Manual for
Integrated District Planning

Manual for Integrated District Planning

Planning Commission
Government of India

Foreword

The overriding theme of the Eleventh Plan is inclusive growth. One of the crucial instruments for achieving this is district planning. In order to achieve optimum outcomes in terms of balanced development with convergence of resources and enforcement of inter-sectoral priorities, District Planning seeks to improve the planning process. This has traditionally been functioning in a top-down manner, thereby losing significant amounts of local and sometimes expert information. Planning Commission has issued guidelines for district planning in August, 2006 with the main objective of making district planning a reality in the Eleventh Plan. However, the feedback from the States clearly indicates that the wherewithal for such a planning exercise was limited and also the term "district planning" held different connotations for different people. A Manual for District Planning was, therefore, a felt need which emerged from our dialogues with the States.

In order to meet the need for a Manual for District Planning, a Task Force was set up under the chairmanship of Smt. Rajwant Sandhu, Additional Secretary, Ministry of Panchayati Raj with Members who had rich and varied experience in district planning.

The Task Force under her chairmanship has now submitted its report in November, 2008. This manual is a step by step guide to district planning which will assist planners at the local, district and State levels. District planning, by taking into account resources locally available, infrastructure status and gaps, the aims and vision of the local people and weighing options of lead sectors, would definitely foster inclusive growth. The enhanced level of transparency at all levels will not only help in understanding the disparities between the living standards of people but also enable equitable and humane planning.

I am sure that this manual will serve as an invaluable tool for planners at all levels. Planning Commission is aiming at further strengthening the hands of users of this manual by putting in place a new scheme for Supporting the Planning Process at the National, State and District level. This scheme will enable States and districts to access the best technologies as well as qualified people for planning.

I am grateful to Smt. Rajwant Sandhu and all the Members who took such a keen interest in the deliberations. Shri T.R. Raghunandan, Joint Secretary, Ministry of Panchayati Raj made invaluable contributions by putting together the material received from the Members and his own deep insights and practical experience of the subject. I would also like to express my thanks to Shri A.K. Mehta, Joint Secretary, Ministry of Urban Development and Shri P.K. Mohanty, Joint Secretary and Mission Director, JNNURM, Ministry of Housing and Urban Development and their team of officers for helping to fill a critical gap in district planning - urban planning and its integration with the plan for the district. The Task Force was serviced by MLP Division, Planning Commission.

I am thankful to Shri L.P. Sonkar, Adviser and Shri Avinash Chander, Consultant for providing vital inputs and support. Special thanks are due to Smt. Indu Patnaik, Deputy Adviser who worked tirelessly and with complete dedication to facilitate the working of the Task Force.

I firmly believe, that use of the manual and wherewithal provided under the Scheme for Support to the Planning Process will help make district planning an intrinsic part of the development process during the Eleventh Plan itself.

(B.N. Yugandhar)
Member
Planning Commission

Acknowledgements

of Agriculture, Maharashtra, Dr. H. Ramachandran, Professor and Head, Department of Geography, Delhi School of Economics, Shri Ramesh Ramanathan, Janaagraha, Dr. Rajesh Tandon, Society for Participatory Research in Asia (PRIA), enriched the deliberations of the Joint Task Force. Shri A.K. Mehta, Joint Secretary, Ministry of Urban Development and Dr. P.K. Mohanty, Joint Secretary and Mission Director Jawaharlal Nehru National Urban Renewal Mission (JNNURM), Ministry of Housing and Urban Poverty Alleviation made a valuable contribution regarding planning for urban areas. Since some of the members had other commitments and could not attend all meetings personally, they deputed their representatives who again made a very professional and significant contribution to the work of the Task Force. Shri M.L. Chotani, Additional Chief Planner, Ministry of Urban Development (MoUD), Shri Gopal Prasad, Deputy Director, Ministry of Housing and Urban Poverty Alleviation, Shri Manoj Rai, Director, PRIA, Ms. Nandita Aras, Director, Research, Janaagraha, Bangalore and Smt. Shruti Veenam, Yuva Janaagraha Coordinator, Janaagraha, Bangalore must be mentioned here. Dr. D.C. Mishra and Ms. Rama Hariharan of the National Informatics Centre (NIC) provided valuable support regarding ICT for district planning. Mr. Pieter W. Bult, Deputy Country Director, United Nations Development Programme (UNDP) and Ms. Sumeeta Banerji, Assistant Country Director, UNDP contributed material on capacity-building of District Planning Committees (DPCs) and Panchayati Raj Institutions (PRIs) and provided inputs on Human Development Reports (HDRs), gender issues and change management.

The task of writing up the processes, preparation of the formats and Annexes for Volume II was performed by Dr. Sumedh Gurjar of YASHADA under the guidance of Shri V. Ramani and Shri T.R. Raghunandan, Joint Secretary, Ministry of Panchayati Raj. Shri T. Raghunandan was mainly responsible for putting all the ideas together and converting the written material provided by members, along with his own learning and contribution, into a coherent document. From the Planning Commission, Shri Sonkar, Adviser, Ms. Indu Patnaik, Deputy Adviser and Shri Avinash Chander provided valuable support.

The Members of the Task Force express their gratitude to Shri B.N. Yugandhar, Member, Planning Commission for his guidance, and to the Planning Commission for giving them an opportunity to contribute to the development of a seminal document. We hope this document will provide guidance to field officers in their task of preparing District Plans that are based on a long-term vision, reflect the needs of the people, and provide a framework for convergence of programmes and resources, so that implementation of the plans yields optimal outcomes and helps address regional imbalances, with a view to bringing all areas of the country into a twenty-first century vision of development.

Rajwant Sandhu
Additional Secretary
Ministry of Panchayati Raj
11.11.2008

Abbreviations

ACA	Additional Central Assistance
AIBP	Accelerated Irrigation Benefits Programme
AIILSG	All India Institute of Local Self Government
ANM	Auxiliary Nurse Midwife
ARWSP	Accelerated Rural Water Supply Programme
ASCI	Administrative Staff College of India
AWW	Anganwadi Worker
BISAG	Bhaskaracharya Institute for Space Applications and Geo-Informatics
BPL	Below Poverty Line
BRGF	Backward Regions Grant Fund
CDP	City Development Plan
CMP	City Mobility Plan
CPL	Community Participation Law
CSRE	Centre of Studies in Resources Engineering
CSS	Centrally Sponsored Scheme
DDC	District Development Council
DIMI	Decentralised Information Management Initiative
DIPS	District Information and Planning System
DP	District Panchayat
DPC	District Planning Committee
DPU	District Planning Unit
DRDA	District Rural Development Agency
DST	Department of Science and Technology
EGS	Employment Guarantee Scheme
EIA	Environmental Impact Assessment
EMP	Environment Management Plan
GIS	Geographic Information System
GPR	Ground Penetrating Radar
HDR	Human Development Reports
HHP	Housing and Habitat Plan
IAS	Indian Administrative Service
IAY	Indira Awas Yojana
ICDS	Integrated Child Development Services
ICT	Information and Communication Technology
IEC	Information-Education-Communication
IES	Indian Economic Service
IHSDP	Integrated Housing and Slum Development Programme
IIPA	Indian Institute of Public Administration
IIT	Indian Institute of Technology
IMR	Infant Mortality Rate
IP	Intermediate Panchayat
ISS	Indian Statistical Service

JNNURM	Jawaharlal Nehru National Urban Renewal Mission
LAMPS	Large Area Multi-purpose Cooperative Societies
LPCD	Litres Per Capita Per Day
MDM	Mid-Day Meal
MFI	Micro-Finance Institution
MIS	Management Information System
MMR	Maternal Mortality Rate
MoU	Memorandum of Understanding
MoUD	Ministry of Urban Development
MP	Master Plan
MSK	Madhyamik Siksha Karmasuchi
NABARD	National Bank for Agricultural and Rural Development
NCC	National Cadet Corps
NCT	National Capital Territory
NGO	Non-Governmental Organisation
NIC	National Information Centre
NIRD	National Institute for Rural Development
NRDMS	Natural Resources Data Management System
NREGA	National Rural Employment Guarantee Act
NRHM	National Rural Health Mission
NRI	Non-Resident Indian
NRSA	National Remote Sensing Agency
NSAP	National Social Assistance Programme
NSC	NUIS Committee Standards
NSS	National Service Scheme
NUDBI	National Urban Data Bank and Indicators
NUIS	National Urban Information System
NWDP	National Watershed Development Project
NYK	Nehru Yuva Kendra
PACS	Primary Agricultural Cooperative Societies
PDS	Public Distribution System
PESA	Panchayats (Extension to the Scheduled Areas) Act
PHC	Primary Health Centre
PIO	Public Information Officer
PLCP	Potential Linked Credit Plan
PMGSY	Pradhan Mantri Gram Sadak Yojana
PRA	Participatory Rural Appraisal
PRI	Panchayati Raj Institution
PRIA	Participatory Research in Asia
RCH	Reproductive and Child Health
RGGVY	Rajiv Gandhi Gramin Vidyutikaran Yojana
RGI	Registrar General of India
RKVY	Rashtriya Krishi Vikas Yojana
RLI	River Lift Irrigation
RMSPL	Riddhi Management Services Private Limited

RTI   Right to Information
SC   Scheduled Caste
SCP   Special Component Plan
SEZ   Special Economic Zone
SGSY   Swarnajayanti Grameen Swarozgar Yojana
SHG   Self-Help Group
SIRD   State Institute of Rural Development
SSA   Sarva Shiksha Abhiyan
SSK   Sishu Siksha Karmasuchi
ST   Scheduled Tribe
SWOT   Strengths, Weaknesses, Opportunities and Threats
TRIFED   Tribal Cooperative Marketing Development Federation of India
TSC   Total Sanitation Campaign
TSI   Technical Support Institution
TSP   Tribal Sub-Plan
UDPFI   Urban Development Plans Formulation and Implementation
ULB   Urban Local Body
UNDP   United Nations Development Programme
USIS   Urban Spatial Information System Component
VAMBAY   Valmiki Ambedkar Awas Yojana
VEC   Village Education Committee
VP   Village Panchayat
YASHADA   Yashwantrao Chavan Academy of Development Administration

Table of Contents

Volume 1

**Overarching Reforms
for
District Planning**

Introduction and Background

1.1 A brief history of decentralised planning in India

1.1.1 Decentralised planning found expression for the first time in the First Five Year Plan (1951-56), when it was suggested that the planning process be undertaken at the state and district levels too. Under these arrangements, a District Development Council (DDC) was constituted in each district to prepare plans, based in varying degrees upon a village-level participative process. The first Administrative Reforms Commission (1967) stressed the need for meaningful planning at the district level especially focusing on local variations in development patterns. The Planning Commission issued its first guidelines for district planning in 1969 that led to several states formulating district plans. However, barring a few excellent examples, these initiatives in district planning tapered away as these local planning exercises were not linked to the annual planning process in most states. These initiatives also did not incorporate urban planning processes as part of district planning.

1.1.2 Measures for district planning suggested in that era largely ignored the role of local bodies as central owners of their plans. This approach was not entirely unjustified. Even following the Balwant Rai Committee report and the constitution of Panchayats in several states, the Panchayats were still not considered a permanent feature of a multi-tiered government system. Therefore, they were at best to be consulted or co-opted as faithful assistants of the planning process directed from above, through the holding of Gram Sabhas to facilitate people to voice their preferences, which in turn would be acted upon by line departments. Panchayats were also not able to pull their weight as independent planning units exercising autonomy within their functional sphere because most of them had few financial resources.

1.1.3 From the late sixties to the mid-eighties, the trend was towards greater centralisation of administration. Due to the absence of concerted political and administrative support, Panchayats had by the late sixties been superseded in most states. The formulation of Centrally Sponsored Schemes (CSS), implemented mainly through line departments led to the virtual collapse of the district planning process. Though there were several efforts to stem the tide, (Dantwala Committee, G.V.K. Rao Committee), these were largely unsuccessful. The weak nature of local self-governance institutions and the growth and multiplication of sectoral departments and parastatal bodies favoured vertical planning and obscured information on the availability of resources for a decentralised planning process in districts.

Box 1: Decentralisation – Chronology of attempts and committee reports[1]

Year	Item	Ideas and Concepts
First Plan 1951-56	Community Development Blocks	To break up the planning exercise into national, state, district and local community levels.
Second Plan 1956-61	District Development Councils	Drawing up of village plans and popular participation in planning through the process of democratic decentralisation.
1957	Balwant Rai Mehta Committee	Village, block, District Panchayat institutions established.
1967	Administrative Reforms Commission	Resources to be given/local variations accommodated, purposeful plan for area.
1969	Planning Commission	Formulated guidelines; detailed the concept of the district plan and methodology of drawing up such a plan in the framework of annual plans, medium-term plans and perspective plans.
1978	Prof. M.L. Dantwala	Block-level planning to form link between village and district-level planning.
1983-84	CSS/Reserve Bank of India	Strengthen district plan/District Credit Plan.
1984	Hanumantha Rao Committee	Decentralisation of functions, powers and finances; Setting up of district planning bodies and district planning cells.
1985	G.V.K. Rao Committee	Administrative arrangements for rural development; District Panchayat to manage all development programmes.

1.2 Recent developments in promoting decentralised district planning

1.2.1 The 73rd and 74th Amendments of the Constitution mandating the establishment of Panchayats at the district, intermediate and village levels clearly envisaged a reversal of the hitherto centralised approach to district planning. The 74th Constitutional Amendment Act mandated the establishment of the District Planning Committee (DPC) for consolidating plans prepared by Panchayats and municipalities in the district into the Draft District Plan. The amendments also established the overarching responsibility of the Central Government to ensure the full implementation of Parts IX and IX A of the Constitution and empowering Panchayats and Municipalities as institutions of local self-government. The Central Government's interest in strengthening local governments also emerges from the widespread need for institutional changes to enable and sustain greater access to basic local services, as well as from the considerable investments it currently makes in local service delivery functions, through Centrally Sponsored Schemes (CSS). The establishment of the Panchayati Raj Ministry is in furtherance of this larger

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[1] From Chapter 2 of the V. Ramachandran Expert Group report on Grassroots-level Planning. The key milestones in decentralised planning are detailed in this Chapter.

commitment to the ideal of deepening democracy and promoting efficiency in local service-delivery.

1.2.2 On the eve of the preparation of the Eleventh Plan, in 2005, the Ministry of Panchayati Raj constituted an Expert Group chaired by Shri V. Ramachandran to study and make recommendations, inter-alia, on "formulation of District and Sub-District Plans at all levels of Panchayats aimed at delivery of basic minimum needs to citizens at the grassroot levels". The report of the Expert Group was accepted by the Ministry of Panchayati Raj and the Planning Commission. The Planning Commission issued its detailed guidelines for district plans in the Eleventh Five Year Plan through its circular dated 25.8.2006.

1.2.3 The Eleventh Five Year Plan has stressed that it is absolutely critical for the inclusiveness of our growth process that the large numbers of elected local government representatives are fully involved in planning, implementing and supervising the delivery of essential public services[2]. Chapter 10 of the Plan, dealing with governance reform devotes considerable space to listing reforms required to put local governments in the centre of local planning, implementation and monitoring. The plan also stresses that each district prepare a District Development Plan that integrates plans for its constituent urban and rural areas, as well as sectoral allocations for various schemes for the urban and rural areas. It further suggests the need for inter-related plans over three timeframes: (i) perspective or structure plans (20-25 years), (ii) short-term integrated infrastructure development plans co-terminus with the National Five Year Plan, and (iii) plans of specific projects and schemes.

1.2.4 The states have acquired a fair degree of sophistication in preparing State Plan documents. Moreover, institutional reform that is essential for district planning has also begun to move forward in the states. In conformity with Article 243ZD, most of the states have enacted legislation for the constitution of the DPCs. On the other hand, substantial resources are flowing from the Centre to the states through CSS and Additional Central Assistance (ACA) aimed at addressing socio-economic backwardness, which involve development of infrastructure and delivery of services at the grassroots. The size of the Central annual plan has been increasing from year to year and for 2008-09 it is more than Rs. 2,40,000 crore. Of this, around 11 major CSS' are being implemented in rural areas which are as follows:
- National Rural Employment Guarantee Programme (NREGP)
- Pradhan Mantri Gram Sadak Yojana (PMGSY)
- Indira Awas Yojana (IAY)
- National Social Assistance Programme (NSAP) including Annapurna
- National Rural Health Mission (NRHM)
- Integrated Child Development Services (ICDS)
- Accelerated Rural Water Supply Programme (ARWSP)
- Mid-Day Meals Programme (MDM)

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[2] Para 1.147 of the 1st chapter of the Eleventh Five Year Plan document.

- Sarva Shiksha Abhiyan (SSA)
- Accelerated Irrigation Benefits Programme (AIBP)
- Rajiv Gandhi Grameen Vidhyautikaran Yojana (RGGVY).

The important schemes for urban areas include the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), which has four components, namely, Sub-Mission I on Urban Infrastructure and Governance, Sub-Mission II on Basic Services to the Urban Poor, Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT) and Integrated Housing and Slum Development Programme (IHSDP), the National Capital Regional Plan covering areas in Uttar Pradesh, Haryana, Rajasthan and the National Capital Territory (NCT) Delhi, the National Urban Information System, Development of Satellite Cities/Countermagnet cities, Pooled Finance Development Fund, E-governance in Municipalities, and Swarna Jayanti Shahri Rozgar Yojana. These schemes for urban and rural areas account for around Rs. 100,000 crore. This has increased the relative dependence on central resources for funding development programmes. This increased funding through sector-specific programmes has a downside too; it limits the discretion of most states to fund their own programmes, as their resources are drawn to provide the state share for the CSS. Consequently, state plans have tended to become an aggregation of state line department plans, which in turn tailor their plans to fit in with resources available under central funding streams.

1.2.5 The predominance of CSS and ACA mega schemes in the resources envelope of the Centre and the states throws up a major challenge for grounding decentralised district planning. Each of these mega schemes gives detailed prescriptions of planning, implementation and monitoring processes, and these may not all be in tune with each other. While some do envisage district planning, incorporating the broad elements of the generic process, such as a situation analysis, envisioning, fixation of targets, selection of works and monitoring, the institutional mechanisms envisaged continue to bypass Panchayats or at best, seek only a cursory and token linkage. Most such schemes envisage a line department sponsored hierarchy of missions and parallel bodies for actual planning and implementation. Fund flows for implementation of the plan are fully insulated from the state and Panchayat set-up. The only commonality amongst these mega schemes is that most, if not all, envisage a role for the District Collector to tie things up at the district level. Thus typically, district plans are prepared by district line department officials with or without peoples' participation, and are brought before a district mission in which the Collector has the predominant role in decision-making. Once the plans are approved, implementation is again entrusted to the line departments, with at best, advisory committees set up at the district, intermediate or village level. Thus, there is quite a lot to do in redesigning district planning into a participative and convergent process.

1.3 A fresh approach to participative district planning

1.3.1 We are at a unique juncture where participative decentralised planning is gathering momentum. Side by side, innovations in Information and Communication Technology (ICT) have made it possible for the vision of participative planning,

articulated over a long period, to be effectively implemented on a countrywide scale. The time is now ripe for grounding participative planning from the grassroots level upwards led by local governments, so that plans relevant to the local area are prepared, with local communities and their local governments gaining a strong sense of ownership. This alone will lead to better outcomes and results.

1.3.2 Participative district planning is multidimensional, and therefore calls for following a clearly organised sequence of steps to arrive at a meaningful plan. The participative district planning design process, led by local governments, needs to take numerous factors into account, the foremost being the duality that exists between the constitutional and legal aspects of the framework that governs rural and urban local governments. The next most important feature consists of the several levels within the local government structure; the three levels of Panchayats in rural areas and the wards that exist and Area Sabhas that are envisaged under each municipality. Then comes the multiplicity of development sectors to be addressed (health, education, nutrition, sanitation, livelihoods, etc.), a variety of funding sources (Central, state, Centrally sponsored, local, etc.), an intertwined group of departmental and programmatic machinery and a broad spectrum of stakeholders, each seeking fulfillment of their own expectations (which may sometimes conflict with each other) from a district plan.

1.4 Transforming a vertical planning process into a horizontal process: With increased specialisation and sector-wise thrusts in development, there has been a tendency to concentrate on the preparation of sector-wise plans in the district. Thus we hear of the District Health Plan, the District Watershed Plan, and the Education Plan and so on. While some level of planning on these lines cannot be avoided, it is important, particularly from the view of increasing accountability to local governments and people, and optimally using resources, that the vertical planning process is transformed into a horizontal planning process, where local governments and other planning entities work together and explore the possibilities of planning together. In its absence, it would be the district heads alone, which would have complete knowledge about a plan and not each planning entity (See Box 2). This planning handbook aims at harmonising the vertical planning process, so essential to ensure that sectoral expertise is well used, with the horizontal overall planning process, equally essential to ensure efficiency and accountability. In the context of urban planning, a multiplicity of agencies has led to segmented, fragmented and sub-optimal planning. For example, cities typically prepare a City Development Plan (CDP), Land Use Plan or Master Plan (MP), City Mobility Plan (CMP), Environment Management Plan (EMP), Housing and Habitat Plan (HHP), etc., with little reference to each other. The local governments are the most appropriate level to create linkages and building synergies.

1.5 Harnessing ICT for better participative planning

1.5.1 There are several reasons for putting a strong emphasis on using ICT tools to anchor and thereby considerably enhance the quality of decentralised planning

Box 2
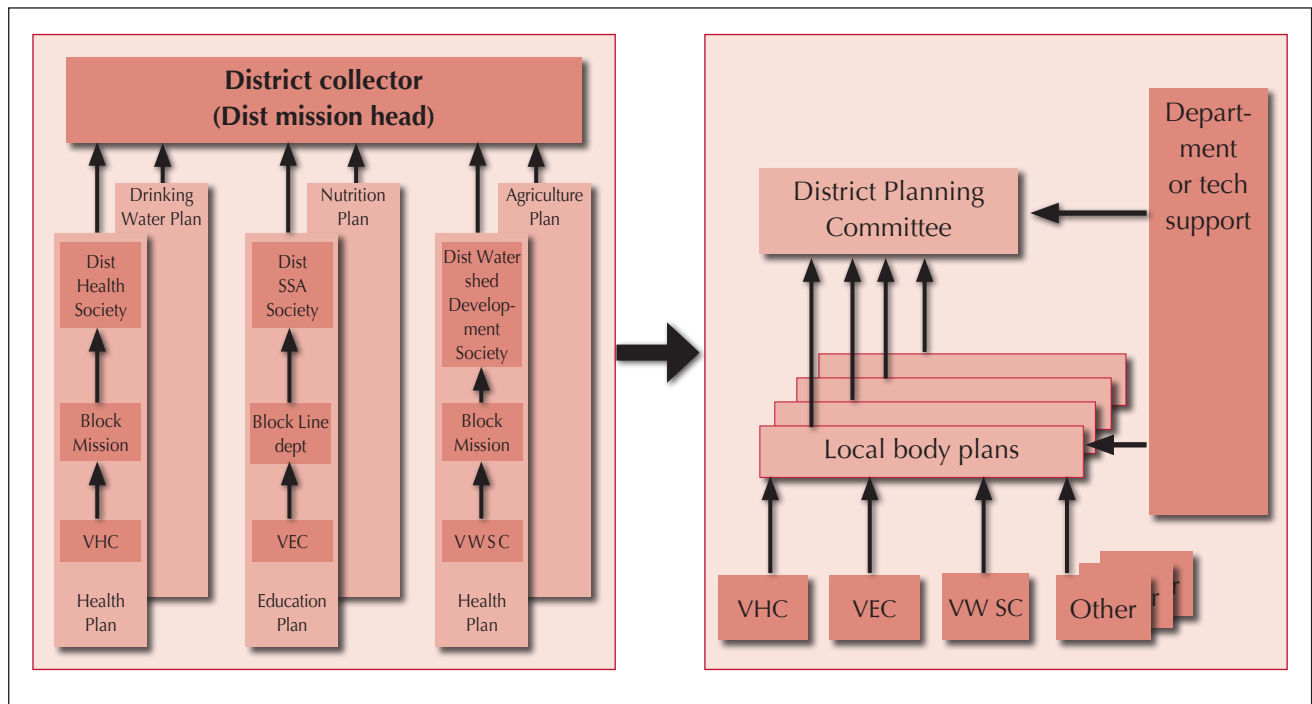
Box 2A: Interconnection in the urban context
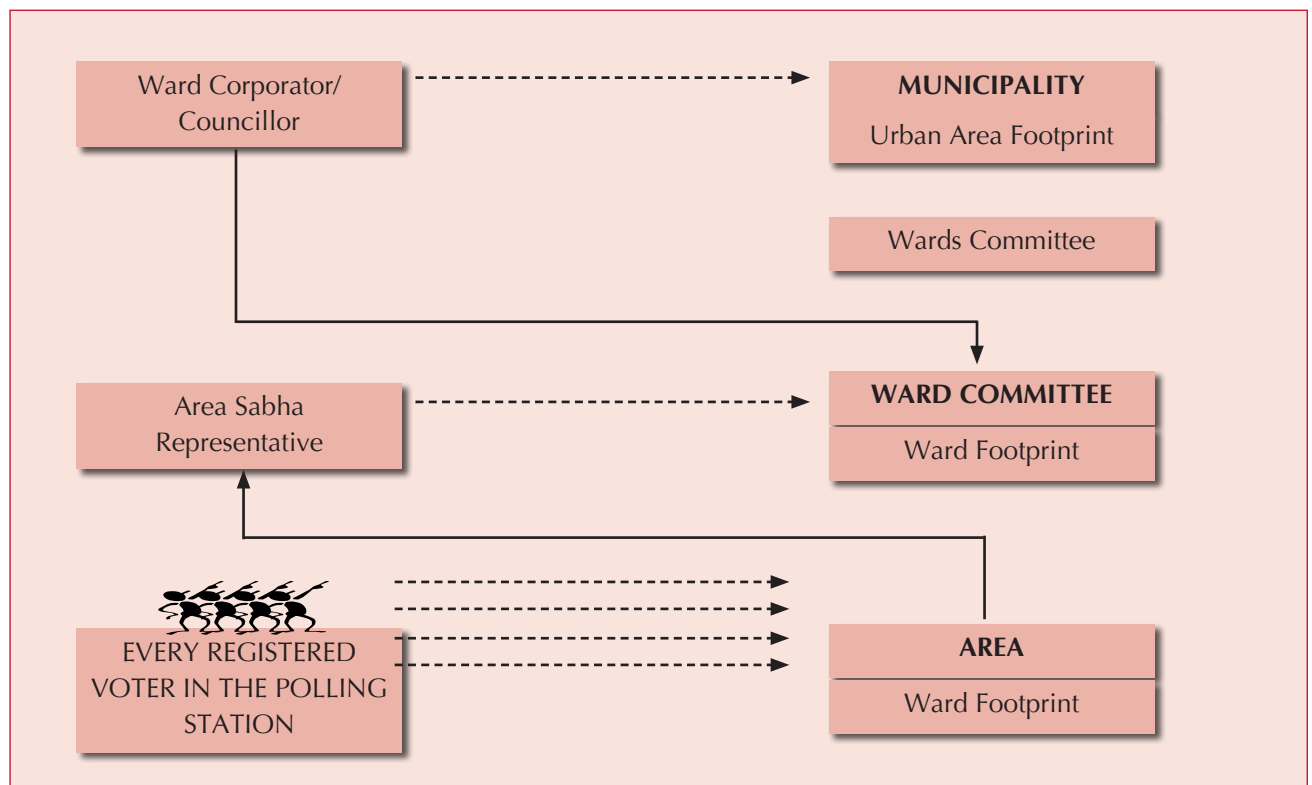
Box 3: Decentralised district planning

Planning involves gathering of relevant data, analysing it to set priorities, matching the set priorities to available budgets, defining processes of implementation and the setting and monitoring of targets. Decentralised District Planning comprises what different planning units within a district can achieve by envisioning collectively, operating their budgets, exercising their skills and leveraging their initiative. Typically in a good decentralised district planning exercise, each planning unit, namely, Panchayats at the district, intermediate and village levels, municipalities, line departments and parastatals would prepare a plan for execution of each of their functions and responsibilities after consultations with people. While collaborating and coordinating with each other, they would not in the normal course trespass into each other's area of responsibility, unless there are definite gains to be had, and with mutual consent. The final plan would result from a buckling together of these unit plans through a consultative process of consolidation.

from the outset. ICT solutions make it much easier for support institutions to capture, integrate and analyse baseline data. ICT enables much more meaningful data display to decision-makers at all levels, from the DPC, through Panchayats and municipalities, to gram and Area Sabhas. Providing data spatially, graphically and by using animation can considerably improve decentralised decision-making. In particular, ICT will enable better recording of budget envelopes, prioritising selected projects and works, linking these to budgets, generating, modifying and finalising plans, projectisation and monitoring of implementation. Most important, ICT can throw open the entire planning process to public view and bring life to the ideal of decentralised planning. There are several initiatives blossoming across the country in IT enabling of decentralised planning (See Box 4).

1.5.2 It is necessary to pull together these currently independent initiatives so that efforts are optimised. Put together, they serve the ebb and flow of decentralised planning. We have, after assessing the relative strengths of each of these initiatives, put together a pattern of how they might fit in and be used together (See Box 5). We suggest that these developers come together to work out the precise modalities of how their individual solutions can fit together to provide one end-to-end solution for decentralised planning. An integrated solution will not only address all the processes, from data collection, through vision building, planning and monitoring, but also ensure that every planning unit's needs are addressed. Even as we align the conceptual framework of the planning process and the workflows with the integrated software solution, what is of paramount importance is that the solution is driven by the logic of the decentralised planning process and not the other way around. The measure of success of our design of the software support will be the extent to which these simplify the planning process for people at the grassroots and are adopted by them.

1.5.3 The planning process that we have described in Volume II comprises of workflows through which the process is undertaken. Software solutions will need to address these workflows and explained in simple and clear language to those

Box 4

PlanPlus

NIC has developed the PlanPlus software for the Ministry of Panchayati Raj, to simplify and strengthen the decentralised planning process. Its features are:

- simple, web-based software with local language interface available with appropriate authentication, facilitating generation of participative plans through interactive workflows among all participating agencies;
- enables intelligent convergence of funds from different schemes for selected project work;
- enables sectoral integration by stimulating the planner to think in terms of end-to-end projects rather than in terms of isolated islands of work;
- facility for co-opting works of a lower tier by a higher level thereby facilitating vertical integration;
- allows customisable workflows for the planning process, including modification, finalisation and evaluation as per state-specific needs;
- generates various views of the Plan including local government-wise, sectoral, and scheme-wise plans;
- provides variety of graphical reports to assist planners and planning entities; and
- enables complete transparency at every stage of the planning process, by enabling public disclosure throughout the planning process.

Target users of PlanPlus include Central and state government departments, local governments, district-level line departments, financial institutions, District Planning Committees and citizens. The Ministry of Urban Development is working to improve upon it to facilitate its adoption in urban decentralised planning.

"National Panchayat Portal" (http://panchayat.gov.in)

Developed by NIC for the Ministry of Panchayati Raj, this portal contains dynamic websites for all Panchayats at the district, intermediate and village levels. While the website provides a broad framework for data presentation, content management can be entirely undertaken by the Panchayats themselves without any specialised skills and knowledge of computer programming.

Gram ++

This software has been developed by IIT, Mumbai and permits the easy integration of numerical data onto a global information system (GIS) for spatial display.

Riddhi soft

This software has been developed by a private company and provides a cost-effective and versatile GIS platform for local planning.

DISNIC

The DISNIC is an NIC initiative aimed at collecting extensive data on local resources in a detailed village-wise database

NIC's GIS

NIC has an in-house GIS system that accesses data from remote sensing sources and provides detailed topography, soil, land use and water cover details, which is ideal for watershed and agricultural planning.

PRIASoft

PRIASoft is a PRI web and local language enabled accounting package prepared by NIC, taking into account the accounting formats developed by the CAG for Panchayat accounts. It can be customised for meeting the requirements of state-specific systems of accounting for Panchayats. Several states are already undertaking such customisation and local use.

CDAC

CDAC's forte has been to provide Indian language interfaces that can be easily adapted and interlined with other software for easy multi-language use.

Centre For Good Governance: Performance Tracking System

This system allows for easy monitoring of implementation targets on a user-friendly MIS platform. Systems for monitoring plan implementation, such as the one developed by the Centre for Good Governance, Hyderabad, permits feedback to flow back into the planning process.

District Information and Planning System (DIPS)

Developed by a private vendor, this software integrates GIS applications with data and permits resource allocation to preferences indicated by people.

NRDMS

The Natural Resources Data Management System is a three-decade old initiative of the Ministry of Science and Technology to provide natural resource data gathered from remote sensing sources for local planning. The data is available on GIS maps in districts covered by the system.

Box 5
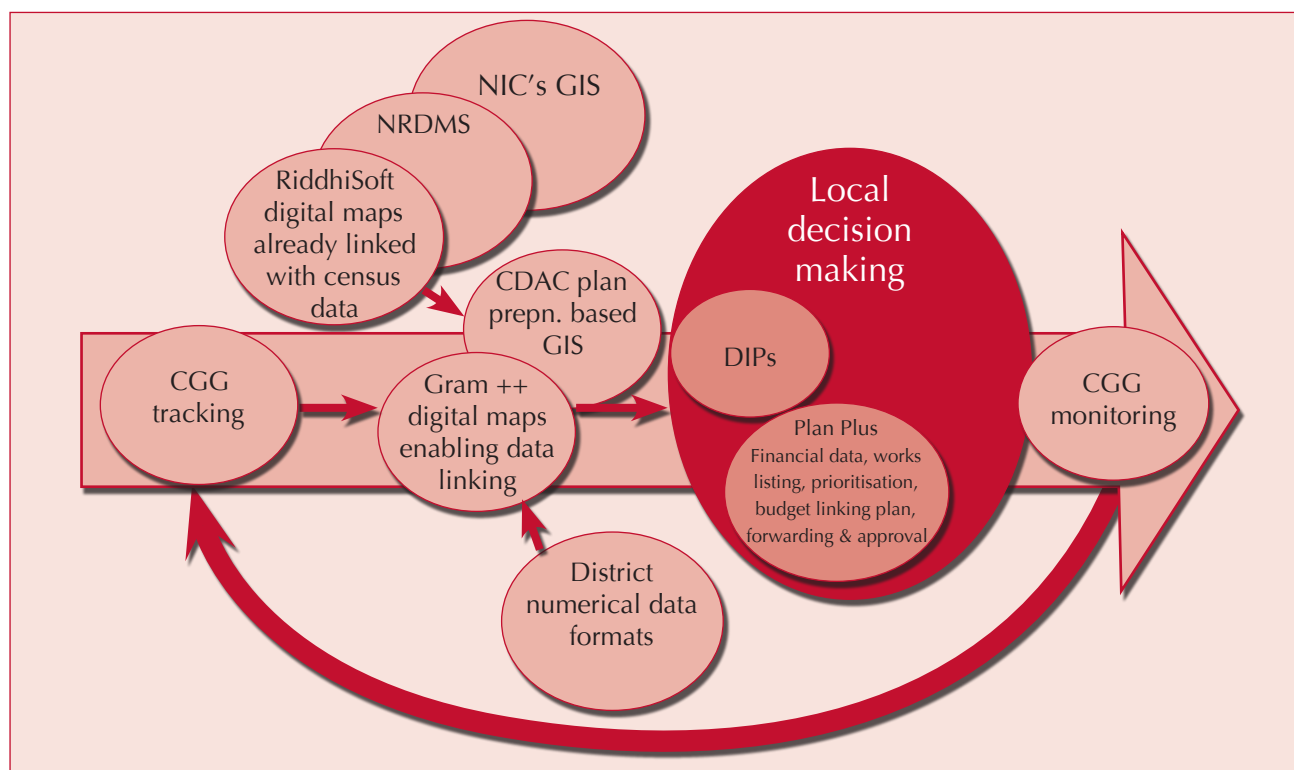
undertaking decentralised planning. Therefore, building capability for local planning will need to combine training on use of IT for decentralised planning.

1.5.4 It is well recognised that a key factor in the successful implementation of decentralised planning is capacity-building at the grassroots level. In practical terms there will be a substantial initial investment required to train the field officers and the people on the ground in processes and procedures for decentralised planning, budgeting and monitoring. The people on the ground will also make an investment in time and effort to learn a new set of skills and procedures.

1.5.5 At the same time, districts should actively work towards the capacity-building of suitable cadres of their functionaries for promoting basic computer literacy and certain minimum knowledge of GIS applications. A tie up with the local units of NIC or even private IT firms can be explored for organising such training.

1.5.6 The transformation of the process of district planning at state and district levels may take time; nevertheless, strengthening the district planning process is necessary to operationalise the concept of decentralised planning. Necessary impetus needs to be provided at state level by developing the requisite administrative and technical skills of the DPC. State governments need to take appropriate measures in this regard, taking area priorities into account so as to evolve the structure of DPC to manage and organise participative planning. States may conceive the process in stages. This is an evolutionary process and some transitional phases in this context will have to be factored in to operationalise the concept.

1.5.7 *How state governments can use this handbook:* This handbook is designed for use at two levels. Volume I focuses on those reforms that states would need to pursue, to provide an enabling environment for participative district planning. Volume II describes the steps for planners at the district and sub-district levels. However, there are certain reforms that find a place in both volumes, with the appropriate focus on the state and the district as required. It is suggested that these volumes be translated into local languages for use by different stakeholders in participative district planning.

Data Management and District-level Visioning

2.1 Every plan starts with a vision. This vision must have a strong empirical grounding provided through rigorous compilation and analysis of baseline data, which needs to be as institutionalised and strong as the planning system itself. We have termed this exercise the 'stock-taking report' of the district and described what goes into it, in Vol.II, Chapter 2. This Chapter speaks of the broad structure of data collection and general points concerning its classification.

2.2 One of the biggest stumbling blocks to good meaningful planning is the lack of primary and secondary data. Even if data is available it is often unclassified, reducing the scope for meaningful analysis. It is not disaggregated to the relevant scale for use by local bodies for planning. It is also often outdated. Since singular sources or agencies for reliable data-supply are not mandated, there is a tendency for each user agency to collect data *de novo*. This is expensive, inefficient and leads to downstream problems of inconsistent databases.

2.3 The first step in systemising data management is to classify data so that it is easy to use and retrieve (See Box 6).

2.4 Classifying each item on which data is required to be collected in accordance with various 'Keys' or 'Data headers' will enable easier organisation, storage, management, retrieval and use of data. It will also enable a broad level of standardisation in data collection, data presentation and comparison between data from different jurisdictions. A list of recommended headers is given in Box 7.

Box 6
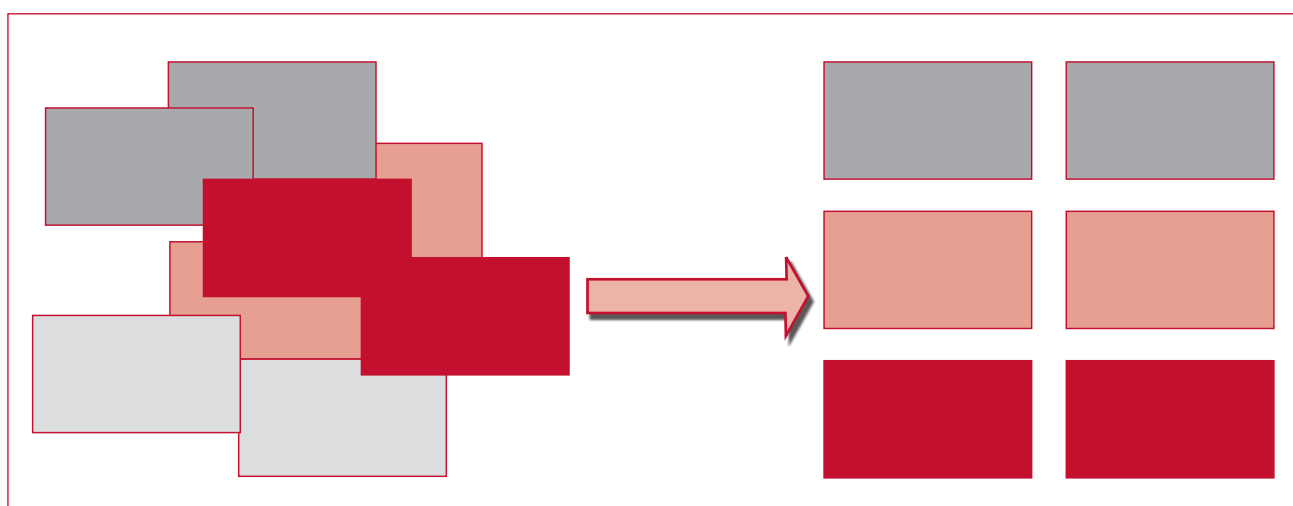
Box 7

Key	Short description		Remarks
1	A	Data source	These items, while not being keys per se, describe certain generic features of the data.
	B	Owner of the data	
2	A	Periodicity of data collection and updating	
	B	When data was collected	
	C	Period of validity of data	
3	Where data is collected		This denotes the level at which data has been collected.
	A	Gram Sabha/Area Sabha level	
	B	Gram Panchayat/ward level	
	C	Intermediate Panchayat level	
	D	Municipality level	
	E	District Panchayat level	
	F	District Planning Committee level	
	G	State government level	
	H	Union government level	
4	Level up to which to be broken up and disseminated:		Data dissemination commands equal importance as data collection. This is to ensure that data reaches the level where it is most used, in the manner that the users want.
	A	Gram Sabha/Gram Panchayat (in rural areas) and Area Sabha/ward level (in urban areas).	
	B	Intermediate Panchayat/ municipality level	
	C	District Panchayat/District Planning Committee level	

Key		Short description	Remarks
5	A	About people	This is a key describing the subject matter of the data. For instance, BPL lists are about people, water supply data is about services or infrastructure and allocations to Panchayats is about money.
	B	About services or infrastructure	
	C	About the environment and natural resources	
	D	About money	
6		Presentation of data	This key describes the form in which data would be presented.
	A	Spatial/GIS maps	
	B	Description in text form	
	C	Numerical	
7	A	Full data	This describes whether data is sourced from all units of the subject matter considered or based on sample assessments. For instance, full data on incomes (however sketchy) is available in respect of all families when the BPL list is prepared. It would be classified as '7-A'. Data on district income collected from surveys conducted by the National Sample Survey would be classified as '7-B'.
	B	Sample data	
8	A	Stock data	This key describes the mobile nature of the data item. For instance, Allocations of funds would be described as 'Stock' data, whereas data about releases of funds would be categorised as 'flow' data.
	B	Flow data	

2.5 This classification can be adopted while preparing software for data management, which can be used by all users in the District Planning process. Sometimes, the source for data may not be the ideal level, but the only practical level for the time being. The workflow for data collection should be alive to the possibility that the sources from where data is collected could change, with better awareness and technology. Greater decentralisation would automatically lead to better data being available locally, as local institutions realise that they need better data about themselves.

2.6 The Task Force suggests that initially, a centralised thrust could be given to the collation of existing data on the parameters defined by the Planning Commission, without dwelling too much at this stage on the ideal level at which data ought to be collected. Later on, as the decentralised planning system becomes institutionalised, then deadlines could be prescribed, by which time data collection will eventually be done by the ideal level.

2.7 There is a need for Central and state departments and ministries to recognise the value that Panchayats and municipalities can bring to the process of data collection. Once a centralised drive of data collation from existing sources is completed, then the next step would be to sensitise Panchayats and municipalities to the usefulness of this data for both local and regional planning. This would hopefully lead to Panchayats and municipalities seeking to undertake the task of data collection themselves.

2.8 Intermediate Panchayat level resource centre: The Ministry of Statistics and Programme Implementation is developing the contours of a scheme to develop reliable statistics for policy-making. The key to the new approach is to link up data collection with the Panchayats. The approach also envisages that there would be a district statistics cell that would be attached to the District Planning Committee. In addition, there is a need to develop an MIS for the use of local governments and line departments. The guidelines of the Ministry of Panchayati Raj for the Backward Regions Grant Fund (BRGF) have already envisaged an Intermediate Panchayat-level resource centre, as a common support system for Panchayats. Other key central ministries could use the Block Resource Centres as a coordinating centre for the collection of data regarding their sectors. In other words, the Resource Centre would provide a service to other line departments through the Panchayats to collect data for them at the block and sub-block levels. The resource centre should then expand to include the provision of other services such as data collection, analysis and training of staff of local bodies in collecting and using data. The resource centre can also directly access data from other sources such as external aid agencies, NGOs, social activists and other individuals, studies done by academic and research groups, banks, hospitals and schools, government agencies and other community platforms.

2.9 Urban databases: Similarly, each urban unit should have its own data centre on the lines of the National Urban Data Bank and indicators under National Urban Information System (NUIS) Scheme, launched during 2005-06 to establish a comprehensive information system in the urban local bodies for planning, development

and management. The scheme has two components: (i) Urban Spatial Information System Component (USIS); and (ii) National Urban Data Bank and Indicators (NUDB&I). The NUDB&I provides a useful framework for an Urban Resource Centre. It includes development of attribute and spatial database for various levels of urban planning and decision support and also the development of utility mapping on a pilot basis. Under the scheme, a GIS database for 150 towns/cities is being developed at the scale of 1:10000 and 1:2000. (See Vol. II, Chapter II, Box V).

2.10 Linking the 2011 Census with local governments: There would be a quantum jump in the quality of local planning if census data is available local government-wise. However, decadal censuses have since long undertaken enumerations revenue village-wise. Each revenue village is further divided into enumerator blocks as convenient. At the request of the states, the Registrar General of India (RGI) has been able to complete the revenue village to Panchayat correlation in 11 states. However, in the remaining states, this has been found not to be feasible, because habitations that are included in a revenue village may be divided between different Panchayats. In order to avoid this situation, states will need to ensure that all revenue villages are fully attached with one or the other Panchayat. In addition, enumerator blocks that have been constituted by the RGI to conduct census enumeration should also be within the same Panchayat. If this work is done by the state, then the enumeration for the 2011 Census can be done local government-wise, right from the very start.

2.11 Lead sector for the district: One of the objectives of the district envisioning process should be to identify certain 'lead sectors' of development. Each district is unique in its own way and conscious efforts are required to identify and optimise relative strengths and advantages. Trying to develop all districts identically can prove not only futile but even counter-productive.

2.12 Stakeholder participation in envisioning: 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, conflicts of interest are inevitable. But it can be tackled if an effective strategy of stakeholder consultations and negotiations is evolved. It is especially important to ensure participation of women in general and those from the disadvantaged sections in particular. In the absence of adequate participation of women, the community's view of many important issues may remain highly biased in favour of the male population. Further, women should be encouraged to actively reflect upon their issues and problems, and to also debate the connotations and interpretations surrounding those issues freely. This process can transform the whole cognitive framework that drives the traditional community view of the gender aspects. Such participation can be highly empowering for the women and can also engender a balanced vision of community development. It is therefore necessary that the visioning committee at the district level regularly invites stakeholder representations before arriving at the vision plan.

2.13 A careful blend of prescriptions and suggestions may be resorted to while forwarding the vision framework from one level of decision-making to another. The empirical (data-based) aspects of the visioning exercise must remain highly

prescriptive; if not, it could lead to leakage and loss of crucial data resulting in distortion or mis-representation. The interpretative aspects of visioning, however, should only be indicative leaving enough room for the respective levels to deliberate on the ground realities.

2.14 As the visioning exercise is carried through local governments, care should be taken not to lose the main thread. For example, if certain lead sectors are identified during the district visioning exercise then the visions at lower levels should ideally be in the direction of further detailing of those sectors, rather than emerging with altogether different priorities. Whether this common thread continues to run through the vision would depend upon how well-reasoned the first draft statement of vision is, with its supporting data. The vision statement could also clearly differentiate between areas of basic rights (nutrition, immunisation, primary education, etc.), which must be given absolute priority at every level, and the economic choices (industries, arts and handicrafts, etc.), which are largely left to the level concerned. This will facilitate smoother discourse in the visioning exercise between local governments.

2.15 Visioning for special needs and priorities: There are certain aspects of development that are of prime importance, but are often ignored during district-level visioning, because the imperative need to undertake visioning for these priorities might not have been locally recognised. Examples are: dealing with issues relating to HIV/AIDS, domestic violence, prevention of discriminatory practices, prevention of child labour etc., which require intervention from local governments, civil society and NGOs and other government departments such as the police. Sometimes, the intervention is largely that of the local government. For instance, the provision of a barrier-free environment in accordance with legal provisions, for facilitating easy mobility of the physically challenged is a task that must find a prominent part in the vision of a local government, particularly of urban local governments.

2.16 Envisioning at the intermediate and village or ward levels: As the visioning exercise proceeds closer to the grassroots, it tends to telescope into the practical planning process. Taking advantage of the tendency of people at these levels to combine the vision with practical suggestions on what should be done, special attention could be paid to more closely correlate the service gaps with human development shortfalls. Generally, a district is often too large a unit in which to fully understand the extent to which local social and cultural contexts influence the effectiveness of key services. This is more possible at a smaller local government level, such as an Intermediate Panchayat or a Village Panchayat. Visioning at a lower level can also highlight local level priorities in concrete and practical terms and link them to local institutions, such as Primary Health Centres (PHCs), schools etc., which are accountable regarding those priorities.

In urban areas the visioning exercise at Area Sabha and ward level may identify the problems and priorities as well as the gaps in services. This will have to be integrated with the infrastructure development programme and land and housing programme while preparing the development plan for spatial and economic development of urban areas as part of the master planning process. The Urban Development Plans

Formulation and Implementation (UDPFI) Guidelines formulated by the Ministry of Urban Development also need to be kept in view.

2.17 Preparing a 15-year perspective plan: The Expert Group on Grassroots-level Planning has suggested that district envisioning should also prepare a perspective for development over 10 to 15 years, at the commencement of every plan period. Quite obviously, such a perspective would comprise the articulation of a vision which is not constrained or conditioned by schemes and programmes. The development of such a long-term perspective is very useful, because it steps beyond the four corners of implementation and looks at the far horizon. In fact, a well-reasoned perspective plan becomes an important guide in deciding the expenditure priorities of a district over the long-term. As stated in the Expert Group report, this vision would be 'primarily articulated in terms of goals and outcomes and would basically address three aspects of development, namely, human development indicators, infrastructure development and development in the productive sector'.

Building a vision for basic human development indicators would essentially cover health, education, women and child welfare, social justice and availability of basic minimum services. With respect to the vision for infrastructure, the first target might be the attainment of minimum levels as envisaged in national and state level norms. The vision for the production sector would correspond to the lead sector vision, which would be to consider the potential of the district and what can be reached within the period of the perspective, considering the natural and human resources available in the district.

In districts that have already attained the basic targets concerning human development indicators, the concentration could be on the next level of envisioning, basically in infrastructure and economic development, modernisation of traditional industry and technical development of peoples' skills.

2.18 Perspective planning for urban areas: For urban areas, the perspective plan indicating goals, policies and strategies regarding spatial and economic development of urban settlements should be prepared by the urban local bodies. The perspective plan is to provide a policy framework for further detailing and it serves as a guide for urban local bodies in preparation of development plans for five years. It will need to indicate the main transportation corridors, city level open spaces, utility corridors, cultural and heritage zones, activity nodes, direction of urban growth and spread. The perspective plan would be a broad long term framework for development and should be approved by the District Planning Committee in the light of set urban development policies. It should be fully synchronised with a term of the national and state Five Year Plans to facilitate integration of spatial and economic policy planning initiatives.

While preparing Perspective Plans, urban local bodies are required to integrate the proposals of various other plans prepared by different agencies at town- or city-level such as the Transportation Plan, the Environment Management Plan, the Habitat and Housing Plan, the Sanitation Plan and Master Plan in order to avoid any conflict between environment protection and urban development.

The Perspective Plan at district level should also identify a hierarchy of service village, service centre and market towns that can be considered for locating additional functions and facilities that are proposed to be provided in the plan.

2.19 Ideally, the perspective vision development should be undertaken by each local government. This may not be as difficult as it seems, if the broad contours of the vision are communicated to each one of them, into which they fit in their goals and ambitions. For instance, each local government could propose that they will achieve the levels specified for each such aspect within a particular period of time (e.g. 90% literacy within two years, 100% immunisation within one year, coverage of 90% habitations by a clean drinking water facility within one year, etc.). They can also adopt a stage-by-stage approach.

Institutional and Other Support for District Planning Committees

3.1 Article 243ZD of the Constitution mandates that District Planning Committees be constituted in areas covered by Part IX of the Constitution to consolidate the plans prepared by Panchayats and municipalities in the district and to prepare a draft development plan for the district as a whole. In preparing the draft development plan, the District Planning Committee is required to consider matters of common interest between Panchayats and municipalities including spatial planning, sharing of water and other physical and natural resources, integrated development of infrastructure and environmental conservation.

3.2 However, in the 15 years that have elapsed since the enactment of the 74th Amendment, District Planning Committees have yet to come into their own in most states. As on date, five states have not constituted District Planning Committees in accordance with the constitutional provision. Moreover, in states that have constituted District Planning Committees, the roles performed by them are often markedly different from what is expected of them under the Constitution. One of the key reasons why District Planning Committees have generally not been able to prepare draft development plans for the district as a whole is because they are usually not adequately equipped to lead the process of district planning. Consequently, at best, District Planning Committees perform as committees that meet occasionally to hurriedly endorse, without adequate appreciation, a 'plan' or plans prepared by departmental officials.

3.3 For District Planning Committees to perform meaningfully, it is necessary that their precise roles are made clear through formal government orders. An activity mapping for District Planning Committees would include:
a) providing overall leadership to the district planning process;
b) leading the district visioning exercise;
c) setting district priorities on the basis of consensus among local-governments, line departments, civil society, academia and other stakeholders in development;
d) during the process of consolidation, review plans of local governments and development departments particularly to ensure that these address the district vision as a whole and are free of overlapping and duplication;
e) perform the central role in the preparation of the Potential Linked Credit Plan (PLCP) for the district, with the support of National Bank for Agricultural and Rural Development (NABARD);
f) oversee the participative planning process of the district development plan, to ensure that timelines are followed;

Box 8

Awareness-building at the Gram Sabha level

The tools proposed for generating awareness at the Gram Sabha are:
- broadcast or screening of short films before the Gram Sabha meeting, that depict the benefits of planned development;
- using folk media (including theatre and songs) to raise awareness on development issues; and
- additional focus on community-based organisations such as self-help groups, Primary Cooperative Societies, Forest Committees and local NGOs.

Capability-building of members of local government Standing Committees

- Enhancing awareness of the committee members through print and electronic media, and training programmes below district level.
- Formulating and circulating specific guidelines to local governments detailing their functions.
- Ensuring that Standing Committees are well informed about schemes and budgets available to the local government and the process of planning and budgeting.
- Continuous updating on government circulars and other implementation instructions, through field functionaries of line departments concerned.

Capability-building of elected leaders, such as Sarpanchs, Mukhiyas, Adhyakshas etc.

- The focus is to guide Panchayat leaders away from the tendency to unilaterally decide on development initiatives.
- The Sarpanch and Panches may be made aware of the importance of the decentralised planning process,
- Increased interaction through training programmes with experts on district planning process.

Focus on:
- increasing awareness and significance of socio-economic indicators particularly related to primary and social sectors;
- a close and critical understanding of how the basic services related departments work, such as health, education, livelihoods and welfare related departments and how their investments address (or do not address) balanced development of the area;
- the linkages of infrastructure development with improvement in the social sector and how it can be a catalyst for accelerated growth;
- understanding of reporting formats of line departments and who should be contacted to answer queries and seek clarifications;
- how to use the RTI Act and how to respond to it;
- understanding the basics of the financial devolution system, such as how budgets are approved at the state level, how they are communicated to the Panchayats, the role and responsibility of the Finance Commissions; and
- understanding the importance and modalities of raising internal resources from tax and non tax sources.

Capability-building of local government officials

- Orientation on the concept of decentralisation, the process of participative district planning and their roles in this task. The elected representatives may also be invited to attend a few such training camps so that officers can interact with them in an informal atmosphere removed from official interaction.
- Improving capabilities of local government secretaries (such as GP secretaries, BDOs of Intermediate Panchayats, Chief Officers of municipalities) to arrange meetings of Gram Sabhas and ward committees, preparing and circulating minutes and preparing action-taken reports.

- Practical training on timely preparation of plan and budget proposals; familiarisation with formats.
- Improving the understanding of various government procedures.
- Skills of filling in data formats and analysing data and understanding on how information is to flow to local governments and other planning units.
- Analysing socio-economic indicators and on that basis, to develop models for resource allocation proposals that can be used by the District Planning Committee or other levels of plan aggregation.
- Skills of scrutinising plan proposals received from local governments.
- Skills of evaluating impacts of major schemes to provide feedback to higher levels of government on scheme design and effectiveness.

Special training for decentralised planning in urban areas

Apart from the above areas of capability-building, elected representatives and officials of urban local bodies require special training in the following areas:

- understanding the significance and the basic processes of spatial planning, preparation of city development plans/structure plans;
- techniques of eliciting peoples' participation through Area Sabhas and ward committees;
- understanding the responsibilities of government line departments and parastatal organisations so that they can liaise with the appropriate authority to solve problems, obtain guidance and negotiate for implementation of plans;
- socio-economic and environmental planning, such as barrier-free built environment and promotion of green building;
- preparation of detailed project reports, project implementation and management and encouraging PPP;
- municipal service-delivery including water supply, sewerage and sanitation, solid waste management as well as energy efficiency and water audit, cost recovery and O&M and user charges;
- financial management property tax and accounting reforms;
- urban transport;
- implementation of capacity-building programme in pursuance of National Urban Sanitation Policy; and
- e-governance.

Capability-building of the officials of the District Planning Committee

Elected representatives who are members of the District Planning Committees will need to be equipped further to deal with their special responsibilities. These would include the following:

- understanding the importance of participative planning and the need to devote adequate time to these processes;
- how to develop a long-term vision for the district over 15 years;
- the members of the District Planning Committees should also have an improved understanding of the situation and develop a vision on the basis of the data presented by each sectoral district head and suggest priorities according to the ground situation;
- understanding the need and the techniques of gender budgeting and ensuring social justice in the process of economic development;
- a detailed understanding of District Human Development Reports and how they impact planning and prioritisation decisions of the District Planning Committees; and
- how to consolidate urban and rural plans.

Officials dealing with the District Planning Committee will need special training in:

- Presentation skills and assisting District Planning Committee members to develop a vision by analysing and explaining the socio-economic indicators of their district;

- plan formulation techniques based on micro-planning and monitoring of such plans/programmes;
- monitoring and tracking fund flows to local governments;
- the underlying basis and the technique of allocating plan ceiling fund in different sectors keeping in view socio-economic indicators and the priorities that emerge from them. This would also include making resource allocations under the Tribal Sub-Plan (TSP) and the Special Component Plan (SCP); and
- techniques for guiding and monitoring the performance of local governments.

Training for district planning

Generally, training tasks are entrusted to the State Institutes of Rural Development (SIRDs). However, there is a need to cast the net wider to bring in those who understand the nuts and bolts of government functioning and co-opt them as resource persons. While the SIRDs could continue to be the nodal agency for training and the overall coordination, other officials and institutions can be an invaluable asset if drawn into training initiatives for the district planning process.

District level

The District Collector and the CEO of the District Panchayat have an important role to play in local training and they should make special efforts to participate in training programmes. This will also stand them in good stead as it would build a relationship of trust and openness between them and elected representatives. Other district officials who can play important roles in local training are:

- district line department officials, who can impart knowledge on their sectors, particularly to the District Planning Committee and the relevant standing committee representatives;
- the District Planning Officer, who would lead the overall orientation of elected representatives;
- Treasury Officers, who can provide important inputs on treasury practice, budget formulation and issues relating to fiscal decentralisation;
- NGOs, who would be able to provide important inputs on social audit, right to information and other issues relating to accountability of local governments to citizens; and
- officials dealing with Scheduled Caste (SC) and Scheduled Tribe (ST) welfare and Women and Child Development, who could draw attention to the special needs of these categories of people.

State level

Apart from these efforts, it would be a useful practice yielding high dividends if state-level programmes are arranged for interaction between elected representatives and the state planning department, the planning board and the finance department, so that feedback on district planning is regularly obtained.

For urban areas, the existing institutional arrangements for capacity building are as under:

a) Regional Centres for Urban and Environmental Studies of the Ministry of Urban Development in Lucknow, Mumbai and Hyderabad
b) Centre for Urban Studies at Indian Institute of Public Administration (IIPA), New Delhi
c) National Institute of Urban Affairs
d) Yashwantrao Chavan Academy of Development Administration (YASHADA), Pune
e) All India Institute of Local Self Government (AIILSG), Mumbai
f) Administrative Staff College of India (ASCI), Hyderabad
g) Administrative Training Institutes (ATIs) of the State Governments
h) Thirteen Schools of Planning and Architecture
i) Centre for Good Governance, Hyderabad
j) Premier engineering and management colleges and NGOs

g) after the plan is approved, to review implementation progress with local governments, line departments and other implementing agencies and planning units; and

h) oversee capacity-development of staff and elected representatives of local governments and line department staff regarding decentralised planning and implementation (See Box 8 for a model of capacity-building of staff and elected representatives on district planning, adapted from a proposal developed by UNDP).

3.4 The plan for each local government should reflect people's priorities in the context of local needs and should be broadly consistent with state policy and priorities. Successful integration of the larger picture with grassroots-level planning largely depends upon providing useful information on state- or district-level priorities to those leading planning in each local government. To do this effectively, the District Planning Committee must have the capacity to organise the compilation of essential data for each local government, monitor its progress by measuring outcomes on important sectors and provide feedback to them. This will require close coordination between local governments and the District Planning Committee. The District Planning Committee should possess the skills to guide local bodies to develop and manage their own data bases and to utilise data for a well directed planning and implementation effort.

3.5 Preparation of plans for urban and peri-urban areas requires special expertise. While urban local governments are relatively better equipped with the skills for urban planning, urban agglomerations that spill over into rural areas grow haphazardly, because Panchayats do not have any access to urban planning skills. In addition, regional and area planning often remain neglected, thus making the consolidation of urban and rural plans a virtual non starter. The District Planning Committee should fill this niche and provide the central support of professionals to facilitate area planning for urban and fast urbanising areas.

3.6 The current legal framework that mandates planning for urban areas is usually the 'Town and Country Planning Acts' enacted by the state governments. However, these laws pre-date the 74th Constitution Amendment and do not provide a formal role for the District Planning Committee. This legislation needs to be modified on the basis of Model Urban and Regional Planning and Development Law (revised) prepared by the Ministry of Urban Development as part of Urban Development Plans Formulation and Implementation (UDPFI) Guidelines. The model law provides for constitution of District Planning Committees and Plans for District Planning Area Development. It also provides for consolidation of urban and rural plans to prepare the Development Plan for the district.

3.7 Another deficiency that could seriously hamper the effectiveness of district planning is the lack of 'projectisation' capabilities. For instance, while elected local governments might strike upon a large and relatively complex project as an immediate priority (such as bus stations, flyovers, market yards, storage complexes etc.) they need to be projectised before they can become a reality. While engineering skills are the

most obvious requirement, others that are less obvious are equally important, such as undertaking an environmental impact assessment. The District Planning Committee should proactively develop a pool of experts in partnership with institutions that can assist local governments and line departments in addressing these aspects of planning.

3.8 The economic development aspects of planning require a high degree of coordination between local governments and the District Planning Committee can help a great deal by acting as the platform for coordination. Such aspects would include planning for improved livelihood opportunities and focusing upon pockets of dire poverty or inequity within the district. Examples would include dealing with communities where women's status has been traditionally low and addressing the needs of primitive tribes, migrant tribes, bonded labour, etc. Expansion of employment opportunities and skill development calls for the services of dedicated professionals having expertise in this area, who are not only able to address these special needs in a concrete manner, but are able to constantly ensure that these requirements are not lost sight of during the planning stage and while implementing the plans.

3.9 As a matter of policy, the district planning set-up in each district should be equipped with its own technically qualified and skilled personnel to meet the functional requirements referred above. While some core staff could be on full time assignment with the District Planning Committees, some of them may be posted on deputation from state government, academic world or professional bodies or engaged on a contract basis. Certain services may also be outsourced to professional institutions. The actual requirement of full time professionals will depend on the methodology for plan preparation adopted by local governments, the process of consolidation, district size and the nature of problems it faces. Experience indicates that there is a shortage of expertise even in the market and outsourcing professional services, particularly in spatial planning, is often not possible. In such circumstances, it is best to give the District Planning Committee the liberty to choose its core group of full time professionals covering a suggested range of expertise. At the state level, in the planning department or the State Planning Boards, there would be a need to maintain a panel of professionals who are available both as resource persons and for special consultancies in respect of specific problems experienced by the District Planning Committees.

3.10 Constitution of District Planning Committee Secretariat

3.10.1 The core of the District Planning Committee Secretariat can be quickly created by merging the following district offices into the District Planning Unit (DPU).
(a) **Department of Planning and Economic Affairs**, staffed by the District Planning Officer with planning assistants.
(b) **Department of Economics and Statistics**, staffed by the District Statistics Officer and statistical assistants.
(c) **Department of Town and Country Planning**, staffed by the Town and Country Planning Officer and town planners.

3.10.2 In addition, the district unit of the National Informatics Centre (NIC) headed by the District Informatics Officer should also become part of the District Planning Unit and the DISNIC programme taken up in all districts under the District Planning Committee. The Natural Resources Data Management Support Unit established by the Department of Science and Technology in some districts may also be made a part of the District Planning Unit.

3.10.3 Experts in the areas of social development, livelihoods, environment and resource management can be hired to support the planning and monitoring process in the district. Even if fully qualified persons are not available to begin with, those with relevant educational qualification can be hired and encouraged to improve their knowledge and skills through add-on courses and on-the-job experience.

3.10.4 The District Planning Committee may set up technical support groups in the lead sectors identified for the district to assist in developing a vision for the sector plan, identify technical inputs required and areas of research. These groups may comprise sectoral line department heads, experts from reputed technical institutions, universities or NGOs with expertise in the area etc. The TSG can assist in developing a vision for the sector plan and identify technical inputs required and areas of research.

3.10.5 The District Planning Committee can seek the assistance of technical support institutions (TSIs) until fully equipped to perform its task. It can decide on the scope of the work to be assigned to the TSI (See Box 9 for a model developed by PRIA, for this purpose).

Box 9: Professional support for District Planning Committees through Technical Support Institutions, persons or groups

A District Planning Committee should have the flexibility to hire the services of technical support institutions, resource persons or groups to help it facilitate the envisioning and bottom-up planning process in local governments. The role and responsibilities of the Technical Support Institutions (TSIs) should be determined by the District Planning Committee and monitored by the local government concerned.

Similar support can be secured by local governments, either independently, or from an empanelled list made available by the District Planning Committee.

Separate TSG/Institutions comprising sectoral experts can be constituted at the Intermediate Panchayat level to provide guidance to elected representatives as well as to other groups that assist Village Panchayats and municipalities.

The District Planning Committee TSG should coordinate with TSGs of local bodies for smooth facilitation of planning at various levels and also for integration of plans from different levels.

The District Planning Committee TSG should provide regular feedback on progress of planning process and also implementation of the plan, once approved by the District Planning Committee.

3.10.6 In order to ensure that the District Planning Committee effectively performs the role envisaged for it in the Constitution, the following are also recommended:

(a) **Infrastructure:** A building to house the District Planning Committee Secretariat with adequate space for the office of Chairperson, Secretariat headed by the Secretary of the District Planning Committee, officials of the District Planning Unit (DPU) and supporting staff. The offices must be fully equipped with IT facilities. Access to conference rooms with adequate facilities for holding large meetings and smaller working group meetings is also necessary.

(b) **Secretary of the District Planning Committee:** At present, either the District Collector or the CEO of the Zila Parishad functions as Member Secretary. However, District Collectors usually have about seven to eight years of experience and for CEOs of Zila Parishads, if they are from the Indian Administrative Service (IAS), this may only be four to five years. On the other hand, line department officers such as Conservator of Forests, the Superintending Engineer for PWD and Public Health, CMOs, Deputy/Joint Director (Agriculture), have at least 15-16 years of service behind them. District Collectors are often preoccupied with regulatory responsibilities concerning law and order, elections, revenue administration and protocol duties, leaving them precious little time for development work. Their leadership in coordinating planning and monitoring district development work has been eroded with time. This results in compartmentalised working by line departments and consequent sub-optimal utilisation of financial and other resources. It is, therefore, necessary that the Secretary of the District Planning Committee works on a full-time basis and be equipped to lead the planning process in the district. It is suggested that an IAS officer with at least 15-16 years of service, or an officer from the Indian Economic Service (IES) or Indian Statistical Service (ISS) or technocrats, with the same years of service be posted as Secretary of the District Planning Committee.

(c) **Adequate budgetary resources must be provided to the District Planning Committee:** To meet expenditure on its regular staff as well as to hire experts, outsource work, facilitate the envisioning workshops, PRA exercises, exposure visits etc. funds are required. Capacity-building of elected representatives and staff of line departments related to the planning process must also be funded through the District Planning Committee. The District Planning Committees could, in turn, work out their training programmes and schedules in consultation with the state SIRDs, or any other nodal agency that is entrusted the task of training of elected representatives.

Bridging Regional Disparities through District Planning

4.1 While, redressal of regional disparities has been an important goal of all Five Year Plans, the situation on the ground, in spite of efforts made, shows accentuated disparities between states and even between regions of the same state. The Eleventh Plan document expresses concern especially regarding the problems of backward areas, "*Redressing regional disparities is not only a goal in itself but is essential for maintaining the integrated social and economic fabric of the country without which the country may be faced with a situation of discontent, anarchy and breakdown of law and order*".[1]

4.2 District Planning is a critical instrument that can be used to direct investments in districts and areas which lag behind in development. Areas which need special attention – and also district planning in its true essence of participatory planning, implementation and monitoring – include border areas, hill areas, areas affected by militancy and insurgency, etc.

4.3 Border areas

4.3.1 Seventeen Indian states have a land border with six countries. Some of this land border is disputed or even undemarcated. India's border runs through diverse geographical terrain ranging from glaciers and snow-clad peaks to the sand dunes of Rajasthan. Difficult living conditions, exacerbated by a lack of basic facilities such as health and education and lack of livelihood opportunities cause people who live there to lead lives of hardship and struggle. In the current context, the old outpost mentality needs to be shed and border areas must have a high standard of living if they are to ably serve as a demographic buffer. Infrastructure should, therefore, not only address current needs but also include scope for further expansion.

4.3.2 Most border areas have but a thin administrative presence and the delivery of basic services is hampered by lack of staff and facilities. Local governments in border areas, who challenge these circumstances on a daily basis, must be given freedom to recruit or take on contract functionaries. Special pay, for which there may be no provision at present, would act as incentive for employees in these areas. Medical care, veterinary services, sports and education facilities of Paramilitary and Armed Forces ought to be open to the local population too (Operation Sadbhavana in Drass area, still ongoing, which shares medical, canteen, and school facilities).

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[1] Planning Commission (2008): Eleventh Five Year Plan 2007-12, Volume I: Inclusive Growth, page 140.

The 17 state governments concerned must increase their stake in border area development through more investments in all sectors. Exposure visits and regular exchange programmes would also help people of border areas to integrate with the rest of the country. This is especially important in the case of the youth.[2]

4.4 Hill areas

4.4.1 Mountain ranges and hill areas are critical to the nation's climatic and ecological stability. Their crucial importance in determining the climate and physiography of the country determines their vital bearing on socio-economic development. However, increasing population pressure has led to the abandonment of sustainable and traditionally protective practices in the hills. New resource-intensive practices have led to rapid and irreplaceable use of local resources. The need to conserve fragile ecosystems of hill areas often conflicts with the need to improve infrastructure, particularly of roads and power. As hill areas are relatively thinly populated, funding is much lesser than required to preserve the fragile ecology. Participatory district planning and additional funding would send a signal regarding special treatment necessary for the people of the hills to meet their aspirations while they act responsibly for conserving and preserving the hills for posterity.[3]

4.5 Areas affected by militancy and insurgency

4.5.1 Good governance must lead to progressive decrease in social and economic inequality and the development of all regardless of social or economic background. However, we are a long way off from achieving these goals of good governance (See Box 10). While equal status and dignity are accepted as basic human rights, in reality there is widespread practice of social and economic discrimination and injustice and atrocities against the weaker sections leading to disaffection on a large scale. The Report of the Expert Group to the Planning Commission – "Development Challenges in Extremist-Affected Areas" observes that "poverty does create deprivation but other factors like denial of justice, human dignity, cause alienation resulting in the conviction that relief can be had outside the system by breaking the current order asunder". [4]

4.5.2 Areas affected by extremist movements in central India and the north-east have low population density, concentration of tribal population, hilly topography and undulating terrain. The failure to provide infrastructure and services as per national norms is one of the many manifestations of poor governance in these areas. Districts where the Naxalite movement is active are located in states which have the worst social infrastructure in general, and SC and ST hamlets tend to be excluded when locations for such social infrastructure are being decided. Therefore, to remove this disparity, universalisation of basic services to standards

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[2] Based on the recommendations of Planning Commission (2007): *Report of the Task Force on Comprehensive Development of Border Areas*.

[3] Planning Commission (2008): *Report of the Task Group on Problems of Hilly Habitations in Areas covered by the Hill Areas Development Programme/Western Ghats Development Programme*, page 56.

[4] Planning Commission (2008): *Development Challenges in Extremist Affected Areas: Report of An Expert Group to Planning Commission*.

should be given top priority and should be the foremost priority in visioning exercises. Plan allocations should be used for filling this gap.

4.5.3 The Report has identified a high rate of correlation between the following factors and the prevalence of militancy:
a) high SC/ST population;
b) low literacy levels;
c) high infant mortality;
d) low urbanisation;
e) high forest cover;
f) high population of agricultural labour;
g) low per-capita food grain production;
h) low level of road length per 100 sq. kms;
i) high share of rural households which have no bank account; and
j) high share of rural households without specified assets.

Box 10

Scheduled Castes (SC) and Scheduled Tribes (ST) comprise about one-fourth of India's population. Most (80% SCs and 92% STs) live in rural areas. The five states of Bihar, Orissa, Madhya Pradesh, Uttar Pradesh and West Bengal, suffering from the highest levels of rural poverty, account for a staggering 70 percent of the SC poor but only 55.8 percent of the SC population. Similarly, the five states have 63 percent of the nation's ST poor but only 49 percent of its ST population. On development indicators such as education and health, these SC and ST populations fall far below the general population.

National Average			
Proportion of literates (Census 2001)	65%	Overall for tribal people	47%
		Bihar	28%
		Jharkhand	41%
		Madhya Pradesh	41%
		Chhattisgarh	52%
		Andhra Pradesh	37%
		Orissa	37%
		Rajasthan	47%
		SCs	55%
Infant mortality rate (2005/6 *National Family Health Survey 3*)	36.1	SCs	50.7
		STs,	43.8
Access to antenatal care from doctor	64%	SCs (only 28% could access an ANM)	42%
Deliveries in a health facility	51%	SCs	33%
		STs	18%
The proportion of both SC and ST children, aged 12-23 months who received basic vaccinations, is much lower than the rest of the population.			
ST and SC children also have a much higher incidence of anaemia.			
Incidence of stunting and wasting much higher among ST and SC children.			
Incidence of overall under-nutrition (under weight) is significantly higher among SC and ST children than among others.			

Box 11

Health: ensure accredited functioning health facilities as per national norms

(a) One Health Sub-centre per 3000 population in hilly/tribal districts and one for 5000 population in other districts.

(b) One Primary Health Centre (PHC) for every 20,000 population in hilly/tribal districts and for every 30,000 population in other districts.

(c) Community Health Centres (CHCs) for curative and referral services for every 1,20,000 population (80,000 for hilly areas).

(d) One female Accredited Social Health Activist (ASHA), for every village/large habitation under the National Rural Health Mission (NRHM), trained at least as an ANM, chosen by and accountable to the Panchayat/ Village Council, to function as an interface between the community and the public health system.

Drinking Water: safe drinking water for all habitations, as per national norms of coverage

(a) 40 litres per capita per day (LPCD), plus additional 30 LPCD for cattle in DDP areas.

(b) Potable water source within 1.6 km in plains or 100 m elevation in hilly areas.

(c) One hand pump/stand post for every 250 persons.

Anganwadis: to be available on demand under ICDS

Anganwadi centres to be constructed and workers appointed through Panchayats or Village Councils with accountability to these bodies.

Elementary Education

The elementary education infrastructure needs:
 (i)   qualified, trained teachers (as per pupil-teacher ratio norms) in every school;
 (ii)   quality technical/vocational training facilities for a cluster of 10 secondary schools offering training in a wide variety of local/specific needs;
 (iii) at least one residential high school each for boys and girls in these districts under the pattern of Navodaya Schools, together with bridge-school facilities for slow learners and out-of-school children;
 (iv)   'ashram' schools to be upgraded to standards; and
 (v)   'eklavya' schools to be established in each block in these districts.

Thus a structure of the following kind would emerge: ashram and vocational schools in a cluster; Eklavya schools in a block, and Navodaya schools in a district.

Urban Development

The norms and standards for various facilities and services given in Urban Development Plans Formulation and Implementation (UDPFI) Guidelines serve as a useful reference for urban areas. These benchmarks for basic municipal services at the national level must be followed during the planning process.

4.6 The strategy for governance in areas affected by militancy would need to be multi-dimensional and have elements of protection, development, participation, effective administration, accountability and inclusive politics so that people do not remain alienated. It is necessary to address issues of rights to livelihood and life, as well as the right to a dignified and honourable existence. Following from the Expert Group recommendations in the context of district planning, the following aspects require special consideration in visioning, planning and implementation of participative district plans in militancy-affected districts. Needless to say, these recommendations apply equally to border areas and hill areas (See Box 11 for basic facilities).

4.6.1 *Food and income security:* Families without resources, whose livelihoods are dependent upon agriculture, deserve particular attention. During periods when work is scarce, such families have to resort to moneylenders even to purchase foodgrain. A large proportion of the population of tribal areas also depends upon selling minor forest produce to earn some income. Artisanship and handicraft skills are also well-developed amongst many tribal groups but in the absence of established markets, they are forced to sell the Minor Forest Produce (MFP) as well as their handcrafted items at low prices to middlemen who are able to dispose these at much higher rates in better organised markets. Hence, there is need for the following:

i) employment through National Rural Employment Guarantee Scheme (NREGS): SCs and STs are the two groups that have truly taken advantage of the employment being offered under NREGS. While SCs account for only 14 percent of the population, but form 27 percent of the households that received employment under NREG in 2006-07; STs form eight percent of the population, but make up 32 percent of those households which received employment. In other words, NREGS is even more important for the STs than for SCs. Therefore, resource-depleted areas with high incidence of involuntary migration and malnutrition should be saturated under NREGA on priority;

ii) widespread provision of grain banks managed by Gram Sabhas/Village Councils in tribal areas. The public distribution system (PDS), should also address the specific requirements of the forest dwellers;

iii) forest produce should be provided a protective market particularly through upgradation of traditional 'haats' and provision of modern storage facilities to avoid post-harvest losses; and

iv) development of traditional 'haats' can also provide a market for handicrafts produced by artisans in tribal areas, particularly if linkages are established with SARAS and marketing organisations such as Tribal Cooperative Marketing Development Federation of India (TRIFED).

4.6.2 *Agriculture:* Rain-fed and dry-farming areas must have a surfeit of participatory watershed development projects for conservation of soil and water and development of natural resources. This must be accompanied by suitable changes in the cropping pattern under the common guidelines issued by the Ministries of Agriculture and Rural Development for the National Watershed Development Projects for Rainfed Areas. The common guidelines for watershed development can provide a base for participatory institution-building, capability-development and convergence of all activities pertaining to land and water.

4.6.3 *Shelter:* There are lakhs of rural families without a homestead. Urgent action is needed to give them top priority in the allocation of not just a house under the Indira Awas Yojana and allied state government schemes, but also a piece of land where that house is to be constructed and which allows for a kitchen garden that can supplement and qualitatively improve foodgrain-based diets.

4.6.4 *Rural electrification:* Rural electrification has to mean that households actually receive electricity, not merely an electric pole with a line going to below poverty line (BPL) households. All villages and habitations should be electrified through the creation of a Rural Electricity Distribution Backbone in each block and village electrification infrastructure with at least one distribution transformer in each village/ habitation or Decentralised Distributed Generation (DDG) where grid supply is not feasible, together with electrification of all BPL households without electricity. Recourse may also be had to non-conventional energy sources for lighting homes and cooking food. This would help minimise dependence on kerosene oil as well as reduce depletion of forests for fuel wood to some extent.

4.6.5 *Skill development:* Recognising that unemployment and livelihood insecurity is a growing source of dissatisfaction and anger among youth in rural areas, educated unemployed youth without employable skills must receive skill-development to promote regular employment or self-employment.

District Planning Committees in areas to which Part IX of the Constitution applies, and counterpart bodies in other districts may take guidance from the recommendations of the Expert Group for planning the socio-economic development of their areas.

4.7 Transparency, ICT and media policy: One of the important planks for winning the support and confidence of the local population is transparency in all aspects of development planning and execution. The flow of funds at each level, the choice of schemes and their locations, tendering process, stage of implementation, etc. should be given wide publicity not only through websites but also through display boards at Panchayat Offices and at project sites. Information-communication-technology or ICT should be used along with an imaginative media policy to ensure that information related to the programmes is available to everybody. Funds under various programmes may also be used to make life easier for the local population so that access to licences, land records, ration cards, photo identity cards and other such documents is streamlined.

Resource Mapping and Determination of Fund Envelopes

5.1 A major issue concerning financial devolution to local governments is to ensure that financial allocation in respect of powers and responsibilities devolved upon Panchayats and schemes entrusted to them for implementation – in terms of Article 243G in respect of Panchayats and Article 243W in respect of municipalities – actually reaches them. In many states financial devolution does not match the functional transfer to local governments and most of the mandates given to them becoming merely symbolic since they are totally unfunded. On the other hand, states continue to divert funds pertaining to functions assigned to local governments through parallel district-based implementing agencies. Even where funds are assigned to local governments, actual releases are unpredictable, irregular and lumpy.

5.2 A complete and meaningful planning exercise cannot take place without each planning unit being given its budget envelope. In the absence of this critical element, every plan prepared by any local government will remain a wish list with the allocation of funds to individual works continuing to remain centralised. This critical problem has to be surmounted for true decentralised planning to take place. It can be broken into five separate issues.

(a) Indicating to each local government its budget with which it can meaningfully plan.

(b) Reforming the systems of administrative and financial clearances, to serve a multi-tiered governmental system.

(c) Putting in place a fiscal responsibility framework for local governments.

(d) Ensuring seamless flow of funds to local governments.

(e) Strengthening capacities of local governments in accounting practices.

5.3 While each of these issues is capable of being distinctly addressed and solved; *if they are addressed together, they constitute a complete solution for fiscal transparency and provide the basis for decentralised planning.*

5.4 Issue 1: Indicating to each local government its budget with which it can meaningfully plan

5.4.1 The devolution of finances to local governments has to be patterned on activity mapping applicable to them. However, in some states, functional assignments to local governments are still not clear, or orders in this direction remain on paper and are not implemented. This also has its effect on the planning methodology adopted, which in most states, has been established through guidelines by the State Planning Department. Typically, planning department instructions also fix plan sizes for each

department, which in turn, *may or may not* make specific allocations to the local governments.

5.4.2 In this scenario, it becomes absolutely essential that some kind of budget separation is made so that local governments have an idea of the budget which their plan must match. This can be achieved through a series of steps, commencing with the creation of a Local Government Sector Budget Window in the budget of state governments and ending with each local government getting a clear communication of its budget.

5.4.3 The broad separation of the budget can be met in two ways: (i) each department could create separate line items in their budgets for local governments, earmarking allocations pertaining to responsibilities devolved and schemes entrusted to them. Departments can thus directly send their funds to local governments in accordance with these earmarked budget line items. Alternatively, (ii) all such earmarked funds pertaining to different departments could be consolidated by the Finance Departments and sent to local governments in regular installments. The approach followed in three states is given in Box 12.

Box 12

Karnataka
All schemes pertaining to Panchayats are transferred to a 'District Sector', which is a separate part of the budget document. Releases from the District Sector to each district are further elaborated in a 'link document', which contains the district-wise break up of each line item (both plan and non plan) in the District Sector. Thus each Zila Parishad knows what its annual budget is and the basket of schemes and funding streams that it is supposed to implement, both plan and non-plan. However, there is no universally adopted mechanism to further break up the allocations in the link book between the Zila Parishads, Taluk Panchayats and Gram Panchayats, though some districts have come up with the concept of a 'district link book', which breaks up this information further down to the level of each Panchayat.

Kerala
Kerala is the only state where the overall budget is disaggregated to the level of each local government. Appendix-IV of the State Budget gives details of funds allocated to each local self-government institution, under different heads of accounts. These are classified under three main categories of funds.
(a)   Untied plan allocation, which is about 30 to 40 percent of the state's plan allocation.
(b)   Allocation for different subjects transferred to local self-government institutions, which includes plan and non-plan funds that are tied to specific schemes.
(c)   Maintenance grant and general purpose grant.

Thus at one glance, each Panchayat can easily find out its budget directly from the State Budget.

West Bengal
Work of separation of the budget for Panchayats is in progress in West Bengal. General Orders on Activity Maps were issued in the state in January 2007, following which 10 departments issued matching internal orders. Of these, four departments have opened a separate head of account within their individual budgets to transfer funds to the three levels of Panchayats for execution of the functions and activities transferred by these departments to the Panchayats through activity mapping.

Box 13: Resource-availability checklist for each local government to help prepare their plan

S. No.	Component			Yes/No	Remarks
1	Has the state made arrangements for a separate budget head in which devolution of funds, pertaining to all matters devolved to local governments are separately indicated?				
2	Indicate the number of state departments whose funds are channelised through the local government sector window.				
3	Has the state decided upon and indicated the formula for distribution of local government components of the state plan, and indicated the broad order of resources that would be available during 2007-08 from the state plan to:	a	different levels of local government		
		b	to each local government		
4	Has the state indicated the resources that would be available to the local government sector during the year concerned in the green and blue formats?				

5.4.4 The Checklist in Box 13 is useful to ascertain whether the steps in separation of a budget at the state-level have been undertaken.

5.4.5 *Separation of the budget for each local government at the district level:* Given that in most states fiscal decentralisation lags behind functional decentralisation, the presentation of the budget to each local government is a particularly important step at the district level. Therefore, the envisioning process needs to be accompanied by a comprehensive financial-resource mapping exercise at the district, block, village and urban level, which provides a clear idea of the funds available at each level for implementing a plan. There is a very close relationship between the two exercises. Envisioning can trigger:

(a) achieving the maximum outcomes within the existing fund-allocation pattern, through greater vigilance and better implementation;

(b) improving fund-allocation pattern based upon feedback from the visioning process, on what people really need and want; and

(c) Spurring the seeking out of more sources of funds, such as improving local revenues, canvassing for contributions, promoting further investments, obtaining more credit, etc.

The question often arises as to what precisely constitutes the budget of local governments, given that there are several parallel structures that operate above and below them. *Is it necessary for a local government to know what allocations are being spent by others within its jurisdiction?* What about allocations made to sub-local government-level user groups and subcommittees, some stand-alone or others formally designated as subcommittees of the local government but designed

to have very wide financial autonomy – are these allocations captured in the local government budget ? Given these uncertainties, at the very minimum information of funds spent within and around the local government ought to be made transparently available to all stakeholders, in three broad areas as follows:

(a) funds spent within local government jurisdiction by departments dealing with matters not devolved to the local government: examples include irrigation, electricity distribution, agricultural activities that are not devolved etc.;

(b) funds that are clearly devolved to the local government and are either deposited in their account, or released only on instructions from them. These usually comprise: (i) Central Finance Commission grants, (ii) State Finance Commission grants, tax assignments, (iii) programmes explicitly implemented by local governments, such as National Rural Employment Guarantee Act (NREGA) and Backward Regions Grant Fund (BRGF), (iv) own revenues of local governments; and

(d) funds spent by user groups and local government subcommittees, with a large measure of autonomy, such as (i) National Rural Health Mission (NRHM) funds spent by the Village Health Committee; (ii) Sarva Shiksha Abhiyan (SSA) funds, spent by the Village Education Committee; (iii) watershed development funds, spent by watershed committees; and (iv) drinking water and sanitation funds, spent by the Village Water and Sanitation Committee.

5.4.6 Determining the availability of funds within the district and how to track their movement is described in Chapter 4 of Volume II.

5.5 How much scope exists for moving funds around to meet special needs is an issue related to determining the funds going to each level. Since most funds coming into a district are tied, there is often very little scope for moving funds around within a district, except in a few states. However, in several states, funds given to district-level missions and societies, such as the District Rural Development Agency (DRDA), the Health Mission etc. can be moved around depending upon the need and the speed of implementation. Sometimes, such decisions are not transparently taken and can leave areas that require funds more than others stranded, simply because they might not have the capacity to implement plans. While ensuring equity in distribution of funds, special care should also be taken to ensure equitable allocation to address the needs and concerns of both sexes and the disadvantaged. Thus it is always best to ensure that the horizontal allocations of funds are pre-determined during the visioning exercise, to avoid arbitrary moving around.

5.6 Apart from mapping the availability of government funds, the possibility of raising local contributions, institutional finances and public enterprise investments should also be explored (See Box 14).

Assessing the total financial requirement, total available resources and shortfall, is useful for the resource mapping exercise, as it prompts a better thought out prioritisation of interventions and expenditures.

Box 14

Financial outlays are conveyed to the district towards the end of the previous financial year. They constitute a financial ceiling for expenditure on a particular programme or scheme within which expenditure takes place. The ceiling rises if supplementary funds are made available.

Local resource mobilisation includes local taxation by local governments, user charges and any license revenue. It also includes local government or individual contributions to local schemes or projects.

Investment from public enterprises comprises all schemes for cash investment in buildings, equipment or other commercial facilities in the district.

Institutional finance comprises the credit that will be made available to rural banks operating under the guidance of the lead bank in the district.

5.7 Reforming the systems of administrative and financial clearances, to serve a multi tiered governmental system

5.7.1 Even if states have in principle adopted the ideal of decentralised planning, de facto centralisation can continue unchanged in case guidelines for securing administrative and financial clearances continue as before. The following are typical reasons why planning continues to be a top-down exercise even if methodologies of decentralised planning are adopted.

(a) **Lack of time for participative planning:** The planning exercise in most states follows a top-down sequence where, after the determination of the State Plan during plan discussions in the Planning Commission, the Department of Finance indicates the size of the likely grant to each scheme on the basis of which departments are to prepare their plans. Based on this allocation, the planning system at the district level prompts every line department to prepare tentative proposals on the basis of guidelines. Typically, such guidelines stipulate that funds would first be reserved for ongoing programmes and committed activities will fully be provided for and second, that each department will propose an increase in the budget by say, 10 percent of the previous year's sanction, without disturbing any existing allocations. In states that have not de facto moved to a Panchayat-based planning methodology, these proposals are generated at the official level, approved by line departments and then by a closed collegium of top officials and elected representatives of the district (which might include the Zila Parishad President in his/her individual capacity). Even in states with better functioning Panchayati Raj systems, pre-cooked 'plans' prepared by officials in accordance with schematic guidelines are placed before Zila Parishad Standing Committees and the general body, where choice is considerably hampered as most funds are tied to schemes. Lack of time, lack of information sufficiently in advance and lack of adequate untied funds combine to reduce the scope for Panchayats at lower levels to formulate a meaningful and integrated development plan.

While these tendencies are symptomatic of a larger issue of insufficient and incomplete devolution, one step that can be easily taken is to revise the planning cycle in states so as to provide enough time in advance of the State Plan discussions, for the Panchayats to contribute to the district planning exercise. Box 15 gives the time frame for perspective planning, suggested in the Planning guidelines of the Planning Commission, dated 25/8/06.

(b) Following plan approval, technical and administrative sanctions have to be given before individual projects can be started. Guidelines providing such clearances often do not provide for sufficient delegation of powers down the line to commence work immediately. The state might go through these guidelines in order to enable flexibility for providing approval (or presuming that approval has been given in certain cases) so that works can commence immediately after planning is completed and budget lines made available.

Box 15

S. No.	Activity in the year preceding the five year period for which perspective plan is being prepared.	Activity to be completed (period or by the date)
1	State-level Workshop for all Chairpersons, vice-chairpersons and member convenors of all DPCs.	May
2	First meeting of District Planning Committee to discuss the guidelines and constituting Sectoral Subcommittees for preparation of District Vision and Perspective Plan.	June
3	Formulation of District Vision.	By July
4	Approval of District Vision by DPC and sending the same to all local governments.	July
5	District level Workshops.	August
6	Block level Workshop.	August
7	Meeting of local governments to discuss guidelines and constituting Working Groups.	September
8	Formulation of local bodies' vision.	September
9	Approval in the general body meeting of local bodies.	October
10	Conducting Gram Sabha/Ward Sabha	October November
11	Development seminars.	November December
12	Preparation of final local government Five Year Plans by Working Groups.	January
13	Consolidation of final local government Five Year Plans.	January
14	Submission of local government Five Year Plans to District Planning Committee.	January
15	Discussion with representatives of local governments and approval by District Planning Committees.	February
16	Approval by District Planning Committees.	March
17	Bringing out the development perspective of the district and local government Five Year Plans and Annual Plans.	March

Box 16

West Bengal has issued an official memorandum on the application of the principle of subsidiarity for guiding the distribution of functions among the levels of Panchayats. The work done by a Panchayat at a particular level should be applicable at that level alone, taking into consideration the following specific instructions:

1. Zila Parishads will not take up earthwork schemes, except those linked to capital intensive projects such as metal roads or buildings. Panchayat Samitis will take up all such works above a value of Rs. 2 lakh. Gram Panchayats will take up works below Rs.2 lakh.

2. Zila Parishads will take up culverts and other construction works above Rs. 10 lakh. Panchayat Samitis will take up such works below Rs. 10 lakh and above Rs. 2 lakh. All works of Rs. 2 lakh and below will be taken up by the Gram Panchayat.

3. The Zila Parishad will implement all River Lift Irrigation (RLI) and deep tubewell schemes. All inter-Gram Panchayat canals will be constructed by the Panchayat Samiti and intra-Gram Panchayat canals excavated by the Gram Panchayats subject to the financial principles enunciated above. This principle will also apply in respect of all other surface flow schemes and all water conservation schemes.

4. The Gram Panchayat will be the project implementing authority for the Swajaldhara programme and user groups will maintain the infrastructure developed.

5. In all individual beneficiary oriented programmes, identification of beneficiaries will be initiated at the Gram Sansad level and finalised at the Gram Panchayat level.

6. All Panchayati Raj levels can set up progeny orchards for social forestry programmes. However strip plantation works will be done only by the Gram Panchayats. They will also be entitled to enjoy the usufruct.

7. Under SGSY, Zila Parishads (ZP) will not implement any scheme directly. Each ZP will prepare a plan in respect of its share and funds will be transferred to concerned Panchayat Samiti/Gram Panchayat depending on the location of the scheme and amount involved. The same policy will be followed in respect of other wage-employment related programmes.

8. For implementation of Indira Awas Yojana (IAY), funds will be transferred to the beneficiaries directly in two instalments, with prior briefing about the scheme. Wherever possible, such a fund will be transferred through the bank account of the beneficiary, which will be opened with a contribution by the beneficiary. In other schemes that benefit individuals too, funds will be given to the beneficiaries for direct implementation. Bank accounts need not be opened for other than IAY schemes.

9. Construction of Integrated Child Development Services centres/primary schools, including Sishu Siksha Karmasuchi (SSK)/Madhyamik Siksha Karmasuchi (MSK) out of PRI funds will be taken up at the Panchayat Samiti level only. The funds will be spent only through the Village Education Committee in respect of primary schools and the SSK managing committee in respect of SSK buildings.

10. For water supply schemes, Panchayat Samitis will supervise the quality of the work. The scheme will be implemented either by the Gram Panchayat/Gram Samiti/User Group as may be locally determined. For developing spot sources the work should be done by the Gram Panchayat for schemes up to Rs. 2 lakh.

11. In districts where special programmes have been launched for self-help group (SHG) federations, the (DRD) cell of the Zila Parishad concerned will allot funds to the Panchayat Samiti for developing block-level infrastructure for SHG federation and to Gram Panchayats for constructing Gram Panchayat-level cluster infrastructure. These works will be taken up at their respective levels only and not at the upper levels.

12. In agri-allied sectors, all individual oriented schemes will be initiated at the Gram Sansad level and finalised at the Gram Panchayat level. For schemes requiring engagement of a contractor, all schemes with an estimate above Rs.10 lakh will be implemented by the Zila Parishad and schemes with lower estimates by the Panchayat Samiti. For schemes not requiring the services of a contractor, the principles enunciated above may be followed (i.e. up to Rs. 2 lakh by the Gram Panchayat, up to Rs. 10 lakh by the Panchayat Samiti and for all amounts exceeding Rs.10 lakh by the Zila Parishad).

13. Decisions relating to construction work pertaining to any particular sector will be taken in the Sthayee Samiti looking after that particular sector, and not at the Purta Karya Sthayaee Samiti. The Artha Sanstha Sthayee Samiti will approve the expenditure and the work order will be issued under orders of the Sthayee Samiti concerned.

5.8 A fiscal responsibility regime for local governments: Good planning carries with it the responsibility to ensure financial discipline. In states where Panchayats hardly get any funds to implement their plans, speaking of a fiscal responsibility regime might sound far fetched. However, in states where local governments have access to a reasonably large corpus of funds, there is a tendency for them to routinely take up works that are much more than the allocations made to them. Works are often included in the action plan with only a token allocation made for them under pressure from elected representatives and local contractors. This is because of the belief that once a commitment to include a work is made in the plan, and a 'token provision' of funds made, pressure can be mounted to grab payments by diversion of funds later on. This tendency can have a snowballing effect, particularly when an outgoing local government body makes large commitments towards new works, so that the new body is burdened by the need to provide funds for spill-over works. This can bring a bad name to the entire concept of decentralised planning. The result of such lack of planning discipline is two-fold. First, it reinforces the view that local governments are irresponsible spenders and second, if such plans are indeed approved, it spreads funds too thin, becomes counterproductive and results in time and cost overruns. Another possibility of lack of financial discipline is that Panchayati Raj Institutions could easily change their plans time and again through simple resolutions, thus affecting financial discipline and hamper effective downward monitoring by the people. While the Right to Information (RTI) legislation can mitigate this problem to some extent, there is need for the law to enjoin local governments to observe fiscal responsibility and planning discipline. Provisions may be introduced into the Panchayat and Municipality legislations to ensure that local governments comply with certain canons of fiscal responsibility to minimise over-spending, taking up more projects than possible, violating due process and incurring wasteful expenditure. These provisions could specifically provide for the following stipulations being observed in plan development:

a. Spill over works shall be fully provided for.
b. Estimates of own resources should not be optimistically raised in order to justify the taking up of new works.
c. Commitment of funds towards works that spill over beyond the period of representation of Panchayati Raj Institution members should be restricted.

d.   Limits shall be imposed on the freedom to borrow funds.

e.   The process of budget preparation shall be transparent.

5.9 Ensuring the seamless flow of funds to planning units

5.9.1 Once plans are approved, the next step relates to the availability of funds with local governments at the appropriate level, for implementation. In an ideal situation, where the budgetary allocations match the functions, funds would naturally flow into the accounts of the local government concerned. However, in the current situation, where multiple agencies above and below local governments implement programmes, often in the name of the local government, this is not easily achieved. The best that can be done in the prevailing circumstances is to ensure that funds flow to the levels where they are being finally spent, with the minimum of intermediaries. This will reduce the scope for mis-classification, delays and problems of reconciliation that arise from funds passing through multiple accounts. It is also possible to capture fund-flow patterns in the accounts of local governments (where they ought to be spent, but are not) by creating the concept of virtual accounts in accounting software. For example, funds can be sent directly to the Village Education Committee, which is a Panchayat subcommittee, but intimation of this could go into the virtual account of the Gram Panchayat concerned, so that there is full transparency. Similarly, expenditures incurred by the Village Education Committee are also mirrored in Gram Panchayat accounts, where they are then available as a permanent record and are subject to all the disclosure and accounting obligations of the Panchayat.

5.9.2 *'Just in time' flow of funds:* With a virtual accounts system in place, it is also possible to have a 'just in time' fund transfer system, based on alerts and quick replenishment. Two variations on the theme are given in Box 17.

5.10 Strengthening capacities of Panchayati Raj Institutions in accounting practices

5.10.1 *Capturing of virtual receipts and expenditures in the local government accounts:* The concept of 'just in time' fund transfers and virtual accounts can considerably affect the accounting practices of the local government, because cash flows will not match accounting flows. This will necessitate them to adopt some or the other form of accrual accounting. Each state has put in place detailed accounting formats and practices for the Panchayats in its Panchayati Raj Acts and rules. Whether the formats prescribed by the Comptroller and Auditor General (CAG) for maintenance of Panchayati Raj Institution accounts are used or otherwise, these will need to be modified to accept the concept of 'just in time' transfers.

5.10.2 *Dealing with the issue of description of major heads of accounts:* The nomenclature used for describing heads of accounts in the state's accounting systems as per long standing practice, do not match the nomenclature used to describe matters that can be transferred to the Panchayats in the Eleventh Schedule. This gives rise to the possibility of mis-classification of receipts and expenditure. While this problem can be ultimately solved by changing the nomenclatures of the major heads to match the items in the Eleventh Schedule, in the interim the equivalence table (Box 18) may

Box 17

'Just in Time' fund transfer to implementing entity (Village Education Committee implementing SSA)

- The Village Education Committee has an independent bank account, with separate guidelines on how to use it.

- Guidelines can be issued on a threshold of funds in the account, below which an 'alert' is sent to the district mission for replenishment of funds.

- Once an alert is received, funds are transferred electronically, directly to the Village Education Committee's account.

- The transfer of the funds is reflected in the accounts of the district mission (as a withdrawal) and the Village Education Committee (deposit). It is also captured in the virtual account of the Gram Panchayat, because the Village Education Committee is a subcommittee of the Gram Panchayat.

'Just in time' fund transfer to final beneficiary directly (Indira Awas Yojana)

- The Gram Panchayat is the implementing agency for IAY and responsible for monitoring constructions by beneficiaries.

- Funds may be maintained by the DRDA (which may or may not be merged with the Zila Parishad).

- Whenever a payment milestone has been reached by the beneficiary (foundation, plinth level, roof level) the Gram Panchayat inspects and certifies completion and sends a payment authorisation to the fund manager (DRDA/ Zila Parishad).

- On receipt of authorisation, funds are electronically transferred directly to the bank account of the beneficiary.

- Simultaneously, because the Gram Panchayat is the implementing agency, this transaction is captured in the virtual account of the Gram Panchayat both as a deposit and a withdrawal.

be used as a guide to slot receipts and expenditures pertaining to the matters in the Eleventh Schedule, to the most appropriate major head of account.

5.10.3 *Computerisation of local government accounts, some suggestions for easier deployment:* Maintenance of proper accounts by local governments has been a nagging problem which has stood in the way of further devolution of powers and responsibilities to them. If local governments do not maintain proper accounts, it considerably diminishes the confidence of line departments to devolve powers to them. However, several states have been able to improve the situation by undertaking accounting-process reform, capacity-building, outsourcing of accounting tasks and computerisation. Drawn from the best practices of states in respect of these steps, the recipe for success is to keep the number of activities required at the local government level to the absolute minimum of voucher entry and to have a robust

Box 18

	Major Head	Item in the Eleventh Schedule covered
2203	Technical Education	Technical training and vocational education
2204	Sports and Youth Services	Cultural activities
2205	Art and Culture	Cultural activities
2206	Pre-primary Education	Education, including primary and secondary schools
2207	Primary Education	Education, including primary and secondary schools
2208	Secondary Education	Education, including primary and secondary schools
2209	Adult Education	Adult and non-formal education
2210	Medical and Public Health	Health and sanitation including hospitals, Primary Health Centres and dispensaries
2211	Family Welfare	Family welfare
2215	Water Supply and Sanitation	Minor irrigation, water management and watershed development
2216	Housing	Rural housing
2225	Welfare of Scheduled Castes	Welfare of the weaker sections, and in particular of the Scheduled Castes
2226	Welfare of Scheduled Tribes	Welfare of the weaker sections, and in particular of the Scheduled Tribes
2227	Welfare of Other Backward Classes	Welfare of the weaker sections, and in particular of the Other Backward Classes
2231	Welfare of Handicapped	Social welfare, including welfare of the handicapped and mentally retarded
2232	Child Welfare	Women and child development
2233	Women's Welfare	Women and child development
2234	Welfare of Aged, Infirm and Destitute	Social welfare, including welfare of the handicapped and mentally retarded.
2235	Social Security Pensions	Social welfare
2236	Nutrition	Women and child development
2401	Crop Husbandry	Agriculture, including agricultural extension
2402	Soil and Water Conservation	Land improvement, implementation of land reforms, land consolidation and soil conservation
2403	Animal Husbandry	Animal husbandry, dairying and poultry
2405	Fisheries	Fisheries
2406	Forestry and Wild Life	Social forestry and farm forestry
2408	Food, Storage and Warehousing	Public Distribution System
2501	Special Programmes for Rural Development	Poverty alleviation programmes
2505	Rural Employment	Poverty alleviation programmes

	Major Head	Item in the Eleventh Schedule covered
2702	Minor Irrigation	Minor irrigation, water management and watershed development
2801	Power	Rural electrification, including distribution of electricity
2810	Non-conventional sources of energy	Non-conventional energy sources
2851	Village and Small Industries	Khadi, village and cottage industries
3054	Roads and Bridges	Roads, culverts, bridges, ferries, waterways and other means of communication

back-end platform that uses central capability to derive accounts from the vouchers. It is therefore suggested that local government computerisation ought to concentrate on building connectivity so that central management of back-end processes can take place. In these circumstances, training of local government-level accountants would be confined to teaching them the skills of receipt and expenditure voucher entry and the ability to extract reports. The task of generating day books, bills, abstracts, ledgers etc. can be best carried out offsite.

Box 19: Accounting standards adopted by Panchayati Raj Institutions in West Bengal

West Bengal has worked towards establishing accounting standards for Panchayati Raj Institutions through legal changes and reforms of accounting practice. The objective is to mitigate fiduciary risks and strengthen compliance and monitoring. It is also aimed at creating a Management Information System (MIS) for Panchayati Raj Institutions to understand their own performance and gap areas from some control tools. This necessitated (a) following some basic principles for constructing heads of accounts to enable the generating of necessary information for internal control and external review by statutory authorities and citizens and (b) determination of accounting standards defining when receipts are captured and expenditures recognised.

Creation of head of accounts and their relationship with different books of accounts are pivotal towards establishing a standardised accounting practice. Standardised head of accounts also help in computer-aided maintenance of accounts. A nine-digit accounts code has been followed in West Bengal, details of which follow.

Digit position	Category of information it captures	Description of information
1st Digit	Mode of transaction	1-receipt; 2-payment
2nd Digit	Nature of transaction	1-Revenue; 2-Capital; 3-Receivable; 4-Payable; 5-Loan; 6-Advances
3rd Digit	Type of transaction	1-Non Plan; 2- Plan ;3-Own Resources; 4-Others

4th – 5th Digit	Source of fund	Departments, funding agencies from which funds are received are captured
6th – 7th Digit	Schemes and programmes	
8th – 9th digit	Kept free to capture information particular to a Panchayati Raj Institution	

The above codification is also accompanied by the following tags for internal control and judging the efficiency of sectoral allocation made by PRIs.

Name of the identifier/tag	Further categorisation of receipts and expenditure	Remarks
Receipts and Payments Group	Own Fund Loan & Advance Donation, Subscriptions & Endowment Deduction/Recovery from Employees Deduction/Recovery from Contractor Non-Plan Fund (P&RD) Plan Fund (P&RD) Non Plan Fund (Other than P&RD) Plan Fund (other than P&RD) Refund of Advance by Employee GOI Sponsored Scheme Other Adjustment Deposits	This helps in consolidation of transactions in broader category. Such as Centrally-sponsored schemes, grants-in-aid by the P&RD Department or from other line departments etc. This type of categorisation helps in generating advanced MIS which is useful for internal management control (discussed later) as well as for information by the external agencies.
Ledger	Name of ledger to which the head is tagged is captured by this identifier. So ledger posting of a transaction becomes easier	
LF Group	The codes maintained by the treasuries	This helps in easy re-conciliation with the treasury balance
Standing committee (cost centre)	One standing committee is tagged with each head	Standing committee-wise allocation/budget/receipt and payments can be tracked
Scheme Group	Presently categorisation is kept vacant and may be utilised to capture any information in future.	

Accounting principles

Transactions are recorded in the cash books and the ledgers following the norms stated below

Name of Account	When to be Debited	When to be Credited
Personal Account	When a person receives	When a person gives
Real Account	When asset increases	When asset decreases
	When liability decreases	When liability decreases
Nominal Account	When there is expense or loss	When there is income or gain

Norms for recognising receipts: All revenue receipts regarding property and other taxes are recognised on cash basis as and when they are received. All receipts are to be deposited in the bank account or local fund account as soon as it is received. In the event of deposit of such receipts into bank/treasury, contra entry is made by debiting the bank/treasury account and crediting the cash account. General grants, which are of revenue nature, are recognised as incomes on actual receipts. Grants towards revenue expenditure, received prior to incurrence of expenditure, are treated as liability till such time that the expenditure is incurred. Grants received in respect of specific revenue expenditure are recognised as receipts in the accounting period in which the corresponding revenue expenditure is charged to the receipts and payments accounts. Grants received towards capital expenditure are treated as a liability till that fixed asset is constructed.

Norms for recognising payments: Payments are recorded as soon as the custodian of the fund signs the cheque based on the debit voucher prepared. In case of bank charges, the expenditure is recognised on the date when it comes to the notice that the bank charge has been so debited in the bank pass book. In case of advance for payment of labour wage, cash account or bank account is credited and advance ledger for the programme is debited.

Norms of treatment of statutory deductions: Statutory deductions from salaries and from the contractors in form of income tax, profession tax, provident fund, contribution, security deposit etc. are recognised as liability. When the statutory deductions are deposited into the proper head of the government, the liability is relinquished proportionately.

Monitoring instruments: For monitoring of financial discipline, emphasis is given on regular submission of receipts and payments accounts. One of the major indicators of financial discipline is regular and updated availability of the financial disclosure in standardised and pre-defined formats.

Managing the Transition to Coordinated Decentralised District Planning

6.1 Several institutional changes will be triggered through the move to participative district planning. Existing relationships between line departments and local governments are likely to undergo substantive changes. Such changes might often be treated with suspicion, if not outright resistance, if efforts are not made to manage the transition smoothly. There are three persistent behaviour patterns that work against greater coordination, collaboration and convergence amongst individuals that run different institutions.

- Both officials and elected representatives tend to operate in their own silos and are not always open to critical examination of their roles in the development process;
- There is no institutional culture of free, frank and open discussion. Relationships between officials and elected representatives are often clouded by mutual suspicions and preconceived notions. Strict hierarchies and sensitivity about status also inhibit free discussions.
- Efforts to overcome these problems are often counterproductive; they may result in ad hoc alliances and partnerships outside the professional structure, which therefore do not outlast the tenure of the individuals concerned.

Given these circumstances, convergence cannot be thrust from above; it has to be accepted from within. The key to this is that each player, whether an official or an elected representative, sees the opportunity in working together rather than at cross purposes to achieve the objective of participative district planning.

6.2 Change management and institutional transformation needs to aim at achieving three kinds of transformation.

Attitudinal transformation
- Amongst the individuals within any department or local government; covering how they perceive their own roles, functions and relationship between themselves within their organisation.
- By the organisation as a whole, particularly as to how it relates to the citizen who approaches it.
- Amongst key stakeholders outside the organisation; citizens' attitudes will also need change, if organisations are to function better.

Transformation in perspective

Perspectives on common concerns and commitments will need broad alignment amongst all stakeholders. For instance, it is universally accepted that the critical core of governance reform is to ensure that essential services reach the unreached. This will, in turn, require a change in the perspective from:

- providing passive access to proactive service delivery;
- moving from monopoly providers to partnerships to improve provision; and
- focusing on long term sustainability.

Institutional transformation: Changes in the institutional culture have two dimensions. First, is the focus on improving internal democratic functioning, the second is to rework relations with the community based on respecting their dignity and aim at being responsive.

6.3 Change Management and Governance Reform: The focus of change management will be to change individuals and organisations to become responsive in relations and responsible in practice, transparent in character and participative in action, accountable in attitude and articulate in expression. The dynamics of such a change process in the district will typically cover the following focus areas:

(a) ensuring convergent action at the community level by bringing together line departments and local governments with an active, involved and better informed community;

(b) establishing a good interface between the community and service delivery systems;

(c) ensuring convergence in policy formulation, planning and implementation;

(d) strengthening service-delivery systems by improving efficiency and effectiveness of individuals and systems and by self-sustaining change efforts; and

(e) Improving the capabilities of stakeholders including government officials, local governments, non-governmental organisations (NGOs) and community-based organisations (CBOs).

Consolidation of Urban and Rural Plans

7.1 The concept of consolidation

7.1.1 The Constitution, in Article 243ZD provides for the 'consolidation' of plans prepared by the Panchayats at all levels and municipalities in the district into the draft development plan of the district by the District Planning Committee. However, so far the practice of rural and urban planning has been focused on different objectives and tuned to different purposes. While Panchayat level planning generally follows a socio-economic and sectoral approach, urban master plans focus on spatial planning aspects such as land use and zoning, largely ignoring sectoral or social planning. Each of these approaches is insufficient to fully capture the true meaning of planning. Rural plans, by focusing purely on socio-economic development with an emphasis on sectoral planning, lose the advantage of the spatial planning approach. Therefore, location of facilities is overlooked, thus resulting in inefficient use of resources. Similarly, in urban areas, driven by the sheer density of population and the complexity of providing public services, the focus on spatial planning pushes aside any sectoral or socio-economic planning.

7.1.2 Consolidation goes beyond compilation and implies value-addition through integration of local plans. Given the rapid urban expansion throughout the country, planning of space is critical, particularly when there is a significant urban presence in the district, with strong pulls on infrastructure and resources. With large scale migration of rural poor into urban areas seeking better livelihood opportunities and quality of life, there is a need to adopt a sectoral approach to urban planning, that is sensitive to the needs of this migratory population. The erosion of boundaries between urban, peri-urban and rural areas results in greater dependencies between urban and rural local governments on common resources, meeting the challenges of providing livelihood opportunities and infrastructure and mitigation of environmental impacts. Lastly, the constitutional imperative of preparation of district plans cannot be achieved unless rural and urban local governments work together.

7.1.3 An integrated district planning exercise would link plans of local governments and other planning units and would provide a platform for mutual consultation and negotiations between them. It would also provide the framework for integrating the sectoral and spatial aspects of urban and rural plans.

7.2 Prioritising areas for consolidation: The starting point for merging rural sectoral and urban spatial planning is to identify possible commonalities in the functional responsibilities of Panchayats and municipalities. The 29 matters listed in the Eleventh Schedule and 18 in the Twelfth Schedule can be clustered to identify overlaps in Panchayat and municipality functions (See Boxes 64 and 65).

Box 64

Exclusively rural responsibility	Common responsibilities			Exclusively urban responsibility
Numbers indicate items in Eleventh Schedule	Subject matter	Items in Eleventh Schedule	Items in Twelfth Schedule	Numbers indicate items in Twelfth Schedule
Primary Sector 1, 2, 3, 4, 5, 6, 7, 12	Education	17, 18, 19, 20, 21	13	Urban planning 1, 8, 12
	Health	23, 24, 25	6	
	Poverty	10, 16, 26, 27, 28	9, 10, 11	Regulatory services 2, 15, 18
	Infrastructure	11, 13, 14, 15, 29	4, 5, 7, 14, 16, 17	
	Economic Dev	8, 9, 22	3	

⬅ **RURAL** ➡   ⬅ **URBAN** ➡

Box 65: Details of the common responsibilities

Panchayat responsibilities	ULB responsibilities

Education

S. No. in the Eleventh Schedule	Details	S. No. in the Twelfth Schedule	Details
17	Education including primary and secondary schools	13	Promotion of cultural, educational and aesthetic aspects
18	Technical training and vocational education		
19	Adult and non-formal education		
20	Libraries		
21	Cultural activities		

Health

23	Health and sanitation, including hospitals, primary health centres and dispensaries	6	Public health, sanitation conservancy and solid waste management.
24	Family welfare		
25	Women and child development		

Infrastructure

11	Drinking water	5	Water supply for domestic, industrial and commercial purposes
		16	Vital statistics including registration of births and deaths
13	Roads, culverts, bridges, ferries, waterways and other means of communication	4	Roads and bridges
14	Rural electrification including distribution of electricity	17	Public amenities including street lighting, parking lots, bus stops and public conveniences
15	Non-conventional energy	14	Burials and burial grounds; cremations, cremation grounds; and electric crematoriums
16	Maintenance of community assets	7	Fire services

Economic development

8	Small scale industries including food processing industries	3	Planning for economic and social development
9	Khadi, village and cottage industries		
22	Markets and fairs		

Poverty alleviation

10	Rural housing (including Indira Awas Yojana)	10	Slum improvement and up gradation
16	Poverty alleviation programmes	11	Urban poverty alleviation
28	Public distribution system		
26	Social welfare, including welfare of the handicapped and mentally retarded		
27	Welfare of the weaker sections and in particular, the Scheduled Castes and the Scheduled Tribes	9	Safeguarding the interests of weaker sections of the society, including the handicapped and mentally retarded

7.3 Identification of priority areas for consolidation

7.3.1 The consolidation exercise should focus on these common functional responsibilities. The stock-taking, visioning and the rural and urban planning chapters explain how sector-wise plans are to be participatively and iteratively prepared through urban and rural local government, structures, gram and ward committees, ward and Area Sabhas. These processes address the following:

(a) information on present position and future goals, based on predefined benchmarks;

(b) describe how these goals are to be achieved and how these plans will be operationalised, which in turn means:
   a. prioritisation of each sector sub-component;
   b. matching goals with resources available, personnel, expertise, etc.;
   c. who does what, in planning and implementation;
   d. sources of funds and manpower; and
   e. how activities/assets will be maintained and sustained.

All these processes would culminate in a sector plan, comprising of implementable projects, each with its designated annual budget and maintenance/sustainability plan.

7.3.2 These sector plans are the starting points for consolidation. In the rural local government system, the process of sector plan preparation is relatively better defined as Village Panchayat plans are usually compiled at higher levels into the rural plan for the district. However, such a process has not been defined so far for urban plans. Therefore, care has to be taken to ensure that the urban plans are also prepared sectorally, through the planning process described in Chapter 6. Without this easy comparison, linking of urban and rural plans will not be possible during consolidation.

While the common items between the Eleventh and Twelfth Schedules are a good place to start consolidation, some priorities in service delivery should invariably be addressed (Box 66).

Box 66: Priority areas for consolidation

(a) Highway and transport linkages to maximise connectivity
(b) Water resources planning, which would cover issues of sharing of resources, rights over resources, distribution responsibilities, user charges, planning for growth and addressing environmental impact
(c) Protection of rural water bodies and agricultural land from urban sewage and toxic waste
(d) Waste disposal, landfill locations and their management, drainage
(e) Land-use zoning in rural areas for growth of urban areas, industrial allocations, acquisitions, SEZ allocations that protect multi-crop land, ecological vulnerable areas
(f) Environment protection of lakes, tanks, wetlands, forest areas, agricultural land, flora and fauna
(g) Electricity supply

7.4 Identifying questions to be addressed during the consolidation process

7.4.1 The Expert Group on Grassroots-level Planning has pointed out different dimensions of integration included in the planning guidelines for local bodies in Kerala, which could be adapted for general use (Box 67).

Box 67

(a)	**Spatial integration:** meaning integration of schemes such as roads that run through one or more local bodies.
(b)	**Sectoral integration:** which integrates several schemes relating to a larger sector.
(c)	**Cross-sectoral integration:** aimed to ensure maximum impact from different interventions, by drawing resources from various schemes.
(d)	**Vertical integration:** which separates out what has to be done at higher Panchayat levels, which have the advantages of scale, and which cannot be done by the lower tiers of local government.
(e)	**Integration of resources:** which looks at identifying and planning the channelisation of several schemes both central and state sponsored, which Panchayats can utilise, integrate into local plans and to which they can contribute additional resources.

7.4.2 A consolidation checklist can address all dimensions as listed above.

Box 68

- Potential for vertical integration of works and projects, across rural and urban plans.
- Potential for resource pooling, need to address efficient usage of resources wherever they may lie or the need to address inefficiencies and spill over effects on other local governments that may arise from the use of resources in a stand alone fashion by them.
- Addressing inter-sectoral dependencies to ensure successful project or plan implementation.

Box 69

Questions to be answered	
Questions regarding vertical integration	
Physical proximity Are there projects that can be integrated, because they are physically close to each other?	The answer would commence with location mapping of projects in rural and urban areas so as to identify projects that can potentially be integrated.
Common stakeholders Are there projects affecting both rural and urban people, which require collective and coordinated action?	For example markets, bus terminals, hostels, hospitals, colleges, combined urban-rural water supply schemes etc.

Questions related to resources	
Resource pooling Are similar priorities and issues emerging in urban and rural areas that can be better addressed through a common and integrated approach?	An obvious example is to pool funds to establish commonly owned and maintained amenities and assets, such as water supply and sanitation projects benefitting both rural and urban areas. However, pooling need not be restricted to financial pooling alone. For instance, a municipality and a Zila Parishad could get together to establish a technical training institute, which addresses rural unemployment while creating a pool of skilled labour for the urban economy.
Externalities or spill over effects Do activities and projects undertaken in urban areas have an impact on rural environments or vice versa?	For example, drilling of urban borewells may result in the lowering of rural water tables. Dumping of urban solid waste in landfills in rural areas might affect the environment and health of rural communities. Here a common approach is necessary.
Questions regarding inter-sectoral dependencies	
Are there projects that require several departments and/or local governments to act together for successful implementation and/or ongoing maintenance?	For example, a District Planning Committee might decide to achieve 100 percent coverage of schools in respect of certain amenities such as provision of toilets. This will require provision of electricity, water supply, cleaning and maintenance facilities, which require liaison with several departments and agencies. Therefore, even though building each toilet might be a relatively simple task, this cross-sectoral dependency will require facilitating and monitoring at the level of the District Planning Committee.
Questions relating to service delivery	
Are there institutions that cater to both urban and rural people, regardless of where they are located?	Institutions such as hospitals, veterinary dispensaries, schools, anganwadis etc. Service Delivery Plans will have to be prepared for each institution relating to maintenance, additional infrastructure, equipment, consumables and services.

Box 70: Consolidation checklist for water sector planning

Stock-taking will have data on how many people have access to water, who needs how much, etc. Therefore, the extent of the problem would be known. With this background, the following questions need to be asked:

- Which water source is the most appropriate to meet peoples' needs?
- How will the source sustainability be ensured?
- Where are the resources to execute a common project, covering money, staff, electricity connection, repairs, etc.?
- Who will be the implementing agency?
- What is the responsibility and relationship of the implementing agency with the planning entity?
- Where are the resources for maintaining the project?
- Who will pay for maintenance and how much and how will they be charged?

7.5 Explore the possibility of 'intermediate consolidation' or 'cascading consolidation'

7.5.1 In rural areas, the Panchayats are at three levels, organised as a hierarchy in some States, but not in others. Thus, different processes will have to be prescribed for these states. The question may also arise as to whether an intermediate consolidation process, say, between smaller municipalities and the local Panchayats cannot be provided for. Keeping these variations in mind, the processes of consolidation can be flexible. The basic idea is that the process should provide space for negotiation and the co-option of works by higher levels in the interest of efficiency and effectiveness in an atmosphere of trust and partnership. Higher level Panchayats have the advantages of scale which enables them to more efficiently undertake some tasks as compared to other levels of government below them. The Intermediate Panchayats should have a clear idea as to what are the draft plans of Village Panchayats, and similarly the District Panchayats would need to consider the approved plans of village and block Panchayats before finalising their plans. Therefore, instead of the DPC being the first forum where the exercise of consolidation is considered, a system of '*cascading consolidation*' can also be put in place (See Box 71).

Box 71: What is 'cascading consolidation'?

Cascading consolidation would mean that at several appropriate points in the planning process, the participants would pause and re-arrange works and projects of their own accord to different levels of government that are acting in concert, in the interest of efficiency. Such an exercise at the Intermediate Panchayat level would focus on three areas, as follows:

(a)   all Village Panchayats in the Intermediate Panchayat area would collectively identify those projects that for some or the other reason are better taken up collectively and list them separately;

(b)   the Intermediate Panchayat and the Village Panchayats would identify those projects that would be better implemented if entrusted to the Intermediate Panchayat;

(c)   The Municipal towns and other urban areas in the Intermediate Panchayat area would, in consultation with the Intermediate Panchayat, identify those projects that are best implemented by involving coordinated action by these bodies together.

The option (c) of having an intermediate level consolidation of urban and rural plans at a Sub-District Planning Committee level, while being a novel idea, would have increasing value at a time when urbanisation is accelerating. While the dimension of swelling of large urban agglomerations is well known, a lesser-known dimension of urban growth is the expansion of district towns and taluk-level towns. A process of intermediate-level consolidation would throw up opportunities for urban-rural cooperation without it having to be initiated at the District Planning Committee level alone.

The system of intermediate consolidation suggested above will need to be patterned a little differently for those Intermediate Panchayats that are located in the district/block headquarters, or have large urban bodies at the sub-district level. In such cases, it is suggested that:

(a) the municipality of the district headquarters would prepare its plan and send it to the District Planning Committee;

(b) the Intermediate Panchayat could consolidate the plans of the Village Panchayats and municipal bodies that lie within its area;

(c) the Intermediate Panchayat would also prepare its plan and send it either directly to the District Planning Committee or to the District Panchayat (both options are possible);

(d) the District Panchayat would send its plan to the District Planning Committee; and

(e) the District Panchayat could also send the consolidated Intermediate Panchayat plans to the District Planning Committee (See Box 72).

For the above purposes of intermediate consolidation, the District Planning Committee will continue to play a major role as the district manager for providing a planning support framework down the line. It will be necessary to provide additional support at the intermediate level for a Block Planning Unit, as an extension of the District Planning Committee.

Box 72
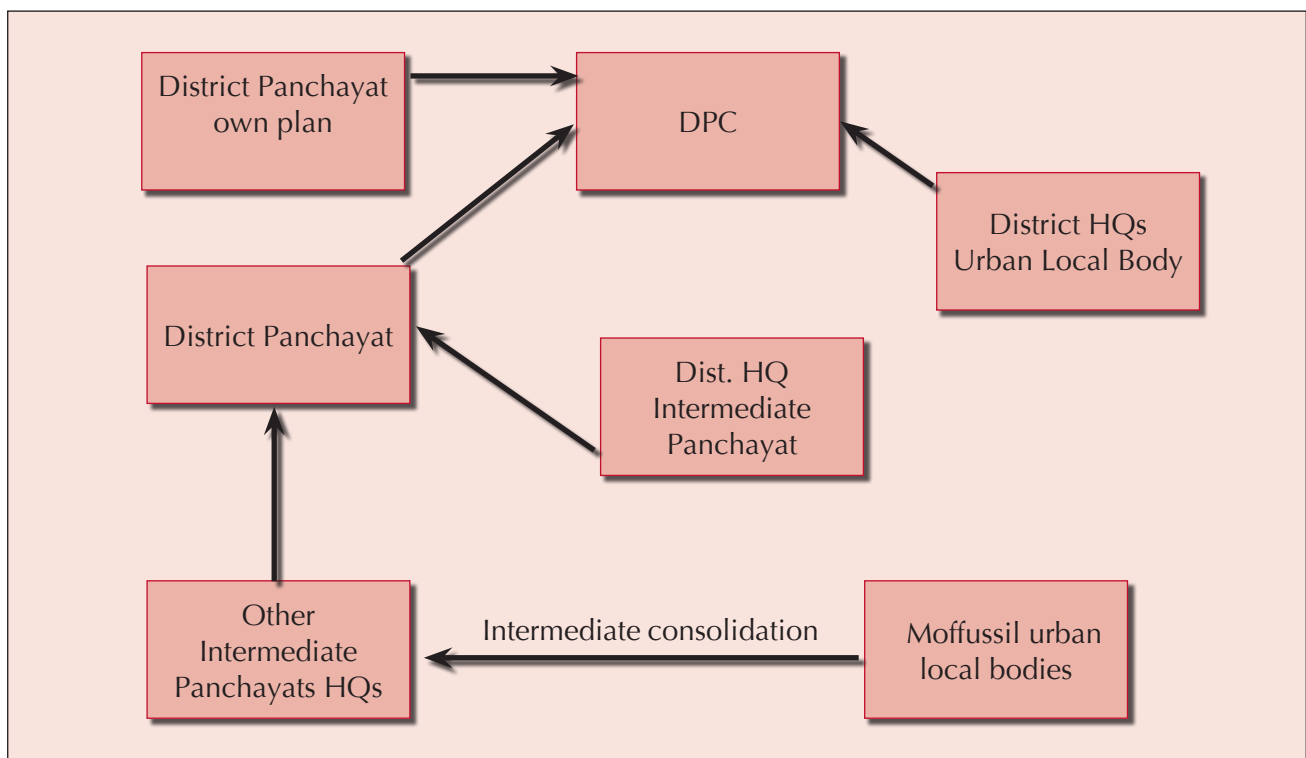
Box 73

Sector specific suggestions on cascading consolidation

Cascading consolidation is not a process of approval by the Intermediate Panchayat, but a process of mutual consultation of the local bodies, namely, the Intermediate Panchayat, the municipalities and the Village Panchayats at the intermediate level. For sectors such as health, education, sanitation etc., an iterative planning methodology is suggested. For instance, regarding health, as the first step, Village Panchayats could prepare a plan relating to primary health, while municipalities and corporations would prepare plans relating to primary health as well as for First Referral Units (FRU). In rural areas, Intermediate Panchayats would consolidate the plans of the Village Panchayats, while adding its own plans relating to the FRU, which may be coming within its responsibilities. Thereafter, the District Planning Committee would focus on secondary health and consolidate the plans from below.

In the case of agriculture and allied sectors a watershed approach would provide the necessary integration. Of course watersheds would cut across political boundaries, but they will provide viable and natural units for preparation of projects and integrating them. Here, a combination of top-down and bottom-up methodology would be practical. To start with, a narrative of river basin characteristics and issues needs to be prepared by a small expert group. This has to be followed up by delineation of watersheds reaching up to the micro-watershed level. Then participatory planning can be done for each micro-watershed and integrated upwards.

In the case of sanitation the approach should be to focus on waste minimisation and *in situ* waste treatment. Ideally what cannot be treated within a compound has to be treated in the locality and only what cannot be treated in the neighbourhood needs to be taken to the treatment site. Here again, depending on the type and quantity of waste generated the hierarchy of treatment systems can be put in place. For engineered sanitary landfills, common areas can be found depending on a combination of transportation logistics and availability of land.

7.6 Workflow for consolidation by District Planning Committees

7.6.1 The District Planning Committee can constitute sector-wise consolidation committees based on Boxes 64, 65 and 66, each comprising at least one elected District Planning Committee member, one departmental representative and one external technical resource person. The elected representative can be the chairperson of the sector consolidation committee.

The District Planning Committee can also constitute an integration committee composed of the District Planning Committee chairperson, each sector consolidation committee chairperson and the member-secretary of the District Planning Committee. The District Planning Committee chairperson can be the chairperson of the integration committee.

7.6.2 *Sector consolidation committees:* Each sectoral consolidation committee will screen sectoral plans submitted by Panchayats and municipalities using the checklists in Box 69. Following screening, projects that require consolidation and integration will be identified. The processes of these committees are described in the workflows in Box 74.

Box 74

```
                    DCP plan and approval
                  Sector integration committees


    Sector plan health          Sector plan
    municipality                health ZP proposed
    proposed


  Sector consolidation    Sector consolidation    Sector consolidation         Sector
  committee 1:            committee 2:            committee 3:            consolidation
  EDUCATION              HEALTH                  INFRASTRUCTURE          committee 8
```

Scan all projects and filter through each question below:

1. Are there projects that can be integrated, because they are physically close to each other?
2. Are there projects that affect both rural and urban stakeholders which calls for a collective and coordinated action?
3. Are similar priorities and issues emerging in urban and local areas within the district, which could benefit from a common and integrated approach?
4. Do activities and projects undertaken in urban areas have an impact on rural environment, or vice versa?
5. Are there projects that call for several departments and/or local bodies to act in concert for successful implementation and/or ongoing maintenance?

```
                         If YES
                         to any Q


          1. Decide if it will be monitoring project
          2. New project to be done by DCP - give details


  Education SCC      Health SCC       Infrastructure      8th SCC
  report             report           SCC report          report
```

As far as issues relating to the question of inter-sectoral dependencies are concerned, the sector consolidation committee shall identify those projects, with such dependencies and submit their recommendations to the integration committee. The sector consolidation committee's identification of projects requiring integration would be given in the format given in Box 75.

Box 75: Sector consolidation committee report

General Information																	
Zila Parishad																	
Urban Local Bodies																	
Consolidation Details																	
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
S. No.	SCC Proj ID	Reason for consolidation (Refer legend)	New project/Monitoring	Proj ID	Location	ZP/ULB name	Project description	Estimated cost	Project duration	Y1 Fund source	Amt	Y2 Fund source	Amt	Y3 Fund source	Amt	Priority	Needs inter-sectoral integration (Tick)

(Columns 5–7 grouped under "Projects Integrated"; Columns 11–16 grouped under "Sources of funds")

Legend for Column 3	
A1	Physical proximity
A2	Common stakeholder base
B1	Resource pooling
B2	Spillover effects
C1	Inter-sectoral dependency
O	Others

7.6.3 *The integration committee:* The Integration Committee shall consider all the recommendations submitted by the sector consolidation committees on inter-sectoral dependencies and decide upon these recommendations, making appropriate modifications to these projects. The workflow for the Integration Committee is given in Box 76.

These decisions shall be captured in the same format given in Box 69.

7.6.4 While sectoral and integration committees could identify projects, either fresh or co-opted, that will be implemented by the District Planning Committee, this need not necessarily be so. The committees could also choose to monitor projects that are being implemented by Panchayats and municipalities, for reasons of inter-sectoral dependencies, size and outlays involved, or technical complexity.

7.6.5 The duration of the exercise of consolidation at the District Planning Committee level for both sectoral committees and the integration committee should not exceed six weeks.

Box 76

Integration Committee Process

Education SCC Report   Health SCC Report   Infrastructure SCC Report   8th SCC Report

Integration Committee

Scan all projects and filter through the question below:

1. Are there projects that call for several departments and/or local bodies to act in concert for successful implementation and/or ongoing maintenance?

If YES

1. Give details of the project
2. If new project, state cost, duration, location

DPC Consolidation Plan

7.6.6 *The District Planning Committee consolidated plan:* Once this process is completed, the Integration Committee then prepares the draft District Planning Committee Consolidated Plan for approval of the District Planning Committee, which includes the following sections:

(a) The rural local government plan: Either consolidated by the Zila Parishad for all rural local governments or put together by the District Planning Committee itself (each plan to contain its spatial element).

(b) The urban local government's plans: Individually prepared by each urban local government.

(c) The District Planning Committee plan: Giving the projects co-opted by the District Planning Committee, as recommended by the sectoral committees and the integration committee.

Apart from the government element of the plans, these plans would also contain the spatial element, the private sector element and the credit element. The format in Box 77 can be used to give a brief grand abstract of the plan.

Box 77

Sector and dimension addressed		Local Governments				Special DPC projects (integrated)	State line dept.
		Rural local governments			Urban Local Govt.		
		District Panchayat	Intermediate Panchayat	Village Panchayats			
1	2	3	4	5	6	7	8
Govt. sector	Given directly						
	Indirect (through missions, parallel institutions)						
Credit Plan							
Corporate Sector							
Spatial plan							

The Committee could also then disseminate the draft district plan to Panchayats and municipalities and place it in the public domain. This will enable the Panchayats and municipalities to start the next phase of implementation, through budget preparation, projectisation and securing technical and administrative approvals.

Concurrent Monitoring and Social Audit of District Plans

8.1 When the planning process undergoes a major shift in approach from top-down plans to participative plans prepared from the grassroots-level upwards, the monitoring process will also require considerable change. A devolution-friendly monitoring system at the district-level must (a) permit very simple and easy updating by all planning and implementing levels (b) must provide access to all stakeholders, not only to know what they are doing, but what other stakeholders are doing as well. In addition, the thrust of monitoring must cover two aspects, (a) the rigour with which the participatory processes are undertaken and (b) the wide range of quantitative and qualitative outcomes that emerge (See Box 78). This is further joined by two major challenges that arise in developing effective monitoring systems: one, to regularly update data regarding implementation and two, to design and provide the visual interface for data interpretation.

Box 78

Considerations of stakeholders	What should be monitored			
	Process	Outputs		Outcomes
		Physical progress	Expenditure	
Easy reporting process				
High accessibility				

8.2 The only way to effectively capture the nuances of planning and implementation in a monitoring system, while simultaneously meeting the challenge of regular updating and presentation is to automate it to the fullest extent possible. While lack of connectivity to Village Panchayats is a constraint, this can be overcome by bringing data to the Intermediate Panchayat level, where in most states connectivity and computers are already available or are being moved into place.

8.3 The relationship between different software that deals with various aspects of the planning process has been explained in Vol. 1. The core of the decision-making process in planning is enabled by the PlanPlus software, which facilitates the preparation of participative plans by enabling the recording of the preferences and priorities of people and slotting them into schemes and programmes that form part of the budget envelope of the planning unit. Tracking the implementation of plans and data regarding progress for monitoring are all enabled by PlanPlus. Other software such as Gram++ can convert numerical data to provide visual outputs that make monitoring easy and thought provoking.

8.4 Creating numerical/statistical data systems

8.4.1 The key to a robust monitoring system starts with the design of the data system. This aspect has been dealt with in detail in Vol. 1, Chapter 2. Once data is classified accordingly and entered into the monitoring system, some principles have to be followed while designing how data flows within the monitoring system, so that it remains logical, comprehensible and simple, without sacrificing relevance (See Box 79).

Box 79

Filtering of data at various levels	Data on local processes is best retained for local-level monitoring and only key outcome indicators need be passed on to the next level of aggregation. For example, village-level data on malnutrition in children may be aggregated at the intermediate level but information on village dietary practices need not be carried forward, as they have to be primarily tackled locally.
Concurrent analysis of data	Data analysis should be automatic, and data-flows match the planning work-flow.
Identification of key indicators at each reporting level and integrating with periodic reports.	Key indicators should be identified for nodal reporting institutions (anganwadis, public health centres [PHCs] and primary schools) from their data registers, for highlighting and upward transmission.

8.5 Participatory evaluation and social audit

8.5.1 While numerical and spatial data systems can be of immense help, they cannot replace direct impact assessment by beneficiary communities and civil society at large, as instruments for making programmes outcome-oriented. Some instruments that facilitate citizen review are (a) the Right to Information Act, Social Audit, Community Score Cards and Citizens' Report Cards.

8.5.2 *Proactive disclosure under the Right to Information:* The Right to Information Act, 2005, mandates proactive disclosure of information about any public sector activity involving the public interest at large. Important elements of proactive disclosure in the context of decentralised planning are summarised in Box 80.

8.5.3 *Public disclosure and community participation in the urban context:* The Jawaharlal Nehru National Urban Renewal Mission (JNNURM) envisages the enactment of provisions relating to mandatory public disclosure by making appropriate provisions in the state municipal and other statutes. Such provisions are aimed at ensuring the availability of quarterly performance information to all stakeholders and thereby institute transparency and accountability in the functioning of municipalities through the publication of information pertaining to various facets of municipal governance, such as personnel, particulars of administrative structure, finances and operations.

Box 80

• Key indicators of the existing status of public infrastructure, services and human development in the area concerned as the baseline scenario for public reference (the stock-taking report).
• Summary of existing programmes and fund allocations (the budget envelope).
• Summary of processes followed for getting the village/ward-level wish-lists prepared (the planning process).
• Aggregate priorities emerging from the village/ward wish-lists (sector-wise consolidated lists).
• Summary of processes followed for translation of aggregate wish-lists into technical-financial proposals at appropriate levels (the 'plan plus' matching of wish list with funds).
• Summary of processes followed for getting final approvals to the technical-financial proposals (the planning workflow, with dates of clearance).
• Final technical plans and financial allocations with details of works selected, fund-flows, implementation process, community role, role of stakeholders in monitoring and timelines, (the plan, per se).
• Progress and status of any of the above processes.
• Details of public authorities, documents, records and other information held by them; names, contacts and roles-responsibilities of key functionaries associated with the above processes.
• Names and contacts of Public Information Officers (PIOs) for seeking further information, etc.

The JNNURM also envisages the creation of another tier of participative decision-making in the municipality below the ward-level, the Area Sabha, through the mandatory reform of a Community Participation Law (CPL). Under the model provisions circulated under the guidelines, all Area Sabhas in a ward will be linked to the ward level or ward committees through Area Sabha representatives, who will be community representatives. There will thus be a minimum of three decision-making tiers in a municipality: the municipality, the ward committee and the Area Sabhas. In addition, states may choose to have an intermediary level for administrative reasons, clustering multiple wards into a regional structure between the ward and the municipality.

8.5.4 *Monitoring of plans by gram, ward and area Sabhas:* It is necessary to ensure that citizens; forums such as the gram, ward and Area Sabhas meet and regularly reviews plan implementation. Some measures that facilitate this are in Box 81.

8.5.5 *Record of meetings as a mandatory requirement for funding:* All programmes that devolve funds to local governments should make the record of Gram Sabha and Ward Sabha meetings 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.

Box 81

Regular meetings with some rules of discussion accepted by all to permit full participation.	Convening meetings at fixed periodicity.
	Clear agenda representing everybody's concerns and items to be reviewed and monitored.
	Mandatory attendance of elected representatives, functionaries, work contractors, private service providers, etc., along with necessary records.
Public reading and inspection of documents, records and samples.	
Public reading of the results of community score cards or citizens' report cards and other exercises of public assessment of works and services.	
Public exercise of exact tracking of funds allocated and disbursed for various works and activities.	
Detailed recording of deliberations and public reading of draft minutes before conclusion of the meeting.	

8.5.6 Reporting to Gram Sabha/Ward Sabha by line department functionaries: All village and ward-level line department and Panchayat functionaries should report to the gram and ward sabhas about the performance of various schemes and programmes, with particular focus on three major aspects:
- the total allocation available for the area concerned under various schemes and programmes of that department during the current financial year;
- the targets for physical and social outcomes;
- activities planned during the current year to meet those targets;
- activities actually initiated and the reasons for not initiating the rest;
- progress of each activity in physical, financial and social terms;
- shortfalls in activities, expenditures and physical and social outcomes with reasons; and
- the way forward.

In some states, the practice already exists whereby periodic meetings of all line department functionaries at the village level are held by the Gram Sabha and issues of common interest are discussed in a participative manner. In Maharashtra, this practice is called as *Gramastha Din* (Villagers' Day). Information on such practices may be compiled and studied by all districts so as to evolve their own models of line department reporting to the gram, ward and Area Sabha.

8.6 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 person 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.

The exercise of social audit needs to be particularly sensitive to gender and exclusion issues. Careful planning is required to ensure the inclusion of women from the marginalised section in the entire process of social audit. Gender disaggregated beneficiary assessment could be used as a tool across various exercises in the social audit. Tools like community score-cards and participatory opinion surveys may be used to gauge the satisfaction levels among various social groups regarding key services. Gender specific roles, division of labour and the consequential divergence of concerns and issues should also be captured consciously in all forms of data compilation during a social audit.

Sector-wise norms of monitoring and audit should be evolved to facilitate a systematic and structured process of audit. Such framework for some important sectors is provided in Annexe II.

Volume 2

A Handbook

for

District Planning

Introduction

1.1 Volume 1 of the Task Force Report dealt with the overarching set of reforms that have to be put in place for facilitating participative district planning. This volume is structured as a handbook for users and stakeholders in district planning, ranging from the elected representatives of local governments, to district-based officials, technical support institutions, monitors and technology providers. We are at a unique juncture where participative decentralised district planning is gathering momentum due to reforms in scheme implementation and towards strengthening of local governments. Side by side, innovations in information and communication technology have made it possible for the vision of participative planning, spoken about for long, to be effectively implemented on a countrywide scale. The time is now ripe for grounding participative planning from the grassroots level upwards led by local governments, so that they prepare comprehensive plans in partnership with local communities. This will create a strong sense of ownership, leading to better outcomes and results from planning. The transformations that we expect in planning processes by adopting the methods suggested in this handbook are:

(a) analysis of the existing scenario planning unit-wise, both for urban and rural areas;

(b) conversion of department-wise planning into local government-wise planning, taking into account all departmental activities that are devolved upon them;

(c) a coordinated effort towards achieving some common thrusts in development, such as improving health, nutrition, education, sanitation, providing better living environments, removing poverty, improving livelihood opportunities, boosting agricultural production and productivity, providing social security etc., that are fully understood and prioritised by all planning units; and

(d) a closer and more transparent linkage with state and national plans and priorities.

1.2 It is obvious that participative district planning has many dimensions and would benefit from following a clear sequence of steps. There are five important features that affect the sequencing of participative planning:

(a) Local governments are not fully empowered yet as envisaged in the Constitution, leading to duality between them, line departments and parastatal bodies and societies. We have termed each such entity as a planning unit, because they have important roles to play in planning (See Box 2).

(b) There are several levels of local government such as the district, intermediate and Village Panchayats in rural areas and municipalities, ward and Area Sabhas in urban areas.

(c) There are several line departments and missions that operate independently in important development sectors such as health, education, nutrition, sanitation, livelihoods, watershed, forest development etc.

(d) Funds come into the district from various sources such as plan and non-plan funds, central, state and centrally-sponsored schemes, local revenues, etc.

(e) There are several groups, such as NGOs, SHGs, cooperative societies, youth and women's associations, associations of marginalised communities, academia, etc., each seeking fulfilment of their own expectations from the district plan.

Box 1: Decentralised participative district planning

Planning involves gathering of relevant data, analysing it to set priorities, matching the set priorities to available budgets, defining processes of implementation and the setting and monitoring of targets. Decentralised district planning comprises what different planning units within a district can achieve together by envisioning collectively, operating budgets, exercising skills and leveraging initiative. Typically, in a good decentralised district planning exercise, each planning unit, namely Panchayats, at the district, intermediate and village levels, municipalities, line departments and parastatals would prepare a plan for execution of each of their functions and responsibilities after wide ranging consultations. They could also collaborate and coordinate with each other to achieve some common purpose that is beyond the scope of each one of them individually. Each one of them would consult experts, stakeholders and the line departments concerned, to firm up their individual plans and make them feasible. The final plan would result from a buckling together of these unit plans through a consultative process of consolidation and development initiatives.

Box 2

What is a planning unit?

The term 'planning unit' is repeatedly used in this handbook. Simply stated, a planning unit is a body that is entrusted responsibility for planning. Ideally, the responsibilities of and relationships between planning units should be clearly defined and should not overlap. In a logically organised system of local government, the Panchayats and municipalities are easily recognisable as distinct, self-contained planning units. However, the position and scope of local governments varies widely across states. In some, the task of full and complete devolution of functions, powers and responsibilities to the Panchayats and municipalities is incomplete. Here, Panchayats still function as agents of line departments. In other states, Panchayats are relatively better empowered and have functioning under them separate and distinct departmental units over which they have considerable control. Urban bodies likewise, are bound by a system of hierarchical approvals of budgets and other administrative controls.

Several departments have also set up societies or missions, often under directions by the central or state government to plan and execute development projects in areas which are in the functional domain of local governments, using funds provided by the state or central governments or donor funds. Such institutions are termed parallel because they have a separate decision-making system for resource allocation and project execution which is independent of the Panchayati Raj set up. These parallel bodies could have in them bureaucrats, elected representatives and even non-officials and community representatives. They have considerable autonomy, flexible procedures and function in isolation, directly reporting to the state government and some times to the central government. This has further increased inconsistencies in devolution.

Given these inconsistencies and state specific arrangements, it is best to:

(a) Undertake a census of all the planning units in the district. Where these are not local bodies, for example, government line department offices, mission offices, user groups and societies, details ought to be logged about the local government jurisdictions in which they operate.

(b) Prepare a flow chart that sets out the roles and responsibilities and the relationships between the various planning units in a district. Box 3 contains a sample of a flow chart.

Box 3: Process of district planning
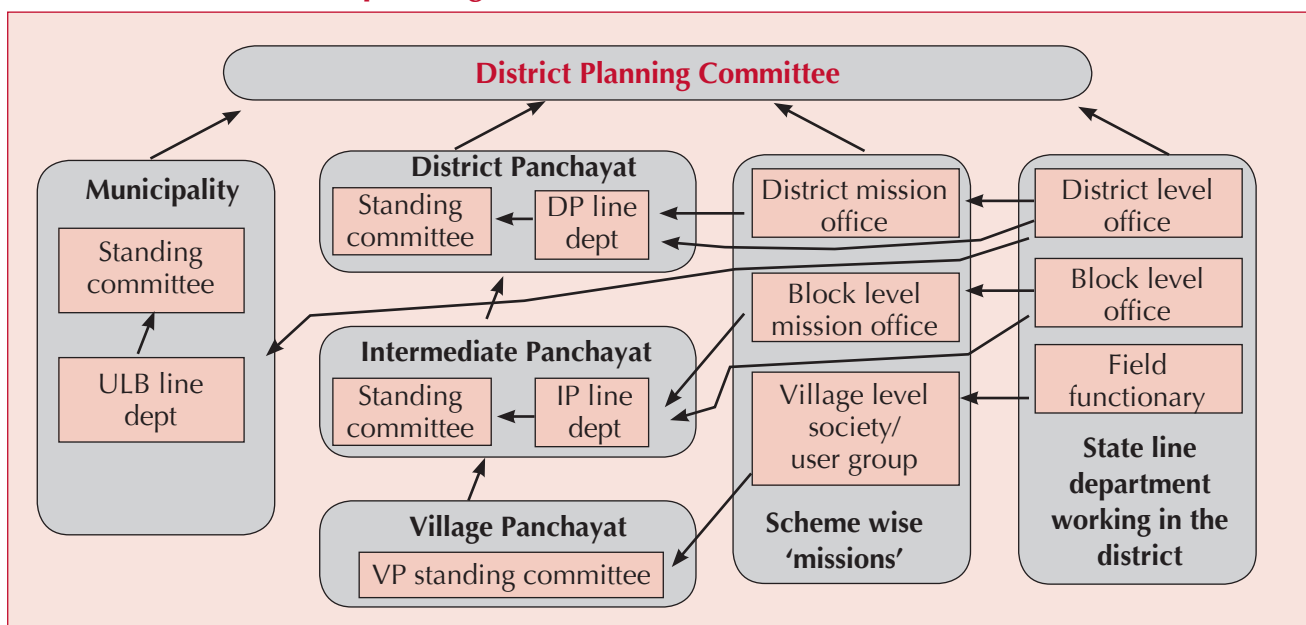
1.3 The process of district planning as envisaged in this handbook consists of two phases, namely, the preparation of a five year development plan and the preparation of annual action plans.

1.4. Preparation of the five year perspective plan: The preparation of the five year development plan comprises the following broad steps:

i) Preparation of a district stock-taking report, which is presented to the District Planning Committee. This becomes the basis for the district vision-building exercise.

ii) A district vision-building exercise, which is guided by national and state goals, based on the current trends in the stock-taking report, and a Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis.

iii) Communication of the district vision to each planning unit, to enable the setting of priorities and allocating of funds at their levels.

iv) Simultaneously communicating the governmental funding envelope that each planning unit is likely to obtain, so that this can guide the envisioning process.

v)   Following the visioning exercise, to generate planning unit-wise priorities and broad investments through community participation within the framework of the vision.

vi)   To identify what can be met through available funds at each planning unit and what cannot, so that other funding avenues can be explored.

vii) Bringing together the plans of smaller planning units to a higher level, to explore and firm up linkages.

viii) Simultaneously, integrating these plans into a decentralised district plan and its final approval by the District Planning Committee.

ix)   Establishment of monitoring systems and social audit mechanisms to ensure effective implementation of the district plan.

1.5 Preparation of annual plans:

i)   Annual stock-taking of the implementation of the previous year's annual plan.

ii)   Participative preparation of the current year's list of projects, taken from the five year perspective plan after considering the progress and shortfalls of the previous year's plan.

iii) Finalisation of the technical and financial feasibility of prioritised projects.

1.6 This handbook details the processes for the above steps and includes formats and checklists for them.

Preparation of the District Stock-taking Report

2.1 The first step in the planning process is to prepare a district stock-taking report, to assess the level of human development and the availability of natural and financial resources and infrastructure. This should be based on the district human development report (DHDR), wherever available. Relevant data from various sources can be compiled, assessed and described in a simple fashion. This report would contain:

- a brief introduction to the district's history, social structure, geography, economy, demography and natural resources;
- details of available infrastructure and services for the public in the district. This would also include a description of the administrative set up, particularly of the local government structure;
- data regarding key development areas, broken down to the smallest planning unit level possible (see Para 2.4.1);
- a brief assessment, highlighting any significant features of development or lack of development, also focusing on progress and shortfalls, and gaps in outcomes in implementing the previous plan, spillover works and funds required for their completion;
- a description of all financial resources available in the district for planning, such as government funds, credit, corporate investments, interventions by charitable institutions, NGOs, corporate social responsibility etc. As far as possible, the data should be disaggregated to the level of individual planning units; and
- brief of areas where there is potential for accelerated growth.

Box 4

Basic facts of the district, including natural resources	Geographical area, terrain, agro-climatic conditions, flora and fauna, land use, water availability, geology, minerals, demographic data, types of habitation, households and families, social structure, occupations and way of life, etc.
Infrastructure and services for the public	Transport and communication network, irrigation and water supply, electricity and fuel supply, housing and basic amenities, drainage and sanitation, food supply and nutrition services, health delivery system, schooling and education, employment and self-employment, farm sector development, industry and trade, technical training and skill development, professional education etc. Verification of physical assets, both community and individual assets, undertaken at each local government level.
Data on important indicators and assessment of development	Life expectancy at birth, maternal mortality, neonatal and infant mortality, child mortality, immunisation, malnutrition, acquired disabilities, morbidity and linked mortality, literacy, mean years of schooling, average educational attainment, age at marriage, family planning, gainful employability and employment, economic status with regard to the poverty line, access to adequate housing and basic amenities, standards of living, social security, fulfillment of civil rights, etc.

The local administrative set up	The number and statistics regarding rural and urban local governments (Panchayats, urban local bodies, autonomous councils etc.), line departments attached to local governments, state line department offices, missions and other parastatals operating in the district.
Financial information	District government budget allocations source-wise and sector-wise, actual receipt and expenditure in previous years, pattern of resource distribution among local governments, own revenues of local governments, district credit plans, major corporate investment details, investments by SHGs and micro finance institutions (MFIs).
New areas for accelerated growth; potential 'lead sectors'.	New areas of economic growth such as new industries, corporate investments, tourism, agricultural diversification.
Wherever possible, data should be in time series so that trends can be analysed.	

2.2 Annexe I contains 28 formats for stock-taking. In addition, existing systems that are being put in place can be used, such as the National Urban Information System for urban areas (See Box 5).

Box 5: National urban information system

The Ministry of Urban Development has launched the National Urban Information System (NUIS) scheme in March 2006 to develop geographic information system (GIS) databases for 137 towns and cities in 1:10,000 and 1:2000 scales and utility mapping in 1:1000 scale for 24 towns. The scheme also aims at developing a National Urban Data Bank and Indicators (NUDBI). These spatial and non-spatial databases will be useful for preparation of master and development plans, and detailed town planning schemes, and serve as decision support for local governments. The total outlay of the scheme is Rs. 66.28 crore with the Centre providing 75 percent funding. Collection and depiction of spatial data is to be undertaken by the Survey of India, the National Mapping Agency, which signed a Memorandum of Understanding (MoU) with the Ministry of Urban Development on March 13, 2006.

The Town and Country Planning Organisation of the Ministry of Urban Development has prepared guidelines and a detailed road map listing out the major activities, stakeholders, fund management schedules and milestones for implementation of the NUIS Scheme. The Ministry of Urban Development has also constituted a NUIS Standards Committee (NSC) which has prepared detailed standards for the preparation of these spatial maps.

The scheme involves application of modern automated methods for map preparation like aerial photos, satellite images and ground penetrating radar (GPR) and GIS. Therefore, one of the important requirements for implementation of the scheme is to develop trained manpower in towns and states covered under it. For this purpose, NUIS guidelines have detailed a capacity building programme at three levels, i.e., operator or technician, supervisory and decision maker levels. In all, about 600 personnel are to be trained in about 30 programmes conducted by several premier technical institutes that deal with remote sensing and mapping.

(See http://urbanindia.nic.in for more details)

Assessing available resources would also be part of the visioning exercise, because sometimes a potential resource may lie ignored unless a use is found for it. For instance, granite may not be considered a resource unless a granite polishing project is thought of.

2.3 Stock-taking of government funds and collecting scheme details: The stock-taking should also contain a detailed sector-wise listing of current central and state schemes and programmes, stating their broad goals and major outcomes. This can be compiled side by side with national and state norms for minimum standards of public service provision. When this is seen along with the district's development data, it will enable a quick assessment of the gaps and shortfalls and the funds available for making up the gap. Box 6 lists major Government of India schemes. More details, particularly of state schemes, can be added if required.

Box 6: A sample framework of sector-wise schemes and outcome indicators

Sector & key schemes	Broad goals	Indicators and national goals
Public health & family welfare • National Rural Health Mission (NRHM) • Reproductive and Child Health (RCH)	i) Assured, effective and affordable basic healthcare for all ii) Adequate protection against transmitted diseases and epidemics iii) Access to safe and sure means of family planning iv) Adequate care during pregnancy v) Access to institutional deliveries vi) Assured full coverage of immunisation vii) Protection against infant/child mortality	• Maternal mortality rate • Infant mortality rate • Child mortality rate • Anaemia in women • Anaemia in children under six • Disease prevalence: Malaria, Tuberculosis, HIV/AIDS • Reduction of gastroenteritis, diarrhoea and other waterborne diseases
Food & nutrition security • Integrated Child Development Services (ICDS) • Mid-Day Meal (MDM) • Annapurna • Public Distribution System (PDS)	i) Assured access to adequate food ii) Assured adequate nutrition during infancy and early childhood	• Targeted PDS coverage • Malnourished children (0-6): normal to Grade IV • Supplementary nutrition coverage
Education • Sarva Shiksha Abhiyan (SSA) • Ashram Schools • Eklavya Schools • Navodaya Schools • SUCCESS (secondary education)	i) Assured enrolment in school ii) Assured retention in school for minimum desired years of schooling iii) Acquisition of basic literacy and minimum educational competencies. iv) Access to opportunities of continued/life-long education	• Enrolment in Class I-IV • Education quality assessment • Sex-wise literacy • Less dropouts in education • Improvement in pass percentages

Sector & key schemes	Broad goals	Indicators and national goals
Natural resource management and water security • Accelerated Rural Water Supply Programme (ARWSP) • Accelerated Irrigation Benefits Programme (AIBP)	i) Access to adequate and safe drinking water ii) Adequate water supply for sanitary, household and irrigation purposes	• Potable quality of drinking water • Assured access to clean water for domestic use (litres of water per person and domestic animals per day as per national or state norm)
• National Watershed Development Project (NWDP) • Jawaharlal Nehru National Urban Renewal Mission (JNNURM) • RKVY		
Sanitation • Total Sanitation Campaign (TSC) • JNNURM	i) Assured and convenient access to clean toilets ii) Assured and adequate water supply for a hygienic way of life iii) Adequate environmental sanitation	• Coverage of habitations with public toilets • Coverage of households with attached toilets
Roads • Pradhan Mantri Gram Sadak Yojana (PMGSY) • JNNURM	i) Adequate and all-season access to physical connectivity	• Availability of roads • All-season dependability on roads
Energy • Rajiv Gandhi Gramin Vidyutikaran Yojana (RGGVY)	i) Adequate and assured energy resources for household, economic and public activities	• Electricity connection to each household • Consumption in kwh/person (electricity)
Housing • Indira Awas Yojana (IAY) • Valmiki Ambedkar Awas Yojana (VAMBAY) • JNNURM	i) Assured, adequate, affordable and all-season housing to every family ii) Adequate housing for urban poor including slum areas	• Families with pucca houses • Dwellers in kachcha houses • Homeless persons • Houses at affordable cost for slum dwellers/urban poor/EWS/LIG category
Livelihoods • Swarnajayanti Grameen Swarozgar Yojana (SGSY) • National Rural Employment Guarantee Act (NREGA) • Centrally-sponsored agriculture-based schemes	i) Sustained and equitable access to natural resources ii) Adequate access to, and returns from farm livelihoods iii) Adequate access to non-farm livelihoods including credit capital, technical support and market linkages iv) Assured and adequate employment – both skilled and non-skilled with assured minimum wages	• Families assisted under agriculture, horticulture, AH, fisheries and allied schemes • Active SHGs • SGSY assistance

Sector & key schemes	Broad goals	Indicators and national goals
	v) Adequate access to organised sector employment	• NREGA: - Registered - Given job cards - No. of man-days provided on average to persons issued job cards • Enrolment in employment exchange • Jobs provided

2.4 Analysing data for presentation before the District Planning Committee for envisioning

2.4.1 While analysing data, key comparisons that can trigger enquiry and prompt solutions should be made. For example, school-wise data on pass percentages can be presented in a table with no particular pattern and it will not elicit any response. However, if the same data is presented through ranking of schools, it will provoke questioning and lead to constructive thinking and discussion. Ranking of Panchayats, comparison with district, state and national averages and the most desirable level of attainment can be tried. Similar ranking for urban local bodies may also be done by taking into account the comparative picture of urban areas at state/national level through the accredited agencies.

Such technology that makes comparisons easier would considerably help in self analysis and finding solutions. Gram ++, which enables all data to be colour-coded and presented both in tables and maps can be used. When presenting data, emphasis can be on two broad areas, namely, on socio-economic indicators and the second on infrastructure and economic indicators.

2.4.2 *Visual presentation of data:* Stock-taking reports are usually presented in tables. However, these do not hold attention span in long presentations. Visual presentation of data enhances recognition and retention. There are several ways of making the stock-taking presentation interesting (See Box 7).

2.4.3 *Spatial presentation of data, including baseline information:* Presenting stock-taking data on a map of the area concerned is an effective means of communication. Maps can depict the information in this fashion in three broad ways:
(a) In the most obvious manner, to show physical details such as availability of natural resources such as forests, soil types, agricultural coverage and topographical details such as slopes, watersheds etc.
(b) The location of infrastructure, such as roads, school buildings, hospitals and other basic services.
(c) To depict the qualitative aspect, such as human development indicators (for example, data on nutrition, IMR, MMR, water availability, etc.) so as to highlight which locations require attention. Usually, actual data on any particular aspect is fed in and then colour coded on the map for easy understanding.

Box 7: The smiley face

The GIS can add immense value to the district stock-taking and visioning exercises through interfacing numerical data with spatial information. The stock-taking and visioning exercises become far more communicative if this is done. Visually appealing presentation can be done even in a non-GIS display. For instance, one could present data on deviation from a norm or average through 'smileys'. The greater the gap, the sadder the face!

Item	Unit	National norm	District position	
Drinking water	lpcd	50	30	☹
Literacy	percent	85	85	😐
IMR	per 1000	50	20	😊

Using development radars for displaying information

Development radars are pictorial depictions of the performance of a planning unit in respect of various sectors such as health, education, poverty alleviation, drinking water, housing etc. In it, coordinates are plotted around 360 degrees, with each axis being used to measure one parameter of development. The point measuring the ideal levels of attainment in each parameter is located at points equidistant from the centre. Thus, pictorially, in case these ideals have been reached in all parameters, the development radar looks like a uniform outward polygon. A jagged polygon indicates that development is skewed by those engaged in planning. Development radars can also be a report card, because they can be re-drawn over a time sequence and the difference in attainment measured.

In field use, development radars have been found to be easily recognisable and are of great help in identifying development priorities and knowing how much ground is to be made up in respect of each development parameter.

All India
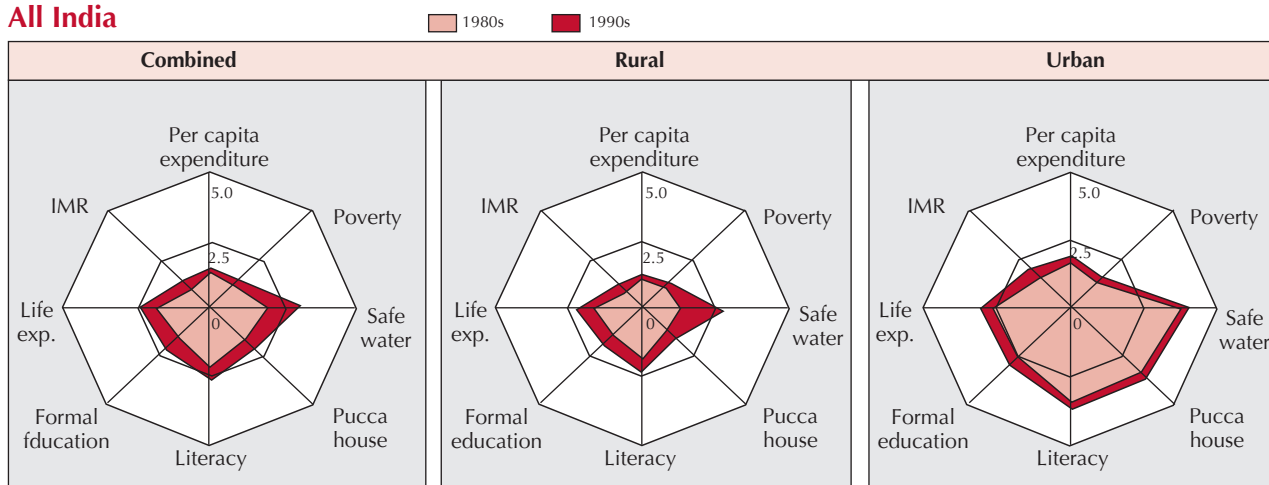
Note: In case of IMR and poverty, the reduction of the same is tracked on the development radar.

There are several instances where stock-taking and baseline information is being displayed on maps. Typically, map related software contains maps which are usually obtained from an official source such as the National Remote Sensing Agency (NRSA), National Informatics Centre (NIC) etc. or prepared de novo. Locations of infrastructure and services and boundaries of Intermediate Panchayat, Village Panchayat and village maps are then plotted on these maps through GIS overlays. Most software also typically contain an interface in which numerical data can be inserted (through an excel sheet), following which this data is automatically displayed on the map. Three examples of such initiatives are given, which can be adapted for use in stock-taking and visual display.

Bhaskaracharya Institute for Space Applications and Geo-Informatics (BISAG)

BISAG is the Gujarat State nodal agency to facilitate the use of spatial and geo-spatial technologies for planning and developmental activities. This institution utilises satellite images and geo-informatics technology applications for grassroot level planning initiatives. At the heart of its approach is to develop a multi-purpose common geo-spatial database using conventional maps, high resolution satellite imagery, 2D and 3D images and official databases. The areas covered include natural and administrative systems including local governments, village maps with survey numbers, water harvesting structures, land utilisation pattern, infrastructure, urbanisation, environment data, forests, sanctuaries, mining areas, industries and Special Economic Zones (SEZs). It also provides the locations of schools, health institutions, anganwadis, local government offices etc. In addition, census and socio-economic data has also been incorporated into the software. Data is provided either in soft form or as an atlas customised for specific sectors.

BISAG's work in urban areas covers 55 urban local governments, where properties and amenities have been captured on city maps with more than 50 GIS layers.

Since BISAG also manages the satellite communication system that links all urban and rural local governments, it has now established an integrated MIS, which is equally being used by line departments and local governments.

GRAM++

Gram++ has been developed by the Centre of Studies in Resources Engineering (CSRE), at the Indian Institute of Technology (IIT), Mumbai with support from the United Nations Development Programme (UNDP) and Department of Science and Technology (DST), Government of India. Spatial database is prepared by import of data from existing GIS formats. The software also has map editing capabilities. Data for spatial presentation can be imported from existing software, excel tables and even from scanned documents. GRAM++ supports a basic statistics package that can derive statistical parameters such as mean, median, mode, etc. and then display the results on maps.

Note: Gram ++ is available for a nominal price from the IIT Mumbai.

Riddhisoft

Riddhi Management Services Private Limited (RMSPL) has developed its own technology, named, 'WhizMap', to publish a GIS ready map on the web, which can be used for creating an entirely map based stock-taking, planning and monitoring system. The GIS system has been made user-friendly in the form of WhizMaps, which can be used directly by users with some basic training. Layers of information can be captured at the micro level and simple queries regarding development can be asked. India's census data has all been captured on WhizMaps and is available on the net. Customised query and data presentation systems have been prepared giving Panchayat details, ICDS and a Decentralised Information Management Initiative (DIMI) for selected West Bengal districts.

www.riddhisoft.com

The Envisioning and Perspective Planning Process

3.1 Envisioning is a process of building up through a consultative back and forth process, a set of accepted priorities for the district. Since the vision is the basis for the plan, it cannot be prepared in isolation and must involve all stakeholders in the district. Stock-taking and envisioning are two sides of the same coin. The vision must have a strong grounding on facts, which are provided through rigorous compilation and analysis of the district baseline data by the stock-taking exercise. The purpose of envisioning has been defined in the report of the Expert Group on grassroots level planning. What is envisaged in this handbook is the preparation of a five year perspective at the commencement of each five year plan as part of a longer term 15 year vision. The preparation of the longer term 15 year vision has been dealt with in Volume 1 (See Para 2.14 of Vol 1). The distinction between these two aspects of envisioning is described in Box 8. We have used the term 'envisioning' or 'visioning' wherever both processes are considered together. They are also referred to separately as the 'five year perspective plan and the '15 year vision', wherever relevant.

Box 8: Five year plan vs 15 year vision

The five year perspective plan	The 15 year vision
More exact and attuned to budgetary allocations that are fixed in the five year plan.	Concentrates on the larger picture and sets out broad development goals that are not affected by funding constraints
Is guided by existing funding priorities and schemes.	Aims at influencing funding priorities over the long term
Capable of being projectised and implemented through annual plans, which take out prioritised activities and implement them	Not in a 'projectisable mode' but more of setting out the priorities.

3.2 Participation in envisioning exercises: Envisioning at district level has to be much more than an armchair exercise of brainstorming by a closed group of people. The visioning committee at district level should regularly invite stakeholders' representations both at the visioning and planning stages (See Box 9). At the same time, a compromise has to be found between participation and guidance from the top. It is quite possible that the vision and perspective is initially prepared by experts and then piloted through the participative planning process, where local governments and people can conceive of cost effective approaches. On the other hand, the 15 year vision and 5 year perspective plan might also emerge from the felt needs of people and local governments that might be otherwise overlooked by an expert. In some States, where decentralisation and empowerment of Panchayats has

proceeded quite far, the envisioning process would touch every Village Panchayat and sub Panchayat body. However in others, for practical reasons, envisioning might have to be confined to the intermediate level, because Village Panchayats have not been empowered enough. This may also be true in respect of Urban Local Bodies that have not been devolved with the functions listed out in the Twelfth Schedule.

However, the ideal would be to increase rather than to decrease participation in envisioning.

Box 9

Who is a Stakeholder?

Stakeholders are individuals, families, user groups, institutions, organisations and other pressure groups that potentially affect or are affected by any particular issue in question. The participation of stakeholders is necessary to understand exactly how each one influences or is affected by any activity or proposal, because ultimately most development emerges from a confluence of such mutual effects.

Potential Stakeholders in a participative district planning process:
- Local governments, who lead the process and are central to it
- Citizens groupings, such as gram and area sabhas, ward committees, residents welfare organisations etc.
- Sectoral interest groups, such as ex servicemen, weavers' cooperatives etc.
- Commercial entities such as cooperative societies, banks and companies
- Voluntary agencies such as clubs, NGOs, activist groups
- Experts (both individual or institutional) in the field concerned, whether from within or outside the district, who can add value through advice and direct support
- Experts from academic institutions
- Women and marginalised groups of people, including associations of SCs and STs and minorities, who might get ignored in the planning process unless specifically brought in
- Line departments, working in the district, whether attached to the State, Central or local governments
- Large industries and undertakings, both public and private, with a presence and investment in the district; this would include railway, airport and highway authorities, heavy industries in the power and mining sector, industrial estates and townships, whether in the public or private sector.

Ensuring participation of women in envisioning and planning:
- Seek womens' views in surveys, including through focus group discussions.
- Identify women community leadership and include in all committees formed under various sectors,
- Encourage elected women member networks to exert pressure and throw up leadership for plans with womens' views embedded in them.
- Organise capacity building programmes on womens' empowerment as a cross cutting theme so that development priorities identified by women are respected.
- Organise special capacity building for women belonging to traditionally muted and excluded groups.
- Organise separate meetings for women to identify issues that they might find uncomfortable to raise before a predominantly male audience.

Ensuring full involvement and participation of disadvantaged groups
- Organise fora for special and separate consultation with disadvantaged groups such as SCs and STs, persons released from bonded labour, representatives of primitive and nomadic tribes, etc.

3.3 Identification of Lead Sectors for development

3.3.1 The district envisioning process could identify certain 'Lead Sectors' of development in the district. The lead sector of a district economy is that sector which either dominates an economy in such a way that it provides the large part of output and employment (for example fruit production in Himachal Pradesh) or is growing rapidly, so that it is contributing more than other sectors to economic growth and employment (for example, industrial growth in several fast urbanising districts). A lead sector is generally one that can boost or enhance the overall economic development of the district, thus facilitating faster development in other sectors also.

3.3.2 *Who will identify lead sectors?* The lead sector could be identified by experts or people themselves. Lead sectors can also be identified from the potential linked credit plans prepared by NABARD. While identifying lead sectors, care should be taken to balance the desire for standardisation with the desire for promoting diversity. On the one hand, the lead sector selection should not be too narrow or isolated as then the ripple effect might be diminished. On the other, since there might be several agro climatic regions and immense diversity in a district, a singe lead sector may be of little value.

3.3.3 Normally the focus of planning is on CSSs and State Schemes, which are usually tied to pre determined objectives, leaving little scope for the own priorities of a district. Even in urban areas, which depend less on government tied funds for their budgets and more on their own revenues, envisioning is curtailed because of low collection of own revenues and tied commitments, such as payments to staff. Moreover, line departments and local governments, by their very nature are less aware of the vision for economic growth. Therefore, it is better if the DPC, being at the top of the government set up, focuses more on envisioning in the government sector and invites much larger stakeholder consultation, particularly with the private sector, in envisioning on lead sectors. The key matters to consider for identifying the district lead sectors are given in Box 10.

Box 10: Some key matters to consider when identifying district lead sectors

a. Natural resources (such as the land, water, forests, etc.)
b. Traditional knowledge, skills and capacities (such as arts, crafts, trades, etc.)
c. Natural/cultural/historical heritage (historical monuments, natural wonders, etc.)
d. Physical infrastructure (roads, energy, transportation, etc.)
e. Social infrastructure (NGOs, SHGs, citizens' action groups, etc.)
f. Economic infrastructure (industries, markets, ports, etc.)
g. Demographic advantages (large proportion of productive age groups, skilled immigrant populations, etc.)
h. Geographical/situational advantages (proximity of opportunities of trade, tourism, etc.).

SWOT Analysis

An acronym for analysing relative Strengths, Weaknesses, Opportunities and Threats. SWOT analysis helps in planning and strategising any task through making the right choices at the right time. SWOT analysis can be an extremely useful tool for the district envisioning process.

3.3.4 *Examining resources for potential lead sector:* Availability of resources can guide lead sector selection (See examples in Box 11).

Box 11: Examples of how availability of resources can guide lead sector selection

S. No.	Resource	Unit	Expected use/ purpose	Expected requirement	Likely availability	Comment on potential to develop as lead sector
1.	Fallow land	Hectares	Cultivation of bamboo for paper production	10,000 Hectares	3000 Hectares of contiguous stretch, the rest in smaller pieces	Good potential as private investors are ready to set up paper mills
2.	Water bodies	Number of water bodies larger than 5 hectare area	Development of inland fisheries	As many water bodies as available	300	Good potential if transport and cold storage facilities are created
3.	Skilled artisans	Total number of artisans	Development of export oriented craft centres	300 artisans	200 artisans on full time basis, the rest as and when available	Good potential if tie up with an export marketing agency is worked out

3.4 Focus on sustainability in the vision: While envisioning, the focus should be on sustainability of the planned development. This would mean that aspects that are related to sustainability will need to be considered separately and addressed. Some of the important aspects that need to be part of the envisioning process are:

(a) Preparing a vision plan for disaster management, which would include planning for early detection, preventive measures, drills for improving the state of preparedness, identifying of relocation sites and planning for improved communication

(b) Sustainable use of natural resources, particularly of water sources, forest wealth, soil conservation, biodiversity etc.

(c) Sustainability of initiatives on improving livelihood opportunities, which include concentrating on the employment perspective. This would particularly include linking the perspective plan with the labour budget prepared under the provisions of the NREG Act and the budget available under JNNURM as well as other schemes for provision of municipal services in urban areas.

3.5 Sequencing of stock-taking, visioning and preparation of five year perspective plan

3.5.1 A planning workflow for stock-taking, visioning and perspective plan preparation, which incorporates the back and forth approach of considering the stock-taking document, arriving at a preliminary vision, seeking a consensus on it and then finalising it, is described in Box 12.

Box 12

District stock-taking, envisioning and perspective plan preparation

1. District HDRs
2. Previous planning exercises
3. National sample survey data
4. Household surveys
5. Research studies

Departmental heads

DPC secretariat based on the various existing departmental plans input docs, generates stock-taking document, draft 15 year vision, five year perspective plan and budget analysis (considering both rural and urban)

Placed before the DPC for discussion and approval

Discussion on documents, and also on major projects like:
Large scale inter area natural resources issues
Environmental issues
Large scale economic intervention projects
Large scale infrastructure projects

District stock-taking document, budget analysis and draft five year perspective plan document

To be presented to local governments and other stakeholders

Presentation of stock-taking, budget envelope, draft 15 year vision and preparation of five year perspective plan

DPC rep

Workshop 1
Presentation of stock-taking document, budget envelopes and draft 15 year vision and five year perspective plan by DPC Sectt. to DPC Representatives

Workshop 3
Finalisation of 15 year vision and five year perspective plan

Database system

feedback   feedback

DPC local govt reps, other stakeholders

Workshop 2
Presentation by DPC to meeting of DPC reps, local govt. reps, other stakeholders, formation of working groups for consideration of draft 15 year vision and five year perspective plan

Public domain (Website, publications, gist in local newspapers)

dissemination

Final 15 year district vision and five year perspective plan

DPC rep

Presentation by DPC rep/DPC sectt. at block level to block level stakeholders, local govt reps.

dissemination

Village Panchayat rep

Presentation of five year perspective plan at each local government level (optional)

dissemination

3.5.2 *Features of the workflow:*

(a) A stock-taking document is prepared by the DPC secretariat, following the formats given in Annexe 1 and the guidelines in Chapter 2. Along with the stock-taking document, the district budget analysis, five year perspective plan and a draft 15 year vision is also presented, which can also suggest options on the district lead sectors.

(b) The visioning exercise is initiated by the DPC through a DPC or DPC sub committee meeting in which the stock-taking document is discussed and changes made, if necessary. This is termed 'Workshop 1'.

(c) 'Workshop 2' is a meeting of DPC and selected IP and GP representatives and other invitee stakeholders where the stock-taking document, the budget analysis is considered and the draft 15 year vision is formalised. This meeting can be termed the District Level Consultative Forum.

(d) The stock-taking document, the budget analysis and the district vision is sent to the Intermediate Panchayat level and placed in the public domain.

(e) A representative or official of the DPC or District Panchayat can be tasked with making the presentation before the IPs, to which Village Panchayat representatives and other stakeholders can be invited.

(f) Similar visioning workshops to consider the 15 year vision document may be conducted at the GP level, if found practical.

(g) From this level onwards, the 5 year perspective planning and the annual planning process might actually merge into one continuous iterative process, because it would be difficult to separate the two as one proceeds to the grassroots, particularly at the Gram Sabha and Area Sabha levels (See Box 14).

(h) Feedback is obtained from all levels, within time frames which may be fixed (See Box 15; useful hints for visioning).

(i) After considering the feedback, the 15 year vision and the final five year perspective plan is finalised in 'Workshop 3' by the DPC. If required, there can also be a second meeting of the District Consultative Forum with other invitees also.

(j) The final 15 year vision and the final five year perspective plan, with the stock-taking and the budget analysis documents are again disseminated to all the local governments and placed in the public domain. All local governments may be requested to adopt this document in so far as it pertains to their areas and responsibilities.

3.6 Timelines for envisioning: Ideally speaking, visioning requires an unhurried approach. However, given the imperatives of day-to-day functioning, it might not be practical for a long drawn out visioning exercise and a compromise solution may have to be found. We envisage that since the visioning and the perspective planning processes takes place only once in every 15 and 5 years respectively, it would ideally precede the plan period, commencing a year in advance of the plan period. The timelines for the perspective planning and visioning process are described in Box 13.

Box 13: Timelines for visioning process

Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
DPC secretariat	DPC	DPC and representatives of local governments		Local governments and public domain			DPC				
Preparation of stock-taking document	**Workshop 1** Presentation of the stock-taking document and draft 15 year vision	**Workshop 2** Discussion on draft vision between DPC and selected local government representatives		Consideration of the 15 year vision and preparation of the 5 year perspective plan			**Workshop 3** 15 year vision and perspective plan finalisation				
				Planning process by local governments and other planning units							

Box 14
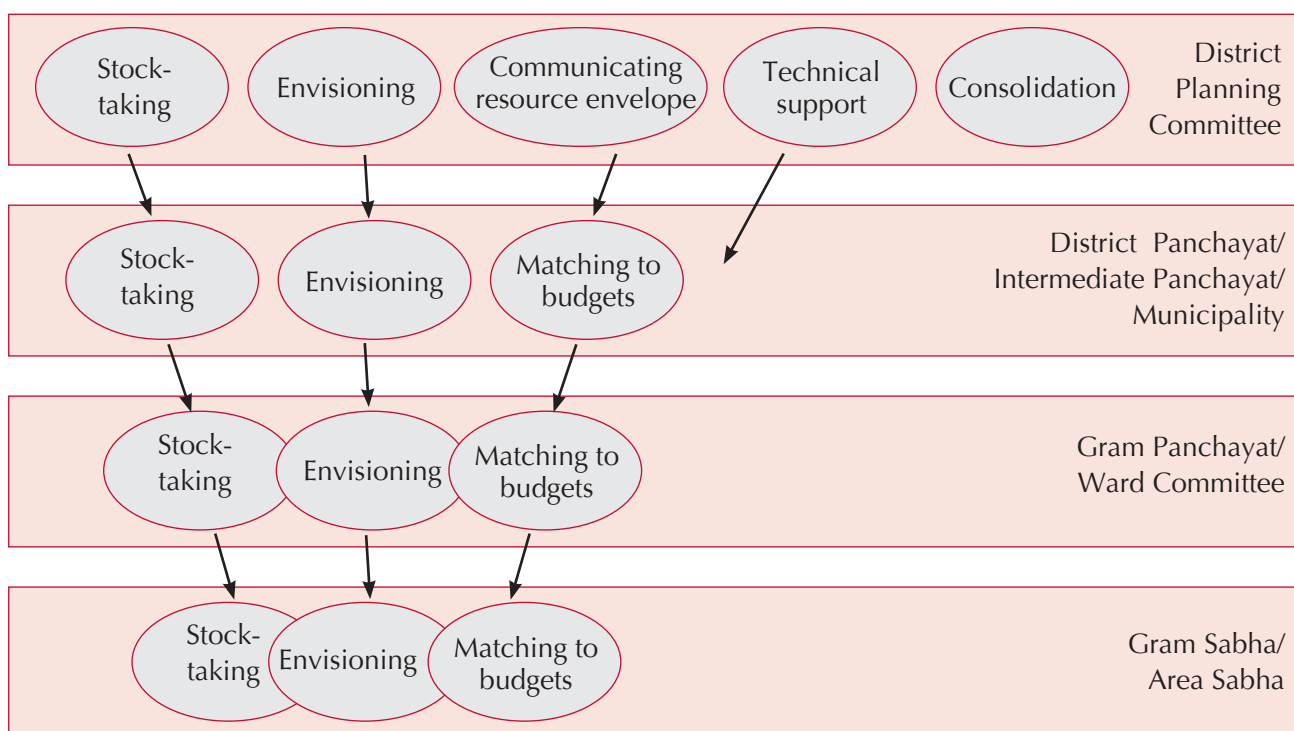
It may be seen that the 15 year visioning, the 5 year perspective planning process and the preparation of the annual plan will be telescoped into one single process in the first year of the plan. This is necessary to complete the work on annual plan preparation well in time for the plan to be implemented on time from the first year itself. The annual plan preparation cycle would proceed in accordance with the time lines given below:

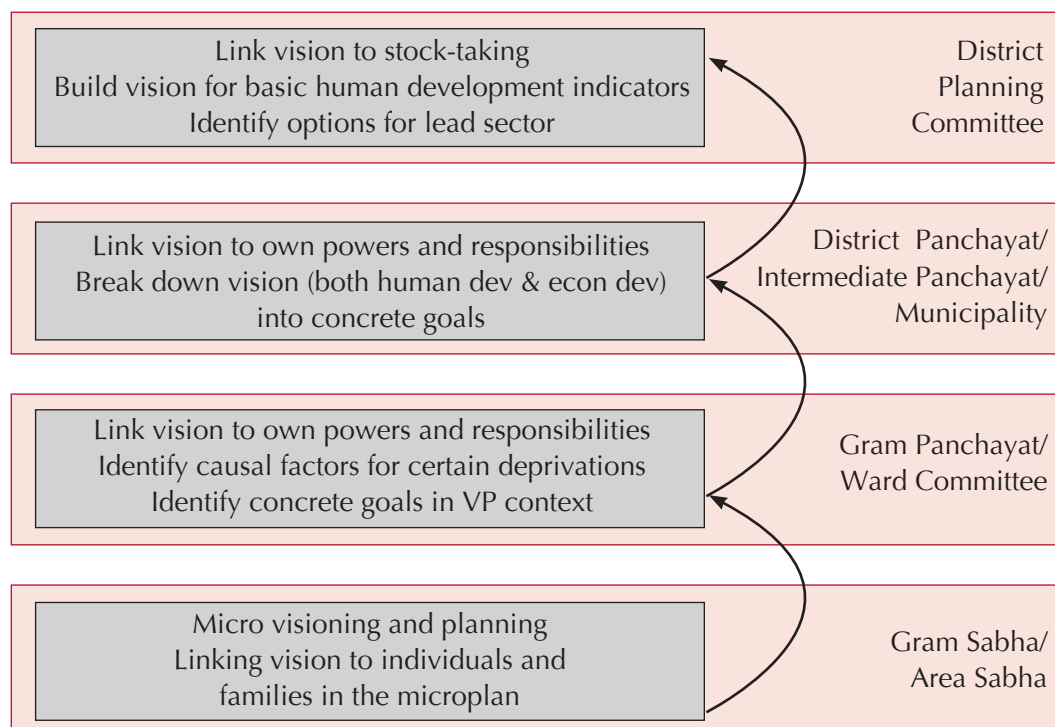| Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Issue identification by Gram, Ward & Area Sabha, based on unfolding vision (or from 2nd year onwards, on progress achieved against the five year perspective plan)	Determination of solutions by working groups, standing committees, ward & ward level	Solution prioritisation & fund allocation; preparation of first draft plan	Second round of Gram, Ward & Area Sabha meeting	Finalisation of the sectoral plans by the Standing Committees Working Groups	Finalisation of the local government plan	Consolidation of plans by DPC and submission to government	

Box 15: Useful hints for envisioning

The 15 year vision and the 5 year perspective plan would contain (a) some goals relating to basic rights and services (nutrition, immunisation, primary education, etc.), which must be given absolute priority at every level, and (b) economic choices (industry, arts and handicrafts, etc.), that ought to be largely left free for local prioritisation.

Envisioning at different levels should be encouraged, within the limits of practicality and time constraints (See Box 22, value additions by different levels during envisioning).

At the Intermediate Panchayat or Municipality level, special attention would need to be paid to more closely correlating service gaps with human development shortfalls, than is possible at the district level and identifying sub-IP or cluster level priorities, particularly in respect of institutions that are or ought to be under the Intermediate Panchayats, such as PHCs (public health), Secondary Schools (school education), etc.,

At the village, ward or area level, the distinction between Envisioning and planning gets blurred as both require the same set of participatory processes. Village level visioning would be led by the Village Panchayats through interaction with the Gram Sabhas and sub Gram Sabha groupings such as ward sabhas, gram sansads and palli sabhas. The visioning exercise can focus more on a review of the town, city or village infrastructure, services, schemes, programmes, fund flows and expenditure, etc. It can also provide insights into the causes for any concern highlighted in stock-taking. For instance, data on children may show that malnutrition is a priority issue that must be tackled. However, village envisioning might identify whether malnutrition is due particularly to dietary inadequacies, chronic morbidity, low birth weight etc.? When the underlying cause is identified, the correct response can be planned.

Envisioning should be led by elected representatives, but can be assisted greatly by ex-representatives, NGOs, retired government officers, experts from public or private sector organisations such as banks and universities, colleges, academics and students.

Box 16: Value addition in the visioning process by different levels

Link vision to stock-taking Build vision for basic human development indicators Identify options for lead sector	District Planning Committee
Link vision to own powers and responsibilities Break down vision (both human dev & econ dev) into concrete goals	District Panchayat/ Intermediate Panchayat/ Municipality
Link vision to own powers and responsibilities Identify causal factors for certain deprivations Identify concrete goals in VP context	Gram Panchayat/ Ward Committee
Micro visioning and planning Linking vision to individuals and families in the microplan	Gram Sabha/ Area Sabha

Indicative formats for capturing the summary of the perspective planning exercises are given in Annexe III.

Financial Resource Mapping and Communication of Budgets and Fund Envelopes to Planning Units at All Levels

4.1 No planning in the government context can take place without each planning unit knowing the budget that it will be operating during the financial year and what it is likely to receive over the perspective plan period.

Box 17: Three gains of knowing the budget

- Prioritising activities, programmes and works from a wish list and assigning them to the schemes that will fund them.
- Knowing what the budgets of other planning units are so that one knows what others are going to spend so that duplication can be avoided and the same works are not doubly funded.
- Knowing what cannot be funded at one's own level or at the level of other planning units in the district, so that one can look beyond government sources within the district for funding them.

4.2 How to map budgets

4.2.1 All funding streams coming to the district broadly belong to five broad categories:
(a) Central government funds
(b) State government funds
(c) Local government's own revenues
(d) Bank credit
(e) Private sector funds.

These funds can be directly given to planning units, or are spent by others in the jurisdiction of the planning units (See Box 18).

Of these funding streams, the easiest to track is what comes to various planning units from the central and state governments. This process of 'budget mapping' is a continuation of scheme mapping described in Para 2.3. It should culminate with each planning unit, right from the District Panchayat to a user group or sub-Panchayat group knowing what it is likely to get through the budget. This exercise can be done by using the following steps:

Box 18: Typical pattern of funding streams within a district

* the levels are not in a hierarchy
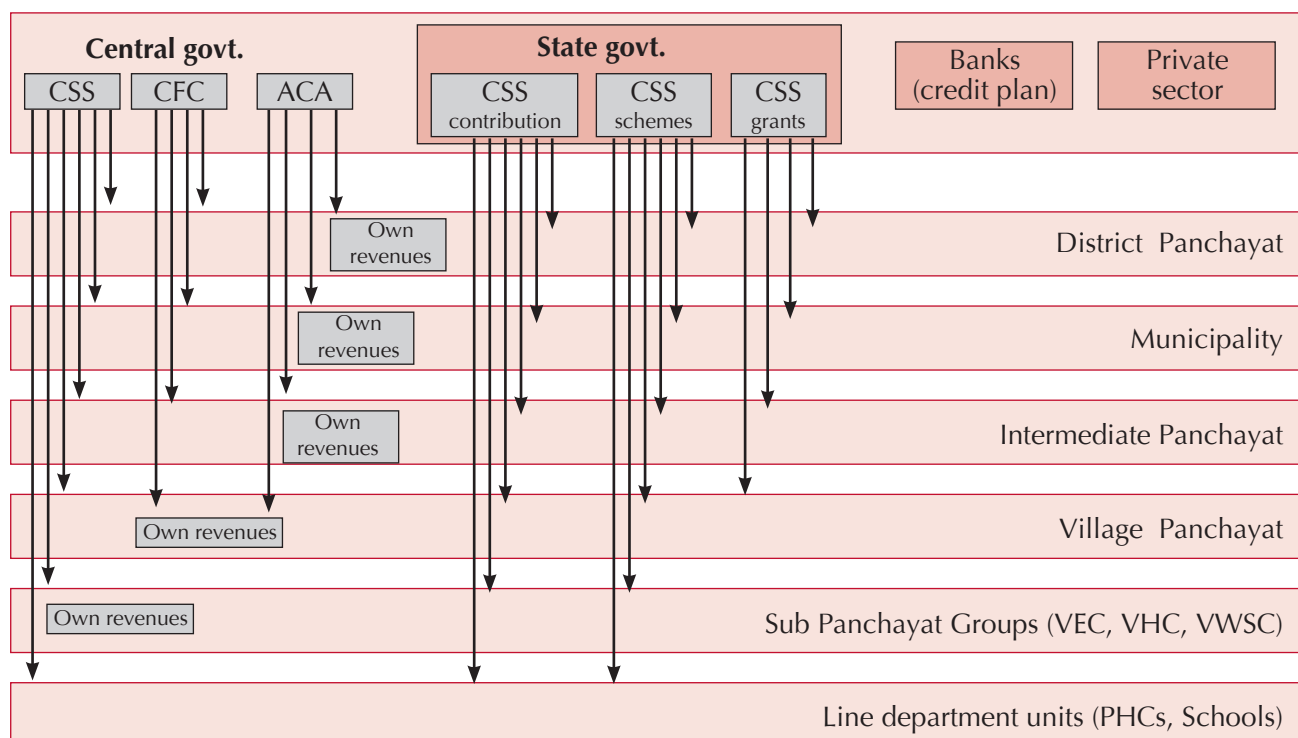
Step 1- Taking stock of all funding streams and schemes: A census must be taken of all budget heads under which funds flow to the district. No single document contains all the basic information for budget analysis. The following documents provide sufficiently detailed information for stock-taking of schemes and funding streams.

(a) **State Budget documents:** Where states have provided for a separate budget window for Panchayats and Urban local governments, this can be easily used. In other states, a more detailed department-wise check has to be undertaken to cull out district-wise data.

(b) **Central government documents:** The central government budget contains scheme-wise allocations. State-wise and district-wise data is usually available on websites of central ministries. If these are not available, central government ministries and departments may be requested to make these available.

(c) **Budgets and plan documents of district missions:** The health and SSA missions, societies and other parallel bodies contain details of schemes handled by them. They also contain details of fund sub-allocations further down the line to planning units below.

The details to be captured in scheme listing are given in Box 19.

Box 19: Details to be captured while listing out schemes

S. No.	Item	Remarks on what is intended to be covered
1	Scheme name	
2	Active period	Period for which the scheme is available (for example, 'yearly', or 'during the period of the Eleventh Plan').
3	Scheme type	Whether urban or rural
4	Scheme focus	Mention the specific item in the Eleventh or Twelfth Schedule that is addressed by the scheme. If it is untied, this can also be mentioned
5	Sponsorship type	Whether a central, state, or externally aided scheme
6	Funding pattern	If the funding is combined, then the percentage of funding that is met from each source (For example, 75% central and 25% state)
7	Brief statement of purpose of the scheme	
8	Planning unit or units to which funds are given	Different schemes have identified different units which have been entrusted the responsibility of planning and implementation. These have to be listed so that their details are available for the next part of the exercise: listing the budget.
9	Role of local governments and line departments at each level	Description of implementation and fund utilisation powers, channels of fund utilisation and where decision making powers lie.

Step 2 - Breaking up scheme information planning unit-wise: The planning units list which is already compiled (see Para 1.2), should be put together with the scheme census to separate the budget allocations, by culling out and listing, for each planning unit, its budget allocation for the year. A statement must be prepared *for each Planning unit* in the format given in Box 20.

Box 20: Statement of budget allocations for each planning unit

Planning unit name and description					
Financial year					
A: Funds being credited to planning unit's account and directly spent by them		B: Funds being credited to other planning units below the planning unit, but functioning in the same area		C: Funds being spent in the planning unit jurisdiction by outside agencies, such as parastatals, missions, public sector undertakings, state level line departments etc.	
Scheme	Allocation	Scheme	Allocation	Scheme	Allocation
1.		1.		1.	
2.		2.		2.	
3.		3.		3.	

Columns B and C are particularly relevant for local governments, which are often told to coordinate and monitor other sub-agencies working in their areas. Sometimes, these agencies also work independently on responsibilities that are legitimately within the scope and responsibility of the local government. In such cases, it is very important for a local government to know what these agencies are doing.

Box 21 is an example of the Box 20 format filled up for a Village Panchayat.

Box 21: Statement of budget allocations for a typical Village Panchayat

Planning unit name and description				XY Gram Panchayat	
Financial Year					
A: Funds credited to Panchayats account and directly spent by it		B: Funds credited to other planning units, but functioning in the same area		C: Funds spent in the Panchayats' jurisdiction by outside agencies such as parastatals, missions, public sector undertakings, state level line departments etc.	
Scheme	Allocation	Scheme	Allocation	Scheme	Allocation
NREGA		SSA (managed by VEC)		Electricity board, electricity distribution companies	
Twelth Finance Commission grants		Mid-day Meals Programme (managed by VEC)		State irrigation department, CADA	
State Finance Commission grants		NRHM (Managed by Village Health Committee)			
Own revenues		Village Watershed Committee/User Group			

4.3 Overall responsibility of the state and District Planning Committee in mapping budgets: The overall responsibility of mapping budgets and conveying them to every planning unit should be the responsibility of the state and the District Planning Committee. Some of the tasks listed in Box 21 are better done at the state level, by the Planning Department or Planning Board, which has the overview and the capability. Moreover, these details do not change from district to district. In respect of undertaking the tasks listed in Step 2, the District Planning Committee secretariat, comprised primarily of the district planning officer, his/her staff and the district statistical unit can be assigned the responsibility of de-segregating the budget and informing the same to all planning units (See Box 22).

Box 22: Flow chart of the budgetary analysis process within a district
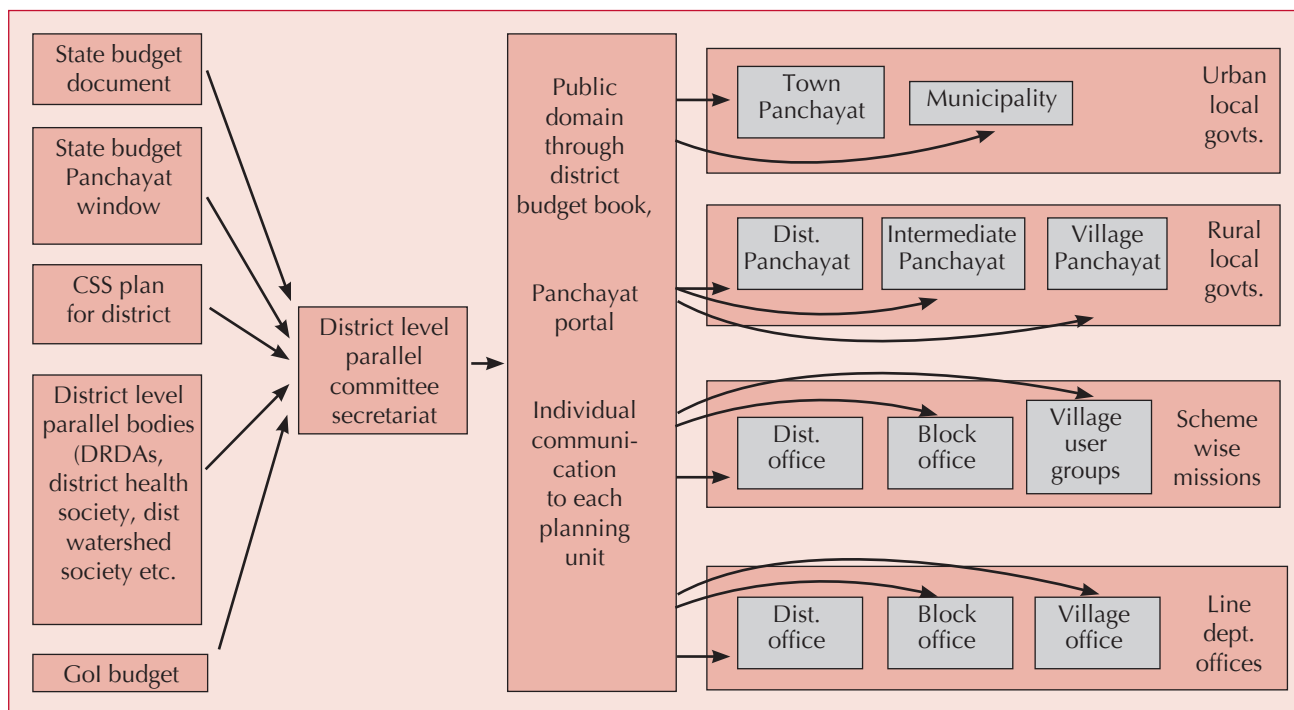
Box 23: Some frequently asked questions about a budget information exercise

How does one disaggregate data down to the Gram Panchayat if the current scheme-centric budgeting system has never disaggregated data in this way?

Many programmes claim to be fully decentralised, but are actually only partly decentralised in respect of preparing wish lists. Allocations to wish-listed works are done at a much higher level. Therefore, so far nobody has seen the need to separate budget data planning unit wise. Given this problem, below the block level, the resource mapping exercise often becomes a process of reconstruction of the financial picture from available bits and pieces of data. However, on the bright side, remember that once done, the exercise becomes relatively simpler every year. The following steps can provide a reasonable idea of where the money is going:

(d) Identify from the block or district plan the scheme, the works selected for implementation in each Village Panchayat, total their financial allocations and enter either in Column B or C of Box 11, as appropriate.

(e) If no block or district plan has been prepared, a rough allocation can be provided based on the previous year's trends of fund availability at the village level.

How is the jurisdiction of a planning unit determined, particularly if it is not a local government?

This is relatively easy, the lower down one goes. For instance, it is easily recognisable that the Village Education Committee (VEC) or the Village Health Committee operates in a particular Village Panchayat. However, the higher up one goes, it becomes somewhat difficult. For instance, the block level mission office that implements SSA would be working in the jurisdictions of the Intermediate Panchayat, all Gram Panchayats located in the Intermediate Panchayat as also the Nagarpalika of the town that usually is the block headquarters. The jurisdiction would also depend upon the exact manner in which the body fits in, within the local body structure.

What does one do when a lower planning unit is only asked to provide a wish list, but the allocation of funds is done at a higher level?

This situation is seen in several so called decentralised programmes, such as SSA and NRHM, where, though there is a grassroots-level planning unit established (such as the Village Education or Health Committee), this unit is only expected to prepare the wish list and submit it, and when funds are released to approved projects, implement it. Therefore, in such cases too, the budget is never fully revealed, but funds are released by the higher level body when deemed necessary. In such cases, the truth must emerge through the budget exercise. Either the sector admits that it is really not engaging in decentralised planning, or it undertakes the exercise of budget separation and indicates the funds that will be available to grassroots planning institutions before the planning exercise begins.

Example A

In state 'A', the SSA scheme has not been decentralised below the district. The district mission office does not indicate to each VEC the allocation it is to get. But every VEC is asked to prepare a 'plan' (meaning wish list) and send it to the district mission through the block office, which may or may not allocate funds. Here, the VECs can be segregated Gram Panchayat-wise. But in the Gram Panchayat's budget no funds will be shown against the VEC (column B). However, in the line department's budget it will be shown as the district allocation (Since the line department is also a planning unit, the same format in Box 20 will be used to indicate their budget to them). However, if funds are subsequently given VEC wise, it should immediately find a place in column B of Box 20.

Example B

In state 'B', SSA scheme has been fully decentralised below the district. Some funds are retained at district mission level, which functions under the Zila Parishad. Similarly, funds are also given to the block level mission office, which functions under the Intermediate Panchayat. Each VEC's allocation has been calculated and informed to them and VECs are sub-committees of the Village Panchayats. Here, the formats in Box 20 will be filled up with allocations shown against VECs in column B. Similarly, allocations retained at the District Mission and the funds given to the block level mission office will be shown in column B of Box 20 for the District Panchayat and Intermediate Panchayat respectively.

Is there a software solution for the budget separation exercise?

Yes. The PlanPlus software developed by the NIC provides for entry of the budget details of each and every programme, in the budget envelope of each planning unit. This data entry can be done in a centralised fashion by the District Planning Committee for each planning unit.

Should planning be confined to the budget envelope?

A planning unit's plan need not necessarily be confined to available funds indicated by the district. However, information on fund availability would be invaluable for deciding what can be best done (a) directly from its wish list using funds directly placed with the unit concerned; (b) what can be achieved through other planning units in the area of the unit concerned; (c) what are the 'floating funds' available in the district, which can be brought into the area from outside; and (d) what is the gap that has to be met through own revenues, wherever there are own revenue sources.

Can budget mapping go beyond schemes?

Yes, of course. Nothing stops the resource mapping exercise from moving beyond scheme funds to cover all financial resources available, such as local contributions, institutional finance and public and private enterprise investments (See Box 18).

How does one undertake budget analysis of parastatals, such as missions or public sector undertakings?

Several missions are organised as district-wise societies, or branch offices of state level societies. Similarly, public sector undertakings and utilities, such as electricity distribution companies, transport corporations and canal area development authorities have district level offices. Depending upon the state, these district offices are either communicated a lumpsum budget every year and then given the freedom to determine their list of projects, or their projects are approved in advance by their respective head offices. Whatever the system might be, their project lists can be segregated local government-wise and indicated in column C of the format in Box 21 for the local government concerned.

Box 24: Some definitions relating to budget analysis

Financial outlays are usually conveyed to a district towards the end of the previous financial year. Initially, these are only rough estimates and can be said to be denoting expenditure ceilings. The allocations become clear when the budget is formally passed. Supplementary budgets could change the position midway through the year.

Local resource mobilisation includes local taxation by local governments including user charges, rents and any licence revenue. It also includes local government or individual contributions to local schemes or projects.

Investment from public enterprises comprises all schemes for cash investment in buildings, equipment or other commercial facilities in the district.

Institutional finance comprises the credit that will be made available by rural banks operating under the guidance of the lead bank in the district.

Investment from private enterprises typically includes investments in industrial enterprises. However, large philanthropic investments are also being made by religious and charitable institutions and through corporate social responsibility initiatives. Data on this is often available with industry and business associations such as Chambers of Commerce and Industry.

There will always be some uncertainties in ascertaining the budget envelope for a five year period, because new schemes may be created, others dropped or schemes may be modified or merged. Still, even an estimate of what could be available given the currently existing scenario should be attempted.

The formats in Box 20 can be further supplemented by others in which abstract data can be prepared and placed in the public domain (See Annexe II).

Participative Rural Planning

5.1 After the stock-taking document, the budget envelope, the final 15 year vision and the final five year perspective plan are disseminated to all local governments and placed in the public domain, each local government can begin to undertake participative planning. Of course, it must be noted that the process of participative planning might have already started with the discussion on the vision, particularly in Village Panchayats. This is to be encouraged, particularly keeping in mind the time factor. There are wide variations in how rural planning, particularly village level planning is conducted. This chapter briefly describes some key common steps that can enhance the quality of planning. Workflows have also been suggested for the combined planning and envisioning process at each local government level.

5.2 The Village Panchayat planning process: The Village Panchayat planning process comprises the following steps (See Box 25):

a) Identification of issues by gram and ward sabhas, based on the vision of the Panchayat, which has already been prepared, or is discussed simultaneously with the Gram Sabhas.

b) Determination of solutions by working groups and standing committees of the Village Panchayats.

c) Prioritisation of solutions and fund allocation by standing committees of Village Panchayats resulting in the preparation of the first draft Village Panchayat plan.

d) Reconsideration of the draft plan in the second Gram Sabha meeting.

e) Finalisation of the sectoral plans by standing committees/working groups.

f) Finalisation of Village Panchayat plan by the full meeting of the Panchayat.

Box 25: Stages in Village Panchayat planning
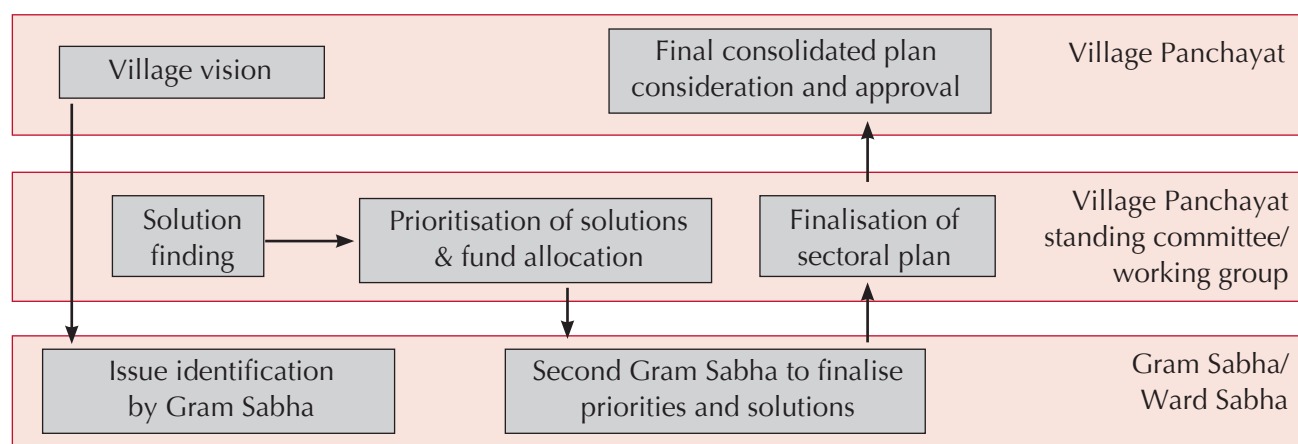
5.2.1 Identification of issues by Gram Sabha: The decentralised planning process begins at the gram and ward sabhas. The thrust could be on getting a detailed idea of the people's concerns and priorities. At this stage, suggestions can be given regarding some of the priorities as understood better from the outside, such as the comparative position of the community in terms of water availability, health, education and livelihoods. Thus, the vision is communicated in a very non-obtrusive manner to people. It must also be confirmed at this stage that the availability of funds for planning has been communicated to the Village Panchayat.

The objective of this first interaction with the Gram Sabha is to get a consolidated identification of issues as the people see it. Its success will depend upon the quality of participation by people. While well-attended meetings can be facilitated through several steps, the tendency to depend wholly on meetings of the Gram Sabhas should be avoided. There are also other ways to reach out to people (See box 26).

Box 26

Means to encourage better participation in Gram Sabha meetings
- Fixing meeting dates well in advance.
- Printing and wide distribution of notices.
- Encouraging elected representatives of PRIs to promote better attendance.
- Involvement of special interest groups such as SHGs.
- Campaigns (through National Service Scheme [NSS], Nehru Yuva Kendra [NYK], National Cadet Corps [NCC] and college students).
- House visits through volunteers.
- Breaking the Gram Sabha into smaller groups for discussion etc.

Facilitating citizens to register their concerns, whether or not they attend Gram Sabha meetings
- Citizen response forms to systematically record and analyse peoples' concerns.
- Recording and accepting requests of people on telephone helplines and through SMS.

Samples of such Gram Sabha forms are given in Boxes 27 and 28 respectively.

Box 27: Education Survey Form

Name:																
	Address:															
S. No.	Location	Availability of teachers					Textbooks and other equipment					State of school building		
		1	2	3	4	5	1	2	3	4	5	1	2	3
1	Ward XX	✕	☐	☐	☐	☐	☐	☐	☐	✕	☐	☐	☐	☐
2	Ward YY	☐	✕	☐	✕	☐	✕	☐	☐	☐	☐	✕	☐	☐
3	…	☐	☐	☐	☐	☐	☐	☐	✕	☐	☐	☐	☐	✕
4	…	☐	☐	☐	☐	✕	☐	☐	☐	☐	☐	☐	✕	☐
5	…	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

Key for filling form					
Availability of teachers		**Textbooks and other equipment**		**State of school building**	
1	Teachers absent	1	Textbooks not supplied	1	More classrooms required
2	Mid-day meals cook absent	2	Uniforms not supplied	2	School toilets required
3	Non-teaching staff absent	3	Furniture not supplied	3	School electrification required
4	…	4	…	4	…
5	…	5	…	5	…

Participant/surveyor signature:

Box 28: Education survey consolidated form

Name of village:														
S. No.	Location	Availability of teachers					Textbooks and other equipment					State of school building		
		1	2	3	4	5	1	2	3	4	5	1	2	3
1	Ward XX													
2	Ward YY													
3	Ward ZZ													
4	…				2								3	
5	…													

The features of collecting information in the citizens' response forms are as follows:

(a) Columns can be provided for the most frequently occurring concerns. These can be elaborated or modified as required. Additional space can be provided for any further remarks.

(b) The format is easy to fill. It allows each citizen or any volunteer on their behalf to record his/her concerns by just tick marking the appropriate column.

(c) Summation of forms in Box 27 is easy and will give the consolidated form in Box 28, which shows the frequency with which citizens report the same concerns. Therefore, the consolidated form automatically highlights the priorities emerging from each ward or village, as reported by citizens.

The workflow for issue identification by the gram and ward sabhas is given in Box 29.

5.2.2 *Determination of solutions by working groups/standing committees of the Village Panchayat:* The Gram Sabha issues a consolidated form which becomes the input for the next step in the Village Panchayat's planning exercise, by which solutions are found to citizens' problems. In states with larger Panchayats, this can be a more structured exercise with solutions determined on a sectoral basis by the Village Panchayat standing committees. Though there are provisions for standing committees at the Village Panchayat level in most state Panchayati Raj Acts, these must be activated. Special instructions can also be issued for co-opting members of the Gram Sabha into the standing committees. At the minimum, a 'citizen champion' and the 'government official' associated with the service-delivery unit pertaining to

Box 29: Issue identification by Gram/Ward Sabha

Gram Sabha, rep. citizens → Key features of district level stock-taking & envisioning document explained

Citizens, volunteers → Individual concerns, particularly those pertaining to the GP/Village/Ward noted through citizen response forms ← 1. Beneficiary and BPL list to be considered / 2. Sabha vulnerable members' profile can also be collected

Citizens, volunteers → Concerns consolidated to understand priorities expressed by Gram Sabha

Citizens, volunteers → Spatial representation of problems by noting them roughly on ward maps ← Stored in overall district database with DPC

Citizens, volunteers → Data Management: Transfer to village database, including GIS where available

Volunteers/ Organisations, govt. officials → 1. Gram Sabha problem on GIS/Data grids / 2. Since priorities have also emerged, this can be called a 'micro vision', which captures the central list of issues

that sector should be co-opted into the standing committee. Technical experts can also assist the standing committee. In states where Village Panchayats are very small or the number of members too few, ad hoc working groups can be formed with a mix of people's representatives and members of the Gram Sabha.

The exercise of linking solutions to issues can be conveniently done through considering possible solutions through discussions and by using problem solution grids developed for frequently experienced problems (See Box 30).

Is there any significance to the highlighted numbering? If so it must be explained, else put in correct serial order.

Box 30: Education problem solution grid

S. No.	Priorities	Inform block education office	VEC to monitor	GP to recruit	Construct infrastructure	Awareness drive	GP to provide support
		1	2	3	4	5	6
1	No teachers	△	□	□	□	□	□
2	Teachers habitually absent	△	△	□	□	□	□
3	No cooks for mid-day meals	□	□		□	□	□
4	School rooms insufficient	□	□	□	△	□	□
5	No kitchen block	□	□	□	△	□	□
6	No utensils	△	□	□	□	□	□
7	No electricity supply	□	□	□	△	□	□
8	No toilets	□	□	□	△	□	□
9	No computers	△	□	□	□	□	□
10	Children absenting from school	□	□	□	□	△	△
11	Results are poor		△	□	□	△	□
12	Other	□	□	□	□	□	□

The workflow for planning for solutions by Gram Panchayats is given in Box 31.

The output would be in the form of a sector-wise solution list (See Box 31 for a complete format, in which the sector-wise solution list is placed adjacent, with the approval and prioritisation processes that follow, which finally result in the plan becoming a reality).

5.2.3 *Prioritisation of solutions and fund allocation by standing committees/sectoral working groups:* Sector-wise solution list described in Para 5.2.2 (and which can be captured in the left hand side columns of Box 30), are the inputs for the prioritisation exercise, which would consider:

(a) the priority of the issue concerned as indicated by citizens;
(b) consideration of special needs of the poor, marginalised and physically challenged;
(c) estimating the rough cost of the solutions involved;
(d) whether the solution is feasible, given funds availability;
(e) alignment of the solution to the district vision; and
(f) potential for revenue realisation, if any.

Once priorities are arrived at, then funds can be allocated from the budget provided to the Panchayat. First, sectoral tied funds can be applied. For instance, SSA grants

Box 31: Finding solutions at Gram Panchayat level

Panchayat president,
Gram Sabha representatives

Issues classified into sector in
Gram Sabha consolidated form

Issues captured
on spatial maps

A Health	B Education	C Livelihood	D Nutrition	E Infrastructure
Same as 'C'	Same as 'C'		Same as 'C'	Same as 'C'

Panchayat President or Representatives - Convener

Standing committee or working group formation

Gram Sabha
representatives

Citizen representatives
for each sector

Govt official
concerned

Technical
support

Planning Tools:
Participatory planning handbook,
costing grids for NREG works,
roads, sector-wise maps, problem
solution grids etc.

Group discussions for problem
solution
Solution Grids, sector-wise
maps, other planning tools used

Data captured in
data repository

Working group

Sector-wise solution list
containing proposed solutions

will be the first choice for priorities relating to education. However, sometimes, these grants might not address all problems. For example, a particular scheme may say that only 50 percent of the funds will be available from the scheme and the rest has to be provided by other sources. Therefore, partly untied funds can be provided next. If funds are not available from any source, then totally untied funds can be applied. In this regard, the most untied sources of funds are the own revenues of the Panchayats, which in most states the Panchayats are allowed to spend without any reference to a higher authority.

Box 32: Use of Plan Plus for prioritisation and fund allocation exercise

NIC's PlanPlus software provides an easily recognised visual solution for prioritising works and assignment of funds. On one side of the screen, works appear in a list and they are prioritised using 'up' and 'down' arrow icons. Following this, funds can be assigned by clicking on the 'allocate funds' icon, which opens the fund envelope. The Panchayat can then choose the appropriate funding mix using the software, which guides them to first use tied funds, then partly untied funds and finally, untied funds. This exercise continues till all priorities are met, or till all funds are exhausted. When the exercise is over, PlanPlus automatically generates the first draft Village Panchayat plan. If internet connectivity exists, then the plan can be electronically mailed to the next level for vetting and consideration.

The workflow for the prioritisation exercise is given in Box 33.

Box 33: Gram Panchayat level prioritisation exercise
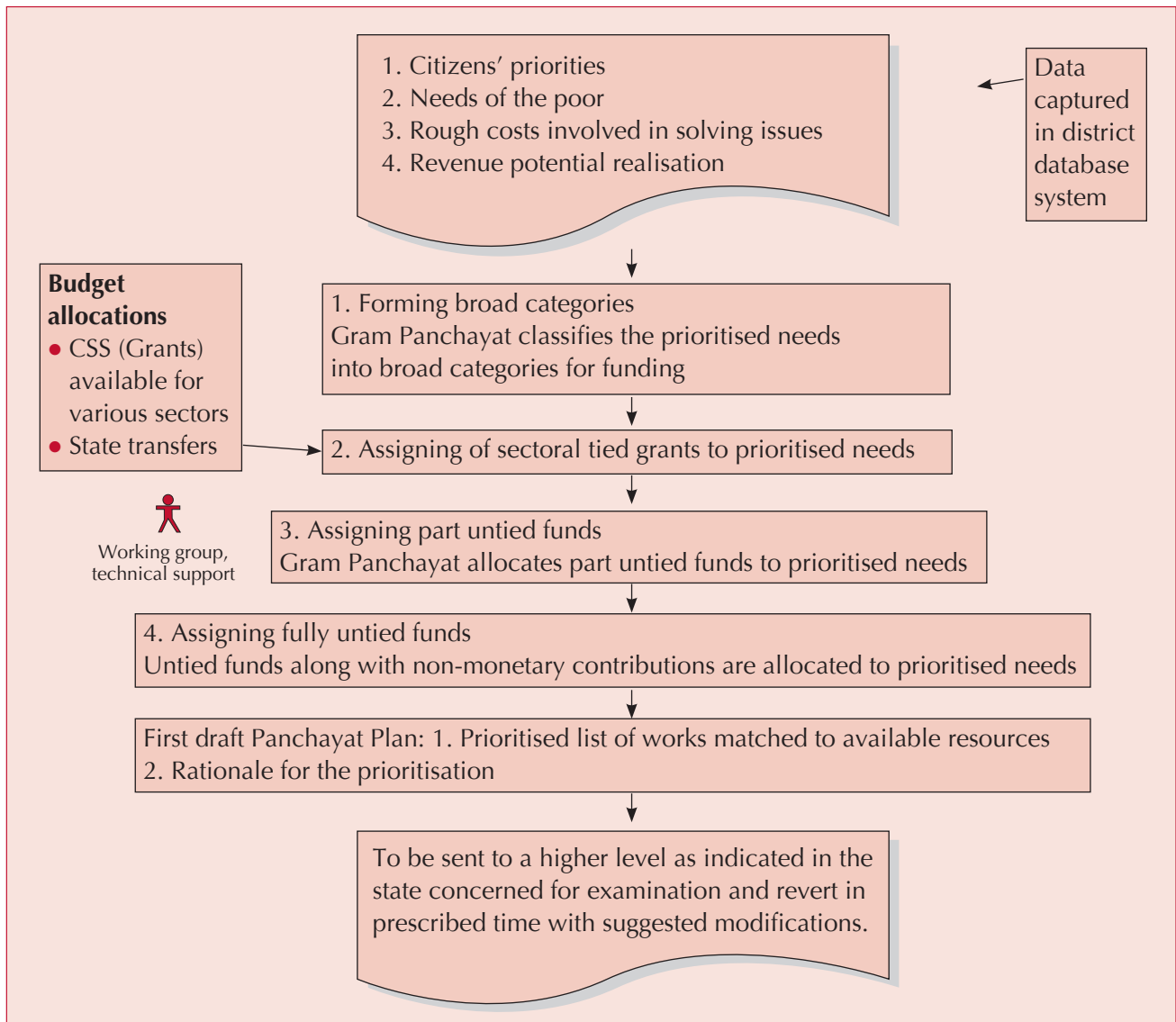
The output document is the first Village Panchayat draft plan**.** In most states, particularly where the Village Panchayats are very small, the Intermediate Panchayat is the level where the draft plan is vetted. However, there are also states where the Panchayats are not considered to be a hierarchy and the plan is sent to the District Planning Committee directly for scrutiny. Regard must be had to the relationships between the various planning units and the local governments, which is to be described in the stock-taking document (See Box 1,2 and 3, Vol II for details). Whatever the level to which the Village Panchayat is to send its plan, strict time limits must be prescribed for scrutiny, because without the first draft plan being returned, the next steps cannot proceed. In case the time limit is exceeded, it must be presumed that no changes are envisaged.
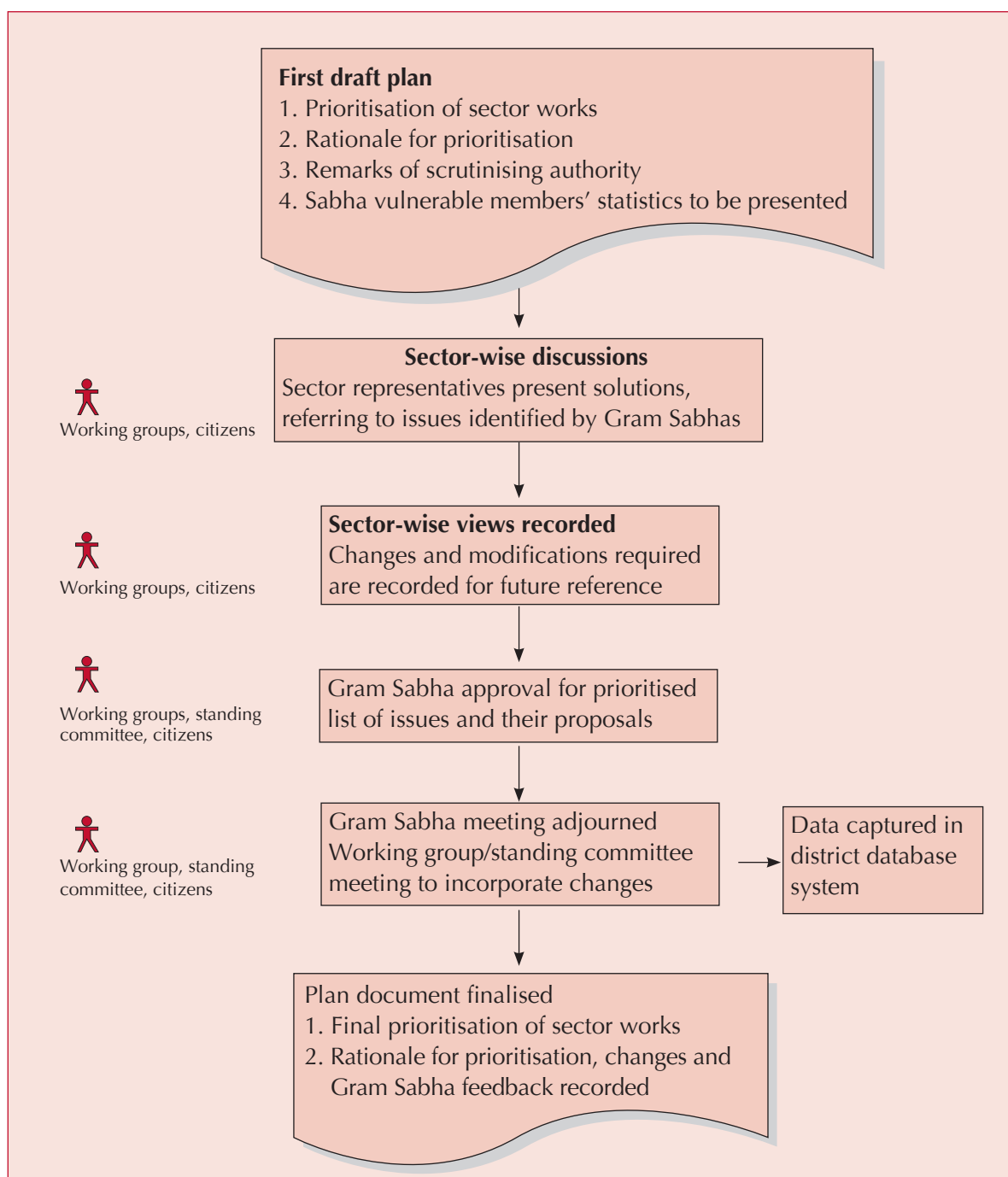
5.2.4 *The second Gram Sabha meeting:* After suggestions and changes are received from the scrutinising level, the Village Panchayat should conduct the second and final round of gram and Ward Sabha meetings for the plan. During these meetings, sector-wise presentations can be made by sector representatives who should specifically refer to the priorities of the Gram Sabha and the solutions found. The format in Box 34 would provide brief details of the entire process so far, of initial wish-listing, exploring solutions, prioritisation, allocation of funds and remarks of scrutinising authorities.

Box 34: Gram Panchayat draft plan abstract and checklist

Solutions details																		
				PROJECT CLASSIFICATION					Sources of funds									
				Capital expenditure					Y1		Y2							
S. No.	Solution code (from solution grid)	Solution description	Location	Whether projectisable (Y/N)	Upgrade infrastructure	New infrastructure	Revenue expenditure	Estimated cost	Project duration	Funding source	Amount	Funding source	Amount	Draft priority	Gram Sabha priority	Approval by scrutinising authority (Appd/Rejectd)	Reason for rejection	Final priority
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
1																		
2																		
3																		
4																		
5																		

As quite often resources available would be inadequate to provide solutions to all issues, the second Gram Sabha meeting is a good time to make any final adjustments in the priorities and discuss and agree upon a revenue mobilisation strategy. At this stage, people would readily understand the need for local contribution to meet funding gaps for meeting identified priorities. The workflow for the second Gram Sabha meeting is given in Box 35.

Box 35: Second Gram Sabha and final plan preparation by Gram Panchayat

First draft plan
1. Prioritisation of sector works
2. Rationale for prioritisation
3. Remarks of scrutinising authority
4. Sabha vulnerable members' statistics to be presented

Working groups, citizens

Sector-wise discussions
Sector representatives present solutions, referring to issues identified by Gram Sabhas

Working groups, citizens

Sector-wise views recorded
Changes and modifications required are recorded for future reference

Working groups, standing committee, citizens

Gram Sabha approval for prioritised list of issues and their proposals

Working group, standing committee, citizens

Gram Sabha meeting adjourned
Working group/standing committee meeting to incorporate changes

Data captured in district database system

Plan document finalised
1. Final prioritisation of sector works
2. Rationale for prioritisation, changes and Gram Sabha feedback recorded

5.2.5 *Finalisation of the draft Village Panchayat plan:* The Village Panchayat will consolidate all sector-wise prioritised solutions after incorporating any changes approved by the Gram Sabha into the final Village Panchayat plan (See Box 33). This document will also include the spatial capturing of prioritised solutions on maps. The Village Panchayat shall also prepare a separate table that consolidates all the prioritised sector-wise financial outlays with identification of appropriate resources (See Box 36).

Box 36: Village Panchayat plan abstract

Block									
GP				Date:					
S. No.	Sector	Project classification							
		Taken up by Gram Sabha or sub-Panchayat committees		Taken up by Village Panchayat from own funds		Taken up by Village Panchayat as agent of another local govt. body or line department		Third party execution, funded by Village Panchayat	
		No. of projects	Estimated cost	No. of projects	Estimated cost	No. of projects	Estimated cost	No. of projects	Estimated cost

Approved by:

5.3 Generating micro plans at the Gram Sabha or Area Sabha level

5.3.1 It may be seen that the extent to which the planning process captures the true needs of people depends upon how best the needs of communities are captured at the village, habitation or ward-levels, within the Panchayat. These processes of micro-planning mainly consist of participatory community mobilisation at the village or ward level, primarily through techniques of participatory rural appraisal (PRA). Such processes have been tried out successfully in several states and the lessons learnt can be applied effectively to both rural and urban habitations. Experience shows that there are several issues that will come up repeatedly during the above back and forth process of village level planning, which have to be addressed:

(a) The most fundamental issue is the one of how people perceive their role in planning. There is a need to change the common perception that they are passive beneficiaries of the government, to one where they demand solutions as a matter of right. This change in perception alone will result in them being motivated to take on the responsibility for chalking out a plan for village development through conscious choices based on full participation by the entire community. This will

also make the planning exercise more inclusive in terms of reflecting the concerns of gender, age groups, social and economic strata of the village community and especially the vulnerable groups.

(b) Since micro planning aims to awaken communities to demanding quality services while also taking up own initiatives in improving their living conditions, it requires active involvement and participation of rigorously trained facilitators and volunteers in mobilisation and attitudinal change. Listed in Box 37 are some steps that can help in coordinating and facilitating micro-planning across a large number of Village Panchayats.

Box 37

District and block level orientation workshops

Such workshops can be organised for district officials, local NGOs, youth groups and SHGs to discuss the concept, approach and process of micro planning. Exposure visits to villages or wards where micro planning has already been carried out are very useful. The main purpose of these workshops is to establish eye contact and trust between participants and give them an initial practical exposure to micro planning.

Village Panchayat level facilitating team

Experience with micro planning shows that there is need for such a team which needs to be trained, must conduct PRA exercises to learn ground level problems, and consult people at the habitation level. Establishing a group of facilitators, volunteers and coordinators can be done through suitable local NGOs. NGOs would also be of great use in reaching out to communities, and sustaining follow up of micro planning activities.

A district resource unit for micro planning

This can be constituted under the District Planning Committee to specifically concentrate on: (a) coordinating micro planning, (b) training master trainers who in turn train NGO functionaries, facilitators, volunteers and district and block officials concerned and coordinating training efforts of the DPC (c) developing a standard agreement form to enable Local governments and NGOs to enter into arrangements to facilitate micro-planning.

Logistics and funding of micro planning activities

The cost of micro planning can be met from the information-education-communication (IEC) and training budget available under various programmes such as the Backward Regions Grant Fund (BRGF), TSC, NREGA, etc. The major source of funding for micro planning may also depend on the lead sector identified during the district envisioning process. Typically, about four to five facilitators are needed to conduct micro planning for habitations with a population of about 1000. Costs can be kept low by not employing facilitators on a continuous basis and persuading the community to pitch in by providing lodging facilities. In some states, a volunteer is retained for a cluster of about 10 villages to ensure continuity and follow-up of the community initiatives triggered through the initial round of micro-planning. The NGOs involved may need to be provided some funds to cover operational and overhead costs. Documentation costs can be covered from allocations provided for overall documentation and data collection. Training support can be partly met from the State Institutes of Rural Development (SIRD) and Administrative Training Institutes.

Learning through sharing information

Local governments can learn more about the logistics and costs of micro planning through sharing their experiences across states and from those districts where micro planning has been attempted on a fairly large scale.

5.4 Some techniques for good micro-planning

5.4.1 Several states have now adopted a five day framework of village micro planning which is described in Box 38 below. While this framework is like a standard operating procedure, it can be modified to suit the local situation.

Box 38

Day-1

Environment building and village overview

- Environment building – morning rally of children.
- Meeting with prominent villagers and members of various village committees.
- Meeting with Village Panchayat members and village level government workers anganwadi workers, (ANM), gram sevak, teachers, etc.).
- Visit to important village level institutions such as Panchayat, school, anganwadi, health centre/sub-centre, etc.
- Evening Gram Sabha:
  - explain and discuss the purpose of micro planning;
  - sharing schedule of activities over the subsequent days;
  - seeking participation of the entire community – both genders, all age groups, all social and economic sections, as well as all village level institutions and their functionaries.

Day-2

Creation of village database

Village mapping at a prominent location:
- Social mapping
- Resource mapping (physical, natural, human, financial, etc.)
- Infrastructure and services mapping (school, anganwadi, health centre, ration shop, Panchayat office, community toilets, community water supply, etc)
- Vulnerability mapping: families below the poverty line (BPL), malnourished children, pregnant mothers, neonates, patients with chronic illnesses, old, disabled, destitute women, etc.

Participatory household survey:
- General family information
- Socio economic and livelihood information;
- Health: incidence of disease, immunisation status, antenatal care, child nutrition, child mortality, expenditure on healthcare, etc.
- Water and sanitation: water source, quality, sanitation facilities and practices, personal hygiene;
- Education - school enrolment, drop-out, out of school
- Expenditure on healthcare
- Expenditure on various addictions, etc.

Assessment of infrastructure and services:
- Anganwadi
- School
- Ration shop
- Health centre
- Registration of births and deaths
- Record of pregnant and breastfeeding women
- Record of immunisation

- Record of malnourished children
- Record of family planning
- Record of various development schemes and beneficiaries
- Registration under Employment Guarantee Scheme (EGS)
- Registration of BPL families, etc.
- Review of work done during the day/planning for next day
- Evening Gram Sabha: sharing of information on day's activities and its analysis. Urging the people to get actively involved in the next day's activities.

Day-3

Data analysis and identification of issues

Identification of village issues through focus group discussions with farmers, artisans, landless families, pregnant women, adolescent boys and girls, youth groups, SHGs, village committees, local government functionaries, Panchayat members, etc.

Various participatory exercises for identification and highlighting issues:
- Weighing children from 0-5 years age group
- Comparative analysis of healthy-unhealthy children
- Comparative analysis of school-going and out-of-school children
- Change analysis chart (Changes that happened in the village till date related to health, sanitation, livelihoods, etc.)
- Seasonal analysis of common diseases, their effect, health hazards
- Seasonal analysis of livelihood activities, migration, debt, etc.
- Review of work done during the day/planning for next day
- Gram Sabha: sharing data analysis and major issues identified through activities on Day-2 and Day-3.

Day-4

Visualising solutions and prioritising strategies

- Focus group discussions on possible solutions to the issues/problems identified
- Demonstration of appropriate technologies and models – toilets, soak pits, vermi pits, compost pits, watershed management structures, advance cropping techniques, etc.
- Demonstration of participatory community initiatives
- Village cleanliness rally (fixing posters, fixing slogans on walls etc.)
- Taking care of drinking water resources (filtering water, adding bleaching powder and chlorine to water, repair of hand pumps, cleanliness of the place near the well and related work)
- Review of work done during the day/planning for next day
- Evening Gram Sabha: discussion on models and participatory initiatives demonstrated during the day. Identification of broad action strategies to tackle the issues identified. Formation of action committees (education committee, sanitation committee, health committee, etc.) from among the villagers to pursue such community initiatives.

Day-5

Formulation of village action plan

- Sharing information on various existing development schemes and the funds available under them.
- Sharing information on village level development budget for the previous, current and following year.
- Discussion on broad priorities of the village action plan in view of all earlier discussions.

- Group exercises for preparation of sector plans (health, education, sanitation, livelihoods, etc.) through lead role of the respective action committees, and with technical inputs of the respective government functionaries such as school teacher, ANM, talathi/patwari, gram sevak, health worker, agriculture extension worker, etc.
- Special consultations with SHGs, women groups, adolescent girls' groups to fine tune the gender concerns in the sector plans.
- Evening Gram Sabha: presentation of all sector plans, consolidation of sector plans into a comprehensive village plan through collective consensus, allocation of responsibilities for implementation of action-points along with time-deadlines.

5.4.2 However, it is important to keep in mind that the activity schedule given in Box 38 only indicates the commencement of the process of community mobilisation. Quite possibly, what might emerge on the fifth day might just be a preliminary wish list, which will then feed into the Panchayat where it will be itemised into projects and converted into a list of actionable items backed by funding.

5.4.3 *Suo moto implementation of village micro plans:* Once a preliminary village plan or wish list is ready, it becomes necessary to mobilise village committees to prepare for the next stage, which is the approval of the first draft of the village plan, when it is returned by the sectoral standing committees. Simultaneously, several interventions that relate to changing of behavioural practices can start straight away, through SHGs, community facilitators and others who by this time would be motivated to keep up the momentum. This includes the adoption of hygienic practices, sanitation, promoting of breastfeeding, doing away with bad nutritional practices such as fasting and food taboos, continuing to keep girls in school and preventing underage marriages. Action committees formed during micro planning can pursue community based action for better health, education, sanitation, nutrition, etc. The progress of such community driven interventions can be displayed at the anganwadi, school, etc., and be reviewed by the community and the local government.

5.5 The Intermediate Panchayat's envisioning and planning process

5.5.1 The Intermediate Panchayat has three roles to play in district planning. First, it is a local government in its own right with a clearly mandated functional domain. Second, in many states it is given the responsibility to facilitate Village Panchayat planning through staff support, providing a forum for coordination and discussions between Village Panchayats within its jurisdiction. Third, in many states, it also functions as an agent of the District Panchayat.

5.5.2 As a local government, the Intermediate Panchayat shall prepare its own five year and annual plans in accordance with activity mapping. While doing so, it must:
(a) Undertake an independent exercise of visioning and identification of works and prioritisation within its exclusive functional domain after considering the district vision, the stock-taking document and its own budget.
(b) While doing so, it must keep in mind the feedback received from Village Panchayats regarding works outside their purview, such as inter-village road formation and multi-Panchayat irrigation structures.

(c) It can also, suo moto, co-opt Village Panchayat works into its own plan after giving reasons for the same (Box 39).

Box 39

'Co-option' of works

Co-option' is a process involving negotiations between the intermediate and Village Panchayats concerned. The outcome of such negotiations could be the retention of these works in the original Village Panchayat plans or their transfer to the Intermediate Panchayat plan. Works that lend themselves to co-option are:

(a) works planned in a Village Panchayat, which impact other Village Panchayats, such as watershed development works; and

(b) works being planned in Village Panchayats that could be dropped in preference to networked solutions at the level of the Intermediate Panchayat that are cheaper and more efficient, such as multi-village water distribution systems.

The PlanPlus software facilitates transparent negotiation and co-option between planning units by making all plans visible to all the planning units.

5.5.3 As with Village Panchayats, solutions can be determined by the Intermediate Panchayats on a sectoral basis by its sectoral standing committees or working groups, constituted as described in Para 5.2.2. The processes and workflows for Village Panchayats can be followed by Intermediate Panchayats too. The first draft Intermediate Panchayat plan would contain a complete list of its independent works and co-opted works. This plan should be sent to all Village Panchayats in its jurisdiction so that the final resolution of co-opted works can be arrived at. The Plan Plus software is the best means to facilitate dissemination and negotiations.

5.5.4 Once negotiations are over and agreement reached on co-option of work, the Intermediate Panchayat will consolidate all its sector-wise prioritised solutions into its draft plan document. The abstract format for the plan would be the same as for Village Panchayats, and provide space for indicating the Intermediate Panchayat's own works, its co-opted works, works that it undertakes as an agency of a higher authority, and works that are to be taken up by other agencies on its behalf (See Box 39).

5.5.5 The Intermediate Panchayat will undertake spatial capturing of prioritised solutions on maps. The Intermediate Panchayat shall also prepare a separate table that consolidates all the prioritised sector-wise financial outlays with identification of appropriate resources as done by the Village Panchayat in the format prescribed in Box 36. In this exercise, the Intermediate Panchayat could also identify those works or solutions that fall outside its purview, but that could be taken up by higher levels such as the District Panchayat, and list them separately.

5.5.6 The workflow for the Intermediate Panchayat planning process would largely be the same as described in Box 34 and 35, except that there would be consultation with Gram Panchayats and not Gram Sabhas.

5.6 The Intermediate Panchayat as a consolidator of micro plans at cluster or block level: In some states where Village Panchayats are very small, they might not have properly functioning standing committees and therefore might lack the scale economies to function as full-fledged local governments. In such situations, the village micro-plans are themselves the Village Panchayat plans. In these circumstances, the Intermediate Panchayats, and sometimes the District Panchayat, might assume the additional role of proactively consolidating the village micro-plans. The main task for the Intermediate Panchayats in such cases is as follows:

(a) Determine whether the consolidation of village micro plans should be done for the block as a whole, or for clusters of Village Panchayats.

(b) Once this is determined, the Intermediate Panchayat can put in place special arrangements to aggregate and prioritise demands emerging from micro plans, in the same manner as is expected from the Village Panchayat standing committees (See para 5.2.2 and 5.2.3).

(c) It can also aggregate common themes and priorities of development, following a cross-check of priorities emerging from village wish-lists with the status of key infrastructure, services and human development indicators.

(d) The Intermediate Panchayat can also assess the technical feasibility of these requests and solutions suggested through the village micro plans, and generate technical and financial projects from the village micro plans. This is explained in greater detail in paragraph 5.7.

5.7 The Intermediate Panchayat as a translator of micro plans into technical and financial proposals

5.7.1 Quite often, Village Panchayats will not have access to services of technical and financial experts who can convert their plans into projects. This is even more true of states that have tiny Village Panchayats. In such circumstances, the Intermediate Panchayat becomes the appropriate level for pooling such expertise, which it can either use to consolidate or firm up operational plans from the micro plans, or make the same available to Village Panchayats to do so.

5.7.2 The pool of experts at the Intermediate Panchayat level can also assist in considering various options to address a particular need that arises from the village plans. This would include co-option of smaller works into a larger plan, choosing appropriate technologies, canvassing for corporate and community contributions and organising options of public-private partnership and outsourcing.

5.7.3 *Undertaking simple environmental impact assessments:* The Intermediate Panchayat seems to be the smallest level at which the emerging area of environmental impact assessments (EIAs) can be undertaken. While EIAs are often complex and technically sophisticated procedures, certain basic principles of an EIA can be adopted at the Intermediate Panchayat level and if more complex assessments are to be done, the necessary professional support can be hired.

5.8 The District Panchayat planning process: District Panchayat planning would follow the same process as the Intermediate Panchayat, as it also has two roles to play, namely, as a Panchayat in its own right and as a facilitator for Intermediate Panchayats and Gram Panchayats in the district. However, there are wide variations in the functions devolved upon the District Panchayats from state to state and this would considerably affect the process of planning by it. In states with strong District Panchayats with several line departments functioning below it, the District Panchayat will also provide the secretarial support for the District Planning Committee.

Participative Urban Planning

6.1 The role of the municipality

6.1.1 The municipality is a local government in its own right with a clearly mandated functional domain. Of late though, there have been moves to ensure equal opportunities to urban citizens to participate in municipal planning through sub-municipal groupings. While nominated ward committees are mandated by the Constitution, several states, prompted by the reform conditions of JNNURM, have provided for citizen participation in urban planning through the mechanism of Area Sabhas organised below the ward committees. Apart from being entrusted certain planning responsibilities of its own, the Area Sabha also plays a part in the constitution of the ward committee wherever mandated. In such circumstances, the municipalities have the added responsibility of facilitating the ward committee wherever mandated, as well as facilitating Area Sabha planning. This they do by providing pooled expertise and a platform for coordinating planning exercises and negotiations between wards within their jurisdiction. Therefore, the responsibilities of a municipality sabha are similar to those of the Intermediate and District Panchayat (Box 40).

Box 40: Duties of the municipality

| Take a district vision document and undertake, on its basis, a separate visioning exercise and communicate this to the ward committees. | Identify and prioritise works within its exclusive functional domain, based upon the district stock-taking document and vision. | Undertake an additional exercise of 'co-opting' ward committee or ward level works after considering the outputs of ward committees or the ward's draft vision and plan, as also its own plan (This is a negotiated back and forth exercise, which is facilitated by PlanPlus). |

6.1.2 In fulfilling its first role, the municipality is expected to prepare five yearly and annual plans in accordance with activity mapping and based on feedback from ward committees or the ward level regarding works outside their purview, such as inter-ward road formation and multi-ward water supply structures (See Box 41).

Box 41

Original plans	'Co-opted works' plan
Identify and prioritise fresh works that fall entirely within the functional domain of municipalities.	Identify works covered by following criteria from ward committee or ward level plans and co-opt them into the municipality plan. These include: • works that impact other wards, such as laying of major roads to ease traffic; and • works that can be dropped in favour of more efficient and cost-effective networked solutions by the municipality (for example, multi-ward water distribution systems).

6.1.3 Once these processes are completed, the municipality will prepare a single document, the municipality plan document. This document will also include the spatial capturing of prioritised solutions on maps, thus completing the process of spatial presentation of plans, which commenced with the spatial capturing of issues at each ward level and Area Sabha. This plan would also prepare a separate table that consolidates all the prioritised sector wise financial outlays with the appropriate resources in a format similar to that in Box 36. To complete the exercise, the municipality can also identify those works or solutions that fall outside its purview, but that could be taken up at a higher level.

6.2 Sequence of municipal plan preparation: Similar to the approach for the rural areas, the vision document for the district would be communicated by the District Planning Committee to all municipalities in the district, for use in their individual envisioning and planning exercises. The first exercise would be to discuss the vision document in the municipality amongst a meeting of all the stakeholders. The meeting will include ward representatives and elected representatives of the municipality (Box 42).

Box 42
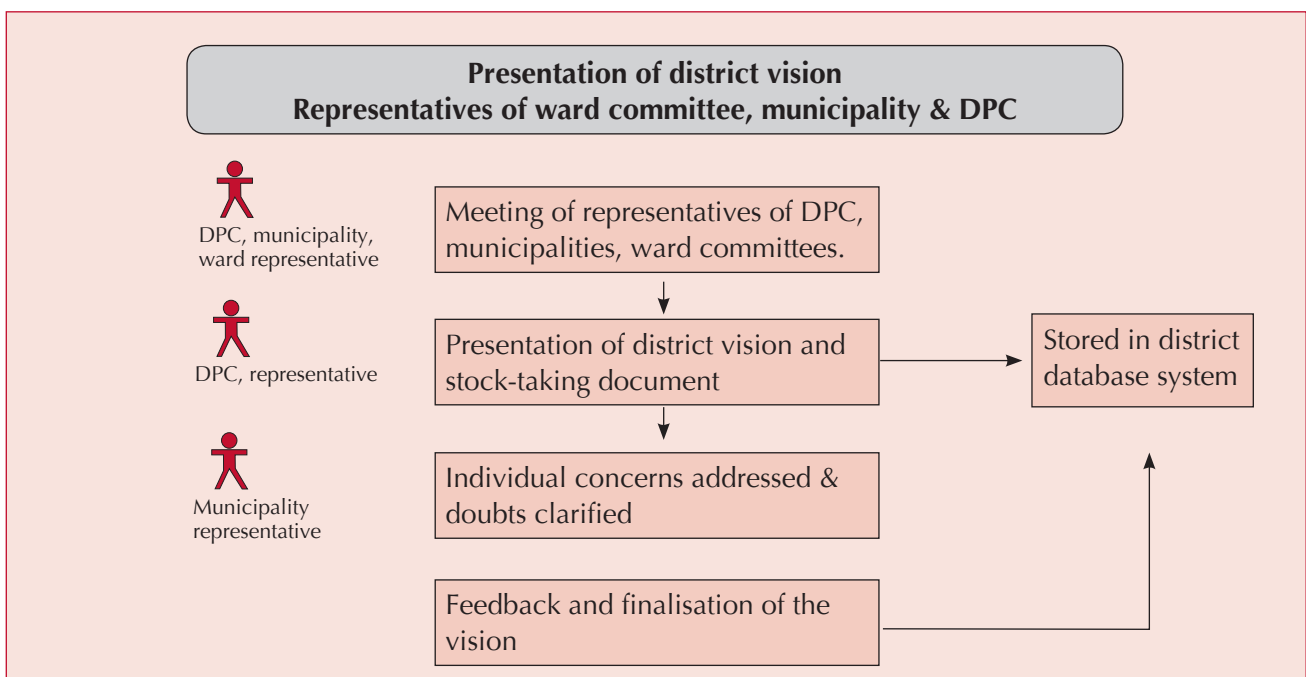
Once the visioning process is completed, the municipality would prepare its first draft plan in a second workshop. The workflow for this is given in Box 43.

The vision-cum-first draft plan would be placed in the public domain for use in the Area Sabhas and the ward committees or ward level. The handbook follows the processes envisaged for urban participation in the JNNURM guidelines. Box 44 describes the participatory structures envisaged under these guidelines, as incorporated into the model Nagar Sabha bill circulated for adoption by states through the JNNURM guidelines.

Box 43: Municipal planning process 1

Preparation of first draft plan

1. Earlier ward draft plan document if any, collected from individual ward committees
2. Sector wise report submitted by individual sector anchors

Ward reps, sector experts, mayor

1. Constitution of municipal level sector groups
2. Clearly define role of sector experts and all other stake holders
3. Specify general and sector wise guidelines

→ Prepare/Update list of institutions/experts/ volunteers per sector

Ward reps, sector experts, mayor

1. Identify sector specific data
2. Identify gaps in data availability – availability of maps and other sources of data

Ward reps, sector experts, mayor

1. Cross sector consultation
2. Identifying and collating the prioritised issues from across all wards
3. Collecting solutions and financial data- expenditure and revenue generation
4. Exploit opportunities – in technology, policy, climate et al

1. First draft municipal plan and vision document
Prioritised list of issues and pending projects
Consolidated list of citizen proposed solutions
Financial data collected
2. Sector wise reports from each sector anchor

Box 44

The JNNURM lists the implementation of decentralisation measures as envisaged in the Constitution (74th Amendment) Act, 1992, as a mandatory reform for the implementation of the scheme. In addition, it specifically identifies the enactment of a community participation law to institutionalise citizen's participation and introduce the concept of the Area Sabha in urban areas as a mandatory reform. Each Area Sabha is conceived as the collection of voters within an 'area', which is defined as the area of operation of one polling booth for urban local government elections. The Area Sabha is to elect an Area Sabha representative, who becomes a member of the ward committee, wherever it is mandated. Thus, the ward committee becomes a more democratically set up consultative, planning and implementing body. It is hoped that the Area Sabha and ward committee linkage, as envisaged in the urban participation law, would provide the space for formal citizen's participation in urban areas, which has been lacking so far.

6.3 Envisioning and preparation of micro plans at the Area Sabha level

6.3.1 The decentralised planning process on the basis of the first draft municipal plan begins at the Area Sabhas. Its outcome is to produce a consolidated identification of issues at each Area Sabha. Each sabha would commence with a presentation of the first draft municipal plan, the stock-taking document and the budget envelop available to the ward.

6.3.2 *Promoting good participation in Area Sabhas*

Box 45

What distinguishes area planning in urban areas

(a) Diverse communities, in terms of wealth (rich and poor living side by side), occupation, habitation type (slums, high income housing and business localities all in close proximity).

(b) More interconnected linkages between local concerns and more common concerns as transport, large infrastructure, larger parks etc.

(c) The definition of 'area' (sub-ward level) is understood very differently; they could be traditional neighbourhoods (*mohallas*), certain habitation types (slums/ residential areas/business areas, etc.) or administrative sub-divisions of wards.

(d) Urban micro planning is often hampered by non-functional ward committees. The concept of Area Sabhas is also yet to take root fully.

6.3.3 Wide gaps in socio-economic status amongst people living in the same area are often cited as an impediment in bringing them together for a common cause. Congestion and a perception that resources are limited can trigger conflicts within a ward. Therefore, area planning processes must aim to be inclusive and representative of all stakeholders (See Box 46).

Box 46

Some steps to encourage good participation in Area Sabhas

(e) Provide full support from representatives of the ward committee (whether or nor elected from the Area Sabha).

(f) Fixing of meeting dates well in advance.

(g) Wide distribution of notices. (For example, through flyers kept in shops and sent with newspapers)

(h) Campaigns through NSS, NCC cadets and college students.

(i) House visits by volunteers.

(j) SMS and mobile calls.

(k) Structuring Area Sabha with scope to break up into smaller groups for discussion.

Note: There must be opportunities for individuals to register their concerns, whether or not they attend the Area Sabha. Citizen response forms can be used to systematically record and aggregate peoples' concerns both in and outside Area Sabhas. A model citizen response form for health issues is given in Box 47. A format for consolidation of these issues is in Box 48.

Box 47: Area sabha response form: Health issues

General information													
General information													
Participant Name:				Ward No:					Workshop date:			
				Area sabha No:								

Issue Details													
Name:					Address:								
S. No.	Road Information	Public health					Sanitation					Solid waste management		
		1	2	3	4	5	1	2	3	4	5	1	2	3
1	6th Main	☒	☐	☐	☐	☐	☐	☐	☐	☒	☐	☐	☐	☐
2	80Feet Road	☐	☒	☐	☒	☐	☒	☐	☐	☐	☐	☒	☐	☐
3	…	☐	☐	☐	☐	☐	☐	☐	☒	☐	☐	☐	☐	☒
4	…	☐	☐	☐	☐	☒	☐	☐	☐	☐	☐	☐	☒	☐
5	…	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐	☐

Issue reference						
Public health		Sanitation		Solid waste management		Others
1	Disposal of sewage into SWD	1	Storm water drains attract pests	1	No door-to-door collection of garbage	
2	Broken sewage lines	2	Culverts are clogged with debris	2	Littering around bins	
3	Clogged sewage lines	3	Culverts are damaged	3	No pick-up from collection points	
4	…	4	…	4	…	
5	…	5	…	5	…	
Participant Signature :						

Box 48: Area sabha health issues consolidated

General information				
General information				
Participant Name :		Ward No :	W 74	Area Sabha No :	AS1, AS2

Issue Details														
Name:					Address:									
S. No.	Road information	Public Health					Sanitation					Solid waste management			Solution codes (Filled by sector-ward volunteer)
		1	2	3	4	5	1	2	3	4	5	1	2	3	
1	6th Main	2					2						4		10(10),4(1)
2	80 Feet Road		3	4	4	10			2			23			6(7),4(1)
3	…						2		2					4	13(10)
4	…			33				4				6			14(12)
5	…	5				34				5				6	2(1),3(2),5(5)

Issue reference						
Public health		Sanitation		Solid waste management		Others
1	Disposal of sewage into SWD	1	Storm water drains attract pests	1	No door-to-door collection of garbage	
2	Broken sewage lines	2	Culverts are clogged with debris	2	Littering around bins	
3	Clogged sewage lines	3	Culverts are damaged	3	No pick-up from collection points	
4	…	4	…	4	…	
5	…	5	…	5	…	
Consolidator Signature:						

6.3.4 *Features of the above citizens' response form:*

- Columns are provided for the most frequently occurring urban concerns. These can be elaborated or modified as required.
- The format is very easy to fill. It allows each citizen to record his/her concerns by tick marking the appropriate column. Additional space is provided for any further remarks.
- Summation of forms is easy and adds immense value. By tracking the frequency with which citizens are reporting the same concerns, the consolidation of forms automatically highlights the priorities emerging from each Area Sabha as reported by citizens.
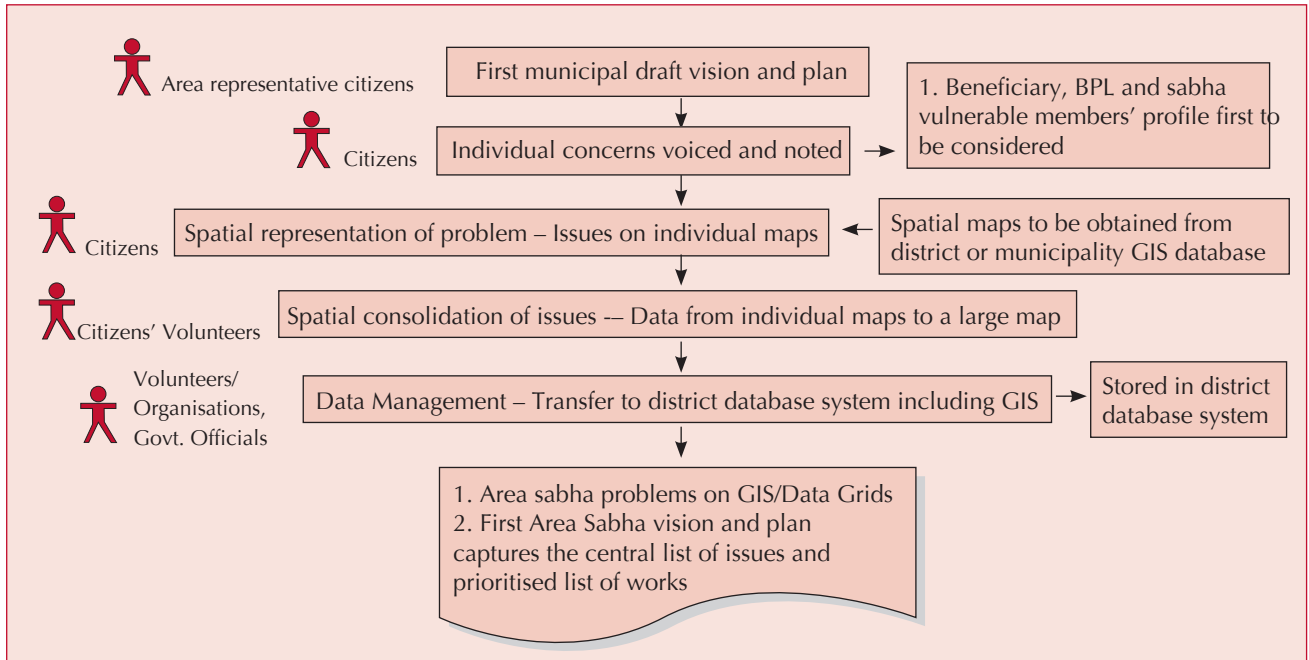
6.3.5 In addition to the above citizens' response form, the Area Sabha 'vulnerable members' profile filled up by all the citizens in the Area Sabha contains data to indicate the participant's vulnerability information and gives all citizens an overview of the poor in their area so they are aware of their responsibility towards them as a community. The form is a feedback for the group itself.

6.3.6 The workflow for the meeting of the Area Sabha is given in Box 49.
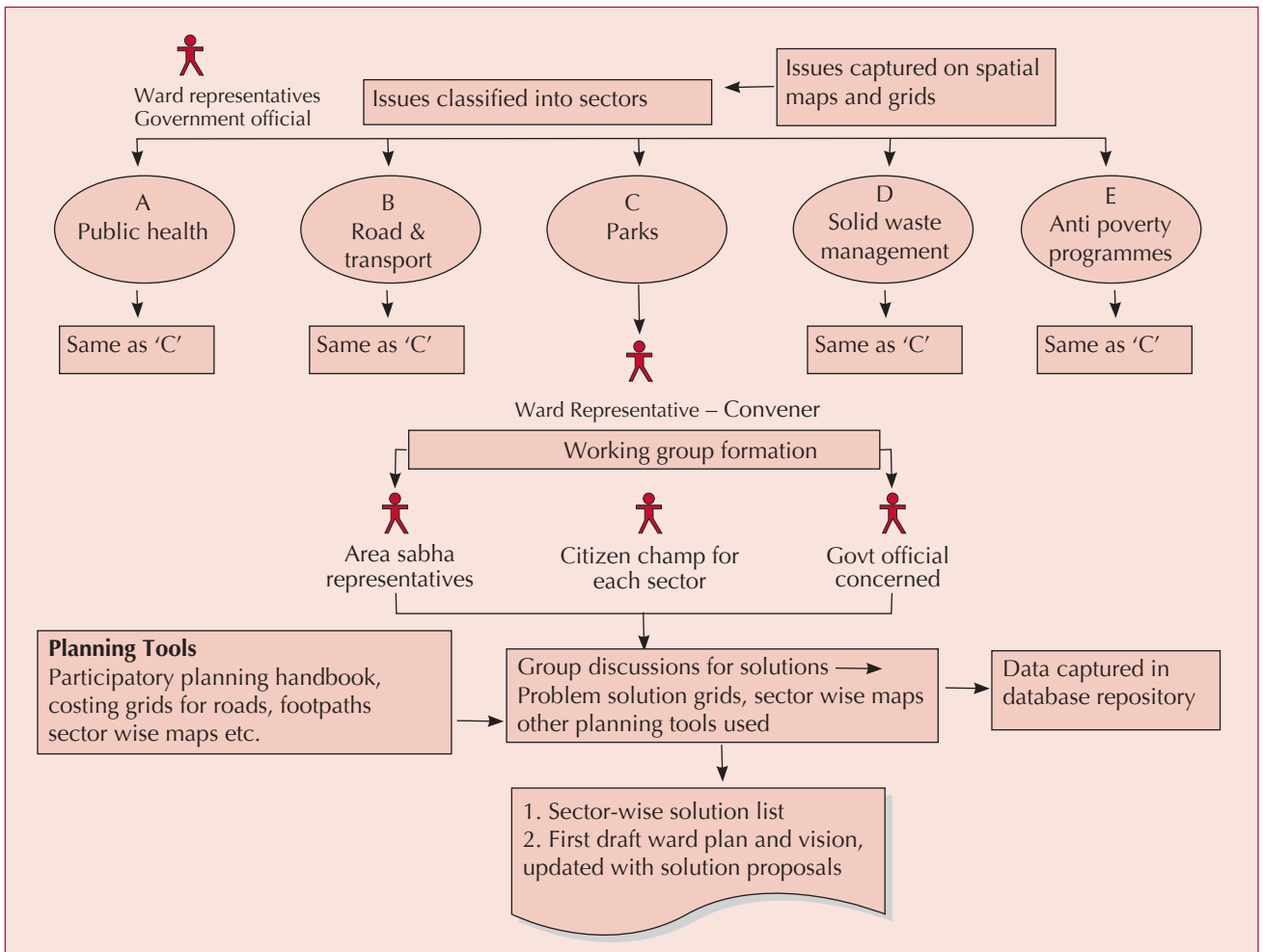
6.4 Preparation of first draft ward committee plan or ward level plan: Following this first discussion in the Area Sabha, the first Area Sabha vision and plan is sent to the ward committee or ward level concerned, for the next steps of the municipal planning process, namely, the ward committee's meetings for exploring solutions to problems raised during Area Sabhas. The processes and activities undertaken in the ward committees or at the ward level are described in the workflow in Box 50.

6.5 The first draft ward committee or ward level plan is then communicated again to the Area Sabhas, where, in the second meeting of the Area Sabha, it is examined and changes suggested are again compared with the consolidated priorities of the Area Sabha (See Box 51). The workflow describing the Area Sabha planning process based on citizens responses (consolidated) and citizens' vulnerability profile is given in Box 52. This workshop also looks at preparation of a spatial plan for the area, by representing citizen priorities on maps.

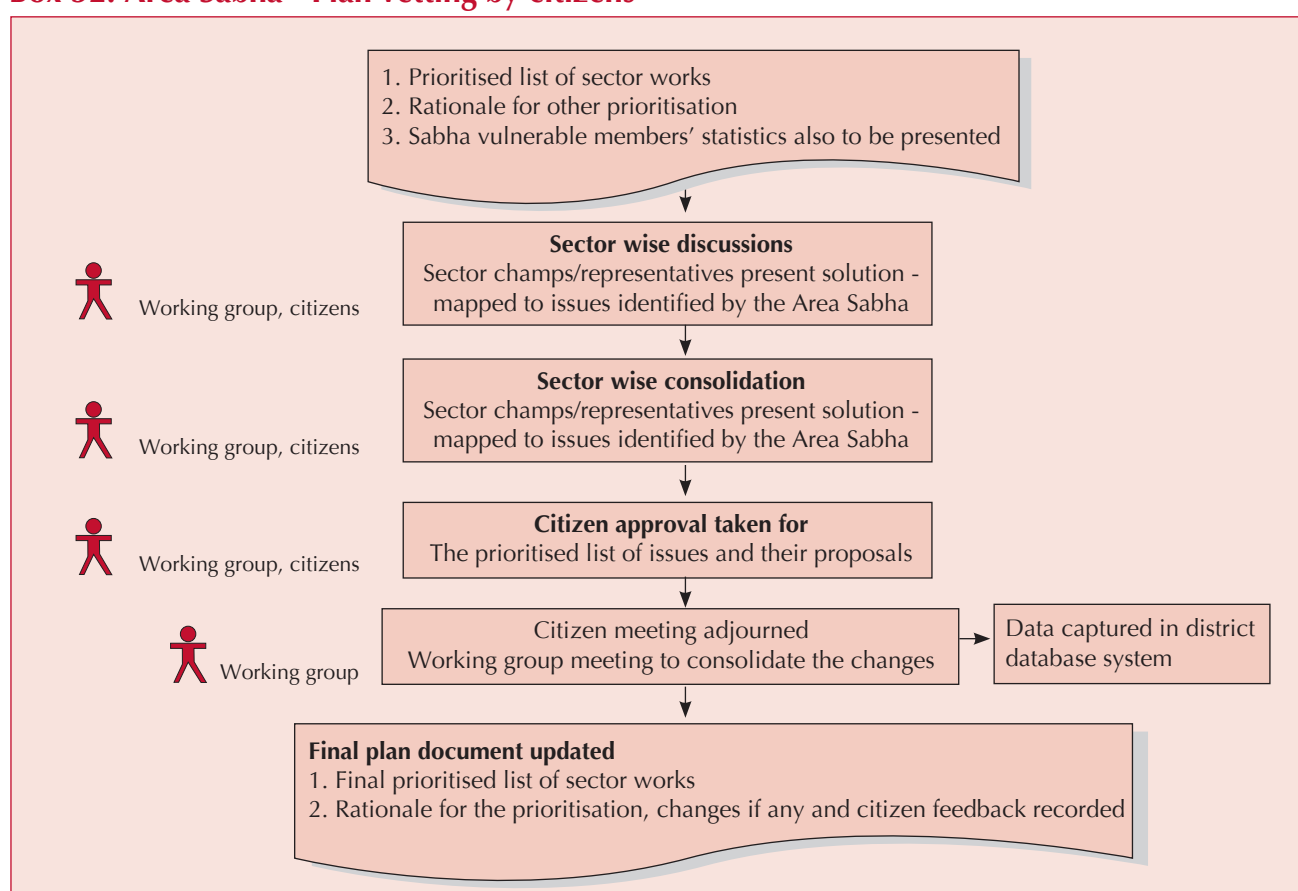## Box 49: First Area Sabha - Finalisation of Area Sabha priorities

Area representative citizens

Citizens

Citizens

Citizens' Volunteers

Volunteers/ Organisations, Govt. Officials

First municipal draft vision and plan

Individual concerns voiced and noted → 1. Beneficiary, BPL and sabha vulnerable members' profile first to be considered

Spatial representation of problem – Issues on individual maps ← Spatial maps to be obtained from district or municipality GIS database

Spatial consolidation of issues -– Data from individual maps to a large map

Data Management – Transfer to district database system including GIS → Stored in district database system

1. Area sabha problems on GIS/Data Grids
2. First Area Sabha vision and plan captures the central list of issues and prioritised list of works

Box 50: Ward committee working groups to explore solutions

Ward representatives Government official

Issues classified into sectors ← Issues captured on spatial maps and grids

A
Public health

B
Road & transport

C
Parks

D
Solid waste management

E
Anti poverty programmes

Same as 'C'

Same as 'C'

Same as 'C'

Same as 'C'

Ward Representative – Convener

Working group formation

Area sabha representatives

Citizen champ for each sector

Govt official concerned

Planning Tools
Participatory planning handbook, costing grids for roads, footpaths sector wise maps etc.

Group discussions for solutions →
Problem solution grids, sector wise maps other planning tools used → Data captured in database repository

1. Sector-wise solution list
2. First draft ward plan and vision, updated with solution proposals

Box 51

> **Second Area Sabha**
> The second Area Sabha would:
> (a) consider the ward committee's sector wise prioritised solutions draft and make final adjustments in the priorities;
> (b) discuss and sign-off on a collectively agreed revenue mobilisation strategy, as people would readily understand the need for local contribution to make up gaps in funding for their identified priorities; and
> (c) prepare after incorporating any changes approved by the Area Sabhas, the final sector wise prioritised solutions document (See box below).

Box 52: Area Sabha - Plan vetting by citizens

1. Prioritised list of sector works
2. Rationale for other prioritisation
3. Sabha vulnerable members' statistics also to be presented

Working group, citizens

Sector wise discussions
Sector champs/representatives present solution - mapped to issues identified by the Area Sabha

Working group, citizens

Sector wise consolidation
Sector champs/representatives present solution - mapped to issues identified by the Area Sabha

Working group, citizens

Citizen approval taken for
The prioritised list of issues and their proposals

Working group

Citizen meeting adjourned
Working group meeting to consolidate the changes

Data captured in district database system

Final plan document updated
1. Final prioritised list of sector works
2. Rationale for the prioritisation, changes if any and citizen feedback recorded

Box 53: Solving problems through group work in the Area Sabha

(a) The Area Sabha issues' consolidated Form becomes the input for the exercise of finding solutions.
(b) The prioritisation of solutions and fund allocations by both the ward committees and the Area Sabhas would depend upon several issues, which are similar to those elaborated in Para 5.2.3.
(c) Solutions can be found sectorally by sectoral working groups. Each group could comprise at the minimum a citizen champion, the government official dealing with the service delivery unit of that sector and a ward committee representative, such as the chairperson of the standing committee concerned. Technical experts can also assist the working group.
(d) Linking solutions to issues can be easily done through using problem solution grids developed for frequently experienced problems (See Box 54).

The output would be the listing of the solutions against each issue, in sector-wise solution lists (See Box 55).

Box 54: Problem & solution grid for health issues

S. No.	Problems	Inform appropriate agency/Suchimithra	Citizens monitor waste pick-up	Set up management system for recyclable waste	Ensure segregation at source	Awareness drive in managing waste	Fix existing toilets	Construct new toilets	Repair or re-route SWD	Levy fines to violations on disposal	Ensure proper disposal of all waste	Ensure adequate physical infrastructure & medicines	Construct hospitals at major wards	Monitor door-to-door garbage pick-up	Regular cleaning of culverts	Repair culverts
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
1	No door-to-door collection of garbage	P	P													
2	Littering around bins	P														
3	No pick-up from collection points	P	P													
4	Burning of garbage	P		P		P										
5	Improper segregation	P			P	P										
6	No public toilets							P								
7	No water supply in toilets						P									
8	Culverts are damaged															P
9	Culverts are clogged with debris														P	
10	Storm water drains attract pests										P			P		
11	Disposal of sewage into SWD									P	P					
12	Broken sewage lines								P							
13	Clogged sewage lines									P	P					
14	Not enough PHCs												P			
15	Inadequate infrastructure & drug supply at hospitals											P				

Box 55: Area Sabha draft plan abstract and checklist

Details of solutions																		
					Project classification					Sources of funds								
					Capital expenditure					Y1		Y2						
S. No.	Solution code (from solution grid)	Solution description	Location	Whether projectisable (Y/N)	Upgrade infrastructure	New infrastructure	Revenue expenditure	Estimated cost	Project duration	Funding source	Amount	Funding source	Amount	Draft priority	Area Sabha priority	Approval by scrutinising authority (Appd/Rejectd)	Reason for rejection	Final priority
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
1																		
2																		
3																		
4																		
5																		

### 6.6 Consolidation of final Area Sabha plans at the ward level

6.6.1 Since provision of urban infrastructure and services is interlinked across areas and wards, it is necessary to consolidate area plans, particularly their common components at the ward level. For example, road repair and upgradation or water supply pipeline laying cannot be planned separately for each area. The major tasks involved in this exercise are:

(a) Isolating purely area-specific needs and demands, with no bearing or implications on other wards, from those that are common, contiguous or overlapping with larger ward-level needs, in consultation with the Area Sabha.
(b) Aggregating the common needs component of area plans into the ward committee plan.
(c) Work upon the area micro plans and ward level plans to produce technically and financially feasible plans.

The workflow for the consolidation of Area Sabha plans by the ward committee is given in Box 56.

6.6.2 The ward committee or ward level consolidated plan is simultaneously sent to the municipality and sent once more to the Area Sabhas for a final clearance. The municipality may be given two weeks time to revert to the ward committee or ward with any objections or changes to the proposed plan. In case there are no objections raised, the municipality *ought not* to have the authority to reject the plans subsequently.

Box 56: Ward committee prioritisation and fund allocation
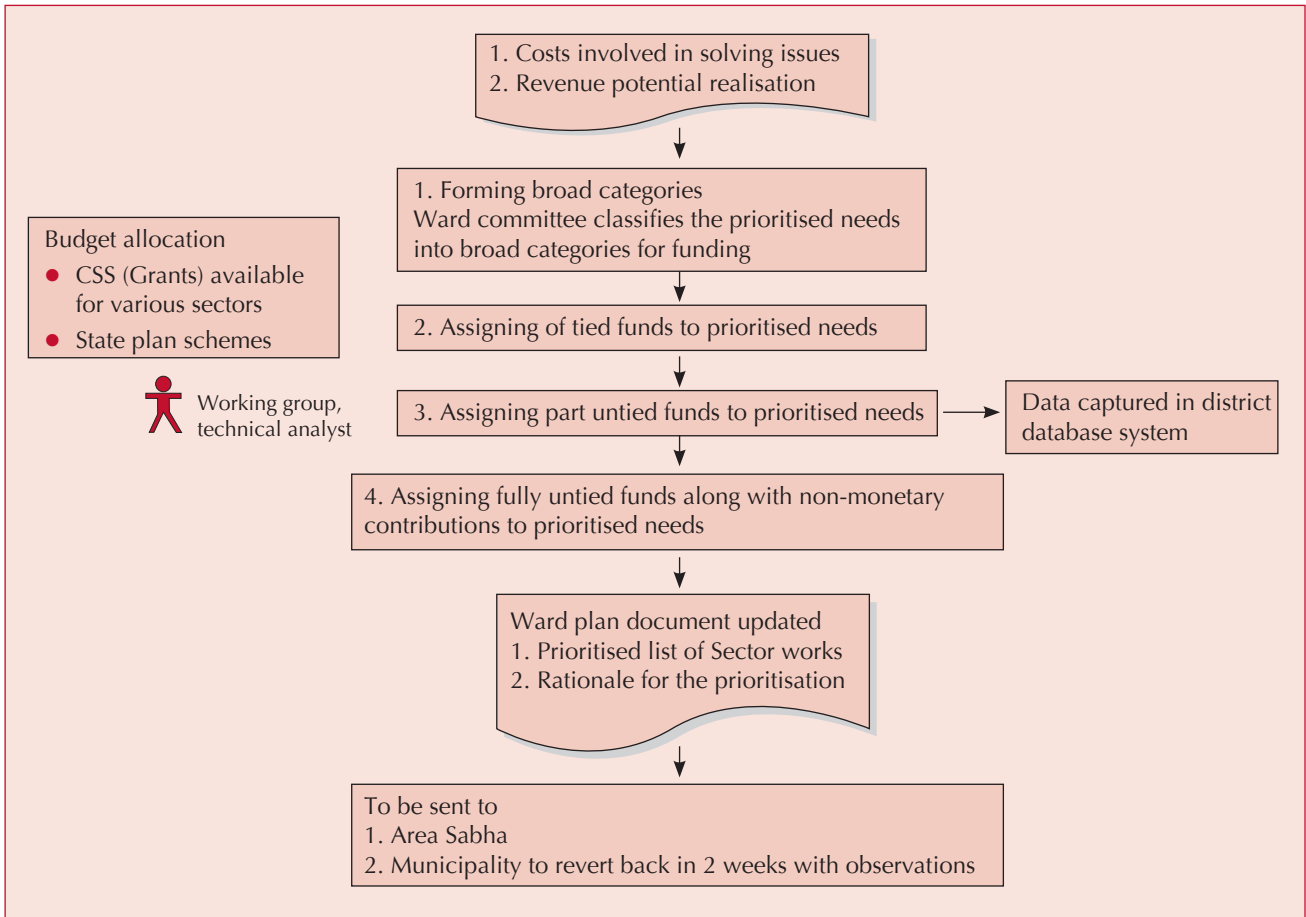
6.6.3 After receiving the suggestions of the second Area Sabhas and the views of the municipality, the ward committee or ward level will consolidate all sector-wise prioritised solutions into a single document called the ward committee draft plan document. This document will also include the spatial capturing of prioritised solutions on maps.

6.6.4 The ward committee or ward level shall also prepare a separate table that consolidates all the prioritised sector wise financial outlays with identification of appropriate resources in the format prescribed in Boxes 58, 59 and 60.

6.6.5 In this exercise, the ward committee or ward level could also identify those works or solutions that fall outside its purview, but that could be taken up either by the municipality/other urban local bodies, for a variety of reasons. Such works shall be listed in a format termed 'Recommended works to be taken up by Municipalities'.

6.6.6 A properly prepared database will be helpful in increasing local resource mobilisation through taxes, user charges and contributions, identifying innovative means of financing (build-own-transfer or BOT, community contribution, etc.) and tapping of funds from local philanthropists, non-resident Indians (NRIs), the corporate sector, NGOs, etc.

Box 57: Finding technical support for area micro planning and ward planning

The consolidation of area plans into ward committee or ward level plans, which both separate and interconnect the area plans, and their conversion into technically and financially ready implementation projects will require plenty of technical support. Though in urban areas, there is plenty of such support available, particularly in the private sector, there is usually no provision for engaging these formally in participative planning. A database of technical support agencies and individuals can be created for the use of ward committees and Area Sabhas. Procedures for their empanelment can also be evolved in advance.

One can also reach out to the several private sector players in each ward, which have a significant impact on the local ward, to 'adopt a ward' and provide support for planning.

Box 58: Ward committee plan abstract

Ward committee						Date:			
S. No.	Sector	Project classification							
		Taken up by Area Sabha		Taken up by ward committee		Taken up by ward committee as agent of municipality or line department		Third party execution, funded by ward committee	
		No. of projects	Estimated cost	No. of projects	Estimated cost	No. of projects	Estimated cost	No. of projects	Estimated cost

Box 59: Sector wise financial outlays & sources of funds

S.No.	Sector	Ward committee own plan	Implementing agency plan			Total amount per sector
			State plan	Centrally sponsored	EAP	

Box 60: Ward committee's sources of revenue

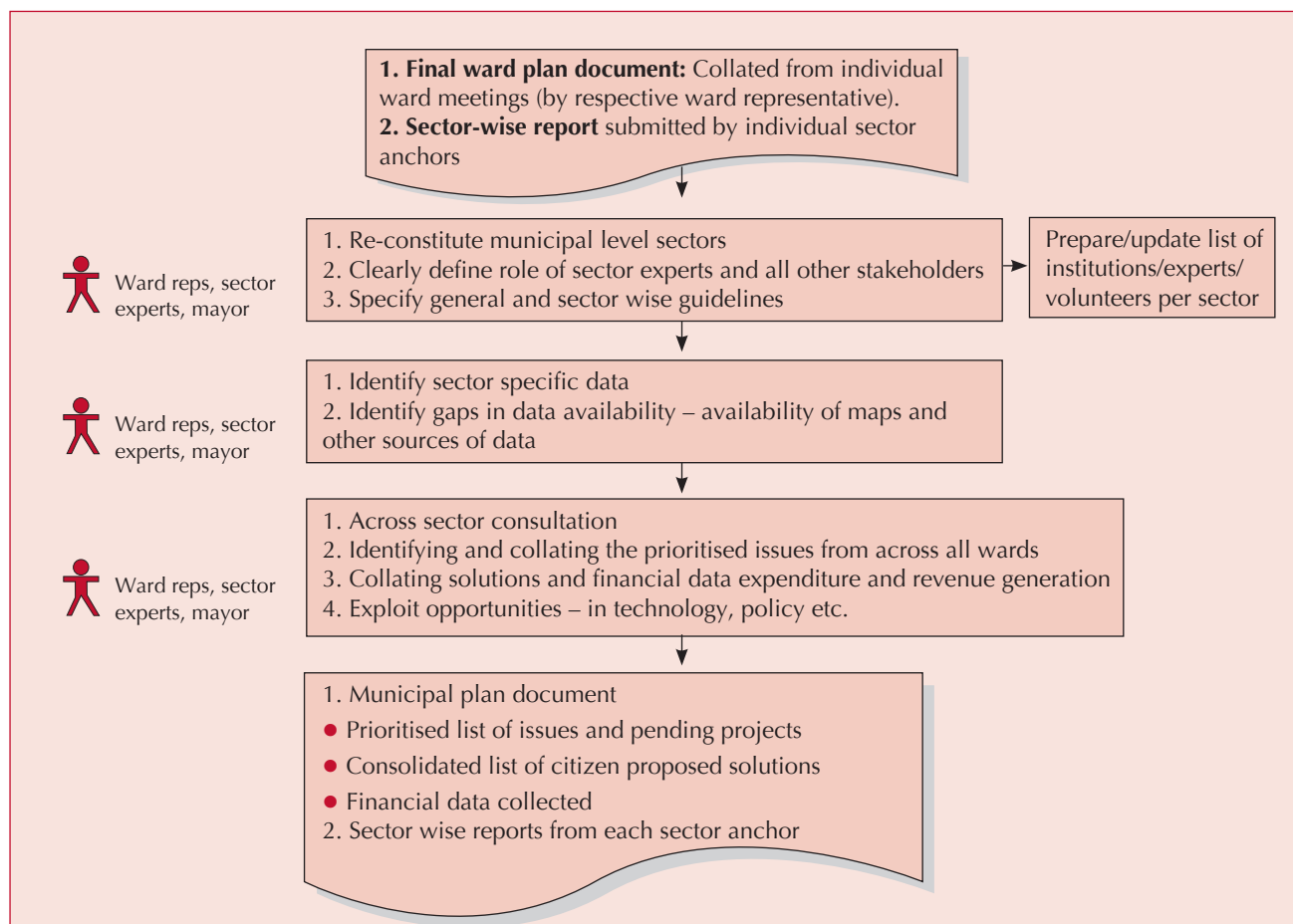| S. No.	Source of revenue	Amount
1	Estimated collection of own tax and non-tax revenues	
2	Estimated contribution by communities themselves	
3	Any other own source	
Total amount		

6.7 Integration of ward plans into a municipal plan

6.7.1 The main task involved in municipal level planning is to prioritise 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 resource availability with demand;

iii) formulation of a municipal plan with complete technical-financial details; and

iv)   seeking the approval of the general body for the municipal plan.

The workflow for the municipal planning process is given in Box 61.

Box 61: Macro planning: Municipal plan finalisation

1. Final ward plan document: Collated from individual ward meetings (by respective ward representative).
2. Sector-wise report submitted by individual sector anchors

Ward reps, sector experts, mayor

1. Re-constitute municipal level sectors
2. Clearly define role of sector experts and all other stakeholders
3. Specify general and sector wise guidelines

Prepare/update list of institutions/experts/volunteers per sector

Ward reps, sector experts, mayor

1. Identify sector specific data
2. Identify gaps in data availability – availability of maps and other sources of data

Ward reps, sector experts, mayor

1. Across sector consultation
2. Identifying and collating the prioritised issues from across all wards
3. Collating solutions and financial data expenditure and revenue generation
4. Exploit opportunities – in technology, policy etc.

1. Municipal plan document
● Prioritised list of issues and pending projects
● Consolidated list of citizen proposed solutions
● Financial data collected
2. Sector wise reports from each sector anchor

Spatial planning has to be part of the district planning process at all levels. However, if technology, capacity and the lack of guidelines are limiting factors, they must at least permeate to the level of the municipality plan, if not at the ward-level plans to begin with. This will give an idea to all the local representatives of the spatial element of each level's plan. Examples of spatial planning undertaken in India are described in Boxes 62 and 63.

Box 62: Spatial planning in Kollam district, Kerala

Kollam district in Kerala has wide ecological diversity ranging from the Western Ghats to the Arabian sea coast. In 2003, the Kollam District Planning Committee initiated the preparation of an integrated district development plan and local development plan with special emphasis on the spatial aspect, under a project of the State Planning Board, Kerala. The project aimed at further improving the well-established process for preparation of development plans from the Panchayats and municipalities, by introducing the spatial element into the decentralised planning process. The spatial aspect was to be incorporated into every aspect of planning, such as data collection as part of the stock-taking and envisioning exercise, presentation of data to decision makers in the District Planning Committee and Panchayats, and finally to help in visualising and depicting the plan. Because information was being collected and presented location wise, the exercise hoped to prompt and encourage thinking in the direction of proper land use planning. The project used geographic information system (GIS) technology, which converged satellite images, cadastral data and socio-economic survey data in tabular form and integrated it into spatial presentations.

Sectoral analysis was done for 18 development sectors ranging from the primary sector, to basic services in health education, provision of water, poverty alleviation and rural development, infrastructure (roads, bridges, housing), forests, environment, mining and geology, social welfare, women and child development, power and telecommunication, tourism, culture, sports and youth affairs. In each of these sectors both problems and initiatives were identified with location specific details. Similarly, an analysis of the completed projects/programmes was done with location-specific analysis and suggestions. The exercise also incorporated human resource development and availability of finances and presented these aspects spatially. Thus, at every stage of the decentralised planning process and participative planning, stakeholders were not only prompted to give suggestions on overall development but also to take decisions as to the appropriate locations. Therefore, spatial decisions also got captured into the participative process with prompting of suggestions and solutions by the District Planning Committee.

Consequently, the integrated development plan of Kollam now contains a perspective plan of 15-20 years dealing with long term issues such as settlement patterns, district level policies for integrated development cutting across urban and rural areas, the best spatial strategy that might be adopted for optimum utilisation of resources and the long term perspective for regional infrastructure which covers water management, energy, transport network and tourism. An execution plan has been drawn out from this perspective plan and is implemented and monitored.

The project has given decision makers in local governments, the District Planning Committee and other stakeholders the opportunity to consider and take decisions in the emerging area of spatial planning. The Kollam experience, particularly the methodologies developed by it can be easily upscaled to other districts too.

Box 63: Spatial plan for Jaipur district

Economics, environment and equity: Principles of a sustainable master plan for Jaipur 2025

1. Today's plan must envision cities of the future. Greenfield airports, road and rail transport linkages, ports that serve urban travel needs, agro production that provides grain and vegetables, water sources that are shared, stone quarries that build the cities, landfill sites that hold the waste of urban consumption, land for the expanding population and expanding economies – all these require a planning footprint that goes beyond the city alone. A major metro attracts bulk of migration and corridor development all around it. The Jaipur masterplan 2025 challenges the apparent inevitability of unplanned and haphazard urban growth.

Action outcome: The Jaipur master plan 2025 adopts a decentralised planning approach of centre city and nodes bounded by the district. This district plan provides a strategic regional vision plan that becomes the basis for all development decisions in the coming 25 years.

2. Key natural assets like high-yield agricultural land, forests, hills, water bodies and channels, environment and ecological assets need to be protectively zoned. Economic activity must contribute to sustainability without compromising the natural environment. Wherever such assets are in private hands, equitable and enforceable systems for economic compensation need to be in place before the master plan can work.

Action Outcome: The Jaipur master plan 2025 determines areas that require protective zoning and creation of policies for compensation for sale restrictions of protected zones.

3. Planning for water supply as a natural resource is critical. No planning can be done without estimating the demand and identifying the source of supply over a period of 25 to 100 years.

Action Outcome: The Jaipur master plan 2025 outlines a realistic long-term plan for water supply for the region and policies for sustainable resources and pollution control.

4. The Jaipur master plan 2025 looks not just at geographic growth, but also at economic sustainability. The plan recommends some determinants that are essential for the realisation of the overall regional plan, while leaving enough room for flexible planning to accommodate new and changing economies in the district and spontaneous economic activity at the local planning areas. For these deterministic plan goals to be realised, large capital investments will be required which may be beyond the capacity of the government, whether local or state.

Action Outcome: The Jaipur master plan 2025 emphasises on enhancing the city's competitive edge, identification of areas for key capital investments and potential participation opportunities of the market.

5. Though not realised often enough, quality of life is often the bottom line for economic competitiveness. While cheap greenfield land is viewed as significant attraction for big businesses, the reality is that today economic development is attracted by access to skilled human resources and skilled resources are attracted to cities that provide a great quality of life, thriving culture, a healthy environment and a clear sense of community.

Action Outcome: The Jaipur master plan 2025 promotes investments in institutions that build on local talent and skills that lead to employment, identifying areas for improvement of quality of public realm – art, history, culture, boulevards, parks, public buildings etc. – creating distinctive neighbourhoods and having pride in them.

6. Transport and connectivity plans link people to places, jobs and services. The Jaipur master plan 2025 integrates the transport plan for the city and district as a central component of the planning process. Roads, rail, air, bus, RTS, parking, walking, cycling are part of the transport plan. The transport plan guides the regulations of density and land use.

Action Outcome: The Jaipur master plan 2025 begins with an overall mobility plan and links zoning and land use to this plan.

7. Providing social infrastructure such as affordable housing, education and healthcare that cater to those at the bottom of the pyramid and the new migrants.

Action Outcome: The Jaipur master plan 2025 outlines policies that incentivise allocation of land for affordable housing, linked to job opportunities and that can be rented or owned by the economically weaker sections and for locating social infrastructure.

8. Master plans must be implemented from paper to the ground. For this to happen, they must be owned and enforced by local elected representatives and residents. Plans must also be aided by clear and enforceable policies.

Action Outcome: The Jaipur master plan 2025 outlines significant policy amendments and clearly defined activity mapping that empower local elected representatives and residents with local planning and enforcement decisions.

Annexes

Baseline Profiles for District Visioning Exercise

I. Geopolitical information

The geopolitical information should be prepared and presented in the form of the following maps:

i) district, block, sub-division, cluster, and local government boundaries;

ii) elevation map/toposheet showing natural geographic features such as hilly areas, flat areas, low-lying/flood plains, rivers, lakes, etc.;

iii) rainfall distribution;

iv) soil and vegetation types;

v) major and minor dams, watershed development structures, open wells, bore wells, tanks, etc.;

vi) watersheds with annual surface and ground water availability;

vii) present land use including the land under irrigated and non-irrigated agriculture; forest land, pastures, wasteland; land under mining, industries and human habitation etc.; and

viii) road and rail network.

In addition to maps, a district overview should be compiled as follows.

Table 1: District overview

S. No.	Feature	Unit	Value
1.	Geographical area	Sq. km.	
2.	Total population	Lakh	
3.	Sub-divisions	Number	
4.	Blocks	Number	
5.	Clusters/circles	Number	
6.	Revenue villages	Number	
7.	Urban habitations	Number	
8.	Gram Panchayats (village councils)	Number	
9.	Taluka Panchayats (block councils)	Number	
10.	Nagar Panchayats (municipal councils)	Number	
11.	Length of road network	Km.	
12.	Length of rail network	Km.	
13.	Rivers	Number	
14.	Water bodies	Number	
15.	Watersheds	Number	
16.	Irrigated agriculture	Hectares	
17.	Rain-fed agriculture	Hectares	
18.	Wasteland	Hectares	
19.	Forests	Sq. km.	
20.	Major and medium dams	Number	
21.	Large and medium industries	Number	

II. Socio-demographic information

The population composition should be compiled on the following parameters:

Table 2: Population composition

S. No.	Age group (yrs.)	Male	Female	Total	Sex ratio
1.	0 to 3				
2.	4 to 6				
3.	7 to 18				
4.	19 to 45				
5.	46 to 60				
6.	61 +				
7.	All age groups				

The major demographic trends should be documented as follows:

Table 3: Demographic characteristics

S. No.	Parameter/Indicator	Male	Female	Average
1.	Fertility rate			
2.	Mortality rate			
3.	Life expectancy at birth			
4.	Age at marriage			
5.	Family planning coverage (%)			
6.	Total number of families			
7.	Commonest family type (✔)	Nuclear	Joint	Extended
8.	Average family size (✔)	Up to 6	6 to 12	12+

The population proportions of major religious and caste groups should be captured as follows:

Table 4: Social group composition

S. No.	Social group	Male	Female	Total	%
1.	SC				
2.	ST				
3.	OBC				
4.	DT				
5.	NT				
6.	Open				
7.	Hindu				
8.	Muslim				
9.	Christian				
10.	Buddhist				
11.	Neo-Buddhist				
12.	Other				
13.	All social groups				

III. Public infrastructure and services

The major infrastructure facilities and services should be captured on the following parameters:

Table 5: Public infrastructure and services

S. No.	Infrastructure	Availability norm	Actual status	Shortfall
1.	Pucca road	Each habitation		
2.	Bus service	Each habitation		
3.	Electricity connection	Each habitation		
4.	Piped water	Each habitation		
5.	Public toilet	Each habitation		
6.	Drainage system	Each habitation		
7.	Gram Panchayat/Ward Panchayat office	Each GP/WP headquarter		
8.	Ration shop	Per unit population		
9.	Anganwadi	Per unit population		
10.	Primary school	Each habitation		
11.	Secondary school	Per unit population		
12.	College	Per unit population		
13.	PHC	Per unit population		
14.	Sub-centre	Per unit population		
15.	Hospital	Per unit population		
16.	Veterinary clinic	Per unit population		
17.	Police station	Per unit population		
18.	Post office	Per unit population		
19.	Bank/credit agency	Per unit population		
20.	Public library	Per unit population		
21.	Agri. marketing centre	Per unit population		
22.	Virtual connectivity	Each habitation		
23.	Major irrigation projects	As per local conditions		
24.	Medium irrigation projects	As per local conditions		
25.	Minor irrigation projects	As per local conditions		
26.	Fully developed watersheds	As per local conditions		

Table 6: Infrastructure and service quality: Anganwadi Centres

Sector: Nutrition (ICDS) Service: Anganwadi Centres				
Facility	**Norm**	**Requirement as per norm**	**Actual status**	**Gap**
Provision of Anganwadi	Per 1500 population			
Location	Within 1 km of village			
Housing of Anganwadi	Dedicated pucca building			
Human resource (AWW and assistant)	1 AWW and 1 assistant per Anganwadi			
Toilet facility	Attached toilet			
Water facility	Potable drinking water connection			
Place for washing hands	Separate place for washing hands with adequate water and soap			
Equipment	Weighing machine, toys, educational equipment, plates, bowls, napkins, comb and nail cutter			

Table 7: Infrastructure and service quality: Schools

Sector: Education Service: Primary and secondary schools					
Service	**Facility**	**Norm**	**Requirement as per norm**	**Actual status**	**Gap**
Primary School	Provision of primary schools	Each habitation			
	Location	Within 1 km of village			
	Housing of school	Dedicated pucca building			
	Toilet facility	1 toilet unit consisting of 2 latrines and 3 urinals, separate toilet for girls			
	Classrooms	1 classroom per 40 students; all classrooms fitted with blackboard, maps and informative charts			
	Staff	1 teacher per 40 students plus a clerk and an assistant			
	Other facilities	A playground			
Secondary School	Provision of secondary schools	As per local conditions			
	Housing of school	Dedicated pucca building			

Sector: Education Service: Primary and secondary schools					
Service	**Facility**	**Norm**	**Requirement as per norm**	**Actual status**	**Gap**
	Toilet facility	1 toilet unit consisting of 2 latrines and 3 urinals, separate toilet for girls			
	Classrooms	1 classroom per 40 students; all classrooms fitted with blackboard, maps and informative charts			
	Staff	1 teacher per 40 students, some female teachers plus technical and administrative staff			
	Other facilities	Laboratories of required standard and a playground with sports facilities/gymnasium			

Table 8: Infrastructure and service quality: PHC and rural hospital

Sector: Health Service: Primary Health Centres and Sub Centres					
Service	**Facility**	**Norm**	**Requirement as per norm**	**Actual status**	**Gap**
Sub Centre	Provision of sub-centre	Per 5000 population			
	Human resource	1 ANM, 1 MPW and 1 worker			
	Equipment	Medical kit, ORS, delivery kit and table, BP apparatus and stethoscope			
	Housing	Dedicated pucca building			
Primary Health Centre	Provision of PHC	Per 30,000 population			
	Human resource	2 medical officers, 1 compounder, 2 health asstt., 1 lady asstt., 1 clerk, 1 driver and 5 peons			
	Equipment	Operation theatre and allied equipment, 1 ambulance, adequate stock of medicines			

Sector: Health Service: Rural Hospitals					
Service	**Facility**	**Norm**	**Requirement as per norm**	**Actual status**	**Gap**
Rural Hospital	Provision of rural hospital	At every block headquarter			
	Human resource	3 medical officers, 1 medical superintendent, 4 staff nurses, 1 pharmacist, 1 Jr. clerk and 1 driver and other staff			
	Equipment	Lab, OPD, IPD, operation theatre, ambulance and adequate stock of medicines			

Table 9: Public infrastructure and service quality: Other services

Sr.	Infrastructure		Quality Norm	Actual Status
1.	Pucca road	major district roads	All season usability	
		Other district roads		
		Villlage roads		
		Village internal roads and lanes		
2.	Bus service		Minimum once a day	
3.	Electricity connection		Daily minimum --- hours of supply	
4.	Piped water		Minimum --- litres/capita/day of potable water	
5.	Public toilet		Minimum one seat/--- persons	
6.	Drainage system		Covered drain connecting all houses	
7.	Gram/ward Panchayat office		Dedicated pucca building with proper record room	
8.	Ration shop		Assured minimum stock of essential food/fuel items	
16.	Veterinary clinic		Adequate medicine stock, regular availability of doctors and basic surgical/life-support facilities	
17.	Police station		A dependable 24-hour emergency telephone line and a mobile squad	
18.	Post office		Availability of all basic postal services	
19.	Bank/credit agency		Availability of all basic banking/credit services	
20.	Public library		Availability of all major newspapers	
21.	Agri.-marketing centre		Availability of current data on market prices	
22.	Virtual connectivity		Dependable telephone and dial-up internet connectivity	

Table 10: Essential documentary services

S. No.	Service	Norm	Status	Shortfall
1.	BPL card	Eligible family		
2.	Ration card	Eligible family		
3.	Voter identity card	Eligible person		
4.	EGS card	Eligible person		
5.	Caste certificate	Eligible person		
6.	7/12 extract	Eligible person		
7.	House property document	Eligible person		
8.	Birth certificate	Eligible family		
9.	Death certificate	Eligible family		

IV. Public health information

The following aspects of public health should be documented:

Table 11: Public health characteristics

Category	Parameter/Indicator		Absolute number		Percentage/ Rate	
			Male	Female	Male	Female
Antenatal Stage	Total pregnant women		--		--	
	Pregnant women with anaemia/inadequate BMI		--		--	
	Pregnant women given immunisation		--		--	
	Pregnant women with transmitted diseases		--		--	
	Cases of pregnancy related complications		--		--	
	Institutional deliveries		--		--	
Neonatal Stage	Maternal mortality		--		--	
	Aborted foetus					
	Still births					
	Babies with birth weight below 2500 g					
	Babies with birth defects/born disabilities					
	Babies born with transmitted diseases					
Infancy & Early Childhood	Neonatal mortality					
	Complete immunisation as per schedule					
	Adequate breast feeding Nutritional Status					
		Normal				
		Grade I				
		Grade II				
		Grade III				
	Grade IV					
	Infant/child mortality					

General Population	Enrollment in Anganwadi Disease Prevalence						
		Malaria					
		Tuberculosis					
		HIV/AIDS					
	Other chronic/acute diseases						
	Mortality rate						
	Health insurance coverage						
	Tubectomy operations				--		--	
	Vasectomy operations					--		--

V. Socio-economic information

The socioeconomic information should be captured on the following parameters:

Table 12: Literacy and Education

S. No.	Parameter/Indicator	Male	Female	Total	%
1.	Basic literacy				
2.	Enrolment in pre-primary school				
3.	Enrolment in primary school				
4.	Coverage of mid-day-meal				
5.	Enrolment in secondary school				
6.	Mean years of schooling				
7.	Enrolment for higher education				
8.	Enrolment for adult education				

Table 13: Employment and Self-employment

S. No.	Parameter/Indicator	Male	Female	Total	%
1.	Self-employed in farm activities				
2.	Self-employed in non-farm activities				
3.	Employed in organised sector				
4.	Employed in unorganised sector				
5.	Total wage labour				
6.	Wage labour enrolled under EGS				
7.	Registered in employment exchange				
8.	Total unemployed				
9.	Educated unemployed				
10.	Skilled unemployed				
11.	Migrant labour				
12.	Child labour				

The information on the economy and commerce in the district should be documented as follows:

Table 14: Agriculture and allied farm sector activities

Parameter/Indicator	Unit	Status
Total agricultural land (including horticulture)	Ha	
Irrigated agriculture	Ha	
Non-irrigated agriculture	Ha	
Wastelands/uncultivable lands	Ha	
Average landholding	Ha	
Landless families dependent on agriculture	%	
Per capita agriculture produce	Quintals	
Per capita income from agriculture	Rs.	
Total dairy livestock	Number	
Total land under grazing	Ha	
Per capita milk production	Litres	
Per capita income from dairy business	Rs.	
Total number of registered dairies	Number	
Total number of meat animals	Number	
Per capita meat production	Quintals	
Per capita income from meat production	Rs.	
Total number of registered poultries/piggeries/goat farms	Number	
Total number of registered fisheries/fishing families/fishing firms	Number	
Per capita fish production	Quintals	
Per capita income from fish production	Rs.	
Total land under commercial forest cultivation	Ha	
Per capita forest produce (timber, non-timber)	Quintals	
Per capita income from forest produce	Rs.	

Table 15: Industry and Commerce

Parameter/Indicator	Unit	Status
Total land under industries	Hectares	
Total number of primary sector industries	Number	
Total number of secondary sector industries	Number	
Total number of tertiary sector industries	Number	
State owned industrial areas	Number	
SEZs	Number	
Percentage of organised sector industries	%	
Percentage of unorganised sector industries	%	
Percentage of polluting/hazardous industries	%	
Per capita industrial produce	Rs.	
Per capita income from industry	Rs.	

Table 16: Household income and amenities

Service	Unit/Norm	Status	Shortfall
Average family income*	Rs.		--
Average family expenditure*	Rs.		--
Average family debt*	Rs.		--
Families living in pucca house	Every household		
Households with electricity supply	KW/capita/day		
Households with drinking water supply	Litres/capita/day		
Households with attached toilets	Each household		
Households with kerosene supply	Litres/capita/day		
Households with cooking gas connection	Single/double cylinder		

* The average per capita income/expenditure/debt in the district multiplied by the average family size.

Table 17: Social security

Parameter/Indicator	Male	Female	Total
Coverage of public/private provident fund			
Coverage of public/private pension			
Coverage of life/livelihood insurance			
Persons under 15 years without livelihood			
Persons over 60 years without livelihood			
Severely disabled without livelihood			
Terminally ill persons without livelihood			

Table 18

Item for which data is collected	Data source	Owner of the data	Periodicity of data collection or updating
General indicators			
Population by sex, general and SC by age and by social group	Census, 2001	Central Govt.	Every decade
No. of Panchayats, no. of elected representatives, by sex and by social group. Year of last election	Panchayat Department	State Govt.	After every Panchayat election
Natural endowments in the block (resource mapping) and water sources	Panchayat Department, forestry, water resources	Different Departments	Varies
Percentage of population affected by natural calamities, by type, (last five years)	Panchayat Department	Revenue Department	Yearly
Educational attainments			
Literacy levels of people by social groups and by sex	Census 2001	Central Govt.	Every decade
Enrolment rate, drop out rate, by sex	DISE, NIEPA	Education Department	Yearly
Teacher-pupil ratio % of trained teachers, primary, sec. & Higher Sec.	DISE, NIEPA	Education Department	Yearly

Item for which data is collected	Data source	Owner of the data	Periodicity of data collection or updating
Number of schools, primary, secondary and higher secondary	DISE, NIEPA	Education Department	Yearly
Number of arts and science colleges, engineering colleges, medical colleges, ITI's etc., vocational institutes, etc.	Education Department	Education Department	Yearly
Access to school, (by distance, within the village, up to 2 km, 2-5 km, beyond 5 km)	Education Department	Education Department	Yearly

Table 19: Health attainments

Birth rate, death rate and infant mortality rate	Civil Registration Scheme/District Statistics Unit	Health Department	Yearly
Age distribution of people by sex	Census 2001	Central Govt.	Every decade
Population covered by PHC/Sub-centre in the block	Health Department	Health Department	Yearly
Population covered by ICDS	Women and Child Department	Women and Child Department	Yearly
Number of health workers, ANM's ICDS workers	Health Department/ Women and Child Development Department	Women and Child Department	Yearly
Average no. of Doctors, and paramedical staff per PHC/Sub-centre	Health Department	Health Department	Yearly
Number of Govt. hospitals/private hospitals, clinics, etc.	Health Department	Health Department	Yearly
Number of posts sanctioned (PHC/Sub-centre, ICDS) and no. of posts filled	Health Department	Health Department	Yearly

Table 20: Income and poverty indicators

Number of families below poverty line as per latest BPL census by social group	RD Department	RD Department	Every Five Year plan
Poverty profile – no. of households without pucca house, frequency distribution of households by land possessed, occupation, education standard, indebtedness, ownership, etc., as per BPL census coding	RD and Panchayat department	RD Department	Yearly
Estimated number of working children (child labour)	RD/Panchayat Labour Department	Labour Department	Yearly

Major crops grown, area under crops and average yield rate of major crops or crops, area irrigated/unirrigated	Agriculture Department/ TRS/LUS statistics and General Crop Estimation Surveys	Agriculture Department	Yearly
Number of enterprises as per Economic Census (98/2005), no. of workers, list of any major Census 1998/2005 by category of NIC, no. of workers	Economic Census/DIC database	Industries department	Yearly
Number of employed, no. of unemployed, educated employed by sex and educated unemployed by sex	Panchayats/RD/Labour Department	Rural Development	Every Five year plan
Number of landless labour, agriculture labour and other labour by sex	Panchayat/RD/Labour Department	RD Department	Every Five year plan
Per capita consumer expenditure of people below poverty line	RD/Panchayats Department (BPL Census)	RD department	Yearly
Wage rate for skilled/unskilled labour	Labour Department/ Labour Bureau	Labour Department	Yearly
Food security – items supplied through PDS, PDS price vis-à-vis market price for items, quality of items supplied as per consumers assessment	Food and Civil Supplies Department	Food Department	Yearly

Table 21: Infrastructure and other facilities

Whether all villages are connected by pucca road with block hq., if not by kutcha road/semi pucca road	RD/Planning Department/Panchayat	RD and PW Departments	Yearly
District to nearest town, railway station, bus stand, police station if not located within the block	RD/Planning Department	RD and PW Departments	Yearly
Percentage of villages not electrified	Panchayat/ Planning Departments, Electricity Board	Power Departments	Yearly
Distance from nearest agricultural marketing centres	Panchayat Department	Cooperation and Agriculture Departments	Yearly
Number of commercial banks, banks/rural RRBs, cooperative banks	Agriculture Department/ RD Department	RD and/or Institutional Finance Department	Yearly
Existence of money lenders (Yes/No)	RD Department/ Agriculture Department	RD and/or Institutional Finance Department	Yearly

Table 22: Abstract of financial resources available at district level

S. No.	Department	Scheme/Budget Head/Subhead	Figures for the last two years				Current Year	
			Year 1		Year 2			
			Allocation	Expenditure	Allocation	Expenditure	Allocation	Expenditure plan
A)	Central Sector Schemes							
1.								
2.								
3.								
B)	Centrally Sponsored Schemes							
1.								
2.								
3.								
C)	State Sector Schemes							
1.								
2.								
3.								
D)	Central/State Finance Commission Grants, Untied Funds from State							
1.								
2.								
3.								
E)	MLA/MP Funds							
1.								
2.								
3.								
F)	Local Revenue (receipts through taxes, cess available for local use)							
1.								
2.								
3.								
G)	Incidental Receipts, Non-governmental Grants, Local Contributions							
1.								
2.								
3.								
Total								

Table 22 A: Block-level availability of financial allocations (category-wise)

District									
		Current Year Allocations (in Lakh Rs.)							
S. No.	**Block**	**Central Sector Schemes**	**Centrally-sponsored Schemes**	**State Sector Schemes**	**Finance Comm. Grants**	**MP/ MLA Funds**	**Local Revenue**	**Other Funds**	**Total**
1.	Block 1								
2.	Block 2								
3.	Block 3								
4.	Block 4								
5.	Block 5								
6.	Block 6								
7.	Block 7								
8.	Block 8								
9.	Total								

Table 22 B: Block-level availability of financial allocations (sector-wise)

District														
		Current Year Allocations (in Lakh Rs.)												
S. No.	**Block**	**Public Health**	**Food Security & Nutrition**	**Literacy & Education**	**Housing & Basic Amenities**	**Farm Sector Development**	**Employment & Self-employment**	**Irrigation**	**Communication & Transport**	**Energy**	**Industry**	**Civil Rights**	**Other**	**Total**
1.	Block 1													
2.	Block 2													
3.	Block 3													
4.	Block 4													
5.	Block 5													
6.	Block 6													
7.	Block 7													
8.	Block 8													
9.	Total													

Table 23: Matrix for mapping Village Panchayat and sector-wise financial allocations

S. No.	Gram Panchayat (GP)	Public Health	Food Security & Nutrition	Literacy & Education	Housing & Basic Amenities	Farm Sector Development	Employment & Self-employment	Watershed Works	Communication & Transport	Other	Total
		Current Year Allocations (Rs.) (Previous years' expenditures may be analysed if allocations are not available)									
1.	GP 1										
2.	GP 2										
3.	GP 3										
4.	GP 4										
5.	GP 5										
6.	GP 6										
7.	GP 7										
8.	GP 8										
9.	Total										

Name of the Block

Table 24: Sector-wise abstract format for indicating fund envelope to Village Panchayats

S. No.	Key priorities identified for the block	Suggested priorities for the Gram Panchayat	Tentative fund availability (Rs.)	Additional priorities identified after village visioning	Additional funds demanded after village visioning	Remarks
		Name of the Gram Panchayat				
		Name of the block to which the Gram Panchayat belongs:				
A)	**Public Health**					
1.						
2.						
3.						
B)	**Food Security & Nutrition**					
1.						
2.						
3.						
C)	**Literacy & Education**					
1.						
2.						
3.						
D)	**Housing & Basic Amenities**					
1.						
2.						
3.						

S. No.	Key priorities identified for the block	Suggested priorities for the Gram Panchayat	Tentative fund availability (Rs.)	Additional priorities identified after village visioning	Additional funds demanded after village visioning	Remarks
Name of the Gram Panchayat						
Name of the block to which the Gram Panchayat belongs:						
E)	**Employment & Self-employment**					
1.						
2.						
3.						
F)	**Water Resource Development**					
1.						
2.						
3.						
G)	**Farm Sector Development**					
1.						
2.						
3.						
H)	**Connectivity, Communication & Transport**					
1.						
2.						
3.						
I)	**Energy & Fuel Supply**					
1.						
2.						
3.						
J)	**Other**					
1.						
2.						
3.						

Table 22 above should be supported by a list of departments under each sector. The departments may be further categorised as line departments and local body departments. Similarly, the key functionaries of each department responsible for providing administrative and technical sanctions to various works/activities under each scheme should also be specified. This information will help the villages in identifying appropriate works/activities to be proposed under the various schemes within the overall scope of the fund envelopes provided to them.

Table 25: Format for Summarising the visioning exercise

	Name of the District Panchayat/Intermediate Panchayat/Municipality/Village Panchayat/Gram Sabha/ Ward committee/Area Sabha:				
Sr.	Key infrastructure/ service gaps identified	Key outcome/ shortfalls identified	Key development priorities identified	Key interventions suggested	Targets & time frame
A)	Public Health				
1.					
2.					
3.					
B)	Food Security & Nutrition				
1.					
2.					
3.					
C)	Literacy & Education				
1.					
2.					
3.					
D)	Housing & Basic Amenities				
1.					
2.					
3.					
E)	Employment & Self-employment				
1.					
2.					
3.					
F)	Irrigation & Water Resource Development				
1.					
2.					
3.					
G)	Farm Sector Development				
1.					
2.					
3.					

H)	Connectivity, Communication & Transport				
1.					
2.					
3.					
I)	Energy & Fuel Supply				
1.					
2.					
3.					
J)	Industry & Trade				
1.					
2.					
3.					
K)	Protection of Civil Rights				
1.					
2.					
3.					
L)	Lead sector				
1.					
2.					
3.					

Note: The number of sector headings is only illustrative. More can be added.

'Key Interventions' means a broad summary of the interventions identified in each sector.

Table 26: Checklist of governance reforms

A:	Reforms for reducing exploitation of the poor and vulnerable
(a)	Survey of cultivated land culminating in (i) grant of title to those who do not have title, (ii) identification of land alienated illegally and (iii) restoration of alienated land identified through Gram Sabhas under powers vested in them under Provision of Panchayat (Extension to the Scheduled Areas) Act, 1996 (PESA).
(b)	Similar action keeping relevant legal provisions in mind in non-scheduled areas.
(c)	Liquidation of debt liabilities of SCs, STs in accordance with relevant legal provisions.
(d)	Revival and restructuring of Large Area Multi-purpose Cooperative Societies (LAMPS) and Primary Agricultural Cooperative Societies (PACS) to improve providing credit needs of SCs, STs and other weaker sections.
(e)	Provision of long-term loans for purchase of land by asset less poor and resource less families.
(f)	Support price operation for agriculture and minor forest produce.
(g)	PDS functioning and running of grain banks.

B:	**Resolution of forest related issues**
(a)	Conversion of forest villages into revenue villages and settlement of other old habitations.
(b)	Registration and examination of claims regarding vesting of forest rights and occupation of forest lands in terms of Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006.
C:	**Livelihood security through employment guarantee**
(a)	Providing guaranteed wage employment under the National Rural Employment Guarantee Act, 2005.
(b)	Ensure that norms for manual work for different items are worked out to ensure that workers, especially women, receive the minimum wage.
(c)	Focus on developing full potential of livelihood resources which may be owned by the poor or over which the vulnerable groups like primitive tribes, landless people may be enjoying usufructory rights and community resources as also other productive assets aimed at eradication of poverty and dispensing with the need for casual wage employment.
D:	**Universalise elementary education and strengthen secondary and vocational education**
(a)	Provide fully qualified and trained teachers in every school as per national norms of pupil-teacher ratio.
(b)	Provide quality technical/vocational training facilities for a cluster of 10 secondary schools offering training in a wide variety of local/specific needs.
(c)	Provide at least one residential high school each for boys and girls in these districts under the pattern of Navodaya Schools, together with bridge school facilities for slow learners and out of school children.
(d)	Establish systematic cultural and sports activities in all education institutes linked with block, district and state level events on a regular basis so as to identify the latent potential among students from an early age.
E:	**Universal public primary health care and nutrition**
(a)	Discontinue commercial vending of liquor and other intoxicants in terms of the excise policy for tribal areas and institutionalise control of the Gram Sabha over the preparation and use of traditional drinks in PESA areas.
(b)	Ensure that all sanctioned posts are mandatorily filled in by trained professionals or para professionals if necessary through provision of special allowances and local recruitment.
F:	**Improving effective administration and planning**
(a)	Ensure simple single line administration by which officials are clearly accountable to local governments they serve, and that they need not go elsewhere to obtain administrative, technical and financial clearances.
(b)	Institutionalise a responsive grievance redressal system, including through village level regular camps by officers at all levels.
(c)	Improve morale and instil a sense of purpose in administration by improving necessary infrastructure, service conditions and provide facilities for personnel.
(d)	Tighten discipline through enforcing attendance, and striking at corrupt elements.

The 'Key Interventions' listed in the vision abstract in Table 25 can also be separately displayed in Table 27, which gives gender-wise details.

Table 27: Sex-wise disaggregation of interventions

Name of the District Panchayat/Intermediate Panchayat/Municipality/Village Panchayat/Gram Sabha/Ward committee/Area Sabha:			
Scheme	Interventions purely for women	Interventions with specific components for women	Interventions common for both sexes
Public Health			
Scheme 1			
Scheme 2			
Scheme 3			
Food Security & Nutrition			
Scheme 1			
Scheme 2			
Etc.			
Scheme 1			
Scheme 2			
Scheme 3			

No. P-12053/3/2007-MLP
Government of India
Planning Commission
(MLP Division)

Yojana Bhavan, Sansad Marg
New Delhi – 110 001
Dated : April 2, 2008

ORDER

Subject : Task Force for Preparation of a Manual for District Planning

In pursuance of the decision taken to ensure that district planning is an integral part of the States' Plans for the Eleventh Plan, it has been decided to set up a Task Force for Preparation of a Manual for District Planning.

2. The composition of the Task Force is as under :

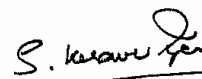|		
(i)	Smt. Rajwant Sandhu, Additional Secretary, Ministry of Panchayati Raj	- Chairperson
(ii)	Shri Sarat Kumar Nanda, Member Secretary, State Planning Board, Haryana	- Member
(iii)	Dr. Varesh Sinha, Pr. Secretary, Panchayat, Rural Housing and Rural Development Department, Government of Gujarat	- Member
(iv)	Dr. M. N. Roy, Pr. Secretary, Panchayat Rural Housing, Rural Development Department, Government of West Bengal	- Member
(v)	Shri V. Ramani, Director General, Yashada, Pune	- Member
(vi)	Shri S.M. Vijayanand, Pr. Secretary, Department of Local Self-Government & Rural Development, Government of Kerala	- Member
(vii)	Shri K.N. Kumar, Deputy Director General, NIRD, Hyderabad	- Member
(viii)	Dr. K. B. Lavekar, Commissioner of Agriculture, Govt. of Maharashtra, Commissionerate of Agriculture, Central Building, Pune	- Member
(ix)	Representative of Ministry of Urban Development	- Member
(x)	Dr. H. Ramachandran, Professor & Head, Department of Geography, Delhi School of Economics	- Member
(xi)	Shri Ramesh Ramanathan, Janaagraha, Bangalore	- Member
(xii)	Dr. Mihir Shah, Secretary, Samaj Pragati Sahyog, Bagli, District Dewas, Madhya Pradesh	- Member
(xiii)	Dr. Rajesh Tandon, President, Society for Participatory Research in Asia (PRIA) 42, Tughlakabad Institutional Area, New Delhi	- Member
(xiv)	Dr. Indu Patnaik, Deputy Adviser, Planning Commission	- Member - Convenor

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3.   The Terms of Reference of the Task Force are as under :

(i)   In the light of the Constitutional requirements related to District Planning Committees(DPCs), recommendations of the Report of the Expert Group on District Planning and the guidelines issued by Planning Commission, suggest institutional and other forms of professional support including capacity building to enable the DPCs to consolidate the plans of the various tiers of Panchayati Raj Institutions and urban local bodies (ULBs).

(ii)   Identify the lead sectors in the district plan and suggest the processes for horizontal coordination of plans prepared for the lead sectors with the district plan.

(iii) Suggest the methodology for consolidation of the plans of gram panchayats, intermediate level panchayats, Zilla Parishads and ULBs into the district plan.

(iv)   Prepare draft process manual/guidelines for the District Perspective Plan and Annual Plans for use by the DPC and other technical/professional support agencies based on the (a) Report of the Expert Group on Planning at the Grassroots Level (2006), (b)Backward Regions Grant Fund Programme Guidelines, (c) Circulars on District Planning issued by Planning Commission, and (d) Steps for the preparation of District Plans as given in the Eleventh Plan Document.

(v)   Make recommendations for the seamless flow of funds for the entrusted works at the district and sub-district level as well as strengthening of the capacities of the Panchayati Raj Institutions in accounting practices.

(vi)   Recommend processes and structures for measuring outcomes and ensuring social-accountability in implementation of programmes at all levels of PRIs and ULBs.

(vii) Any other issues relevant to (i) and (vi) above as the Task Force deems appropriate.

4.   The Task Force will submit its report within six months from the date of its constitution.

5.   The Task Force will have powers to co-opt Members, who are experts in the field of district planning.

6.   The Task Force may retain an Institution to collect and analyze information as may be required for the Report.

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7. For official members, TA/DA will be met from the budgets of their own Departments. In the case non-official members, TA/DA will be borne by the Planning Commission as admissible to Class I officers of the Government of India.

8. The Task Force will be serviced by MLP Division, Planning Commission. Dr. Indu Patnaik, Deputy Adviser(MLP), Planning Commission, Room No. 304, Yojana Bhavan, Tel. No. 23096525, Fax No. 23719900, email ipatnaik@nic.in, will be the nodal officer of this Task Force and any further query/correspondence in this regard may be made with her.
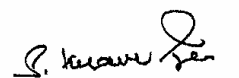
(S. Kesava Iyer)
Under Secretary to the Govt. of India

To

Chairman and all Members of the Task Group

Copy to :

1. PPS/PS to Deputy Chairman/Minister of State/Members, Planning Commission
2. PPS to Secretary, Planning Commission
3. PPS/PS to all Principal Advisers/Sr. Advisers/Advisers/JS(SP)/ Sr. Consultant(RD), Planning Commission

(S. Kesava Iyer)
Under Secretary to the Govt. of India

This manual attempts to set out the systems and standard processes that could be followed for decentralised planning. It aims to provide guidance on how the considerable capacities of line departments and experts can from now on, subserve this process of empowered planning by local governance.

This manual comprises two volumes. The first contains a detailed exposition of the essential principles underlying participative district planning and sets out the steps to be taken at the state and national levels to facilitate participative district planning.

The second volume is a handbook for district planning that lays down the modalities and sequences of processes for preparation of a participative district plan, along with formats and checklists by which the processes can be documented and data provided for different planning units to undertake planning at their individual levels.