

Mid-Term Evaluation of the GoI-UN

Joint Programme on Convergence

Compendium of Innovations and Initiatives

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# INTRODCUTION TO THE COMPENDIUM

The GoI-UN Joint Programme on Convergence (GoI-UNJPC) was launched in the context of emphasis the 11th Five-Year Plan places on decentralized and outcome-based planning for improving effectiveness of development programmes and facilitating inclusive growth as well as the need for achieving MDGs and the outcomes 2 and 3 of United Nations Development Assistance Framework (UNDAF 2008-12). The programme is implemented in select districts in the seven priority States, viz., Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh. This Government of India – UN designed programme is being implemented by the Planning Commission of India (PC) in partnership with UN agencies as well as the various state governments.

The objective is to improve effectiveness of development programmes and to facilitate inclusive growth through equitable participation and benefit sharing by women and marginalized communities at all important decision-making levels in planning and implementation.

One of the important objectives of the Programme is to demonstrate an effective model of convergence in selected districts where an integrated district plan/programme is formulated, agreed upon and implemented with documentation of the process and lessons learnt for replication in other districts.

The Programme is still on-going and most of the initiatives are yet to be completed. Still, there are initiatives and innovations which have the impact potential and could be taken up in other parts of the country. A few of them are given in the following pages. This Compendium of Innovations and Initiatives is being prepared as part of the Mid Term Evaluation of the GoI-UN JPC.

# District Planning and Monitoring Unit: Odisha

## Introduction

District Planning Committees have been designated by the Constitution of India to ensure the preparation of the District Plans in every district. It was envisaged in the 74th Constitutional Amendment that DPCs would prepare plans for the whole district in a participatory manner as per the guidelines issued by Government of India. However, existing planning apparatus at the district level is very weak and cannot provide the required support to District Planning Committees (DPC). To overcome this challenge and to strengthen the DPCs, a lot of efforts have been made by various state governments from time to time.

The Government of Odisha ensured formation of District Planning Committees by Orissa District Planning Act 1998 and subsequent Orissa District Planning Committee Rules 2000. One of the pilot models of a District Planning and Monitoring Unit (DPMU) was set up in Koraput district of Odisha with support from the IDA Programme of UNICEF in 2008. State government recognised this intervention and in the annual report of Odisha government 2009-10, creation of DPMU found a mention. Immediately thereafter, a detailed Government Order (GO) was issued detailing out the scheme of things as to how a District Planning and Monitoring Unit (DPMU) would function and which all functionaries would be part of it.

As part of the GoI-UN JPC, creation and strengthening of ‘District Planning and Monitoring Unit’ (DPMU) in the JPC districts were taken up. The JPC helped to further conceptualise and operationalise the concept of DPMU, thus strengthening the district planning apparatus by providing secretarial and technical support to DPC.

## Process and Rationale

The DPMU was created by a GO of the state government of Odisha. The three important objectives envisaged for DPMU are:

1. To collect, analyze and update the data of districts and sub-districts for generating useful knowledge for local level planning;
2. To provide secretarial and technical support to DPC, Panchayati Raj Institutions (PRIs) and Urban Local Bodies (ULBs) in preparing and consolidating local level plans and district plan;
3. To assist DPC in monitoring and evaluating the implementation of development programmes.

## Composition and Functioning of DPMU

The DPMU works under the overall supervision of the District Collector who is also the Member Secretary of District Planning Committee and Chief Executive Officer of Zilla Parishad. For effective functioning of the DPMU, it was proposed that it would have two main cells comprising of General Planning Cell and Analytical Support Cell. The General Planning Cell was further divided to have two wings-Planning and Statistical. The important role of DPMU is to provide high end analytical and conceptual support to the DPC and other district officials for preparation of district plans. Various government functionaries who would be part of different wings under DPMU were also selected.

What is envisaged: The DPMU would also be responsible for collecting, analysing and maintaining appropriate data base to meet the requirements of district, block and Gram Panchayat level planning. It would also facilitate preparation of district development profiles and district atlas at different periods and making inventories of resources available in the different development sectors including land, water, minerals, forests, skilled and un-skilled manpower and other resources. DPMU would also study intra-district and intra-block disparities in terms of key social, economic and human development indicators. It would also assess infrastructure gaps, preparing shelf of projects and developing Detailed Project Reports (DPR) for the identified infrastructure projects.

GoI-UN JPC has been a key factor in the DPMU being functionally established in the district as was evident from Sundargarh, the demonstration district of the Programme. Compared to a non-JPC district (where the field visit was organised as part of the Mid Term Evaluation of GoI-UN JPC), the DPMU is functional, where as the in the former, it is yet to function as a unit though the GO is equally applicable to both the districts. The JPC team was instrumental in sharing knowledge on how a DPMU could be established. It was later followed up by supporting the DPMU in developing the database. The team also facilitated the DPMU in various analyses based on the data collected. The training on data management, which was one of the JPC components also helped as the key officers involved in the DPMU underwent this training. Above all, it was the motivation, informal monitoring, day to day support whenever necessary and overall coordination in the initial stages by the JPC team which helped in the establishment of a functioning DPMU.

## What has changed since implementation of DPMU

In Odisha, the district plans are prepared every year. Once the DPMU was established, the district plan preparation has become the responsibility of DPMU. They act as the coordinating agency between the line departments, collect data and information and finally prepare the draft document. It is then to be taken to the DPC for approval and thereafter to the state government. This has had an impact on the quality of the district plan of Sundargarh where more detailed and comprehensive data and analyses could be used in the plan.

Office of the District Collector is overburdened with responsibilities and there is lack of support to the District Collector in carrying out planning activities as part of his/her role as the Secretary to the DPC. Since DPMU came into being, the staff engaged in GoI-UNJPC has been providing the analytical and to some extent technical support to this structure and slowly this role is being taken over by the DPMU. They have been instrumental in providing data analyses to the District Collector and also facilitate preparation of district level plans.

While the DPMU is envisaged to support the various tiers of local governments in the preparation of the plans, it has not yet reached that level so far and is functions more at the district level.

## Key Challenges and Replicability

The DPMU has been envisaged to be the main technical unit in the preparation of district plans. The Planning and Coordination Department has been entrusted to guide and supervise the activities of DPMU. However, one of the main challenges facing DPMU is availability of competent and adequate human resources. Also, coordination amongst various departments for planning needs to be strengthened. The model of DPMU can be adopted by other state governments as well considering the fact that the infrastructure for such initiative already exists. It is a matter of merging of statistical and planning wings at district level for effective decentralised district planning. However, a few issues those need attention while creating structures like DPMU are related to effective functioning, resource implication being one of them. Currently, under the GoI-UN-JPC, staff especially recruited for the project (district support officers and district facilitators) is providing a lot of support, as mentioned in the previous section, at district and state level for functioning of DPMU. However, there has to be a strategy and plan to carry on with DPMU even when the support of such staff is withdrawn.

There is still a weak linkage with the DPC. As of now, the DPMU is operationally more linked to the District Collector’s office and not much with the DPC. It is only once the draft district plan is prepared that the DPC comes into the picture and merely as an approving authority. This is also because of the present status of the DPC itself in the state. The relation of the DPMU with the other tiers of the local governments has also been not established. In the long run, the DPMU should be able to fully integrate with the DPC as its secretariat and technical support unit and should have more functional linkage with the local governments, especially in providing technical support and guidance in the preparation of the local plans.

The replicability of the model is very much in evidence as it has already been tried out in other states like Jharkhand. DPC being part of the Constitutional mandate and there is a need for strengthening it by providing appropriate secretarial and technical support, upscaling and even mainstreaming it is of high relevance. This could be linked to the Planning Commission’s Scheme on Support to District Planning (yet to be launched) and in Odisha, to the GO on DPMU. An analysis of the functioning of DPC and DPMU has to be done, based on which recommendations could be made on improving the functioning of DPC and DPMU.

# Entitlement Based District Planning: Bihar

## Introduction

It was in the year 2008 that the Planning Commission of India came out with a comprehensive manual on Integrated and Inclusive District Planning. Despite Constitutional provisions on district planning and various steps taken by state governments in this regard, the planning process did not gather momentum as was envisaged. However, now a stage has come where decentralized district planning is gaining momentum, especially in the GoI-UN JPC districts and states. This has been consistently reiterated in the Eleventh Plan as well as subsequent Guidelines issued by the Planning Commission. Even the Fifteenth Report of the Second Administrative Reforms Commission on ‘State and District Administration’ (2008) draws attention to the implementation challenges of developmental programmes and the role of district planning.

## Rationale for Entitlement Based Planning

In Bihar, despite the best of efforts, the district plans could never be formulated due to lack of clarity on resources available for district and below. The wish list generated from the village level remained a list only in the absence of funds available to carry out activities as listed out at the village level. Keeping the above-mentioned key challenges, Department of Planning and Development with support from UN agencies, which form an integral part of GOI- UN Joint Programme on Convergence, conceptualized the Entitlement Based District Planning to be rolled out in all the 38 districts of Bihar.

Entitlement refers to basic human rights, constitutional and statutory provisions and schematic rights for individual or group of individuals (such as based on educational rights, scholarships, social security pensions, health security, bicycles to students, financial provision for self employment, vocational training etc.); for families (such as housing, food, wage employment, livelihood, sanitation facility, electricity etc). Entitlement includes norms and benchmarking of facilities in any institution (norms of teachers, classrooms, library, toilet, drinking water etc, in a school; types of doctors, nursing staff, instruments, medicines, lab & other facilities required to render health services etc.) and services to be extended by it to the people and the terms of such services. Entitlement also refers to the norms on which a facility (like roads, irrigation facilities, electricity, schools, health centres etc) is to be extended to any area such as village, Panchayat, block, district or group of districts. These norms may include schools in a vicinity of one Km of each habitation, ratio of primary and upper primary school, and road connectivity to all habitations, source of safe drinking water facilities for a population of 250 persons, etc. Further based on the norms of the schemes, entitlement has been classified in following categories:

1. Individual (including group of individuals) Entitelement
2. Household Entitlement
3. Institutional Entitlement
4. Area Based Entielment

To begin with, the entitlements in each of the development sectors are to be defined by the state government. These will be more or less based on the existing schemes or forthcoming schemes of the state government or which can be leveraged from other schemes. In the long run, the entitlements will be based on specific factors which determine growth and human development and the schemes will have to be restructured or new schemes will be launched only on the basis of these. Based on these well defined entitlements, schemes could be dovetailed to ensure their universal realisation. It is expected that as plans would be prepared at Panchayat level, they would be based on the actual requirement within the premise of entitlements. The approach should be to go for universal realisation of such rights and entitlements rather than restricting oneself to certain targets. Such efforts would also be helpful in better monitoring and evaluation and reducing malpractices and also bridging inter regional disparity.

During the actual planning process, some other set of local needs could also be identified which may not fall within the existing premise of constitution and statutory provision, schematic entitlement and resource envelop of the district and down below. Entitlements will differ from individual to individual (men vs women, SC/ST vs. general etc), family to family, institutions to institutions, area to area and thus the real needs of the people are dealt with. With the prioritization of activities to be undertaken and use of funds available under schemes like Backward Region Grant Fund (BRGF) /13th Finance Commission for those activities not falling under predefined heads, activities can still be carried out and/or could also be taken up next year.

## Process for District Planning under Entitlement based Approach

Based on the experience and learning from decentralized planning of other states and making the planning more realistic, two-pronged strategy is adopted to unfold the district planning process to the lowest possible tiers considering the different nature of the schemes:

1. Enumeration of annual requirement of fund at all levels based on the entitlement and norms of the development schemes through a consultation process and assessing the trend of the expenditure and resource outlay of past years
2. Involvement of the community in the planning process, facilitate the process to articulate their needs and creating a ratified shelf of projects; matching the same with the requirement of fund & resources available at all levels

For enumeration of annual requirement of fund and preparing shelf of projects following parameters are to be followed:

1. **Must do (entitlement):**should be part of annual district plan
2. **Can do (entitlement):** should be part of perspective plan of the district as there may be shortage of the resources to address all the entitlement based needs in one year
3. **Provision of Untied fund** to address the local needs which may come up as part of the planning process and these may not be addressed from the resources available under various schemes/programmes

## Advantages of Entitlement Based District Planning Process

* Better assessment of requirement of resources leads to better allocation of resources at district and below
* Feasible to roll out the concept to all the possible tiers
* Better monitoring (planning cum monitoring tool)
* Better implementation of schemes
* Government is better informed about the resources and its application
* Informed decision making
* Less chances of corruption and leakages
* Better People’s participation (less scope for wish list; wide scope for actual needs)
* Outcome orientation in the planning process

## Outcome

The above-mentioned categories of entitlements and concept of district planning is the foundation stone to steer the process of district planning in Bihar. It has been suggested to consider district as a unit of planning for the year 2011-12 and ensure participation of all the possible stakeholders like district level offices, officials, Panchaayti Raj Institutions (PRIs), civil sociteies and community representatives in the annual planning process.

Additionally efforts are also being made to define the state, district, block and Panchayat sector schemes as the district should only plan for the district sector scheme. Over a period of time, modus – operandi would be deviced to integrate the plan, which are being prepared under national flagship promes. This would give an opportunity to estblish sectoral and cross sectoral integration, rural – urban integration and vertical integration.

## Steps taken so far

In the month of November 2010, Department of Planning and Development oriented the key representatives of state line departments, Regional/District Planning Officers, project staff of GoI – UNJPC on the concept, process and formats for district planning and accordingly, the Regional/District Planning Officers convened a district level workshop to orient the district level officials on district planning process under the chairmanship of District Magistrate. Efforts were also made to explain the concept and need to all the District Magistrates/Collectors and their respective district level officials through video conferencing. Also, through consultations and meeting, scheme wise data and information (requirement of fund for each of the district sector schemes) was collected by the District Planning Office and consequently district plan documents were prepared and discussed with District Planning Committee (DPC) in all districts of Bihar.

While this is an initiative of the Planning and Development department of the Government of Bihar, the support in designing the programme, formulating guidelines, orientation to officials and overseeing the initial activities have been provided by the GoI-UN JPC team.

## Challenges and Adaptation of this model by other states

Based on the experience/learning from district planning, the need for having a dedicated team of government officials and professionals to provide strategic support to District Planning Office to unfold the process of district planning to the lowest tiers is very important. It is here that the role of DPMU comes and should see how it could be established. For realistic and efficient planning based on the entitlement based approach, it is also imporntant to have a detailed accurate status (district wise/ block wise/ Panchayat wise) against each of the entitlement and norms articulated under various schemes which in itself is a major challenge. A template needs to be developed to get the status from state level line departments and all the districts to have a comprehensive baseline to understand regional disparity. As far as adopting the same process by other state governments, it could prove to be a very daunting task due to nature of variuos schemes supported by central and state governemnets which focus on certain marginalised sections of the society.

It would also be challenging to prioritize allocation of resources based on the prioritization of promes to be taken up based on the demands of the district. With regard to adaptation by other states, as a strategy, it could be adapted keeping state priorities in mind. However, political will and ownership to implement such schemes could pose a bigger challenge.

It is to be noted that this approach is only in its vey preliminary stages in Bihar, the basic conceptualisation has been completed, but more needs to be done. A pilot intevention in one of the districts should be taken up to list and map the entitlements, their linakges with the exisiting schemes, the gaps and limiatations of these schemes in addressing these entitlements and how appropraite changes could be brought about in these schemes. At this stage, the need is to learn from other initiatives of similar kind existing anywhere. It is here that the GoI-UN JPC could provide support by way of sharing experiences from across the world on the various initiatives, especially those on acheiving MDGs like the family based MDGs. It also requires techncial support for defining MDGs at various levels, methodology and tools for ascertaining them and for rolling it out in at least one pilot district.

# Community Monitoring Chart: Satna, Madhya Pradesh

## Introduction

Community monitoring is essential for empowering the poor as through this process communities measure the quantity and quality of essential public services and other government activities. It is not about collecting data on government performance but it is a process to strengthen the relationship between citizens and the state by informing people about their entitlements and the tools to ensure their entitlements. It is also important to link this with the decentralised planning process as the people’s ownership and participation is dependent to a large extent on the actual realization of the entitlements which is made explicit through community based monitoring.

Satan district in Madhya Pradesh is one of the GoI-UN JPC districts. In order to integrate and address concerns of local communities in the planning process, Community Based Monitoring System has been devised to evaluate the communities’ access to basic minimum services in Satna. It intends to provide a set of relevant information to vulnerable populations which include poor; women and tribes on implementation of schemes and programmes. In order to improve the evidence-based planning and to provide the feedback on implemented pros the initiative seeks to provide answers to the very basic questions like what is the current situation, how many households are being targeted, which households are being left out, etc.

The district of Satna was one of the five convergence districts under GoI-UN Joint Pro on Convergence in Madhya Pradesh. At the behest of the Government of Madhya Pradesh, under Capacity Development of District Planning Project (CDDP) supported by UNDP, the Community Monitoring Chart (CMC) has been devised to improve service delivery by convergence of funds, functions, and functionaries in planning and implementation. It is being reported that this process is helping the departments to prepare micro plans to implement the scheme/ pro as per the expressed needs of the local community.

As prevalent in most districts, the field level functionaries of various departments such as health, education or those responsible to provide subsidized ration to the poor families (Public distribution system) do not feel accountable to the citizens. Similarly, poor villagers are unable to receive due benefits such as subsidized food and other services as a result of which the performance on MDGs attainment is low in the district.

Therefore, to address this situation and meet the pro objectives under the GoI-UN JPC, the awareness generation among the people about the basic services and the state of vital indicators which are affecting their quality of life, was taken up. Monitoring of these indicators and analyzing the factors affecting these can be used as an advocacy tool by the people to demand the requirements which are need based and justifiable. Community Based Monitoring Chart has been introduced as an important component in order to ensure that the services reach those for whom they are meant. It is an important means to promote accountability and community led action in all development work undertaken in the district.

## Objectives of Community Based Monitoring Chart

* To provide regular and systematic information about community needs, which will be used to guide the planning process appropriately ;
* To provide feedback according to the locally developed yardsticks, as well as on some key indicators;
* To provide feedback on the status of fulfillment of entitlements, functioning of various levels of service delivery system and service providers, identifying gaps, deficiencies in services and levels of community satisfaction, which can facilitate corrective action in a framework of accountability;
* To enable the community and community-based organizations to become equal partners in the planning process;

**Process**

The district administration introduced “Community Monitoring Chart” to initiate the community monitoring of essential services. It is a community based monitoring tool which gathers information on vital indicators at the Gram Panchayat level and places this information at a public space and ensures regular updating of data by the Gram Panchayat level officials through community involvement. The tool in its current form covers the following services and corresponding development indicators at the Gram Panchayat level:-

* Deliveries by Skilled person(Nurse/Trained TBA)
* Birth registration and Certification
* Girls Enrolled in Primary and Middle school
* Children Enrolled in Anganwadi Centers (ICDS centre )
* Malnourished children at Anganwadi Centers
* Village Health and Nutrition Day
* Construction of Household toilet and its use
* Complete Immunization
* Diarrhea and use of ORS
* Job card status in MGNREGS
* Status of Source of drinking water/Hand pump.
* Status of Toilets

The district initiated the Community Monitoring Chart process in all the 93 Gram Panchayats of Sohawal block in the month of January/February 2011. A community monitoring chart is placed at the designated Panchayat Bhawanand is updated at Panchayat level. Data is collected from villages and compiled at Panchayat level and then filled up in the monitoring chart. The process is supervised by the Gram Panchayat*.* The Auxilliary Nurse Midwife (ANM), ICDS supervisor, *Sachiv, Sarpanch*, *Rozgar sewak*, ASHA, and Anagnwadi worker (AWW) provides all the relevant information to the *Panchayat Sachiv*, who is responsible for compiling and updating the chart periodically. Extensive support has been provided in building the capacity of the Panchayat level functionaries on concept of Community Monitoring Chart**,** developing the linkages between the departments and Panchayats, community mobilization/awareness and tracking the progress at the field. The district organized training for Panchayat level functionaries which was attended by the elected representatives, ANM, ICDS supervisor, *Sachiv, Sarpanch, Rozgar sewak*, ASHA, and AWW.

## What Changed and How

A few examples of community action due to the chart have been reported. One such example is of Raigaon village, where the Anganwadi Worker was removed because of high prevalence of malnourishment. The action was taken when the information was put in the CMC and the villagers questioned the efficacy of the anganwadi centre.

It is well established that the most important inputs on what, where and how public services are needed and should be provided or improved can be given most efficiently by the users/ beneficiaries of the services themselves. Community based monitoring places people at the centre of the process. Community Based Organizations (CBOs), people's movements, non government organizations and Panchayat representatives monitor demand/need, coverage, access, quality, effectiveness, behavior and presence of service provider at service points, possible denial of care and negligence as well as directly give feedback about the functioning of public services, including giving inputs for improvement. This has enabled people’s participation in monitoring resources and direct dialogue with service providers and officials. The platform ensures accountability as well as transparent practices.

## Challenges, Lessons learnt and Replicability

It is being realized that the transparency and accountability within the basic service delivery system will not be possible unless, citizens demand their rights and keep vigilance of the services and commodities legitimately meant for them. A committed and persisting district administration could only translate it to a sustainable system. It can be adopted by other districts as well provided adequate capacity need assessment is undertaken before implementing the process. In the absence of sensitization on the benefits of such processes, the chances of community not owning the process becomes very high.

While the chart provides information about various aspects through indicators mentioned earlier, it does not provide the reasons for the status. How this could be addressed is to be considered.

As of now, the involvement of the district administration and the role played by the GoI-Un JPC team in monitoring ensures the updation of the Community Monitoring Chart by the officials at the Gram Panchayat level. However, a system has to be developed to see that it continues and this requires the approval of the same by the state government through formal GO and later through Rules.

As the process has been initiated recently, the objectives of the CMC as mentioned earlier have not yet been completely achieved. For example, the Chart provides information but it would take more time for it to see that the community and the CBOs are empowered to be equal partners in planning and development. CMC is only one of the tools for this. It is required that the initiative on Community Monitoring Chart is further strengthened. This can be achieved by considering the following points:

1. Monitoring objectives and indicators should be developed in a participatory manner to ensure they resonate with the community needs, priorities and aspirations.
2. Relationship should be built with those being monitored like the concerned officials and departments.
3. Meetings should be organized with marginalized sections also of the village to ensure that all are represented and all data collected should be disaggregated across gender, age, religion, ethnicity, and differently abled.
4. Active involvement of field service providers, Officials, Panchayat Raj representatives, Community Based Organizations/ NGOs/ Peoples Movements and villagers as part of Monitoring and Planning Committees at Village needs to be strengthened;
5. Building capacities of the youth group and above committees to undertake effective monitoring. Basically, how to do monitoring on a regular basis and how each of the activities could be followed up have to be emphasized.
6. A system has to be developed and implemented at the district and local levels for taking action on the decisions taken up by the Gram Sabha in order to institutionalize community monitoring process within PRI system.

# Change Management and Institutional Transformation: Sundargarh, Odisha

## Introduction

Change Management is seen as a process of negotiating, mediating, facilitating, stabilising and sustaining a self determined shift in government officials and elected representatives in their attitudes, perspectives and approaches and responses to restore dignity, redefine development and reclaim democracy.

As part of the GoI-UN JPC and of the UNDP component, the process of change management was implemented in Sundargarh district of Odisha, which started with sensitisation of district level functionaries. The focus of change management exercise was to bring about a shift from ‘doing for’ to ‘doing with’; exercising ‘power over’ to exercising ‘power with’ and finally to ‘being an official’ to ‘being a co-citizen’ with the people in relation to officials/functionaries at the district level. It aimed to bring about changes in the way the district officials perform with regard to planning and implementation by changing their mindsets, attitudes and perspectives. The change management also aimed at changing the institutional culture and transforming the relationship between the bureaucracy and the community.

**Thrusts:**

1. The first thrust consists of the re-discovery of the ‘identity of the citizen, by the government functionary, the change in the attitude of the functionary towards his task, role and relationship with other citizens, the rise of voluntarism to replace compulsion, the simulation of collaboration rather than competition, growth in conscious participation to replace subtle coercion, the belief in a common future of the functionary and the people.
2. The second thrust lies in institution transformation, and institution that inspires rather than compels that motivates rather than punishes, that promotes creativity rather than enforce conformity that celebrates achievements of its members rather than downgrades enthusiasm that forces newer and newer forms of co-operation between functionaries creating new synergies in people. In doing so, change management is a powerful method that strengthens government even while it enhances good governance.
3. In this process, the process addresses the need for improvement in service delivery, emphasizing the importance of convergent planning.

## Process

The process of change management exercise comprises of various components. First of all, a rapid assessment (RA) study was undertaken by the change management team interacting with various stakeholders, mainly officials concerned, to understand the planning process and governance system in the district. The RA study critically looked at various aspects of district planning such as planning process, skill and knowledge of officials, elected representatives and community. It also looked at the aspects related to cooperation and collaboration among different departments, convergence, participation of community and officials in planning and implementation process, inclusion and equity, sustainability, transparency and accountability and gender component etc.

Thereafter, district level workshops were organized on themes related to context of planning and governance; building consensus and commitment; strengthening involvement in community participation and consolidating convergent action. They included i) Democratisation of governance : Improving service delivery ; ii) Water security & Food security through NREGS; iii) Decentralised, participative and Integrated Village/ Panchayat plan; iv) Improving infrastructure in work areas ; v) Implementation of Forest Rights Act (FRA)

The concept of ‘Koodam’ was used by the workshop participants during and beyond the workshops. ‘Koodam’ literally means ‘gathering place’. To put simply, it is the space where the community at hand participates freely in a non-hierarchical manner to discuss and decide by consensus on key issues on the anvil. The concept and its practice enabled the participants to address multiple issues in a nonthreatening, warm and caring interactional context, which at the same time helped collective reconfiguration of personal relationships. It is aimed that Inclusive and decentralized planning becomes a ‘way of life’ in Sundargarh although it may be limited to preparation of perspective plans. District line departments have invariably started basing their annual plans upon prioritized components of the district perspective plan in close coordination with the DPC. Elected representatives and communities were involved in the planning of available resources and their utilisation through plan implementation. Adequate and structured participation of disadvantaged communities and women in the planning process is recorded and plan outputs match the expressed needs/rights.

The broad theme of change management process focused upon service delivery, water and food security, implementation of Food Rights Act, infrastructure and village/ Panchayat plan. The objectives of this exercise were- to provide services in an effective and people friendly manner; to work towards ensuring water and food security in selected villages and Panchayats through National Rural Employment Guarantee Scheme; Identifying eligible claimants and enabling completion of claims process by complying with all procedural requirements; Creating basic infrastructure in work areas with or without government funds; and to prepare a comprehensive, need based, participatory village/ Panchayat plan.

While the process started with district level workshops, it will have to be followed up with interactive sessions in the concerned offices, rapid assessments on various service delivery processes, engagement with the community and many other formal and informal steps. One of the early decisions in the workshop was that each of the participants of the workshop will try to motivate at least ten colleagues in their departments to be part of the change management processes, through regular interactions and knowledge sharing.

## Achievements

Officers who attended the various sessions have gradually understood the philosophy of change management and taken forward initiatives to effect change in their functioning. Perceptible changes were seen in work culture of the education officials at the district level, in revenue officials in addressing issues of land rights and ICDS functionaries in their effort to arrest maternal and child mortality. This has also been reflected in their and their department’s involvement in the convergent decentralized district planning initiative. They are part of the various task forces which have been formed to ensure convergence.

Its potential in improving service delivery and forging convergence is already evident. The following two examples would be evidences to prove this point:

*“As Tahsildar, I wanted to do good things for the people. But, I was thinking only in terms of my own department and tasks. Now, I understand the interlinkages, why I should bring other departments together in some of my activities, how it could address some of the issues like poverty etc.”, thus spoke an official who has been attending the Change management workshops.*

*Visit to a district level office of a department showed how the office has become ‘people-friendly’, with clear guidelines pasted on the wall on what are the services rendered, how people could access them etc. In addition, the entire office system has been reorganized to cater to help in such interface with the people. The officer has been attending the Change management workshops and he said, “I wanted to do something like this, the workshops provided more insights, on why this should be done and how”.*

The workshops resulted in creating positive work environment; enhancing employee morale; streamlining payments; improving work culture in office and schools and water and food security in schools. A few such example are: Water harvesting structures were renovated through innovative use of available development funds and by raising donations in Koida Gram Panchayat. In another Gram Panchayat, 1000 papaya seedlings were planted through collaborative, convergent exercise involving SHGs and Horticulture department. In another village a compound wall was constructed through contributions in kind (bricks, cement, and water); labour and money from the community and Panchayat. In a community health centre in Kutra, piped water supply has been provided to all parts of the hospital through a convergent exercise involving NRHM and the Panchayat. Health camps, renovation of tanks and repair of lift irrigation were some of the other works that were undertaken through collective efforts.

## Challenges and Way Forward

It is not yet time to analyse whether the objectives of change management are being achieved as it is in its very preliminary stages. Only two workshops were completed at the time of field visits many more steps are involved. For changes to happen in the system and to make it sustainable, it takes a long time, involves many people at various levels and a lot of motivation and political will.

Change management cannot happen in isolation. In the GoI-UN JPC, it is designed to be integrated with the decentralized district planning process. It is important to ensure this integration during the process of change management.

Decentralized Planning has to be followed by effective implementation. That is where the change management becomes more effective and useful. Also, it is important to include all stakeholders concerned in the process of change management for sectoral issues to be addressed through this process. The vision of change which emerges in the process is an important instrument to motivate and gear up the change makers. At the same time, actionable and realistic work plans which can move in tandem with the existing duties and responsibilities of the change makers would help achievements and maintain momentum. The internal catalysts from within the groups of change makers are the key movers. They need to be nurtured and should be part of the leadership of the whole process. Capacities of this small group of catalysts need to be built which is to be systematically worked out. This would require special efforts focused on them. At various government levels, separate efforts need to be made to ‘convert’ key decision making people. Interface with the ‘Koodam’ has been found to be very effective in this respect. Learning relationships with other sites / actors of change in comparable situations are useful in terms of complementing learning and suggesting new ideas for innovations in facing challenges.

In order to make this process sustainable, the higher levels of the line departments have to be brought in to understand the process. Many changes are related to those levels too. Moreover, many changes would be required at those levels or in the system as such to make changes possible at the lower levels. As the initiative has shown some early signs of positive results, it is time to bring these players also into the fold. Role of district administration including the District Collector, DPC, elected representatives etc also have to be ensured.

As this is being implemented as part of a larger Programme, GoI-UN JPC, the linkage could be established with many other initiatives of the JPC like the PAHELI, DPMU, Community Monitoring Card, Flagship programme analysis, HR analysis, budget tracking etc.

# Model Village: Gumla District, Jharkhand

## Background

Government of India - UN Joint Programme on Convergence is being implemented in Jharkhand since April 2009. One of the key objectives of GoI – UN JPC is to provide support to achieve Millennium Development Goals (MDGs) at district level through decentralized, integrated and participatory Planning and Convergence of development programmes and schemes.

A review-cum-planning meeting of project was organized at Ranchi in August 2009 to discuss the project activities, MDGs, convergence of various development schemes, model village / Panchayat. As there was no concrete or real example of demonstration of convergence available at that time, the district and GoI-UNJPC team discussed the idea of experimenting convergence in Gumla district. They shared the discussions of GoI – UN JPC meeting with Deputy Commissioner (DC) and other govt. officials of Gumla district. In the same month, a decision was taken in DRDA management committee meeting of Gumla to experiment with the convergence approach in a village. For these two villages, Jhargaon and Tilwari, were selected. “Jhargoan” was selected for “Model Convergence Village Initiative” based on the following criteria:

* Accessibility to the village from district headquarter;
* Availability of some basic infrastructures;
* Presence of tribal population;
* Community already organized (presence of women SHGs) to certain extent and evidence of people’s participation in some earlier govt. schemes;

Tilwari was selected due to it being farthest from the district headquarters.

Based on the overall objectives of the programme, following key components for Model Convergence Village Initiatives were decided upon:

* To develop a few villages as laboratories of convergence where all the communities, Government departments, Non Government Organizations (NGOs), Banks, Private agencies and other stakeholders came together to work for the overall progress of the villages;
* To develop a need based comprehensive village development plan by the villagers with technical support from govt. departments and NGOs;
* To implement the plan in the time bound way with sufficient ownership and partnership of people;
* To demonstrate a model for replication in other villages of the district;

## Process

Initially a survey was conducted with the help of the village volunteers. The condition of the village was analyzed following the base line survey and ideas were shared with the department heads at the district to formulate an action plan for the next steps to be taken up in this direction. It was agreed that the plan for the village will be developed on the basis of certain indicators agreed upon by the community. In the next phase district level officials visited the village and had initial interactions with the community including mahila mandals and pradhan. These meetings were held in series and the officials went round the village to observe the various prospects of development related to their departments, like irrigation, agriculture, horticulture, animal husbandry, education, health, nutrition etc.

The GoI-UN JPC team supported the district administration in the overall implementation of the programme in various capacities like in coordination, knowledge support, design of the initiative, training, data management and communication. District representatives from NGOs like PRADAN also participated in the process and took the responsibility of community organization and identifying and preparing beneficiaries for various livelihood opportunities. Banks played their role in organizing the farmers and other entrepreneurs to link them with the various schemes and benefits available with them.

Exposure visits were conducted for the selected community members, youths and Mahila Mandal members of the village to other parts of the district where good activities and initiatives had been taken up by the villagers and SHGs on livelihood such as vermi compost, fishery, lemon grass production, agriculture and horticulture, poultry and other social issues. The process went on with regular visits of officials from the district and block to the village for developing the proposals for different development issues with the villagers and then getting approval through the Gram Sabha. These plans were compiled to develop the village plan. Seeing the success of this initiative, the model convergence village initiative was later termed as Total Village Development Programme (TVDP) by district administration.

## Steps taken for taking the initiative forward

1. **Community Mobilization and Capacity Building**

In order to enhance the capacity of the community and other stakeholders, a series of exposure trips were organized within the district. District officials and community members, farmers, SHG members were taken to other villages of the district wherein exemplary works have taken place in diverse fields, for example agriculture and horticulture, irrigation, community organization in form of SHGs and cooperatives, poultry, vermi-compost, fisheries etc. Also, film shows on successful model villages like Hiwere Bazar, Maharashtra were shown to motivate them. Ongoing capacity building with support from NGOs like PRADAN on issues of community organizations, strengthening Gram Sabhas etc. was conducted. Other trainings were imparted on livelihood pros of piggery, fishery, and dairy by the concerned departments.

A pre-pro preparatory stage of about six months was carried out in which a series of activities were conducted. This comprised visits of the district planning team to the villages, series of meetings with the SHGs and community members and transect walk of the village areas. In order to prepare a baseline and status of the village a survey with the help of some village key persons and departmental front line functionaries was conducted. PRA mapping exercise was conducted with the involvement of the villagers to identify resources and needs. Meeting of all district level officials, lead bank officials, BDOs, and NGOs for sharing the village survey data, setting indicators and developing action plan was conducted. Regular visits of district/block level officials to the villages were conducted for meeting with the Gram Sabha, SHGs and community members to find out the need based proposals for their respective sectors and getting approved by the Gram Sabha. These plans were then compiled to make the village plan with components of convergence.

1. **Strengthening of SHGs and Farmer’s Club/Fishery development Co-operatives**

The important strategy to execute the TVDP was to mobilize the community. The villages had a few SHGs but in a much unorganized state. The support of local NGOs was taken to strengthen them by regularising their meetings, developing accounting systems for thrift and credit and helping them make and enforce necessary rules and regulations. As a result, the SHGs became functional and useful over a period of few months and almost every family became associated with one SHG or another. Today there are 11 organized SHGs in Jhargaon and 3 in Tilwari. Also, the banks came up to form the Kishan (farmers) clubs in the villages under a scheme of NABARD. The villagers of Tilwari were organized in form of a Fishery Development Co-operative Society through the District fishery department, as this village was identified to have substantial prospects for fishery development due to the existence of the big Tilwari-Jaipur water reservoir.

1. **Village Development Committee (VDC)**

Initially the Village Development Committees were formed with the entire community selecting the members and its office bearers. The traditional village head known as Pradhan was unanimously decided to be the chairman of the Village Development Committees, while the secretary, treasurer must be a woman member, and the other members were selected by the community. Now these committees are the prime body to plan, execute and monitor the works of the village plan. They are now capable of conducting the Gram Sabhas to discuss and take decisions on the vital issues of the village. The accounts of the Village Development Committees have been opened in the banks and the govt. funds for the development works are transferred to these accounts. The department officers provided technical support and monitoring in the whole process.

## Focused areas of intervention

Gumla district is predominantly inhabited by ST community. The prime occupation of the community is agriculture and allied agro-forest based activities. Animal husbandry in the form of piggery, goat rearing, poultry and fishing are in practice but with very traditional approach. Benefits from various schemes were made available to the farmers as part of the new initiative. As part of the initiative, identification of beneficiaries was conducted through the Gram Sabhas. Also, improving the quality of education was stressed upon by involving the community. As Gumla district has been identified as a malaria and filarial zone afflicted with other ailments too, timely availability of health related activities are planned and implemented. The development of basic infrastructure was also planned and executed.

In addition to this, in both the villages, the village information centers were initiated as it was felt that the awareness and access to information to community play a crucial role in the process of development.

## Achievement

The glimpses of success and acceptability of the model village development pro is indicated through some of the initiatives taken by the villagers on their own. This also shows a paradigm shift in the perception of the community towards development. The community has taken the initiative towards making their villages fully literate. The youth groups of the village volunteer to achieve total literacy in their respective villages. In both the villages they have started drives to keep the villages clean.

Participatory village sanitation campaigns are organized in this direction. For this, community members come together to clean the streets, pathways and drains every week on certain days. The district administration has planned to develop the model villages with solar system based drinking water supply for all the households here. The Village Development Committee will be capacitated to implement and maintain this system through a water user committee, where the users will be contributing the charges periodically.

In the second phase solar lighting systems will also be installed in these villages, covering both household level and street lights. This will start with provisions at the central places of the villages, namely the Anganwadi Centre (AWC) and the Multi Purpose buildings thereby fulfilling the felt need of the community who said that their children are unable to study at night due to unavailability of electricity supply. On provision of the solar lights these children will be able to continue their studies at these places at night. This initiative triggered series of actions in many spheres. Its effects can be mostly felt at the village level.

Significance of this model is that it was experimented at a time when elected PRIs were yet to be in place in Jharkhand. Thus, it gave space and opportunities for community participation in village development. The District Collector and the district administration played a key leadership role in the overall implementation of this initiative. GoI-UN JPC provided the appropriate space and environment for such an initiative and as mentioned earlier the JPC team supported the district administration in the overall implementation of the programme in various capacities like in coordination, knowledge support, design of the initiative, training, data management and communication. There are many similar initiatives tried out in many states. In order to replicate or upscale such models, it is important that these models are studied and the learnings from them be consolidated. This will help the state governments to come out with guidelines for such village level planning.

**Some other Important Changes**

* There is a visible change in the community as people in these villages are more organized, proactive and open to the development process.
* They have come closer to the district administration and able to identify their problems and needs collectively.
* A sense of ownership towards the assets being created in their villages has developed.
* Community leaders, Panchayats representatives and local government functionaries have played strategic and front-running roles in the process of planning and execution of different activities.

## Challenges and Future plans

The positive indicators for replication of the initiative in wider area of coverage has started emerging, as some of the villages are approaching the district administration with proposals to support them so that they can also adopt the same processes and make their villages as model villages. Secondly, the district administration has also adopted the convergence model village initiative and has planned to take up 50 villages across the blocks to make them model villages. A set of indicators/criteria has been developed and the selection process is in progress. The funds under the Integrated Action Plan (IAP) for these villages will be utilized for these interventions. Since the much awaited Panchayat elections are over now, the elected representatives from the villages will be playing their due roles in the process so that decentralized planning and local self governance system gets strengthened. However, the role of Panchayats in relation to village development committees needs to be clearly defined to avoid conflict.

# PAHELI: People’s Assessment of Health Education Life and Livelihoods

## Background

Strengthening service delivery is a key strategy to achieve MDGs. This includes the delivery of interventions to strengthen delivery of interventions related to health, education, drinking water, sanitation etc. Efficient and effective service delivery is a key requisite for effective governance. Access, utilization, availability and coverage are essential to determine whether people are receiving the services they need. For monitoring service delivery, community monitoring is a tool to pin down social and public accountability and responsiveness from service providers. Community empowerment process is a strong instrument for empowerment of people.

Under Government of India – UN Joint Programme on Convergence (JPC), implemented by the Planning Commission (PC) in partnership with State governments and State planning departments in seven UNDAF States (Uttar Pradesh, Orissa, Madhya Pradesh, Jharkhand, Chhattisgarh, Rajasthan and Bihar) an innovative pictorial community monitoring tool has been rolled out to gauge the effectiveness of service delivery and development programmes and to facilitate inclusive growth by ensuring participation of disadvantaged social groups. For decentralized planning to be effective, it is important for people to have strong capacities for assessing the status of key indicators on human development locally. These tools and processes help citizens to measure MDGs. The status reports thus generated can help stakeholders and service providers to identify gaps in service delivery and in prioritization of needs. The availability of tool kit helps in assessment of status of key indicators. It will lead to strengthening the bottom-up process of district planning by demonstrating inclusive and participatory methods.

In this context, a community monitoring tool- People’s Assessment on Health, Education and Livelihood- ‘PAHELI’ was first developed in the past by PRATHAM Mumbai Education Initiative under the Strengthening State Plans for Human Development (SSPHD) project. The PAHELI project attempted to develop and pilot indicators and user–friendly processes that could be used by ordinary citizens, leading to a basic District Report Card. PAHELI aimed to facilitate this process by three following ways:

1. Developing basic “tool kit” that can be used by ordinary people to understand the status of basic human development in their locality;
2. Developing a simple set of processes that can be used by citizens to generate their own information in order to understand the current status of human development in their area;
3. Designing simple ways so that the status of human development indicators could be understood by a wider local cross section of the population in a district.

This exercise was based on experiences and learning’s from ASER 2005 and 2006 (Annual Status of Education Report) that was facilitated by Pratham for all rural districts. PAHELI was undertaken in 11 most backward districts across the country and was undertaken in 2006. In the second phase, PAHELI was rolled out in 60 villages in one pilot district of each of the UNDAF States (Hardoi in Uttar Pradesh, Sundargarh in Orissa, Udaipur in Rajasthan, Gumla in Jharkhand, Raipur in Chhattisgarh, Nalanda in Bihar and Rajgarh in Madhya Pradesh) in 2011 covering 20 sample households in each village. This initiative was supported under GoI-UN Joint Convergence Programme. This was a much enhanced version of the earlier PAHELI tool and additional indicators related to the national goals and MDGs were added in order to capture impact of new schemes and programmes. This tool also contained indicators related to PAISA2 (Planning, Allocations and Expenditures, Institutions: Studies in Accountability) for fund tracking and fund accountability to help understand how to strengthen accountability frameworks through participatory tracking of fund-flows and expenditures. New PAHELI also had village facilities observation component.

## Process

Key indicators were designed that directly affect the day to day lives of people, but which can also be linked to national goals and to the MDGs in consultation with agencies concerned. The decisions around the indicators that were used in the actual tool kit was made keeping a number of key features in mind: features of households or facilities that can be observed or measured easily and used by common people at the village, block or district level, and the need to have available data on a particular indicator, either because it is not usually collected or because it is not usually collected at the household or village level. The biggest challenge was to keep indicators aligned with measureable MDGs on the one hand and linked to key social sector pros on the other. At the same time, the actual measurement and analysis must be doable by ordinary people.

The key to the success of PAHELI was the balance that was built between rigour and simplicity. PAHELI was carried out by one local organization each at district level. In each district, 60 villages were selected using PPS sampling techniques. Within each selected village 20 households were randomly chosen again using an appropriate sampling technique. This process leads to survey of 1200 households per district. The main primary data collection effort will result in development of district and village report card which is primarily a census and will provide a status of key human development indicators in the village.

PAHELI used a questionnaire-cum-observation survey sheet at the household level and a questionnaire cum observation schedule at the village level. Pictorial sheets were used for higher engagement of respondents and of people in the community. Equipments such as drinking water testing kit, electronic weighing scales, measuring tapes and Iodine displacement kit was also used. To carry out the survey effectively, it was imperative to focus on training of the Master Trainers as well as volunteers involved in the survey. A two tier training regime was meticulously planned for the same. The main objective of the workshop was to pilot the tools and come up with a doable version of the tools. The training venue was chosen such that rural areas were easy to access on a daily basis. The basic plan of the training was to combine classroom discussion sessions, field work and feedback sessions. Each domain or sector to be covered in the survey was dealt with in this manner. This enabled the participants to get a conceptual understanding of the sector, how the measurement was designed, and the suggested method of data collection. Each group of 4 or 5 participants was assigned a different village. The field work was done by the entire team on a daily basis and the detailed feedback sessions conducted very evening led to the formulation of the final form of the tools. The first day was the classroom session where the group went through the household indicators. Beginning from the concept of various human development domains, the group was oriented to the key concepts in each domain. Tools developed around the indicators in each domain were explained to the group. On the second day the group went to the field for the pilot survey. The entire group was divided into teams of 4 to 5 members. The teams were sent to separate villages to pilot a section of the tools developed. Third day the group was trained in facility section of the project and water component. Fourth day the group went to the field again for the pilot survey. Last day, the group worked on the district level budget, discussed about Partners and other logistics for the district level workshop.

PAHELI currently envisages assessment and action at several levels. The primary data collection activity centered on the process of generating a “report card” which is used for sharing and dissemination of the results at the village and district level. The different levels of assessment, analysis and action are:

* Household level: Indicators and measures that focus on understanding status at the household level. Analysis of household status will lead to possible suggestions for action that households can undertake by themselves (e.g. more effective nutrition to children, methods of keeping water clean, better health practices at home) as well as actions that they can do to demand better services (e.g. better learning in schools, better service in health centres, demanding that school grants come on time and are spent effectively, etc
* Facility level: PAHELI assesses the current status of the functioning of various facilities and will feed the information back to the village community and also to the relevant government departments at different levels. These are schools, anganwadis, health centres, PDS centres, NREGA worksites, etc.
* Fund flows: Tracking allocations and fund flows to village, Panchayat, block, district levels for different sectors and then tracking expenditure patterns and decision making are essential components of the PAHELI- 2011. Funds are critical to the functioning of any service delivery. How much is allocated to what, who decides, when it flows to where, what is achieved with the funds - all these are essential components of any pro. Understanding how funds flow from the state level to the village level is a key ingredient of any social sector pro.

## Challenges

Advantage of PAHELI is that it is simple, can be understood by everyone in the community and can be done at the local level without highly trained people. It also relates its contents to the local level aspects. The current version of the PAHELI tool does not have a strong component for building capacities of local communities and local governance institutions for doing this exercise on their own. The role now being undertaken by the local NGOs have to be transferred to the volunteers from the Gram Sabha. They have to be trained to use the PAHELI tool. Therefore, the challenge remains as to who would implement this programme in future once the GoI-UNJPC is phased out.

Funds flow tracking has been difficult, though the tool provides scope for it. It was learnt that most of the departments refused or were reluctant to share the information on fund flow. Unless the higher authorities in the concerned line departments insist on sharing this information, it would be difficult to obtain it.

Also, another important challenge would remain as to how the community should be capacitated to use the tools and analyse them on their own and generate report cards for their own villages/ Panchayats. This, while being very challenging, holds a lot of promise and can be mainstreamed into larger government system for citizen monitoring/tracking. Local district governments should ensure that regular feedback from communities is taken so that the findings can be integrated in the district planning process. Capacities of district officials and community based organizations should be built to undertake the exercise on a sustained basis.

PAHELI’s importance in district planning has to be established. Otherwise it would remain as a standalone activity and will become unsustainable. For this, it has to be ensured that the situational analysis of the district plan has feedback from PAHELI. At the local level, the Gram Sabha guidelines should have the presentation of the PAHELI report as a mandatory agenda. One of the Gram Sabhas could be earmarked for discussing PAHELI report, where the presence of the concerned officials from the line departments also to be made mandatory. Action taken report on the PAHELI has to be presented by each line department and local governments in the Gram Sabha as well as to the DPC.

# Village and Urban Ward Index Card: Chhattisgarh

## Introduction

One of the major objectives of Government of India –UN Joint Programme on Convergence (GoI-UNJPC) is to strengthen the capacity of districts so as to make them capable of developing their own Decentralized District Plan. This primarily requires strengthening of District Statistical System. Keeping this in mind, the Village and Urban Ward Index Card initiative was successfully executed in Rajnandgaon district of Chhattisgarh. This was replicated in the district of Mahasamund.

One of the priority issues to be addressed was strengthening the state/ district statistical system which would ensure availability of reliable data for creation of district and sub-district level indicators pertaining to Human Development. In the context of decentralized planning, village level data is required to be collected and compiled for formulating District Development Plans. However, there is acute shortage of advance technical knowledge and technological inputs required for collection and analysis of various Human Development and MDG related indicators. As a result, crucial human development (HD) and MDG related data at sub-district and below level (Gram Panchayat and Village) are not available. This results into lack of proper understanding, and analysis of data which are essential for planning and development. The situation is even worse in the case of urban data. There is no single platform which could show all sorts of data at one place so that a holistic view could be taken. No software for comparative analysis of various development indicators is available for urban planners. To address this problem, the initiative of developing Urban Ward Index Card was taken up.

The Village Index Card (VIC) and Urban Index Card (UIC) is a single and simple source of village and urban ward level information. The broad objectives of creating VIC and UIC are:

* Creating a single source of village and urban ward level information for planners, researchers and government agencies
* Developing a tool for district planning
* Supporting District Statistical System
* Enabling effective monitoring of MDGs
* Comparative analysisat sub-district level
* Providing Gender and Social disaggregated data
* Creating a tool for baseline, monitoring & evaluation

Important features of Village and Urban Ward Index Card:

VIC/UIC Key Features:

* Single source of village and Urban Ward level information;
* Strengthen and assist in better district planning by providing HD and MDG related data;
* Support to District Statistical System, easy analysis of available resources;
* Effective monitoring of MDG status;
* Comparative analysis at sub-district level;
* Availability of Gender and Social categories disaggregated data;
* Availability of information for any target oriented development initiative;
* Reliable and authentic source of data at sub-district level;

## Process

The process started with state level consultations on VIC and UWIC and preparation of its reports. It was followed by district level sharing workshops. The Village and Urban Ward Index Card were pre- tested and then finalized in consultation with various government departments and stakeholders. Later on training programmes were also organized for ‘preraks’ and Anganwadi workers on data collection through master trainers. Software was developed to facilitate entry of data collected and this software was installed in Panchayat Resource Center (PRC) in all the blocks of Mahasamund district. Capacity of local staff of PRC and DPSO office was built on the data entry and report management to ensure sharing of completed report with District and State level officials and agencies/Line Department/ Development Partners i.e. State Planning Commission and UN organizations. This was through training and handholding support. The format for Village Index Card and Urban Ward Index Card were pretested in the field District Support Team along with officials from District Literacy Committee. The updated VIC (after pre-testing) was finalized incorporating the finding in consultation with DPSO and department/ agencies as suggested by State Planning Commission. This updated VIC was again shared with district officials and DPSO. District Support Team provided the intense data collection training to Preraks/Anganwadi workers and the Nodal Preraks in the block level training at 5 blocks of the district. Separate training to urban ward level Preraks was organized. More than 400 Preraks and Nodal Preraks alongwith Anganwadi workers were imparted training on VIC and UWIC data collection. The Panchayat and Rural Development Department along with Urban Development Department were also engaged in the process. Instructions from Zilla Panchayat/Block Panchayats and Urban Development department were issued to the Panchayat and urban units for providing all the support and information that has required for the exercise. Instructions were also issued by the Zilla Panchayat, Mahasamund regarding taking approval from Gram Sabha/ elected representatives after completion of Village Index Card in the village. The team of consultants, in active association of District Support Team, DPSO and District Literacy Committee, monitored the whole process of data collection.

## What changed?

As a result of State and District level consultations, 189 cells were increased in the existing format of VIC along with 54 cells in UWIC, which resulted into capturing more indicators and their availability for respective analysis. The new VIC format continued to be simple two pages document, the first page presenting institutional information of the various sectors which is already available at village level and second page presenting the information which is not available at institutional level and thus need to be collected at household level. The Urban Ward Index card also continued to be a single page document containing only the institutional data and information of an urban ward. To ensure sustainability, the District Statistics department along with UNJPC District Support Team was involved at every stage of planning and execution.

VIC is a simple format of two pages and Urban Ward Index Card of only one page hence, easy to capture the data. The card has been signed and ratified by the members of Gram Sabha and Ward Parishad to ensure the authenticity and validity of the data.

The key indicators covered through Village Index Card (VIC) are as follows:

1. Basic Village Information

2. Demographic information

3. Health indicators

4. Education indicators

5. Infrastructure indicators

6. Livelihood indicators

7. Natural Resources indicators

8. Social Category and Institutions indicators

9. Gender indicators

The key indicators covered through Urban Ward Index Card (UIC) are as follows-

1. Basic Ward information

2. Demographic information

3. Health indicators

4. Education indicators

5. Livelihood indicators

6. Infrastructure indicators

7. Social Category and Institutions indicators

8. Gender indicators

The following reports can be generated through Urban Ward Index Card:

1. Education Indicators

2. Health Indicators

3. Livelihood Indicators

4. Infrastructure Indicators

5. Gender Indicators

6. Social Category and Institutions

Evidence from Rajnandgaon and Mahasamund suggests that data collected through VIC/UIC is being used in making district plans and departmental plans and is also used for monitoring purpose too. Many NGOs have also approached the District Collectorate to use this data. Hence, data is fully owned by the State Government and is being used for planning purposes.

Prominent information available in VIC/UWIC over and above Census formats:

* Details of land holdings, forest produce, migration, bank accounts, non-agricultural income generating activities etc.
* Details of expecting mothers with further details like vaccination and access to iron supplements, deliveries including institutional delivery etc.
* Age-wise breakup of drop outs from school
* Ownership details of shelter, status of toilets in it
* Institutional data

## Achievements

The report received from Mahasamund district in June 2011 stated that “Analysis of out of school children after the VIC survey revealed the number of out of school children in the age group of 6-14 years was a very considerable number. (The survey showed that about 7400 children were out of school whereas the education department’s data showed only around 2500 children). The district administration started a special drive to bring these children to school which included home to home counseling by a team comprising of school teacher, Anganwadi worker and health worker. This was followed by special Gram Sabhas for the same”.

The data generated through UIC/VIC has strengthened the development of district plans and block plans. Situation analysis in the annual district plan was culled out from the VIC/UIC. The biggest achievement of VIC/UIC is the availability of sex disaggregated data which is essential for formation of gender sub plans. A comparison of VIC/UIC with Census survey reveals that VIC/UIC captures data of significant value such as data on migration, registered marriage etc which is not captured through Census survey and other surveys.

## Future steps and challenges

The data index card fills the gap in the availability, quality, coherence, standardization and accessibility of data between the national and local level. In the absence of accurate data the local governments are not able to make informed decisions concerning social and economic conditions of people. Seeing the success of VIC/UWIC, Chhattisgarh state has agreed in principle to replicate VIC/UWIC data collection mechanism in rest of the 16 districts. There is also a need for clubbing various surveys conducted by district departments so as to avoid duplication of work and data. More indicators need to be added in consultation with various district departments so as to strengthen the data. UIC data has been collected through secondary sources. There is a need to collect primary data in the same way as that of VIC.

The software should be converted in Hindi so that it can be used widely. The data needs to be regularly updated to keep it fresh and alive. There is an urgent need to build the capacities of district/ block officials, NGOs for the use and assessment of data, so that it can be transformed into useful information and for its dissemination to achieve MDGs. Unless and until issues related to coordination and monitoring are sorted out, the exercise will not be as successful as envisaged. Capacities building of all concerned to carry out this task is a challenge and so it allocation of resources for such exercises. The departments’ willingness to cooperate with each other would be very crucial for the success of such exercises.

It is also important that this data is used in the planning process. As it covers most of the data required for development planning, the situational analysis for the District Plan can use this data. Linking this with DPMU and PAHELI initiatives will be useful. It will also help in ensuring the validity and quality of data.

# Gender Sub-Plan (GSP): Experiences and Lessons from Udaipur, Rajasthan

## Introduction

Gender inequality cuts across all MDGs and is major obstacle to meeting the MDG targets in states and districts across India. In fact, achieving the goals will be impossible without closing the gaps between women and men in integrated planning. During capacity development, emphasis is on introducing tools and methods that ensure that women, especially from the disadvantaged groups have an important role to play in the envisioning process as a whole for the district plan preparation. In that direction, the GoI-UNJPC is expected to demonstrate methods of gender sensitive and inclusive planning and to generate plans that prioritize the needs of excluded groups especially women which can terms of capacities and access to local resources. To realize the MDGs, systematic and sustained efforts are required to ‘engender’ all development efforts to achieve all the goals. As in various government schemes and programmes gender focus is largely limited to one or two aspects of the gender equality like maternal mortality or girl child education. The critical holistic development picture is often missed out and no steps are often taken in this direction as a whole.

District planning process seems to be ineffective in addressing the concerns of women as it is largely guided by male dominated perspectives and ignores the critical voice of women. It promotes the status quo in decision making structures in which women, for the most part, remain oppressed, subordinate, unheard and invisible. Voices and concerns of women seem to be missing from the planning and decision making processes. This has resulted in preparation of plan documents which has consistently been gender blind as they tend to ignore the fact that women and men access resources differently due to social, religious and cultural differences. They also have different concerns about how it meets their needs. In order to recognize and address these concerns, it is necessary to create adequate space for women in the decision making and planning process. Gender sensitive planning is required to correct the current imbalances. Gender sensitive planning is not a separate or a parallel process but it is about mainstreaming and integrating gender in the prevalent planning processes. This is an effective tool to respond to deep seated patterns of discrimination against women where women collectively analyzes and contributes to policy-making and planning processes. Preparation of gender sub plan is being considered as a first step in an effort to transform the prevailing social discrimination against women concurrently with increased direct action to rapidly improve the social and economic status of women. This intervention is being made in conformity with the ten-point guideline developed by the Planning Commission of India for Gender Sub Plan preparation. These guidelines provide a framework for mainstreaming gender concerns in the district development planning process in order to improve the social, legal/civic, political and economic conditions of women.

## Process, Strategy and Intervention Steps

Gender Sub Plan process was initiated in Udaipur district of Rajasthan which is epitome of women inequality, patriarchal society, feudal customs and values, social polarization along caste lines, high illiteracy and extreme poverty. Gender Orientation workshops were conducted for building capacities of district officials and local NGOs to prepare Gender Sub-Plans to identify sectoral issues. Assessment of relevant legislation, policies, programmes and schemes was done to see to what extent are they able to address the socio-economic and other rights and needs of women. Care was taken to foster convergence of resources/schemes to avoid duplication. Also, specific targets and goals were identified for each sector.Consultation with women stakeholders and Gram Sabha was done prior to GSP formulation. Gender Sub-Plan was revised based on the inputs received from technical experts and it was ensured that it was approved by the District planning Committee to become a part of District Plan.

Following steps ensured that district plans prepared are gender sensitive and gender issues are addressed. This includes the process of formulating appropriate gender sensitive plans and developing corresponding gender sensitive strategies and activities.

1. Gender Orientation and sensitization of government and non government stakeholders.

2. Analysis of the situation of men /women and boys and girls.

3. Spatial planning for micro level needs

4. An assessment of the extent to which the sector’s policy addresses the gender issues and gaps described in the first step.

5. Envisioning and participation of stakeholders

6. Goal Setting and mainstreaming

7. Gender Appraisal of all new programmes and schemes

8. Preparation of Gender Sub Plan

9. Monitoring whether the money was spent as planned, how much of it was delivered to women

10. An assessment of the impact of the policy, project and schemes and the extent to which the situation as assessed in the stock taking exercise has been changed

## Preparation of Gender Sub Plan

As a way forward it was decided that all the major 20 department plans need to be clubbed into major sectors at the district level. Situational analysis of women/men; Girls/boys in each sector was conducted. Specific targets and goals related to women were identified for each sector. Gender sensitive SMART indicators were developed for different indicators. Assessment of the relevant legislation, policies, programmes and schemes related to women was done. 20 departments under District Plan worked upon engendering their plan. Out of 20 departments, 14 were able to understand the need for special provisions in the plan while 6 departments could not do it due to lack of sex- segregated data and nature of schemes. In the process, not only their inputs were sought to make the sub plan good but also their capacities on this issue were strengthened. Directorate of Women’s Empowerment was also engaged in the initiation workshop and sharing of the final chapter. Through the acquisition of knowledge and tools necessary for developing gender sensitive plans, districts officials gained the clarity to deliver on the gender development objectives. In addition participation of district level officials in the workshop, in which they were actively involved, ensured effective commitment and improved the sense of ownership. As a result of this, the Gender Sub Plan chapter was included in the District Plan for Udaipur. The size of the district plan of Udaipur was Rs. 976.15 crores for the year 2011-12 out of which Gender Sub Plan component was Rs. 205.68 crores. That is 21.07 per cent of the District plan. The district plan chapter highlighted some general gender issues with its analysis. Of 20 departments, all programmes and schemes were reviewed in terms of budget, expenditures and number of beneficiaries. Apart from social welfare, agriculture, health, education, rural development schemes programmes focusing Women’s empowerment were also reviewed, such as, Chief Minister’s five point programme, Self Help group programme, Community marriage, Swavalamban karyakaram, District Mahila Sahayata Programme, Kishori Balika Mandal Pariyojana. Efforts have been made by the few departments to increase number of beneficiaries under various schemes and programmes. Improvement in the efficacy of schemes was included as small note and data sheet in the Gender Sub Plan.

## Challenges and Ways Forward

Gender disaggregated data was not available and also, gender issues could not be identified in some departments like the irrigation, PWD, etc. This is where other initiatives of the GoI-UN JPC could be of use. DPMU and the data management they plan to do should address this issue and every data collected should be gender disaggregated. The training to district officials also should focus on gender concerns in data management.

The non-availability of a gender expert at the district level also posed a challenge. Issues were identified and proposed under various schemes but action commensurate with the planning is a major challenge in implementation of such plans. However, in order to capitalize on and upscale this initiative, sustained efforts are required to deepen the process of mainstreaming and integrating gender in the district planning process.

There is need to monitor the gender mainstreaming and planning processes by regularly evaluating gender mainstreaming impacts. There is also a need to analyze all new policies and schemes through gender lens and incorporate gender sensitive elements in the older schemes so that the process is institutionalized. In order to deepen the process of mainstreaming and integrating gender into the district planning process it is essential to have sustained campaigns amongst local communities, media and government officials to raise awareness on women’s rights and formation of pressure groups consisting of self help groups and NGOs for lobbying with the district planners on the benefits of empowering women.

Gender Sub Plan cannot remain as a standalone activity. The process of plan preparation and the guidelines for planning should incorporate the concepts of gender. It is also important to see whether the implementation of the plan really consider the Gender Sub Plan. It was not yet possible to analyse this as the initiative was still in its ‘Plan’ stage and not in the implementation stage.

One of the main learnings from this initiative is that even when the society at large is yet to be gender sensitive, it is still possible to bring in gender concerns in development planning. In fact, planning could be used as a tool for gender sensitization. This requires the involvement of not only officials, but also the Gram Sabha where both men and women are motivated to participate. A pool of planners who are trained specifically in gender responsive budgeting has to be developed and provided to the districts and below in the selected JPC districts and ensure that the gender responsive plans are formulated. Based on its success, this can be up scaled.

# Human Resources and Budget Tracking

## Introduction

One of the components of the GoI-UN JPC focuses on supporting the district administration in planning and implementation of the social sector programmes in the district. This is carried out through the UNICEF support and the district facilitators. They have been supporting the Flagship Analysis for social sector in terms of physical and financial progress. They identify the various bottlenecks at different levels of implementation and also assess the extent of the reach of services. The areas of convergence with other key ‘National Flagship Programmes’ and avenues of potential convergence is an integral part of this analysis. District Facilitators have also been analysing the District Budgets in terms of allocation, receipt, disbursement and expenditure for the social sector programmes. Under this analysis they also identify gaps during different stages- budget formulation, enactment, implementation and auditing. Role of various stakeholders in different stages is also studied. This budget analysis will throw up recommendations to overcome the gaps and bottlenecks to ensure better budgeting process and its implementation.

Analysis of human resources for social sector departments in terms of adequacy of human resources, efficiency, competency and motivation is another aspect studied by district facilitators. Study of components like promotion, transfer, vacancies, training need analysis, training itself, planning and target setting of their performance in the prevailing system are enriching this analysis.

## Human Resources Tracking

Vacancy status and average tenures of key government functionaries are important factors which affect the state of delivery of basic services under each flagship programme at the district, sub-district and even at Panchayat level, which in turn affects the human development situation in the area. In this context the human resource tracking exercise was taken up under the UNICEF supported component of the GoI-UN JPC to determine the trend of human resource status under the implementation structures of different flagship programmes at the district, block and Gram Panchayat (GP) level; this includes vacancy in each position and the overall vacancy at each level. The scope also extends to ascertain the tenure of key official and accordingly recommend appropriate measures to fine tune the deficiencies in status of human resource of the district.

In order to conduct the exercise data with respect to human resource status of each flagship programme (Viz. National Rural Health Mission, Augmented Rural Water Supply Project, Integrated Child Development Scheme, Mid Day Meal, Sarva Sisha Abhiyan, National Rural Employment Guarantee Scheme, Total Sanitation Campaign) for last 10 years from thirty UN-GoI JPC districts across six states viz. Rajasthan, Bihar, Madhya Pradesh, Chhattisgarh, Odisha and Jharkhand had been collected in 2009. The data collected were from government sources. Many useful findings which have policy importance have come out through these analyses. A few of them are given below:

In the state of Bihar, analysis of data from the five JPC districts reveals that only 4 per cent of District Collectors served 3 years of tenure; nearly 30 per cent stayed less than six months and one-fourth continued for 1-2 years. With regards to DPO-ICDS, nearly 50 per cent of them served less than six months and about 30 per cent continued only up to 1-2 years. Under flagship programmes, the maximum vacancy (50%) was under ICDS followed by (47%) under SSA and the least (6.25%) is under TSC. As regards key positions, apart from the huge vacancy in the position of ICDS supervisors (92%), there is a vacancy of 46 percent for Medical Officers, 29 percent for Teachers and 37 Percent Junior Engineers.

In the case of Chhattisgarh, the situation is the same as it was found out that there is frequent transfer of key district level officials. In the last ten years, only one District Collector out of seventy two has served for more than three years in one of the above districts. The condition has further deteriorated at the sub-district and below level as it is evident from the analysis, that position of 50 percent ICDS Supervisor, 86.32 percent Medical Officer, 14.4 percent SSA teachers, and 59.4 percent Junior Engineers (NREGS) are vacant in the above convergent districts. In Jharkhand the situation is not different. In Gumla district, a whopping 86.6 per cent Junior Engineers, 80 percent Medical Officer Gr-II, 68.4 percent Medical Officer Gr-I positions are vacant. At the block level also, a significant 75 percent position of both Panchyat & Social Welfare Officer and Block Medical Officer are lying vacant. In Madhya Pradesh, amongst other key district level officials, 56 percent of Chief Medical and Health Officer, more than half of EE-PHED and nearly 50 percent of DPO-ICDS had less than one year tenure in a district. Taking stock of the vacancy position the analysis shows that at the district level around 71 percent of positions under NRHM, 25 percent under SSA and around 36 percent under NREGS are vacant. In Rajasthan, around 19 per cent of teachers, 17 per cent of Senior Medical Officer (PHC level) and more than half of the ICDS Supervisor position are vacant in the JPC districts. In Odisha, 50 per cent of Chief District Medical Officer and more than one-third of Executive Engineer – Rural Water Supply Schemes had spent less than six months in one district. Nevertheless, the tenure served by District Social Welfare Officer and District Planning Officers are satisfactory as 74 percent and 71 percent of them served in the range of 1 to a little more than 3 years in one district respectively. Considering the vacancy status in flagship promes, the condition is not very dismal as the highest vacancy is around 24 per cent i.e in the case of NRHM. Amongst the key functionaries, the highest number of vacancies is that of Teachers (under SSA) which is around 25% and the lowest is that of ANM which around 6.4 percent.

It is envisaged that the findings of this exercise will necessarily assist the planner and decision makers to understand the trend of human resource situation and help the district and state administration to address the various constraints such as vacancy, frequent transfer, proper positioning and training etc so that the objectives of the flagship programme can be achieved in timely manner. Moreover it will also facilitate the UN agencies, institution and individuals to make human resource related advocacy at various level. This is also expected to draw the attention of the authorities to find out the gaps and barriers under various flagship programmes highlighted in the study so as to fine tune the district planning and its implementation. Already there are examples of local level interventions based on these reports, some of which are highlighted at the end of this section.

## Budget Tracking

The objectives of the Budget tracking exercise was to determine the quantum of **unused funds** under major flagship programmes across the 30 districts among the six states namely Rajasthan, Bihar, Jharkhand, Madhya Pradesh, Chhattisgarh and Odisha for the year 2006-2007, 2007-2008 and the year 2008-2009.

District Facilitators collected and studied various financial data for the above period from different sources at district and state level related to flagship programme that includes; allocation of fund, fund receipt and utilization of funds. A year wise comparative study report was prepared on the basis of this analysis to depict the quantum of utilized and unutilized funds under various flagship programmes across the 6 states and the concerning Convergent Districts.

InBihar,on an average, every year up to 42.50% of the allocated funds remain unutilized. In case of TSC and ARWSP it went up to 71.6% and 61% respectively. NRHM and SSA have also shown the rising trend towards un-utilized amount of the allocated funds over the years in study. In Chhattisgarhon an average, every year up to 13.32% of the allocated funds under major flagship programmes remain unutilized. Madhya Pradesh has revealed a very positive trend towards budget utilization year after year. The yearly unused funds in five convergent districts of the state remains up to 13.80% of the total allocated fund. NRHM, SSA, TSC and BRGF have shown a growing trend towards fund utilization. In Rajasthanthe average quantum of yearly unused fund is around 16%. Programme like NRHM, ARWSP, ICDS and SSA have registered a good fund utilization pattern, wherein the unused fund remains in the band of 3.90% to 7.75%. Odishaon an average leave 28.39% of the yearly allocated funds unused under the major flagship programmes. Under NRHM, the quantum of unutilized fund goes up to 63.36% which is a major concern.

This too should draw the attention of the concerned district planner and others to find out the gaps and barriers under various flagship programmes highlighted in the study to fine tune the progressive district planning and its implementation. These can also be sued for advocacy with the state and national government and the authorities of the various flagship programmes, to see why there are issues of human resources and fund under utilisation.

## Impacts of the Analyses

While detailed technical validation of these analyses is still awaited, there have been local initiatives based on the findings. A few among them are listed below.

|  |  |  |
| --- | --- | --- |
| ***No.*** | ***Analysis*** | ***Follow Up Action*** |
| *1* | *Human Resource Tracking* | * *Formation of Consortium of experts for health, nutrition, education and livelihoods, Azamgarh, UP* * *Capacity building of TAs of MGNREGS, Sonbhadra, Uttar Pradesh* |
| *2* | *Flagship Analysis* | * *Total Sanitation Campaign, Kandhamal, Odisha* * *Multilingual Education, Kandhamal, Odisha* * *Convergence of Livelihood and Employment generation promes, Angara Block of Ranchi, Jharkhand* * *Convergence between the departments of Rural Water Supply and Sanitation (RWSS) and Health , Ganjam, Odisha* * *Promoting Sanitation through Convergence, Chattarpur, Madhya Pradesh* * *Management Information System for SSA, Khandamal, Odisha* * *Leprsosy Eradication Drive, Mahasamund, Chhattisgarh* |
| *3* | *Budget Tracking* | * *Village Master Plans and budget, Chattarpur, Madhya Pradesh* |

## Limitations, Challenges and Ways Forward

These analyses have used the department data. Validation of this has not been done. A methodology for validation of data needs to be developed. Moreover, these need to be technically vetted. It is also important to analyse why such situations as inferred from the analyses are there.

Being part of the GoI-UN JPC, how these could be integrated with the overall district planning process and the JPC itself needs to be considered. Situational analysis of the District Plan should have sections based on these analyses. Other initiatives of the JPC like the PAHELI and Change management are ideal for such integration. All of them together would make the initiative more useful and productive as the PAHELI has the participation of the community which can corroborate the analyses and change management which is envisaged to bring in a paradigm change in the role of the administration could use these analyses while trying to sort out the existing problems.