

Report on
District Planning:
Status and Way Forward

September, 2008

PREFACE

Research Project on District Planning: Status and Way Forward

This Research Project was sanctioned by the Planning Commission (SER Division), vide Sanction letter No. 15012/43/2007-SER dated 27.9.2007.

The information contained in this Report is based on the following:

- (i) Information received directly from the State Governments in response to a questionnaire circulated to them.
- (ii) The discussions held in the Planning Commission with the representatives of the State Governments for finalizing their Annual Plans 2008-09.
- (iii) The discussions held in the Planning Commission in the meetings of the Task Force constituted by the Planning Commission for preparation of a Manual for District Planning and the contributions made by the Members of the Task Force and other participants in the meetings.
- (iv) Assessment made by the Institute of Rural Management (IRMA), Anand sponsored by the Ministry of Panchayati Raj on “The State of Panchayats: 2007-08”
- (v) Guidance and suggestions made by Shri L. P. Sonkar, Adviser (MLP) and Dr. (Mrs) Indu Patnaik, Deputy Adviser (MLP), Planning Commission.

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EXECUTIVE SUMMARY

The summary of findings and conclusions with regard to various aspects of the study are as follows:

(i) Assessment of the stage of District Planning in the States

- ❖ There are 626 districts in India – 606 districts in the States and 20 districts in the Union Territories. The Report is confined to States only.
- ❖ Activity mapping has been completed in most of the States.
- ❖ District Planning Committees (DPCs) are not functional in most of the States. In a few States, they are not yet even been constituted, while in most of the States they are constituted but not as Constitutionally required.
- ❖ Several States such as Chhattisgarh, Gujarat, Madhya Pradesh, Orissa, Maharashtra and Himachal Pradesh have Ministers as Chairpersons of DPCs. This hampers the participative nature of the planning process in the DPC.
- ❖ DPCs are functioning effectively in Kerala, Karnataka and Rajasthan.
- ❖ DPCs have not been able to effectively enable rural urban linkages. Coordinated planning is not taking place and any joint project planning has not necessarily resulted in integrated project implementation.
- ❖ The general view based on the discussions with the representatives of the State Government and Technical Support Institutions is as follows:
 - District planning process is still a non starter in India.
 - In select districts, it is only a BRGF plan.
 - District Planning Committees (DPCs) do not have the capacity to consolidate the District Development Plans.
 - In most of the States, only constitutional formality is performed.
 - There is no mind set for coordination or convergence or synergy.
 - A big drive or pressure on the State Governments is needed to allow and strengthen DPCs to perform their constitutionally ordained functions.

(ii) Documenting Best Practices

Various State Governments have adopted practices in implementation of schemes which can be treated as the Best Practices that can be emulated by other State Governments. Such practices adopted by the State Governments of Andhra Pradesh, Assam, Karnataka, Kerala, Meghalaya, Nagaland, Punjab, Rajasthan and Sikkim have been listed in Chapter 3 of the Report. These Best Practices relate to the preparation of District Plans (Andhra Pradesh), decentralized planning at the Gramsabha level (Karnataka), model projects being implemented by Local Self-Governments through local level planning (Kerala), implementation of NREGA and Livelihood Improvement Project (Meghalaya), Communitisation of Public Institutions and Services (Nagaland), implementation of a Special Project namely “Punjab Nirman Programme” for improving the living condition of the people of Punjab living in rural and urban areas, setting up of Community Based Safe Drinking Water Plants, Modern Cleanliness Project, schemes for disadvantaged groups, running of anganwadis, District Health Mission, Information and Communication Technology Project etc. (Punjab), practice of imparting trainings to the State/District/Block/Gram Panchayat level functionaries and practice of direct transfer of money through banking channel to Gram Panchayats (Rajasthan) and the practice of social audit and vigilance at Gram Panchayat level (Sikkim).

(iii) Identification of the Best Institutions for providing technical support to District Planning

Technical Support Institutions (TSIs) are being assigned by the Ministry of Panchayati Raj and the Planning Commission for preparation of District Plans. The list of Technical Support Institutions is as follows:

1. National Bank for Agriculture and Rural Development (NABARD)
2. Institute of Rural Management Anand (IRMA)
3. Peoples’ Science Institute (PSI)
4. Participatory Research in Asia (PRIA)
5. Centre for Research in Rural & Industrial Development (CRRID)

6. Central Research Institute for Dryland Agriculture (CRIDA)
7. Institute for Social and Economic Change (ISEC)
8. Central Arid Research Institute (CAZRI)
9. Bharat Gyan Vigyan Samiti (BGVS)
10. Centre for Management Development (CMD)

11. Action for Food Production (AFPRO)
12. Agriculture Finance Corporation (AFC)
13. Mysore Resettlement and Development Agency (MYRADA)
14. Professional Assistance for Development Action (PRADAN)
15. CARE India (CARE)

16. National Institute of Rural Development (NIRD)
17. Kalinga Institute of Industrial Technology (KIIT)
18. Institute of Applied Man Research (IAMR)
19. Asian Society for Entrepreneurship Education & Development (ASEED)
20. Bharatiya Agro Industries Foundation (BAIF)

21. National Institute of Agricultural Extension Management (MANAGE)
22. Yashwantrao Chavan Academy of Development Administration (YASHADA)
23. AMR Andhra Pradesh Academy of Rural Development (AMR APARD)

(iv) Manual for District Planning based on guidelines issued by Planning Commission

A Task Force has been constituted by the Planning Commission for Preparation of a Manual for District Planning. The Report includes salient features of the Manual based on the views expressed in the discussions held in the meetings of the Task Force. These salient features include District Visioning Process, District Level Visioning, Block Level Visioning, Village/Ward Level Visioning, formats to be included, Resource Mapping and Determination of Fund Envelopes, District level Resource Mapping, Block Level Resource Mapping, Gram Panchayat Resource Mapping, Fund Envelopes to Gram Panchayats, Block and Municipal Planning Processes, Integration of various Plans into the District Plan, Professional and Institutional Support and Capacity Building needs of DPCs, etc. The features relating to monitoring, evaluation and social audit of Plans have also been included.

Chapter 1

1. 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, there was little progress towards this process. The Constitution 73rd and 74th Amendments, therefore, mandated local planning at the village panchayat, intermediate panchayat and district panchayat levels as well as in urban local bodies and their consolidation into a District Plan in each district. Later, the Planning Commission emphasized that the ‘district planning process’ should be an integral part of the process of preparation of State’s Eleventh Five Year Plan (2007-12) and the Annual Plan 2007-08. With this objective in view, the Ministry of Panchayati Raj constituted an Expert Group on Planning at the Grassroots Level, in 2005, in consultation with the Planning Commission. The Report of the Expert Group was presented to the Government in March, 2006. The Report was accepted by the Ministry of Panchayati Raj and the Planning Commission and was circulated to the States in April-May, 2006. Chapter 3 of this Report underlined the process for preparation of District Plan and the time table to be followed by States to prepare for and draw up the Eleventh Five Year Plan. The Planning Commission framed the guidelines for preparation of District Plans and their incorporation into the Eleventh Five Year Plan and Annual Plan 2007-08 and circulated them to the State Governments in August, 2006.

1.1 Approval for Undertaking the Study

In the backdrop of the above, the Planning Commission decided to assess the stage of District Planning in each State. The study was entrusted to me as an individual Research Worker and I was made responsible for supervising and directing the study to its completion and submit the report to the Planning Commission containing the following:

- Assessment of the stage of District Planning in each State
- Documenting best practices

- Identification of the best institutions so that professional support of district planning can be institutionalized
- A manual for district planning based on guidelines issued by Planning Commission, Central Ministries and by various State Governments from time to time

1.2 Strategy Adopted

A questionnaire was prepared and circulated to the State Governments for collecting the information with regard to the number of districts in the State, activity mapping, functions and functionaries transferred to Panchayati Raj Institutions (PRIs), level of untied funds given to PRIs, constitution of District Planning Committees (DPCs) as envisaged in the Constitution, guidelines issued by the State Governments for functioning of DPCs, guidelines issued by the State Governments for preparation of District Plans, stage of District Planning, list of best practices, etc. Simultaneously, representatives were engaged to visit some of the State / District headquarters to assess the stage of district planning and collect the relevant information in this regard. Further, information was collected from the State Government officers when they visited the Planning Commission for the meeting to finalize the States' Annual Plans 2008-09. The Report is based on the information received and collected from the State Governments and that collected during the meetings with them held in the Planning Commission for finalizing their Annual Plans 2008-09. The Manual for District Planning is based on the suggestions and material contributed by the Members of the Task Force constituted by the Planning Commission for the purpose. The Report has been confined to States only.

Chapter 2

2. Assessment of the Stage of District Planning in each State

2.1 Number of Districts in each State

The State Governments and Union Territories have been carving out new districts out of the old districts. The number of districts in a State or Union Territory can, therefore, be as on a particular date.

The table below gives the present number of districts in each State.

STATES					
Sl. No.	Name of the State	Number of districts	Sl. No.	Name of the State	Number of districts
1.	Andhra Pradesh	23	15.	Maharashtra	35
2.	Arunachal Pradesh	16	16.	Manipur	9
3.	Assam	27	17.	Meghalaya	7
4.	Bihar	38	18.	Mizoram	8
5.	Chhattisgarh	18	19.	Nagaland	8
6.	Goa	2	20.	Orissa	30
7.	Gujarat	26	21.	Punjab	20
8.	Haryana	20	22.	Rajasthan	32
9.	Himachal Pradesh	12	23.	Sikkim	4
10.	Jammu & Kashmir	21	24.	Tamil Nadu	30
11.	Jharkhand	22	25.	Tripura	4
12.	Karnataka	29	26.	Uttarakhand	13
13.	Kerala	14	27.	Uttar Pradesh	70
14.	Madhya Pradesh	50	28.	West Bengal	18

Number of districts in States : 606

Number of districts in Union Territories : 20

Total number of districts in India : 626

2.2 Status of Activity Mapping in each State

The State-wise position relating to activity mapping is as follows:

Andhra Pradesh : Activity mapping covering the sectors listed in the Planning Commission's guidelines such as Agriculture, Animal Husbandry, Fisheries, Rural

Development, Rural Water Supply, School Education, Health & Family Welfare, Social Welfare and B.C. Welfare has been completed. The functions, functionaries and the funds under each of these subjects have been transferred. The State Finance Commission Grants amounting to Rs.200.00 crore per annum and Twelfth Finance Commission grants amounting to Rs.317.40 crore per annum have been released to the Panchayati Raj Institutions. These grants are partly untied.

Arunachal Pradesh: The Arunachal Pradesh Activity Mapping Order 2007 was issued on 25th October, 2007 and the Executive Order for devolution of 29 subjects of activity mapping was issued on 21 February, 2008. The activity mapping covers 29 subjects covering 20 line departments. The process for devolution of functionaries has been initiated. There is no separate window of Panchayats in the State budget or line departments.

Assam : The State Government has prepared the Activity Mapping and notified the same vide notification No. PDA 336/2001/Pt-III/32 dated 25th June, 2007 for devolution of functions, functionaries and funds to Zila Parishads, Anchalik Panchayats and Gaon Panchayats. Activity mapping has been prepared meticulously for 23 subjects demarcating responsibilities of each tier of Panchayats. Functions have been distributed among three tiers according to the capacity of each level of Panchayat. Panchayati Raj Institutions (PRIs) will be in the position to know about their specific powers and responsibilities. Development of a sector has a sequence with responsibilities distributed among three tiers at different levels. Every sector has got different functions. Each function has got various activities which can be conveniently and realistically discharged at the appropriate level. The activity mapping covers sectors listed in the Planning Commission's Guidelines which are Agriculture including Agriculture Extension, Land Improvement and Soil Conservation, Minor Irrigation, Water Management & Watershed Development, Animal Husbandry, Dairy & Poultry, Fisheries, Social Forestry & Farm Forestry, Minor Forest Products, Small Scale Industries including Food Processing, Handloom, Sericulture, Khadi, Village & Cottage Industries, Drinking Water & Sanitation, Fuel & Fodder, Roads, Culverts, Bridges, Ferries, Waterways & Other means of Communication, Rural Electrification including Distribution of Electricity, Poverty Alleviation Programme, Primary Education, Secondary Education, Adult & Non

Formal Education, Sports & Youth Affairs, Health Sanitation including Hospitals, Health Centres & Dispensaries, Family Welfare, Women & Child Development, Social Welfare, including Welfare of the Handicapped and Mentally Retarded and Public Distribution System.

Major functions of each of the 23 subjects have been identified. Various activities under each of the functions have also been identified to cover all the aspects relating to the identified functions. Activities have been distributed among the three tiers based on the principle of subsidiarity. Functionaries working at different levels in 17 departments of the State Government under the 23 subjects devolved have been identified for their devolution to different tiers of Panchayats.

Panchayat Window in the State Budget has been made active and Rs. 100 crore have been released directly to the PRIs. No untied fund has been given to the PRIs.

Bihar: Activity Mapping of Panchayats was done in 2001. A fresh Activity Mapping, according to the provisions of Panchayati Raj Act, 2006, is under process for covering all the 29 subjects listed in the Eleventh Schedule of the Constitution. An amount of Rs.790.41 crore has been transferred to the Panchayati Raj Institutions in 2007-08. In addition, an untied fund of Rs.465.61 crore has also been transferred to the Panchayats in 2007-08.

Chhattisgarh: The State Government initiated the process of activity mapping in 2005. Activity mapping has been prepared for 27 subjects excluding drinking water supply and forests. The executive orders with respect to operationalisation of activity mapping are yet to be issued. Presently, allocation of funds are being made for the functions devolved to Gram Panchayat and Janpad Panchayat as per the activity mapping done in the erstwhile State of Madhya Pradesh in 1999 through a separate budget head created for Panchayats. A cumulative amount of Rs.1036.75 crore has been earmarked for the year 2008-09.

Goa: The Goa Panchayati Raj Act, 1994 covers the subject matter reflected under Article 243G of the Constitution. The State Government assigned the exercise of

conducting the detailed activity mapping to the Second State Finance Commission. The report of the Second State Finance Commission was submitted in January, 2008. The devolution of powers to the Panchayats will be effected after approval. The transfer of funds to the Panchayats is being made through the treasuries.

Gujarat: Out of the 29 subjects listed in the 11th Schedule, 14 subjects have been fully transferred, five subjects have been partially transferred and ten subjects are yet to be transferred to Panchayats. The 14 subjects transferred are: Agriculture, Minor Irrigation, Animal Husbandry, Rural Housing, Drinking Water, Roads, Culverts & Bridges, Poverty Alleviation programmes, Fuel and Fodder, Minor Forest Products, Markets and Fairs, Health and Sanitation, Family Welfare, Women and Child Development, Welfare of the Weaker Sections and Scheduled Tribes. The five partially transferred subjects are: Primary and Secondary Education, Adult and non-formal education, Cultural activities, Social Welfare and Maintenance of community assets.

Haryana: The activity mapping has been undertaken and covers Food & Supplies, Health, Public Health, Social Justice and Empowerment, Irrigation, Animal Husbandry, Education, Women & Child Development, Agriculture and Forest. The functions and functionaries under these sectors have also been transferred to the Panchayati Raj Institutions. Funds to the tune of Rs.77.60 crore in a year are being transferred by the State Government to Gram Panchayat, Panchayat Samities and Zila Parishads in the ratio of 75:15:10.

Himachal Pradesh: Activities relating to 15 departments were devolved to the Panchayati Raj Institutions at all the three levels on 31.7.1996. The functions under these activities mainly relate to supervision and monitoring. With a view to devolve clear cut functions and also transfer of funds and functionaries to the PRIs, the line departments of the State Government are in the process of preparation of Activity Maps in respect of 26 out of 29 subjects listed in the Eleventh Schedule except Rural Electrification, including distribution of electricity, Adult and Non-Formal Education and Cultural Activities. Funds and Functionaries have not been transferred to the PRIs. The untied funds given to PRIs are limited to Central Finance Commission grants.

Jammu & Kashmir: The Jammu & Kashmir Panchayat Act came into existence in 1989, three years before the 73rd Amendment was passed by the Parliament of India. Subsequent to the election of Panchayats held in 2001, 15 subjects / departments have been transferred to the Panchayats which include Primary School Education, Sub-Health Centres, Veterinary Extension Centres, Anganwadi Centres, Minor Irrigation, Water Supply, Animal Husbandry, Sheep Husbandry, Slaughter Houses, Village Handicrafts and other core services related to a common man in the rural areas. All the developmental activities have been conducted through the Panchayats. 50 per cent funds under SGRY have been routinely utilized through the Panchayats on the basis of the plans formulated by them. The role of Panchayats in the present time has been extended to the provision of assistance under various poverty alleviation schemes.

School teachers of elementary level, medical assistance & equivalent in sub-health centres, extension workers in Sheep and Animal Husbandry extension centres, Anganwadi workers in Anganwadi centres and helper level officials at Public Health Engineering have been put under the control of the Panchayats. The budgets will also be transferred gradually to the Panchayats once the Panchayats are sufficiently equipped to address the task.

Jharkhand: The State Government has entrusted the task of activity mapping to the State Finance Commission and this task is yet to be completed. Action in this regard will be taken by the State Government on receipt of the recommendations from the State Finance Commission.

Karnataka: The activity mapping covering the sectors listed in the Planning Commission's guidelines has been completed. The activities covered are: Agriculture & Allied Activities, Minor Irrigation, Watershed Management, Animal Husbandry, Dairying, Poultry, Fisheries, Forestry, Minor Forest Produce, Small Scale Industries, Khadi, Village & Cottage Industries, Rural Housing, Drinking Water, Fuel & Fodder, Non Conventional Energy, Poverty Alleviation Programmes, Education, Technical Training and Vocational Education, Adult & Non-formal Education, Libraries, Cultural Activities, Markets and Fairs, Health & Sanitation, Family Welfare, Women & Child Development and Social Welfare.

Amount transferred to PRIs each year is of the level of Rs.7948.49 crore. The level of untied funds given to PRIs is Rs. 8 to 9 lakhs per Gram Panchayat, Rs.20 to 25 lakh per Taluka Panchayat and Rs.60 to 65 lakh per Zila Parishad.

Kerala: The State Government has done a responsibility mapping instead of activity mapping. Responsibility to carry out different activities in 13 sectors have been clearly demarcated among Local Governments (three tier panchayats and Urban Local Governments) and the State. The list of sectors covered under responsibility mapping are Agriculture, Animal Husbandry & Dairy, Fisheries, Social Forestry, Poverty Alleviation, Public Distribution and Natural Calamities, Cooperation, Minor Irrigation, Power & Energy, Small Scale Industries, Education, Sports and Cultural Affairs, Health, Sanitation, Water Supply, Housing, SC/ST Development, Social Welfare and Public Works and Town Planning.

The State Government has taken several bold steps in order to make the Local Governments more effective and functional. They have transferred functions, functionaries and funds to the Local Governments. As per the recommendations of the Third State Finance Commission, the State Government increased the transfer of Plan funds to the PRIs in 2007-08 by 10%. Every year, 10% increase of the previous year has been recommended during the Eleventh Five Year Plan period.

The Budgetary provision of Plan fund has three components viz. General Sector, Special Component Plan (SCP) and Tribal Sub-Plan (TSP). The inter-se distribution of SCP and TSP funds are done based on SC/ST population in the respective local body and distributed among the rural and urban local bodies in the definite ratio. For Plan fund distribution within the different tiers of local bodies, a composite index of entitlement by taking into consideration geographical area, area under paddy, backwardness based on houses without latrine and houses without electricity in addition to population has been used.

The State Government transferred Plan funds amounting to Rs. 6784.00 crore (26.81%) to the PRIs during the Tenth Five Year Plan period. They have transferred Plan funds amounting to Rs. 1540 crore (22.16%) during 2007-08 and Rs. 1694 crore (22.00%) during 2008-09 to the PRIs.

Madhya Pradesh: The re-organised State of Madhya Pradesh came into existence in November, 2000. In 2001, the Panchayati Raj Adhiniyam was amended by the Gram Swaraj Adhiniyam, which brought about significant changes in the structure of Panchayati Raj, by strengthening Gram Sabhas and directly constituting committees at the Gram Sabha level to plan and implement programmes. Recently, the law has been further amended to restore the position of the Gram Panchayat as the executive arm of self-government. The State Government has decided to replace the separate village level committees for development such as education, health, infrastructure, security, agriculture, public property and social justice with two new committees the Gram Nirman Samiti and Gram Vikas Samiti, both chaired by the Sarpanch.

Activity Mapping is stated to have been completed for 20 departments. Activity Mapping was carried out with the help of an NGO, Samarthan.

The State Government has taken action to ensure the devolution of functionaries pertaining to eight departments to the Panchayats. The State Government has established an arrangement for a Panchayat Sector Window in the budget. Each department identifies the Panchayat Component of their department and indicates the same local-body wise in the state budget. 22 departments have undertaken this exercise. These include Education, Women & Child Department, Rural Industries and Food and Civil Supplies. Therefore devolution of funds is not restricted to releases by the Panchayati Raj or Rural Development Department alone. However, the allocation of funds into the Panchayat sector window does not cover the entire gamut of activities devolved to the Panchayats. Thus, line departments continue to operate budget items that pertain to the functions devolved to Panchayats.

Maharashtra: Maharashtra has had a tradition of strong Panchayats even before enactment of the Seventy Third Constitutional Amendment Act, 1992.

The devolution of functions, as listed in the Bombay Village Panchayats Act, 1958 and Maharashtra Zilla Parishads and Panchayat Samitis Act, 1961, was reviewed by the State Government in June, 2005. It was considered that it would not be feasible to devolve subjects / functions, such as land improvement, land consolidation, dairy development, small industries, rural electrification, including

distribution of electricity and public distribution system, listed in Schedule XI. Panchayats have the power to appoint such staff as may be necessary for the proper discharge of its duties and pay their salaries from the Village funds.

Manipur: As per clause 35 and clause 61 of the Manipur Panchayati Raj Act, 1994, all 29 functions listed in the Eleventh Schedule have been devolved to the Panchayats.

Activity Mapping was done in respect of 16 departments for devolution of functions, funds and functionaries. These include departments of Transport, Health, Veterinary & Animal Husbandry, Fisheries, Rural Development, Education, Industries, Agriculture, Horticulture, and Tribal Development & Welfare of Weaker Sections (SC & ST), Co-operation, Minor Irrigation, Arts & Culture, Social Welfare, Science & Technology and Family Welfare. So far, only the departments of Rural Development and Panchayati Raj, Commerce and Industries, Fisheries and Art & Culture have issued orders operationalizing activity mapping.

Meghalaya: The State Government has not undertaken any activity mapping except in respect IFAD assisted NERCORMP and MLIPH projects covering Agriculture / Non-farm activities, etc. Panchayati Raj is not applicable in Meghalaya. The entire State falls under the 6th Schedule of the Constitution with one District Council each for Khasi, Jaintia and Garo Hills. Funds under Article 275(1) of the Constitution are also released for the District Councils.

Nagaland: The State Government has not undertaken any activity mapping.

Orissa: The State has devolved 21 out of 29 matters listed in the Eleventh Schedule of the Constitution to the Panchayats. In this regard, activity mapping was completed in October 2005, and orders were released to operationalise the same. The Departments for which activities were devolved are: Agriculture, Food, Supplies & Consumer Welfare, Health & Family Welfare, Women & Child Development, Water Resources, School & Mass Education, Fisheries & Animal Resources Development, Co-operation, Panchayati Raj, Rural Development and SC & ST Development. Along with these activities, Panchayats at all the levels were provided with technical as well as administrative staff. The Panchayats get funds directly in respect of subjects where

activity mapping has been done. The schemes functioning in the Panchayati Raj Development are divided into four parts which are: Non-Plan Schemes, State Plan Schemes, Centrally Sponsored Schemes and Central Plan Schemes.

There is no district sector / Panchayat window in the budget. The respective departments may consider about 35% of allocation from the budget provision to the district sectors and Planning and Coordination Department may create Panchayat Sectors in the State Budget. The respective departments dealing with the devolved functions may also take steps for matching transfers of funds to the Panchayats.

Presently, funds to the Panchayats are being provided as per the recommendations of the second State Finance Commission. The third State Finance Commission is yet to be formed.

Punjab: The State Government has undertaken activity mapping and covers the sectors listed in the Planning Commission's guidelines. The approved activities relating to the devolved functions pertain to the following six Departments:

- Social Security, Women & Child Department,
- Scheduled Caste and Backward Classes Development,
- Water Supply and Sanitation,
- Rural Development and Panchayats,
- Health & Family Welfare,
- School Education,
- Animal Husbandry.

The State Government finalized a Draft Activity Mapping in respect of all the 29 matters listed in the Eleventh Schedule in October, 2006 on the principle of subsidiarity. This Draft Activity Mapping has been circulated to all the State Government Departments for comments. The status of implementation of activity mapping in the domains of health and education is as under:

- In the health sector, 1186 rural dispensaries have been handed over to Zilla Parishads. In turn, Zilla Parishads commenced a process of identification of doctors, as service providers, on a service contract of three years. By the end of October, 2006, the Zila Parishads succeeded in recruiting and positioning doctors in 1158 rural dispensaries. The Zilla Parishads will receive grant-in-aid from the State Government to run these dispensaries and Rs.36 crore has already been sanctioned for the Zila Parishads till March, 2007. Every service provider will receive a lump sum payment of Rs.30,000/- per month. The service provider may engage a qualified paramedic, and one Class Four employee to maintain the premises and must pay the electricity and water bills. Additionally, a sum of Rs.7500/- p.m. is provided to the rural dispensary towards drugs and medicines. All fresh recruitment is entrusted to the Zilla Parishads. Similarly, 582 rural veterinary hospitals have been transferred to Zila Parishads and 382 freshly recruited veterinary doctors have started functioning in these hospitals as service providers on a one-year contract.
- Department of School has transferred 5752 Primary Schools to Zilla Parishad. A transparent and merit based system was evolved for recruitment of teachers. 13034 teachers have been recruited and are in position. These teachers will be Zilla Parishad employees. All the schools transferred are now functional. The State Government has transferred Rs.105 crore to the Zilla Parishads, towards the salaries and allowances of these teachers.
- The recent initiatives taken by the State Government of Punjab on the devolution of functions to Panchayats are as follows:

Department	Salient Features
Public Health	Zila Parishads have been empowered, and given the requisite funds to manage subsidiary health centers across rural areas. This includes provision of primary health care through medical service providers and provision of medicines.
Birth & death Registration	Panchayats secretaries have been authorized to register birth and deaths and to issue certificates

Department	Salient Features
Water Supply and Sanitation	<p>The Operations and Maintenance (O&M) of single village water supply schemes have been devolved: Out of 3200 rural water supply schemes in the state, 876 are single village schemes. Of these, 774 schemes have been handed over to the Panchayats. It is reported that 308 schemes (of those handed over), are running smoothly: some of the others are said to be facing some operational problems. These are being sorted out. The state government has not articulated its position in respect of handing over of multi-village water supply schemes.</p>
Social Security and Women & Child Development	<p>Sanctioning and disbursement of Social Security pensions: The state Security and government has set up a dedicated fund specifically to ensure that commitments towards the timely and regular disbursement of social security pensions, is honored. The Gram Sabha is empowered to identify the beneficiaries. It is reported that about 4 lakh new pensioners have been identified through the Gram Sabhas. A procedure for direct disbursement of pensions has been established, through a village level committee. Substantial improvement is reported in terms of transparency in selection of beneficiaries, and promptness of disbursement.</p>
Education	<p>Management of Primary Education has been devolved to Zilla Parishads for running the schools, recruiting teachers, placement of teachers, and maintenance of school buildings.</p> <p>Supplementary nutrition scheme is now being operated by the Panchayati Raj Institutions. After initial hiccups in the new system now the procedures have been streamlined by making it mandatory to procure the food articles from government agencies.</p> <p>Scheduled Caste scholarships and distribution of books : This scheme is now operated fully by Panchayati Raj Institutions (PRIs)</p>

- Funds are transferred to PRIs on the basis of the recommendations of the State Finance Commissions. On the basis of the recommendations of the First State Finance Commission, Rs.81 crore was released from 1997 to 2001. On the basis of the recommendations of the Second State Finance Commissions, Rs.140 crore was released between 2001 and 2006.
- From 2003-4, funds were released through District Planning and Development Boards.
- The State Government has accepted the recommendations of the Third State Finance Commission and has allocated Rs.107 crore in 2006-07.
- A sum of Rs.226.10 crore was provided in RE 2007-08 but only a sum of Rs.10 crore was drawn and disbursed to the Gram Panchayats which could be included in the Nirmal Gram Puraskar Scheme.
- An amount of Rs.22.42 crore has been released to the districts during 2007-08 as untied grant.

Rajasthan: Activity Mapping covering the sectors listed in the Planning Commission's guidelines has been undertaken. As per the State Government's Order dated 19.6.2003, the functions devolved are being performed by all the Panchayati Raj Institutions (PRIs). Main points of devolution of functions are as under:

- DRDA is merged in Zila Parishad since 30.8.2003.
- The complete rights have been given to PRI to utilize its own resources.
- The primary education is completely under PRIs.
- All activities of agriculture / agriculture extension performed by agricultural supervisor are transferred to Panchayat Samiti.
- All activities of soil conservation / watershed development programme have been transferred to Zila Parishad.
- Activity of construction and maintenance of Hat market has been transferred to Gram Panchayat.
- Previously transferred irrigation tank with capacity irrigating 80 hectares, tanks having capacity to irrigate up to 300 hectares have also been transferred to PRI.
- 'D' class fishery tank have been transferred to Gram Panchayat, 'C' class to Panchayat Samiti and 'B' class to Zila parishad.

- Selection of Anganwadi workers.
- All the activities of social welfare have been transferred to Zila Parishad.
- Regular elections of PRIs.
- Under the untied fund scheme, Rs. 1.00 crore has been allotted to each district for development activities.
- 1% royalty of major & minor mines is being transferred to PRIs.
- The functionaries at Zila parishad, Panchayat Samiti and Gram Panchayat have also been adequately devolved.
- Entire BRGF scheme funds, SFC, TFC funds have been transferred to the concerned PRIs for implementation of development works.
- Untied fund given to PRIs is Rs.1.00 crore for each district.

Sikkim: Activity Mapping covering the sectors listed in the Planning Commission's guidelines has been undertaken. The activities transferred to Zila and Gram Panchayats are in the sectors of Agriculture & Food Security, Horticulture & Cash Crops, Animal Husbandry, Livestock, Veterinary Services, Education, Health & Family Welfare, Forests, environment and Wildlife, Commerce & Industries, Disaster Management, Irrigation, Cultural Activities, Rural Water Supply, Rural Bridges, Rural Sanitation, Cooperatives, Miscellaneous subjects and Centrally Sponsored Schemes. The functionaries and funds required for implementation of these activities have also been transferred to four Zila Panchayats and 166 Gram Panchayats by various line departments. All the funds transferred to PRIs are untied except establishment / salary amount.

Tamil Nadu: The subjects in the Eleventh Schedule do not find a place in the Tamil Nadu Panchayati Raj Act 1994. But the State Panchayati Raj Act has, however, devolved several functions to the three levels of Panchayats.

Activity Mapping in accordance with the recommendations of the Task Force Report of 2001 has not been undertaken in Tamil Nadu. However, Government orders devolving functions to Panchayats (much in the nature of activity mapping) have been issued in respect of the Village Panchayats to enable them to perform their functions.

Administrative changes have been made in the line departments to manage the devolved functions and activities at different levels of Panchayats.

The State does not have a District Sector / Panchayat Window in its budget. Releases of funds to Panchayats are restricted to Rural Development alone.

There has been no great improvement in the untied funds that reach Panchayats. In 2005, the Tamil Nadu Gramam Scheme' was launched, with a total outlay of Rs. 195 Crores, of which Rs. 140 crores was distributed equally to all Panchayats. These funds were meant to be untied, but in reality were almost all tied to infrastructure development.

The Third State Finance Commission has been constituted in December 2004. Nine percent devolution grant recommended by the committee report has been accepted. Currently 9 per cent of the State's total own net tax revenues (other than entertainment tax) is devolved to the rural and urban local bodies in the ratio of 58:42 respectively.

Tripura: The Panchayats have been legally vested with powers and responsibilities in the Tripura Panchayat Act, 1993 which enable the State to transfer funds, functions and functionaries to Panchayats in respect of 29 subjects in line with the 73rd Amendment to the Constitution of India.

Activity Mapping was completed in 2005 and is under consideration of the Government. Activity Mapping includes all the 29 subjects mentioned in Eleventh Schedule of the Constitution and covers 21 departments. Government of Tripura has taken a decision to implement the activity mapping in phases.

Functions of irrigation schemes of the PWD (Water Resources) Department was transferred to Panchayats in August 2006. In August 2007, Primary Schools of the School Education Department, Adult and Non Formal Education, Women and Child Development, Social Welfare including Welfare of the Handicapped and Mentally Retarded were transferred to Panchayats.

The devolution of functionaries of the 21 line departments is to be patterned on the lines of Activity Mapping.

The State does not have a Panchayat sector window in its budget. The main sources of untied funds are taxes and funds released by the Finance Department and the grants under the State Plan. Untied funds are renamed as Panchayat Development Fund (PDF) and are transferred to Zilla Parishads, Panchayat Samitis and Gram Panchayats in the ratio of 20:30:50.

In case of devolution of funds of line departments, only part funds related to Lift Irrigation Scheme of the PWD (Water Resource) Department have been transferred to Panchayats. This is being projected in the State budget by the Rural Development (Panchayat) Department from the year 2007-08). Some funds of Primary Schools of the School Education Department, Social Welfare and Social Education Department and Pension funds were being transferred to Panchayats.

Uttar Pradesh: Activity Mapping has been done but not on the suggestion made by the Task Force Report of 2001. Activity Mapping has been done in 1997. Sixteen functions of twelve departments have been devolved to Panchayats through Activity Mapping. The basis/principle of devolving the functions to the different tiers are their relative importance within the Panchayats. The time within which the functions are to be devolved to the Panchayats was subject to the relative importance of the functions. The transfer of the functions is subject to their feasibility and the concerned departments have been asked to devolve the functions along with the funds.

Gram Panchayats have the power of verification of attendance of all village level workers. However the appointments and transfers of all village level workers continue to be under the control of their parent departments.

Funds are being provided to the Panchayati Raj Institutions as per the recommendations of the State Finance Commissions.

Uttarakhand: The activity mapping of 11 Departments related to 14 subjects was released in August 2005. The 14 subjects are : Agriculture, Primary Education, Health & Family Welfare, Minor Irrigation, Social welfare, Woman & Child Development,

Drinking Water, Public Distribution, Horticulture, Sanitation, Poverty alleviation, Rural Housing, Animal Husbandry and Rural Development. The government orders for devolution of nine departments have already been issued.

In January 2005, the State Government issued orders in respect of 14 departments giving powers of seeking information and supervision to Panchayats over various levels of officials. However, this process is yet to take effect.

There is no separate Panchayat Window in the State budget. Consequently, no Panchayat knows precisely how much money it is to get. The only lifelines for Panchayats are Centrally Sponsored Schemes (CSSs), which translate into pitifully low amounts, particularly for the Kshetra Panchayats.

West Bengal: The State has devolved all 29 functions included in the Eleventh Schedule of the Constitution, to the three levels of Panchayats through the West Bengal Panchayat (Amendment Act, 1984). The functional transfer has been further clarified through a detailed Activity Mapping exercise.

For devolution of functionaries to the Panchayats on the basis of activity mapping of devolved functions, the State Government has initiated a process of building a cadre of officials and technocrats specialized in devolved functions.

The State Government provides financial support to the Panchayat bodies to discharge the responsibilities entrusted upon them. Funds are provided by the State Government for meeting establishment cost including salary and pension of the employees of Panchayat bodies and honorarium or remuneration and travelling allowance of elected functionaries. Grant is also provided to the Panchayats to compensate for the professional tax, cess grant and entertainment tax as per recommendation of the State Finance Commission. The State Government also provides a share of the State revenue to the Panchayats as untied fund as per award of the State Finance Commission. The other major sources of fund available to the Panchayats are the funds released by the Central and the State Government for implementation of various Programs. Grant recommended by the Central Finance Commission as well as other incentive grants are released to the Panchayati Raj

Institutions in accordance with the formula laid down by the State Finance Commission. Rs. 278 crores have been devolved to all three tiers of Panchayati Raj Institutions as untied fund from State Budget from 2005-06 onwards following the recommendations of Second State Finance Commission in the proportion of 60, 20 and 20. Grants received from the Central Govt. on the recommendations of Central Finance Commission are also devolved as untied fund to all tiers of Panchayati Raj Institutions. In 2006-07 Rs. 254 Crores received from 12th Finance Commission have been released to Gram Panchayats, Panchayat Samitis and Zilla Parishad in the proportion of 60, 20 and 20 following the formula of Second State Finance Commission.

2.3 Status of District Planning Committees in each State

District Planning Committees (DPCs) need to be constituted as per Article 243 ZD of the Constitution in all the States except Jammu & Kashmir, Meghalaya, Mizoram and Nagaland. All the States must accordingly enact legislations for constitution of the DPCs and issue notifications bringing them into effect. The status with regard to the constitution of the DPCs in respect of some of the States is as under:

Andhra Pradesh: The Government of Andhra Pradesh passed Act No. 40 of 2005 dated 17.11.2005 constituting the District Planning Committees at the District level. They have issued guidelines on functioning of DPCs vide Order No. 448-PR&RD dated 03.10.2007.

Assam: District Planning Committees have been constituted in all the non-scheduled districts of the State. The State Government has issued guidelines for the functioning of the DPCs as per the instructions of the Planning Commission vide letter No. PDA 380/2003/173 dated 10th August, 2007.

Bihar: The District Planning Committees (DPCs) have been constituted for all the districts. However, the State Government has not issued guidelines for functioning of DPCs or for preparation of District Plans.

Haryana: The District Planning Committees have been constituted in the State. No separate guidelines for the functioning of DPCs have been issued. However, guidelines for the functioning of DPCs have been covered under the guidelines for District Planning issued by the Urban Local Bodies Department.

Himachal Pradesh: The District Planning Committees have been constituted for all the districts as envisaged in the Constitution. The State Government has not issued any separate guidelines for functioning of DPCs in addition to the existing provisions under Section 184 and 185 of the HP Panchayati Raj Act, 1994.

Jharkhand: The District Planning Committees have so far not been constituted. Also, no guidelines have been issued in this regard.

Karnataka: The District Planning Committees have been constituted for all the districts as envisaged in the Constitution and the State Government has issued guidelines for functioning of DPCs as well as for District Planning. The Chief Executive Officer, Zila Panchayat is the Secretary of the DPC wherein the rural and urban plans are integrated. The District Planning is done by the Chief Planning Officer of the Zila Panchayat who has about 2 to 3 Assistant Directors and full complement of a section at the Zila Panchayat. There is a separate district budget within the Annual Plan of the State.

The State Government has further informed that presently, Chief Planning Officer supported by a Project appraisal and evaluation officer and Assistant Statistical Officer heads District Planning Units attached to the Zilla Panchayats. The Planning unit is finding it difficult in overseeing implementation and monitoring of existing 290 plan schemes under district sector and large number of schemes of the state sector, apart from a number of non-plan schemes. Moreover, the post of Statistical Officer/Regional Planner of the Planning unit has been shifted to newly created Taluk Planning units. The Planning unit is also expected to serve the District Planning Committees in discharging their activities. As the Planning unit is overburdened it is unable to take up works of preparation of perspective plans and evaluation studies of academic nature which are of utmost importance. Therefore, it

would be worthwhile to have a separate cell in the District Planning Committee to assist the Committee in its role of advisory function and conduct of studies.

Kerala: The District Planning Committees (DPCs) have been constituted in all the districts as envisaged in the Constitution. The State Government has detailed Guidelines for preparation of Annual Plans and Five Year Plans of Local Self-Governments in which the role of DPC has been clearly specified. The preparation of detailed Guidelines for preparation of District Plans is in progress.

The secretariat of DPC was reorganized by incorporating the District Planning Office, Office of the Director of Economics and Statistics and District Town Planning. The District Collector is the Member Secretary and the District Planning Officer is the Joint Secretary (Co-ordination) assisting in convening the meeting and other administrative matters relating to DPC. The State Government has also nominated an expert Member.

Meghalaya: District Planning & Development Council in each district has been constituted. Deputy Commissioner of the district is the Vice Chairman with MLAs of the district and Chief Executive Member of Autonomous Council as the members. The functions of the Council are (i) Take stock of the natural and human resources of the District as well as the level and pattern of development and exploitation of these resources (ii) Projection of local needs and aspirations and translating them into schemes and programmes and fixing priorities within the objectives of the State/National Plan (iii) Formulation of District development plans (iv) Co-ordination in the implementation of District Plans and programmes (v) Monitoring and review of the implementation of District Plans and programmes (vi) Take up such other studies and functions as may be assigned to it from time to time and such to make suitable recommendation to the State Government and (vii) Make recommendations with a view to ensuring co-ordination in the matter of planning in the State. Specific guidelines for District Planning have been issued by the State Government.

Nagaland: The State Government has constituted District Planning & Development Boards(DPDB) in all the 11 districts. These DPDBs also act as DPCs. The DPDB of the district is headed by an MLA to be nominated by the State Government. Deputy

Commissioner concerned, also designated as Chief District Planning & Development Officer with requisite authority to be the executive head for all developmental matters / activities in the district is the Vice-Chairman of the Board. All MLAs of the District, ADCs / SDOs, Heads of Offices of various Departments of the District, EACs holding charge of independent circles, All BDOs of the District, Project Directors of DRDAs, Chairmen of Municipal / Town Councils and Lead Bank Officers of the District are the Members of the DPDBs. The functions of the DPDBs are to (a) advise the Heads of Development Departments in formulation of Annual District Plan, (b) review the progress of schemes of all the Development Departments, (c) recommend any scheme for inclusion in the State Plan, and (d) effect proper monitoring coordination of the activities of the different Departments within the District. The State Government has issued Guidelines for the functioning of these DPDBs. However, detailed Guidelines for District Planning have not been issued.

Punjab: District Planning Committees (DPCs) are yet to be constituted in the State. The legislation for the constitution of DPCs, namely, 'The Punjab District Planning Committees Act' has been enacted in November, 2005 and the 'Punjab District Planning Committees Procedure of Transaction of Business Rules' has been notified in July, 2006. Detailed guidelines for holding the elections of the DPCs have also been issued. The elections of Panchayats / Block Samities / Zila Parishads have been held in May, 2008. The elections for some of the Municipal Corporations and Municipal Councils are scheduled to be held in June, 2008. It is proposed to constitute the DPCs immediately after these elections. The detailed guidelines for functioning of the DPCs and for District Planning will be issued after these committees are constituted.

Rajasthan: The State Government has constituted District Planning Committees in all the 32 districts in accordance with Rajasthan Panchayati Raj Act 1996. They have also issued guidelines for functioning of these DPCs and also for District Planning.

Sikkim: The previous District Planning Committees(DPCs) were constituted vide Notification dated 25.09.2003. The State Government is now constituting new DPCs. The State Government has not issued separate guidelines for the functioning of the DPCs. The DPCs will function as per the direction laid down under Section 127 of

the Sikkim Panchayat Act, 1993. However, the State Government has issued detailed guidelines for District Planning.

Some of the key findings that have emerged from the information received and the discussions on the subject are as under:

- DPCs are not functional in most of the States. In a few States, they have not yet even been constituted, while in most of the States they are constituted but not as Constitutionally required.
- Several States such as Chhattisgarh, Gujarat, Madhya Pradesh, Orissa, Maharashtra and Himachal Pradesh have Ministers as Chairpersons of DPCs. This hampers the participative nature of the planning process in the DPC.
- DPCs are functioning effectively in Kerala, Karnataka and Rajasthan.
- DPCs have not been able to effectively enable rural-urban linkages. Coordinated planning is not taking place, and any joint project planning has not necessarily resulted in integrated project implementation.

The status in respect of the above States is based on the information received directly from the State Governments, various studies on the subject and also through the discussions in the Annual Plan meetings held in the Planning Commission.

2.4 Status of the preparation of District Plans in each State

Andhra Pradesh: The 13 BRGF districts have prepared the Annual Plans for the year 2007-08 which were approved by High Powered Committee. The Annual Plans for the year 2008-09 are under preparation. The planning process in Non-BRGF districts is yet to commence. There is no separate district budget within the Annual Plan of the State.

Assam: District Plans for 20 districts have been prepared for the Annual Plan 2007-08 and District Plans for the Annual Plan 2008-09 are under preparation. There is no separate district budget within the Annual Plan of the State. However, the proposal to have a separate budget is under consideration of the State Government.

Bihar: The District Plans for 37 districts covered under BRGF have been prepared for 2007-08. However, the District Plans for 2008-09 and Perspective Plan for Eleventh Five Year Plan are under preparation. There is no separate district budget within the Annual Plan of the State.

Haryana: The District Plans for five districts have been prepared and approved by the DPCs. District Plans for the remaining districts have been prepared but are under approval by the DPCs. There is no separate district budget within the Annual Plan of the State. There is, however, a provision of budget under District Plan as untied funds to meet the gap of resources at district level.

Himachal Pradesh: So far, District Plans of only two BRGF districts viz Chamba and Sirmour have been prepared.

Jharkhand: The District Plans for all the districts (except East Singhbhum district) have been prepared for 2007-08. The District Plans for 2008-09 and Eleventh Five Year Plan are under preparation as per the guidelines of the Ministry of Panchayati Raj.

Karnataka: Annual Plans for 2007-08 and 2008-09 for all the 29 districts have been prepared. However, formulation of comprehensive District Development Plan for the Eleventh Five Year Plan (2007-12) is underway in all the 29 districts.

Kerala: No district has prepared the District Plan so far. The District Plans are anticipated to be ready by 30th September, 2008 as per the Guidelines issued by the Local Self-Government Department. There is a separate Budget within the Annual Plan of the State and Annexure-IV of the State Budget is exclusively for furnishing the details of provisions to Local Self Governments.

Meghalaya: Before the preparation of the District Plans, consultation takes place at the district level. Through the deliberations in the consultations, the Plans are captured by the sectoral heads and projected in the sectoral Annual Plan through the administrative departments. State Planning Board also holds deliberations on the same. So far, only one district plan in respect of Jaintia Hills district has been

prepared for the Eleventh Five Year Plan 2007-12 and Annual Plan 2007-08. The District Plan for the Annual Plan 2008-09 in respect of South Garo Hills district and West Garo Hills district have also been prepared. There is a separate district budget falling under the Sixth Schedule Area.

Nagaland: District Planning Machinery Cells have been set up in all the District Headquarters headed by Assistant Development Commissioner designated as District Planning Officer with supporting staff. There is a separate district budget within the Annual Plan of the State with a provision of Rs.45 crore for implementation of Local Area Development Programme. However, so far, no District Plans have been prepared.

Punjab: The District Plans will be prepared after the constitution of DPCs in the State. There is a separate district budget within the Annual Plan of the State. Out of the total State Plan Outlay, some schemes are devolved at the district level for their implementation at the district headquarters. Allocation for these schemes is separately shown under the 'District Planning' in the Annual Plan of the State.

Rajasthan: District Plans have been prepared for all the 32 districts for the Eleventh Five Year Plan, Annual Plan 2007-08 and Annual Plan 2008-09 by taking help of experts as and when required. There is no separate district budget within the Annual Plan of the State.

Sikkim: The District Plans for all the four district of the State have been prepared. There is a separate district budget within the Annual Plan of the State.

There is no response from the remaining States.

Based on the discussions with the representatives of the State Governments and Technical Support Institutions, the following views have generally emerged:

- District planning process is still a non starter in India.
- In select districts, it is only a BRGF plan.
- District Planning Committees(DPCs) do not have the capacity to consolidate the District Development Plans.
- In most of the States, only constitutional formality is performed.

- There is no mind set for coordination or convergence or synergy.
- A big drive or pressure on the State Governments is needed to allow and strengthen DPCs to perform their constitutionally ordained function.

Chapter 3

3. Documenting Best Practices

3.1 Best practices adopted by States / Districts for implementation of schemes in the Districts

Andhra Pradesh: The State Government believes that the strength of any plan lies in four aspects. First, the overall goals must be recognized and stated; Second, the development of the plan must be participative; Third, it must be possible to implement the plan, particularly, it must match the availability of resources; and Fourth, it must provide for adaptability and change if necessary.

Assam : The State Government has started the process for identification of the best practices and models which are sustainable and replicable for guidance and role model.

Karnataka: Decentralized Planning at the Gram Sabha level under BRGF is the best practice which is sustainable and replicable.

Kerala: The best practices and model projects implemented by Local Self Governments through local level planning are as follows:

(i) **Solid Waste Treatment Plant - A Reality In Kottayam City**

As a part of Kottayam-Kumarakam Eco-city project, an integrated scientific solid waste treatment plant - a joint venture of Kottayam Municipality and Ramki Energy and Environment Limited, Hyderabad - was inaugurated on 21st July at Vadavathoor. The company made an investment of Rs. 5 crore for completing the project. The company will directly operate the plant for the coming 15 years and then it will be handed over to the Municipality along with the technology and training for equipping the employees of municipality to operate the plant.

The company will take over the solid wastes collected by the municipality after assessing the weight and then sorting out the wastes into re-useables, metals,

plastics etc. The remaining bio-wastes will be converted into bio-fertilizers with the help of Wind Row Composting system. Considering the high rainfall in Kerala, Wind Row Composting will be conducted under a spacious and roofed hall. The wastes will be put together with enough air circulation which will be shuffled with machines once in a week of every month to produce aerobic composting. The remaining solid and other non- biodegradable wastes will be separated with the help of Machine Rotary. Then the product compost will be packed with the help of machines. Only 50% of the wastes can be converted into bio- fertilizers. The residue in the form of stones, soil and other inert materials will be scientifically treated and buried in sanitary land fill system in order to avoid environment pollution. It is the first venture in Kerala with sanitary land fill system observing the rules of municipal solid waste management and handling. Measures have been taken to appropriate 2 acres of land to be transferred to the company for the above purpose.

To prevent the leakage of polluted water to ground water, sanitary land filling system is arranged with two layers, one layer of clay lining and above which another layer of high density polyethylene (HDPE) sheet lining. HDPE lining sheets must be joined carefully and scientifically to avoid the possibility of leakage through joints. Arrangement of Land Filling System itself will have an expense of Rs. 1.5 crore. In designing the project as a part of Kottayam-Kumarakam Eco-city programme preparing and inviting tender documents at national level, and for other follow up activities. A committee under the chairmanship of District Collector with representatives of State Pollution Control Board, Clean Kerala Mission and Town and Country Planning Department examined the tender documents and selected Ramki Infrastructure Ltd (Now it is named as Ramici Energy and Environment Ltd) for the approval of the council. Along with this the municipality has approved a project to collect wastes from their sources directly with stress being laid to creation of employment opportunities for low income category women.

(ii) **Thazhekkodu - The First Grama Panchayath Set Up Hospital Kiosk**

Thazhekkodu Grama Panchayath in Malappuram District made a breakthrough in the instant registration of eventing births and deaths in hospitals on 1st November 2006 establishing Hospital Kiosk as a beginning for celebrating the golden jubilee of the formation of Kerala State.

The concept of Hospital Kiosk is an electronic network established jointly by the Grama Panchayath and hospitals with the technical assistance of Information Kerala Mission. Under this network births and deaths in hospitals are instantly registered and certificates are issued to the concerned within 24 hours as per the section 12 of Birth and Death Registration Act. The relatives have to submit the relevant information to the hospital authority regarding birth or death in a prescribed form issued by the hospital authority. After scrutiny, it is submitted to the hospital kiosk. Making the entry in the computer, the data entry operator gives a copy of the same to the concerned for verification. On examining the copy and ensuring that there is no error, the person concerned has to re-submit it to the kiosk counter. If there are any errors, this will be corrected by the operator and the report will be sent to the officer concerned in Grama Panchayath through electronic media. The Registrar in grama panchayath verifies the report in computer and then prepares the certificate as per section 12 to be sent to the kiosk in hospital within 24 hours. It is immediately transferred from the kiosk to the person concerned by charging the service fee of Rs. 15. The main advantage is, if birth or death takes place in hospitals, the people can obtain the certificate under section 12 from the hospital concerned itself within 24 hours. This process offers transparency, accuracy and quality of service.

(iii) New Venture For Integrated Waste Treatment by Kadakkal Panchayath

Today the priority is accorded to the timely treatment of bio-wastes without creating any environmental pollution. For realizing the objective, Kadackal grama panchayath has implemented 'bio-tech', an integrated waste treatment project. An integrated waste treatment plant for producing bio-fertilisers and electricity was established by Kadakical grama panchayath in Kollam district with the technical assistance of bio-tech. It is a pioneering attempt in Kerala. Filth and wastes were produced on a large scale in the panchayath by the markets and butchers' shops. At this juncture, the panchayath decided to implement integrated waste treatment project as a remedy to the problem. Consequent on the implementation of the project the panchayath is now able to treat market wastes daily generated in the panchayath, Biomethanysation technique is used for the treatment of wastes.

The wastes expelled from the bio-gas plant connected to the waste treatment plant and the contaminated waste from butchers' shops are subjected to purification

and treatment and which is then used for the cleanliness and daily use of butchers' shops and the treatment plant. Biocyclerator is used for the treatment of bio-degradable wastes like dry leaves, sweepings etc. Bio-gas is used as the fuel in biocyclerator. Leaching facilities are set up with the plant for properly treating and segregating fibers and residues of vegetables. Final residues of the plant are used for preparing earth-worm compost. The main output of the plant- bio-gas is passed through filters for purification and with the help of generators it is used for the generation of electricity. Daily 3 KW of electricity is produced from the treatment of one ton of wastes. The produced electricity is used to light up 120 bulbs in a nearby park. The Panchayath is now a model in treating market waste and conserving energy. The technology is user and environmental - friendly.

(iv) **A Model Project to Improve Mental Health in Muhamma Panchayath**

Kerala, a show piece state in various fronts, has been losing its advantages in certain areas. There has been considerable increase in the incidence of suicide and mental diseases in Kerala. Hence, Kerala is urgently in need of a health policy to address these problems. Muhamma Panchayath has made some humble initiatives in this respect. Comparatively the panchayath stands in the forefront in literacy and education. The Panchayath has 21 Aganwadies, 5 L.P Schools, 1 U.P. School and 1 Higher Secondary School, 2 High Schools, 1 Special School for training the mentally challenged children and many Nursery Schools and Computer Education Centres. It also has five recognized libraries and a few Extension Education Centres.

While proud of being educated and civilized it is said that a good number of people in the Panchayath are victims of superstition. Many of them are not willing to reveal their mental stress and agony to others. Instead, they act upon the advice of local astrologers and other practitioners.

The issue was brought to the attention of the Panchayath and the Panchayath started a counselling centre in 1998 as remedial measure to address this menace. Patients coming to P.H. Centres having mental stress and problems are directed to the counselling centre. Some others are reaching the centre with the help of volunteers. **The significance of the project is that Muhamma is the first Panchayath in Kerala which started a counselling centre along with P.H.C.**

Now Muhanima P.H.C. has developed into a Community Health Centre and hence patients from nearer panchayaths are also able to make use of its facilities. It is only a humble step to reorient people from the clutches of superstitions to scientific outlook. A lot has to be done to expand the scope of the counselling as follow-up action. The Panchayath also started a pre-marital counselling programme as a part of the counselling centre in 2006-07. Pre-marital counselling equips the youngsters

Who are going to get married with awareness to overcome the crises that may surface in their family life. This enables them to lead a peaceful life by facing the realities of life. This also prevents the immature decisions of the newly wedded failed couples to resort to drastic steps like divorce.

The panchayath evolved the project with the help of health workers of C.H.C, Muhamma. Counselling is conducted in every Saturday and second Tuesday beginning at 10 am in the Community Health Centre. Counselling and pre-marital counselling are of course helpful to a large extent in reducing the rate of suicide. However, the major limitation is that it is confined to C.H.C only. To analyse the causes of suicide, the Panchayath also arranged a workshop by using the service of experts. It was found that various factors including financial problems were responsible for suicides and a sound mind to overcome the crises was the only antidote to this problem. The workshop called for the participants to propagate the programmes for enriching the mental health of the people to every nook and corner of the panchayath.

(v) Kuthali Grama Panchayat - ‘Ayurdalam’-A Comprehensive Health Project.

The Kuthali Grama Panchayath of Kozhikode district has launched “Ayurdalam”, a comprehensive health project to prevent transmission of communicable diseases, particularly AIDS. The project was taken up on an experimental basis in December 2006 with the help of the Kerala State AIDS Control Society. The main thrust of the programme is to create awareness among village people about sexually transmitted diseases (STD).

For the implementation of the programme, the Panchayath engaged 60 active volunteers in 12 wards, who were given adequate training with the help of Primary Health Centres. As many as 25 groups with 15 members each were formed in each ward. These groups conduct ward-level public campaign programmes. Two persons from each of the 150 Kudumbasree units existing in the Panchayat were also trained. The public campaign methods include seminars and group discussions. Talks by HIV infected persons, health check-up camps and street plays are the other methods adopted to educate general public and promote social awareness on the subject. Art and cultural festivals were also organized to achieve the goal. Twenty-seven other grama panchayats across the state are conducting similar campaigns with the help of the Kerala State AIDS Control Society. Terms like 'safe sex', 'abstinence' and 'monogamous relationships' have become common in the vocabulary of many community leaders, who have been educating their fellow villagers about HIV/AIDS.

Meghalaya : The best practices being adopted in the implementation of various schemes in the State are as follows:

- (i) The NREGA was initially operational in South Garo Hills and West Garo Hills District during 2006-07. The Government of India extended the schemes to three more Districts during 2007-08 namely East Khasi Hills, Ri-Bhoi and Jaintia Hills Districts. The remaining Districts viz West Khasi Hills and East Garo Hills will be covered during 2008-09. The scheme envisage enhancement of livelihood security for the poor household in rural areas by providing at least 100 days generated wage employment each year whose adult member whether to do unskilled manual work besides creation of durable assets and studying the livelihood resource base of the rural poor. It is expected that the project will be launched in all districts of the State during the current year.
- (ii) Another project, the Livelihood Improvement Project for the Himalayas (LIPH) was started as a joint initiative of the Government of Meghalaya and the International Fund for Agricultural Development (IFAD). The project is implemented by Meghalaya Rural Development Society (MRDS) in 5 Districts of the State e.g. East Khasi Hills, South Garo Hills, East Garo Hills, Ri-Bhoi & Jaintia Hills District. The project envisages

promotion and consolidation of self-help group (SHG) and enterprising Groups thus empowering the people through Social Sector activities to leverage fund for the project.

- (iii) State Coordinator for Self-help Groups (SHG): A Senior IAS officer has taken initiative on coordinating SHG efforts. A Website “meghselfhelp.gov.in” is replicable as information and dissemination resource centre. A draft directory of various materials in local languages is also available on the website. A survey has been conducted and final directory of SHG is likely by June, 2008. 900 SHG is far created, 2000 SHGs targeted. 4 acre of Strawberry cultivation in East Garo Hills leading to Rs. 50,000 profit in SHGs account. Livelihood Demonstration started such as Strawberry Cultivation. Systematic Rice Intensification (SRI) for paddy cultivation taken up. The State is endeavoring to create its own model for effective decentralized planning.

Nagaland: The best practices being adopted in Nagaland relate to Communitisation of Public Institutions and Services. This Innovative practice won the Prime Minister’s Award for Excellence In Public Administration. The salient features of this practice are as follows:

- Communitisation is the process of harnessing the social capital available in the user community at the grass roots to improve the delivery of public services such as the elementary school, the rural health centre, and power distribution.
- It is a unique partnership between the Government and the user community having stake in the services and involves empowerment, delegation, decentralization and capacity building in a legislative framework.
- It leverages the expertise and resources of the Government with the common interest’ and intrinsic motivation of the community. It is based on triple “T” approach
 - Trust the user community;
 - Train them to discharge their new found responsibilities; and
 - Transfer governmental powers, resources end responsibilities in respect of management.

- Communitiation is privatization but in the hands in the user community.
- It has been implemented in Nagaland with the enactment of Nagaland Communitisation of Public Services and Institutions Act, 2002. Salient features of the Act are as follows:-

- Board or Committee (Village Education Committee (VEC) for education and Village Health Committee (VHC) for health) to represent user communities.

✓ Members in the Committee are to be **Real Stakeholders, Right Agents and persons with expertise** for example,

VEC provides for parents of children who go to the school; and

VHC provides for representatives of the poor who are dependent on the Government system; and

Board for the Power Sector has 'smart' people with the ability to collect dues

✓ Senior most teacher/health officer is Member Secretary of VEC/VHC,
 ✓ Chairman/Members of the Board/Committee are selected/elected in open meeting of all households.

- Powers & Management functions of the Government are transferred to Board / Committee through the Act. Such powers and functions include

✓ disbursal of salary, power to implement 'no work, no pay' for the staff, grant of casual leave, maintenance of building/assets, purchase of books/medicines/equipments.

- Assets of the Government to be transferred to the user community through MOU.

- A Fund is created at the Board Committee level to credit salaries, other grants, contributions.

- Government, in a complete paradigm shift, changes to an assistive, monitoring and regulatory role.
- Power Sector Rules provide for a Single Point Meter (SPM) at source of each village or town ward which is transformer based (not municipal ward based) geographical area as unit for which the Board is constituted.
- The Board verifies consumption, prepares bills, collects payments, decides on connections/disconnection.
- Village Electricity Management Board (VEMB) is given a 20% (and Urban Electricity Management Board (UEMB) is given 10%) rebate or incentive on bills based on SPM reading.
- “How do they deal with defective/non-existent Meter Box? Billing is done as per “Useful Point” (40W = 1 ‘useful point’)

For example: If a bill of Rs.4500 is to be collected from a village having 1000 useful points, then the rate per useful point would be Rs 4.50

- Results of the exercise in Nagaland, as noted by a third-party evaluation, have been extremely impressive.

Education Sector

- ❖ Teacher attendance improved by 70-90% in all the schools.
- ❖ 0% drop-out reported in 62% of the schools.
- ❖ 100% schools received text-book grants in time.
- ❖ Clear trend of children shifting from private to Government schools in 60% villages.
- ❖ Expenditure on pay and allowances came down as bogus and proxy employees weeded out.

Health Sector

- ❖ Attendance of health functionaries improved to over 90% in all villages.
- ❖ Unauthorized absence of Government staff reduced to 0% in all villages,
- ❖ improved availability of good quality medicines in all villages.
- ❖ Clear shift of patients from private doctors to Government health centres.

Power Sector

- ❖ impressive increase in revenues of Power Department - 74% in rural areas and 103% in urban areas.
- ❖ Problem of power theft successfully tackled.
- ❖ Significant improvement in quality and continuity of power in the villages.

Overall

- ❖ 25% drop in crime in the State within two years of programme launch,
- ❖ Programme presently extended to new sectors, namely, rural tourism, rural water supply and rural roads in the State.

Punjab: The best practices and models being adopted in Punjab are as follows:

- The state government had launched a special project namely 'Punjab Nirman Programme' for improving the living conditions of the people of Punjab living both in rural and urban areas and to address their felt development needs more effectively at the grass root level in consultation with the local area representatives.
- A project for Setting up of Community Based Reverse Osmosis Safe Drinking Water Plants in Gidderbaha area of District Muktsar is being implemented by the Naandi Foundation in collaboration with Tata Projects Limited which is proposed to be replicated in other districts of the state.
- A model of cleanliness was adopted in Kharoudi Village in Hoshiarpur district by the NRIs with the help of the State Government for providing clean drinking water, sanitation, solid and liquid waste management and hygiene as a method to foster public health of the village Community. The NRIs of the village brought about dramatic improvement in its sewerage disposal system, the maintenance of roads, computers, schools, parks and libraries in Kharoudi village of Punjab. This model has also been replicated in Brahampura village (Ludhiana) and with some variations in Sangole village (Ludhiana) and Ulhana village (Patiala). This model can also be

replicated in other villages of the state and even in other parts of India with the help of NRIs, NGOs and Private organizations taking into account various conditions of the individual village, availability of water and space etc.

- A dedicated Social Security Fund amounting to Rs 550 crore funded by 5% cess on Electricity Duty and 3% additional stamp Duty on urban land transactions has been created by the State Government to meet the state's commitment in regard to old age and other pensions, various scholarships to SC girls and boys and other beneficiaries schemes for the disadvantaged groups.
- The state government is running 20169 Anganwadi Centres for the benefit of 13.50 lakh children and pregnant mothers.
- Special emphasis is being laid on construction of toilets and cleaning and deepening of village ponds for improving the village environment in the state. The State Government is introducing a new technology 'Continuous Leminar Flow Inversion Oxygenation' to restore the water quality of ponds.
- 18 blocks of 4 border districts (Amritsar, Ferozepur, Gurdaspur and Tarn Taran) are being covered under Border Area Development Programme and schemes relating to Education, Health, Agriculture & Allied sectors, infrastructure and social sectors are taken up under the Programme. Ministry of Home Affairs has started to provide funds for the development of Model Villages under BADP. This concept needs to be continued till all the villages of border blocks are covered.
- District Health Mission has been constituted to provide accessible, affordable, accountable and effective primary health care, as a part of nationwide National Rural Health Mission. District level Programme Management Units have been set up and made operational.
- The State Government has taken a lead by initiating a programme to set up over 141 Adarsh Schools, one in each block of the state for poor and meritorious students in collaboration with Private Parties.

- The State Govt. has launched an ambitious Information and Communication Technology Project for computer education among all the Upper Primary Schools. Besides, EDLJSAT Programme has also been started to provide better quality education through satellite. The state is successfully implementing the Mid-day Meal scheme in 15943 Primary and Elementary (Primary Section) schools covering about 14.65 lac students. The scheme has been extended to Upper Primary Stage (Classes VI-VIII) w. e. f. 1/10/2007 in 21 Educationally backward blocks of 7 districts of Bathinda, Ferozepur, Mansa, Mukatsar, Patiala, Sangrur and Tarn Taran covering 1052 schools with 113418 students. This programme would be further extended in the entire state by covering 5836 Middle schools and about 7.20 lac students (Classes VI-VIII) during 2008-09.

- The State Government is implementing the Sarva Sikhsha Abhiyan very successfully in upgrading the infrastructure in Primary and Elementary Schools and it feels that this programme needs to be strengthened and extended to Secondary Schools.

- The State Government has established new Centers for Training and Employment to Punjab Youth (C-PYTE) with a view to increase the employability in the Para — Military and Armed Forces in the State.

Rajasthan: The practices being adopted in the State are as under:

- Necessary trainings have been imparted to the concerned State / District / Block / Gram Panchayat level functionaries.
- Direct transfer of money through Banking Channel to Gram Panchayats.

Sikkim: The only best practice reported by the State is that Social Audit-cum-Vigilance Committees have been constituted at Gram Panchayat level.

Chapter 4.

4. Identification of the best institutions for providing technical support to District Planning

4.1 Background

Article 243 ZD(3)(d) of the Constitution makes provision for the District Planning Committee to consult such institutions and organizations as the Government may specify, in preparing the draft development plan. In the light of this constitutional provision, the Ministry of Panchayati Raj (MoPR) and the Planning Commission have considered the matter of providing expert assistance to support the process of district planning by Panchayats at all levels in BRGF districts. This is to ensure that district plans are prepared in accordance with the provisions of the Constitution governing the planning and implementation of schemes by Panchayats and consolidation of these plans by District Planning Committees into the draft development plan of the district. This process would be in consonance with the District Planning guidelines issued by the Planning Commission on 25.8.2006 and guidelines issued by the State Government concerned.

Following consultations at the national and regional level between MoPR and the Planning Commission with Institutions and NGOs concerned, steps have been taken to identify Institutions that could join hands with State Planning authorities, DPCs and Panchayats at all levels to assist in all aspects of participative planning from the grassroots level upwards, culminating in the preparation of the draft district plan. The outcome expected from this exercise would be holistic district plan document, which would include the plans for sectors that pertains to matters listed in the Eleventh Schedule, for example, agriculture, education, health, rural empowerment, roads, infrastructure development etc.

As per the guidelines issued by the Ministry of Panchayati Raj, the Ministry would prepare the list of districts to be assigned to each institution after considering the preferences indicated by these institutions. These identified institutions would be referred to as the “Technical Support Institution (TSI) for District Planning”. These

TSIs are not to be construed as an imposition from above but merely as professional support proffered by Ministry of Panchayati Raj to assist the District Planning Committee, the Panchayats at all levels in the district, in preparing good quality plans. The roll of the TSIs shall be the preparation of the District Plan keeping in view the recommendations of the Expert Group on District Planning. The process of Decentralized Planning would involve the following steps:

- (i) Needs assessment and priority setting through participatory for a like Grama Sabhas and SHG networks.
- (ii) Situation analysis using locally available data through simple methods supplemented by Participatory Rapid Appraisal techniques.
- (iii) Resource assessments from the following sources:
 - Own resources of PRIs
 - Untied grants from State and Central Governments.
 - Partially tied funds from schemes like BRGF and NREGA
 - Schemes devolved for local level planning and implementation
 - Peoples contribution in cash, kind and labour
 - Credit linkages
- (iv) Formulation of a vision of development as well as strategies for attaining the vision by the PRIs through a process of interaction with stakeholders and local experts.
- (v) Development of project ideas based on the need assessment and situation analysis by expert working Groups at different levels of PRIs.
- (vi) Consolidation of development proposals of the Working Groups.
- (vii) Prioritization of proposals and allocation of resources to the prioritized proposals.
- (viii) Preparation of project reports in detailed formats.
- (ix) Vetting of project reports on technical and financial aspects by Technical Advisory Groups of District Planning Committees (DPCs).
- (x) Integration of projects into plans by PRIs.
- (xi) Consolidation of PRI Plans into District Plans.
- (xii) Clearance of the Plan by the DPC.

The Planning Commission has circulated guidelines for preparation of Comprehensive District Agriculture Plan (C-DAP), which is a pre-requisite for release of funds under the Rashtriya Krishi Vikas Yojana (RKVY). This would also be a component of the overall District Plan.

4.2 List of Technical Support Institutions

Technical Support Institutions (TSIs) are accordingly being assigned by the Ministry of Panchayati Raj and the Planning Commission for preparation of District Plans. The list of Technical Support Institutions is as follows:

List of Technical Support Institutions identified and allotted to various districts for helping them in preparation of District plans

1. National Bank for Agriculture and Rural Development (NABARD)
2. Institute of Rural Management Anand (IRMA)
3. Peoples' Science Institute (PSI)
4. Participatory Research in Asia (PRIA)
5. Centre for Research in Rural & Industrial Development (CRRiD)

6. Central Research Institute for Dryland Agriculture (CRIDA)
7. Institute for Social and Economic Change (ISEC)
8. Central Arid Research Institute (CAZRI)
9. Bharat Gyan Vigyan Samiti (BGVS)
10. Centre for Management Development (CMD)

11. Action for Food Production (AFPRO)
12. Agriculture Finance Corporation (AFC)
13. Mysore Resettlement and Development Agency (MYRADA)
14. Professional Assistance for Development Action (PRADAN)
15. CARE India (CARE)

16. National Institute of Rural Development (NIRD)
17. Kalinga Institute of Industrial Technology (KIIT)
18. Institute of Applied Man Research (IAMR)
19. Asian Society for Entrepreneurship Education & Development (ASEED)
20. Bharatiya Agro Industries Foundation (BAIF)

21. National Institute of Agricultural Extension Management (MANAGE)
22. Yashwantrao Chavan Academy of Development Administration (YASHADA)
23. AMR Andhra Pradesh Academy of Rural Development (AMR APARD)

Chapter 5

5. Manual for District Planning based on guidelines issued by Planning Commission

The Planning Commission has constituted a Task Force for preparation of a Manual for District Planning. Based on the views expressed in the discussions held in the meetings of the Task Force, a draft of the Manual has been prepared and is being given final shape. The salient features of the Manual are given in the following paragraphs.

Background

District planning is a complex and multidimensional process. It is necessary to follow a very clear sequence of steps to arrive at a meaningful and optimal district plan. The design of process of district planning needs to take into account numerous factors such a duality of local bodies (i.e., panchayats and municipalities), a multitude of planning levels (ward, village, cluster, block, municipal areas, etc.), a multiplicity of development sectors (health, education, nutrition, sanitation, livelihoods, etc.), a variety of funding sources (central, state, centrally sponsored, local, etc.), an intertwined mass of departmental and programmatic machinery and finally, a broad spectrum of stakeholders loaded with conflicting expectations from the district plan. Evolving a planning process that sails smoothly through this perplexing scenario is indeed not an easy task. The process of district planning should, therefore, consist of the following broad steps :

- i) A visioning exercise at the district, block, village and municipal level through comprehensive baseline profiling and gap analysis to evolve a broad normative framework for the actual planning processes to follow;
- ii) An exercise of financial resource mapping at all three levels resulting in determination of fund envelopes to be communicated to grampanchayats / wards as a financial frame of reference for their planning activities;

- iii) Generating gram panchayat / urban area micro-plans through a participatory process of community mobilization within the broad framework of vision documents and fund envelopes;
- iv) Thematic consolidation of gram panchayat / area micro-plans at the sub-block / municipal ward level for spatial, sectoral and horizontal linkages;
- v) Translation of thematic plans into technically and financially competent proposals at the block / municipal level resulting in local body plans;
- vi) Integration of local body plans into a draft district plan at the district level and its final approval by the District Planning Committee;
- vii) Establishment of monitoring systems and social audit mechanisms to ensure effective implementation of the district plan.

Each district should examine the guiding principles carefully and adequately before applying them locally as considerable improvisation and customization may be required to tune them to the enormously varied ground realities across India.

The District Visioning Process

A district is an organic unit. Therefore, the district plan also needs to bear organic integrity. Though the planning processes are decentralized they cannot be disjointed. When parallel planning exercises are carried out at several different locations and levels the danger of fragmentation of vision as well as resources creeps in inevitably. The village / ward level micro planning processes as discussed later in this Manual trigger community aspirations and expectations. It is not fair to dismiss those expectations after they are fueled just because matching funds are not available or because they seem to be inconsistent with the district priorities as perceived at the top. This can frustrate the whole philosophy of decentralized planning. It is therefore necessary to work out a sound framework of development vision and resource availability well ahead of triggering the village / ward level planning exercises. This

automatically puts a feasibility check on the demands and wish-lists being raised by villages and wards.

The recent advances in the Geographical Information Systems (GIS) can add immense value to the district visioning exercises through interfacing of numerical / statistical data with the spatial information. The visioning exercises become far more effective when the complex numerical data gets presented in the form of graphic / visual models let it be watershed development, incidence of malnutrition or coverage of employment guarantee. Districts should actively procure GIS software and use it for the visioning exercises.

District Level Visioning

At the district level, the visioning exercise can be carried out by DPC itself or a body of similar constitution. The advantage of DPC's involvement right from the visioning stage is that it then makes the subsequent process of planning more coherent. Also, DPC can be then held accountable to plans prepared by the local bodies because they are driven by its own vision. However, the visioning at district level has to be much more than an armchair exercise of brainstorming by a closed group of people. The visioning exercise must have the following characteristics :

i) The vision must have a strong **empirical grounding** provided through rigorous compilation and analysis of the district baseline data in the following areas :

a. *Basic facts of the district* : geographical area, terrain, geo-climatic conditions, water resource scenario, flora and fauna, minerals, human population, types of habitation, households and families, demographic traits, social way of life, land use, etc.

b. *Public infrastructure and services* : Road and rail network, transport and communication, irrigation and water supply, electricity and fuel supply, housing and basic amenities, drainage and sanitation, food supply and nutrition services, public care delivery system, schooling and education, employment and self-employment, farm sector development, industry and trade, etc.

c. *Human Development Indicators* : Life expectancy at birth, maternal mortality, neonatal and infant mortality, child mortality, immunization, malnutrition, acquired disabilities, morbidity and linked mortality, literacy, mean years of schooling, average educational attainment, age at marriage, family planning, gainful employability and employment, access to adequate housing and basic amenities, standards of living, social security, fulfillment of civil rights, etc.

d. *Administrative setup*: district subdivisions, blocks, block subdivisions, grampanchayats, villages, urban & rural local bodies, and the overall governance setup.

e. *Financial information* : Past few years' trend of the total district budget with breakup of allocations source-wise and sector-wise, actual receipt and expenditure, distribution of resources among the rural and urban local bodies, distribution of resources among blocks and gram panchayats, areas of deficient and excess funding, etc.

ii) The vision must be formulated through intensive **participation of stakeholders**. This is necessary because in a scenario of limited resources and a multiplicity of stakeholders and their demands the conflict of interest is inevitable. But it can be tackled if an effective strategy of stakeholder consultations and negotiations is evolved. Whatever is the nature of the visioning committee at district level, it is necessary to regularly invite the stakeholders' representations while arriving at the vision plans;

iii) A careful blend of prescriptions and suggestions should be used while forwarding the vision framework to the subsequent level such as a block or a subdivision. The empirical (data-based) aspects of visioning exercise must remain highly prescriptive as otherwise it can lead to leakage and loss of crucial data resulting in distortion or mis-representation of the scenario and issues. The interpretative aspects of visioning, however, should be only indicative leaving enough room for the respective levels to deliberate on the actual ground realities.

Block Level Visioning

The block level visioning exercise may broadly follow the same set of principles and formats as those suggested at the district level. The block panchayat / municipal general body or the same body ultimately responsible for approving the block / municipal plans may undertake the visioning exercise. At the block level, special attention should be paid to :

i) The consolidation of information on gram panchayat wise financial allocations / expenditures as this information may be either non-existent or difficult to dig out. This aspect is again discussed in detail in the section on 'Resource Mapping and Fund Envelops' (sub-sections 2.2 and 2.3);

ii) Similarly, the block level visioning should try to more closely correlate service gaps with the human development shortfalls. This exercise may not always be possible at the district level because the human development shortfalls are influenced by many factors such as beliefs, practices, behaviors, etc., in addition to service gaps. District is often too large a unit to understand the local socio-cultural and other contexts influencing the interplay of key services and key indicators of human development. But a block is a more realistic unit to attempt such an analysis.

iii) The block level visioning can also bring out certain sub-block / cluster level priorities and make the cluster level nodal institutions such as PHCs (public health), Kendra Schools (school education), etc., accountable to those priorities. This will create a more coherent vision of development across the block-village continuum. Otherwise, in large states where the number of villages per block is well in excess of a hundred the villages could find themselves at a loss while trying to relate to the block vision.

Village / Ward Level Visioning

The village level visioning may be undertaken by gram panchayats along with various village committees and the vision framework should be ultimately vetted by

the gram sabha. The major concerns at the gram panchayat level visioning are as follows:

i) At the village / ward / area level, the distinction between visioning and planning gets blurred as both require the same set of participatory processes. However, these two activities can be viewed as distinct phases of the same larger process. The visioning exercise can focus more on a review of the village infrastructure, services, schemes / programmes, fund flows and expenditure, etc., about which the average villager may not be fully aware. Whereas, the activity of preparation of wish-lists may focus more on the felt needs and perceived priorities of the village community as a whole. The final village micro plan may be an integration of the two.

ii) In tribal areas often the hamlets of the main village are located high in the hills and forests and their development priorities are entirely different from those of the grampanchayat headquarter. Therefore, in such situations each individual habitation should sketch its vision and handover to the grampanchayat in written / documented form.

ii) The overarching role of gram sabha becomes especially important in case of such group-grampanchayats where the issue of equitable distribution of grampanchayat resources among the hamlets / habitations assumes gravity.

iii) A common deficiency of our data systems is a complete lack of information on the causal processes underlying any social / developmental issue. As an example, a district database may indicate malnutrition as a priority issue. However, it is never known at the district level if the problem is on account of dietary inadequacies or chronic morbidity or low birth weight or all of them. Therefore, it gets impossible to design precisely targeted interventions. The village visioning exercise can bridge this crucial gap by bringing to light the causal processes underlying the issues highlighted in the district / block vision.

Format of Vision Documents

The vision documents ought to have a comprehensive empirical analysis of the baseline scenario. They should also contain a thoughtful commentary on the scenario revealed by the baseline data. The exercise should result in a summary framework for which the formats indicating key infrastructure / service gaps, key outcome shortfalls, key development priorities and key interventions need to be considered.

Resource Mapping and Determination of Fund Envelopes

The envisioning process needs to be followed by a comprehensive financial resource mapping exercise at the district, block and village level. This provides a clear idea of envelop of funds available at each level and thus facilitates more realistic planning. Grampanchayats especially need to be provided fund envelopes to enable them to prepare specific and concrete village plans. However, this does not mean that the plans of clusters and villages must always confine to the fund availability indicated by the district. Instead, planning can be visualized in three stages :

Stage I : Achieving optimal outcomes within the existing pattern of allocations through enhanced programming and monitoring;

Stage II : Evolving the best possible pattern of allocations within the existing availability of funds through demand-supply matching;

Stage III : Optimizing the fund availability through more aggressive demands to the State and also through enhancing the local revenue / contributions/private capital.

The above sequence helps in enhancing the overall efficiency of utilization of available funds while also making demands for their greater availability. Unless the principles of efficiency and accountability are consciously built into the planning process it can easily fall pray to disproportionate and unrealistic demands leading nowhere. The fund envelopes across the district-block-village continuum need to be determined on the basis of three broad principles :

- i) Availability: The funding possibilities are ultimately decided by the net availability of funds in a district;
- ii) Equity: The available district funds need to be distributed equitably among the blocks, clusters and villages;
- iii) Priority: Within the framework of availability and equity the priorities of funding need to be decided according to the local contexts.

District Level Resource Mapping

The financial resource mapping at the district level should take into account all the existing / prospective sources of funds. A broad format for mapping of funds can be included indicating name of the department, name of the scheme, allocation and expenditure for three years including the current year for Central Sector Schemes, Centrally Sponsored Schemes and State Sector Schemes.

Block Level Resource Mapping

The financial resource mapping at the block level can be carried out on similar lines as that for the district. The block level data needs to be further disaggregated gram panchayat wise to roughly understand the fund availability at the village level. However, given the current scheme-centric scenario of budgeting it may not always be possible to track down the village level allocations for each scheme / sector. In fact, such allocations may not exist in many cases. In such situations, the trend of fund availability at the village level may have to be tracked using the past data on actual expenditure incurred under various schemes at the village level. Even the expenditure data at the village level may not be properly classified according to schemes / sectors / sources of funds. Therefore, block level onwards the resource mapping exercise may often turn into a process of reconstruction of financial picture from the available bits and pieces of data.

Gram Panchayat Level Resource Mapping

The extent of direct devolution of funds to grampanchayats is extremely low in most states and probably non-existent in some states. Therefore, merely looking at

direct allocations to grampanchayats is not adequate to understand the village level resource availability because such direct funding is usually limited only to a few programmes like NREGA and NRHM plus some grants as recommended by the Finance Commission. It becomes necessary to track all the expenditure activities sector by sector to understand the nature of fund flows in a village. Also, many activities / works may take place through untied funds, local revenues, community contributions or other non-governmental sources of funding. Such fund flows if regular in nature should also be captured as otherwise they may go unrecorded in the overall district resource mapping.

Providing Fund Envelopes to Grampanchayats

The above exercises of resource mapping should be utilized to work out a fund envelope to be communicated to each grampanchayat as a broad financial frame of reference for preparing its microplan. Each grampanchayat should receive a fund envelope along with a vision note from the district / block. This will provide a useful framework, both thematic and financial, for the village planning processes to take off in a realistic and meaningful way. A tentative format for fund envelopes to be provided to grampanchayats could include tentative fund availability and additional fund requirement for each prioritized sector.

Block and Municipal Planning Processes

The essence of decentralized district planning lies in generating demands for development programmes and services at the village level through community mobilization and then making the district governance truly responsive and accountable to people through mainstreaming their demands in the district plan. In other words, district planning envisages a complete reversal of the conventional trickle down of planning from the district through block to the village.

The duality of local governments in a district, i.e., panchayat bodies and municipal bodies, offers two independent channels of planning till their confluence finally at the District Planning Committee (DPCs). However, it is important that a

similar bottom-up approach of planning is followed in both urban and rural areas so that the planning process for the district as a whole is consistent and coherent.

Block Planning Processes through Panchayat Bodies

Generating Village Microplans

It therefore follows logically that the process of district planning should begin at villages. However, for decades the village communities in India have viewed themselves as passive beneficiaries of the government delivery systems. Therefore, they first need to be sensitized about their Constitutional right as well as responsibility to chalk out a plan for village development through conscious and informed choices based on a collective consensus reached through a socially inclusive process of participatory community mobilization. Such a process has already been tried out successfully in many parts of India and is now being recognized broadly as Village Microplanning. The term encompasses numerous local variants of this process, which have evolved to suit the respective contexts. However, it can be applied effectively to both rural and urban habitations. The major components of village microplanning include:

- i) Creating networks of local NGOs and youth facilitators / volunteers to support the micro-planning processes;
- ii) Rigorous training / capacity building of NGOS and facilitators / volunteers in PRA approaches and techniques to be used for micro-planning;
- iii) Sensitization of district and block functionaries so as to prepare a ground for launching micro-planning and for seeking their active involvement at all stages;
- iv) Actual conduct of micro-planning activities in villages including documentation of village baseline data, formulation of village development plans and creation of community monitoring mechanisms;
- v) Seeking the approval of gramsabha to the microplan.

Many states have now adopted a five-day framework of village micro-planning. A broad and indicative schedule of this activity is as follows :

Day-1

- Meeting with prominent villagers and members of village committees and sharing information about microplanning;
- Meeting village level government workers (Angwanwadi workers, ANM, Gram Sevak, Teachers, etc.);
- School meeting:
 - Sharing programmes details with students;
 - Personal hygiene;
 - Family hygiene;
 - Community hygiene;
- Gramsabha
 - Introduction and purpose of exercise;
 - Orientation on the next day activities including village mapping.

Day-2

- Environment building – Morning rally of children;
- Village mapping at a prominent location;
- Household Survey using the format (annexed);
 - Health - incidence of disease, expenditure on health care immunization status, ANC care, child mortality;
 - Water and Sanitation - water source, quality, personal hygiene;
 - Education - school enrolment, drop-out. Out of school, school visit;
 - Infrastructure survey;
 - General family information.
- Anganwadi
 - Registering births and deaths;
 - List of beneficiaries;
 - Details of pregnant and breastfeeding women;
 - Information about malnourished children;
 - Immunization, diet, weight;
 - Family Planning;

- Review of work done during the day/planning for next day;
- Review the work done by all resource teams (resource Persons and village volunteers);
- Gramsabha : sharing information on day's activities and its analysis. Urging the people to get involved in the next days weighing exercise.

Day-3

- Weighing children from 0-5 years age group;
- Discussion on age at marriage;
- Comparative analysis (healthy-unhealthy children);
- Seasonal analysis chart (what are the common diseases in each season, their effect, health hazards, etc.);
- Review of work done during the day/planning for next day;
- Gramsabha - Sharing information with the community.

Day-4

- Village cleanliness Rally (Fixing posters, fixing slogans on walls etc.);
- Change Analysis chart (Changes happened in the villages till date related to health);
- Period Line chart (information of earlier health related facilities, population, Diseases and present health related facilities, etc.);
- Expenditure on various addictions (secret information);
- Taking care of drinking water resources (drinking filtered water, adding bleaching, chlorine to water, repairs of hand-pumps, cleanliness of the place near the well and related work);
- Review of work done by all committees;
- Gramsabha - giving information about the work done and information gathered in last four days.

Day-5

- Construction of demonstrative models – toilets, soak pits, vermi-pits, compost pits;
- Review with resource teams;

- Data Collation, sharing analysis with the villagers;
- Preparation for Gramsabha Meeting and allocating responsibility;
- Gramsabha- Problem definition, problem solving, preparing community action plan defining time frame, roles and responsibilities.

The schedule as well as activity components need improvisation according to the local contexts.

Thematic Consolidation of Microplans at Cluster / Sub-block Level

As village microplans start rolling out, it becomes important not to expect them to be technically and financially competent proposals. For any district functionary preoccupied with the conventional notions of planning, it may not be very easy to accept a plain wish-list given by villagers as the base document for district planning. The process of consolidation of village microplans at the cluster or sub-block level is therefore a very delicate and crucial step in taking the planning process forward. The cluster level consolidation requires a lot of sensitivity to the local conditions and contexts within which the village level consensus processes operate. The main task involved in sub-block level consolidation is to thematically aggregate and prioritize demands emerging from microplans, and to broadly assess their technical feasibility. As an example, demands for water resource development received from several villages in a cluster may get better addressed collectively through a comprehensive watershed development programme rather than trying to attend to them village-wise. In other words, the common / recurrent demands across microplans need to be technically aligned to each other as well as to the overall priorities of the district and block to ensure coherence in the planning process.

However, such an activity demands integration of microplanning data with the official data systems of the district / block especially in the areas of public infrastructure and services at large, which are not likely to get captured in the village data. The data on roads, electricity, water supply, land use, raw materials, industries, markets, finances, etc., on the one hand and the aggregate performance of human development indicators especially health, nutrition, sanitation, education and

livelihoods on the hand need to be integrated with the microplanning data so as to get a balanced and authentic picture of development gaps and priorities. Nodal institutions at the cluster level institutions such as PHCs (public health), Kendra Schools (school education), etc., play a crucial role in this kind of data integration. The major components of sub-block level planning therefore include :

- i) Consolidation of village plans to arrive at aggregate themes and priorities of development;
- ii) Cross-check of priorities emerging from village wish-lists with the status of key infrastructure / services and human development indicators;
- iii) Mutual alignment of common / recurrent demands into technically feasible programme frameworks for individual villages or groups of villages;

Translation of Microplans into Technical-Financial Proposals at Block Level

The thematic cluster plans can then flow to the block level for their actual integration and translation into technically and financially competent work / activity proposals. It is therefore necessary to create a strong and competent cadre of technical-financial experts at the block level who will scrutinize the aggregate microplans and frame them into proposals for budget allocations. The block level planning activities therefore also need to have a strong backup of financial information including scheme wise data on allocations-receipts-expenditures over the last few years, difficulties / shortfalls experienced with the existing budgeting practices, possible ways and means of re-appropriating budgets to suit the public demands, etc. A complete mapping of existing resources available at the block level from all financial sectors such as central schemes, centrally sponsored schemes, state schemes, MLA / MP funds, local funds (taxes, cess), incidental / special receipts, non-governmental and community contributions, etc., needs to be carried out to know the extent to which demands of microplans can be accommodated in the block level budget. The major planning tasks at the block level can be summarized as follows :

- i) Integration of thematic cluster plans into the block level development priorities;
- ii) Working out technical specifications / standards for various activities / works to be included in the block plan;
- iii) Estimating the budget requirements for works / activities based on technical specifications;
- iv) Seeking the approval of block panchayat to the technical / financial plans.

Municipal Planning Processes

Generating Area Microplans

The process of preparation of area microplans can be quite similar to that of the village microplans. However, it is necessary to tune the PRA processes to the diverse urban contexts. The urban microplanning needs to be more focused on the complexities involved in management of urban infrastructure and services especially in slums and other underprivileged localities like red light areas. Similarly, extreme forms of urban poverty and deprivation such as those manifest in the homeless families, beggars, rag-pickers, etc., need to be addressed specifically.

While preparing area plans, the definition of 'area' (sub-ward level) needs careful consideration. Areas can be traditional neighborhoods (*mohollas*), certain habitation types (slums / residential areas / business areas, etc.) or the administrative sub-divisions of wards. Urban microplanning is often hampered by non-functional ward / *moholla* committees. Extreme socio-economic heterogeneity makes it difficult to bring people together for a common cause. Congestion and resource crunch also triggers greater conflict of interest among different groups. Therefore, ward microplanning needs to be designed carefully to ensure that it is inclusive and representative of all stakeholders. Similar to village microplanning the urban microplanning also involves networking and alliance-building with NGOs, youth groups, self help groups, etc., so as to create a large workforce required for carrying out the ground level activities of community mobilization. The major tasks involved in area microplanning are:

- i) Differentiation of municipal wards into suitable 'areas' depending on the local context of each municipal entity;
- ii) Creating networks of local NGOs and youth facilitators / volunteers to support the microplanning processes;
- iii) Rigorous training / capacity building of NGOs and facilitators / volunteers in PRA approaches and techniques to be used for microplanning;
- iv) Activation of *mohalla* committees and sensitization of municipal / ward level functionaries so as to prepare a ground for launching the microplanning activities;
- v) Actual conduct of the area microplanning activities including documentation of baseline data, formulation of development plans and creation of community monitoring mechanisms;
- vi) Seeking the approval of *mohalla* committee / ward sabha to the microplan.

Thematic Consolidation of Area Microplans at the Ward Level

Given the complex inter-linkages of urban infrastructure and services, it is crucial to make a thematic clubbing of area microplans or their common components at the ward level. As an example, construction / up-gradation of roads or laying of water supply pipelines cannot be planned separately for each area. Therefore, all such contiguous components of area plans first need to be thematically aligned at the ward level so as to avoid duplication / disjointed planning of activities. It is a common experience in urban areas that works / activities are taken up in individual wards / areas without keeping in mind their linkages / continuity with similar needs in the adjoining areas finally resulting in a great wastage of resources. The major tasks involved in thematic consolidation of area plans are :

- i) Identification of common / contiguous / overlapping needs in the adjoining areas;
- ii) Alignment of such components of area plans into ward level aggregate needs / demands;
- iii) Isolation of purely area specific needs / demands, which have no bearing or implications on the larger ward level needs;
- iv) Seeking concurrence of *moholla* and ward committees to the above classification of needs / demands.

Translation of Area Microplans into Ward Level Technical-Financial Plans

Once the area plans are neatly linked and aligned to each other then the main task at the ward level is to translate them into technically and financially competent proposals. Thus, is it necessary to create strong technical cadres at the ward level to handle this task. However, unlike rural planning it may not always be possible to get the entire exercise of technical-financial planning done in-house in the municipal areas. Identification and deployment of technical experts / consultants thus becomes a crucial step in formulation of ward plans. A suitable database of technical support agencies and appropriate procedures of their empanelment need to be evolved in advance to avoid delays on account of shortfalls in technical know-how. The major tasks involved in the ward level planning are :

- i) Integration of area plans into ward level priorities;
- ii) Creation of suitable technical cadres at the ward level and also an empanelment of suitable technical agencies for specialized support;
- iii) Translation of ward level thematic priorities into technically and financially competent proposals;
- iv) Seeking the consent of ward sabha to the ward plan.

Integration of Ward Plans into a Municipal Plan

Urban areas are characterized by ever increasing infrastructure / service demands unmatched by the resources available. Therefore, the main task involved in the municipal level planning is to prioritize demands raised by the ward plans in view of the ultimate priorities of the city / town. Also, the task of matching of demands with the net availability of resources needs to be done for the municipal entity as a whole. Therefore, the major planning tasks involved at the municipal level are :

- i) Integration of ward plans into the municipal priorities at large;
- ii) Matching of the resource availability with demands;
- iii) Formulation of a municipal plan with complete technical-financial details;
- iv) Seeking the approval of the general body to the municipal plan.

Integration of Rural & Urban Plans into a District Plan by DPC

In accordance with Article 243 ZD, the District Planning Committee (DPC) is to consolidate the Plans of Panchayats, blocks and Municipalities. The DPC assumes significance in the view of a rapid expansion of urban areas, conversion of agricultural land to urban uses and problems of peri-urban areas. It is the only platform where elected municipalities and panchayats come together. The objective of consolidation of plans is to strengthen rural-urban interface and rural-urban linkages thereby achieving a rural-urban continuum. This is necessary for balanced and holistic approach to development of districts. To address the issue of consolidation of plans effectively it is necessary that:

- i) Plan is to be prepared by the urban local bodies and block panchayats for the respective functions assigned to them taking into account resources available under various State and Central schemes as well as their own resources and resources raised from the financial institutions, multilateral / bilateral funds, PPP, etc.;

- ii) The district Plan should incorporate components of the State Plan including plans of parastatals and development authorities that relate to the district. Such consolidation may be necessary to present an integrated view of the overall plan within the geographical confines of a district;
- iii) Given that physical planning cannot be undertaken in watertight compartments, it is imperative to plan for the region to comprehensively address the issues of physical planning at various levels. In other words, regional planning should be harmonized with district planning;

Integration of NREGA, NRHM, SSA Plans into the District Plans

The Plans prepared under various sectors / schemes like NREGA, NRHM and SSA should be integrated into the District Plan.

Provision of Institutional and Professional Support to DPC

In order to enable the DPC to consolidate plans of block panchayats and municipalities, it is necessary that DPCs are empowered and professional support is provided. The DPC should discuss matters of common interest between the panchayats and the municipalities, including spatial planning, sharing of water and other physical and natural resources, as also the integrated development of infrastructure and environmental conservation of the district concerned.

DPC: Constitution, Roles and Responsibilities

- i) The State Election Commission to conduct election of DPC in accordance with the Article 243 ZD of the Constitution.
- ii) ZP Chairperson should be the Chairperson of DPC, and the Chairperson of the largest municipality in the district should be made the Vice Chairperson of the DPC in all states;

- ii) DPC should have a permanent administrative secretariat to coordinate with different tiers of panchayats, different municipalities, and different line departments in the district.

Professional Support

- i) DPC should be enabled to receive services of technical resource persons/groups to help it facilitate envisioning and bottom-up planning process in GPs, IPs, ZP and ULBs. The role and responsibilities as well as the accountability of Technical Support Group/Institution (TSG/I) should be fixed by DPC and monitored by respective tier of local government;
- ii) Similar support (TSG) needs to be made available at all GP, IP, ZP, and municipal levels for facilitating participatory and realistic planning. These TSGs should be recruited (voluntarily or paid) and controlled by local government concerned;
- iv) To strengthen the planning process and to provide forward and backward linkages separate TSGs comprising experts on important sectors namely education, health, agriculture, women and child development, public works and water and sanitation could be constituted at block level. These TSGs would provide regular guidance to elected representatives as well as to TSGs constituted at GP and Municipal level and provide inputs to ZP level. These TSG would also have a responsibility to consolidate the comprehensive plan at Block level;
- v) The TSG of DPC should coordinate with TSGs of local bodies for smooth facilitation of planning at various levels and also for integration of plans from different levels;
- vi) The TSG for DPC should provide regular feedback on the progress of planning process and also implementation of plans once approved by the DPC.

Institutional support

i) DPC should be able to garner institutional capacities to compile secondary data and if need be, generate primary data from each local body to help them undertake realistic and participatory planning in well informed manners and also to monitor economic development and social justice on objective indicators. It will also help DPC to provide inputs to different local bodies for their perspective and annual plans;

ii) DPC should be enabled to collect, compile and update information related to natural and human resources of the district. This would help to create a sound database for decentralized planning and preparation of district and block resources profiles and would also help in preparing list and map amenities at village, block and district levels (Provision in Uttarakhand DPC Act);

iii) DPC should be enabled to consult voluntary organizations during the comprehensive development process (Provision in Bihar DPC Act). Current system of engaging TSI to support DPC in facilitation of District Planning should be continued for coming 3 years or so to help this process stabilize. A sum of Rs. 10 lakh could be allocated for each district to facilitate the planning processes at various levels to help DPC prepare draft district plan;

iv) The budgetary provision for various departments for district-level items should be disaggregated and disbursed to DPC. A similar exercise should be undertaken at the level of blocks and municipalities. Within these budgetary parameters, the DPC should have the power to formulate its own plan on the basis of the "district-specific schemes" drawn from district-level sectoral plans and the "block and municipality-specific schemes" appearing in block and municipal plans (Provision in West Bengal DPC Act);

v) For the urban planning and consolidation of urban and rural plan DPC should have support and assistance from institutions like Town Country and Planning Office (Provision in Chhattisgarh). In addition, the District Town Planner (Provision in

Haryana DPC Act) and Engineers (Provision in Gujarat DPC Act) may be invited for meetings.

Planning Units at Different Levels

i) At GP level there should be a team of volunteers. These volunteers should interact with the people and facilitate preparation of plans. Their expertise should include facilitation of PRA exercises in taking stock of the natural resources and assessing the status in respect of social issues like health, nutrition, water supply & sanitation, education, etc. In addition, there should be a dedicated team for the GP to provide handholding support for the preparation of a people-centered plan (Provision in West Bengal DPC Act);

ii) At block level there should be a Block Planning Committee (BPC). The BPC should consist of the heads of grampanchayats and the members of executive committees of panchayat samitis and block-level officials from different departments (Provision in West Bengal DPC Act);

iv) At District level there should be District Planning Units with specialists from town planning offices, statistical planning and experts in economics (Provision in DPC Kerala);

v) To identify problems of the ward areas the ward committees should be constituted from among the general citizens of the ward and with representations of women of BPL families (Provision in West Bengal DPC Act);

vi) To strengthen the planning process the DPC may fund innovative development programmes formulated by various departments or the NGOs on the pilot basis (Provision in Karnataka DPC Act).

Devolution Aspects

i) Devolution of Functions, Funds and Functionaries to different tiers of panchayats and different categories of municipalities should be based on their activity

mapping and the principle of subsidiarity. Similar activity mapping should be done for functional aspects of DPCs;

ii) The members of DPC should be made aware of the principles of activity mapping with emphasis on their roles and responsibilities in respect of functions, funds and functionaries (3 Fs). In collaboration with TSGs the DPC should formulate a planning model on the basis of the devolution of 3 Fs.

Capacity Building Needs of DPCs

i) DPC is a Constitutional body comprising of 80% members from elected representatives of panchayats and municipalities and the rest 20% are nominated;

ii) Most of the elected representatives (who are members of DPC) are new to the political process and are not conversant their responsibilities especially the bottom up planning at each local government level;

iv) As members come with different backgrounds and with different levels of understanding they tend to get in conflict on redressal approaches. It is also observed that the functioning of DPC sometimes gets derailed due to political interference;

v) DPC members in general and members elected for the first time in particular are not aware of all Central and State schemes and the flow of funds to panchayats. In addition, they lack awareness on the roles of panchayats under these schemes and programmes;

vi) Since bottom up planning from villages to districts requires a complete shift in the planning paradigm, even the existing institutional mechanisms (district officials preparing 'top-down' district plan) for preparation of district plan require a fresh review;

vii) In most districts, an updated base line information about local resources (human, natural, financial, etc) is not available;

- viii) In the absence of a history of devolution the panchayats and municipalities find it difficult to envision a holistic plan;
- ix) There is a tendency on part of stakeholders to favor one's departmental or sectoral interests rather than the district plan as a whole;
- x) Planning itself is an engaging and well-informed process, which requires investments of resources by the planning body. But local bodies lack resources (finances and functionaries) necessary for mobilizing citizens and line departments, making them aware about visioning and planning processes, and actually engaging them in preparation of holistic plans.

Process of Integration of Plans by DPC

The District Planning Committee is expected to consolidate and integrate the plans of gram panchayat, intermediate panchayat, Zilla Parishad and the urban local bodies to formulate a *Draft Development plan (DDP)*. The DPC may disaggregate the components of these plans by items, time-periods and cost (according to their link with rural development programmes and sectoral programmes of the State Governments), distribute the activities to different local departments sector wise and finally prepare the district plan to be presented before the District Planning Committee for finalization and approval for the same. In order to accomplish the above tasks, the following actions are required:

- i) Synergizing of schemes* at each panchayat level so that adequate resources are available for implementing projects and programmes prioritized by the gram sabha and panchayats at all three levels;
- ii) Panchayats* at different levels should pool their resources together to implement projects, which are common to the two or more tiers of the panchayati raj system;

- iii)* Finally, the municipalities and panchayats should coordinate to explore possibilities of pooling together their respective resources to take up projects common to both rural and urban areas within the district.

Establishment of Local Development Plan (LDP) Processing Committees

Once the local area plans are prepared by panchayats and municipalities, they should be reviewed by the Local Development Plan (LDP) Processing Committee. This Committee should be chaired by the District Collector and the convener should be the District Planning Officer. Other members may include representatives of the private sector, officials of various state departments and other development sectors. This committee should be assisted by a Working Group on spatial integration. The LDP Processing Committee should review the various plans prepared by local bodies based on the available resources (funding) and priorities set up by the DPC. Thus, the DPC based on the available funding would identify broad priorities of development in the district. The LDP Committee will identify projects for the local governments based on these priorities. It is needless to mention that at the district level, the funding is often linked to various sectors and sub-sectors. The priority decided by the State Government at the district level may not be in consonance with the priority decided by the DPC. Therefore, it will be necessary to introduce zero based budgeting at district level.

Establishment of a Spatial Integration Group

The consolidation of various plans at the district level requires review of the local plans based on priorities and available resources (funding). Sector-wise planning processes often do not include spatial aspects. Therefore, it is recommended that the LDP Processing Committee is supported by a Spatial Integration Group with technical assistance provided by the District Town Planning Office. The planning area taken up for preparation of Development Plan/Master Plan of a town need not be limited to the area of ULB, rather it may include the entire district. The DPCs will be supported by a technical cell consisting of technical and planning staff. Adequate capacity building support will be provided to the technical cell of DPC by the Town Planning and other professionals involved in the process.

The concept of district planning involves a combination of top-down and bottom-up approaches. The major stages of preparation of Draft District Plan are data collection and analysis, identification of development issues, formulating development concepts, evolving policies and strategies, stakeholder consultations and finalization of the Plan. People's participation is required at each of these stages so that they feel the ownership of the plan. Optimum blending of people's participation and technical interventions is the unique character of the process. Therefore, the district officials should include representatives from various departments like agriculture, irrigation, forests, animal husbandry, education, town planning, housing, public health, social welfare, etc.

Components of Local Development Plan

- A. Perspective Plan for 15-20 years containing :
- A policy plan including development concept;
 - Spatial strategies for optimum utilization of resources;
 - Infrastructure plan.
- B. An Execution Plan for 5 years containing :
- Strategy for development - incorporating physical, social and economic dimensions;
 - Broad land use plan;
 - Infrastructure plan;
 - Sectoral strategies and proposals;
 - Development Regulations;

Components of District Development Plan

- A. Perspective Plan for 15-20 years containing :
- A development concept along with settlement pattern giving hierarchy and functions of various settlements in the district;
 - Policies for integrated development;
 - Regional infrastructure plan;

- B. An Execution Plan for 5 years containing :
- Strategy for integrated development and sectoral proposals;
 - Transportation network;
 - Location criteria for services and facilities;
 - Rationalization of fund allocation;
 - Development Regulations.

In order to translate the proposals on the ground, there is a need to provide adequate statutory backing, which can be notified under the relevant Local Body Act of the State Government concerned clearly stating the period for publication of District Plan after considering the objections and suggestions from the general public.

Figure 1 : Process for Integration of Local Body Plans into a District Plan

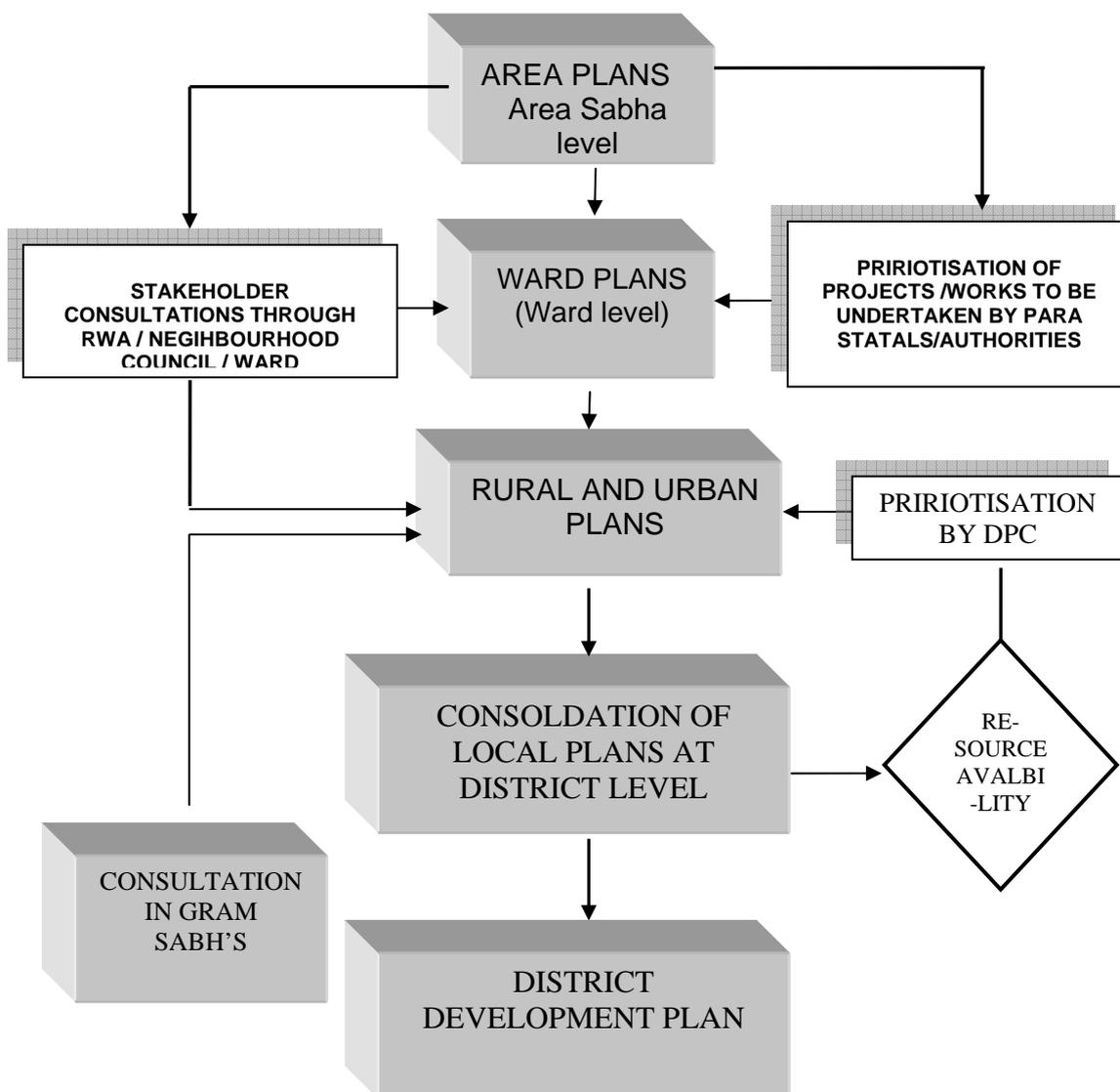
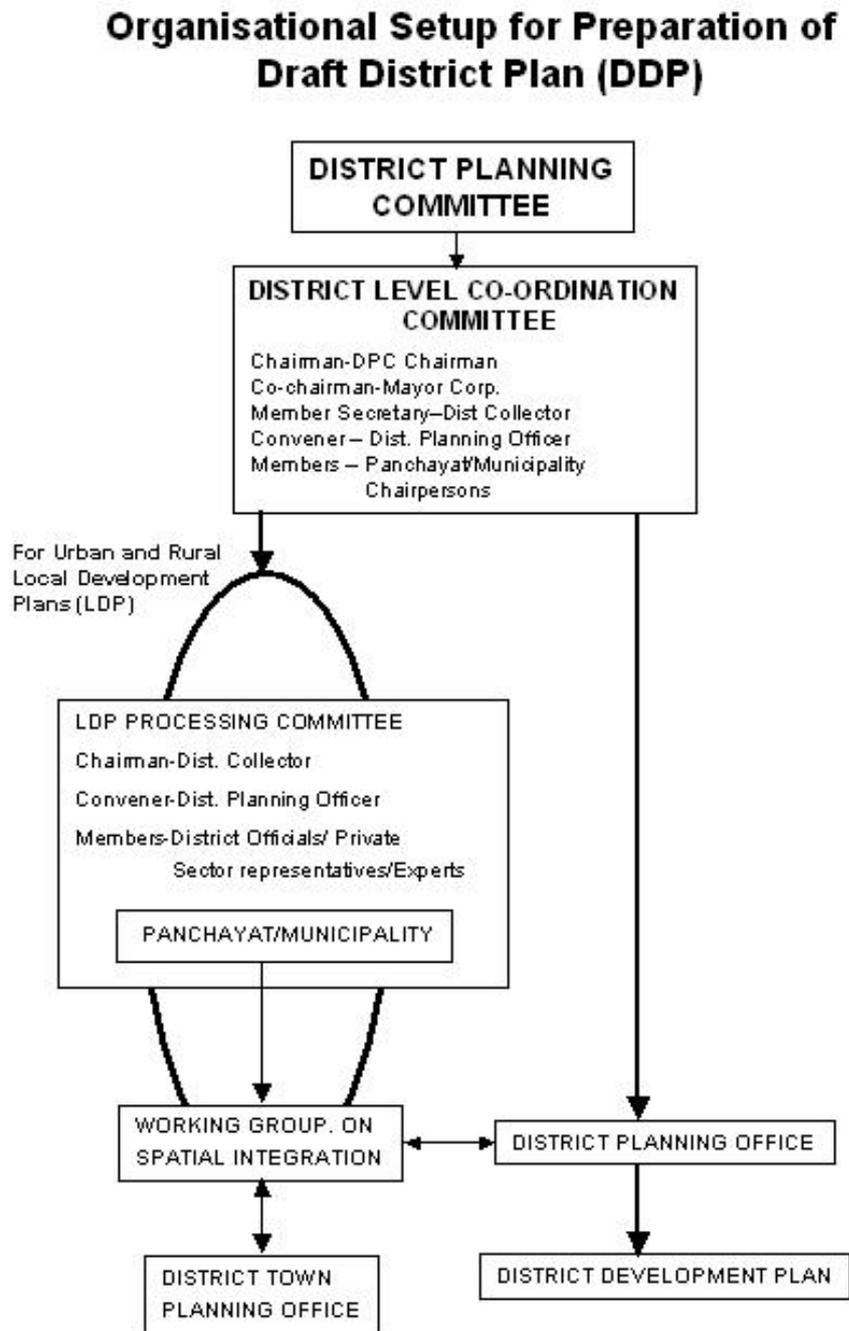


Figure 2 : Organizational Setup for Preparation of District Plan



Use of Plan Plus as a Tool for District Planning

The Plan Plus software developed by the Ministry of Panchayati Raj, Government of India in collaboration with the National Informatics Centre facilitates

the generation of district plans with active interaction among different district agencies. The key features of the software include:

- (a) use of funds from different schemes for a particular work to promote optimal utilization of funds and ensure completion of works;
- (b) sectoral integration intended to promote end-to-end projects;
- (c) vertical and horizontal integration between different levels of local governments as well as between different local governments with common interests;
- (d) consolidation of the plans of urban and rural local governments to generate a consolidated district plan;
- (e) customization to suit the needs of different states;
- (f) graphical and GIS reports to enable planners and the District Planning Councils to monitor the investment profile;
- (g) local language interface;
- (h) 24*7 web-based availability.

As it is structured at present, the software appears eminently suited to a detailed planning exercise. However, it is yet to develop features which would enable it to function as an outcome monitoring tool. Possibly, Plan Plus could be used in conjunction with software like Gram++ to ensure that the entire planning process from the formulation and design of plans to their implementation and the monitoring of outcomes can be viewed on an ongoing basis.

Concurrent Monitoring & Social Audit of District Plans

The data involved in district planning and monitoring encompasses varied aspects and is both statistical and qualitative. There are two major challenges in developing effective monitoring systems : one, to compile, integrate and regularly update such varied data, and two, to provide a graphical / visual interface for data interpretation so that it could be used effectively for taking decisions related to planning, execution and monitoring of programmes. The first aspect can be tackled through creating a set of simple, robust yet comprehensive numerical indicators along with systems for their regular and reliable measurement. The second aspect can be tackled through use of software packages such as Gram++ and Plan Plus, which

utilize numerical data to provide visual / graphical outputs and models highly useful for decentralized planning.

Numerical / Statistical Data Systems

The following broad principles should be considered while designing the data systems for monitoring.

i) Delimiting the Data Sectors and Indicators

In order to keep data systems lean and robust, the focus may be placed on core sectors of human development such as health, nutrition, sanitation, elementary education, livelihood security and civil rights along with services which directly affect the attainments in these areas.

ii) Filtering of Data at Various Levels

As a general rule, only the key outcome indicators should be passed on to the next level of aggregation (say, from village to block) whereas the data on the local processes which affect those outcomes should be retained for local level monitoring. As an example, the village level data on children in various grades of malnutrition may be aggregated at the block level but the information on the dietary practices followed in villages need not be carried forward.

iii) Concurrent Data Registration

The programmes should be designed in such a way that the data gets generated naturally, and the data-flows are synchronous with the actual process-flows.

iv) Identification of Key Indicators at Each Reporting Level

The nodal institutions at each level (such as *anganwadis*, PHCs and primary schools at the village / cluster level) should be provided formats for aggregating key indicators out of their routine data registers to be sent to the next level. A list of

possible key indicators reflecting the progress in different sectors in terms of both physical infrastructure and economic and social development should be prepared for this purpose.

v) ***Integrating Key Indicator Reporting with Monthly Progress Reports of Schemes***

The Monthly Progress Reports (MPRs) of various schemes are an important channel of data, which should be integrated with the concurrent monitoring system.

vi) ***Digitization and Consolidation of Data***

The following principles should be considered while digitizing the manual data :

- a) Raw data should be converted to the next level of cumulative / aggregate indicators so as to minimize the quantum of digitization;
- b) Digitized data should be posted to the next level in one go without the problem of multiples lumps reaching at different times.

Private IT entrepreneurs may be hired locally and trained for the data digitization activities. Self-contained Wide Area Networks (WANs) of about 10 villages each can also be considered for data consolidation at cluster level.

vii) ***Use of GIS / Spatial Interfaces***

Wherever possible, the data systems should be interfaced with GIS to facilitate more effective analysis, decision making and monitoring.

Participatory Evaluation and Social Audit

The numerical and spatial data systems for planning and concurrent monitoring are a necessary, but not sufficient, condition for making programmes outcome-oriented and socially accountable. Ultimately, the accountability of any

programme can be fully ascertained only through a direct impact assessment by beneficiary communities and the civil society at large. The citizens' Right To Information, Social Audit, Community Score Cards, Citizens' Report Cards are all tools for ascertaining such accountability.

Proactive Disclosure under the Right To Information

Referring specifically to decentralized programming, the general elements of proactive disclosure can be summarized as follows :

- i) Key indicators of the existing status of public infrastructure, services and human development attainments in the district / block as the baseline scenario for public reference;
- ii) Summary of existing programmes and allocations in major sectors;
- iii) Summary of processes followed for getting the village / ward level wish-lists prepared;
- iv) Aggregate priorities emerging from the village / ward wish-lists;
- v) Summary of processes followed for translation of aggregate wish-lists into technical-financial proposals at appropriate levels;
- vi) Summary of processes followed for getting final approvals to the technical-financial proposals;
- vii) Final technical plans and financial allocations with details of work shelves;
- viii) A concrete plan of implementation of works along with the nature of fund-flows, processes of implementation, role of communities / various stakeholders in monitoring of those works;
- ix) Exact timeline, progress and status of any of the above processes;

- x) Details of Public Authorities; various documents / records / specimen / other information held by them; names, contacts and roles-responsibilities of key functionaries associated with the above mentioned processes; names and contacts of PIOs for seeking further information, etc.

Monitoring of Plans by Gramsabha / Wardsabha

It is necessary to ensure that the gramsabha / wardsabha meets and audits the implementation of plans regularly. Some of the measure to make this happen could be as follows:

- i) *Mandatory Meetings:* Gramsabha should meet at least once every month;
- ii) *Code of Conduct:* Norms need to be fixed for the following aspects of gramsabha / wardsabha meetings :
- ❖ Convening meetings at fixed minimum periodicity;
 - ❖ A well structured agenda of deliberations representing the concerns of all sections of the community, and also the works / activities / issues to be reviewed and monitored;
 - ❖ Mandatory attendance of grampanchayat / wardpanchayat members as well as all village / ward level functionaries and other concerned parties such as work contractors, private service providers, etc., along with the necessary records / documents / specimen pertaining to various works.
 - ❖ Public reading / inspection of documents / records and samples;
 - ❖ Public reading of the results of community score cards / citizens' report cards and such other exercises of public assessment of works and services;
 - ❖ A public exercise of exact tracking of funds allocated / disbursed for various works / activities;
 - ❖ Detailed recording of deliberations and public reading of draft minutes before conclusion of the meeting to ensure that the recording is not biased.
- iii) *Record of Meetings as a Mandatory Requirement for Funding :* All national / state programmes devolving funds to the local bodies should make the record of meetings of gramsabha / wardsabha a mandatory condition for funding. This will

create a sense of seriousness about such meetings among the higher tiers / levels of local bodies also because they might lose funding on account of non-functional village / ward sabhas.

Social Audit

Certain minimum norms should be evolved for the conduct of a social audit to ensure its credibility:

- i) Mandatory presence of all those who matter and also an unrestricted access to all those interested in joining;
- ii) Clear objectives of the audit;
- iii) Clear procedures, processes and steps for conducting the audit, which are made known to all in advance;
- iv) Unrestricted availability of all records / documents / specimens to be reviewed;
- v) Unrestricted right of questioning / commenting to all those present on the scene;
- vi) Right to summon certain individuals / parties for recording their views / statements;
- vii) Structured participatory exercises of valuation of works / services such as community score cards / ranking;
- viii) Wherever possible, presence of trained observers not concerned or involved with the matters being audited;
- ix) Careful documentation including notes, photographs, audio-video recordings, compilation of records / samples, etc., carried out by more than one persons representing different parties in the audit process;
- x) Reconciliation and reconfirmation of minutes / decisions through their open reading and discussion;
- xi) Signatures / thumb impressions of all concerned on minutes / decisions of the audit.

Sector wise norms of monitoring and audit should be evolved to facilitate a systematic and structured process of audit.