raj. The overall approach is that through discussion and critical analysis participants gain a sense of optimism and confidence in Panchayats as change agents.

### **2.22 Course I(b): Basic Functional Course; equipping all Panchayat office bearers and officials with basic ‘start-up’ skills:**

This intensive special training is for elected leaders of Panchayats at all levels and Chairpersons of Standing Committees, who can separately attend these courses, apart from the foundational course. The emphasis will be on the nitty gritty of functioning, such as sanctioning of works, signing of bills, maintenance of accounts and other executive level skills necessary for office bearers. The course will also cover the functional and operational aspects of conducting Gram and Ward Sabhas, decentralized planning, reviewing of implementation and preparation and forwarding of utilization certificates.

### **2.23 Course I(c): Functional Literacy Course:**

For those Panchayat members who need it, a functional literacy course shall be undertaken immediately after the elections. locally available literate people can be coopted as resource persons to conduct functional literacy classes for Panchayat members. This can be a focus activity of the Yuva Shakti Abhiyan.

### **2.24 Responsibilities in designing of the detailed curriculum for Part I:**

- (a) The curriculum for Part 1 will cover the constitutional position, State-relevant variations and locally relevant nuances of implementation of Panchayati Raj. The state level curriculum, will particularly concentrating on the features of the State concerned such as the extent of devolution of functions to Panchayats. The district level curriculum may cover the particular characteristics and concerns of the district concerned,

An activity mapping, giving the details of the responsibilities of the Central Government, State governments, District Training Team (including NGOs and CBOs) in preparing the curriculum, in respect of Part I is given in Table 2:

**Table 2:**

Central Government	State Government	District Training Team
<b>Course I(a) &amp; I(b) (Foundation Course and Basic Functional Course)</b>		
<p>a. Preparation of basic material covering the nationally common aspects of Panchayati Raj, namely,</p> <p>(i) Constitutional provisions regarding Panchayati Raj and the current position, particularly with reference to the RT Action points,</p> <p>(ii) Principles of secularism, equality and human rights emanating from the Constitution of India,</p> <p>(iii) General awareness of gender equity and social justice,</p> <p>(iv) Status of human development,</p> <p>(v) Poverty alleviation,</p> <p>(vi) Participatory planning,</p> <p>(vii) implementation and monitoring,</p> <p>(viii) Right to information and transparency and Social Audit.</p> <p>(ix) Importance of regular conduct of Gram Sabha</p> <p>b. Comparative position of States in the implementation of Panchayati Raj</p> <p>c. Basic awareness of the funds that are destined to go to Panchayats from the Government of India,</p>	<p>Salient features of the State Panchayati Raj Act and rules and regulations covering Panchayati Raj,</p> <p>Overview of the status of human development in the State, inter-alia, covering Gender equity and social justice and poverty alleviation,</p> <p>State specific details regarding participatory planning, particularly the broad approach to district level planning and consolidation of plans into the district level plan.</p> <p>Elements of Implementation and monitoring of programmes,</p> <p>Overview of States' approach to right to information, transparency and Social Audit,</p> <p>State specific provisions relating to Panchayat level maintenance of accounts,</p> <p>State specific details of own resource management and</p>	<p>Details of the implementation of Panchayati Raj within the district (such as the number of members, their qualifications, etc.),</p> <p>Answering district specific queries relating to planning and implementation,</p> <p>Overview of sectoral implementation of programmes in the context of the district.</p> <p>Role of Panchayats in promoting equity</p> <p>Micro Planning at the level of each Panchayat, in the building up of the district plan.</p> <p>Techniques of Participatory Rural Appraisal (PRA) exercises.</p>

<p>d. Basic overview of Panchayat level financial management, including maintenance of accounts,</p> <p>e. Awareness of the importance of own revenues of Panchayats and the need to collect them.</p> <p>f. Awareness of the provisions of PESA.</p>	<p>accounting</p> <p>State specific details of relevant rules such as delegation orders, PWD code, rules of countersignature, treasury code etc.</p>	
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**Course I(c): Functional Literacy Course**

<p>Basic materials on literacy, as designed for the National Literacy Mission. Designs etc. prepared by the Nehru Yuvak Kendra</p>	<p>State specific material on literacy</p>	<p>District level materials prepared for the literacy programme.</p>
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**2.25: Training methodologies of Part I and logistics for implementation:**

**2.251.** All trainees for Part I would need to be covered within 6 months at the most (20 weeks for Courses I(a) & I(b) and 26 weeks for Course I(c)). the logistics dictate (a) a mechanism of large scale rollout, such as satellite or distance training (b) intensive local support and facilitation, through face-to-face participatory training. Combining a distance mode, based on common films and presentation alternated with local discussions, interactive sessions and followed by question and answer sessions over satellite is preferred as:

- a. It allows broad standardization of content, at the state specific level,
- b. It allows for wide dissemination and rapid coverage,
- c. Local interaction can adapt the message conveyed over the introductory satellite based session into locally relevant lessons and exercises,
- d. Sharing of problems through the interactive mode builds a feeling of community among participants even though they are not face-to-face.
- e. With satellite training costs are also kept low, as Panchayat members do not have to travel very far to the site of training.

The details are as follows:

### **2.252. Interactive satellite training:**

Interactive Satellite based training uses a dedicated satellite channel (provided by the ISRO) for beaming programmes to specified centers for being viewed by trainees. Each reception centre is also equipped with a talk back facility (either through telephone connection or on the satellite channel itself), which enables trainees to ask questions to resource persons located at the central studio. Replies given by such studio-based resource persons can be heard over the entire network. Satellite transmission, when combined with face-to-face participatory training methodology provides a intermixed programme combining the triggers provided by a central audio-visual programme, with facilitation provided by appropriately oriented resource persons at the local training centers. Large numbers of trainees can be rapidly and effectively covered through this composite approach. Training can also be locally focused according to the group's needs. Sessions can be interesting and retain attention, with inclusion of games, exercises pictures related to day-to-day life of the Panchayats, and elsewhere in related fields, so as to make it more interesting and with a more enduring impact. Keeping in mind these advantages, the Framework aims to cover all States with the infrastructure required for Satellite training, which essentially would comprise of Satellite Studios, reception centers (televisions, satellite dishes, telephones, uninterrupted power supply systems and miscellaneous civil works).

### **2.253. Local Face to face training:**

All basic training for Gram Panchayat elected representatives and officials ought to be held, as far as possible, within the same Block/Intermediate Panchayat area in which the Gram Panchayat is located. Such training could make use of the existing network of Extension Training Centres within the Block, as already provided by government. Local infrastructure such as school buildings or community centers could be used for holding training.

The local face-to-face training would be through resource persons specially oriented for the purpose. In order to ensure complete participation and attention, it is proposed to engage 5 resource persons for every training session. Each classroom session may be limited to 20 participants at a time. Details are given in Chapter 3.

### **2.254. Combining Satellite and Face-to-Face training:**

A suggested pattern of combining distance satellite transmission with local training facilitated by local resource persons is described below in Table 3:

**Table 3:**

<b>Activity</b>	<b>Agency</b>	<b>Responsibilities of authorities concerned</b>
Introduction to the film	Resource Persons at the training centers	Resource Persons at the Training Centres make a brief introductory statement about the film, or conduct an introductory activity without pre-empting what is in the film.

Screening the film	Satellite transmission	The film is screened through the Satellite Centre. Resource Persons at Training Centres ensure that the TV set is switched on 5 minutes before satellite transmission for viewing the film.
General Responses	Resource Persons at the training centers	The first 5-10 minutes after the film is screened is for participants' general responses. Resource Persons at the Training Centre can invite participants to individually identify 3-5 of the most significant statements or scenes from the film and share these in a small group. This can be followed by a plenary, wherein participants would discuss themes identified by them. This provides an opportunity for participants to turn over the film in their minds, to let it sink in and take root.
Facilitated discussion/ activities	Resource Person at the training centers	Each film comes with a training package including a set of topics or activities to be facilitated by resource persons to encourage the participants to go beyond the film and to think of steps they might take in their own circumstances. Resource persons are also given techniques to nudge discussion in certain directions. Games and activities can be taken up to retain interest.
Question Answer session	Satellite transmission	Participants can ask the panelists at the SATCOM studio questions or discuss ideas that may have emerged during the general responses and facilitated discussions. Panelists could also initiate discussion on 2-3 issues.

### 2.255. Training in mixed groups:

With adequate care taken to ensure full participation, training different stakeholders together builds relationships between them in a non-threatening and informal atmosphere and can dispel pre-conceived notions that each have about the other. It is envisaged that both Courses I(a) and I(b) will be of mixed groups of elected representatives and officials. Other mixed groups could also be created for combined training, as follows:

**(a) Second term members and members of beacon Panchayats:**

Panchayat members elected for a second tenure, and those from Panchayats which have a track record of efficient functioning will be identified for this programme. The overall objective of is to enable (a) sharing of experiences and good practices and (b) facilitate networking.. Such training could also include field visits.

**(b) Joint training of GP Sarpanches, and Secretaries:**

GP Sarpanches are usually responsible for (a) passing bills before payments are made, (b) check measuring any public work before the measurement is accepted for payment, (c) accord administrative sanctions for development works (d) ensure proper executive and financial management of the Gram Panchayat and (e) signing cheques jointly with the Secretary for fund withdrawal. Gram Panchayat Secretaries are responsible for (a) proper custody of records and properties, (b) clearing audit objections, (c) preparing and placing budget, (d) supervising the work of the GP staff. Joint training for GP Office bearers and Secretaries will enable them to understand their mutual responsibilities better.

**(c) Members of different levels of Panchayats:**

This programme will put together members of the District, Intermediate and Gram Panchayats, so that they can better understand each others' roles in Panchayati Raj and the need for close coordination. Variations on the same theme could include training of members and Chairpersons of Standing Committees of Panchayats at various levels together.

**(d) Training of staff drawn from different levels:**

This training is to create a sense of team-spirit and belief in the system amongst staff involved in Panchayati Raj. It aims at creating a different work culture and ethic suited to Panchayati Raj. This programme will also provide a forum for exchange and dissemination of good practices facilitated in different districts by individual officers.

**(e) Engineering, Auditing and Accounting staff:**

This is aimed at fostering a better understanding among engineering, accounting and auditing staff of the social, economic and human effects of 'projects'. This training will familiarize participants with the enhanced powers of Panchayats in planning and implementation of various programmes. It will focus on the importance of transparency and certification by the Gram Sabha before measurement is processed for payment. Training will also familiarize participants with the documentation involved in the implementation of works.

**2.3. Part II: Description of courses comprising Part II of the framework:**

**2.31. Course II(a): Sectorally focused training programme:**

**2.311.** Part II focuses on Sectoral Training covering several aspects of programme planning and implementation, with an added emphasis on service delivery. The role of Panchayats as local self-governments central to planning and implementation would be a cross-cutting theme. While all matters listed in the Eleventh Schedule can be ideally included, it is proposed to prioritise major sectors and Centrally Sponsored schemes pertaining to the core functions undertaken by Panchayats. An initial listing of these Schemes and the sectors that could be covered in Part II are given in Table 4 below:

**Table 4:**

Sector		Scheme	Central Ministry/ Department
Elementary Education	1	Sarva Shiksha Abhiyan	Department of Elementary Education
	2	Mid-day Meal Scheme	
Adult Education	3	Total Literacy Campaign	
Public Health	4	Drinking Water Mission	Department of Drinking Water Supply
	5	Total Sanitation Campaign	
Health	6	National Rural Health Mission	Ministry of Health
Child Welfare	7	Integrated Child Development Services	Ministry of HRD, Department of Women and Child Welfare
Poverty Alleviation	8	National Rural Employment Guarantee Scheme (including SGRY)	Ministry of Rural Development
	9	Swarnajayanti Grameen Swarozgar Yojana (SGSY)	
Rural Housing	10	Indira Awas Yojana (IAY)	
Rural Roads	11	Pradhan Mantri Gram Sadak Yojana (PMGSY)	
Rural Electrification	12	Rajiv Gandhi Grameen Vidyutikaran Yojana	Ministry of Power
	13	Remote Village Electrification Programme	Ministry of Non Conventional Energy
Tribal Development	14	Tribal Sub-plan	Ministry of Tribal Welfare
Natural Resource Management	15	Haryali	Ministry of Rural Development
	16	Watershed Schemes of Agriculture Ministry	Ministry of Agriculture
Industry & Rural Business Hubs	17	Various Schemes	Ministry of Food processing
			Ministry of Textiles
			SSI and Agro & Rural Industries
Disaster Management			

Planning, implementation, supervision and monitoring, disclosure and accounting will be explained with reference to service delivery. The need for PRIs to function in concert for efficient implementation of schemes will also be explained.

### 2.312. Curriculum for Course II(a):

Training under Course II(a) is envisaged to be through a series of interactive exercises that guide Panchayats and their staff through the step-by-step modalities of implementation. The core curriculum could be developed in workshop mode, by SIRDs &

NGOs with a proven track record. This would cover the following aspects in respect of each sector or scheme covered, as given in Table 5 below:

**Table 5**

<b>5(a): Planning</b>					
1	Broad overview of scheme guidelines or legislation concerned	2	Preparing a participative plan for the service concerned	3	Prioritising list of projects at Panchayat level
4	Scrutiny of the Panchayat plan and obtaining of approvals	5	Examples of how to converge different programmes	6	Preparation and updating a shelf of works
		7	Consolidation of Panchayat level Plans into the district level plans		

<b>5(b): Implementation</b>					
1	Beneficiary selection	2	Muster roll maintenance	3	Payment of wages

<b>5(c): Supervision and monitoring</b>					
1	Measurement of Work	2	Quality control	3	Certification of work undertaken
		4	Preparation of Annual Reports		

<b>5(d): Disclosure</b>					
1	Meeting obligations under Right to Information	2	Public display of details of works	3	Conduct of social audit
		4	Grievance Redressal		

<b>5(e): Accounting</b>					
1	Overview of Panchayat accounting	2	Maintenance of Statutory registers	3	Management of Panchayat funds
4	Treasury procedures	5	Bank procedures	6	Conduct of audit

### **2.313. Responsibilities in designing of the detailed curriculum for Course II(a):**

An activity mapping, giving the details of the responsibilities of the Central Government, State governments and the District Training Team in preparing the curriculum, in respect of Course II(a) is indicated below in Table 6:

**Table 6:**

<b>Central Government</b>	<b>State Government</b>	<b>District Training Team</b>
Details of important programmes being implemented by Panchayats. obtained from the Central Ministries concerned and summarized into core content for Panchayat members.	State specific priority areas pertaining to the Sector concerned, which need to be addressed by all Panchayats in planning and implementation,	District level nuances, concerning planning and implementation of these sectoral programmes in Panchayats in the district.

### **2.314. Training methodologies of Course II(a) and logistics for implementation:**

#### **Emphasis on engaging District and sub-district line department Staff as resource persons:**

The investments and resource persons in rolling out Part I can also be used for Part II. . However, for sector specific programmes field level line department staff with the right attitude and aptitude can be inducted as trainers for Course II(a), as they have an intimate knowledge of local situations and the grassroot level reality concerning their sector and if properly motivated, they can bring in creative and useful inputs.

Course II(a) training would be led by departmental field staff, already selected into the district training teams. District and sub-district level functionaries shall be entrusted the responsibility of undertaking such hands-on training for members of the Standing Committees in short term courses. Such programmes could be arranged in courses of one day or half day, so as to ensure a balance between regular duties and additional ones of training.

### **2.315. Duration of Course II(a):**

The programme for implementation of Course II(a) can be split into two phases as described below in Table 7:

**Table 7:**

Sl no.	Phase	Duration	Content	Remarks
1	Phase 1	3 days	Crosscutting aspects of sectoral programmes, such as Accounting, fund management, disclosure, social audit etc.	For all participants, as indicated in Table 1
2	Phase 2	3 days	Sector specific and scheme specific training	Participants will be segregated into groups, based on the Standing Committees that they belong to and attend the appropriate sessions

Depending on the scope and ambit of empowerment of Panchayats, States can adopt variations on this basic pattern.

### **2.316. Course II(b): Building ICT Skills:**

Through Course II(b), at least two people per Panchayat will be equipped with computing skills.

### **2.317. Curriculum for Course II(b):**

Training content would be aimed towards awareness generation and skill development in software proposed to be deployed at the Panchayat level. The curriculum for Course II(b) would consist of the operational aspects of the Panchayat Suite and other back end solution software applications from NIC. Special emphasis would be given to familiarization with the National Panchayat Portal (NPP, <http://panchayat.gov.in>). Training for selected persons would include software operation and data entry skills.

### **2.318. Responsibilities in designing of the detailed curriculum for Course II(b):**

An activity mapping, giving the details of the responsibilities of the Central Government, State governments and the District Training Team in preparing the curriculum, in respect of Course II(b) is indicated below in Table 8:

**Table 8:**

<b>Central Government</b>	<b>State Government</b>	<b>District Training Team</b>
NIC to provide software and basic manuals	State specific manuals to be created in association with State Informatics Officers of the NIC.	Local selection of resource persons for training

**2.319. Training methodologies of Course II(b) and logistics for implementation:**

Training for ICT skills is best done in cascade mode. Care may be taken to ensure that sufficient resource persons selected for implementing the framework are skilled in IT. Training of trainers at the State level can be organized in a collaborative manner between the SIRD and the State Information Officer.

**2.4. Part III: Strengthening and consolidation of capability through interaction and networking:**

**2.41.** In each State, the first year after elections would be devoted to the rollout of Part I and Part II of the Framework. However, so as to retain the momentum after Panchayat members and officials go back to work, there is a need for continuous interaction and providing them additional support when they are confronted with issues and decisions at the ground level. Several activities (not necessarily in the nature of courses) together comprise part III of the Framework, as follows:

**2.42. III(a): Campaigns at the Gram Sabha level:**

The training of Panchayat members and Staff shall be complemented by a large scale community mobilization programme aimed at motivating people to improve the functioning of Gram Sabhas. NGOs and CBOs would be involved in a big way both in spreading the message of participation as also in Gram Sabha level interactions such as beneficiary selection, social audit etc. Within the general campaign, there would be particular focus on motivating Self-Help Groups, Groups such as Mahila and Youth Mandals and other activity based groups to participate in Gram Sabhas and act as more assertive pressure groups within it. Such campaigns would also aim at motivating people to serve in various Panchayat Standing Committees and participate more actively in planning and implementation of sectoral programmes.

Campaigns at the Gram Sabha level could also focus on important common concerns of the people and Panchayats, such as alcoholism, literacy, girls' education, domestic violence, dowry, water and soil conservation, organic farming etc. through the performance of kala jatha natak and evocative songs, with the objective of triggering collaboration and common action between Panchayats and the people on a daily basis, instead of only at the time of conduct of the Gram Sabha.

## **2.43. III(b): Panchayati Raj TV Channel**

**2.431. TV Channels** offer the advantage of wide coverage with the lowest possible lead time and therefore fit in well in first efforts at widespread spreading of the message of Panchayati Raj. There are a large number of television channels, both private and State owned, that have wide coverage. While it may not be possible to use them for structured training and capability building, they can be used in campaigns for awareness.

**2.432. Radio:** Dedicated airtime on commercial radio for Panchayati Raj based programmes would be useful in building the general awareness of people regarding Panchayati Raj.

## **2.44. III(c): Formation of networks of Panchayat elected representatives:**

Formation of networks and associations of Panchayat elected representatives so as to facilitate more outspoken demand for genuine devolution and development, exercise vigilance regarding Panchayati Raj, share experiences and access material from each other will be promoted under the Framework. This will be particularly encouraged as envisaged in the Panchayat Mahila Shakti Abhiyan and Panchayat Yuva Shakti Abhiyan. Some of the specific initiatives that will be encouraged as self-learning processes through networking will be as follows:

### **(a) Use of IT:**

### **(b) Community Radio:**

Community Radio is an emerging area that could provide support to small local networks of Panchayati Raj members. As an adjunct to the block level resource centers (described) elsewhere in this framework, community radio would provide the connectivity and continuation of the effects of training.

## **2.45 III(e): Yearly Refresher Course:**

It is proposed to have a once-yearly refresher course for all Panchayat members. This will be undertaken in similar fashion as Course I(a), namely, in satellite assisted face-to-face mode. The overall objective of this training shall be to provide a forum for Panchayat representatives to (a) share their experiences of good practices as well as learn from their failures and (b) network with each other. Each training programme can be of 4 days duration and may be combined with experience sharing and field visits.

## **2.46. III(f) Visits to identified 'beacon' Panchayats:**

Beacon Panchayats can be identified through a transparent and independent process so that the work that they have done can be showcased. Study visits of other Panchayats to these beacon Panchayats can be organized, so as to promote exposure to best practices and replicate models of development and good governance.

## **2.47 III(g): Intermediate Panchayat level Extension and Resource Centers:**

**2.471.** At least one extension centre at the level of each Intermediate Panchayat may be set up, so as to cater to the training requirements of all Panchayats within the

Intermediate Panchayat area. . Each Extension Training Centre would provide a space for training activities, hosting Field Resource Persons and for Panchayat members to conduct mutual consultations and networking. The Satellite training reception facility can be physically located at the Extension Resource Centre. Panchayat members would be facilitated for congregating at these resource centers for smaller level meetings and mutual support.

**2.472.** Each Extension Centre would be staffed with a few resource persons who would provide technical support to the Panchayats, as follows:

- (a) An engineer to technically review Panchayat level infrastructure construction projects and provide support for preparation of estimates, procure tenders and monitor quality,
- (b) an accountant to assist Gram Panchayats to follow prescribed financial guidelines, to provide assistance where needed, and to collate Panchayat accounts at the block level for transfer to the district,
- (c) a social specialist, to assist Panchayats in conducting decentralized participatory processes for planning, mobilize the poorest and vulnerable groups to attend Gram Sabhas and Ward Sabhas.

**2.473.** Running of the resource centers could be organized either through (a) the district or Intermediate Panchayat (b) the SIRD, supported by the district or intermediate Panchayat (c) a collective of the Panchayat members themselves, wherever such networks have been created and are strong (d) an NGO, associated with the Panchayat member network or Panchayat representatives. These arrangements would ensure that the O&M requirements are met through appropriate agreements. Whatever the model adopted, Panchayat members will be fully associated with the governing arrangements for the running of the resource centers.

**2.48. III(h): Helplines:**

Telephone helplines can be set up to provide a speedy channel of clarification and information, to trained persons and link help seekers with providers. Important points concerning setting up telephone helplines are summarized in Table 9 below:

**Table 9:**

<b>Location:</b>	Can be at the State level to start with, but district level would be ideal.
<b>Minimum facilities:</b>	At least one telephone line and one independent fax line is essential for each helpline
<b>Training</b>	Staff should be specially trained to take calls and answer them. They should have pleasing manners, must be helpful and fully conversant with all aspects of Panchayati Raj. The best Field level resource persons could be given helpline duties on a rotation basis.

<b>Timings:</b>	The helpline could be run for 16 hours, every day, in two 8-hour shifts. This is because persons seeking clarifications on phone often wait for STD rates to be low when making calls.
<b>Publicity:</b>	Wide publicity should be given to the helpline telephone numbers in all communications of the government. They should also be widely publicized in the press.
<b>Availability of materials for clarifications:</b>	The State will need to provide all material such as copies of legislations, rules, regulations, activity mapping, orders and circulars to the helpline. All information including those related to Right to Information should be available at the Help lines. The helpline could also provide assistance by way of quick clarification, in preparation of estimates, reference to Schedule of Rates etc.
<b>Faxing of instructions from the Helplines:</b>	It is possible that from Gram Panchayats etc, details would be sought over phones in public STD booths, where there may also be fax availability. Therefore the helpline should be in a position to readily send faxes to those requiring it.
<b>Logging of calls and replies:</b>	Calls to helplines will provide invaluable feedback on the implementation of Panchayati Raj. Therefore, systems for lodging calls will need to be put in. On a daily basis, the gist of calls will need to be recorded in writing in special logbooks for the purpose.
<b>Grievance redressal:</b>	It is quite possible that helplines are also used by people to complain and record their grievances. Arrangments will need to be made to send the complaints received to the authorities concerned for redressal and to provide replies to the persons concerned.
<b>Debriefing:</b>	Wherever a State decides to have more than one helpline, a monthly debriefing of helpline staff may be conducted so as to get information on field activities. This will also provide an opportunity for staff to learn form each others' experiences. The logs can also be registered in a common repository during the debriefing, from where they can be used to prepare replies to frequently asked questions.

#### **2.49 III(i): Formal Certification courses in Panchayati Raj:**

A more formal training system to provide formal certification of courses for training can be set up. Training programmes shall be designed especially for the secretarial and technical staff working with Panchayats through institutions such as IGNOU. Other stakeholders, including interested Panchayat elected representatives will also be assisted to undertake this course. Such training programmes will lead to formal certification on achieving prescribed standards of learning.

## Chapter 3: Resource persons for implementing the framework.

3.1. The predominant mode of rolling out Parts I & II of the framework is through combining satellite and face-to-face training. Cascade training is aimed at creating pools of resource persons at each level, from the National to the Block level, who are a lasting investment in the training chain. Since training is not envisaged as a one time effort, resource persons also cannot be selected on that basis that they will be required intermittently. This pool of resource persons will be created through a three step cascading process, comprising of national Resource Persons, State level Resource Persons and District and sub district level resource persons. In the case of IT training (Course II(b)) it is envisaged that only a two level cascading process will be adopted, namely, of State and District level resource persons.

### 3.2. Details of Resource Persons required for the programme:

#### 3.21. Master Resource Persons:

Master trainers are key role players and should have the right attitude and aptitude for imparting skills concerning key development programmes. Variations in skills required would depend on the content, mode of roll-out and logistics of the programme. The basic qualifications for master trainers would need to be spelt out in advance and they would vary depending on the kind of design.. At the National level and the State level, trainers are expected to train State level master trainers who would come to the training programme carrying significant experience both in training as well as implementation of government schemes. The approach at the National level would encompass communicating both the ethos of Panchayati Raj, as well as the processes involved. This would largely be the approach of State Master Trainers also.

#### 3.22. Resource Persons at the District level:

Most individuals selected as Resource persons at the District levels would also be stakeholders and participants in Panchayati Raj. Trainers may also double up working in resource centers.

#### 3.23. Numbers of Resource persons required:

The kinds of resource persons required for implementation of the programme are given below in Table 10:

Sl no	Category of resource person	Number required	Basis for calculation of numbers required	Broad work chart, including Course concerned	Responsibility of undertaking training
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#### Central level:

1	Satellite training anchors and presenters	96 (100)	At least 4 per State	To anchor State satellite transmissions for Parts I & II of the programme	Ministry of Panchayati Raj to provide basic orientation, through a programme operated at a designated SIRD that is already using the system
2	National	150	Given in	To undertake	State to select persons,

	<b>Resource Persons</b>		Table below	TOTs for State level master trainers, for courses in Parts I & II of the Framework	MoPR to provide basic orientation course through a programme operated at a designated SIRD
	Total	250			

**State level**

1	<b>State level Master Resource Persons</b>	<b>1850</b>	Given in Table below	To undertake TOTs for District level master trainers in Parts I & II of the Framework	State to select and train in programme at SIRDs
2	<b>District level Resource Persons</b>	<b>27500</b>	Given in Table below		State Master Resource persons to undertake training at district level
3	<b>State level Master Resource Persons for IT</b>	<b>100</b>	At least 4 per State	To undertake TOTs for District level resource persons	To be selected by NIC in consultation with State
4	<b>District level Resource Persons</b>	<b>1800</b>	At the rate of 3 per district		State to select and train in consultation with NIC.
	<b>Total</b>	<b>31250</b>			
	<b>Grand total</b>	<b>31500</b>			

The calculations in respect of the requirement of resource persons are detailed below in Table 11:

**Table 11:**

a	No of elected representatives to be trained	<b>2200000</b>	
b	No of persons per batch	<b>20</b>	It is envisaged that training batches will not be larger than 20 persons at a time, so as to ensure meaningful participation of all
c	no of training batches (a/b)	<b>110000</b>	On the basis of 20 persons per batch, more than 110000 batches will require to be trained
d	no of weeks in which each round of training is to be competed	<b>20</b>	It is envisaged that each round of training (whether foundation, sectoral or refresher) should not take more than 20 weeks to complete. In other words, in every State, each round of training will need to be completed in 20 weeks.
e	No of training batches per week (c/d)	<b>5500</b>	If 20 weeks is taken as the basis for completion of training, then each week, 5500 batches will require to be trained.
f	No of field resource persons per batch	<b>5</b>	It is envisaged that for optimum results and interactivity, each batch will need to be assisted by at least 5 resource persons on site. It is envisaged that of these resource persons, at least 3 will be from full time trainers drawn from NGOs, ex-Panchayat or sitting Panchayat members, retired Government officials etc. At least two will be from line departments working at the district and the block levels.
g	Total number of field resource persons required (eXf)	<b>27500</b>	The total requirement of resource persons for Panchayat level training.
h	No. of field resource persons per State master trainer	<b>15</b>	It is envisaged that each State Master Trainer would handle 15 field resource persons
i	No. of state master trainers required (g/h)	<b>1833</b>	
j	No. of national master trainers per state master trainer	<b>15</b>	It is envisaged that National Master Trainer would handle 15 State Master Trainers.
k	No. of national master trainers required (i/j)	<b>122</b>	

### **3.3. Selection of Resource Persons:**

3.31. Effective implementation of the Framework is critically dependent on the quality of Resource Persons at each level. Care will need to be taken to specially identify people with the right mindset, commitment and drive as Resource persons. These could be drawn from Panchayat members themselves (or ex-members), NGOs, or could be

government servants, both serving or retired. The process of selection has three phases as follows:

- (a) a preliminary screening before selection for the orientation course,
- (b) a rigorous orientation course,
- (c) a post orientation evaluation

The details of each step are elaborated below:

### **3.32. Preliminary Screening of candidates before selection for the orientation course:**

Criteria for preliminary identification and screening are as follows:

- (a) Commitment to values of gender and caste equity and secularism and lack of prejudices based on caste, gender or religion
- (b) Experience in Panchayati Raj system may be desirable, but not compulsory,
- (c) Ability to sympathetically communicate, particularly to draw out the withdrawn,
- (d) Ability for multitasking, as Resource Persons will need to be equally at home in face to face trainings, satellite training, operating help-lines and providing online assistance at the field level for Panchayat representatives.

### **3.33. The Induction Course:**

The induction training programmes for selection of master trainers would be a rigorous and well-documented process, concentrating on sensitization of all Master Trainers to the special needs and concerns of Panchayati Raj. This will be a 2 month long course, aimed at testing various skills of participants particularly that of empathizing with the poor and ability to persevere in adverse conditions. It will include a village immersion stage. The induction course will also equip Master trainers with a thorough knowledge of the entire gamut of the management of training processes, including funding and logistics.

### **3.34. Final Screening:**

The induction course would be followed by a final screening that tests both knowledge, commitment and mentoring skills.

### **3.4. Line department staff as trainers:**

Line department staff could be inducted into the training system at all levels, namely, as National or State level Master Resource persons or as Field level Resource

Persons. Of the five resource persons required at each training batch, at least two could be such line department officials. These officials would come into the training system with some amount of prior knowledge and commitment. While ideally such persons should also be put through the induction course of 2 months. In case it is felt that they cannot be spared full-time for training, then they could be put through a shorter induction course (about 2 to 3 weeks) and then join the resource team batch.

Separate honorarium would be paid to such field level staff, who join the Resource persons teams. These will need to be fixed by the State. For the purposes of standardisation of calculation of costs, the costs pertaining to honorarium have been subsumed into the costs of each training course.

### **3.5. Refresher Courses for Resource Persons:**

There would be yearly colloquia for the interaction of Resource persons. Exposure visits for trainers, especially to well performing States in Panchayati Raj, would also be part of the refresher courses for Master Resource Persons.

## **Chapter 4**

### **Development of Training Materials**

#### **4.1. General Principles for guidance in preparation of training materials:**

Training materials should be mostly illustrated. They must always be in the local language, preferably in the local dialect and simple. Local best and innovative practices should be captured in pictorial training materials. Folk resources should be used extensively. For the lower level functionaries the materials should be in question-answer mode. Frequently asked questions, (Dos and don'ts) and a detailed glossary of the frequently used terminologies should be included in training materials. A handbook containing basics of PR system in simple language should be handed over to the PRI functionaries at the time of oath taking.

#### **4.2. Print material**

Training of the magnitude envisaged will require the development of a variety of print material, which ought to be easy on the eye and preferably well illustrated. Print material could be of the following kinds:

- (a) Reference handbooks for Panchayat members, staff and other stakeholders, which is best arranged in the form of answers to frequently asked questions.
- (b) Charts, wall newspapers and posters on various aspects of Panchayati Raj, which can be displayed in Panchayat offices and other public places,
- (c) Newsletters for both circulation among stakeholders as well as the general public.

#### **4.3. Film and Electronic Material**

Some of the points that could underlie the development of film material for training are as follows:

- (a) Format of the films could be workshop discussions, individual interviews and dramatised plays. derived from the experience of elected Panchayat members, discussing and thinking about what they bring out, and considering lessons for one's own gram Panchayats.
- (b) Films need not be pre-scripted and there need not be expert lectures. The films will reflect the *lived* experience of elected gram panchayat members.
- (c) Gender and caste equality would be a cross cutting theme.

Wherever possible, NGOs could be involved in developing the film material.

#### **4.4. Panchayat participation in programme design and management:**

There is a need to encourage Panchayats to develop a sense of ownership of the training programmes and to play a major role in designing content and mechanisms of training. This could start with providing representation for Panchayat members in the Governing Boards and Task forces within training institutions that address their needs. In the first instance, trained members should be encouraged to become resource persons for further training of panchayat representatives. Peer to peer learning, both within and outside the State through regional or national tie ups should be encouraged and supported. However, a more long-term approach would be to ensure that Panchayat member networks take over a large part of the management of training programmes - a kind of self-training system.

## Chapter 5 Programme management, evaluation, and documentation

5.1. Evaluation of training ought to be undertaken by those institutions that do not undertake training. Training institutions should undertake a self-evaluation. The mechanism for monitoring and evaluation of Framework implementation would include both

- (a) Quantitative and measurable outputs, in terms of activities such as numbers of training workshops conducted, attendance obtained, presence and participation of women and SC/ST representatives, use of radio/films, use of satellite training etc. and
- (b) Outcomes, in terms of
  - (i) Quality of facilitation provided to Panchayats, particularly Gram Panchayats, in undertaking their responsibilities,
  - (ii) Attitudinal change or enhancement in the conduct of activities at the Panchayat level and quality of service delivery.

### 5.2. Monitoring of outcomes:

Outcomes would need to be assessed against detailed analysis of qualitative parameters. Some aspects that could be assessed to determine to what extent the potential of Panchayats has been unlocked are as follows:

- (a) How training has enabled more effective community participation, particularly with reference to the conduct of Gram Sabhas, Ward Sabhas and Social Audit,
- (b) How training has affected the functioning of standing committees in the Panchayats,
- (c) How training has catalysed partnering amongst functionaries, Panchayat elected representatives and people,
- (d) Efforts undertaken by Panchayats to practice democratic processes in decision making, both in the Panchayat itself and the Gram Sabha,
- (e) How training has facilitated designing and approving participative plans,
- (f) Taking numerous decisions involved with the implementation process, particularly compliance with Statutory procedures
- (g) Improvement in accountability, in terms of responding and
- (h) Addressing public grievances.
- (i) Participation by Ward Members in GP meetings and in decisions,
- (j) Participation of Gram Sabha members in decision making of the Gram Panchayat.

### 5.3. Training Programme Management:

Programme management shall be decentralized and adapted for local needs. Separate sub-committees to oversee specific aspects of programme management could also be set up, as given in Table 12 below:

**Table 12:**

<b>Name of Committee</b>	<b>Duties</b>
<b>Curriculum Committee</b>	This Committee can be responsible for developing training designs – including the content and process of training. It can also identify core and supplementary reading/ training material for development, production and dissemination.
<b>Monitoring, evaluation and documentation Committee</b>	This Committee would identify indices for monitoring and evaluation. It will also identify appropriate agencies to undertake documentation and evaluation of the various training programmes undertaken
<b>Finance and Accounts Committee</b>	This Committee will monitor utilization of funds released for training. and ensure regular and periodic audit of the funds released. It will ensure timely submission of utilization certificates on training funds, as required.

5.4. At the District level, Peer groups of Panchayat representatives, resource persons and NGO representatives may be involved in the preparation of training, material, design of content, evaluation forms and post training performance of Panchayats.

## Chapter 6

### Estimation of costs of implementing the framework

6.1. Several aspects need to be taken into consideration while preparing the cost estimations for the Capability Building Framework. The costs of implementation of the Framework comprises of Capital and revenue costs. Ideally speaking, capital costs are to be invested during the first year of the implementation. As the training process under the framework will undergo continuous improvement and refinement. While training for the first year would be to give every stakeholder a basic minimum input required to operate the programme, experiences of the first year can substantially modify the training programme for the second year. Modules, training groups and training strategies etc, will change, leading to modifications in cost estimations. Some costs are incurred once in every few years, such as preparation of printed and audio-visual material. They are proposed to be paid for in the first year. For the above reasons, revenue costs would be different for the first year and for subsequent years of training. The details of the components for which the costs are calculated are given in Table 13 below:

**Table 13:**

Capital Costs (to be invested up-front in the first year)	Revenue Costs	
	Items to be covered in first year	Yearly items, from second year onwards
Satellite training facilities	Induction course for Master Resource Persons	Refresher Courses for Resource Persons.
Installation of Computer hardware in Panchayats	<b>I(a):</b> Foundation Course	III(e): Yearly Refresher Course
Intermediate Panchayat level Resource Centers	<b>I(b):</b> Basic Functional Course	<b>III(f):</b> Visits to identified 'beacon' Panchayats
Strengthening of NIRD	<b>I(c):</b> Functional Literacy Course	<b>III(a):</b> Gram Sabha level Campaigns
Strengthening of SIRDs	<b>II(a):</b> Sectorally focused training programme	<b>III(I):</b> Certificate courses
	<b>III(d):</b> Formation of networks of Panchayat elected representatives	Monitoring of outcomes
	<b>II(b):</b> Building ICT Skills	
	<b>Film and Electronic Material</b>	<b>Action research</b>
	<b>Print material</b>	
	Common items from first year onwards	
	<b>III(b):</b> Panchayati Raj TV channel and radio programmes	
	<b>III(c):</b> Panchayati Raj Newsletter	
	<b>III(g):</b> Intermediate Panchayat level Resource Centers	
	<b>III(h):</b> Helplines	
	Training Programme Management	

6.2. The costs in respect of the Capital costs may be worked out in Table 14 below:

**Table 14: Capital Costs**

**Table 14(a-2) Capital costs for satellite training:**

Item	cost per unit (Rs. cr)	no of units	level of unit	total cost
Satellite studio	5		State	
Satellite receiving stations	0.007		One at each Intermediate Panchayat level	
Miscellaneous civil works (electrification, training halls etc.)				
Total				

**Table 14(b): Cost of installation of Computer hardware in Panchayats:**

Item	Cost per unit (Rs.)	No of units	Level of unit	total cost (Rs. cr)
Computer Hardware	50,000		One at each Village Panchayat level	

**Table 14(c): Capital cost for strengthening of training infrastructure:**

Item	Cost per unit (Rs. lakhs)	No of units	Level of unit	Total cost (Rs. cr)
Intermediate Panchayat level Resource Centres	10		One at each Intermediate Panchayat level	
Strengthening of SIRDs	100		One per State	

**Table 15**

Item	total cost (Rs. cr)
Satellite Training	
Computer hardware	
Intermediate Panchayat level Resource Centres	
Strengthening of SIRDs	
<b>Total</b>	

Capital costs would vary on the basis of the extent of availability of existing infrastructure, such as extension training centers, satellite training facilities etc. already existing in States.

### 6.3. Revenue Expenditure:

6.31. revenue expenditure would vary from year to year, depending on the mix of programmes that are implemented each year.

6.32. Costs for the first year may be calculated on the basis of the matrix below:

**Table 16:**

Sl no	Item	Number	Basis of calculation	Total amount (Rs. cr)
1	Induction course for Master Resource Persons		60 day course, at the Rate of Rs. 1000 per day per participant (Inclusive of all costs)	
2	I (a): Foundation Course		4 day course at the rate of Rs. 150 per day for 22 lakh elected representatives and 8 lakh officials	
3	I (b): Basic Functional Course		4 day course at the rate of Rs. 150 per day for 10 lakh elected office bearers and chairpersons of Standing Committees and 5 lakh officials	
4	I (c): Functional Literacy Course		Rs. 1000 lump sum grant per illiterate person for 8 lakh illiterate persons	
5	II (a): Sectorally focused training programme		4 day course at the rate of Rs. 150 per day for 22 lakh elected representatives and 8 lakh officials	
6	III (d): Formation of networks of Panchayat elected representatives		One network per State, with basic start up costs given at Rs. 2 lakh per State.	
7	II(b): Building ICT Skills		Cap of Rs. 2000/- per individual for 5 lakh persons.	
8	Film and Electronic Material		At Rs. 10 lakhs per half-hour film	
9	Print material		Lump sum allocation	

10	<b>III(b):</b> Panchayati Raj TV channel and radio programmes		Lump sum allocation	
11	<b>III(c):</b> Panchayati Raj Newsletter		At rate of Rs. 10 per newsletter, 5 copies per Panchayat every month (i.e., 60 copies per annum per Panchayat)	
12	<b>III(g):</b> Intermediate Panchayat level Resource Centers		Lump sum allocation of Rs. 3 lakhs per Resource Centre	
13	<b>III(h):</b> Helplines		Lump sum allocation of Rs. 1 cr per State	
14	Training Programme Management		1 percent of total revenue cost.	
	<b>Total</b>			

**6.33. Revenue expenditures in respect of each year from the second year onwards may be calculated as per the matrix in Table 17 below:**

**Table 17:**

Sl no	Item	Number	Basis of calculation	Total amount (Rs. cr)
1	Refresher Courses for Resource Persons		4 day course, at the Rate of Rs. 200 per day per participant (Inclusive of all costs)	
2	<b>III(e):</b> Yearly Refresher Course		4 day course at the rate of Rs. 150 per day for 22 lakh elected representatives	
3	<b>III(f):</b> Visits to identified 'beacon' Panchayats		2 day course at the rate of Rs. 150 per day for 10 lakh elected office bearers and chairpersons of Standing Committees	
4	<b>III(a):</b> Gram Sabha level Campaigns		Rs. 5 lakh lump sum grant per district	
5	<b>III(l):</b> Certificate courses		at the rate of Rs. 10000 per per course for 100 persons per year.	

10	<b>III(b):</b> Panchayati Raj TV channel and radio programmes		Lump sum allocation	
11	<b>III(c):</b> Panchayati Raj Newsletter		At rate of Rs. 10 per newsletter, 5 copies per Panchayat every month (i.e., 60 copies per annum per Panchayat)	
12	<b>III(g):</b> Intermediate Panchayat level Resource Centers		Lump sum allocation of Rs. 3 lakhs per Resource Centre	
13	<b>III(h):</b> Helplines		Lump sum allocation of Rs. 1 cr per State	
	Monitoring of outcomes		Lump sum allocation	
	Action research		Lump sum allocation	
14	Training Programme Management		Maintain the cost for first year	
	<b>Total</b>			

### 6.3. Detailed Projectisation for each State:

Every State may prepare a project report covering implementation of every aspect of the framework. Technical assistance shall be provided by the Ministry of Panchayati Raj for the preparation of State specific Framework implementation project documents. State specific projects will follow the same sequence of courses and activities. However, there may be variations on the number of days devoted to training on certain matters, based on the extent of devolution to Panchayats. Similarly, in States that do not have satellite-training facilities at present, an interim cascade mechanism of training may be adopted, while working toward the eventual goal of establishing a distance-training network. State-wise projects will also undertake a census of facilities already available for training, so that only the incremental requirement needs to be met. All these matters will be captured in a State-wise needs assessment, which will form an integral part of the State Specific Framework design.

## **Annexe – 4 List of priority schemes for funds earmarked for SC and ST development**

1. Community halls.
2. Residential Intermediate college/hostels for SC/ST children
3. ITSs
4. Rural playgrounds
5. One time support (of about 20 lakh) to reputed NGOs who have land for setting up Secondary Schools/Colleges for girls.
6. Tractors with trolleys and agricultural implements to SHGs of 20 small/marginal SC/ST farmers.
7. Training of educated youth in areas such as computers, repairs of mobile phones, driving etc.
8. Pre-recruitment training for para military and other security forces.
9. Construction and allotment of shops, etc.