



MADHYA PRADESH

# **Capacity Assessment and Capacity Development Strategy (CA-CDS) Report**

*for Strengthening Panchayati Raj Institutions  
in Madhya Pradesh*



**Ministry of Panchayati Raj  
Government of India  
2012**



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## **ABOUT THE REPORT**

Ministry of Panchayati Raj (MoPR) has the challenge of responding to the Capacity Building and Training (CB&T) needs of over three million elected representatives and functionaries associated with the three tiers of Panchayati Raj Institutions (PRIs) in the country. The States are provided funds and other support for CB&T related interventions under various schemes of the ministry, including the upcoming Rajiv Gandhi Panchayat Sashaktikaran Abhiyan (RGPSA) which would further expand MoPR's support to the States/UTs to strengthen the Panchayati Raj Institutions (PRIs).

As such, traditionally, various training institutions such as State Institutions of Rural Development (SIRDs), Panchayati Raj Training Institutions (PRTIs), Extension Training Centers (ETCs), Panchayat Training Centers (PTCs) etc are involved in delivering scheme-specific training programmes, including those aimed at improving capacities of elected representatives and officials of PRIs. A number of NGOs too have been working in this area either directly or in partnership with the training institutions. However, the challenge of simultaneously covering large numbers and ensuring delivery of quality CB&T interventions in a systematic and on-going manner using appropriate strategies remains.

In this regard, while continuing its efforts under RGPSA to strengthen the State and district level training institutions to enhance their CB&T delivery capabilities, MoPR, in partnership with the State Panchayati Raj Departments (PRDs), has prepared Capacity Assessment and Capacity Development Strategy (CA-CDS) Reports for Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Odisha, Rajasthan and Uttar Pradesh under the MoPR-UNDP Capacity Development for Local Governance (CDLG) Project. The main objective of the Reports is to provide the State PRDs and the State Training Institutions various State-specific strategies to be used at different levels to build capacities of the PRI elected representatives and functionaries in a systematic and on-going manner while addressing issues at the individual and institutional levels along with creating an enabling environment.

MoPR would like to acknowledge the contribution of State PRD, SIRD, authors of report, UNDP and the CDLG Project team.



अशोक कुमार अंगुराना  
**Ashok K. Angurana**

अतिरिक्त सचिव

**Additional Secretary**

&

**National Project Director**

**MoPR-UNDP CDLG Project**



सत्यमेव जयते

पंचायती, राज मंत्रालय  
भारत सरकार  
11वीं मंजिल, जीवन प्रकाश बिल्डिंग,  
25, के.जी. मार्ग, नई दिल्ली-110 001  
**MINISTRY OF PANCHAYATI RAJ**  
**GOVERNMENT OF INDIA**  
11TH FLOOR, JEEVAN PRAKASH BUILDING,  
25, K.G. MARG, NEW DELHI-110 001  
TEL. : 011-23753820 / FAX : 011-23753821

## **MESSAGE**

Ministry of Panchayati Raj (MoPR) has been supporting States and UTs in their efforts on Capacity Building and Training (CB&T) of more than three million elected representatives and functionaries associated with the Panchayati Raj Institutions (PRIs) in the country under its various schemes. To further strengthen its contribution, MoPR has developed Capacity Assessment-Capacity Development Strategy (CA-CDS) Reports for seven States including Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Odisha, Rajasthan and Uttar Pradesh in consultation with the respective State PRDs under the MoPR-UNDP Capacity Development for Local Governance (CDLG) Project, with the help of experts from agencies such as the UNDP-Regional Center in Bangkok (RCB) (UNDP-RCB), Ramana Development Consultants (RDC), Kerala Institute of Local Administration (KILA), National Institute of Rural Development (NIRD) and Institute of Rural Management Anand (IRMA).

Under the leadership of MoPR's National CDLG Project Cell, the process of developing these CA-CDS reports included a series of national and state level preparatory meetings, field visits by the experts assigned for each of the seven States and consultations to validate the findings. Taking note of the ground realities in the States, the CA-CDS reports bring together State-specific strategies to be used at different levels to make the on-going PRI CB&T efforts more effective towards the larger goal of strengthening the PRIs as institutions of local governance. Considering the significance of the subject, the Reports would serve as a useful reference while planning PRI CB&T in the States including Madhya Pradesh where the report has been prepared by the IRMA team.

I would like to thank Ms. L M Vas Secretary (MoPR) for her guidance and support and also acknowledge the role of my predecessor, Mr. Sudhir Krishna, the then Special Secretary (MoPR), who headed the CDLG Project from 2009-2011, for his leadership to this initiative from the very inception. My thanks are due to the Principal Secretaries/Secretaries PRDs and Director SIRDs for taking time out to engage with the experts sent by MoPR, providing them with guidance and insights on the issue concerning PRI elected representatives and functionaries in their respective States, and also sharing their opinion on the drafts of the reports in the National Workshop on Capacity Assessment held on 20th May 2011 and the follow-up presentations of the final reports in the respective States. I also thank UNDP for supporting this initiative.

I would also like to thank Mr. Sanjeev Sharma, National Project Manager, MoPR-UNDP CDLG Project, the authors of the CA-CDS reports, and other members of the National CDLG Project cell including Ms. Komal Bhatia, Ms. Antara Barkakoty and Mr. Rajesh Kumar for their efforts in bringing this initiative to a logical conclusion on time.

I hope State PRDs and SIRDs will find recommendations of these reports useful while formulating their CB&T plans.

(Ashok K. Angurana)





**Dr. ARUNA SHARMA, I.A.S**  
Additional Chief Secretary &  
Development Commissioner



**Government of Madhya Pradesh  
Department of Panchayat & Rural Development  
Department of Social Justice**

D.O. L No. : /89/CDLG/ACS/P&RD/SJ/201

Tel. : +91-755-255-1114, 2550542 (O)  
Fax : 0755-4093625 (Vindhyachal)  
0755-2551474 (Mantralaya)  
E-mail : psprd@mp.gov.in

## **MESSAGE**

Capacity Building and Training (CB&T) is critical for enhancing the effectiveness of the elected representatives and functionaries of Panchayati Raj Institutions (PRIs). While the training institutions in Madhya Pradesh undertake a number of CB&T related interventions throughout the year, it is important that all these interventions are conceived and delivered as part of a well-considered strategy to enhance the performance of PRIs in the State.

In this regard, the Capacity Assessment and Capacity Development Strategy (CA-CDS) Report for Madhya Pradesh, which is developed in close consultations between MoPR and the State PRD, is an important document that would help in planning and implementing the CB&T in a holistic manner. Therefore, we would like to thank MoPR, UNDP and the CDLG Project team for their efforts to bring out the report. We would also like to thank IRMA team for their contribution in this endeavor.

We take note of the recommendations of the report and shall make good use of it.

Handwritten signature of Aruna Sharma in blue ink, with the date '24/9/12' written below it.

**(Aruna Sharma)**  
Additional Chief Secretary &  
Development Commissioner  
Department of Panchayat & Rural Development  
Government of Madhya Pradesh



## MESSAGE

The challenges faced by the institutions that are mandated to develop capacities of elected representatives in the Panchayati Raj system are well known. Not only does the system have to respond to the herculean task of training millions of elected representatives every five years, they have to be sensitive to the different competencies that they have.

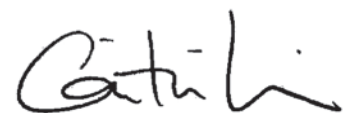
This calls for having a capacity development strategy for the state as a whole that is based on a capacity assessment taking into account institutional strengths and challenges of all the stakeholders in the state. While trainings needs assessments are ingrained in the training systems, a holistic capacity development strategy based on an in-depth capacity assessment is required to be in place.

Preparation of state specific capacity development strategies so as to enable states to develop capacities of Panchayati Raj Institutions overcoming the challenge of training large number of elected representatives while maintaining quality was one of the prime objectives of the Ministry of Panchayati Raj and UNDP project “Capacity Development for Local Governance”. The initiative of capacity assessment followed up by preparing capacity development strategy was undertaken in seven UN Focus states one of which is Madhya Pradesh.

The UNDP capacity assessment tool was pilot tested in the state of Chhattisgarh and a group of experts was trained on the methodology. The UNDP capacity assessment framework reflects the interplay among three dimensions – the three levels at which capacity is nurtured (individual, institutional and policy), the functional capacities that are required and the core issues. This is a flexible tool and has been adapted in different context across different countries across the world. The tool was then replicated in six states.

The state specific capacity development strategies thus prepared are based on a thorough assessment of the existing capacities in the state and have been developed through a consultative process with the state government. The Reports elaborate the roles of the panchayats as per state Acts and Rules, review the existing capacity development apparatus (including training institutions and NGOs), identify the gaps and propose the way forward.

I am confident that the reports will provide strategic guidance and the roadmap to state governments for designing future interventions in a holistic manner and look forward to the implementation of the recommendations of the reports.



**Caitlin Wiesen**  
**Country Director**  
**UNDP India**



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# Executive Summary

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To realize the constitutional mandate for local self-governance, systematic development of Panchayat capabilities is both necessary and urgently needed. The National Capability Building Framework (NCBF) has been developed by the Ministry of Panchayati Raj (MoPR) to support state initiatives in this respect. The Government of India (GoI)-UNDP Capacity Development for Local Governance (CDLG) Project has supported the current exercise for ‘State Capacity Assessment and Preparation of a State Capacity Development Strategy for Implementation of NCBF’ in Madhya Pradesh (MP), to enable concerted state action for its implementation. Some key concerns in MP include considering the specific characteristics of Panchayat capacity development (CD) in the state, such as its large size, small and dispersed locations, and particular characteristics of the target organizations and groups. What also had to be considered were the differentiated requirements of Panchayats Extension to Scheduled Areas (PESA) and non-PESA areas, the need to substantially expand institutional capacities, and establishing a strong organizational structure for the capability development (CD) of Panchayats.

Though state and civil society initiatives for training Panchayat members in the state have been undertaken for over a decade, a concerted effort was made since 2009 to expand their coverage and content, in particular, systematically covering all the incoming Panchayat members in 2010 in a time-bound manner. Under the direction of the Madhya Pradesh Panchayats and Rural Development Department (MPPRDD), the Mahatma Gandhi State Institute of Rural Development (MGSIRD) has been the nodal organization for the design and delivery of capability development of Panchayats. In partnership with the other state institutions (WALMI, RCPVNAA, and SGI) it has achieved 100 per cent coverage through a cascading mode. A requisite number of master and district resource persons have been prepared through training of trainers (ToTs) and trained monitors have also been deployed in every district. To take training closer to the participants, Block Resource Centres (BRCs) have also been set up across the state under the BRGF and the Rashtriya Gram Swaraj Yojana (RGSY) programmes; these serve as extended field training locations. These efforts have demonstrated the existing capabilities of the nodal organization well and have also provided the opportunity to identify gaps and requirements for sustaining and strengthening Panchayat CD in the state.

**Five strategic goals need to be achieved** to address the current gaps identified by the assessment exercise and for improving its sustainability, scope, and quality:

- Developing a strong institutional framework to steer CD efforts,
- Restructuring and expanding the existing organizational structure for the design and delivery of CD programmes,
- Creating a centre for developing knowledge and expertise about CD,
- Designing an integrated CD framework, curricula, and programme that consider the differentiated training needs of specific target groups, and
- Developing programmes for research and education on local governance.



**Strategies to develop a strong institutional framework** include developing two documents that can be widely disseminated and understood and which can serve as a steering tool. These are the MP state Vision and Policy for Local Self-Governance and a MP state Panchayat Capability Development Policy and Design Framework, which can be achieved by localizing the constitutional mandate and NCBF in the specific context of the state's circumstances. It is important that these be generated through a participatory and consensus-building process among various stakeholders and be steered by a high-level task force including apex officers from relevant departments. The important elements of the documents include paying attention to the systematic organizational development of Panchayats.

**Strategies for strengthening current organizational arrangements for design and delivery of CD programmes** include substantial restructuring and expansion of the current nodal organization MGSIRD, substantially expanding the functions and competencies of BRCs as local training, extension, mentoring, networking and help-desk hubs, and expanding the involvement of non-state actors (with third party monitoring) for specific tasks and to complement state efforts. MGSIRD's strengthening requires a systematic and organizational review by an external agency for reorienting and redesigning its primary mandate and overall functioning, instituting a change-management process to implement the recommendations, handling its complex transformation into a Panchayat CD organization (which also continues to train employees of the Rural Development Department), increasing its autonomy, and professionalizing its competencies.

**An important strategy is sustained development of quality trainers and resource persons** to support CD efforts in the state. To implement NCBF, the state needs 355 master resource persons (MRPs) and 5,320 field resource persons. Though ToTs did achieve the coverage in 2010, their quality was hampered severely because very few of the faculty in MGSIRD and the Extension Training Centres (ETCs) who conducted most of the ToT programmes have undertaken some segments of the Systematic Approach to Training (SAT) cycle. Effective and quality CD requires quality trainers in local governance to support its efforts; this can only be achieved through the development of certified master trainers, and providing organizational space and resources for the development of trainers (MRPs in NCBF terms).

**The optimal strategy towards achieving this will be developing a centre for training development** in collaboration with the RCPV Noronha Institute for Public Administration.

**Strategies for systematic, integrated, and balanced CD include developing a robust Training Information System** (like MIS) and widening the scope of inputs in collaboration with other departments, particularly the planning and urban development departments. Important elements of effective CD are disaggregation of the target 'capability development groups' so that specific CD needs of different segments, such as elected representatives (ERs), functionaries, and special groups, such as women, SCs/STs, and the less-literate members can be identified. Inclusion of a variety of CD inputs (in addition to on- and off-site training), such as exposure visits, mentoring programmes, perspective building, attitudinal and behavioural change programmes, developing associational networks, and dissemination of good practices are also necessary. A Training Information System, by capturing the details of the target groups and their locations would help in the design and provision of appropriate and directed inputs.

**Three strategies are suggested for developing a knowledge infrastructure for research and education for local governance in MP:**

- Supporting the development of certificate and diploma programmes in partnership with educational institutions of excellence in the state,

- Including a centre for research in local governance in the redesign and expansion of the MGSIRD system and to support MPPRRD, and
- Setting up an advisory group comprising of eminent academics and experts in this domain.

Effective development of both organizational and human resource capabilities for local governance in MP requires extensive knowledge inputs and support. While this no doubt exists to some degree, continuously extending and updating existing experience is required.

## 1. Developing a Strong Institutional Framework

The following components of an institutional framework need to be developed to serve as guiding documents and covenants for state-specific Panchayat CD:

- A state local governance vision and policy statement or document.
- A MP Panchayats capability development policy and design framework.
- Systematic organizational development of Panchayats

### Recommended Strategy

*Constituting a task force for the MP state local governance capability development policy and framework, which comprises of apex officers of the P&RD, U&AD and the Department of Planning* (other departments may be involved if the state so decides, but it is advisable to include only other multi-sectoral departments, such as finance, both to keep the task force small and nimble, as well as to eliminate selection issues, such as which sectoral departments are the most pertinent. Choosing the relevant sectoral departments is bound to be ultimately judgmental and arbitrary because local governance includes almost all development sectors to some extent).

The task force would steer the processes of:

- Forming the vision, policy, framework, and design document, and
- Developing a plan for systematic organizational development of Panchayats.

Important elements of this process include:

- The task force will require a secretariat, with appropriate competencies related to the task of policy development.
- External professional support would also be necessary to facilitate the process. It is desirable that the same professional agency/team be involved in developing all policy and framework documents because they are heavily inter-related and flow sequentially from one to another.
- Adopting a participatory process involving all stakeholders (or representatives) is important. Though policy development is a state task, a wider consensus and creation of a larger support-base across constituencies would lend stability and continuity to CD efforts in the state.
- The products must be widely circulated and publicized for time-bound feedback and suggestions before finalization.

## 2. Organizational Structure(s) for CD Design and Delivery

**Recommended strategies**, to be applied in combination include:

- Substantial restructuring and expansion of MGSIRD, enabling reorientation of its primary mandate and overall orientation, and
- Outsourcing of some components of the CD design, development, delivery, and monitoring/evaluation tasks in a geographically distributed manner.

**Recommended process for MGSIRD's restructuring and expansion (strategy 1):**

- Recruiting professional experts for a review and redesign of the organization,
- Developing a time-bound action plan for the redevelopment and change-management process,
- An organizational review of MGSIRD and its affiliated organizations for developing an appropriate organization redevelopment plan, and
- Designating an internal change-management team/task force by MPPRDD and implementing the change processes.

**Some suggested elements/points to be included in the restructuring are:**

- Given the nature, content, and relative size of Panchayat CD and rural development (RD) training tasks, MGSIRD will need to be recast and repositioned as a Panchayat CD organization which also trains employees of the Rural Development Department (RDD). It is recommended that MGSIRD be renamed the Mahatma Gandhi Institute of Panchayats and Rural Development (MGIP&RD).
- The institution should have at least 16 tenured faculty positions (assistant, associate, and full professors) on the pattern of academic institutions, with remuneration pegged to UGC recommendations. The institution after expansion should be allocated the entire responsibility for Panchayat CD, including on-campus and distance education/training, content development, exposures, organizing and supporting networks, and developing newsletters.
- The MGIP&RD director's position should be suitably upgraded to reflect the much larger institutional responsibility and span of control; commensurate authority and autonomy should be granted for this.
- The six ETCs and three PTCs be renamed Regional Institutes of Panchayats and Rural Development (RIP&RD), with at least seven tenured faculty positions at the level of assistant and associate professors. Full and tenured professors of MGIP&RD may be deputed as directors of RIP&RDs on a rotational basis. Each RIP&RD will be responsible for overseeing the functioning of about 35 BRCs.
- The BRCs to be renamed and repositioned as Block Panchayat Resource and Training Centres (BPRTC), functionally linked to RIP&RD and MGIP&RD. Each BPRTC should be provided with a minimum of six functionaries and be exclusively responsible for Panchayat CD, including of standing committees and Gram Sabhas.

**Recommendations for diversification through outsourcing (strategy 2):**

- Some proportion of the work in each CD component should be assigned to non-state actors to build space for innovation and experimentation in methods and approaches for Panchayat CD as well as

for ensuring creative competition. NGOs with experience and capabilities, and academic or research institutions with field units may be assigned training and other responsibilities in some areas where they operate.

- Outsourcing should be used for specific tasks, such as content development and/or producing and developing audio-visual material.
- Outsourcing components in different areas of the state, for example, some selected blocks in the area of each RIP&RD are recommended.
- Monitoring of all CD efforts should be assigned to a third party, preferably from outside the state. NGOs of repute in this field, academic institutions, and individual experts may also be involved.

### 3. Developing a Centre for CD knowledge and Expertise

Recommended strategy for developing certified trainers (those who have undergone the SAT cycle) and master trainers (certified trainers with additional training in preparing certified trainers)—Setting up a collaborative centre for training development, which will undertake the development of CD knowledge, tools, and techniques and programmes for developing certified trainers and as appropriate, master trainers. The centre will focus on design, conduct, and delivery of programmes for developing (initially) certified trainers, and (eventually) master trainers. It will also undertake research for developing CD knowledge and developing expertise.

#### Recommended process:

- Partner with the state ATI (RCPVNAA); it is the best location as it already has an institutional programme and also experience in this field. Its status and credibility as a ‘special ATI’ among the others in the country will give added legitimacy and standing to the effort, and MP could well become the premier location for developing certified trainers for the local government domain in the country.
- Signing a MoU with the RCPV Noronha Institute of Public Administration (MP-ATI)/ its parent department.
- Detailed design (constitution and ToR) of the centre, including its responsibility structure, governance, resources, functions, products, and review and monitoring processes.

\* Continuous support and review of outputs as agreed to in the MoU.

### 4. Developing an Integrated and Balanced Panchayat CD

It is necessary to:

- Develop Panchayats’ self-governing capabilities (planning, monitoring, audit) in addition to the current emphasis on their implementation skills, and
- Differentiated CD design and delivery for different groups, such as women, SCs/STs, and in PESA/ non-PESA areas, in correspondence with individual positions as well as personal profiles, that is, in terms of the specific needs of different CD groups.

#### Recommended strategies:

**Developing a collaborative effort with other departments** (this inter-departmental collaboration is different from and beyond developing the institutional framework through a task force, as suggested for

achieving Goal 1. The strategy here will include more regular collaboration in actual CD tasks, including on ways of capacitating Panchayats as organizations to undertake participatory planning. Content development, design of specific skill-building programmes, and even perhaps field-level support can all be arenas for collaboration.

**Specific elements** of the effort/process will include:

- Decisions on collaboration with specific departments,
- Agreements on modalities (regular contact, task-specific, etc.),
- Identification of contact points and responsibility holders, and
- Agreements on outputs, resources, and time-frames (action plans).

**Developing a Training Information System (TIS) (an MIS for CD)**, with the databases necessary to accurately decipher CD needs, targeting delivery to specific CD groups, and tracking progress are central to effective CD. Systematically developing TIS will involve system design and appropriate data and query formats followed by data entry. Details of ERs' personal profiles must be captured quickly after elections for appropriate CD efforts to be designed.

**Specific elements for strategy 2 include:**

- Mapping the data needs for CD design and delivery, including training and other components.
- TIS system design, including identification and design of data sets and formats.
- Data entry.
- System commission.
- System use for designing tailor-made training programmes and other CD efforts.

## 5. Developing Local Governance Research and Education programmes

**Recommended strategies:**

- Constituting an advisory group comprising eminent academics and experts in local governance to support MPPRDD in steering the growth of research and education programmes in local governance in the state. The ToR for the group would inter alia, include:
  - Identifying specific domain needs, particularly in terms of educational programmes (there is likely to be only latent demand at best at this juncture).
  - Advising in the design of specific initiatives, such as research programmes and/or short-term courses and action plans for their implementation.
  - Developing criteria for and identifying appropriate institutions/organizations for undertaking these initiatives.
  - Detailing the modalities along with the concerned institution/organization—the advisory group should play only an advising role.

- Designing enabling systems for the institutions to implement the programme(s).
- Designing/instituting specific measures by the state to attach value to such programmes, for example, by according credit in recruitment processes.
- Supporting the functioning/implementation of the initiatives.
- *Partnering with a higher education research institution of excellence in the state* to facilitate the development of a Certificate Course in Local Governance in line with the NCBF suggestion as an initial catalyst. With the help of the advisory group, the following elements can be accomplished:
  - Designing a MoU and important parameters for programme development and implementation.
  - Identifying an appropriate institution.
  - Detailed design and modalities for roll-out (action plan) by the institution; the advisory group should play only an advising role.
  - Inputs into the broad design of the programme, including focus, objectives, duration, and outputs expected by the advisory group.
  - Agreement (MoA) on support or enabling systems to be provided by the state for the institutions to implement the programme(s).
  - Immediate and longer-term resource plan (business plan).
- Ensuring the inclusion of a centre for research on local governance in the plans for MGSIRD's expansion as suggested in its vision document. The current nodal organization—MGSIRD—has incorporated plans for various centres in its vision document and proposes to engage in research and knowledge development activities. While it is important that these be carried forward, the exact contours of the organization and the centres will have to be evolved during and through the organizational restructuring and change processes that are essential.

# Abbreviations

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CA	Capability Assessment
CD	Capability Development
DD	Deputy Director
ER	Elected Representative
GP	Gram Panchayat
GS	Gram Sabha
PS	Principal Secretary
RD	Rural Development
UT	Union Territories
ZP	Zilla Panchayat
ATI	Administrative Training Institute
BRC	Block Resource Centre
DPC	District Planning Committee
ETC	Extension Training Centre
GoMP	Government of Madhya Pradesh
GoI	Government of India
ISRO	Indian Space Research Organization
MoRD	Ministry of Rural Development
MIS	Management Information System
OBC	Other Backward Castes
PRD	Panchayats & Rural Development
PRI	Panchayati Raj Institution
PTC	Panchayat Training Centre
RCB	Regional Centre in Bangkok
SEC	State Election Commission
SFC	State Finance Commission
SSA	Sarva Shiksha Abhiyan
TIS	Training Information System
TNA	Training Needs Assessment
ToR	Terms of reference
ToT	Training of Trainers
ULB	Urban Local Bodies
ASCI	Administrative Staff College of India

BRGF	Backward Regions Grant Fund
C&AG	Comptroller and Auditor General
CB&T	Capacity Building and Training
CDDP	Capacity Development for District Planning
CDLG	Capacity Development for Local Governance
DoPT	Department of Personnel and Training
DRDA	District Rural Development Agency
JGSY	Jawahar Gram Samridhi Yojana
MoPR	Ministry of Panchayati Raj
NCBF	National Capacity Building Framework
NRHM	National Rural Health Mission
NIRD	National Institute of Rural Development
PESA	Panchayats Extension to Scheduled Areas
PRTI	Panchayati Raj Training Institute
RGSY	Rashtriya Gram Swaraj Yojana
SoPR	State of Panchayat Reports
TOTC	Tribal Orientation and Training Centre
UNDP	United Nations Development Programme
APARD	Andhra Pradesh Academy of Rural Development
MPRLP	Madhya Pradesh Rural Livelihood Programme
NREGS	National Rural Employment Guarantee Scheme
RRTDC	Regional Rural Training and Development Centre
WALMI	Water and Land Management Institute
MGSIRD	Mahatma Gandhi State Institute of Rural Development
MPAPIT	Madhya Pradesh Agency for Promotion of Information Technology
MPPRDD	Madhya Pradesh Panchayat and Rural Development Department
SATCOM	Satellite Communication
SGIYLD	Sanjay Gandhi Institute of Youth Leadership and Development
MP-DPIP	MP-District Poverty Initiatives Project





# 1. THE ASSIGNMENT

## STATE CAPACITY ASSESSMENT AND STRATEGIC PLAN FOR IMPLEMENTING THE NATIONAL CAPABILITY BUILDING FRAMEWORK (NCBF)

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The task of building the capabilities of Panchayati Raj Institutions (PRIs) has emerged as a key for realizing effective local self-governance in India. It is almost two decades since Article 243 was added to the Constitution which permanently instituted elected rural and urban local governments across the country. However, as periodic assessments of their status have shown, these are yet to fully come into their own. The legislation was historic, giving definitive shape and direction to the ideal of local self-governance that had engaged political and development discourse in India since before independence. It was also a gigantic step forward in the process of deepening democratic governance in the country that began with constitutional democracy in 1950. However, institutionalization of these structures in the socio-cultural and demographic realities of rural India has been weak at best and clearly requires concerted and systematic effort by higher levels of government.

This assignment is directed towards that larger objective, and is part of the efforts of the GoI-MoPR in partnership with the UNDP in seven focal states (including in Madhya Pradesh), for achieving this.

### 1.1 Capacity Development for Local Self-Governance

Article 243 which was added to the Constitution in 1992 requires the institution of elected and non-lapsable rural and urban local governments; this was a distinct watershed in democratic governance in the country. Article 243 was added during a period of discourse on the decentralization of governance in the country. On the one hand was a clear realization of the inefficiencies of centralized planning and implementation of development programmes and provision of basic services and the global recognition of the superior efficacies of decentralized governance in this respect. On the other hand was the long-continuing articulation of the need to enable local self-governance in the country along the Gandhian ideal of 'village republics' underlying the directive principle of instituting Panchayats enshrined in Article 40 (Part IV) of the Constitution. A third layer of a democratically elected representative government within arm's reach of citizens, visible and accessible, and with a forum for face-to-face deliberations on matters of local concerns and developments—or precisely for local governance—was created.

While together the two impulses propelled the institution of the third tier of a constitutionally guaranteed government, it is useful to recognize that these impulses originate in two identifiably different discourses, with differences in their underlying rationales, theoretical underpinnings, visions of the community, and institutional priorities for local governance. Equally, **the vision, structure, and content of local self-governance as inscribed now in Article 243 marks a paradigm shift both from pre-independence notions and practice as well as from post-independence policy and programmatic efforts on local governance in the country.** The effectiveness of the contemporary vision for local governance requires a substantial and concerted effort not only to institute and activate local governments, but to ensure that these efforts are aligned with the constitutional vision.

#### 1.1.1 Constitutional Mandate and Vision for Local Governance

Article 243 sets out mandatory provisions regarding the structure, constitution, composition, election procedures, resource allocation, and core functions of Panchayats and urban local bodies (ULBs), some of which, such as the reservation of elected positions for women, Scheduled Castes and Scheduled Tribes,

are nothing short of revolutionary. Others, in combination, ensure their continued existence and provide safeguards against dissolution or supercession, assure independent elections by State Election Commissions, and direct the allocation of resources by independent State Finance Commissions; in all, they provide a secure foundation for their existence and functioning. The provision for reservation of seats for women, and for SC and ST groups make the Panchayats and ULBs more representative of the general population than the higher levels of government have been so far.

Much of the detailed design of local governments, with respect to their specific roles and functions, structure, and functioning is left to the states because local governance is a state subject. This is also consistent with the fact that ground realities in India differ not only in terms of geographical, socio-cultural, and economic characteristics, but also in historical patterns of local governance arrangements, and thus entail context-appropriate arrangements. The task of instituting local governments, enabling their effective functioning, and developing their abilities includes locally appropriate organizational arrangements and systems by state governments. This is in addition to developing their abilities to perform their roles and tasks.

Governments at the Centre and in the states have the joint responsibility of ensuring the full implementation—in letter and spirit—of these constitutional provisions for local governance and of enabling the emergence of democratic and effective local governments. Efforts by the Centre are particularly critical in the context of rural local governments, that is, Panchayats, as developmental outcomes of effective local self-governance are urgently needed, and the social and cultural characteristics of large parts of rural India frequently militate against easily instituting democratic local self-governance. State efforts in developing context-appropriate visions, policies, and organizational designs and undertaking capacity development are equally important as these are areas in which the states have primary jurisdiction.

### 1.1.2 Capacity Constraints on the Functioning of Panchayats

Though Panchayats of the form specified in Article 243 have been in place and have been functioning in some manner for almost two decades, the full intent of the constitutional provisions are yet to be realized substantively, except in a few pockets in the country. This is captured in the periodic assessments of their status published by the Ministry of Panchayati Raj. Panchayats, in the main, continue to remain under-institutionalized, weakly resourced, and poorly organized to function as effective ‘institutions of local self-governance. Participation by and efficacies of elected representatives (ERs) are uneven and despite notable examples to the contrary their processes of governance are at best sketchy in most locations. Nevertheless, it is the few but increasing examples of active and effective Panchayats, with visible and impressive self-governance outcomes, that hold out the promise of dramatic rural transformation if local self-governance is to be realized across the country.

The weak capacity of the institutions of local self-governance to carry out their mandated functions has frequently been used as an alibi for disempowering Panchayats. In this context, the issue of capacity building of local ERs and functionaries has attracted increasing attention in recent years. It is clear that extensive and systematic efforts by the higher levels of government are required to build, develop, and support the functioning of Panchayats. Recognizing this responsibility, the Ministry of Panchayati Raj (MoPR), convened several round tables of state ministers between August and December 2004. Among the various initiatives discussed was the need for extensive capacity building of PRIs and building and developing the capabilities of ERs and PRI functionaries for effective local governance. A summary of the recommendations made at the 7<sup>th</sup> round table held in Jaipur in December 2004 is given in Annexure I.

Following these recommendations, MoPR launched the National Capability Building Framework (NCBF), incorporating elements of the training and other inputs to be provided to Panchayat ERs and functionaries.

### 1.1.3 The National Capability Building Framework (NCBF)

Currently, there are about 2.4 lakh Panchayats in the country with over 28 lakh ERs and more than 10 lakh officers and functionaries. Between one-third to over half of the ERs in different states are women, depending on the extent of reservation for them in the last elections. About 7 per cent of the ERs represent Scheduled Tribes and over 12 per cent are from Scheduled Caste constituencies.

Panchayats have constitutionally been given two roles:

- Planning for economic development and social justice, and
- Implementing schemes and programmes entrusted to them by higher levels of government.

Though the Constitution gives primacy to the planning function of Panchayats, their role in implementing schemes and programmes entrusted to them by the higher levels of government has been emphasized to a larger extent in actually enabling and devolving powers to them. In particular, Panchayats have progressively been endowed with the responsibility of implementing a number of large flagship development programmes of the Government of India (GoI). The most significant of these programmes in terms of their roles are the National Rural Employment Guarantee Scheme (NREGS) and the Backward Regions Grant Fund (BRGF), which are also currently among the major rural development programmes in the country. BRGF also endeavours to strengthen the planning function of Panchayats as it requires them to produce district plans through a consolidation of the plans of the local government. States have also assigned Panchayats specific roles in a number of schemes, though the extent and nature of these roles differs across states. Given these trends, and the developmental and democratic imperatives needed to strengthen local self-governance, it is inevitable that the responsibilities and roles expected of these institutions should expand substantially.

For effective discharge of such extensive responsibilities, Panchayats need to be endowed with adequate capacities and their ERs and officials need to possess adequate capabilities. Neither of these exist to any reasonable degree at the moment so diverse initiatives by higher levels of government are necessary to actualize local self-governance and to strengthen the functioning of Panchayats. Key among these is building the abilities of the members and personnel of these institutions in all their diversity. Realizing this, MoPR developed NCBF in 2006 (relaunched in 2009) to support capacity development of local governments.

NCBF provides a guiding framework for developing the capacities of PRI representatives and functionaries. Though the focus is primarily on developing and conducting a variety of training programmes in a time-bound manner, a host of other initiatives are also included for effective capacity development. After developing NCBF, MoPR also undertook a number of steps to support its implementation by the states. The current assignment is one such initiative.

### 1.2 Assessment of State Capacities for PRI Capacity Development

Among a number of initiatives taken for the broader goal of capacity development, MoPR is currently implementing the Capacity Development for Local Governance (CDLG) Project with support from UNDP in the seven focus states of Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, and Uttar Pradesh. Another UNDP project 'Capacity Development for District Planning' (CDDP) supports the Planning Commission's mandate of improved capacities in integrated inclusive district planning at the national, state, and district levels. Together, the two projects aim to contribute towards the larger goal of ensuring effective local self-governance and participatory planning.

### 1.2.1 GoI-UNDP Capacity Development for Local Governance Project

The CDLG Project is aligned with the goals and objectives of NCBF and aims to strengthen institutions and processes at various levels which bring about a behavioural change through increased motivation, joint decision-making, the provision of resources (that is, networks, resource persons/institutions, training courses/material, information, and innovative solutions and methods), and personal empowerment. Key partner institutions in this process are training institutions, such as State Institutes for Rural Development (SIRDs), Panchayati Raj Training Institutes (PRTIs which exist in a few states), and Administrative Training Institutes (ATIs), which have the mandate to train ERs and officials in local governance. State Training Institutions (STIs) are also mandated to train PRI-ERs and officials as well as personnel of line departments in planning.

It has been the experience that these institutions put together are unable to meet the responsibility of providing the required training to PRI-ERs and officials. Reviews of SIRDs' capacities by the National Institute for Rural Development (NIRD), external evaluation of STIs by the Administrative Staff College of India (ASCI) (commissioned by UNDP), and a review of the BRGF programme by the World Bank and UNDP also bring out the limitations of existing organizational networks in selected states in this respect.

Despite the presence of some common issues that plague the domain and operations of effective capacity building in different states, organizational set-ups and specific issues differ across states. Some common issues and many state-specific issues emerge from the reviews mentioned earlier. However, these fall short of providing a basis for developing a state-specific capacity building policy, infrastructure, and competencies. For one, these reviews are either focussed on training institutions only or—as in the BRGF Report—on assessing programmes. The more relevant question of the state's current abilities and preparedness to undertake effective capacity building of Panchayats remains unaddressed in these reports. Hence, MoPR felt it necessary to widen the scope of CA to cover the state as a whole and not merely SIRDs and also to extend its coverage from the seven UNDP focus states to all the 28 states and seven union territories (UTs) in the country.

### 1.2.2 State Capacity Assessment: The Chhattisgarh Pilot Project

Assessing state capacities to undertake the tasks of building the capabilities of Panchayats requires an approach which is different from the methodologies conventionally used for assessing organizational capacities. Hence, it was felt that the UNDP's Corporate Capacity Assessment Methodology could be effectively used for undertaking state capacity assessments. An exercise was initiated by the GoI-CDLG Project in August 2009 to apply this method through a pilot exercise in Chhattisgarh and for simultaneously developing a number of master trainers in the country who could carry out this exercise in the other states.

Hence, a team of CA experts, who had the expertise to undertake institutional capacity assessment using the UNDP self-assessment methodology, was invited from the UNDP's Regional Centre in Bangkok (RCB). Select experts from prominent national institutions were also invited to participate in the assessment exercise. The RCB team undertook a mission in Chhattisgarh in August 2009 (17 to 27) to adapt UNDP's CA methodology to the Indian context, test-use this methodology in Chhattisgarh along with experts from within India, and submit a comprehensive CA report with specific recommendations for the state.

The learning from the pilot project was useful for further state assessments. A few important lessons that were learnt are:

- While the UNDP's self-assessment methodology was rigorous and detailed, extensive use of long and detailed questionnaires was unsuitable to the Indian context.

- The extensive time and intensive focus required by all stakeholders was not possible in the organizational contexts in which they were applied. Self-assessments or joint assessments are not a practice in India and are particularly difficult to accommodate in the working routine of state departments and organizations.
- The conceptual and analytical familiarity required to effectively respond to the questions was by and large missing with the target groups within the state departments and organizations, except for the top tier. This is likely to be a particular problem in the less developed states which are a part of UNDP's focus states.
- The method was clearly not suitable for applying to state structures (for example, departments) without clear boundary conditions and discrete transfer of resources.
- An assessment of state capacity was not a sufficient or complete exercise in itself, particularly in the weaker states, as it largely resulted in a negative picture of gaps and deficiencies. For a positive outcome, this assessment will need to be accompanied by exercises for developing state-specific strategies to meet the gaps, ideally through visioning and strategic planning exercises involving key state stakeholders.

Overall, for systematic and sustained capacity building efforts for Panchayats, two related tasks were found to be necessary. *One*, a focussed examination of the status of each state, using a context-relevant and suitable approach. *Two*, identifying appropriate strategies and actions to meet the gaps and developing adequate state capacities for the recurrent task of building PRI capacities. The key is an integrated assessment of the state's capacities for building the capacity of Panchayats, which could serve as a context for developing a strategic plan and thereafter action plans for state capacity development.

MoPR has now engaged the services of the experts who participated in the capacity assessment mission in Chhattisgarh to assess the capacities of select CDLG states of Bihar, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, and Uttar Pradesh. However, it was clear that the self-assessment methodology was only an option, which could either be substantially adapted for the specific state or the state could also use alternative approaches. At the inception workshop conducted in Hyderabad (12–13 May 2010), a variety of alternative approaches were discussed for possible use in response to state-specific circumstances.

### 1.3 The Assignment: ToR, Objectives, Scope, and Content

For Madhya Pradesh (MP), a team from the Institute of Rural Management was engaged, including one expert with experience in the pilot state capacity assessment exercise carried out in Chhattisgarh. The detailed ToR for the assignment provided by the MoPR-CDLG Project is given in Annexure II. As is clear in the ToR, the Madhya Pradesh Panchayati Raj and Rural Development Department (MPPRDD) is the primary partner and the final ToR was to include specific requirements of the state. The scope and state-specific focus was discussed with the Principal Secretary (PS), Panchayat and Rural Development Department, MP, at the inception meeting held on 18 August 2009. A number of important questions, both in terms of larger issues and also specific ones pertinent to the state were raised by the PS, MP; these have been incorporated and the minutes of the meeting are given in Annexure III.

#### 1.3.1 Objectives and Outputs

The key objective of this exercise was to assess MP's capacities to implement NCBF and for undertaking planning with focus on PRI-ERs and officials. It is intended that the capacity assessment report and the proposed capacity development strategy for a given state must help, among other things, achieve 100 per



cent coverage of PRI-Capacity Building & Training (CB&T) delivery in a time-bound manner as indicated in NCBF and ascertain that only state-specific Panchayati and Rural Development (PRD) approved core content is used for training to ensure minimum acceptable uniformity and quality across the state.

An overall **framework** for the exercise, in the form of a **vision document** was developed at the inception workshop held in May 2010 at APARD, Hyderabad. The CDLG national team, CA experts, and faculty of the National Institute of Rural Development (NIRD) and the Andhra Pradesh Academy of Rural Development (APARD) took part in this process. This was to be further (re)defined during the CA exercise in each state, as a part of the state visioning and strategic planning exercise. The vision document is given in Annexure IV.

Two primary outputs were to be delivered, either separately or as part of the same document:

- **A state-specific capacity assessment report** with a clear set of institution-specific and overall recommendations towards the stated objective of implementing NCBF and undertaking planning, and
- **A state-specific capacity development strategy** for the given state to deal with all issues concerning PRI-CB&T (necessary for implementing NCBF and undertaking district planning) in a comprehensive and systematic manner.

### 1.3.2 Suggested Approach and Methods

The task was to be undertaken using appropriate qualitative and quantitative approaches, and drawing in principle upon the UNDP-CA methodology, which emphasizes participatory and self-assessment aspects. However, based on the learning from the CA pilot in Chhattisgarh, the experts could innovate and develop context-appropriate approaches to ensure high-quality outputs. As far as was possible the UNDP-CA approach of directly engaging relevant government departments, training institutions, SIRD and ATI officials, and other capacity development partners (such as NGOs and other training institutions) should be used.

Methods could vary depending on the approach adopted, and could include interviews, questionnaire surveys, and document reviews. The desk review was to necessarily include a review of the outputs and outcomes of previous assessments by other institutions (for example, the ASCI, WB-UNDP BRGF Review) to guide the CA context. Understanding state capacity gaps and challenges, and how the state-level institutional framework can specifically respond to these could be developed through consultations with relevant departments, training institutions, and other institutions active in CD of Panchayats in the state.

### 1.3.3 State-Relevant Issues and Questions

While agreeing with the ToR as set out by the national CDLG team, the PS, MP, RD-PR raised a number of state-specific questions and issues that were to be examined in this exercise at the inception.

#### 1. Size, location, and composition of target groups

The issue of capacity building of Panchayats in MP has to take into account three unique characteristics, which substantially increase transaction costs of any capacity development efforts in the state:

- The sheer size of the state, which is among the largest states in terms of geographical area in the country,
- The extremely small size of Gram Panchayats (GPs)—almost 80 per cent comprise of about 1,000–1,500 voters, and
- The exceptionally large volume of organizations, ERs, and functionaries that result from a combination of the two earlier attributes, and therefore have to be addressed.

## 2. New training content required for implementation functions

With the introduction of new ‘flagship’ programmes, particularly NREGS and BRGF which are to be implemented by Panchayats, and the introduction of e-governance concepts and infrastructure, additional competencies that were not typically taken into account in Panchayat training now need to be considered. These specifically include:

- **Managerial** competencies, including an understanding and skills for project management, and
- **Technical** comprehension, particularly of **construction** and **IT systems**.

So far, existing organizational structures involved in capacity building in the state have weak competencies in these areas, and ways to augment or build such competencies in the capacity building landscape has to be addressed.

## 3. Need to substantially expand institutional capacities

Given the exceptional number of target groups and hence the volume of output required, a wider range of capacity development inputs are necessary and the time-bound nature of delivery of some inputs, such as orientation of newly-elected representatives, mean that the existing organizational capacities will need to be substantially augmented. Suggestions for ways of expanding and augmenting current capacities should therefore be incorporated.

## 4. Necessity for a separate PR capacity development structure

Given the volume to be addressed on a recurring basis, and the fact that the current nodal structure for Panchayat training is under the purview of MoRD, whether there is a need for separate Panchayat training infrastructure is an important question. This acquires importance in light of the resource needs for the requisite expansion and the willingness (or otherwise) of MoRD to support this expansion of the SIRD system. The feasibility of expanding the current structure vis-à-vis establishing a separate system needs to be examined.

## 5. Decision not to depend on training infrastructure of other departments

One of the directions in the ToR was exploring possibilities of using training infrastructure available with other state departments, such as health and education. It was made clear at the inception meeting that this was not a viable option in the context of MP as such infrastructure was typically fully engaged in the training requirements of other departments. This was particularly so with the introduction of new flagship programmes like the National Rural Health Mission (NHRM), Sarva Shiksha Abhiyan (SSA), and others that involve extensive training of para-workers and other staff engaged under them. Moreover, the training needs of Panchayats are voluminous, recurring, and bound to be long term so depending on borrowed infrastructure and capabilities except for filling some gaps was not an effective solution.

## 6. Ownership of recommendations and strengthening process

An important question was raised by the PS regarding the ownership of recommendations emerging from this exercise and the ensuing responsibility of resourcing their implementation. While this team is not competent to respond to this aspect, it is an important dimension that is being flagged for consideration by commissioning authorities.



## 2. FRAMEWORK AND METHODOLOGY FROM CAPACITY DEVELOPMENT TO CAPABILITY DEVELOPMENT

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Since the term ‘capacity building’ is variously used in the development domain, and the fact that two other terms—‘capacity development’ and increasingly, ‘capability development’—are also used, and frequently interchangeably, it is necessary to select the appropriate term for this exercise and define it clearly.

Further, it is necessary to elaborate on the unique dimensions of the task of ‘Assessment of State Capacities for PRI Capacity Development’, for what is usually discussed in the context of local governance is capacity development of Panchayat representatives and personnel, typically understood as providing them training. This assignment, however, pertains to state capacities (to undertake CD of Panchayats). This is not only completely different from developing the capacities of Panchayats that are typically discussed, but as illustrated in the Chhattisgarh pilot, go beyond the typical assessment of organizational and institutional capacities and therefore need to be approached differently. **Developing an appropriate framework/methodological approach** is an important task and is the first step as no standard methodologies exist for assessing open systems like state departments and state organizations that may technically be bound and autonomous but in effect function as departmental extensions, as the SIRDs/ATIs do. **Neither is there a comprehensive logical framework for the task of PRI capacity development**—NCBF addresses only a small part, and that too with noticeable limitations/gaps. Such a framework therefore needs to be elaborated upon so that the state’s status in this respect can be systematically assessed.

It must be noted that this assignment is set within the broader context of assessing the state’s capabilities of developing the abilities of Panchayats to function as effective local governments, but the specific focus is on the state’s capabilities to implement NCBF. The approach adopted by this team was therefore to elaborate on a comprehensive framework for assessing state capabilities to develop effective Panchayats, within which the specific question of state capabilities to implement NCBF was examined. There are three reasons for this approach. First, given multiple interpretations of the capacity development task that exist in the domain—and which surface repeatedly in all workshops and discussions on the topic— specifying the meaning of the terms and the full implications of a state capability assessment was necessary, if only to clearly delineate the boundaries of this exercise and what remained outside. Second, in the absence of an established methodology, this comprehensive framework could serve as a tool for examining state capabilities comprehensively, which justified the effort. Third, and most important to this exercise, is the need to identify key areas/aspects which are closely related, so that even if they are not included in this assessment, their status and implications for implementing NCBF could be broadly considered. For all these reasons a comprehensive framework for the assessment of state capabilities was developed, and is presented at the outset before marking out the exact scope of this assignment and the questions that are examined in this Report. The Report presents this in Figure 1 as a prelude to the actual assessment, as well as a tool for application during a fuller assessment as is recommended.

Figure 1: Steps Followed for State Capability Assessment and Identification of Strategic Options



## 2.1 Definitions

In the context of enhancing the abilities of people and/or institutions, the terms *capacity building*, *capacity development*, and occasionally, capability development are used interchangeably in the development domain. The three, however, have distinct meanings. These definitions are now explained, and the appropriateness of the last—capability development—to this exercise is explained.

### 2.1.1 Capacity Building and Capacity Development

Capacity refers to aspects of ‘size’ (for example, ‘holding capacity’) of organizations; for people it refers to their inherent and acquired knowledge and skills which are often equated with educational qualifications; building pertains to the creation of capacities. *Capacity building* in the organizational context refers to the creation of infrastructure, engagement of qualified people, and putting in place systems and processes for functioning. In relation to people, capacity building usually connotes the provision of (additional) education and/or training to provide knowledge and skills. It commonly refers to only the initial stages of the process of building or creating capacities, and is based on an assumption that there are no existing capacities to start from. This is pertinent to new areas/domains, or post-crisis situations where existing capacities have been lost.

*Capacity development* assumes the existence of some capacities and refers to their augmentation, growth, or increase. UNDP defines capacity development as ‘the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time’. The term commonly refers to the process of creating and building capacities and their (subsequent) use, management, and retention. It is more comprehensive and premised on the fact that there are some capacities that exist in every context.

Both terms, however, are generally restricted to an entity (organization, person) and to its inherent attributes and abilities. Inputs and initiatives for capacity building or capacity development focus on creating, developing, or providing of inter alia, infrastructure, personnel, qualifications, or skill development. Typically, the structural conditions that actually enable performance are not included in the analysis, despite fairly wide recognition that structural conditions are often predominantly the reason for non-performance

even when infrastructure and competencies are in place. That is, while under performance invites attention to capacity development, and higher capacities are equated with higher performance, *having the capacities per se does not ensure better performance* (for example, buying a bus and hiring a driver may still not enable field visits if the permission required to use the vehicle for that purpose is not there).

### 2.1.2 Capability Development

**Capability development** (derived from Amartya Sen’s conceptualization) is a more integrated and holistic approach that *examines all conditions required for effective functioning*. It emerges as a more comprehensive, integrated, and effective approach for application in the context of developing local governance and more specifically, the state’s abilities to engage in the task. Enabling the emergence of effective local self-governance is a function that the state is required to perform; and *capability refers to the abilities to actually perform that function*. This understanding broadens the task of capability creation and/or development to include *organizational infrastructure, resources and competencies, as well as the enabling policy and institutional systems that are required*.

The technically less accurate term ‘capacity development’, is also frequently used to connote much of the same meaning. UNDP, for example, uses it to mean individual, organizational, and institutional capacities, and includes the consideration of an enabling policy environment. What remains elusive, however, is the sort of ‘outcome focus’ that is connoted by the term ‘capability development’, which focuses attention on abilities (and not just capacities) and forces a consciousness of requirements for effective ‘functioning’. Further, there is an equally strong recognition that as important as intrinsic or ‘owned’ abilities are, equally important for the actual performance and the creation of outputs is the presence of enabling factors that are external to the actor, and over which the actor may have little control. The term capability development is therefore particularly suitable to the question of developing the capabilities of Panchayats as the task does involve extensive inputs from outside—Panchayats not only have to be constituted but have to be crafted by the state.

Nor does the use of this less-used but more accurate and appropriate term (capability development) prejudice or alter this assignment and the ToRs in any but a positive direction. What results is the capturing of small but crucial elements of capability development that are frequently not noticed, an overall orientation on interpreting the task as developing Panchayats’ abilities to work effectively and not least, a focus on the inter-related nature of many components of the task.

*In this exercise the capability development approach is used.* The approach, however, has to be specifically contextualized at the two levels that are implicated. First, to understand what is implied/meant by the **capabilities of Panchayats**. For if a Panchayat’s capability development is the task that is to be accomplished, the task content needs to be elaborated upon before the state’s capabilities to undertake this task can be ascertained. Second, what is meant by or involved in the question of **state capabilities to develop Panchayats’ capabilities** also needs to be laid out in order to develop the framework against which the assessment could be carried out (Box 1).

#### Box 1: Capacity Building to Capability Development

Capacities = potential to perform

➔ focus on organizational and/or personal attributes

Capabilities = ability to perform functions

➔ focus on organizational design and personal attributes  
PLUS conditions which enable effective functioning

### 2.1.3 Capabilities of Panchayats

To elaborate on what is meant by the capabilities of Panchayats, it is necessary to understand that they are organizations (or, as commonly referred to, institutions, though technically the two words have somewhat different meanings). As organizations, Panchayats have a purpose (or many), and in referring to a **Panchayat's capabilities, the reference is to the organization's ability to achieve the purpose(s)** that are identified or set.

A number of elements are involved in an organization's ability to achieve its purpose(s), which are commonly clubbed under the term organization design, including **strategy, structure and systems**, and the **appropriate integration of the people** in the organization. Aligning the organizational design with the overall purpose constitutes the task of organizational development (including design elements and people). In other words, **capability development of Panchayats comprises of aligning the various elements of the organizational design of Panchayats with the overall purpose.**

The various elements of organizational design that must be addressed are given below. Theoretical understandings are adapted to the local governance context to provide relevant details.

## 2.2 Framework for Developing Panchayat Capabilities

Effective institutional and organizational functioning results from a purpose-aligned organization design, which includes appropriate development of at least five aspects in tandem. These are core and essential components and their systematic identification, creation, and development are central to the task of capability development. They can also comprise key items for assessing the capabilities of Panchayats, if that were to be undertaken.

### 2.2.1 A Clearly Articulated and Widely Shared purpose and roles, Emerging from a Clear vision

The purpose and role(s) of rural local governments (Panchayats) are *apparently* clear, as is the vision of local governance which is to be achieved. However, in reality, there are at least two different roles enjoined by the Constitution—a sovereign role of '*planning* for economic development and social justice' and an agency role for *implementing* the plans/programmes of other higher governments. These are not incompatible but *are distinctly different in nature and therefore in requirements of organizational capability*. Moreover, the two imply very different visions of local (self) governance. ***Clarity on the larger purpose/identity of Panchayats in the state and the relative emphasis and expansion of the two roles that follow is necessary so that capabilities can be developed accordingly.***

#### Box 2 : Components of Panchayat Capabilities: Purpose and Role Definition

1. Does MP have a local governance policy/vision document that clearly articulates the purpose and role of Panchayats?
2. Does the MP state Panchayat Act and Rules contain an unambiguous and coherent statement or section that can serve the same purpose?
3. Can a clear and unambiguous—and therefore assumed to be politically consensual—state-specific vision for local governance and purpose/roles for Panchayats in the state be read from the Act and Rules?

Such clarity can only emerge at the state level because constitutionally local governance is a state subject, and in recognition of this, constitutional provisions leave the actual definition and design of local governments

to the states. Article 243 provides only the larger vision, a skeletal structure, and some non-negotiable elements. Clearly articulating the specific vision in relation to a state, including a definite position on the relative development of the two primary roles is imperative both in terms of state autonomy as well as the capability development of Panchayats. In the absence of a clear articulation of policy that can serve as a guiding document for the capability development of Panchayats, efforts are uncoordinated and directed by the externally imposed growth of implementation responsibilities, particularly in the form of flagship development programmes. While in itself such a role and its developmental impacts are not undesired, this disjointed incrementalism will result in an unintended, and perhaps undesired, but substantial redefinition of the overall vision, that is, in undesired goal displacement.

The state Act and Rules usually specify the broad architecture and some details of the organizational structure and procedures, and often do not provide a singular, coherent, consistent, and clearly articulated statement of the type given in Box 2. On the other hand, lack of such a statement in the face of a compendium of statutory specifications relating to an array of items (as in the Act and Rules) inevitably introduces contradictions, multi-directionality, and cross-purposes in the purpose of Panchayats, the tasks that logically flow from that purpose, and therefore, to capability *development efforts*.

### 2.2.2 Organization Design—Strategy, Structure, Systems, and Staffing

While a skeletal design of the organizational structure and some components are mandated in Article 243, and many of those left to state discretion are specified in the State Panchayat Act and Rules, their effectuation and operationalization needs to be ensured, and additional organizational details that are required for effective functioning must be put in place. Systematic attention to building organizational capabilities demands paying attention to strategy, structure and systems, and assessing whether a workable organizational design for Panchayats of different tiers in the state is firstly, *spelt* out and secondly, *effectuated*.

Typically, attention has been drawn to the appropriate transfer of functions/activities, functionaries, and funds. It is necessary that these are aligned with the overall vision of local governance and desired purpose/roles of Panchayats either made explicit in a local governance vision/policy document (or read from the Act and Rules if possible). However, in *terms of organizational effectiveness, these are insufficient in themselves*. Attention has to be paid to developing an adequate *structure-endowment* of appropriate/adequate authority, resources and personnel, and appropriate and clear distribution of roles, responsibilities, and resources within the organization as well as in the *systems*, that is, *inscription* of appropriate rules and procedures that set up effective and efficient operations. The important consideration here is that not only should *these be attended to, but also that they are developed in tandem and in a sufficiently integrated manner to enable coherent functioning*.

#### Box 3 : Components Of Panchayat Capabilities: Organizational Design

- What Is The Organizational Design Envisaged For Panchayats At Different Levels In Terms Of Strategy, Structure, And Systems?
- To What Extent Are These Actually Operationalized?
- If No Consolidated Picture Has Been Developed, What Emerges From Current Policy, Provisions, And Practice?

### 2.2.3 Authority to Perform Definite Functions and Undertake Constituent Activities

That authority should be suitably endowed to different positions in the organizational structure for discharging allocated functions/activities is self-evident, but what is often missed is that the *distribution*

of authority should be appropriate for both the expected role and effective and conflict-free organizational functioning. Both *inadequacy and imbalance* are key issues which need to be examined and attended to.

#### Box 4 : Components of Panchayat Capabilities: Authority

- Has adequate authority been devolved for discharge of different functions and activities?
- Is the devolved authority consistent with role-holders' responsibilities?
- Is the distribution of authority appropriate to overall organizational purposes, role distribution, and removal of role conflicts?

### 2.2.4 Resources—Organizational, Practical, Informational, Cultural

That adequate resources are required for effective organizational functioning is not in doubt, but *often resource flows are limited to allocation/availability of funds*. Extremely important and central though this is, effective utilization requires simultaneous **availability/access to information and endowments of practical resources** like equipment, furniture, and stationery. Often clubbed as 'infrastructure', the lack of a 'practical needs' approach to providing items required for effectively undertaking different activities often results in poor operations, or worse undesirable practices. In the absence of information and practical resources, even the availability of funds does not ensure their effective utilization, though funds may still be substantially absorbed, as is widely seen to happen.

Another invisible but crucial resource is **cultural**, which consists of cultural norms, practices, images, and symbols that structure organizational functioning in intangible but definite and unambiguous ways. Cultural norms relate to both organizational functioning and inter-personal and inter-organizational behaviour and relationships. Unfortunately, cultural resources that would enable and sustain democratic and effective local self-governance by Panchayats are scarce, and worse, their importance is scarcely realized. However, attention must be paid to developing, augmenting, and inscribing such norms, images, signs, and symbols consistent with the desired vision of local governance and the roles expected of Panchayats and the people constituting them.

#### Box 5 : Components of Panchayat Capabilities: Resources

- Have adequate financial resources, information, and practical support been endowed for discharge of roles and for undertaking specific activities?
- Are these consistent and complementary?
- Are there sufficient (or even any) precedents/examples/experiences to draw upon?
- Are there precedents/examples/practices that militate against effective discharge of roles and in undertaking specific activities?

### 2.2.5 People—Competencies, Confidence, and Motivation

Building the capacities of the people who constitute Panchayats—ERs and functionaries—has been typically the focus of capacity building efforts, often bypassing the other ingredients of effective functioning that are equally necessary. Moreover, even the building of people's capabilities has most often been restricted to providing training inputs, though additional elements like exposure visits are increasingly drawing attention. Systematic efforts at making Panchayat members and functionaries capable of doing their jobs must include paying attention to building role-appropriate *competencies, confidence* (particularly in elected members), and *motivation* for taking on the new and unaccustomed roles. These are to some extent linearly



consequential—competencies build confidence leading to improved performance, and the two together fuel motivation—but attention also needs to be focussed on developing improved performances and motivation.

The **competencies** that are required include role-appropriate *perspectives, knowledge, attitudes, and skills*. While functional knowledge and skills are often incorporated in training, attitudinal aspects as well as overall perspectives of local governance within which these roles and responsibilities are defined are paid scant attention. All these must be included simultaneously in capability development efforts for synergistic and productive results.

**Confidence** is a key factor in effective role-taking, particularly by ERs who have few acquired competencies, little or no exposure, and no mentors, such as family or friends with political experience or skills. Confidence is built by *experience, exposure, organizational affiliation, handholding, and mentoring*, all of which require separate and specific attention for they entail different approaches, initiatives, and interventions.

**Motivation** ensues from a combination of competencies and confidence and the *presence of adequate incentives*. Incentives may be varied—positional, financial, political, social, or economic—and are a product of organization design and the external context. The presence of clearly visible and easily accessible incentives fuels motivation, which can offset competency and confidence deficiencies, and also preclude rent-seeking under normal circumstances. Hence, the presence of incentives (or disincentives) has to be explicitly examined and sufficiently strong incentives must be instituted. Incentives are best inscribed in the organizational design.

#### Box 6 : Components of Panchayat Capabilities: People

##### Elements of individual 'capability'

- Competencies—comprising perspectives, knowledge, attitudes, and skills
- Confidence—emerging from experience, exposure, organizational affiliation, handholding, and mentoring
- Motivation—presence of adequate incentives (economic, political, social, and moral) for role-taking built into the organizational design

##### Panchayat capability assessment questions (people)

- What are the different kinds of capability development requirements of different groups?
- What types of inputs are being provided currently to each group?
- Are the requisite set of inputs and steady-state support required for each group being delivered? (GAP identification)
- Is the type, content, delivery mode, logistics, and delivery tailored to the target group's attributes?
- What kind of incentives/disincentives exist for different groups?

Capability development of *different groups within the organization requires differential emphasis on the components mentioned in Box 6, as well as different content* in relation to personal attributes and organizational roles. For example, ERs may need extensive confidence building while functionaries may require attitudinal and behavioural change interventions. Similarly, the current movement towards stronger local governments implies role revisions for state personnel. These, however, present strong disincentives but adequate thought must be given to how such shifts could be incentivized or at least the disincentives neutralized.

Most important, all capability development *inputs must be tailored to the recipient's requirements, absorption level, and characteristics*. Matching content to the attributes and needs of target groups is key to the success of all efforts.

## 2.3 State Capabilities to Develop Panchayat Capabilities

The task of developing the capabilities of Panchayats is not just a matter of training the people in them, but of organizational (or preferably, institutional) development. The state carries this responsibility, and the organizational structures developed for this purpose need to be capable of discharging the tasks associated with achieving this purpose. An assessment of state capabilities to develop effective Panchayats involves assessing the organizational capabilities of the structures developed for this purpose. This involves three parts:

- Elaborating the tasks involved in developing Panchayat capabilities,
- Mapping the organization/s involved with the tasks associated with building Panchayat capabilities to assess whether all tasks are being addressed, and
- Assessing the capabilities of state organization/s to undertake the specific purposes/tasks that they are charged with.

In other words, the question of a state's capabilities for carrying out the task of developing Panchayats as capable local governments consists of looking into the *content, size, and nature of the tasks*, as well as the *sufficiency* and *capabilities* of the organizational structures of the state (or charged by the state) to undertake a *range* of tasks.

A framework to assess the status of state capabilities can be elaborated upon by sequentially considering at least five questions relating to:

- **The task content**, that is, *WHAT* needs attention, or the composition of the task of building Panchayat capabilities,
- **The target population**, that is, *WHOSE* capabilities are to be built, including both organizations and people,
- **The time-frame**, that is, *WHEN* it has to/can be done (time-lines and sequencing),
- **The task process**, that is, the organizational structures that are in place and *HOW* they address the tasks that they are charged with, and
- **The capabilities of the state organizational structures** involved in terms of their design, structure, systems, and the capabilities of their personnel, that is, *HOW WELL* they are equipped to deliver on their mandate.

### 2.3.1 The Task Content

Capable Panchayats require effective organizational design, structure, systems, and capable people. These *constitute the outputs required from the state machinery for Panchayat capability development*. MPPRDD, which is the state arm charged with the task of developing Panchayat capabilities must ensure at least the following:

- Developing a clear vision for local governance in the state, and articulating the overall *purpose* of (each type of) Panchayat in a manner that is widely and easily understood,
- Developing an *adequate institutional framework* (policy, legislation, rules, orders) for the capacitating and functioning of Panchayats as envisioned,
- Developing *effective organizational entities to undertake Panchayat capability development* tasks listed here,



- Developing *adequate knowledge-generation and transmission infrastructure* for the domain to support development, including capability development, and effective functioning of local governments,
- *Specifying the functions/tasks/activities to be undertaken* by (each type of) Panchayat,
- Delineating and instituting an *appropriate organizational design for each kind of Panchayat*, including appropriate structures and systems consistent with their purpose/tasks/activities,
- Transferring the *authority* to undertake the tasks/activities,
- Ensuring the *availability of adequate financial, informational, practical, and cultural resources* for the discharge of their functions/tasks/activities,
- Undertaking appropriate measures for inducting, developing the capabilities of, and integrating the people (elected members and staff) into the structure and systems,
- Ensuring *adequate numbers of capable personnel*, with appropriate competencies and sufficient confidence and motivation for undertaking the tasks/activities by suitable induction and training,
- Providing any other support necessary for effective functioning.

This list constitutes the task content of the state/its organizations; it also provides the checklist of questions to be examined in assessing state capability for developing able and effective Panchayats (as listed in Box 7). Three important aspects need to be specifically addressed with regard to each question:

- Is the responsibility for each task clearly allocated to an organizational entity (or part thereof)?
- Is the responsibility being systematically and comprehensively undertaken and a desired level of output being created?
- If not, what are the gaps and/or issues that need to be addressed?

#### Box 7 : State Capacity Assessment: Task Content

- Is there a clear and unambiguous articulation of the vision of local self-governance in the state, including overall purpose of (each type of) Panchayats, in a way that is widely and easily understood?
- Does an adequate institutional framework (policy, legislation, rules, orders) for the capacitating and functioning of Panchayats as envisioned exist?
- Do effective organizational entities exist to undertake the Panchayat capability development tasks listed here?
- Is there adequate knowledge-generation and transmission infrastructure for the domain to support the development and functioning of effective local governments?
- Is there clear specification of the functions/tasks/activities to be undertaken by (each type of) Panchayats?
- Is an appropriate and effective organizational design consistent with the purpose/tasks/activities worked out and instituted for each kind of Panchayat, including appropriate structures and systems?
- Has adequate and effective authority to undertake the tasks/activities been transferred to the Panchayat/specific role-holders?
- Have/are adequate financial, informational, practical, and cultural resources for the discharge of their respective functions/tasks/activities been/being provided to different kinds of Panchayats?
- Are appropriate measures to induct, develop the capabilities of, and integrate the people (elected members and staff) into the structure and systems in place and functioning effectively?
- Have adequate numbers of capable personnel, with appropriate competencies, and sufficient confidence and motivation for undertaking the tasks/activities been inducted, trained, and placed in Panchayats?
- Is other support required for effective functioning of Panchayats being provided?

### 2.3.2 Target Population: Panchayats and Individuals

It is often forgotten that developing the capabilities of Panchayats is primarily about developing effective institutional and organizational structures and also developing the abilities of the people in them (members and functionaries) to do their jobs, simultaneously or at least in close parallel. In other words, more than half the task comprises organizational development as described earlier, and as is evident from this, only one part—an important and substantial part, nevertheless—has to do with building the capabilities of ERs and functionaries.

The target population is of two types:

- **The set of organizations/institutions that constitute the Panchayat system**, primarily the Gram Panchayat (GP), Janpad Panchayat (JP) and Zilla Panchayat (ZP), their respective offices (since the term ‘Panchayat’ often refers to the elected body only), the District Planning Committee and its secretariat/office, and any other resource/training institutions that are directly under their control.
- **The people in Panchayats and related organizational entities**, including ERs, officers, and staff (functionaries).

#### 1. Organizations

To ascertain the capability development efforts that are necessary and for estimating the required inputs and volumes, it is necessary to assess the number of different types/categories of organizations and their respective characteristics. Further, it is also necessary to assess their status with respect to the purpose, roles, and tasks envisaged/assigned to them, and developing accurate quantitative and qualitative maps of the organizational inputs and resources required. That is, a clear picture of existing organizational structures of Panchayats and related organizations and their operations/functioning is first necessary to serve as the basis for developing organizational capability. Such an assessment must necessarily be based on a perspective of organizational design and capture all facets identified above for any significant capability-development utility.

#### Box 8 : State Capacity Assessment: Target Groups

##### Panchayats (as Organizations)

- What are the different types of Panchayat and Panchayat-related institutions, and the numbers and characteristics of each type?
- What are the functional expectations of each type?
- What are the capability gaps and, therefore, the organizational capability development requirements of each type?

##### People in Panchayats

- What are the different categories of people in Panchayats, and the numbers and characteristics of each group?
- What are the role/task expectations from each group?
- What are the capability gaps and, therefore, the kind of capability development requirements of different groups? (*capability needs analysis*)
- What types of inputs are being provided currently to each group?
- Are the requisite set of inputs and steady state support required for each group being delivered? (*capability development practice gap identification*)
- Is the type, content, delivery mode, logistics, and delivery tailored to the attributes of the target groups?
- What kind of incentives/disincentives exist for different groups?
- Are outcomes of role-taking (incentives/disincentives) discussed in the capability development interface?

A mapping of the constituents of Panchayats—ERs and personnel of different types and levels—including their numbers, characteristics, types/groups, and capability development needs in relation to their personal characteristics and their role/task requirements is also needed. The last is often termed ‘training needs assessment’ (TNA) but typical TNA approaches and methodologies do not encompass the context-specific requirements of non-classroom components (for example, handholding). Therefore, an ‘expanded/expansive’ TNA along the lines of a ‘capability needs assessment’ must be ensured to accurately map the diversity of aspects and interventions necessary to develop the gamut of competencies, confidence, and motivation elements.

### 2.3.3 The Temporal Dimensions

Appreciating the time-frames required for developing capabilities of Panchayats is an important facet of effective capability development. Some of the important reasons for drawing specific attention to this include: One, *time-frames associated with developing the capabilities of different target groups differ* (for example, between organizations and individuals, and among the individuals between ERs and functionaries). Two, *different capabilities typically develop over different time periods, but for effective functioning some synchronicity needs to be achieved*. Appreciation of this issue can draw attention to the need of finding creative methods, over-resourcing, and other mechanisms for those aspects that are longer-term in their development but are crucial elements of the mix (for example, attitudinal changes). Three, the realization that capability development for local governance is *now going to be a long-term responsibility of state governments*, with recurring peaks at certain junctures, such as re-elections or substantial (re)assignment of responsibilities (for example, with the introduction of a new programme). The limitations of a programme or project-based approach to capability development in the face of continuous requirements and the long-term nature of the task need to be specifically flagged for these are aspects which are often overlooked.

Of operational importance is the fact that there are peak periods where the needs of a large number of people will have to be addressed within a very short time, making super-normal demands on the capacities of the CD infrastructure. This is most obvious in relation to the post-election orientation that is required for all newly elected representatives, which will occur every five years. But other similar situations are also likely, such as the recruitment of staff for all the Gram Panchayats when the task of recruitment, orientation, and/or job training will be as prodigious. Finally, the logical/appropriate sequencing of different capability development inputs so as to ensure synergy and synchronicity is important.

Considering time-frames, timing, and duration are also important at the micro-level, for example in the design of training programmes, refresher modules, exposure visits, or telecast of awareness-building programmes. Capability development inputs of any kind, for any target group, need to be cognisant of their convenience, absorption capacities, attention spans, and socio-cultural/economic activity routines. Almost self-evident as this is, it is frequently not attended to in as much detail as it deserves.

#### Box 9 : State Capacity Assessment: Time-frames and Sequencing

- What are the time-frames associated with developing the capability of different types of Panchayats and the different capability requirements of each group?
- What are the time-frames associated with developing the capability of different target groups of individuals, and the different capability requirements of each?
- How are the required inputs distributed over time?
- How are required inputs related to each other and/or clustered in terms of mutual inter-dependence and synergistic action?

### 2.3.4 The Task Process

The task of developing the abilities of Panchayats to function as effective units of local self-governance comprises a variety of aspects and elements. Not only is this task huge, but many of its components are also closely related in their mutual efficacy. A point which is frequently not attended to, is the common mismatch in the transfer of the ‘3 Fs’—functions, funds, and functionaries—or worse, little attention is paid to providing the necessary orientation, information, and competencies to ERs and existing staff members.

Further, many of the capability development tasks are sequentially linked; that is, the shape and content of some key components are derived from the decisions embodied in the outputs of others. For example, a policy statement on the kind of local governance desired in the state and a clear statement on the overall role of Panchayats, which can only be articulated in a vision/policy document, is crucial for designing training inputs for different segments. Without such clarity in this institution-building stage when Panchayats are getting developed the purpose is open to (mis)-interpretation of specific training institutions or trainers. In fact, this is quite common with an overwhelming part of the training content focussed on programme implementation and information on rules and procedures thereof in general, as if Panchayats were nothing more than extended arms of the state rural development bureaucracy!

#### Box 10 : State Capacity Assessment: The Task Process

- What are the relationships between the various tasks in terms of timing, sequencing, and inter-dependence?
- What state organizational ensemble is responsible for the various tasks, and are all tasks appropriately and explicitly assigned?
- Is the distribution of task-responsibilities appropriate to their mutual inter-dependencies and logical clustering?
- Is the responsibility for inter-organizational coordination appropriately and explicitly assigned?
- Are the organizational entities sufficiently capacitated for discharging their assigned tasks?

These characteristics of the overall capability development task make it imperative that:

- distribution of state tasks across organizational entities is conducive to the nature and clustering of tasks and that coordinated inter-organizational functioning is developed as required by the task sequences,
- holistic and integrated mapping of the entire task is done to enable appropriate planning for and sequencing of different parts/elements thereof, and
- the relationships between different component tasks are respected in terms of sequencing of inputs/efforts.

The framework developed in this exercise provides a template for such mapping; it also provides strategic planning which considers the prioritization and appropriate sequencing of the different elements required. Inter-organizational coordination with respect to appropriate sequencing is a specific responsibility that must be explicitly assigned to and undertaken by one of the state organizational entities.

### 2.3.5 Capabilities of State Organizations

Effective discharge of capability development responsibilities by the state translates directly into the efficacy and capability of the organizational entities charged with the constituent tasks. State responsibilities in the rural local governance domain lie with the state nodal organ, in this case MPPRDD, but two other kinds

of organizational structures are implicated in building the overall vision of local governance, specifically the capabilities of Panchayats:

- The capability development structure—currently, SIRD and affiliated institutions.
- The knowledge development, support, and dissemination structure.

Assessing state capabilities means assessing the organizational capability of all the three structures, including the state department. That is, state capability assessment includes an organizational assessment of all entities explicitly charged with Panchayat capability-building responsibilities, as well as all the other aspects listed in Boxes 7 to 10. As in any organizational assessment, the examination in these cases must also include a range of questions, which pertain to purpose/tasks, organization design (strategy, structure, and systems), authority, resources, and people. It must be noted that the overall vision that these organizations must share is the same vision of local governance articulated by the state, and which is also reflected in the existence of Panchayats. However, a separate and definitive articulation of the specific purpose(s) of the organization itself and its roles in achieving the overall vision is important for effective organizational functioning. Whether this clarity is present, and widely understood, needs to be specifically examined.

### **1. The State (MPPRDD)**

The scope of this assignment excluded a systematic organizational assessment of the state nodal department, MPPRDD. The time-line and resources too were not amenable to more than a general examination of its structure. Moreover, the design of state department is a product of historical accretion, administrative requirements, and political necessity, and rarely amenable to an external technical evaluation. However, it is extremely important that the structural design and systems of the departments be explored at some point with regard to their capacities and design for steering and institution-building of the local governance domain. In particular, the relationship between the three different types of organizational structures—the state nodal organ (MPPRDD) for steering and policy making, the capability development structure for building Panchayat effectiveness, and the knowledge development structure for creating and providing knowledge support to both of these, must be specifically examined, and the most appropriate and synergistic arrangements conducive to effective development of the Panchayat system clearly defined.

### **2. Organizational Structure(s) for Capability Development**

The organizational structure comprises of a (set of) organizations that are directly charged by the state to develop the capabilities of Panchayats. While the typical pattern is that SIRD and/or the state Administrative Training Institutes (ATIs) are the nodal organizations designated for the purpose in most states, it must be realized that alternative organizational approaches to handling these tasks could be more optimal under certain contextual conditions and must also be explored by the state. The primary tasks in this respect, which are part of MPPRDD's steering and policy making responsibilities, include systematically considering the pros and cons of different configurations and defining the state's strategy for developing Panchayat capabilities and the preferred organizational choices in this regard. Developing the State Capability Development Policy and Design is an important responsibility to be undertaken by the state nodal department for it identifies, enables, and provides the framework for capacitating the organizational structures to be engaged in the capability development of Panchayats in the medium- and long-term, and the document itself is an important manifesto for actions entailed in this process.

**Box 11: State Capacity Assessment: State Organizational Capabilities****Questions regarding each state organizational entity:**

- Is the purpose/tasks clearly and explicitly articulated and widely shared within each organization?
- Is the relationship between the organizational purpose and tasks and the larger state vision of local governance clear and widely understood?
- Is there an effective organizational design in terms of strategy, structure, and systems that facilitates task achievement and builds motivation?
- Are the organization and/or role-holders endowed with sufficient authority to undertake their responsibilities?
- Is the organization sufficiently resourced in terms of funds, information, practical infrastructural requirements, and precedents/examples/images of good practices?
- Does the organization have an adequate number of people with task-appropriate competencies, and adequate confidence and motivation?

**2.3.6 The Comprehensive Framework—A Tool for State Capability Assessment**

The Comprehensive Framework for State Capability Assessment was developed in response to the overall task of state capability assessment undertaken by the team. It addresses all three levels of capability assessment incorporated in CA methodologies—individual, organizational, and institutional. Moreover, it is conceptually and contextually adapted to the task of assessing **state capabilities**, which differs in significant ways from organizational/institutional capability assessments. It is also adapted to the local governance context in India and is consistent with the growing understanding of the complex nature of the task of developing able Panchayats/local governments, which is the responsibility of the state and national governments. As such it is an effective tool which can be systematically applied and widely used.

This framework (see Figure 2), which incorporates both organizational and individual capability dimensions, is also consistent with the understandings and recommendations of important policy bodies like the 2nd Administrative Reforms Commission. Its report on local governance emphasizes that capacity building is more than mere training of individuals and improvement of existing skills. The Commission identifies individual and organizational development as the two major components of capacity building. However, as explained earlier this is a limited term.

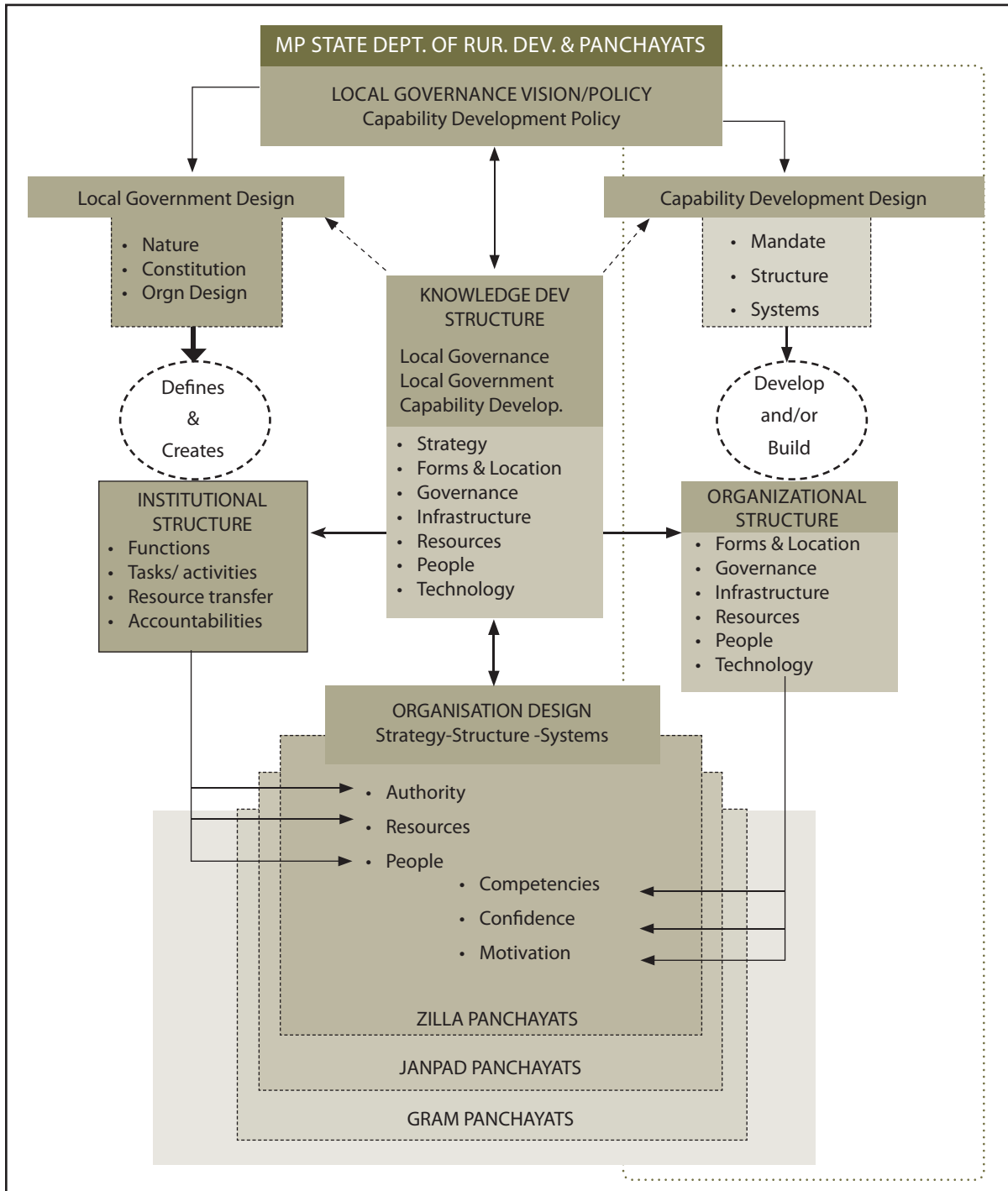
The Capacity Assessment Report on Strengthening of State Support Institutions in the UNDP focus states (done by ASCI in 2008) also emphasizes the importance of strengthening both organizational and individual capability for effective local governance. Citing the 2nd ARC Report, the ASCI team reiterates that mere development of individuals as is typically undertaken in the name of capacity building of local governments is unlikely to be effective in the absence of support for the development of local bodies as organizations. On the other hand, it would yield only negative consequences due to increasing frustration, and eventually, withdrawal of more capable individuals from local governance. Experience also illustrates that wherever training inputs in the form of individual development have shown results, they have been preceded or accompanied by massive devolution of funds, functions, and functionaries.

An adequate and context-appropriate elaboration of the elements of a comprehensive process and the relationship between various components, however, has not been undertaken. Even the common delineation of the components of both individual and organizational assessments is extremely limited—organizational strengthening is typically understood as an appropriate devolution of the ‘3Fs’ and individual development



is limited to enhancing an individual’s knowledge, skills, and information levels. This comprehensive framework incorporates a holistic understanding of both organizational development and individual capabilities; while all may not be achieved easily, the elision of many important elements in even the idea of capability development underlying current efforts means no attempt is made to develop some key ones. Application of this framework is much more likely to deliver significantly more effective outcomes.

**Figure 2: Comprehensive Framework for State Capacity Assessment with Scope of Current Exercise Outlined by Blue Dotted Line**



## 2.4 Scope of the Exercise, Approach, and Limitations

The comprehensive framework for understanding and assessing state capabilities shown in Figure 2 provides a mapping of the state's task of developing the capabilities of Panchayats, including institutional and organizational structures that require attention as well as the aspects to be considered in each such structural component. For effective and efficient development of Panchayat capabilities, without undue dissipation of energy and of resources, all parts of the framework need to be addressed in a planned and systematic manner.

**This current exercise is, however, not directed to be a comprehensive assessment.** Given the scope of the ToR, the segments of this framework that are the focus of this exercise and approach are set out below. The limitations which this entails are also discussed.

### 2.4.1 Scope of this Exercise

The ToR for this exercise was assessing the state capability to implement NCBF, and to facilitate preparation of a strategic plan for developing existing state capabilities towards achieving this. NCBF sets out a framework for developing the capabilities of individuals who form a part of the Panchayats, primarily in terms of the training and related inputs to be delivered. The scope of this exercise is therefore limited to examining state capabilities to deliver the inputs outlined in NCBF, including considering existing institutional frameworks and organizational structures and the pertinent initiatives and processes currently being undertaken. The segments of the capability development task that are included are shown in the blue dotted outline in Figure 2 .

### 2.4.2 Methodological Approach and Methods Used

Despite the fact that only a part of the state's capability development responsibilities—those connected with the development of individual capabilities—are addressed in this exercise, it is necessary to examine the institutional and organizational settings within which these individuals function. This is because there are intricate relationships between organizational design, structure, and processes, and individuals' abilities to perform their roles adequately; in fact, organizational and individual capabilities are also mutually constituted to an extent. Therefore, the overall local governance context in MP was examined in some detail first. Though based to a large extent on the research undertaken in preparing the Status of Panchayats Reports 2008 and 2009 by this team, additional information from key informants and secondary sources was elicited for updating this information and for filling the gaps. Specifically, the information search was structured in line with the comprehensive framework.

The framework was the guiding structure in this assessment, and key questions related to its different components were the prime focus. **Given the limited scope of the assignment, only those questions that related to the components under study (within the dotted blue rectangle in Figure 2) were examined in detail.** Box 12 lists those aspects which were considered to be intrinsic to the assessment of state capabilities to implement NCBF, which were used to structure this exercise.

A number of methods were used to collect data and gain a deeper qualitative understanding of the process, including extensive document reviews, key informant interviews, field visits to organizations, focus group discussions, and detailed but unstructured discussions with key personnel in various institutions. A list of the documents and materials reviewed is given in Annexure V.



### 2.4.3 Limitations

This exercise was limited in terms of both its ToR and time-frame. While not detracting from the central assessment and the recommendations in any way, these limitations are reflected in the Report and must be pointed out. First, details of the present status of Panchayats in MP were not empirically investigated; these were collated from previous research, secondary material, and after some discussions with knowledgeable informants. Specific data may therefore not be completely up to date.

Second, the entire assessment was directed at the state's capability to implement NCBF. It must be realized that NCBF is not only a generic framework that requires state-specific modulation/adaptation, but it is also limited as it focuses on certain capabilities of the Panchayats to the detriment/exclusion of others. The tasks of designing for motivation, inputs for attitudinal change, and most critically, for fulfilment of development planning and monitoring tasks is barely addressed. While these limitations have been discussed and their implications in terms of the capability gaps pointed out, it is imperative that these be addressed as important gaps even though they do not figure in NCBF. That is, to achieve capability development to any effective degree, the guiding framework must go beyond NCBF, though in the absence of any other document NCBF is useful in outlining a minimal level of input to be provided.

A further limitation was imposed by the scope defined for the assessment of state capability. As explained in detail earlier, Panchayats' capabilities are a sum of appropriate institutional frameworks and organizational and individual capabilities, *with the first two being key to the realization of individual capabilities* in terms of role-taking and effectiveness. In this exercise we interpreted the ToR broadly to also comment on the capability gaps with respect to both institutional and organizational aspects, because the former at least is directly constitutive of the organizational structures and frameworks for building people's capabilities. While recommendations are made to rectify the former it is not possible to do this with respect to organizational capabilities because an analysis of this requires an extensive organizational assessment of Panchayats and the Panchayat system which was far beyond the scope of this exercise.

Another important limitation is with respect to the information required to undertake this exercise. While full cooperation was extended by relevant nodal officers, the absence of systematized information was a major issue. Collection and/or collation of empirical data to augment this and field verification of the state-level information provided were not part of this assignment, and the resources and time-frames did not include this. Therefore, relying totally on the information provided and taking recourse to illustrative examples or examining small samples was the only available option.

A significant gap stems from the lack of opportunity to carry out the facilitated visioning and strategic planning exercise required for identifying preferred state directions in strengthening existing organizational arrangements. This particularly limited the second part of the exercise (developing a strategic plan) especially since there is no existing state policy document that could give an indication of state preferences. This is an important step recommended by the team.

**Box 12 : Assessment of State Capability to Implement NCBF****Institutional Framework**

- Does MP have a local governance policy/vision document that clearly articulates the purpose and role of Panchayats, and the approach to developing capable Panchayats?
- Does the MP state Panchayat Act and Rules contain an unambiguous and coherent statement or section that can serve the same purpose?
- Can a clear and unambiguous—and therefore assumed to be politically consensual—state-specific vision for local governance and purpose/roles for Panchayats in the state be read from the Act and Rules?
  - Is there a clear and unambiguous articulation of the overall purpose of (each type of) Panchayats, in a way that is widely and easily understood?
  - Does an adequate institutional framework (policy, legislation, rules, orders) for the capacitating and functioning of Panchayats as envisioned exist?

**Box 12 : Assessment of State Capability to Implement NCBF (Continued)****Organizational Structures**

- Do effective organizational entities exist to undertake the tasks of the capability development of Panchayats?
- What state organizational ensemble is responsible for the various tasks, and are all components of capability development tasks appropriately and explicitly assigned?
- Is the distribution of task-responsibilities appropriate to their mutual inter-dependencies and logical clustering?
- Is the responsibility for inter-organizational coordination appropriately and explicitly assigned?
- Is there adequate knowledge-generation and transmission infrastructure for the domain to support the development and functioning of effective local governments?
- Are the organizational entities sufficiently capacitated for discharging their assigned tasks?

**Assessment Of State Capability To Implement NCBF****Target Groups**

- What are the different categories of people in panchayats, and the numbers and characteristics of each group?
- What Are The Role/Task Expectations From Each Group?
- What Are the capability gaps and therefore the kinds of capability development requirements of different groups? (*capability needs analysis*)
- Are the requisite set of inputs and the steady state support required for each group being delivered? (*capability development practice gap identification*)
- Is the type, content, delivery mode, logistics, and delivery tailored to the attributes of the target group?
- Are outcomes of role-taking (incentives/disincentives) discussed in the capability development interface?

**Time-Frames And Sequencing**

- What are the time-frames associated with developing the capability of different target groups of individuals, and the different capability requirements of each?
- How Are The Required Inputs Distributed Over Time?
- How are required inputs related to each other and/or clustered in terms of mutual inter-dependence and synergistic action?

**State Organizational Entity Engaged In Capability Development**

- Is the purpose/tasks clearly and explicitly articulated and widely shared within the organizations?
- Is the relationship of the organizational purpose and tasks with the larger state vision of local governance clear and widely understood?
- Is there an effective organizational design in terms of strategy, structure, and systems that facilitates task achievement and builds motivation?
- Is the organization and/or role-holders in it endowed with sufficient authority to undertake its responsibilities?
- Is the organization sufficiently resourced in terms of funds, information, practical infrastructural requirements, and precedents/examples/images of good practices?
- Does the organization have an adequate number of people with task-appropriate competencies, and adequate confidence and motivation?

### 3. PANCHAYATS IN MADHYA PRADESH

Madhya Pradesh was formed in November 1956 as a result of the reorganization of states on a broadly linguistic basis. At the time of its formation, the state had 43 districts; two large districts were later bifurcated. Sixteen more districts were formed in 1998. The Chhattisgarh region, comprising of 16 districts, was separated to form a new state as per the provisions of the Madhya Pradesh Reorganization Act 2000, and the reorganized state of Madhya Pradesh came into existence in November 2000. Some key statistics that sketch a picture of the state are provided in Table 1.

**Table 1: State Statistical Snapshot**

No.	Characteristics	Statistic
1	Total Area	3,08,144 sq. km.
2	No. of districts	50
3	No. of Tehsils	272
4	No. of Development Blocks	313
5	Total Villages	55,393
6	Populated Villages	52,143
7	Gram Panchayats	23,040
8	Total Population	6,03,85,118
9	Male Population	3,14,56,873
10	Female Population	2,89,28,245
11	Rural Population	4,42,82,528
12	Urban Population	1,61,02,590
13	Population of SCs	91,55,177 (15.17%)
14	Population of STs	1, 22,33,474 (20.27%)
15	Population density (per sq. km.)	196
16	Literacy Rate	64
17	Male Literacy	77
18	Female Literacy	51
19	No. of Other Backward Castes (OBCs)	279
20	Other depressed backward classes.	160

#### 3.1 Legislated Patterns of Local Governance

Madhya Pradesh inherited the legislation and experience of the existing Panchayat systems in its earlier five regions of Mahakoshal, Madhya Bharat, Bhopal, Vindhya Pradesh, and Sironj. After coming into existence in 1956, Madhya Pradesh enacted the Madhya Pradesh Panchayat Act 1962; this was based on a study by the Rural Local Self-Government Committee headed by Shri Kashi Prasad Pandey in 1957. However, the earlier Gram Panchayats continued to function till 1965. The higher tiers of Panchayats, namely Janpads in Mahakoshal and Kendras and Mandals in the Madhya Bharat region continued to exist but remained largely inactive. Government officials were made to take charge of these bodies in 1967 and they functioned in this form till Janpad elections were held in 1972. Another committee was set up in 1969 which was

chaired by Shri M. P. Dubey to review the experiences of Panchayats in the state; this led to the enactment of the Panchayat Act 1981. District level Panchayats remained under the control of officials until Mandal Panchayat elections were held in 1984.

The Panchayat Act 1981 was replaced by a new Panchayati Raj Act in 1990. However, elections could not be held under this Act due to litigation in 1991. Further changes in the Panchayati Raj Act were made in 1993 with eight amendments between 1994 and 1999. In 2001, the Panchayat Raj Adhiniyam was substantially amended by the Gram Swaraj Adhiniyam, which brought about significant changes in the structure of Panchayats, strengthening Gram Sabhas and directly constituting committees of the Gram Sabha to plan and implement programmes. Recently, the law has been further amended to restore the position of the Gram Panchayat as the executive arm of self-government, which had been somewhat tenuous earlier particularly under the Gram Swaraj structure. Subsequently, Madhya Pradesh has decided to replace the separate village-level committees for development, such as those for education, health, infrastructure, security, agriculture, public property, and social justice with two new committees—the Gram Nirman Samiti and the Gram Vikas Samiti, both of which are chaired by the Sarpanch.

### 3.1.1 Rationalization of Panchayat Jurisprudence

Currently, the existence and functioning of Panchayats is governed by the MP Panchayat Raj Evam Gram Swaraj Adhiniyam 1993 (Panchayat Act, for short). The rationalization of other existing legislations that pertain to the same tasks and functions as are envisaged to be taken up by Panchayats is a necessary follow-up required for effective functioning of the Panchayat system. Revision of other existing legislations to conform with the Panchayat Act was initiated in the early part of this decade. Several legislations were sought to be harmonized with the Panchayat Act, including the following:

- Madhya Pradesh Gram Nyayalaya Act 1996
- Madhya Pradesh Planning Committee 1996
- Madhya Pradesh Land Revenue Codes 1996
- Agricultural Produce Marketing Act
- Indian Stamp Act 1899

The progress on this account in recent years is unclear, though apparently there has been no new initiative in this direction.

### 3.1.2 State Vision and/or Policy on Local Governance

**No separate document spelling out the state's vision of or policy on local governance and the development of Panchayat capabilities exists.** An internally consistent picture of the overall vision also does not emerge from the provisions of the current legislation, which in itself has changed substantially in structural focus and priorities in the last decade. Implementation of various provisions has also been variable in terms of speed and emphasis. As such, it is difficult to piece together a picture of the overall organizational goal/objectives for Panchayats at different levels, and of the system as a whole. Without such a consistent and coherent picture, the requirements of capability development of Panchayats are unclear at best and stymied at worst, because their role, functions, and place in the overall polity and in development remains unclear.

### 3.1.3 Nodal Agency for Local Governance Development

MPPRDD is the state arm responsible for instituting and developing the Panchayat system in Madhya Pradesh in accordance with the provisions of the Constitution (Article 243) and the MP Panchayat Act.

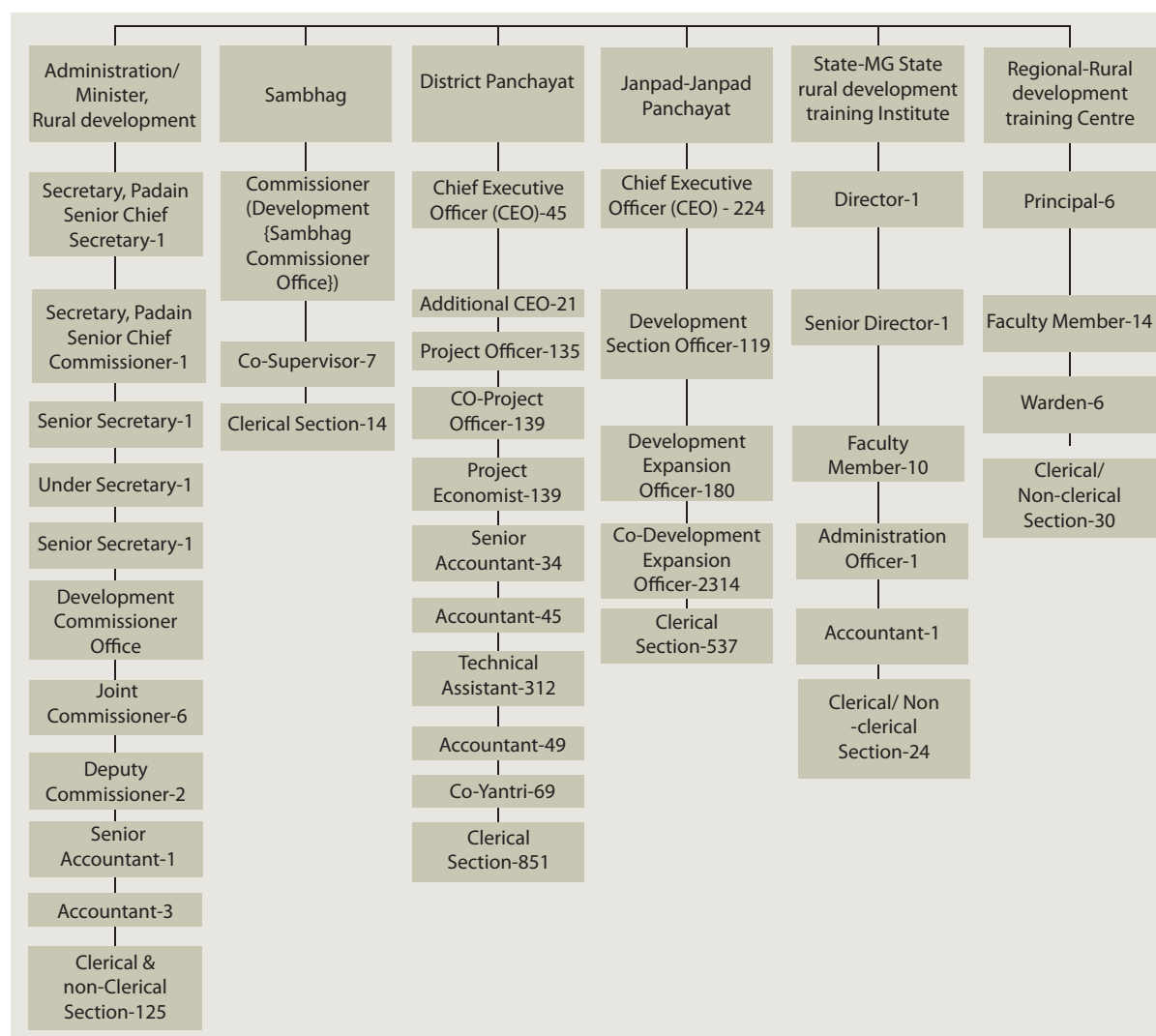
The department's responsibilities include developing local self-governance as well as implementing rural development programmes of the state in a participatory manner. Developing local self-governance includes forming and maintaining Panchayats, establishing duties, responsibilities, and rights of ERs and other role-holders in the Panchayat system in accordance with legal provisions, supporting the engagement of Panchayats in rural development activities assigned to them within their respective jurisdictions, and building their capabilities to undertake their tasks effectively.

MPPRDD combines policy making and administrative responsibilities, setting policy for the development of local governance in the state (including developing individual and organizational capabilities) as well as for rural development.

### 3.1.4 MPPRDD

MPPRDD's organogram is given in Figure 3. As can be seen from this figure, MPPRDD is structured on the basis of its central programmes and task responsibilities, with MGSIRD included in the organogram as its capability development arm. Moreover, the operational personnel of Panchayats are also part of the departmental structure, and figure within its hierarchy.

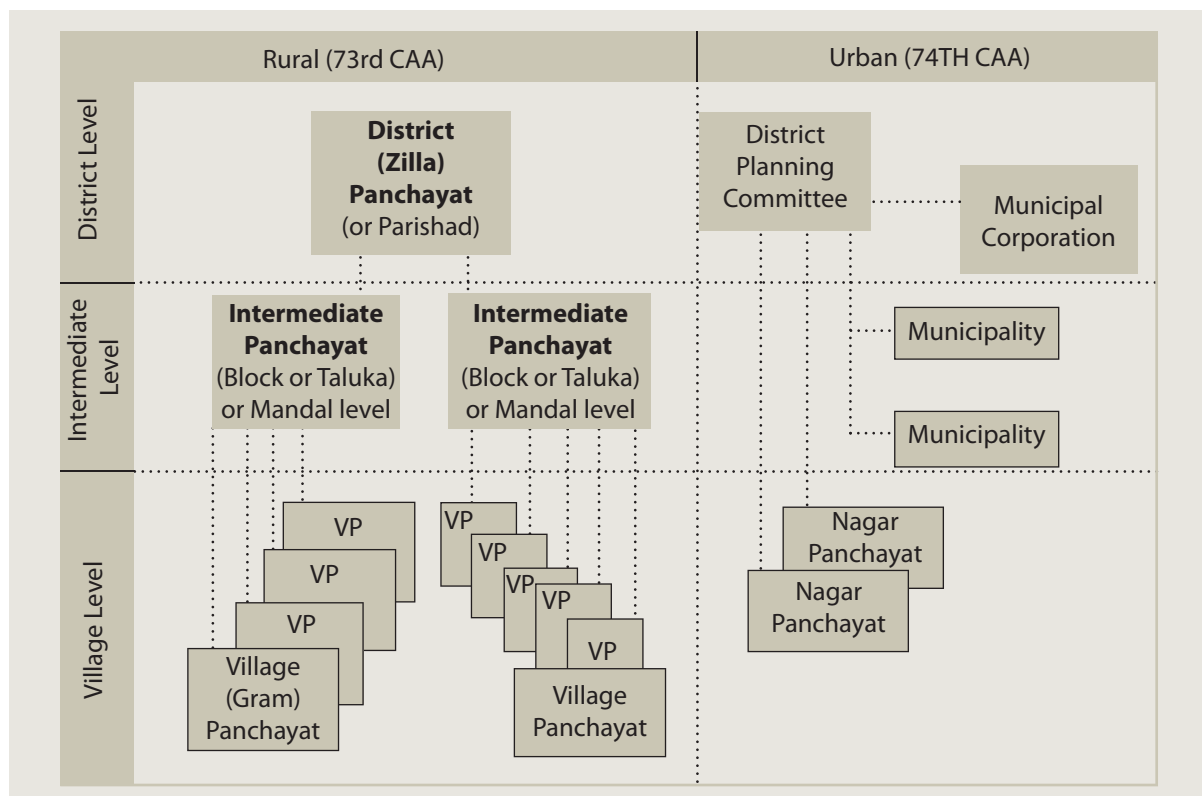
**Figure 3: Organogram of the Madhya Pradesh Panchayat and Rural Development Department (MPPRDD)**



### 3.2 Organizational Arrangement of the Panchayat System

The three-tier Panchayat system mandated by Article 243 of the Constitution has been instituted in MP since 1993, with the Gram Panchayat at the lowest level, the Janpad Panchayat at the intermediate level, and the Zilla Panchayat at the district level. Village settlements/hamlets in the state are generally small and Gram Panchayats typically incorporate a number of communities/hamlets, which are often physically and socially distinct. Neither are Gram Panchayat jurisdictions always coterminous with village revenue boundaries. Urban areas are outside the jurisdiction of a Gram Panchayat and comprise distinct ULBs in themselves. A proportion of ERs from the Zilla Panchayat and the ULBs together constitute the District Planning Committee (DPC). The basic organizational arrangement is shown in Figure 4.

Figure 4: Three-tier Structure of Panchayats



#### 3.2.1 Primary Organizations in the Panchayat System

**Gram (Village) Panchayat:** Each village or cluster of villages is required to have an elected Gram Panchayat which has a tenure of five years. Gram Panchayats are divided into a minimum of 10 wards, and if the population of the village is more than 1,000 the number of wards can be more than 10 but should not exceed 20. The Sarpanch of the Gram Panchayat is directly elected to the Panchayat. The up-Sarpanch is elected by and from amongst the Panchs. There is a relatively well-established system of Standing Committees and the institutional mechanism enjoins upon the Sarpanch to act as a ‘chairperson-in-council’. There are currently 23,012 Gram Panchayats in the state.

**Gram Sabha:** All the voters within the territorial limits of a Gram Panchayat constitute the Gram Sabha or, roughly translated, ‘village assembly’. Under the Gram Swaraj Act 2001, Gram Sabhas were also empowered to constitute up to five Standing Committees. However, this has now been restricted to two committees—the

Development Committee (Gram Vikas Samiti) which looks after the overall development of the Panchayat, and the Construction Committee (Gram Nirman Samiti) which takes care of all the construction activities in the Panchayat. The Sarpanch chairs both the committees.

**Janpad (Intermediate) Panchayat:** The Janpad Panchayat, the second tier of the Panchayat system, is constituted at the block level and consists of members elected from the territorial constituencies delimited for the purpose; one-fifth of the Sarpanchs (in rotation), and all members of the State Legislative Assembly representing constituencies of the block. The government delimits the constituencies for the Janpad Panchayat, and each constituency has a population of not more than 5,000. The total number of constituencies should not exceed 25, and these are single-member constituencies. Currently, there are 313 Janpad Panchayats in the state (see Table 2 for details).

**Zilla (District) Panchayat:** Every district has a Zilla Panchayat with a term of five years. It consists of members elected from the respective territorial constituencies. The government delimits the constituencies; every constituency is a single member constituency covering a population of 50,000. The total number of constituencies does not exceed 35. Additionally, all members of the Lok Sabha representing the district partially or wholly, all members of the State Legislative Assembly returned from the district, members of Rajya Sabha whose names appears in the voter list of a Gram Panchayat within the district, and the Janpad Panchayat Adhyakshas act as ex-officio members. The state has 50 districts and therefore 50 Zilla Panchayats.

**Table 2: Nomenclature used for Panchayats**

Level of Panchayat	No. of Panchayats	Name	Name for Chairperson/ Dy. Chairperson
District Panchayat	50	Zilla Panchayat	Adhyaksh and Up-adhyaksh
Intermediate Panchayat	313	Janpad Panchayat	Adhyaksh and Up-adhyaksh
Village Panchayat	23,012	Gram Panchayat	Sarpanch and Up-Sarpanch

**Parallel Bodies:** The District Rural Development Agencies (DRDAs) have been merged with the Zilla Panchayats (ZP). Funds pertaining to rural development programmes are channelized through the ZP. The CEO of a ZP heads the developmental work and these accounts are captured in the ZP's accounts. Some of the special purpose institutions created with funding from bilateral and multilateral agencies, such as the MP-District Poverty Initiatives Project (DPIP) and the Madhya Pradesh Rural Livelihood Programme (MPRLP), are separate structures with nodes at the district and sometimes cluster levels in many parts of the state. They could be seen as parallel institutions. However, these do have provisions to connect with the Gram Panchayat and the Gram Sabha. At the village level there exist other programme/scheme specific committees; some of these also connect with the Panchayat through cooption of the Sarpanch or a ward member in the committees.

### 3.2.2 Standing Committees and other Committees

**Gram Panchayat:** For discharging its function and duties, a Gram Panchayat may constitute three Standing Committees—the General Administration Committee, the Construction and Development Committee, and the Education, Health, and Social Welfare Committee. Every committee consists of four members who are elected by the elected representatives (ERs or Panchs) from among themselves in a meeting specially called for this purpose. Such committee exercises those powers which may be assigned to it by the Gram Panchayat. The committee is under the general control of the Gram Panchayat.



Janpad and Zilla Panchayats: Every Janpad Panchayat and Zilla Panchayat constitutes the following Standing Committees from elected members:

- General Administration Committee for all matters connected with the establishing and service of the Janpad or the Zilla Panchayat administration, planning for the Integrated Rural Development Programme, budget, accounts, taxation, and other financial matters.
- Agricultural Committee for agriculture, animal husbandry, power, and reclamation, including soil conservation and contour bounding and fisheries, compost manuring, seed distribution, and other matters connected with developing agriculture and livestock.
- Education Committee for education, including adult education, social welfare of the disabled and the destitute, women and child welfare, removal of untouchability, relief for distress caused by floods, drought, earthquakes, hail storms, scarcity, and other such emergencies, temperance or prohibition, health and sanitation, and welfare.
- Communication and Works Committee for communication, minor irrigation, rural housing, rural water supply, drainage, and other public works.
- Corporation and Industries Committee for corporation, thrift and small savings, cottage and village industries, market, and statistics.

**Other Committees:** In addition to these five Standing Committees, the Janpad and Zilla Panchayat may with approval of the prescribed committee constitute one or more such committees for other matters not specified above. The Janpad or Zilla Panchayat may with approval from the prescribed authority reallocate matters entrusted to any committee to any other such committee.

The General Administration Committee consists of chairpersons of all Standing Committees specified above. The president of the Janpad Panchayat or Zilla Panchayat as the case may be, is an ex-officio chairperson of the General Administration Committee.

Every committee, except the General Administration Committee consists of at least five members to be elected by members of the Janpad Panchayat or Zilla Panchayat as the case may be.

The members of the Education Committee include at least one woman and a person belonging to SCs or STs. The vice-president of the Janpad Panchayat or Zilla Panchayat, as the case may be, is the ex-officio chairperson of the Education Committee.

Every member of the Legislative Assembly who is the member of a Janpad Panchayat will be an ex-officio member of each committee of that Panchayat. Every Member of Parliament who is a member of the Zilla Panchayat is a member of any two committees of his choice in the Panchayat.

### 3.3 Composition of Panchayats

It is worth noting that in common usage 'Panchayats' as a term refers both to the set of ERs at the three tiers as well as their respective territorial jurisdictions. Further, the same word is often used to also refer to their secretariats or 'Panchayat offices'. Considered as organizations, Panchayats comprise a set of ERs and the personnel who man the office and undertake administrative and other work, as well as functionaries employed in undertaking various services run or managed by Panchayats.



### 3.3.1 Elected Representatives

The political executive of the Panchayat is the set of ERs, elected every five years from territorial constituencies as described earlier. The responsibilities associated with electing members to the office are discharged by a number of state structures. Madhya Pradesh was the first state to conduct elections to Panchayats in 1994 after the 73rd Constitutional Amendment. Three more elections have subsequently been conducted in 2000, 2005, and in January 2010.

The State Election Commission (SEC) is entrusted with the authority and responsibility of supervising and providing direction to the elections. The SEC conducts all Panchayat elections except those for the post of chairpersons of the Janpad Panchayat and Zilla Panchayat, which are conducted by MPPRDD. SEC has been given the status equivalent to that of a judge of a High Court. The electoral rolls are prepared by the district collector under the superintendence of the SEC. The district collector is vested with the powers of delimitation of constituencies and reservation as well as rotation of seats. Election disputes are tried by civil courts. SEC has the authority to decide on the qualification of candidates. A model code of conduct for Panchayat elections is enforced. The electoral rolls prepared for Panchayat elections are separate and distinct from those used for Assembly and Parliament elections. Panchayat wards are not regarded as building blocks for electoral rolls for all levels of elections. The law has a provision for disclosure of election expenses and for filing annual property statements by ERs. Interestingly, Section 36 of the law bars any person who is suffering from leprosy or an infectious disease from being an office bearer in a Panchayat.

SEC does not conduct elections to District Planning Committees (DPCs). The district collector under the control and superintendence of the state government conducts these elections. Since the state has a right to recall as a provision in its law all disputes regarding no confidence motions against the Sarpanch or up-Sarpanch these are referred to the collector whose decision is final as per Section 21 of the MP Panchayat Raj Adhiniyam.

Madhya Pradesh has also instituted a system of offering incentives to Panchayats that have unopposed elections, on similar lines as in Gujarat (Table 3).

**Table 3: Incentives to Panchayats for Unopposed Elections of representatives**

Type of unopposed election	Reward money to Panchayats (Rs)
Sarpanch	25,000
Sarpanch and Panch	1,00,000
Sarpanch and Panch (women)	2,00,000

### 3.3.2 Reservation of Seats for Women, SC, and ST Representatives

As required by the Constitution, one-third of the seats in Panchayats were reserved for women till the 4<sup>th</sup> elections, when this figure was raised to 50 per cent. The seats

Table 4: Women Elected Representatives in Panchayats

Panchayat	Position	Total Members	Total Women	% Women	SC Women		ST Women		OBC Women		General	
					number	%	number	%	Nos.	%	number	%
Zilla Panchayat	Adhyaksh	50	25	50	4	16	7	28	7	28	7	28
	Member	846	437	52	77	18	126	29	98	22	136	31
	Total	896	462	52	81	18	133	29	105	23	143	31
Janpad Panchayat	Adhyaksh	313	170	54	27	16	62	36	28	16	53	31
	Member	6,827	3,527	52	592	17	1,010	29	693	20	1,232	35
	Total	7,140	3,697	52	619	17	1,072	29	721	20	1,285	35
Gram Panchayat	Sarpanch	23,012	11,606	50	1,698	15	3,984	34	2,172	19	3,752	32
	Member	3,66,233	1,88,541	51	32,349	17	55,572	29	38,106	20	62,514	33
	Total	3,89,245	2,00,147	51	34,047	17	59,556	30	40,278	20	66,266	33
<b>Total</b>		<b>3,97,281</b>	<b>50</b>	<b>51</b>	<b>51</b>	<b>17</b>	<b>60,761</b>	<b>30</b>	<b>41,104</b>	<b>20</b>	<b>67,694</b>	<b>33</b>

reserved for women was decided by lottery in the first election and then by rotation in such a manner that women leaders occupied all the seats in a cycle of three elections. The reservation matrix was rotated once every 5-year term. With the increase in the proportion of reserved seats for women going up to 50 per cent in the 4th elections, all constituencies will be covered in two election cycles. The total number of elected women representatives currently in office is given in Table 4.

Seats are also reserved in the same proportion (50 per cent) for women in other reserved categories, that is, within the number of seats reserved for SC, ST, and OBC representatives. The proportion of women within these categories is given in Table 5.

Table 5: Number of Women Among SC, ST, and OBC Representatives

Panchayat Position	&	SCs			STs			OBCs			General		
		Total	EWR	%	Total	EWR	%	Total	EWR	%	Total	EWR	%
Zilla	President	8	4	50	13	7	54	13	7	54	16	7	44
	Member	132	77	58	221	126	57	174	98	56	319	136	43
	Total	140	81	58	234	133	57	187	105	56	335	143	43
Janpad	President	42	27	64	115	62	54	56	28	50	100	53	53
	Member	1,035	592	57	1,867	1,010	54	1,329	693	52	2,596	1,232	47
	Total	1,077	619	57	1,982	1,072	54	1,385	721	52	2,696	1,285	48
Gram P.	Sarpanch	3,269	1,698	52	7,834	3,984	51	4,237	2,172	51	7,672	3,752	49
	Member	56,290	32,349	57	1,03,720	55,572	54	65,964	38,106	58	1,40,259	62,514	45
	Total	59,559	34,047	57	1,11,554	59,556	53	70,201	40,278	57	1,47,931	66,266	45
<b>Total</b>		<b>60,776</b>	<b>34,747</b>	<b>57</b>	<b>1,13,770</b>	<b>60,761</b>	<b>53</b>	<b>71,773</b>	<b>41,104</b>	<b>57</b>	<b>1,50,962</b>	<b>67,694</b>	<b>45</b>

### 3.3.3 Reservation for SC, ST, and OBC Representatives

Seats are also reserved for SC, ST, and OBC groups in relation to their proportion in the population. In each category, half the seats are reserved for women, though women from these categories can also contest from non-reserved seats. The number of seats occupied by the three groups, and the proportion of women in each group of SCs and STs is given in Table 5. No incidents of any pernicious practices, such as immediate tendering of resignation forced on SC/ST Sarpanchs have been reported in the state. The state has instituted

a rule that where the Sarpanch does not belong to the SC/ST or OBC category, then the up-Sarpanch will be elected from amongst the Panchs belonging to such castes or tribes or OBCs (see Table 6 for details).

**Table 6: Elected SC, ST, and OBC Representatives**

Panchayat	Position	Total	SCs		STs		OBCs		General	
			Num	%	Num	%	Num	%	Num	%
Zilla Panchayat	President	50	8	16	13	26	13	26	16	32
	Member	846	132	16	221	26	174	21	319	38
	Total	896	140	16	234	26	187	21	335	37
Janpad Panchayat	President	313	42	13	115	37	56	18	100	32
	Member	6,827	1,035	15	1,867	27	1,329	19	2,596	38
	Total	7,140	1,077	15	1,982	28	1,385	19	2,696	38
Gram Panchayat	Sarpanch	23,012	3,269	14	7,834	34	4,237	18	7,672	33
	Member	3,66,233	56,290	15	1,03,720	28	65,964	18	1,40,259	38
	Total	3,89,245	59,559	15	1,11,554	29	70,201	18	1,47,931	38
<b>Total</b>		<b>3,97,281</b>	<b>60,776</b>	<b>15</b>	<b>1,13,770</b>	<b>29</b>	<b>71,773</b>	<b>18</b>	<b>1,50,962</b>	<b>38</b>

The reservation of seats for women has been raised from 33 per cent to 50 per cent. This is encouraging because there are a large number of examples where women ERs have done exceptionally well in managing the affairs of Panchayats. At the same time, this is a challenge because increased reservation means much higher capacity building requirements.

### 3.3.4 Salary, Allowances, and Facilities for Elected Representatives

ERs draw a salary and some allowances and facilities are available to them for the discharge of their duties. These are determined by MPPRDD (see Table 7).

**Table 7: Honorariums and Allowances of Panchayat ERs**

Representatives	Monthly salary/ service allowance (Rs)	Monthly hospitality allowance (Rs)	Total (Rs)
Chairperson, Zilla Panchayat	7,000	1,500	8,500
Vice-chairperson, Zilla Panchayat	6,000	900	6,900 (Plus free telephone)
Chairperson, Janpad Panchayat	2,000	1,200	3,200 (Plus free telephone)
Vice-chairperson Janpad Panchayat	1,600	500	2,100 (Plus free telephone)
Member, Janpad Panchayat	1,200		1,200
Sarpanch, Gram Panchayat	350		350

In addition to these allowances other facilities like travel allowance and transportation facilities are also provided to ERs.

### 3.3.5 Panchayat Functionaries (Personnel)

Since the institution of 4th-generation Panchayats, that is, post the 73rd Amendment, Madhya Pradesh has taken action to ensure the devolution of functionaries pertaining to eight departments to the Panchayats. As a first step, all village-level Class III and IV functionaries in the state have been declared as 'dying' cadres. These include Panchayat secretaries, primary school teachers, and anganwadi workers. New appointments

to the departments concerned with respect to vacancies because of retirement, are made by Panchayats, thereby ensuring that progressively all such cadres will consist of staff members appointed by Panchayats. The following rules have been made to transfer recruitment powers to Panchayats:

- Panchayat and Rural Development (Gazetted) Service Recruitment Rules, 1988.
- Panchayat and Rural Development Department Class IV Service Recruitment Rules, 1992.
- Panchayat Shiksha Karmis (Recruitment and Conditions of Services) Rules, 1997.
- Panchayat and Social Welfare Class III (ministerial) Service Recruitment Rules, 1998.
- Panchayat and Social Welfare (Gazetted) Service Recruitment Rules, 1998.
- Panchayat (Class III Executive Agriculture Service Recruitment) Rules, 1999.
- Panchayat (Class III Executive Horticulture Service Recruitment) Rules, 1999.
- Panchayat Contract Service (Indian System of Medicine Unani and Homeopathy) Rules, 1999.
- Development Commissioner Panchayat and Rural Development, Class III (Ministerial and Non-ministerial) Service Recruitment Rule, 1999.
- Panchayat Fisheries Service (Recruitment) Rules, 1999.
- Panchayat (Gramin Vikas Service Recruitment) Rules, 1999.
- Panchayat (Health Service Recruitment) Rules, 1999.
- Panchayat Service (Kala Karmi) Recruitment Rules, 1999.
- Panchayat Service (Recruitment and General Conditions of Services) Rules, 1999.
- Panchayat (Veterinary Service Recruitment) Rules, 1999.
- Panchayat (Women and Child Development Service Recruitment) Rules, 1999.
- Panchayat Samvida Shala Shikshak (Appointment and Condition of Contract) Rules, 2001.
- Panchayat and Social Justice Class III (Executive) Service Recruitment Rules, 2004.
- Panchayat and Social Justice Class IV Service Recruitment Rules, 2006.

Appointments are usually made by the Janpad Panchayat or the Zilla Panchayat on the recommendations of the Gram Panchayat. The Zilla Panchayat has the right to transfer, pay salaries, sanction leave, and take disciplinary action. The Gram Panchayat is also empowered to monitor attendance and give its recommendations to the Zilla Panchayat.

### **3.4 Panchayat Functions and Responsibilities**

Article 243 mandates two functions to Panchayats—‘planning for economic development and social justice’ and the ‘implementation of schemes that may be transferred from higher levels of government’. In addition, certain administrative and staff functions, as is appropriate to each jurisdiction, are also entailed. Since all these were already being undertaken by the state government through its various departments and organizational entities, the transfer of tasks and activities as appropriate to each level of Panchayat is the key to their enablement.

In the past 15 years the government has oscillated between bold initiatives and withdrawal in devolving functions to Panchayats. In 1995–96 the government announced the transfer of 26 departments to Panchayats. Subsequent to the legislative measures creating district governments and Gram Swaraj in 2001, a veritable government at the district level was set up with a minister heading it and with the district collector as member secretary. District-level officials of a host of line departments were brought under the district government. Similarly, through the MP Gram Swaraj Adhinyam 2001, Gram Sabhas were made the fulcrum of the Panchayati Raj system. A host of functions were assigned to the Gram Sabhas with devolved powers and they were to exercise executive authorities through eight Standing Committees. Eventually, Gram Swaraj provisions were considerably diluted through an amendment.

An observation of the functions devolved shows that most of the functions entrusted to Gram Panchayats are civic in nature. In the case of Janpad Panchayats, certain subjects are mentioned as having been devolved (such as sports and agriculture) thereby necessitating activity mapping to delineate with clarity the precise activities that a Janpad Panchayat has to perform. The District Panchayat has supervisory powers over the Gram and Janpad Panchayats, but has only advisory functions with respect to certain matters.

Implementing NREGS emerges as the most significant and largest task currently with Gram Panchayats. BRGF, another flagship programme, is designed to activate the planning function of Panchayats and also to provide them with untied funds to undertake their own development initiatives. Between the two, the first aligned as it is with the nature of functions/activities being transferred from the state, occupies primary position right now.

### 3.4.1 Implementation and Administrative Activities

Implementation and administration of a number of civic and developmental activities and some role in implementing state/national government programmes have been steadily transferred to Panchayats by various departments. Activity mapping for identifying suitable activities for transfer to different tiers is stated to have been completed for 20 departments. A department wise proposal to devolve activities is under consideration of the state government.

### 3.4.2 Development Planning

Planning for the development of their jurisdictions is a prime function to be endowed to the Panchayats, with the constitutional requirement of preparing a draft district plan through the consolidation of Panchayat and ULB plans by the DPC. The Madhya Pradesh District Planning Committee Act was accordingly enacted in 1995 to review the plans prepared by Panchayats and ULBs and to prepare a consolidated development plan for the entire district. DPCs were constituted in all 48 districts in 1999. The minister in-charge of the district is the chairperson of the DPC and the collector is the member secretary. Guidelines have been issued for the functioning of DPCs. The DPCs meet once in every quarter.

The DPCs prepare consolidated draft district development plans. Presently the DPCs have the autonomy of using 30 per cent of the resources that are being transferred to the district plan sector. They also integrate the plans of the Gram, Janpad, and Zilla Panchayat levels. Since the state has put in place a district sector, it does indicate the extent and type of available resources to each Panchayat in order to facilitate planning. The resources available to the Panchayats may be assessed from their available limits and kinds. In compliance with sub-clause 3(b) of Article 243 ZD, certain NGOs have been providing necessary support to the Panchayats with assistance from UNDP. Table 8 gives the details of the levels of expenditure that the three tiers of local governance can undertake.

**Table 8: Maximum Amount that a Panchayat can Handle**

Panchayat Level	New work (Rs)	Maintenance work (Rs)
Gram Sabha	5 lakh	--
Gram Panchayat	5 lakh	10,000
Janpad Panchayat	10 lakh	40,000
Zilla Panchayat	10 lakh	1 lakh

### 3.5 Funds Available to Panchayats

The State Finance Committees (SFCs) recommend assigning funds to Panchayats for the discharge of their responsibilities, including sources of direct revenue that they can utilize as well as the share of state revenue that should be transferred to them. This forms the primary source of Panchayat incomes which also include other programme funds transferred by higher governments and their own revenue from sources assigned to them.

The state has made an arrangement for a Panchayat Sector Window in the budget. Each department identifies the Panchayat component of its department and indicates it local body-wise in the state budget. These details are separately contained in Part C of the budget. Twenty-two departments have undertaken this exercise, including, inter alia, education, women and child development, rural industries, and food and civil supplies. Therefore, devolution of funds is not restricted to releases by the Panchayat and the Rural Development Department (RDD) alone. However, the allocation of funds to the Panchayat Sector Window does not cover the entire gamut of activities devolved to the Panchayats. Thus, line departments continue to operate budget items that pertain to the functions devolved to Panchayats.

The state government has devolved grants to all three levels of Panchayats in accordance with the recommendations of the Tenth Finance Commission. This has been in the ratio of 3.44 per cent to Zilla Panchayats, 8.04 per cent to Janpad Panchayats, and 88.52 per cent to Gram Panchayats.

#### 3.5.1 Quantum of Untied and Programmatic Funds

In the last fiscal year the state provided Rs 498 crore additional funds as compared to the previous year as per the recommendations of the Third State Finance Commission and Rs 921.29 crore for devolution to Panchayats. Gram Panchayats were given an untied grant of approximately Rs 1 lakh for a population of 1,000. Gram Panchayats also depend on departmental funds and funds from Zilla Parishads.

The commercial tax department levies a 10 per cent surcharge, and 30 per cent of this surcharge money is being provided to Gram Panchayats. Distribution of this money is being done to districts on the basis of the number of Gram Panchayats in the respective districts. In financial year 2007–08, Rs 425.7 lakh was provided to Gram Panchayats.

The power to grant extraction rights of minor minerals was transferred to Gram Panchayats for generating additional resources. In this regard, power to grant extraction rights in sites generating an income up to Rs 10 lakh per annum has been transferred to Gram Panchayats. Income from the royalty of this activity in 2007–08 was Rs 7,277 lakh.

#### 3.5.2 Own Revenues of Panchayats

Powers have been devolved to Janpad Panchayats, Gram Panchayats, and Gram Sabhas to impose compulsory and optional taxes and fees. The main sources of own revenue assigned to Panchayats are given in Table 9.

The royalty received on minor minerals and income from fisheries' lease is also passed to the Panchayats. Zilla Parishads have not been assigned any revenue sources. However, the details of own resources collected by Panchayats are not known for each component; it is reported that Rs 7,277 lakh was generated by Gram Panchayats from the royalty of minor mineral extraction in 2007–08. There are no restrictions put on Panchayats on spending their own funds, no incentives are offered to Panchayats to raise their own revenues. Consequently, Panchayats have a poor resource base of their own.

**Table 9: Own Source of Revenue Assigned to Panchayats**

Gram Panchayats	Janpad Panchayats
Property tax on land or buildings	Theatre and other public entertainment
Tax on private latrines	Fee for any license or permission granted by the Janpad Panchayat
Lighting tax	Fee for use and occupation of land or other properties vested in or maintained by the Janpad Panchayat
Professional tax	
Market fees	
Fee on registration of cattle sold in any market under the control of the Gram Panchayat	
Fee and royalty from any license or permission granted for extraction of minor minerals by the Gram Panchayat	

### 3.5.3 Manner of Transfer of Funds to Panchayats

It is reported that funds pertaining to Gram Panchayats are transferred to their respective bank accounts. Funds for District and Janpad Panchayats are maintained in treasuries. Gram Panchayat funds are maintained in banks. It is to be ascertained if prior deductions are made from such grants and paid to government departments. Central government grants are also directly transferred to Panchayats through the electronic clearing system wherever possible.

## 3.6 Functioning of Panchayats

A systematic assessment of the functioning of Panchayats has not been undertaken in this exercise as it was not within its purview but a **few important aspects of the functioning of Panchayats are mentioned here for their specific relevance to the capability development of ERs and Panchayat** functionaries (which is the focus of this exercise). Moreover, among aspects typically attended to, there are several that are modulated in specific ways in Madhya Pradesh either due to state characteristics (for example, small hamlets) or due to the kind of policy emphasis on and/or structural design of local governance (for example, Gram Sabha as the cornerstone). The aspects briefly mentioned here are neither comprehensive nor explored in sufficient detail, but are important flags for the kind of linkages between the organizational development of Panchayats and the development of individual capabilities that are necessary and must be attended to.

### 3.6.1 Representation and Direct Decision-making in Panchayats

An assessment of the (organizational) design of Gram Sabhas, their functioning, and tailoring them to their envisaged roles as the cornerstone of local governance is crucial for capability development efforts, both at individual and organizational levels. While the *raison d'être* of ERs is their representing and articulating the needs and demands of their constituents in the Panchayats, at the Gram Panchayat level, the role is modulated by the provision for direct democratic decision-making in the village assembly. In Madhya Pradesh, Gram Sabhas have been to a large extent the focus of attention, and in a sense, constitute the



uniqueness of the MP approach. Understanding the necessity of convening Gram Sabhas as required under law must be accompanied by highlighting the political dividends in organizing them.

Gram Sabhas have to be held once in three months. These are held in the weeks starting 26<sup>th</sup> January, 14<sup>th</sup> April, 15<sup>th</sup> August, and 2<sup>nd</sup> October. Besides these dates, the Gram Sabha may convene additional meetings if required. The Sarpanch or more than 10 per cent of the members or 50 members of the Gram Sabha (whichever is less), can requisition a special meeting of the Gram Sabha in writing. The special meeting of the Gram Sabha has to be called by the secretary within seven days of the receipt of such requisition. Prior to the Gram Sabha meeting, Gram Panchayats announce the date, place, and agenda of the meeting through notices in a public place and through public announcements. The quorum of every meeting of the Gram Sabha shall not be less than one-tenth of the total number of members of the Gram Sabha or 500 members, whichever is less. It is essential that one-third of the quorum be women members. If the quorum is incomplete, then there is provision in Article 6(2) to conduct a Gram Sabha meeting on any other day wherein the quorum criterion is not obligatory. There is no provision for Mahila Sabha meetings before a meeting of the Gram Sabha. The state government by general or special order (Section 7M) can add or withdraw functions and duties entrusted to the Gram Sabha.

However, energizing the Gram Sabhas in the manner desired may require further attention to creating awareness. The level of involvement in a Gram Sabha seems to be confined to seeking benefits from beneficiary oriented schemes. This could be symptomatic of the larger issue of inadequate devolution to the level of the Gram Panchayat, due to the strengthening of the community-level assembly of a Gram Sabha or Panchayat (Aam Sabha) that occurred for a while. Until and unless the Gram Panchayat becomes the site where the priorities of the locality are determined, which can happen only if there is effective and orchestrated devolution across the '3 Fs', greater participation in the Gram Sabha will not happen.

### 3.6.2 Use of Technology—IT enabled Panchayats

Though there are great expectations of instituting e-governance at all levels, Gram Panchayats are yet to be provided computers. This is likely to take time because of the large number and small size of Gram Panchayats. Nevertheless a Gram Panchayat is a key site as it is a site for actual citizen interface and a location for the convergence of all development programmes. This requires simultaneous attention to developing its capabilities to use and apply technology.

Every Janpad Panchayat has five computers. The Zilla Panchayat uses the computing facilities available at DRDAs. Every Zilla Parishad has an information kiosk for disseminating information to the public. NIC software (Panchlekha) is being used for Panchayat level e-governance. MP started e-governance in Dhar district last year. All Panchayats at the intermediate level are availing the services of data entry operators.

Madhya Pradesh Agency for Promotion of Information Technology (MPAPIT) is the nodal agency for promoting IT initiatives in the state. The state is encouraging NGOs to establish Samadhan Kendras for providing hardware, software, or other support services. E-Gram Suvidha is a GIS based MIS that links village maps with associated data to generate thematic maps based on users' queries. E-Gram Suvidha is currently operational in five districts.

### 3.6.3 Preparing Annual Reports

One of the simple but key items of relevance to organizational development is preparing annual reports. These are not cosmetic or meant only for external consumption but have institution-building value much



beyond their immediate utility. Preparing an annual report creates the identity of a distinct organization, develops a sense of organizational purpose, and eventually leads to some introspection. It is also a handy tool for external accountability, for example, of Gram Panchayats to Gram Sabhas.

However, Panchayats at any level are yet to prepare their annual reports giving details of the policies adopted, activities undertaken, and their accounts, nor are they expected/required to do so. The Department of Panchayati Raj (DPR), however, produces an annual administrative report.

### 3.6.4 Audit Systems

Madhya Pradesh has no separate Fiscal Responsibility Act for elected local authorities. Since March 2008, Gram Panchayat accounts are audited by the Director of Local Fund Audit. Accounts at the GP level are maintained by the secretary. The Janpad Panchayat (Accounts) Rules 1999 govern the accounting policies and practices at the Janpad and village levels. The state has accepted CAG's TGS system. CAG formats have been adopted for Panchayat accounting. There are no separate Public Accounts Committees (PACs) for reviewing audit paras of Panchayats.

Social audit is increasing being institutionalized to improve transparency and check misallocation of resources. Greater transparency in selecting beneficiaries and implementing programmes through social audit by strengthening the Gram Sabha/Panchayat in the state is sought. Development work undertaken by Panchayats is subjected to social audits. For instance, work under the Jawahar Gram Samridhi Yojana (JGSY) (the old Jawahar Rozgar Yojana or JRY) is exempted from evaluation by technical personnel. Now, instead of the junior/sub-engineer, the Sarpanch moves the Gram Sabha to get an expression of its satisfaction with the quality and utility of the project. The Gram Sabha certifies the utilization of expenditure; only if the Gram Sabha refuses to do so can the competent authority under the Act (that is, sub-divisional officer) get the evaluation done by a committee consisting of a Panch, a sub-engineer, and a social worker from the area. A social audit is not only limited to development work. An expression of dissatisfaction of the Gram Sabha about the performance of PRIs in individual beneficiary programmes leads to an inquiry by the competent authority through a committee. Further 'Right to Recall' of elected representatives at the Gram Panchayat level has the potential of enhancing accountability and transparency at the village level.

### 3.6.5 Panchayat Finances

A general issue with respect to recommendations made by SFCs is that while the state provides for Panchayat revenues from shares in some of the state taxes and other sources like entertainment tax, royalties on minerals and mines, forest revenue, and market fees, these sources are less buoyant in nature and frequently have no relation to the powers and functions to be devolved to Panchayats. More buoyant taxes like sales and excise tax are kept out of the purview of PRIs. All SFCs have put great emphasis on mobilizing internal revenue, but none have suggested any effective mechanisms for PRIs to generate their own revenue. SFCs do not recommend or foresee any noticeable change in the tax (including the non-tax) jurisdiction of local bodies. However, the SFCs suggest better use of the existing tax jurisdiction by referring to the system of property taxation and giving greater autonomy to local bodies in matters relating to setting tax rates. SFCs place greater reliance on transfers for bridging the gap between local bodies' revenue and expenditure.

In real terms, no improvement in the local resource base is likely as a result of the recommendations made by SFCs. Moreover, SFC reports have paid far less attention to issues of autonomy, financial management, and auditing procedures. The main deficiency of the reports lies in the fact that the recommendations are not

based on a clear statement of the spending responsibilities of local bodies. Indeed the absence of attention to the elementary principle that expenditure must be assigned before any tax or revenue is assigned, has made most of the SFC recommendations suspect.

### 3.6.6 Procedural and other Issues

It is self-evident that no extent of capability development of individuals can enable effective functioning of Panchayats unless there are appropriate institutional and organizational structures, resources, and procedures. While the organizational structures and resources are discussed often, what is overlooked is that consistent, coherent, and smooth work systems and processes must also be developed. An extensive review of this is not possible (or required here), but some inconsistent and/or disabling procedures are provided as illustrative examples.

**Structural Issues:** Frequent changes in structure, systems, and rules are a key issue, particularly when their consistency and coherence with larger legal structures and normative visions is questionable. The structural changes in the last decade in the Panchayat system in MP are a case in point. Legislative measures creating a district government and Gram Swaraj were taken up in 2001. Under the first, a veritable government at the district level was set up which was headed by a minister and had the district collector as member secretary. District level officials of a host of line departments were brought under this district government. Similarly, through the MP Gram Swaraj Adhiniyam 2001, Gram Sabhas were made the fulcrum of the Panchayati Raj system. They were assigned a host of functions with devolved powers; they were also to exercise executive authorities through eight Standing Committees.

These initiatives at the district and Gram Sabha levels were innovative and went beyond the constitutional provisions for Panchayats. Both the initiatives were bold and gave a fillip to the issue of decentralization; they also created a nation-wide interest in the initiatives being taken by the government. An analysis of the functions devolved to the Gram Sabhas shows that most of the functions entrusted to Gram them are civic in nature. In the case of Janpad Panchayats, it is mentioned that certain subjects, such as sports and agriculture have been devolved thereby necessitating activity mapping to delineate with clarity the precise activities that they are expected to perform. The District Panchayat has supervisory powers over the Gram and Janpad Panchayats, but has only advisory functions with respect to certain matters.

Committees were formed at the Panchayat and Gram Sabha levels. Over the years, the structure of these committees has been changing. However, it was generally observed that participation in these committees remained poor. One of the reasons for the committees remaining dysfunctional was also because decisions taken by the committees were not taken seriously. Often committee members were not even aware of the fact that they were members of a committee. Frequent changes in such structures were also a reason for the poor performance of committees.

**Procedural Issues:** In the case of old age or social security pensions, the Sarpanch sends proposals after passing a resolution in the GP and GS; the names he sends are considered in the JP and then the deputy director's (Panchayat and Samajik Nyaya) office approves and disburses these. Applicants or candidates know that they have to follow-up their cases at the JP and DD level for approval. Thus the preliminary work of the Sarpanch and/or the GP and GS is not very meaningful, except for the purpose of getting the names listed. Upon approval the money comes to the GP through the JP. The money is transferred to the post office account of the beneficiary. Many people entitled to old age pensions and/or social security benefits have problems travelling to the post office to access their accounts.

Birth and death registrations are done by the Gram Panchayat. Yet, family benefits (when someone below the poverty line dies his young children are eligible for a grant of Rs 10,000) are handled at the ZP level. Proposals are sent from the GP through the JP to ZP. Norms must be met for the final decision.

The role of the Panch is also limited in the present structure. There is confusion with regard to the role that individual ward members (Panchs in a Gram Panchayat) must play. With the Sarpanch being elected directly and most of the implementation responsibilities revolving around him, ward members have a very limited role to play. There is thus a widespread belief that the Panchs are required only for two purposes—for election of the up-Sarpanch and for voting for or against any no confidence motion (if it is raised).

Panchayats have the power and authority for appointing Panchayat karmis; in practice the Panchayats can only recommend the names to the department. Thus, the actual power remains with the department. The selection criteria for Panchayat karmis are based only on merit and merit is narrowly defined as the percentage of marks obtained in the Class 10 Board examination. Thus, there are several Panchayats where all the members do not want a particular person to be a Panchayat karmi, but based on the merit of marks they are forced to appoint this person.

**Structural disincentives:** There is a provision that none of the relatives of Panchayat ERs will be eligible for getting direct benefits from the schemes being handled by Panchayats. Thus ERs feel that they and their relatives are being punished for getting elected. Since the representatives get very little honorarium (see Table 7), it means that they either have to lose out on all livelihood opportunities or they have to engage in corrupt practices.

The functionaries in line departments are supposed to be monitored by Gram Panchayats, but they also report to the departmental hierarchy at the same time. A complaint by a Panchayat is meaningless since the Gram Panchayat cannot take any disciplinary action against the functionaries.

The control that ERs have over the functionaries is the poorest at the level of Janpad and Zilla Panchayats. This can be seen from the fact that despite being on the staff of the Janpad or Zilla Panchayat, CEOs are often not answerable to Janpad or Zilla Panchayat representatives. Like an ordinary citizen, all that a Panchayat can do is put up a complaint against a village-level functionary, or at the most put a remark on his attendance sheet, as is done in the case of teachers. It is up to the department to take action, which reportedly is often not forthcoming.

### 3.7 Panchayats in PESA Areas

Madhya Pradesh has a unique privilege of having a substantial expanse of area which is inhabited by indigenous and forest-dwelling communities. In recognition of the distinctly different customary governance systems in such communities, these areas have special constitutional provisions for local governance under the Panchayats (Extension to Scheduled Areas) Act 1996. Since MP has large tracts of such areas, and the provisions of the PESA Act are substantially different so as to require notably different organizational and individual capabilities, efforts in these areas merit separate consideration. Though issues related to the design, institution, and functioning of Panchayats in the Scheduled Areas, and conformity with PESA Act 1996, merit separate and focused examination, some of them are flagged here.

Panchayats in PESA areas are not constituted on the basis of ethnic identities. They are constituted on the basis of the population in the non-PESA areas. In the Scheduled Areas, the Gram Sabha also consists of persons whose names are included in electoral rolls. But a large section of the tribal population resides

in 'forest villages' (established as per Rule 11 of MP Forest Rules 1960), which have not been included in electoral rolls and hence these people cannot vote and exercise their roles under PESA.

Under the conformity legislation pertaining to Article 4 (i) of PESA, the state is enjoined to consult Gram Sabhas or Panchayats, prior to acquisition of land in the Scheduled Areas for planning and implementing development projects, such as power stations, dams, industries, mines, and canals. Management and control of 'small ponds' (less than 3 acres in size) is to be done by Gram Panchayats. Either the Janpad Panchayat/Zilla Panchayat or the irrigation/fisheries department controls the larger ponds and reservoirs. No amendment has been carried out in Rule 8 (1) and 9 of MP Forest Rules 1960, to give autonomy to the Gram Sabha if it uses the water bodies in reserved forests.

Section 4 (k) and (i) of the PESA Act and Section 7 of MP Minor Minerals Rules 1996 stipulate that for minor minerals as listed in Schedule I, the recommendations of the Gram Sabha or Panchayats are mandatory before granting prospecting or mining leases.

No amendment has yet been made in the MP Forest Rules to conform with Article 4 (m) clause (ii) of PESA, enjoining the giving of ownership over minor forest produce to Gram Sabhas. Under Section 76 of the Indian Forest Act 1927, (applicable in MP too) concerning minor forest produce, these are still controlled and owned by the Department of Forest. Therefore, while the Gram Sabha is empowered to manage and control natural resources including forests, in the absence of conformity in the amendments to the Indian Forest Act 1997, such powers largely remain on paper. Provision has been made for including Panchayat members in the Joint Forest Management (JFM) system, through the Village Forest Committee (VFC)/Forest Protection Committee (FPC). But no adequate mechanism has been developed to give full control to the village Panchayat or Gram Sabha for managing or using forests or forest products.

Despite the provision of exercising control over moneylending to STs under PESA, the Gram Sabhas are not yet empowered to do so as the Money-Lending Act has so far not been amended.

While the Gram Sabha can exercise control over voluntary organizations operating in a village, there is no such provision in the MP Societies Registration Act 1973. With respect to control over the brewing and vending of liquor, the Gram Sabha is not empowered to control or close down those liquor manufacturing sources that were created before the enactment of PESA.

Though the Gram Sabha is given the power to handle matters related to social justice, in the absence of necessary amendments in the Indian Penal Code 1860 and the Cattle Trespass Act 1871, among others, in reality it has very little power and scope. The conformity legislation gives powers to the Gram Sabha to control local plans and resources for development related activities. However, the planning process for watershed development, joint forest management, poverty alleviation, and other externally sponsored plans only partly take into consideration the major role of the Gram Sabha.

### **3.8 In Conclusion: State of Panchayats**

MP was one of the few states that was very active in devolving powers to Panchayats and strengthening local self-governments. The state experimented with strengthening Gram Sabhas considerably more than Gram Panchayats. This was done by activating Gram Sabha Standing Committees, which, for a period did function well. Yet, they raised the issue of the functionality of Gram Panchayats. Similarly, the state experimented with the notion of a district government to achieve greater convergence and coordination

between rural and urban areas. Over the years, these experiments have been abandoned and the state has pursued the schematic vision of the 73rd Constitutional Amendment Act.

While the specific tasks of activity mapping covering the whole range of subjects included in the Eleventh Schedule, transfer of the '3 Fs'—functions, funds, and functionaries—and capacity building are the ones typically highlighted in any review/comments on local governance in MP **two important focal areas must be attended to**. These are, first, a focus on **developing the capabilities of Panchayats**, including at both organizational and individual levels, and second, full ***compliance in letter and spirit with the provisions of the PESA Act***. These two focal areas include within themselves all issues which are generally pointed out for attention and additionally ensure that they are addressed in an inter-related and systematic manner. Addressing them in an inter-related manner will yield far greater outcomes more efficiently. Taking an organizational perspective on Panchayats, that is, seeing them as organizational entities with intrinsic requirements for effective functioning is key to building their capabilities, including the capabilities of the people within them. Paying attention to all parts does not add up to a successful organization, for it is in the integration of structure, roles, resources, and people that organizations actually work. In fact, such a coordinated and integrated approach is likely to show up the real priorities for developing individual capabilities. For example, if organizational arrangements are conducive, that is, structures, resources, information systems, procedures, and incentives are in place and in a well-designed mix, elected members are likely to be able to perform their jobs with a bare minimum of orientation, and the individual capability development task can be refocused on skills—making those without schooling functionally literate, or ensuring adequate computer literacy. The opposite of extensive capability development of individuals without adequate organizational attention is unlikely to result in the effective functioning of local governments, and worse, may be the cause of frustration and unrest.

## 4. CAPABILITY DEVELOPMENT NEEDS THE STATE TASK AND GUIDING FRAMEWORK

As is evident from the brief overview of the status of Panchayats in Madhya Pradesh in the last chapter, much has been done to institute Panchayats and enable their effective functioning. There is little doubt that a lot more needs to be done. However, the more important tasks are developing the capabilities of Panchayats to function effectively and taking on their envisaged roles, and aligning this development with the overall vision of able local self-governance in the state. The efforts so far have been directed at bringing Panchayats into existence and developing the matrix of their roles and tasks through devolution of the ‘3 Fs’—but that only delineates the potential; the realization of this potential can only emerge from systematic and sustained capability development.

Three unique, state-specific characteristics have a special bearing on the task of Panchayat capability development in Madhya Pradesh:

- The state has an exceptionally large number of Panchayats, and therefore large numbers of both ERs as well as personnel,
- The significant extent of Scheduled Areas where the PESA Act is to be implemented and hence governance arrangements, from organizational design to capabilities of people in Panchayats, have to be built differently, and
- Low literacy levels and socio-cultural and economic conditions in large parts of the state militate against the institution of democratic structures and processes.

It is important that the implications of these aspects for building the capabilities of Panchayats are realized and addressed. We now set out the dimensions of the capability development task in MP, as well as its content with respect to various target groups (including a discussion of differences), as they emerge from the role/task requirements of Panchayats as well from the unique characteristics of the state.

### 4.1 Target Groups and Differentiated Capability Development Groups

Target groups for capability development are of two types—organizational (the Panchayats as organizations), and individual (the people in Panchayats—ERs and personnel). While organizational capability development is not a focus of this exercise, some important observations are made with respect to building organizational capabilities as they are not only critical in building people’s capabilities, but also because some critical dimensions of the task have not surfaced in contemporary discussions and need to be flagged. The dimensions and content issues relating to building the capabilities of the people in Panchayats are discussed in detail.

#### 4.1.1 Organizations: Capability Development (Design) of Panchayats

The importance of paying adequate attention to a workable design for Panchayats as organizations in order to enable their functioning cannot be overemphasized. This is also particularly critical for the effective functioning of individuals in Panchayats. Transfer of functions/tasks, funds, and staff follows separate



trajectories, as is wont to happen in state systems, but it appears that little attempt has been made to map the overall organizational requirements of the different types of Panchayats and/or the system as a whole to understand what is required for them to function effectively. The reference here is not to inadequate devolution (of any of the ‘3 Fs’) but more to the lack of recognition of the Panchayats as organizations that require certain elements in a workable mix in order to function at any acceptable level. The concern with the ‘3 Fs’ needs to be broadened to the appropriate design and provision of the ‘6 Ks’—*karyalaya* (office), *karyakarta* (staff), *karyakram* (programme), *kosh* (funds), *karya padhati* (rules), and *karya sanskruti* (work culture).

Further, the balanced distribution of tasks and coordinated endowment of authority and resources (funds, staff) are critical variables that have had little attention. The normal practice of sometimes considering staff and resource requirements as a follow-up to assigning schemes or tasks is highly inadequate when it comes to enabling coherent and productive functioning. The frequent observation that some officers and elected positions are overloaded with super-normal responsibilities while others have little role to play is one symptom of this, but the typical response of re-examining specific roles and positions is no solution. This issue also extends to the uneven distribution of roles, authority, and resources to Panchayat entities themselves (for example, the Gram Panchayat under the earlier Gram Swaraj arrangements), that does not enable the system to function in tandem and synergistically. What is *required is a comprehensive and integrated organizational assessment followed by templates for effective design* that address coherence and balance between purpose, structure, systems, and staffing.

A specific factor that has relevance in the context of organizational capability development of Panchayats which militates against effective role-taking by most elected representatives in particular is the *differential levels of familiarity with state-organizational facilities and access to support systems that are enjoyed by ERs and functionaries in Panchayats*; this lies at the heart of the differential effectiveness of ERs and most functionaries. ERs are overwhelmingly first-timers who are not only unfamiliar with governance, the government machinery, and administrative systems, but are weakly, if at all, a part of the supportive networks of peers (of other ERs) or political parties. Functionaries, on the other hand, are not only experienced in government structure and processes, but are also inevitably well networked with peers in departmental systems and frequently belong to professional associations and unions—both are supportive systems in their job-roles. Not only are these support systems well-established and naturalized, in addition the functionaries also have access to well-supported and institutionalized job-training and capability-enhancement opportunities. On the other hand, ERs belong to the weak, weakly resourced, and fledgling organizational structures that the Panchayats still are. Unless these organizations are strengthened and specific job-training and capability-development initiatives directed at these groups are institutionalized (and networks and associations of ERs developed), ERs will have few job- and role-support systems to stand on.

#### 4.1.2 Special Capabilities of Panchayats in Schedule V Areas

The other important gap in this regard stems from the extensive presence of Schedule V areas within the state. Among those states where the PESA regime is applicable, Madhya Pradesh has developed the most progressive PESA Act, which reflects the tenor and provisions of the principal Act to a large extent. However, while it has not been investigated specifically for this assessment, from all reports the implementation of the PESA Act in the state has not been as effective. This is unfortunate for the intention expressed in the largely well-designed Act is laudable and appropriate for a significant proportion of the state population that is affected; better implementation is due.

What are also missed are required specificities in terms of organizational capabilities. This is troubling for differences in terms of organizational design and capabilities required in PESA areas are substantial. It appears that the *question of whether Panchayats in such areas need to be differently abled in terms of organizational design as well as the competencies of their personnel has, reportedly*, not been explored. In light of the extremely conflictual situations in Scheduled Areas that are increasingly being regarded as symptoms of inadequate attention to their special needs, this is a gap that urgently needs to be addressed.

The question of differences in the organizational design of Panchayats which is required for effective implementation of the PESA Act has not entered the local governance discourse in any significant extent in the country. However, *given the significance of these areas for Madhya Pradesh both in terms of their extent as well as the population, the state should pay attention to this question. In fact, the state could well become a leader in this respect in the country* by developing greater understanding and implementing model approaches and innovations. This would also be significant and timely in light of the heightened interest in local governance of Schedule V areas occasioned by current unrest and the urgent search for solutions.

Another unexplored aspect in relation to developing Panchayat capabilities in Schedule V areas is the question of the appropriateness of provisions of the PESA Act to all Schedule V areas. Large expanses of such areas have a mix of indigenous and mainstream populations, and even where tribal populations predominate, sometimes only very weak traces remain of traditional/customary governance systems on which the PESA Act rests. In other words, traditional governance systems have often been eroded to a substantial extent and tribal populations have been mainstreamed with respect to their daily lives. On the other hand, many tribal communities actually live in forest areas and are therefore often missed in the village jurisdiction. Whether the PESA Act should be implemented in full measure in all Scheduled Areas, irrespective of their degree of mainstreaming or the actual presence of tribal communities on the one hand, and the issues for ensuring that indigenous populations with distinct cultures are enabled to continue such governance practices on the other, are questions that must be explored systematically. While easy answers are no doubt elusive in this regard, raising these questions is important. Madhya Pradesh is again especially suited to such explorations and experimentations because of its relevant population segments and because it has significant Schedule V areas.

#### 4.1.3 Individuals in Panchayats: Capability Development Groups

While an appropriate organizational design can provide structural conditions for effective functioning of Panchayats, *sometimes even to a degree that offsets deficiencies in individual capabilities, individual capabilities* also need to be appropriately developed for optimal performance. As discussed earlier, developing effective capabilities of individuals is a result of developing a number of components/elements that together enable effective role-taking and functioning. These include:

- **Competencies**—comprising perspectives, knowledge, attitudes, and skills pertinent to the job, position, and roles/tasks,
- **Confidence**—emerging from experience, exposure, organizational affiliation, handholding, and mentoring, and
- **Motivation**—presence of adequate incentives (economic, political, social, and moral) for role-taking built into the organizational design.

While competencies and *confidence* are two clear capability-sets that are centred in the individual to a great extent, developing *motivation* stems as much (or more) from an effective organization design as



from motivational inputs to individuals. Further, motivation spurs the use of competencies and confident role-taking. Hence, paying attention to its development is crucial for the realization of all capabilities. In all, *the need for paying attention to an effective, motivating, and supportive organizational design cannot be overemphasized.*

To effectively develop the capabilities of individuals within Panchayats so that they can fulfil their governing and administering roles, the range of people within the Panchayats must be disaggregated into **capability development groups (CD groups)** according to the type and content of inputs that are required for their effective role-taking and performance in each case. Such groups can be identified on the basis of two factors—**‘job content’**, which depends on the *organizational role/position* held by an individual, and **‘baseline’ capabilities which** comprise of *already existing task capabilities* as well as inherent *learning abilities*, that is, predisposition to certain kinds of learning processes; these can be surmised from their profiles in terms of educational levels, background, gender, and/or socio-economic conditions. While attempting to construct the latter, however, considering all relevant characteristics is neither feasible nor useful, and the use of one or two significant characteristics that are good indicators of differences in base capabilities and learning competencies will be more practical. Educational attainments, experience, and gender are significant and useful differentiators in this respect.

## 4.2 ‘Positional’ Capability Development Groups

According to their positions (and roles), which define the job content to be handled by individuals within Panchayats, a typical and clear segmentation into different CD groups emerges in the state. This, however, is not sufficient to develop the content of the inputs required, because these positions are, in the most, generic, that is, they are typical of the Panchayat structure. The actual job-related inputs that need to be provided for building task competencies—comprising perspectives, knowledge, attitudes, and skills—will be *defined by the specific responsibilities and tasks that are assigned to these positions* under the state dispensation.

### 4.2.1 Positional CD Groups in Panchayats

The different types of positional CD groups that emerge in Panchayats are given in Table 10. Further differentiation, for example, into Standing Committee members, may not be useful depending on the specific responsibilities/tasks assigned to different positions. In other words, the groups are best distinguished by actual job content as defined by the state statutes and executive action, rather than by different positional nomenclatures.

**However, the overwhelming issue in Madhya Pradesh is the sheer number of individuals who have to be addressed.** The diversity in the capability requirements of groups in terms of their tasks is also substantial, with at least **nine groups among ERs** (Adhyaksh/Sarpanch, Upadhyaksh/up-Sarpanch, and members in the three tiers), and at present, at least **eight groups of officials/functionaries** at the three levels. It must also be kept in mind that the officials and functionaries are likely to increase in number and typology as the Panchayats handle all local governance responsibilities as well as many delegated responsibilities with respect to central and state schemes.

Whether the capability development design needs to consider all these groups separately depends on how differently their roles are defined and the extent of differences in actual job content.

Table 10: Different Positional CD Groups and Respective Numbers in Panchayats

Panchayat	Role	Position	Total	Men	Women	Total
Zilla Panchayat	Elected Representatives	Adhyaksh	50	23	27	896
		Members	846	409	437	
	Personnel	MKPAJP	50	NA	NA	150
		Project Officer	50	na	NA	
		Assistant Project Officer	50	NA	na	
Janpad Panchayat	Elected Representatives	Adhyaksh	313	143	170	7,140
		Members	6,827	3,300	3,527	
	Personnel	CEO	313	na	na	4,957
		BDO/DEO	313	na	na	
		Panchayat Samanvay Officer	4,018	na	na	
		PCEO	313	na	na	
Gram Panchayat	Elected Representatives	Sarpanch	23,022	11,416	11,606	3,89,255
		Members	3,66,233	1,77,692	1,88,541	
	Personnel	Sahayak	23,037	na	NA	23,037
Total			4,25,435	Na	NA	4,25,435

#### 4.2.2 Job Content Differentials among Positional CD Groups

The roles and responsibilities of different positional groups in Panchayats are defined by the state and can be derived from the various legal provisions of the Panchayati Raj Act and executive actions (government orders) to effectuate them. However, these in themselves do not provide a coherent picture of the actual job-content of various positions and the associated resources and competency requirements. The positional roles and job content require systematic collation and synthesis. For actually undertaking a task and performing it is more than the sum of the tasks, functions, and responsibilities which are officially notified; there are numerous filler and linking activities that too are involved, which would not figure in executive orders assigning a task/responsibility to a position. These are, however, key to good performance. In other words, *well-rounded and detailed positional job/role descriptions are required in order to develop a realistic picture of the capability development needs for each positional group; these are also needed for organizing logistics and input-delivery mechanisms.* In the absence of these, capability development efforts remain general and inefficient, based as they are on sketchy pictures of job content, and impressionistic understandings of required inputs, rather than being systematic and targeted.

No map is readily available of the job-content of different positions in the Panchayats in MP – and this is urgently required.

#### 4.3 'Personal' Capability Development Groups

Personal baseline capabilities that individuals possess for their positional responsibilities as well as their learning abilities are equally important for capability development purposes. These are important for they imply not only the different inputs that need to be delivered but also the different strategies involved in delivering these inputs. While these differences can be indicated by differences in educational levels, background, gender, and/or socio-economic conditions, at least three of these are significantly important and distinguishing features—educational attainment, previous role experience, and gender. These together

define not only certain *capabilities required for the tasks* but also *learning abilities*, and indicate suitable *timings, logistics, and facilities* for providing CD.

#### 4.3.1 Differences in Baseline Capabilities of Groups: Elected Representatives

The baseline capabilities and (often corresponding) learning of different groups are also important considerations in developing individual capabilities, and in this respect too the MP situation poses many challenges. The *challenges are particularly high with respect to ERs in terms of three variables—low average educational attainments in the population, high proportion of first-timers, and the higher proportion of women* since the 2010 elections due to 50 per cent reservation for them in Panchayats. These three characteristics are important in terms of the content, delivery, and logistical arrangements for CD (for example, for women). Low educational attainment makes it imperative that most training and other inputs be verbal, or they use audio-visuals or pictures. First-timers, along with other inputs, need basic orientation and inputs to develop confidence and skills for the public roles that they have to perform. Women require special attention in terms of suitable arrangements during training, such as child-care/crèche facilities.

While exact figures for such groups among the new incumbents are not available, a reasonable estimate of the proportion (and number) can be made using the nation-wide survey of ERS commissioned by MoPR in 2008. This study of elected women representatives captures the profiles of ERs through a systematic sample, which can be taken to be representative of the population of both men and women ERs and in different positions, in all tiers. The following proportions were captured in the study for Madhya Pradesh (rounded to the nearest whole number):

- Proportion of elected women representatives with education only up to primary school:
  - Chairpersons—60 per cent
  - Members—73 per cent
- Proportion of elected male representatives with education only up to primary school
  - Chairpersons—25 per cent
  - Members—32 per cent
- Proportion of elected women representatives who are first-timers—90 per cent
- Proportion of elected male representatives who are first-timers—76 per cent

Applying these figures to the number of women and men representatives, the different groupings which should be noted in relation to specific modalities of capability development are given in Table 11.

**Table 11: Type and Size of Groups with Different Learning Needs and Abilities**

	Women		Men		Total
	Chairpersons	Members	Chairpersons	Members	All
Education < Primary School	(60% =) 7,081	(73% =) 1,15,503	(25% =) 2,894	(35% =) 63,490	1,88,968
First-timers	(90% =) 1,83,875		(76% =) 1,46,661		3,30,536
Gender proportion	51.43%		48.57%		

### 4.3.2 Baseline Capability Differences Among Panchayat Personnel

**The challenges in building the capabilities of Panchayat personnel are different but no less daunting because the prime question is of changing perspectives, orientation, and attitudes. Besides, some changes in job content too are needed.** However, changes in job content are minimal as state government employees transferred to Panchayats are usually well-versed in the implementation of schemes, and equally used to handling changes in programmatic details. It is the changed organizational context, with different channels of accountability and authority that require learning. Changing attitudes and orientation is difficult, though not impossible; however, this is complicated by the fact that the shift to working in local governments is frequently perceived to be less attractive (or acceptable)—a perception which presents substantial disincentives for change.

The sea change in local power relations that is connoted by the development of elected local governments cannot be easily instituted in terms of appropriate organizational relations between (often) less educated but politically active ERs and the administratively experienced and/or technically qualified personnel. This is critical for building the capabilities of local governments but is usually not flagged in capacity building discussions and is also not addressed in actual efforts. Institution of incentives, an organizational design to minimize disincentives, and appropriate perspective-building and attitude-development inputs can, nevertheless, address these issues substantially. Therefore, such attitude-development and reorientation, which is a crucial component of capability development, must be explicitly included in the CD design.

The content and extent of the reorientation required for appropriate role-development also differs across groups of personnel. At least three groups can be discerned with clearly different learning needs:

- Administrative/executive personnel who are state employees but answerable to Panchayats (for example, CEOs of Janpad and Zilla Panchayats),
- Technical staff in line departments transferred to Panchayats, and
- Employees of Panchayats, that is, personnel hired by or for Panchayats (existing and planned).

It is only the last who are likely to be oriented to working in the Panchayat organizational set-up to start with and will require only perspective-building and job training. The first two categories are likely to require much more intense attitudinal training and perspective development inputs. The number of such personnel who currently need to be addressed are 150 at the Zilla level, 4,957 at the Janpad level, and 23,040 at the Gram Panchayat level. However, it must be noted that these figures are likely to change in the medium term and definitely in the future as the functions of Panchayats increase. Hence, capacities to address much larger numbers must be developed.

### 4.4 Focal Capability Requirements of Different Groups

Different groups of individuals clearly require different emphasis and content in terms of each capability component. The capabilities required comprise a number of components:

- **Competencies**—comprising *perspectives, knowledge, attitudes, and skills* pertinent to the job, position, and roles/tasks,
- **Confidence**—emerging from *experience, exposure, organizational affiliation, hand holding, and mentoring*, and

- **Motivation**—presence of *adequate incentives* (economic, political, social, and moral) for role-taking built into organizational design.

Given the nature of the groups in Madhya Pradesh two additional components must also be addressed—literacy and orientation. Given the low literacy levels and high proportion of those without adequate education among ERs, capability-building efforts must specifically address this in a mission mode. Similarly, limited exposure and low levels of development in the state also call for special attention to providing *orientation to public roles* (and of course, job orientation) to a significant proportion of ERs, in particular, women, SC, ST, and OBC groups.

These components are not required uniformly across different groups within Panchayats. That is, the *specific capability development requirements vary across the different groups for job content, baseline situations, and learning abilities*. Mapping these differences is necessary for the appropriate design and efficient delivery of CD inputs.

#### 4.4.1 Differentiated CD Inputs Required for Different Groups

Profiles of the different target groups indicate that in general the requirements as set out in Figure 5 are likely to be required for each. Also, there would be a small number of outliers in each group. Nevertheless, this *detailed segmentation is an important basis for designing capability development* both in terms of content and delivery design.

Two kinds of differences should be noted—the **extent** of focus/attention required (indicated by size of dot in Figure 5) and the **content** of input (indicated by the different colour of the dot). Groups which require similar inputs (same size and colour of dots) can be clubbed together for specific events, for example, training, exposure, or others (differences in logistical arrangements and facilities for men and women among employees do differ, but have not been differentiated here as all other input requirements in general are the same).

Figure 5: Focal Capability Requirements of Different Groups

Categories	Positions	Personal Characteristics		Literacy dev.	Orientation	Perspective on Local Govn	Job -Knowledge	Job -Skills	Attitudinal dev.	Exposure	Orgnl Affiliation	Handholding & mentoring	Incentives	Motivational input	
Elected Representatives	Chairpersons	Men	1st timers <primary	●	●	●	●	●	●	●	●	●	●	●	
			1st timers >primary		●	●	●	●	●	●	●	●	●	●	
			Experienced		○	○	●	●	●	●	●	●	●	●	
		Women	1st timers < primary	●	●	●	●	●	●	●	●	●	●	●	●
			1st timers > primary		●	●	●	●	●	●	●	●	●	●	●
			Experienced		○	○	●	●	●	●	●	●	●	●	
	Vice-Chairpersons	Men	1st timers <primary	●	●	●	●	●	●	●	●	●	●	●	●
			1st timers >primary		●	●	●	●	●	●	●	●	●	●	
			Experienced		○	○	●	●	●	●	●	●	●	●	
		Women	1st timers < primary	●	●	●	●	●	●	●	●	●	●	●	●
			1st timers > primary		●	●	●	●	●	●	●	●	●	●	●
			Experienced		○	○	●	●	●	●	●	●	●	●	
	Members	Men	1st timers <primary	●	●	●	●	●	●	●	●	●	●	●	●
			1st timers >primary		●	●	●	●	●	●	●	●	●	●	
			Experienced		○	○	●	●	●	●	●	●	●	●	
		Women	1st timers < primary	●	●	●	●	●	●	●	●	●	●	●	●
			1st timers > primary		●	●	●	●	●	●	●	●	●	●	●
			Experienced		○	○	●	●	●	●	●	●	●	●	
	Employees	Zilla Panchayat	MKPAJP		○	○	●	●	●	●	●	●	●	○	○
			Project Officer		○	○	●	●	●	●	●	●	●	○	○
			Assistant Project Officer		○	○	●	●	●	●	●	●	●	○	○
		Janpad Panchayat	CEO		○	○	●	●	●	●	●	●	●	○	○
			BDO / DEO		○	○	●	●	●	●	●	●	●	○	○
			Panchayat Samanvay Officer		○	○	●	●	●	●	●	●	●	○	○
PCEO				○	○	●	●	●	●	●	●	●	○	○	
G P		Sahayak		○	○	●	●	●	●	●	●	○	○		

Note:

1. Panchayat personnel and experienced representatives would require orientation but only when newly appointed to that position—therefore the dot is blanked ○
2. Perspective development is required **once** for all groups—therefore it is shown by the blanked dot for Panchayat personnel and experienced representatives, who are assumed to have been provided this at the time of their first en ion. However, given the recency and incompleteness of CD efforts in the country, it is likely that even those with previous experience in Panchayat positions may or not have been exposed to appropriate local governance perspective-building.
3. For the same reason literacy efforts may also need to include some experienced representatives who have no education at all, though it is likely that most of them would have learnt these skills during their previous tenure.

#### 4.4.2 Implications for CD Design and Delivery

Differentiating the CD requirements of different groups provides the basis for an effective design and delivery of CD on six counts:

- Content of CD input required,
- Specific design issues in content,
- Combining CD groups for delivery purposes (for example, training programmes, exposure visits, and networking),
- Timing/scheduling of delivery,
- MIS of target group profiles and training progress for systematic design and delivery, and
- Organizational structure and competencies for content development and delivery.

##### 1. Content required for CD Inputs

The CD content required for different groups is differentiated primarily by position, experience, and gender, and groups can accordingly be formed for appropriate delivery. Position spells out the job content and therefore the orientation, exposure knowledge, and skill requirements; however, unless job content is clearly defined, specifics in terms of required inputs cannot be ascertained. One of the key tasks in this context is the clear definition of roles and tasks, which would then indicate the specific knowledge and skills required. Job content will differ by position, and unless the contents of different jobs/positions are known, designing these will remain general and largely ineffective.

The other segmentation in terms of content is between experienced and first-time position-holders and these groups must be addressed separately. Orientation to public roles, perspective-building, and job-content are not required for experienced members or personnel, and so these two groups need not be combined. Similarly, different exposure and confidence-building measures are required for men and women. While both groups require general exposure to public service and local governance practices, women require additional confidence-building and exposure to cultural differences in their behaviour and ways of meeting their dual-job burdens.

Literacy development (reading, writing, and basic numeracy) in a mission mode immediately on entering office of those without schooling or with schooling only up to the primary level must be made a part of CD efforts. While it is hoped that state literacy efforts will eventually ensure secondary education for all but till such time that this happens, it is imperative for local governance capability development efforts to incorporate it (perhaps in collaboration with adult-literacy programmes in the state).

##### 2. Specific design issues in content

One of the most significant and critical differentiators that must be addressed in content design and its delivery is the level of educational attainment. All content must be made accessible and decipherable to those who are illiterate, or poorly literate (that is, below the primary education level). While **audio-visual material must be used extensively** to remove the handicap suffered by those without literacy, care also needs to be taken to ensure that **all printed material can be understood by those who are unlettered**. Guidance in this case needs to extend to verbal and interactive training sessions, where blackboards/white boards/charts and other training classroom accessories are used.



### 3. Combining CD groups for delivery purposes (for example,, training programmes, exposure visits, and networking)

Though CD groups differ in the inputs that they require, those with same or similar input requirements can be usefully combined for designing delivery modalities. The primary differentiators in this respect are positions, experience, and gender. While it is important that all segments be mixed in the delivery of certain inputs, for example, in orientation, perspectives, and exposure, and joined in networks and other organizational support systems, some segmentation is useful to ensure learning effectiveness as well as efficiency in CD delivery. Experienced and first-time position-holders, for example, are gainfully addressed separately. Special programmes/delivery events for groups that are less-lettered and marginalized (women/SCs/STs) are also necessary to address their specific issues to provide them extra developmental attention, and to ensure that the delivery design is optimized for best learning. Special adult literacy programmes targeted at the unlettered are another case in point.

### 4. Timing/scheduling of delivery

The CD inputs required have different optimal time-frames; also, Panchayat personnel and elected members work on different time-lines. The most pertinent time-line in CD development is the five-year term for ERs. First, certain inputs like orientation, literacy, perspectives, and overview of job content are one-time requirements for first-timers within the first few months of their coming to office—the ‘orientation’ phase. Specific knowledge about the job and skill development are only a little less immediate, but of longer duration, while other inputs like exposure, networking, handholding, and mentoring can be initiated in due course but are continuous in nature.

How soon after entering office should all ‘orientation’ type inputs be delivered as a matter of policy and as a function of capacity building of the organizational set-up can be designed and capacitated according to policy decisions. Design of this phase is also a matter of policy frameworks with respect to local governance arrangements and role distributions. Whether there are very substantial job-role differences between different position-holders and they need to be differently addressed or a ‘campaign mode’ can be used, is a function of the statutory provisions of the state.

The key point is that *there is always going to be a super-normal CD requirement cycle every five years in the orientation phase immediately following Panchayat elections.* While CD delivery for this phase must be designed appropriately, *the CD infrastructure in the state must be designed for the normal post-orientation load* for effective coverage and delivery.

In sum, the design of the CD delivery system is dependent on the framework of specific decisions on Panchayat and CD designs, which together comprise the **CD framework**. Details from content—knowledge and skills for specific jobs—to duration of orientation; from decisions on exposure levels to design preferences for on-site or off-site delivery are all state-specific and active, explicit decisions that must be taken. That is, CD needs as well as delivery mechanisms are a function of the overall **CD framework adopted/developed in the state which serves to provide content and design specifics.**

### 5. MIS of target group profiles and training progress

To capitalize on the systematic approach to capability development given in Figure 5 and for ensuring optimal and effective delivery of inputs, a readily accessible and user-friendly information system (MIS) must be built and used for CD design and delivery. MIS should incorporate, at the least, detailed profiles

of ERs, including personal attributes (age, sex, social group, economic status, and location) as well as acquired characteristics, such as educational attainment, job or work situation, experience in public life, membership of organizations/networks, and positions held in such organizations. Moreover, these details must be compiled on an urgent basis after elections to office so that the orientation, functional literacy, and basic job-content training can be initiated immediately.

## 6. Organizational structure and competencies for content development and delivery

Given the size and basic profile of the target groups and the multi-faceted inputs that must necessarily be delivered, adequate organizational arrangements with requisite delivery capabilities must be dedicated to the task. That is, developing adequate state organizational capabilities for developing the capabilities of Panchayats is a key component of the task. Moreover, these organizational arrangements must be specialized and dedicated to the task, and sustained over a long time-frame because the task of Panchayat CD is a long-term one.

The capabilities required include not only sufficient infrastructure in terms of volume/size and spread across the state, but also appropriate and adequate knowledge and technical capabilities. Capability development is a specialized task with training as a key but not sufficient component and requires trained, competent, and dedicated human resources for its effective delivery over a long period of time. Project-based capability development that marshals such resources on a temporary basis and undertakes the tasks for the project period is inimical to any effective outcomes.

Two types of organizational capabilities are required: one, for design and delivery of CD inputs, and two, for developing the knowledge-base and capabilities. The first is usually recognized, but the second deserves equal attention for sustaining it. It must be realized that even though there has been a lot of concern about instituting local governance, little experience or contextually grounded knowledge exists in the country on which these efforts can be based. Democratic local governments are not endemic to India and so far only experiences from older democracies with strong local government systems are available; however, these cannot readily be transferred to the Indian context, or even less, to the variety of state contexts within the country. Research and knowledge development is imperative, as is the development of knowledgeable human resources for the domain itself, as well as for the CD tasks for the domain. That is, an extensive, **capable, and permanent CD organizational network must be developed in the state; an organizational set-up for knowledge development and education of people in local governance/government** (for CD of organizations as well as the Panchayats themselves) must also be instituted. It must be noted that CD design and delivery (centred in training and organizing capabilities) requires sharply different skills from research and education, and pooling these expectations from a single organizational structure may be far from optimal.

### 4.5 Framework for Capability Development of Panchayats

As has been discussed earlier, an effective design of CD efforts in the state is dependent on the specific statutory and organizational framework of Panchayats and a number of policy and design decisions that are to be taken by the state nodal agency, MPPRDD. Such decisions include a number of small design specifications, such as the time-frames for orientation and steady-state training, the preferred modes/proportion of on-site and off-site delivery, and the organizational structures and capacities that are to be deployed. All these are best spelt out in a Capability Development Framework document which lays out the mandate for Panchayat CD in the state and serves as the guiding document for the organizations involved.

#### 4.5.1 MP Panchayats Capability Development Framework

MP does not have a Capability Development Framework for Panchayats. Training efforts have been guided by the general understanding of what is required by those charged with the responsibility, augmented with a measure of training needs assessment. No specific document or collated picture of a desired range of capability inputs or the preferred modalities for their delivery has been formulated so far.

In the absence of a state-specific document—which is absolutely necessary—NCBF prepared by MoPR, GoI, has been used by MGSIRD, the state nodal organization for capability development as a guiding document to develop the training calendar for 2010–11. Local government elections were held in February 2010 and with the initiative of the GoI-UNDP CDLG Project to kick-start extensive capability development efforts for the newly elected members, NCBF served to provide a reasonable framework for CD design. Till such time as a state-specific framework can be formulated (based on a systematic capability needs assessment of Panchayats on the one hand and the state vision and policy for local governance on the other), NCBF serves as a handy document to guide efforts in the state. The structure, suggestions and their applicability in the state context are now discussed.

#### 4.5.2 The National Capability Building Framework

NCBF provides a set of guidelines and suggestions for building the capacities of Panchayats across the country (this document is available at [www.panchayat.gov.in](http://www.panchayat.gov.in) and need not be replicated here). However, what should be noted here are the broad content and the approach to capacity building that is incorporated in the document.

NCBF provides *a guide for building the capabilities of individuals within Panchayats*, both ERs and functionaries. In addition to setting out the underlying principles for CD, it discusses a number of other aspects in detail, including developing training infrastructure, alternative modes for training delivery, the pool of resource persons required, some idea of the logistics involved in training delivery, monitoring and evaluation, and the range of handholding activities that can be incorporated. It provides a structure and phased sequence of training courses to be offered to ERs and Panchayat functionaries, with a time-line for completion of delivery.

The training is to be structured in three parts in the following time-frames:

- Part I:** the basic/foundational set of courses (Courses 1a, b, c) in six months after election to office,
- Part II:** skill-building courses for planning and implementation (Course IIa, b) in one year after election, and
- Part III:** other inputs geared towards consolidating learning through interaction and networking at various times/stages in the five-year term of ERs.

All components to be attended to, and the specific numbers and other details as required in the case of Madhya Pradesh, should NCBF be adopted in full, are given in Table 12.

Table 12: NCBF Components and Detailed Volumes and Other Requirements in the Madhya Pradesh Context

Component	Areas covered	Category	Duration	Time-frame	Requirements for MP
<b>Part I: Building the right mind set for implementation of Panchayati Raj and learning basic functions</b>					
Course I(a) Foundation Course	Overview of Panchayati Raj	ERs – 3,89,255 Emp – 23,037 Total – 4,25,435	4-day training	Within 20 weeks of election	If 50 per batch, 425 training programmes/week simultaneously every week for first 5 months
Course I(b) Basic Functional Course	Conduct of business	ERs – 389,255 Emp – 23,037 Total – 4,25,435	4-day training (In addition to above)	Within 20 weeks of election	If 50 per batch, 425 training programmes/week simultaneously every week for first 5 months
Course I(c) Functional Literacy	Literacy	Total – 1,88,968	1 month	Within 6 months of election	If 20 per batch 1574 batches; however, will require 3,835 facilitators for delivery at the village level
<b>Part II: Basic Skill-building for Planning and Implementation</b>					
Course II(a) Sectoral training programme	Core functions, for service delivery	ERs – 3,89,255 Emp – 23,037 Total – 4,25,435	6 days	Within 40 weeks of election	If 50 per batch, 213 programmes/week every week for first 10 months
Course II(b) Computer literacy	Basic computer skills	2 per Panchayat = 46,750	6 days, plus handholding	Within 52 weeks of election	If 20 per batch, 45 training programmes/week every week for the first year
<b>Part III: Consolidation through Interaction and Networking</b>					
Course III(a) Gram Sabha campaigns	Awareness creation	Gram Sabhas, NGOs, SHGs, CBOs	At least 3 days a week	Coverage of all GPs at least once/year	23,037 village campaigns for 3 days a week, about 460 GPs to be covered simultaneously every week
Course III(b) PRI TV, radio programmes		People at large	At least 3 days a week	Full state coverage	On-going programme production
Course III(c) PRI newsletter		Panchayat members & other subscribers	Once a month	All Panchayats	On-going material development, composition, printing and circulation
Course III(d) ERs Network formation	Experience sharing	ERs – 3,89,255 Emp – 23,037 Total – 4,25,435		Within 1st yr after election	Associations/networks meetings, functioning etc. to be organized
Course III(e) Annual refresher course		ERs – 3,89,255 Emp – 23,037 Total – 4,25,435	At least 4 days	Once a year for next 4 yrs	If 50 per batch, @ 165 batches per week every week for the whole year
Course III(f) Visits to 'beacon' Panchayats	On-site training, exposure	At least half the ERs @ 2 lakh	At least 1 full day excl. travel	At least 2 exposure visits per yr	On-going. If for groups of 10, about 100 visits organized daily during the year (assuming one day for travel)
Course III(g) Janpad –level resource centres	Daily assistance to support Panchayat working	ERs – 3,89,255 Emp – 23,037 Total – 4,25,435	Every working day	To start by end of 20 weeks, when Part I training complete	On-going

Component	Areas covered	Category	Duration	Time-frame	Requirements for MP
Course III(h) Help lines			16 hrs/ day, every working day		On-going
Course III(i) Certificate courses	More intensive & academic study	Interested stakeholders	6 months course	For @ 100 persons in state	2 six-monthly batches of 50 each, full course to include different modules etc.
<i>Note: Even if programme content is satellite-transmitted, trainers/facilitators and resource persons will be required at the point of delivery for explaining, in addition to the tasks of content development and transmission.</i>					

Another aspect addressed in NCBF is developing knowledge programmes (such as certificate programmes) and thereby higher-level knowledge development on local governance in the states. This is an important part of the capability development rubric which is often neglected as most of the attention is focussed on short-term training. However, in the absence of knowledge infrastructure, both capabilities and capability development efforts will be impoverished. In drawing attention to this aspect, NCBF substantially grounds capability development efforts in a long-term and sustained perspective.

Moreover, NCBF maps out the division of capability development responsibilities in the country, specifying a number of agendas for GoI, including developing country-wide core material, national-level master trainers, and support for developing CD infrastructure in the states, that act as foundational support for state efforts. Some of these, such as developing national-level master trainers, are particularly signal responsibilities for which capabilities at the state level are likely to be weak, if they exist at all.

In all, NCBF provides a fairly detailed picture of what can be done in terms of building capabilities of Panchayats as well as providing detailed pictures of options and practical suggestions. These are, however, generalized and generic suggestions and though they can be applied to any state within the country, they require state-specific adaptations. In fact, *NCBF itself spells out the need for state-specific detailing, including detailing of content, choice of modalities, and shape of organizational structures for CD delivery.* Hence, *NCBF only charts out a desirable range and canvas for Panchayat CD,* and suggests some details. The task of developing a state framework is imperative whether by adapting NCBF or developing a unique state-specific one to guide CD efforts in the state.

#### 4.5.3 Organizational Structures and Capacities Required for NCBF Compliance

NCBF maps out the possible organizational arrangements for CD that states could set up. However, these are suggestive in the possibilities that they map, and (rightly) leave it to the states to take specific decisions on modalities and content which in turn would dictate the shape and contours of organizational arrangements. Similarly, the volume/size of the specific resources required for the CD tasks that it delineates, particularly in the number of resource persons/trainers required is also left to different states. It must be borne in mind that the numbers suggested (by size of target groups) is only with respect to the inputs suggested in the framework and may not adequately match the requirements. But if that were to be revised/adapted the methodology adopted would provide a good way to estimate requirements.

From NCBF's calculations and accepting all the assumptions made therein, details about the resource persons required in Madhya Pradesh to provide all the CD inputs are given in Table 13.

**Table 13: Minimum Resource Persons Required for Panchayat Capability Development in Madhya Pradesh as per the NCBF**

	Resource Person	Broad responsibility & basis for calculation (NCBF)	Numbers required in MP
1	State-level Master Resource Persons	To train and monitor Field Resource Persons	355, or about 6-8 in each district, depending on size
2	Field Resource Persons (within districts)	About 5 to interact with every batch	5,320, or about 100-110 in every district
3	State-level Master Resource Persons for IT	At least 4 for a state	7-8 for a large state like MP
4	District-level Resource Persons for IT	At least 3 per district	At least 150
5	<b>Minimum total resource persons required for only classroom-based training (under steady-state loading after election year)</b>		@ 5,833

In addition, there will be *peak load requirements in the first year* after elections, which will be at least four times the normal training load as per NCBF specifications. Further, *manpower and technical capacities will also be required for the creating and delivering other components in Part III*, ranging from Gram Sabha campaigns and TV and radio programmes to newsletters and organizing exposure visits. On top of this, arrangements for handholding and mentoring will require additional organizing and coordination; trouble-shooting too will have to be done as and when required. Detailed estimates of the human resources required at various levels from the Janpad upwards, can be estimated once NCBF is adapted to the specificities of the state.

A critical requirement for adopting NCBF is an information system that records and provides individualized data on the progress of training programmes and other components for the coordination and organizing capabilities required; these are particularly needed in the first year after the elections are held. While a well-developed MIS is key to effective CD design and delivery, in NCBF's design this is also necessary for ensuring systematic coverage.

#### 4.5.4 Limitations of NCBF and Necessity for State-specific Adaptation

NCBF has several limitations as a framework for capability development of Panchayats (Table 14). While it incorporates some of the components of a capability development approach, such as building the confidence of individuals through exposure visits and other inputs, it remains limited in this respect. Further, it is *severely deficient in providing guidance on the organizational development aspects of Panchayat capability development*. In fact it does not discuss the key requirement for effective local governance—workably designed Panchayat organizations within which individuals (ERs and personnel) can actually function effectively.

Another deficiency is in the disconcerting lack of emphasis on developing the actual governance roles of Panchayats, which is centred in their function of 'planning for economic development and social justice' (while skills for planning and implementation are both included in the title of the course in Part I, in the detailed contents planning skills figure only in sectoral training programmes and not as a basic/generic skill). *The overwhelming attention is on implementation functions and on skill development for implementing various sectoral programmes*. This is a substantial gap in terms of the overall capability development framework for building local self-governance and needs to be attended to in state-specific adaptations.

Further, NCBF does not disaggregate the target groups either by position or personal characteristics and suggests uniform delivery of all components to all individuals in Panchayats. Exceptions are made only in



the case of certain skill development inputs (for example, computer skills) and in exposure visits to beacon Panchayats. Almost all other components are addressed at ERs and functionaries, and the former includes both chairpersons and members. Such a *provision is not only inefficient but it also militates against effectiveness as it neither provides for special needs nor removes duplication and repeated input delivery to certain individuals/groups*. For example, orientation and basic courses need not be provided to those in office for the second term or for more. Even if their proportion is small (10 per cent members in MP) the numbers are so large as to make a substantial dent in the resources and efficiency of organizational arrangements.

**Table 14: Limitations of the NCBF in Addressing Capability Development Components**

CD inputs required	NCBF components	Comments
<b>Panchayat Organizational Capabilities</b>		<b>At least one-half of the entire CD task</b>
Design, structure, systems, staffing	Not addressed	Only signalled here since it lies outside the purview of this assignment
<b>Individual capabilities</b>		<b>No disaggregation into CD groups</b>
Literacy	<b>Course I (c)</b> Functional Literacy	Good design
Orientation (job & public role)	<b>Course I (a)</b> Foundation Course <b>Course III (a)</b> Gram Sabha campaigns <b>Course III (b)</b> PRI TV, radio programmes	Public role-taking not addressed; crucial for women, SC, ST groups
Perspectives	<b>Course I (a)</b> Foundation Course	Perspectives on local govn. not addressed
Job knowledge	<b>Course I (b)</b> Basic Functional Course <b>Course II (a)</b> Sectoral training programme	Generic for everyone; differentiation into specific job-profile not flagged
Job skills	<b>Course I (b)</b> Basic Functional Course <b>Course II (a)</b> Sectoral training programme <b>Course II (b)</b> Computer literacy	Generic for everyone; differentiation into specific job-profile not flagged
Attitudinal development	Not addressed, except as emerges from some inputs directed at other ends	Requires specific directed training, particularly for functionaries
Exposure	<b>Course III (a)</b> Gram Sabha campaigns <b>Course III (b)</b> PRI TV, radio programmes <b>Course III (f)</b> Visits to 'beacon' Panchayats	Well addressed
Organizational Affiliation	<b>Course III (c)</b> PRI newsletter <b>Course III (d)</b> ERs Network formation <b>Course III (e)</b> Annual refresher course	Well-addressed
Handholding and Mentoring	<b>Course III (g)</b> Janpad-level Resource Centres <b>Course III (h)</b> Helplines	Reasonably addressed
Incentives	Not addressed	Crucial component, needs attention
Motivational inputs	Not addressed, except as emerges from some inputs directed at other ends	Crucial component, needs attention
<b>CD infrastructure</b>		<b>Suggestions provided, state to decide</b>
Organizational set-up	Not addressed	Critical and state-policy dependent
CD resources—People	Estimating resource persons for steady-state training programme only	Not included peak-load, other components
CD resources—Materials	Guidelines on development	Good but inadequate in coverage
CD resources—Technology	Suggestions for satellite-based training, etc.	Well covered
CD resources—Funds	Estimation of investments reqd for technology	state-specific adaptation required
<b>Knowledge development &amp; education</b>		<b>Sketchily addressed</b>
Organizational set-up	Not addressed	Requires systematic attention
Programme	<b>Course III (i)</b> Six-month certificate courses	Inadequate; 'bouquet' of programmes required



In adapting NCBF to the state context these limitations can be addressed. However, more important for developing a state-specific framework is the state vision of local governance and policy preferences in terms of content, modalities, and delivery mechanisms. Equally important are the special characteristics of the state, such as the extensive presence of Scheduled Areas where PESA provisions are to be applied, the size of *capability development tasks*, and *the profiles of individuals/groups* to be addressed, which present special challenges for capability development.

However, the most pertinent issue is that NCBF does not provide many dimensions of state capability development, focussing largely on inputs to be provided to individuals in Panchayats. As such it does delineate some aspects of the CD task that confronts the state; however, because of the generic nature of its suggestions as well as the deficiencies in its content and treatment, even this map is inadequate in MP. Further, because it skirts the issue of the *organizational set-up* required for CD design and delivery—though there is a discussion on the technological set-up and other infrastructural components (such as help-lines)—it is not helpful in examining or assessing state capabilities for Panchayat capability development. The Comprehensive Framework developed for this assignment (Chapter 2) provides a fuller and systematic map of state responsibilities in this regard and therefore is more useful for assessing state capabilities.

#### Box 13 : Capability Development Needs and Framework: Gaps and Issues

- Lack of analysis of organization design needs of Panchayats, for workability and effectiveness.
- Lack of differentiation of target population of individuals in Panchayats into capability development groups (CD groups) and mapping of differentiated CD needs.
- Lack of State Capability Development Framework to provide guiding principles and directions for CD design and delivery
- Adoption of the National Capability Building Framework (NCBF) – severely limited in itself – to guide current efforts, without systematic State-specific adaptation

## 5. CAPABILITY DEVELOPMENT—THE INSTITUTIONAL FRAMEWORK

### VISION, CAPABILITY DEVELOPMENT POLICY, AND DESIGN

State action is statutorily charted by guiding policy and legal frameworks, but is inevitably also shaped by less tangible but pervasive ideas, norms, and institutionalized practices. These constitute the *institutional framework* within which all governance action proceeds, and the capability development of Panchayats is no exception. The existing institutional framework which comprises of visions, ideas, policy, legislation, rules, norms, and procedures that explicitly and implicitly govern and the efforts for the capability development of structures is a key aspect that requires attention. In fact, paying attention to the institutional framework is doubly important in relation to instituting local self-governance of the kind mandated by the Constitution, for it is a task of crafting substantial change in the overall polity and historical patterns of local governance.<sup>1</sup> Hence, the state needs to publicly articulate and widely share explicit and easily understood statements, tangibly guide/direct all relevant action at all levels in the desired direction, and also impinge upon and suitably reorient the invisible but pervasive ideas, norms, values, and understandings held by relevant actors. This is commonly termed as ‘awareness raising’ but is more extensive than merely altering awareness. Further, these statements/articulations also contain specific decisions about strategies and provide guiding principles for action choices that emerge during operationalization.

While a well-designed institutional framework is an essential and key factor in effectively accomplishing overall capability development goals, it is not to say that without it no efforts can be made. Efforts at training, providing staff to Panchayats, and building Panchayat Ghars are all important elements and inputs already being delivered in some fashion. However, without an institutional framework, these remain uncoordinated, disjointed, and unintegrated, and their cumulative effect is sub-optimal and the process inefficient. The institutional framework provides and publicizes the ‘recipe’, bringing all actors on to the same page and oriented to the same outcomes.

#### 5.1 Key Components of an Institutional Framework

The institutional framework is like a lattice woven by an inter-connected system of preferences, rules, laws, norms, procedures, and guidelines that structure action and practice. Setting up the institutional framework involves crafting and putting in place key items by the state as the governing actor in the domain. The most essential and minimal components are:

- A Local Governance Vision and Policy Document that clearly articulates the state-specific vision of local governance and specifies the consensual understanding of the purpose and role of Panchayats as local governments,
- Legislation and rules that are consistent with this vision and which enable the desired functioning of Panchayats as well as their capability development efforts (to be followed by executive orders for effectuating the design and enabling functioning),

<sup>1</sup> As a matter of fact, it requires an institution-building approach, instead of simply an organizational development approach (within which capability development is conceptualized and applied); however, we remain with the latter as framed by the assignment, while taking some clues from the former.

- A capability development policy, which contains decisions of strategic directions and the preferred approach to capability development of Panchayats, and
- A capability development design, which specifies detailed components and respective content.

Each of these items is crucial for a number of reasons. The need for legislation (and ensuing executive orders) is self-evident, for all government action is enabled and directed by it. Therefore the Panchayat Act (and Rules) is inevitably the first document to be developed, as has been done in MP. All discourse on enabling Panchayats and their capability development then centres on this document and its effectuation through Government Orders (GOs), with its provisions widely discussed, critiqued, and periodically revised; this again is also being done in MP. However, in practice, this legal document crucial as it is, only serves to initiate action from the highest state level and delineate a space for action lower in the hierarchy. In terms of actually enabling functioning, it is severely limited because daily practice is shaped primarily by two other things—by generic understandings of the purpose and roles held by a multitude of actors at all levels, and the specific executive orders relating to different tasks and sub-tasks. Even specific executive orders relating to different tasks and sub-tasks get interpreted within the broader understanding held by organizational actors. Instruments for producing these two guiding elements of daily action in line with the overall vision for local governance are therefore key to capability development. Vision and policy statements are such instruments and their development through a systematic and participatory process and their wide dissemination are key actions and tools in developing appropriate understandings and orientations. Legislation and rules cannot craft a commonly held understanding for they are couched in legalese that hardly serves to convey a clear picture of the overall intent and vision.

It is other documents/statements, such as the vision, purpose, overall policy, and specified pictures of the overall design of Panchayats, which actually impinge on the generic and wider understanding and awareness of the actors in the domain and produce conditions for effective functioning. Moreover, they help in shaping a consistent interpretation of specific rules and procedures which can never be so designed as to be free from interpretive differences across actors at all levels, so that individual and organizational efforts are internally consistent and directed towards the same general ends.

Further, and most importantly, these documents structure capability development efforts in a consistent fashion and influence correctness of content and delivery. Absence of such statements by the state leaves content and delivery open to the overall vision, intent, etc., being creatively interpreted and subject to personal predilections and the understanding of the deliverers. Presence of clear statements does not preclude disagreements and differences of opinions, which are inevitable and in fact, desirable in a democratic context. But any disagreements or differing interpretations are forced to be stated as differences with the state vision and policy rather than presented as correct readings of the intended direction.

The following questions regarding the institutional framework are pertinent in assessing state capabilities:

- Does MP have a local governance policy/vision document that clearly articulates the purpose and role of Panchayats, and the approach to developing capable Panchayats?
- Does the MP state Panchayat Act and Rules contain an unambiguous and coherent statement or section that can serve the same purpose?
- Can a clear and unambiguous, and therefore assumed to be politically consensual, state-specific vision for local governance and purpose/roles for Panchayats in the state be read from the Act and Rules?

- Is there a clear and unambiguous articulation of the overall purpose of (each type of) Panchayats elsewhere, in a way that is widely and easily understood?
- Are the articulations in the above logically related and mutually consistent?

Answers to these questions will help identify the pertinent items that exist and also assess them if together they systematically define an adequate and consistent institutional framework for the capacitating and functioning of Panchayats as has been envisioned.

## 5.2 State Vision for Local Governance

As far as could be found out, a state vision in terms of local (self) governance has not been articulated by the state through a systematic and consensual process at any time. Various acts and their subsequent amendments at different times have presented different pictures of the purpose, structure, constitution, and roles envisaged for Panchayats. Further, the legislative intent has also been read/interpreted differently by commentators. The effectuation of various pieces of legislation has also been erratic at best. Hence, no clear trajectory in terms of active and effective implementation exists which could be used as a historical record of intent.

### 5.2.1 Implicit Visions of Local Governance in State Efforts

After the addition of Article 243 to the Constitution, Madhya Pradesh has been among the more active states in experimenting with its local government structures and functioning. However, a coherent and consistent overall vision of how localities will govern themselves through Panchayats—*an essential element required to guide all efforts at instituting effective local self-governance*—does not emerge from the number of legislative and policy interventions since the late 1990s. There is an apparent emphasis on substantially empowered self-governance at the village level to be read from the Gram Swaraj Adhiniyam and the structural arrangements that followed. Decentralization of a high order was also implied in the early merging of DRDAs with District (Zilla) Panchayats and the transfer of substantial responsibilities and funds to them. On the other hand, the institution of a district government (though it no longer exists) and the current concentration of resources at the district level contradict such a reading.

Similarly, some commentators pronounce the Gram Sabha to be the ‘cornerstone’ of the local governance structure in MP, but the practice of Aam Sabhas in villages/hamlets within the jurisdiction of the Gram Panchayat which was instituted when the village was made the development unit with a number (seven and then eight) of subject-specific committees, completely contradicts this perception. Attempting to read the overall vision, policy, and goals of the state in relation to local governance, from historical or existing legislation, policy, and practice is therefore quite unproductive.

Hence, an explicitly stated vision is particularly important to moderate the tendency for such frequent changes in the development trajectories of the local government. The existence of an Act and Rules alone does not serve the purpose for small amendments can easily be introduced to existing legislations that eventually undermine the central intent—the infamous process of *goal erosion*—whereas revision of an existing and consensual policy document is less easy. Moreover, its very existence and the up front statement of intents and priorities that it contains, provides a handle for critiquing opportunistic changes and holding governments and policy makers accountable (much like the function of citizen charters).

A substantial and rapid change in the form and structural arrangements of local government has in fact been particularly noticeable in Madhya Pradesh. While no doubt indicative of the exemplary interest in and experimentation with the design of local government in the state, it leads to weak continuity and

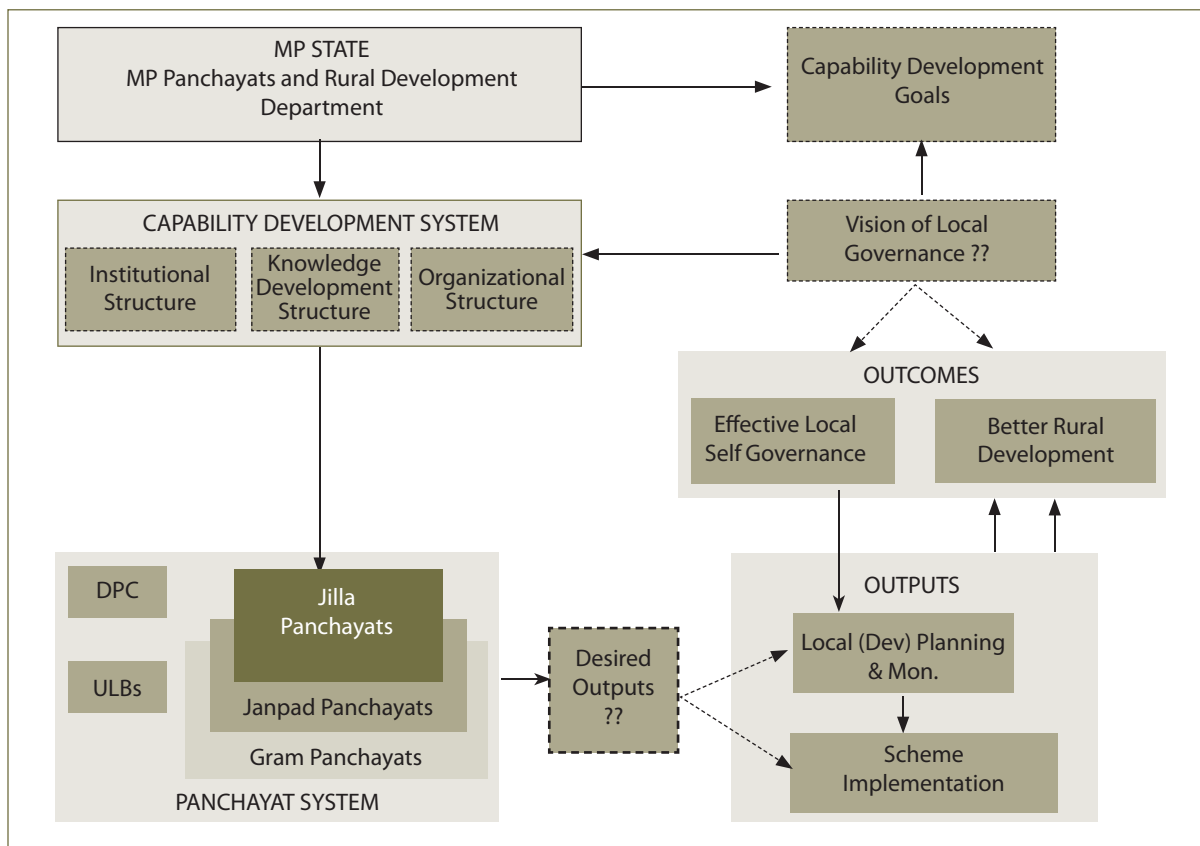
lack of sustained patterns of capability development. For example, legislative measures creating the district government and Gram Swaraj were undertaken in 2001. Under the first, a veritable government at the district level was set up with a minister heading it and a district collector as its member secretary. District-level officials of a host of line departments were brought under the district government. Similarly, through the MP Gram Swaraj Adhiniyam 2001, Gram Sabhas were made the fulcrum of the Panchayati Raj system. A host of functions were assigned to the Gram Sabhas with devolved powers; they were also to exercise executive authorities through eight Standing Committees. Through a recent amendment the Gram Swaraj provisions have been considerably diluted.

Both these initiatives at the district and Gram Sabha levels were innovative which went beyond the constitutional provisions for Panchayats. While both the initiatives were bold and gave a fillip to the issue of decentralization and also created a country-wide interest in the initiatives of the government, they also had the opposite effect of confounding the constitutional vision of Panchayati Raj in the state. Further, no consistent vision for local governance has emerged in their place—and one needs to be developed.

### 5.2.2 Usefulness of the Constitutional Provisions as a Vision

The existence/development of a state-specific vision of local governance, and a policy document that specifies policies, priorities, and preferred strategies for capability development is enjoined also by the fact that mandatory constitutional provisions specify only a skeletal structure—it is for the state to specify the details with regard to the specific roles and functions of Panchayats and the emphasis therein. In particular, the relative emphasis on the content of the two roles/functions of Panchayats listed in Article 243—the self-governance (development planning and monitoring) role and the implementation role—are

**Figure 6: Logical Framework for Capability Development of Panchayats**



to be decided by the state (and the Panchayats accordingly capacitated). This rests on a more fundamental decision of whether Panchayats in the state will be developed as institutions of *self-governance or agents of rural development* which would be reflected in the vision document. The two roles/functions may overlap and coexist, but both require very different content and emphasis in capability development efforts. The difference becomes apparent when considered in the 'logical outcomes' framework as given in Figure 6.

As is clear from Figure 6, lack of a vision leads to two clear operational gaps in terms of capability development. One is the lack of a basis to define specific and operationally specified **goals** of the state with respect to developing effective Panchayats. The other is the lack of a basis to concretely specify the kind of **outputs** that are expected from Panchayats, individually and as a system. Both these are important for capability development because without a specific pictures of what is to be achieved, efforts/inputs cannot be designed or be effective.

### 5.2.3 Implications for Capability Development Steering and Content

The importance of developing clear vision and policy documents is also evident from Figure 2, which maps the input-output-outcomes relationships clearly and illustrates the operational necessity of seemingly obtrude vision and policy documents. These relationships emerge from both development experience and theory. It is worth noting that the focus on decentralization and local governance processes in the last two decades has emerged from a lack of sufficiently effective, efficient, and equitable rural development under centralized governance arrangements and also from the normative principle of deepening democracy. That is, after half a century of centralized efforts *instituting effective local self-governance has drawn attention as the most effective means of achieving faster and more equitable rural development*, in addition to being a desirable democratic end in itself. Local self-governance is primarily about the processes of planning and decision-making on the priorities of local development, steering the activities that emerge from such decisions, and monitoring these and other development activities within relevant jurisdictions. *It is from these local planning and monitoring processes that expected improvements in the trajectory and pace of rural development would emerge.* Focussing on capacitating Panchayats for implementing rural development schemes of the state and national governments without much attention to developing their self-governance (planning, steering, and monitoring) capabilities is unlikely to yield desired results either in terms of better development or democratic local governance. It follows that *a capability development approach that does not base itself on a clear understanding of these means-ends relationships is unlikely to be effective in achieving either the goals of democratic local self-governance by Panchayats or better rural development.*

Preparing a vision and policy document(s) and its wide dissemination among all relevant actors enables clarity and is hence necessary for effecting desired outcomes. In the absence of these, capability development efforts ranging from devolution of tasks to the content of training programmes, rely on the broad contours sketched by constitutional provisions (which paint only a skeletal picture of what the roles of Panchayats could be and what they could do but leave it to the states to decide what these roles should be and what the Panchayats should be doing); these also rely on the state act (which only defines the scope and lists some activities), and the actual tasks and activities transferred. Examining the content of some current training programmes reveals that the training material generally shies clear of specifying a vision, purpose, and roles, but focuses almost exclusively on devolved tasks and scheme-specific activities. Moreover, the trainers explained to us that the content of training programmes figured largely in the questions raised by the participants and the discussions that took place after these questions were raised which means that the answers were fully dependent on the interpretations of specific trainers, and were liable to vary at best and perhaps remain unanswered at worst.



### 5.3 The MP Panchayat Raj Evam Gram Swaraj Adhiniyam 1993

Much like in other states, the Madhya Pradesh Panchayat Raj Evam Gram Swaraj Adhiniyam 1993 (with all subsequent revisions), which governs the existence and functioning of Panchayats in the state does not incorporate any section on the overall vision, objects, or rationale for instituting Panchayats or their central purpose(s), though it specifies elements of their constitution, and the functions and activities that they can undertake. Neither can these summary readings be easily derived from the provisions of the act, for they are numerous, give mixed purposes, and are open to substantial interpretive differences. Moreover, being a legal document, the form, length, and language make the act unsuitable as a guiding document for individuals who form Panchayats. Therefore, the act cannot serve the purpose of providing a clear, concise, and easily understandable statement of the vision of local governance and the purpose(s) of Panchayats.

‘Objects’, intentions, and rationales for an act are often included in the introductory sections of the bill which is tabled for discussion in the legislature before it is passed as an act. Unfortunately, no such document in relation to the Adhiniyam of 1993 was available in the public domain to ascertain if it had a vision and purpose. Even if it were available, it is unlikely that any introduction as may exist would suffice as a vision document. In light of this the requirement of a vision and policy document to steer capability development efforts in the right direction is all the more acute.

The provisions of the act itself, the comprehensiveness of the rules in relation to the provisions, and the extent to which they have been effectuated through executive orders constitute another area for analysis with regard to the coherent and consistent articulation and effectuation of the functional domain and roles of Panchayats. Such analyses are outside the scope of this exercise per se, but they are critical to the definition of specific task competencies that must be developed in Panchayats, that is, they would define the competencies required of individuals within Panchayat structures. They also define the competencies required of individuals in the organizational structures for capability development of Panchayats. While the range of activities that may be devolved to Panchayats may be a dynamic assortment, a clear picture at any time is necessary for training and other inputs, such as exposure, illustration, and demonstration.

### 5.4 Organizational Design of Panchayats

The overall vision of local governance in the state, the articulation of the purposes and roles of Panchayats, policy decisions on what capabilities should be built, and the legislation and rules to effectuate these define the overall organizational design of the Panchayats individually and as a system. It is important that the overall design be brought together and the desired/intended shape, form, and organizational and operational structure be described systematically. This could be part of vision or policy documents or it could be separately specified, but the important point is that there has to be clear consideration and articulation of the organization design.

The importance of this is three-fold. One, bringing all ingredients together—from the overall domain, functions, roles, to infrastructure and staffing requirements, the authority structure, resources and systems for effective operation of each Panchayat—ensures an optimal and ‘workable’ organization design, with some symmetry, for example, between responsibilities and resources, task loads and staff, and job requirements and competencies/skills. Two, the capability development task can then be planned and undertaken systematically. Three, the differences required in organizing Panchayats at different tiers, or of different sizes, or in different geography for that matter, will surface and different units can be capacitated with appropriate resources in terms of infrastructure, funds, and staff.



Currently, no such picture can be drawn without an organizational assessment of the different types of Panchayats. This is necessary as a prelude to building organizational capabilities which, as explained before, are perhaps equally, if not more, critical to their effective functioning as individual capabilities. Also, organizational capabilities are relatively easier and faster to develop (for some individual competencies have longer-term gestation periods), and more importantly, the appropriate development of organizational capabilities in itself supports individual development, that is, it is an important input with respect to some individual capability components.

## 5.5 Capability Development Policy for Panchayats

Developing a comprehensive policy document specifying the state's approach to capability development of Panchayats is a foundational step for coherent, consistent, coordinated, and sustained efforts that are urgently required. The policy could be a part of the vision document from which the contours of the capability development task would directly emerge, or it could be a separate document. However, so far no such document delineating the state policy on capability development exists. The necessity of and recommendation for preparing a state training policy has been made on various occasions and in different reviews, including at the NIRD National Workshop for Reviewing Institutional Capacity Assessment Approaches in India (May 2009) and the ASCI Capacity Assessment Report (2009), but it is yet to be developed. While a Panchayat training policy would be an essential component of the capability development policy, this policy is more comprehensive, including both organizational development as well as individual development in its purview.

Explicitly articulating such a policy is necessary for a number of reasons. First, the task of developing Panchayat capabilities is multi-faceted, multi-sectoral, long-term, and resource-extensive. Given the exceptional size and complexity of the tasks, strategic decisions on the organizational arrangements to be made, the sources and channels where resources will come from, and the engagement of different state and non-state entities will need to be made. The strategy has to be long term and sustained for the efforts to be effective and for investments to bear fruit. The existence of a policy document strengthens continuity, as it spells out the directions and preferred modalities. Such explicit articulation also serves as a guide for choices in action that would inevitably emerge during implementation.

Panchayats have to (potentially) handle activities across 29 subjects, in addition to the task of development planning for their jurisdictions. Effective development of their capabilities requires some cooperation and inputs from departments dealing with the 29 subjects as well as collaboration with the state Planning Department, though the exact nature and extent of the involvement of the different departments will emerge from the specific contours and emphases in relation to the functions and activities decided by the state for the Panchayats and articulated in the state vision. Developing a policy provides an opportunity for concerted thought on modalities for cooperation, for developing agreements on resource mobilization and sharing of responsibilities, and for the wider ownership and coordinated engagement required for this task. In all it is a key element of the institutional framework for steering capability development that needs to be in place at the earliest.

## 5.6 Capability Development Framework and Design

The third cornerstone of effective capability development is the detailed action-framework/guiding document for capability development of individuals in Panchayats, which specifies the *input components and content required and the organizational structure for their provision*. The capability development inputs that are required are highly state-specific, emerging from three factors: one, characteristics of target

groups (composition in terms of gender, caste, and ethnicity, and levels of literacy); two, the state vision of Panchayat functioning; and three, state policy specifications in terms of capability development. The nature, extent, and content of training required, including the specific knowledge, skills, and exposure, for example, will depend on the state's specification of the roles and functions of Panchayats and their organizational design, as much as on the strategies for capability development, both organizational and individual, that are selected.

The capability development design could (and rightly should) be part of the state capability development policy and must be developed as an intrinsic part of the same exercise. The policy and strategies for developing able Panchayats in fact constitute the framework for developing the CD design, which also makes this design highly state-specific. The design brings together the decisions embodied in the Local Governance Vision and Capability Development Policy in a concrete form and translates them in operational terms for ready application.

***Madhya Pradesh has not developed a state-specific capability development design and in its absence, NCBF has been adopted as the guiding document for on-going efforts*** undertaken by MGSIRD. While NCBF serves the purpose well in the absence of a state-specific document, and by all reports from implementing agency MGSIRD has been very useful for designing the extensive Panchayat training undertaken in 2010, it is a generic framework which requires state-specific adaptation. Currently, such adaptation is done in the course of developing operational details of the training calendar, curricula, and content, which from an assessment in the course of this exercise has been reasonable. However, a considered and systematic adaptation and development of a state Panchayat Capability Development Design is imperative to preclude randomness and for instituting consistency.

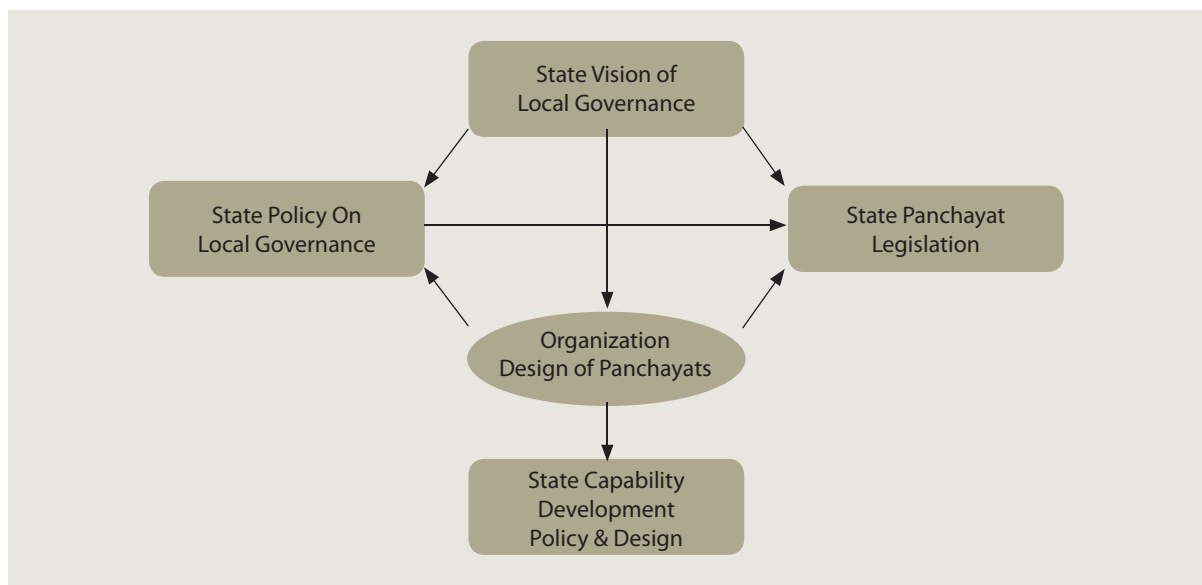
Developing a comprehensive state-specific design is also imperative because of the limitations of NCBF. Most of these limitations stem from the fact that the Panchayats are in the domain of state decision-making, and the national government's design can at best be suggestive. Further, it is only a generic/guiding framework, to be used by all the states, and allows for state-specific variations but as it stands, it is not cognisant of these variations. Finally, it has significant gaps in terms of the competencies and capabilities it addresses, particularly in the inputs required to develop self-governance capabilities (that is, planning and monitoring) of Panchayats. While Panchayats are included as topics, there is an overall and strong emphasis on developing implementation capabilities of Panchayats to the detriment of their governance capabilities.

## 5.7 Relating Vision, Policy, Legislation, and Design

The various components that together constitute the institutional framework are logically related (Figure 7). It is clear that except the vision, all other documents/statements are derivative, emerging or flowing from the overall vision and specific policy decisions. That is, the vision is an independent articulation of the desired end-state—what the state wants to see happen in terms of local self-governance by Panchayats. It defines the direction and overall goals and typically embodies collective values and priorities. The state policy on local governance is an intrinsic part of this definition, setting out the purpose(s), roles, and functions of Panchayats as local government units and elements of their design flow logically from the overall vision. In addition, it may explore and set out directions (and elements of strategies) for their institutionalization and development, taking into account the current local governance situation in the state, other elements of the state context, and features of the vision. In all, the state policy is directly derived from the overall vision and the current context.

Legislation is enacted and rules developed (along with orders for their effectuation) in order to realize the overall vision and policy of the state with regard to local governance by Panchayats. These should be derived from and be designed to consistently bring into effect the desired end-state as articulated in the vision and policy documents. Unfortunately, in the case of local governance, the legislation and rules have been enacted in MP as in most other states without the preceding articulation of a consensual vision, and have resulted in a mixture of normative statements, broad functions, elements of design, and specific activities that may or may not cohere in terms of an overall picture of an effectively functioning Panchayat system. However, even a post-facto articulation of a vision and policy at this stage would be immensely useful in clarifying inconsistencies as well as guiding all efforts at actualizing the legislative intent by developing Panchayat capabilities.

**Figure 7: Components of Institutional Framework for Capability Development**



The organizational design of Panchayats, including the structure, systems, resources, and people is derived directly from the vision and policy content as much as it is from the mandated provisions of the Constitution and the state legislation, and from considerations of an effective and functional organizational design. As mentioned earlier, there are few mandatory constitutional provisions in relation to the many details that need to be defined by the state. Further, the state legislation should rightly emerge from the stated state vision and policy, but in the absence of that, it in any case reflects some unstated visions/preferences in terms of design. In addition, the overall consideration of organizational effectiveness (which should also guide state policy and preferences) would be a major determinant of the organizational design.

The capability development policy and design emerges in large part directly from all the following documents/articulations—the state vision and policy and specifications for organizational design. Additionally, *explicit exercises at identifying suitable operational strategies and organizational arrangements involving all relevant actors must be undertaken to develop a workable and effective policy and design.* Strategic planning exercises should be done with the top management of the state organizational structures being involved. These will be identified in the state policy and are imperative in this respect because without participatory identification of strategies, priorities, and operational arrangements among all partners or actors (to be) engaged in the

task, and a thorough working through the issues and possibilities of inter-organizational coordination, a workable and consensual policy, backed by commitment and resources, will not emerge.

*The systematic development and wide dissemination* of all the components that together create the institutional framework for developing Panchayat capabilities is a primary and foundational task in the capability development process. It is important that the various components be developed, but more important than this is that they be systematically shared and their content explained. One of the key characteristics of many of the items—for example the vision and design—is that they be simply expressed for full and wider comprehension and for operational usage as guiding principles.

The gaps and issues in the institutional framework in the state are summarized in Box 14.

**Box 14 : Institutional Framework for Capability Development: Gaps and Issues**

- Absence of a clearly stated State Vision and Policy for Local Governance
- Development of the state Panchayat legislation without policy articulation and/or explicit statement of objects/intentions
- Consolidated specification of organization design of Panchayats, from the perspective of workability, is missing
- Lack of a Capability Development Policy and Design/Framework statement
- Ad-hoc adoption and adaptation of the National Capability Development Framework

## 6. CAPABILITY DEVELOPMENT—THE ORGANIZATIONAL STRUCTURE

There are three organizational segments that are implicated in effective capability development of Panchayats by the state. **First**, the state nodal structure for the task—the departmental structure(s) and the extent to which this includes within itself the necessary foci and competencies required to address the overall vision of local governance. **Second**, the specific organizational structure(s) or ensemble of structures that are charged with the design and delivery of capability development inputs. **Third**, the knowledge-development and educational structure that informs, supports, and provides educated human resources for the efforts of the first two. All three are equally implicated in the task of capability development for local self-governance in the state and play complementary and mutually supportive roles.

### 6.1 The state Nodal Agency—MPPRDD

MPPRDD is the state arm and the administrative agency responsible for developing the institutional framework for the institution of (rural) local self-governance, and for capability development of Panchayats both at the organizational and individual levels. It is uniquely responsible for policy making and steering activities in this domain and therefore the primary agency for charting local governance in the state.

MPPRDD's structure and its general contours have been described earlier. A more detailed description and systematic review of MPPRDD is not presented as it is not within the scope of this assignment. However, certain aspects and issues in relation to its steering of capability development efforts in the state need to be commented on for their impact on capability development efforts.

#### 6.1.1 Steering and Coordination Issues

Two issues bedevil capability development efforts in the state, which can directly be attributed to nodal structural arrangements. **One**, as MPPRDD combines the task of rural development and instituting Panchayats in the state, there is clearly (and inevitably) a predominant conceptualization and understanding of local governments as agencies of rural development, particularly at the middle and lower levels. This influences the focus, content, and design of capability development efforts unduly in the direction of the *agency functions of Panchayats* and therefore, their *implementation* capabilities. The *self-governance* roles of Panchayats centred in their *development planning and monitoring* roles are notable in the slim attention that is accorded to them in capability development efforts. Activities like social audit are no doubt included to an extent in the content of training programmes, but the larger and more central role of 'planning for economic development and social justice' is hardly addressed.

**Two**, the lack of an integrated and explicitly articulated local governance vision, and the unitary efforts by MPPRDD to further Panchayat capabilities without systematic cross-departmental alliances and collaboration are perhaps equally the cause and effect of the **first point mentioned above**. The only exception—though an important one—is the coordination of the GoI-UNDP CDLG Project through a multi-departmental Project Steering Committee. This is time-bound project and limited to project-specific priorities. Hence, what is required in addition is a long-term organic collaboration initiated by the state. Local governance as a domain is both multi-sectoral and also spans the urban-rural divide, with the planning

being coordinated by the State Planning Department. Developing local government capabilities enjoins concerted and multi-departmental collaborative efforts, which can also direct more balanced attention to the *multi-faceted requirements of capability development for local self-governance*. Without this, the overwhelming focus remains on the role of Panchayats in implementing rural development programmes.

This situation needs attention, and short of a systematic review and inter-departmental restructuring—as has happened in Kerala—cannot be ideally remedied; it can, however, be mitigated. Recognizing the intricate governance as well as developmental relationships between urban and rural jurisdictions, and the poor reflection that this found earlier in the structuring of state departments, Kerala, for example, has brought both the rural and urban development departments under the purview of a combined department of local self-government. This is an ideal situation that may not be possible in the short or medium term in MP. However, the capability development imbalances and issues in the current dispensation may be well addressed by acting upon the two gaps identified above—the lack of an explicitly stated and integrated state local governance vision and policy, and the lack of multi-departmental collaboration for capability development.

### 6.1.2 Crafting the Institutional Framework and Integrated Capability Development

As a part of its policy making and steering responsibilities, it is MPPRDD's responsibility to steer the development of the state vision and policy on self-governance by Panchayats; their capability development too comes under its domain. As explained earlier, this is a key institutional development task that underpins effective capability development. However, it is inconceivable that an effective local governance vision and policy can be developed separately for rural and urban areas; clearly, it has to be integrated and cohere across jurisdictions. MPPRDD must necessarily initiate and steer this in conjunction with other state departments and agencies.

The initiative for multi-departmental collaboration either for developing policy or for developing capability efforts could emerge from any quarter, but the appropriate initiator in the Madhya Pradesh context will be MPPRDD for a number of reasons. First, because its purview encompasses a larger proportion of people and settlements in the state; MP is overwhelmingly rural and development challenges in this arena are significant. Second, because there is a greater impetus, resources, and some established organizational structures for capability development of Panchayats in the country as well as in the state, which other relevant departments, such as urban development and planning do not enjoy. Finally, because MPPRDD has an active, senior, and capable leadership, which can effectively initiate and steer inter-departmental collaboration and coordination, which would not be possible with a lesser leadership.

## 6.2 The CD Design and Delivery Structure—the MGSIRD System

The responsibility for designing, coordinating, and delivering capability development inputs to individuals within Panchayats is currently vested in the Mahatma Gandhi State Institute of Rural Development (MGSIRD), located in Jabalpur. It is currently designated as the nodal agency for capacity building of Panchayats, or more specifically, for (planning and organizing) training activities for the purpose. The MGSIRD system includes six Extension Training Centres (ETCs) spread across the state as well as three Panchayat Training Centres (PTCs) which are technically under MPPRDD. The organization also collaborates with other training organizations in the state and with NGOs in the discharge of its capability development responsibilities.



### 6.2.1 History, Constitution, and Mandate of MGSIRD

The State Institute of Rural Development, now known as the Mahatma Gandhi State Institute of Rural Development (MGSIRD) was set up by the Government of India in 1954 as the ‘Tribal Orientation and Training Centre’ (TOTC). The institution was transferred to the Government of Madhya Pradesh in 1967 and renamed as the ‘Panchayat Raj and Community Development Training Centre’. Its basic mandate was to train block development officers and other development functionaries. In conformity with the policy of the Government of India, the centre was redesignated as the State Institute of Rural Development (SIRD) in 1987. As a part of the 125th birth anniversary celebrations of Mahatma Gandhi, the name MGSIRD was adopted for the institute in 1994.

Recognizing the need for autonomy, MGSIRD was incorporated as a society under the relevant statute in 1996. As is normative, the society has a general body of membership and a governing board. The Chief Minister and the chief secretary are its patrons; the minister, Rural Development and Panchayati Raj, is the chairman of the governing board. The institute has an executive committee for providing operational oversight as also for strategic steering. The administrative secretary of the Rural Development and Panchayati Raj Department chairs the executive committee (EC). The institute’s director acts as the member secretary of the EC.

MGSIRD’s primary mandate is training MPPRDD’s officers and functionaries for better implementation of rural development programmes of the state government and GoI, as is embodied in the objectives spelt out in its Memorandum of Association, and reiterated in its vision document:

- To conduct training courses for newly appointed gazetted and non-gazetted officers of State Administrative Services who are related to rural development.
- Short-term refresher courses for all the officers already working in the Rural Development Department.
- Special training programmes for developing skills in specified areas like leadership in administration, financial management, personnel management, computer efficiency, and watershed development.
- Training of trainer (ToT) programmes for training centres/departments and districts.
- Technical training courses for officers of the Rural Development Department.
- Capacity building training of ERs of all the three tiers of Panchayat Raj, on foundation, functional, and sectoral training.

The vision and mission expressed in the same document is:

**Vision**—‘To transfer Knowledge and Skills to the rural people and development functionaries to enable them to plan and execute rural development programmes in an effective manner for sustainable livelihood and good governance.’

**Mission**—‘The Institute envisages a mission “To ensure empowerment, participation & good governance through qualitative training”.’

Though the organization is also charged with the responsibility of training Panchayat ERs and personnel, this has not been its central focus. As an apex organization for training in rural development and Panchayat subjects, the institute is primarily responsible for training state government officials responsible for rural



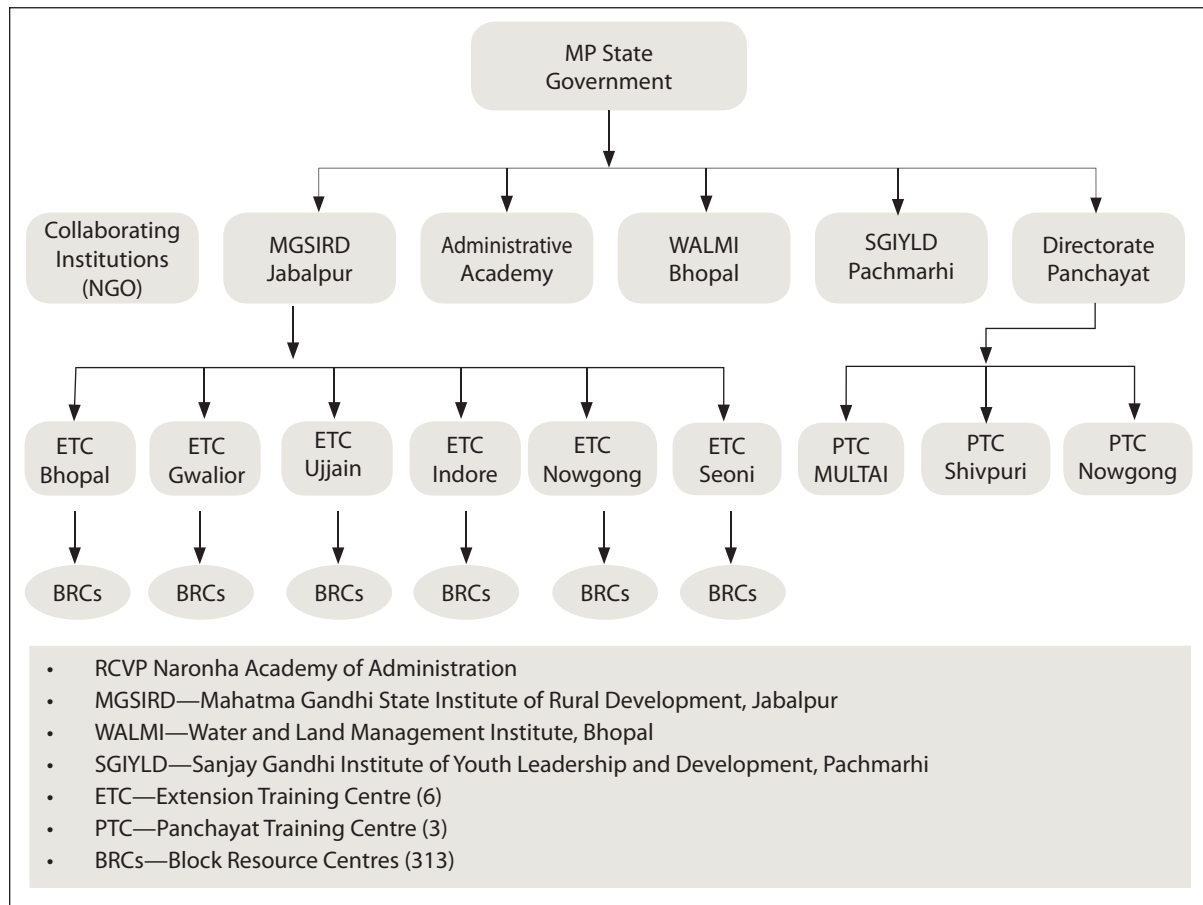
development programmes; the responsibility for training ERs and Panchayat officials has been an added feature. Additionally, it also undertakes evaluation and monitoring projects for rural development schemes of the government.

### 6.2.2 MGSIRD: Governance and Organizational Structure

Though MGSIRD is technically autonomous, since it is incorporated under the Society Act it functions as the training arm of MPPRDD. It is also depicted as part of the department in MPPRDD's organogram. Further, the secondment of an administrative officer from the state as its director also de facto makes it function as a part of the department.

MGSIRD has six ETCs also referred to as the Regional Rural Training and Development Centres (RRTDCs) under its administrative control. In addition there are three PTCs under the Panchayat Directorate. Currently, 313 Block Resource Centres (BRCs) are being set up to support training activities at the Janpad level with funding from BRGF (29 districts) and from RGSY (21 districts). BRCs are envisaged to act as 'centres of training, database compilation, dissemination of concept of decentralised planning, community mobilization and helpline activity'.

**Figure 8: Structure and Relationships of the MGSIRD System and Partner/Similar Training Organizations**



In the past, MGSIRD collaborated and partnered with 14 NGOs for training purposes, especially at the Janpad and village levels. Presently, this collaboration seems to have been suspended. Apart from this, the RCVN Naronha Academy of Administration (the ATI of the state) and the Water and Land Management

Institute (WALMI), both located in Bhopal, have been included in the Panchayat training plan for 2010–11. MGSIRD has also forged a partnership with the Sanjay Gandhi Institute of Youth Leadership and Development (SGIYLD) located in Panchmarhi for training purposes. The structure of the MGSIRD system and the other state-level training institutions that it partners with is given in Figure 8.

### 6.2.3 Infrastructure and Facilities—MGSIRD, ETCs, PTCs, and SGI

MGSIRD has a 12 acre finely landscaped campus in Jabalpur. It has three training rooms and two auditoriums. The auditoriums are currently undergoing improvement and refurbishing. There are three hostel buildings with 58 rooms and four dormitories. Three dining halls with kitchen facilities are attached to the hostels. The lodging capacity in the hostels is said to be 150. The training rooms and auditoriums can accommodate 150 participants at a time. There is a central library building with three halls. The library has a collection of about 14,000 books on various subjects relating to rural development and Panchayats. The library subscribes to 10 journals, five news weeklies, and six newspapers. The library facility is open to students and scholars from local colleges and the university. It also has a computer centre with 20 P4 computers. Apart from this, all faculty members are provided with personal computers in their office rooms. All the computers are networked through LAN and have web connectivity. It was reported that support staff are also provided computers.

**Table 15: Infrastructure of Extension Training Centres (ETCs/ RRDTCs)**

No.	Institution & Location	Academic Staff	Infrastructure				
			Training Halls		Hostel Capacity	Computers	Training Aids
			Number	Capacity			
1.	ETC, Indore	6	3		70	8, net connected	OHPs, MMPs, TV/ VCR
2.	ETC, Ujjain	3	2	80	50	3	Projectors, TVs/ VCRs
3.	ETC, Gwalior	5	3	90	40	2	Projectors
4.	ETC, Bhopal	6	3+1		40–70		
5.	ETC, Seoni	5	2+1	60	40		Projectors
6.	ETC, Nowgong	5	1	40	40	3+2	Projectors

MGSIRD's infrastructure and facilities are augmented by those of the six ETCs (RRDTCs) located in Indore, Ujjain, Gwalior, Bhopal, Seoni, and Nowgong. Every ETC also has autonomy along the lines of MGSIRD. However, their activities are coordinated by MGSIRD and they function under its supervision and control. Table 15 shows the infrastructure and other resources available with ETCs.

Table 15 suggests that ETCs are scaled down versions of MGSIRD. They were set up at different times and have more or less similar resources. The key issue to note is the balance across these facilities. For example, only in case of ETC Nowgong, are the capacities in the hostel and training hall perfectly balanced. In all the other cases it is the hostel capacity which effectively forms the training capacity at any point in time. The most extreme case is that of ETC Gwalior which has a training hall with a capacity for 90 people. The hostel has a capacity for 40 people which means that there is continuing underutilization of the training hall capacity. This observation, if noted at the stage of planning for infrastructure development, would indicate the manner in which additional capacities should be distributed within the ETCs so that their total infrastructural capacities are enhanced.

### 6.2.4 MGSIRD Resources: Funds

MGSIRD receives a bulk grant from the state government, both for recurring and non-recurring expenditure. In recent years this has ranged between Rs 60 and Rs 90 lakh. GoI is committed to financing 100 per cent

of MGSIRD's non-recurring expenditure and also reimbursing 50 per cent of its recurring expenditure. Additionally, MGSIRD also earns revenue through collaborative projects, training fees, and renting out hostels and the guest house.

In 2010–11, the bulk of the institute's efforts were directed towards orientation training of Panchayat ERs and personnel. Resources for this extensive exercise were accessed from the Backward Region Grant Fund (for 29 BRGF districts) and from RGSY (for non-BRGF districts). Expansion of infrastructure and facilities that are on-going and those which are proposed, including development of BRCS' in every Janpad, are also being financed from these programmes, and are being augmented with internal resources and state grants.

The institute reports difficulties with planning for and implementing infrastructure development, primarily because of *uncertainties in the flow of funds*, despite the existing mechanisms of budgetary support that it enjoys. It is suggested in MGSIRD's vision document that the funding sources may be widened and mechanisms expanded for this purpose. A particular issue with financing training programmes from various sources, typically rural development programmes, is that person-wise allocation differs across programmes/schemes.

### 6.2.5 MGSIRD's Competencies: Faculty Resources

The director and deputy director of MGSIRD are seconded from the parent department (MPPRDD) and are transferable, without any fixed tenure in the institute. This has been a major source of instability and according to reports has led to 'fleeting management' policies and initiatives. The high turnover in leadership has not enabled following any sustained directions in creating material or building competencies for capability development in the institute. Further, the propensity to treat a tenure at the institute as a 'punishment posting', or a 'waiting period' for better posts or as a less taxing job for people recovering from illness etc., has not been conducive for attracting or developing leadership talent.

MGSIRD has 73 sanctioned posts including all categories of employees, from faculty to service staff. However, the principal resource, that is, **faculty positions, are restricted to only four**—two professors and two instructors. Two more positions of research assistants get counted as part of the faculty which is a feature that is particularly worrisome. In the past year, the institute hired five additional faculty members with GoI support under BRGF; they are, however, on short-term contracts.

The existing faculty members belong to social science disciplines with long, though varied, years of experience primarily in the administrative structure of MPPRDD. The experience gained over the years has necessarily held them in good stead for the tasks that they have undertaken. Yet, purely in quantitative terms the faculty resource is inadequate given the nature of the overall tasks that the institute has to perform. The quantitative shortfall also has another downside—faculty members have too little slack time available for their own development. This is exacerbated by the absence of any clear faculty development policy. Further, the institute does not have a human resource development system.

In view of the extensive coverage mandated for orientation training of the newly-elected Panchayat representatives (and existing employees) in 2010, recourse was taken to the cascading mode, and additional district and Janpad level trainers were engaged for this exercise. For this process two pools of 'master trainers'<sup>2</sup> are being created. The pools called A and B will constitute the following: Pool A will consist of 14 officials

<sup>2</sup> There appears to be confusion in the use of the term 'master trainers'. What is meant and what could be discerned from the manner of preparing the pool is that they are 'field trainers'. Further, they are prepared by trainers—there are no certified 'master trainers' in MGSIRD; as far as we could ascertain, the state has only three master trainers of whom two are still with ATI, Bhopal. It is instructive to note the wrong use of the terms in the documents of a training institution.

from each block and one government officer from the district level as the District Nodal Officer. Pool B will consist of five persons from each block. These persons will be drawn from among retired government officials and other individuals interested in acting as trainers. Thus, for the 29 BRGF districts 3,620 trainers will be available. Similar arrangements are also provisioned for the other 21 districts covered under RGSY.

**ETC Faculty:** The faculty resources in ETCs are small and of uncertain quality. The absence of a clear demarcation of faculty positions and initiatives for their development also results in depletion of competencies due to loss of motivation. Secondly, as in the case of MGSIRD, all ETCs must also recognize that training is a specialized field; training methodologies are now well-developed and can be acquired. Competencies of master trainers must be built within these institutions for two purposes—so that they are able to orient new faculty into training methodologies and also for creating pools of ‘trainers’ for the cascading mode.

### 6.2.6 Current Partners: RCVP Noronha Academy of Administration

The RCVP Noronha Academy of Administration is the apex training institute in the state. It assists and advises the government for evolving training policies for its departments. It provides guidance to other training institutions in the state for managing training activities. The academy also undertakes studies and researches relevant to training and development, management of change, and brings out publications that contribute to training literature. Since 1992 it has been recognized as a Regional Training Centre by the Department of Personnel and Training (DoPT), GoI. In 1994, the academy gained further recognition through the National Excellence Award in Training of Trainers (ToTs) given by DoPT, GoI.

The General Administration (GA) Department of the Government of MP is the parent department for the academy which has a board of governors headed by the minister of state, GA Department. A senior official of the government functions as the director general and executive head of the academy. Another senior official is posted as its director.

The academy has excellent infrastructure in terms of physical structures, facilities, communication, and connectivity. The state SATCOM Centre set up in collaboration with ISRO is housed in the academy. Two-way audio and one-way video transmission facility is available through satellite from the SATCOM Centre. Over the years the academy has established various resource centres in collaboration with concerned departments of the state government, such as the Centre for Knowledge and Good Governance, the Urban Development and Management Centre, the Women Resource Centre, and the WTO Centre. These centres act as research and training hubs for different development issues.

The academy has a sanctioned strength of 10 faculty members. These positions are filled in two ways—some are dedicated faculty of the academy, whereas others come on deputation. Faculty positions are distributed among different relevant disciplines. Prima facie, faculty competencies available with the academy are notable, *particularly with some among them having been recognized and empanelled as certified trainers for training master trainers* as well as trainers. In addition, the academy maintains a directory of NGOs that it partners with. At present the directory lists 194 NGOs as partners in delivering some of the training activities.

The academy’s competencies in handling higher-level officers and ERs as well as the presence of some certified master trainers among its faculty makes it a unique complement to the current competencies of MGSIRD. Given the state administrative hierarchies and the position of the SIRD leadership and faculty, handling of district-level training could be a potential minefield that cannot be negotiated without upgrading both

the position and competencies of the MGSIRD faculty. Moreover, the competencies required by master trainers in the state are not present in SIRD, with only a few faculty members having been trained in selected components of the systematic approach to training cycle. None are trained to be or certified as master trainers themselves.

### 6.2.7 Current Partners: Water and Land Management Institute

The Water and Land Management Institute (WALMI) is the state-level apex training institution for soil and moisture conservation, development, and management. It was set up in 1985 and is registered under the MP Societies Registration Act 1973. MPPRDD is the parent department for the institute. The objects of the institute cover all aspects relating to soil and water conservation and management, including land development and irrigation. They also include infusion of science and technology, networking with various specialized institutions related to the subject matter, and publishing and popularizing sustainable technologies, training, and capacity building.

The institute has excellent infrastructure housed within its campus. It has a hostel with an attached dining room and kitchen. The hostel has 38 rooms and two dormitories for lodging trainees and guests. It has eight lecture halls, a conference hall with seating capacity for 70, a mini conference hall with seating capacity for 25, an auditorium with seating capacity for 300 people, a laboratory for testing soil and water, and a reasonably well stocked library.

The institute's faculty are drawn from technical departments; it also has dedicated faculty from social science disciplines. The institute conducts a large number of training activities for various departments and organizations on subjects of its expertise. Currently, it has been entrusted with training district-level ERs in the training plan prepared by MGSIRD. The institute appeared willing to partner with MGSIRD in future efforts. However, its significant limitation is in faculty expertise for handling local governance. Since the institute is geared towards technical training, with only one faculty interested in and possessing expertise in local governance, the nature and content of its engagement will have to be appropriately developed. Hence, sectoral training programmes in agriculture, watershed development, and the like may be most suitable for WALMI.

## 6.3 Knowledge development Structures for CD

Three kinds of knowledge structures are essential for effectively developing local governance, local government structures, and capability development of Panchayats in the state. **First**, *knowledge generation structure(s)*, undertaking research, publication, and wide dissemination of knowledge ranging from field studies, reporting of empirical patterns, trajectories of experience and practices and case development to conceptual and theoretical explorations and development. **Second**, flowing from the first, are *knowledge dissemination and transmission structure(s)*, undertaking publication of various types from newsletters and more professional journals to cases and research studies as well as educational programmes of various durations and levels. Education is the most sustained and productive knowledge transmission mode, which has a multiplier effect that is necessary for transformative change in the domain. **Third**, *the structure for producing an understanding, knowledge, and expertise of capability development*, including preparing master trainers, trainers, content developers, and other CD specialists. It must be realized that while the first two are somewhat related in terms of the expertise, knowledge, and skills involved, content developers are distinctly different in most respects, even as they rest on the knowledge bases and people produced by the first two. *The three can be located in separate and multiple centres, within and outside the governmental domain*

in universities, NGOs, training institutions, or even civil society ‘think-tanks’, but it must be recognized that all the three types are necessary for local self-governance to develop substantially. Since local self-governance is statutorily the responsibility of the state, it follows that enabling/seeding the development of knowledge-infrastructure is also a state task.

As far as could be ascertained there appeared to be no *systematic programme or organizational set-up with respect to master trainers and trainers for research and/or longer-term education* in the domain of local governance. Some ATI faculty, individual consultants, and some NGOs in the state working in this area reportedly undertake systematic exploration of issues, developments in the field, and publication of reports. However, no sustained and consistent programmatic effort could be uncovered. There also appears to be no longer-term course, akin to a certificate course in local governance as suggested in NCBF, offered at any place in the state.

MGSIRD’s vision document proposes developing a number of research agendas through setting up various centres and systematic attention being paid to research and knowledge development. This task is imperative and MGSIRD as the apex training institution would be an appropriate location which has suitable access to research on various aspects, particularly in terms of the functioning of Panchayats and empirical understanding of field developments. It is also necessary to enrich faculty competencies and bring experience into capability development efforts.

However, organizational homes for wider knowledge development and education efforts required in the state need to be rethought more systematically. Research, training, and education are distinctly different activities with unique skill-sets, which may not always overlap. Therefore, housing all these in a single organizational structure may not be the right answer for optimal results. While research and education have been frequently clubbed together with varying degrees of success, and are understood to be more compatible, there is no example of successfully housing these activities in a training institution so far. How effectively this can be done, what would be the necessary preconditions for its success, and whether other arrangements would be more optimal and/or efficient, are questions which need to be systematically addressed before investments are made.

*No structure for producing and disseminating CD knowledge, techniques, tools, and expertise* which is distinct from the general knowledge development/education for the domain exists in the state. That is, there is no centre or location for research, development, or creation of capability development and training expertise to prepare trainers and master trainers and other resource people as required. What could be ascertained is that there are two to three certified master trainers located in (or retired from) the state ATI. While it is a small nucleus that could be capitalized upon, there is a huge and immediate requirement in this respect for supporting capability development efforts. ToTs have been developed and delivered by the MGSIRD faculty (with some resource persons), who are themselves not fully qualified as trainers, and none have master trainer competencies. While this is understandable given the state of the domain in the country, with very few certified trainers and fewer master trainers (and fewer still in the local governance domain) the gap is nevertheless a matter of substantial concern that demands urgent attention.



## 7. CAPABILITY DEVELOPMENT—CURRENT FUNCTIONING AND PROCESSES

Capability development of Panchayats in Madhya Pradesh is not only a particularly big task but it is also complex and variegated. It is not only the size of the state and the small size of its Gram Panchayats which multiplies the number of representatives, but also the special characteristics of relatively lower literacy and development which make the task of capability development particularly challenging. MP is among the few states in the country where sustained application of a full range of capability development efforts as suggested in NCBF are necessary. At the same time the promise of rich dividends in effective local governance is also the strongest in the state because the small representation-ratio (number of voters in each ward) of about 100–150 at the local level provides the best structural possibilities for all the virtues of local governance to flower—direct decision-making, high face-to-face transparency and, therefore, accountability, and best representation of citizen preferences in governance decisions.

The bridge between the promise and the reality is effective capability development, and the current nodal organization for CD design and delivery, MGSIRD, along with its network of regional institutes (ETCs, PTCs, and SGI) and state-level partners (the RCVPN Academy of Administration and WALMI) has made an impressive start. We now review current efforts, the framework within which these are placed, and plans for the future, to identify achievements, gaps, and other issues.

### 7.1 Size of the CD Task and Panchayat Training Trajectory

As has been enumerated in Chapters 3 and 4, numbers in terms of the CD task in MP are impressive. It has 50 districts and 313 development blocks and thus as many Panchayats at these levels respectively. It has 23,040 village Panchayats which between them cover 52,143 villages. There are 901 ERs in district Panchayats, 7,164 ERs at the intermediate (Janpad) Panchayat level, and 4,09,600 ERs at the village (Gram) Panchayat level. These numbers include the chairpersons and vice-chairpersons at each level. Further, the state has identified 150 officials at the district level, 4,957 officials at the Janpad level, and 23,040 at the Gram Panchayat level who will constitute the potential target group for capacity building efforts.

#### 7.1.1 Trajectory of Organizational Efforts for Panchayat CD

There have been efforts in the state to energize Panchayats and build their capabilities from within state structures as well as in civil society. The notable feature of the state has been its effort to devolve developmental responsibilities and activate local self-governance at the local level through initiatives like Gram Swaraj and the creation of village-level committees, an experiment with district government and other efforts, such as the move to create Gram Nyayalayas. The key feature has been trying to build the capabilities of the local government through organizational reforms and restructuring of organizational arrangements for local governance. This marks MP as among the few states in the country which has taken various initiatives for experimenting with substantial organizational reforms for local governance.

Panchayat CD at the individual level by state entities include efforts by MGSIRD and its network of regional institutions, the ETCs, as a part of their mandate of training for rural development. Panchayats



as major actors in the rural development arena were included in the normal training initiatives that they undertook towards building rural development capabilities in the state without a separate trajectory till about 2004–05. Thereafter, a specific focus on building Panchayat capabilities, as distinct local governments in themselves, appears to have emerged, or the direction for this was given and a different trajectory of efforts emerged. This includes not only some recognition of the size of the task and the need for different organizational approaches, such as on-site, non-institutional cluster-based training, but also some realization of the differing nature of the capability development task, at least in some faculties.

The RCVPN Academy of Administration also undertook training of Panchayat members and officers, particularly at the district level at various times in the last decade. Again, this was generally in line with the mandate of training state officers for development and administrative roles, only with a somewhat expanded focus of the target groups to also include ERs. The number, frequency, and size of the programmes, however, appear to have been very low, though given the number of individuals at the ZP level, it may still be significant. Again, a different approach or perception of Panchayat training programmes, particularly for ERs, appears to be limited to specific faculties and their interests/sensibilities; an organizational orientation in this respect does not appear to exist.

Civil society efforts for Panchayat CD have in general been in recognition of the different nature and role of Panchayats in rural development, and as political and empowering entities. Efforts by some of the better known NGOs have been creative and sustained in their areas of work, and have encompassed a greater range of CD components and initiatives than simple training. However, additional initiatives, such as creating awareness, mobilizing the activation of Panchayats, organizing Gram Sabhas and Aam Sabhas, developing Panchayat Resource Centres, handholding, and providing support to marginalized groups to participate in Panchayat meetings and Gram Sabhas, and policy advocacy, have been notable and widely adopted for their effectiveness. Approaches that are now mainstreamed in the country were at one time developed by innovative NGOs in MP working with a network of partners across the country.

### **7.1.2 Panchayat Training Achievements till 2009 (by MGSIRD and Partners)**

Since 2000, training programmes and the number of participants engaged with by MGSIRD and ETCs have steadily increased (Table 16). In the last 3–4 years, however, MGSIRD has in association with its network of ETCs, significantly increased its training coverage for capacity building. The number of participants undergoing training in these institutions has grown year on year since 2003–04. On a base of 2003–04, the training activity had increased more than four-fold by 2009. By all means these are impressive levels of performance. Even more impressive is its current training trajectory and by all accounts this momentum will continue.

The proportion of Panchayat-related individuals among these numbers is difficult to capture as training calendars and details are only available for recent years. However, it was reported that they did not figure as a major proportion of the numbers till about 2007–08, when a large-scale, non-institutional training effort was launched to reach Panchayat members at the cluster level. The numbers show this in the sharp jump between 2007–08 and 2008–09 for MGSIRD (the fall in numbers trained by ETCs was because the faculty were involved in on-site field efforts, but some proportion of the numbers are reflected in MGSIRD's total). Also, training of this nature was curtailed in the last six months as it was in the last year of the Panchayat members' terms, with elections due in early 2010.

Table 16: Training Achievement by MGSIRD and ETCs till 2009–10

Year	SIRD		ETC's	
	Session	Participants	Session	Participants
2000–01	87	2,100	162	2,614
2001–02	159	4,791	112	3,045
2002–03	137	4,714	190	5,664
2003–04	113	4,028	169	9,504
2004–05	158	7,421	317	13,928
2006–07	215	6,620	616	22,976
2007–08	274	116,69	603	44,161
2008–09	1,580	99,999	1,022	5,007
2009–10	2,683	153,861	1,033	38,037

## 7.2 Perspective Plan 2010–11

It was in 2009–10, with the Panchayat elections due in early 2010, that systematic attention was directed towards planning for extensive training coverage in a time-bound manner for all incoming Panchayat members and functionaries. A perspective plan was prepared and a systematic training plan combining institutional and field-level training for implementation from April 2010, after the elections were held in February 2010, was put in place.

### 7.2.1 Overall Directions for Panchayat Training

The integrated training perspective plan for 2010–11 recognizes the huge task of Panchayat CD in the state. It also explicitly recognizes the manifold increase in the responsibilities of Panchayats and the roles that they have to play in the wake of the 73rd Constitutional Amendment Act and the various flagship development programmes that require significant roles for Panchayats. In specific, the document makes a reference to Article 243 G of the Constitution which enjoins Panchayats to prepare plans for economic development and social justice as well as implementing various rural development programmes/schemes entrusted to them. It states:

To achieve the objectives of capacity building and training, it is necessary to adopt a comprehensive training strategy for the whole Panchayati Raj System aided by funds available under Backward Region Grant Fund (BRGF) and NON-BRGF (Rashtriya Gram Swaraj Yojana, RGSY) programmes. There are 189 blocks in 29 districts which come under BRGF programme and 124 blocks in 21 districts come under NON-BRGF (RGSY) programmes.

The perspective plan for 2010–11 documents the following as the needs/objectives of capacity building training; it is intended that the intervention of training as a capacity building exercise would enable the PRIs:

- To facilitate planning, implementation, and monitoring;
- To perform effectively the functions devolved to them;
- To understand the concept of local self-government and social justice;
- To participate in decentralized planning;

- Constructive thinking to solve local problems;
- To ensure effective participation in executing and implementing various rural development programmes;
- To improve performance and service delivery;
- To bring attitudinal changes among representatives and functionaries;
- To update and improve the knowledge and skills needed to be at par with growing technology;
- To bridge the gap in existing social inequalities;
- To recontextualize the skills and experience of new entrants and provide them relevant information;
- To develop local leadership;
- To reorient functionaries; and
- To develop capacities of women, SCs, and STs and to enhance their participation in local governance.

(Perspective Plan, MGSIRD)

**Table 17: Training Requirements in Numbers of Individuals in Panchayats**

ABSTRACT OF TRAINING NEEDS 2010 - 11											
	Level	Description of role-holder	Duration of training (days)	No. of participants per batch	BRGF districts (29)	BRGF	RGSY districts (21)	RGSY	Total no. of participants	Total no. of participants at different level	Total no. of participants-elected Reps & Functionaries
Elected Representatives	Z.P.	Chairperson	6	25	29	529	21	372	50	901	4,17,665
		Vice Chairperson	6	25	29		21		50		
		Members	6	40	471		330		801		
	J.P.	Chairperson	6	40	189	4,241	124	2,923	313	7,164	
		Vice Chairperson	6	40	189		124		313		
		Members	6	40	3,863		2,675		6,538		
	G.P.	Chairperson	6	50	13,443	2,41,573	9,597	1,68,027	23,040	4,09,600	
		Vice Chairperson	6	50	13,443		9,597		23,040		
		Members	3	50	2,14,687		1,48,833		3,63,520		
Functionaries	Z.P.	ZP CEO	5	25	29	87	21	63	50	150	28,147
		ZP PO	5	25	29		21		50		
		ZP APO	5	25	29		21		50		
	J.P.	JP CEO	5	30	189	2,991	124	1,966	313	4,957	
		JP BDO/DEO	5	30	189		124		313		
		JP PCO	5	30	2,424		1,594		4,018		
		JP PSEO	5	30	189		124		313		
	G.P.	GP SACHIV	6	50	13,443	13,443	9,597	9,597	23,040	23,040	

### 7.2.2 The Training Strategy

The perspective plan 2010–11 set out a comprehensive strategy to roll out the training plan (see Table 17). It underscored the urgency of rolling out this training plan soon after the conclusion of the elections for Panchayats in February 2010. It also specified that all planned training activities must get completed within a set time-frame for achieving optimal effects. Two types of training were envisaged—institutional

and cascading. Institutional training was envisaged for state, district, and block level key representatives and functionaries. The facilities of the Administrative Academy, MGSIRD, WALMI, SGYILD, ETCs, and PTCs were to be used for institutional training. The presidents, vice-presidents and members of Zilla Panchayats and Janpad Panchayats would undergo institutionalized training. Functionaries like CEOs of Zilla Panchayats and Janpad Panchayats with other critical functionaries would also undergo institutionalized training at the training institutions mentioned earlier.

As a part of the perspective plan, MGSIRD and associated ETCs had undertaken respective 'visioning' exercises. The vision documents list out the resources that every institution has; they also identify the gaps. All of them require augmentation of faculty as well as infrastructural facilities. But even when they are fully augmented, it is recognized that only so much will be done in the institutional mode; there is also a need for utilizing the cascading mode of training for capacity building. The envisaged cascading mode will involve preparing 'trainers' through ToT programmes. The cascading mode of training is required for bigger groups, such as representatives and functionaries at the Gram Panchayat level. For this, two pools of 'trainers' are being prepared. Between these a total of 5,997 trainers will be available. Pool A trainers will be involved in training Sarpanchs, up-Sarpanchs and Sachivs of Gram Panchayats. Along with the trainers prepared in Pool B, these trainers will also train Panchs or ward members of Gram Panchayats. As planned, several ToTs have been conducted in MGSIRD and ETCs. A fairly elaborate exercise was undertaken in the beginning which involved job-task analysis and a perspective and attitude analysis to determine the contents of these training events.

### 7.2.3 Augmenting Training Infrastructure

Taking stock of the available training infrastructure a decision was taken to develop Block Resource Centres (BRCs) in all the 313 Janpad Panchayats. The CEO of the concerned District Panchayat will act as the controlling officer for the BRC and will be responsible for its systematic and proper functioning. The project officer in the district will act as the connecting officer in the BRC of the district. The Sahayak Vikas Vistar Adhikari, selected by the CEO of the Janpad Panchayat will be the head of the BRC. Additionally a contractor, three data entry operators, two caretakers, three coordinators (one general, one for agriculture, and one for gender), and one helpline telephone operator will be placed in the BRC. Activities of the BRC will include collecting and maintaining a database of the Panchayat, BRC, BPL families, primary schools, and health centres. It will operate a helpline to make information available easily and respond to queries that may be received. BRC will also undertake documentation of relevant information and exhibition of success stories within the area. Finally, BRC will be a critical link and place for organizing training of Panchayat officers as well as others associated with BRGF, NREGS, SGSY, SDM, and other such schemes. Funding sources and mechanisms have been worked out for BRCs. All BRC personnel are being hired on a two-year contract.

MPPRDD issued four circulars at the start of the implementation of the perspective plan on training. As planned, three village Panchayats are together recognized as a cluster. Starting from 10 August, training events are being organized in four clusters simultaneously. These are conducted over three days. The Gram Panchayat Bhavan of one of the GPs in the cluster is used as the cluster headquarters. The space available in the Bhavan is used as a training hall; wherever this is not feasible, suitable space is taken on rent. Training for Sarpanchs is being conducted at the Janpad Panchayat level; this training is spread over six days. Dharamsalas are hired for lodging arrangements for the training. However, most Sarpanchs prefer commuting daily to the training venue.

Adequate provisions have been made for payment of fees to the trainers. A fee of Rs 150 per day has been fixed.

#### 7.2.4 Monitoring and Evaluation

The perspective plan for training 2010–11 placed considerable emphasis on monitoring and evaluation of training. It noted that these were important to maintain the quality of training. In view of this and recognizing that the plan not only had an institutional component but also a distributed, decentralized focus for conducting training, provisions were also made for its monitoring and evaluation. Responsibilities were assigned to district and block level officers for this purpose. Quality monitors are authorized to visit training programmes in different districts and localities to give their feedback to state authorities about the quality of training and suggest improvements. The CEO of the Zilla Panchayat is assigned a pivotal role in the overall control of the monitoring system.

#### 7.2.5 State Structure for Monitoring and Evaluation

The second circular issued by MPPRDD with regard to the implementation of the perspective plan had details of the arrangements made for monitoring the training as per the plan. The arrangements set out for monitoring are given in Box 15.

However, the functioning of this system could not be ascertained.

#### Box 15 : State Arrangements for Monitoring and Evaluation of Panchayat Training (quoted from Circular 2, MPPRDD)

- **State level training cell**

At the state level, a training cell will be set up under the presidency of Mr. A.S. Ahlavat, director of Rural Employment. Shri Sudarshan Soni, commissioner of the Panchayat and Rural Development Department will also be a part of the cell. If the need arises, officers from the state level can also be included in the cell. The training done in Janpad Panchayats will be evaluated from time to time by state level officers.

- **Sambhag level training cell**

With the permission of the Sambhag commissioner, a Sambhag level training cell was organized under the presidency of the deputy development officer. The training done in the Janpad Panchayat will be evaluated from time to time by Sambhag level officers.

- **District level training cell**

The CEO of the district panchayat appoints a nodal officer for training at the district level. Under the presidency of nodal officers, a district level training cell will be set up which will also include district level officers. The training done in Janpad Panchayats will be evaluated from time to time by district level officers.

- **Janpad level training cell**

This will be set up under the presidency of CEOs and also include Janpad level officers. Except the trainers in this training cell, other Janpad level officers will be required to will monitor/supervise/evaluate 100 per cent of the level of training internally. The executive officer, Janpad level in the analysis session, will monitor/supervise/evaluate the progress and quality of the training process.

- **SIRD and ETC level training cell**

The training cells at the SIRD and ETC level have already been set up. In order to provide all kind information and guidance and to clear doubts the Panchayat training cell has been set up in MGSIRD, Jabalpur. For any guidance, one can contact the cell on telephone nos. 0761- 2681864, 2681450. To observe/judge the training, SIRD/ETC officers, through faculty members, check/monitor/supervise/evaluate the quality of the training. Other than this, retired officers connected with Panchayat and rural development, SIRD/ETCs' elected resource persons can also be appointed as state quality monitors.

### 7.3 Panchayat Training in 2010–11: Orientation and Perspective Development

To meet the orientation training responsibilities for incoming ERs after the elections held in early 2010 and to meet the orientation training responsibilities of existing Panchayat personnel, MGSIRD has developed an extensive training plan for 100 per cent coverage of all ERs and personnel, at all the three levels in 10 months. For this it has partnered with the RCVP Noronha Academy of Administration (state ATI) and WALMI, Bhopal. All CEOs, chairpersons, and members of Zilla Parishads are to be trained at these two apex institutions. MGSIRD will conduct the training of Janpad CEOs, chairpersons, and members; training for the Gram Panchayat level is divided between the ETCs, the Janpad, and cluster-level training by field trainers trained by MGSIRD.

#### 7.3.1 Scale, Training Responsibilities, Design, and Curriculum

In the scheme for training for Panchayats, MGSIRD has the responsibility for training Janpad and the Gram Panchayats (intermediate and village Panchayats). MPPRDD has issued guidelines for the training of ERs of Panchayats at all the three levels. The contents include constitutional provisions, history of Panchayats in MP, as also various provisions of the state act and rules which pertain to the constitution and functioning of Panchayats. Three workshops have been held at MGSIRD to address TNA and for developing a perspective plan for training. The workshop reports show that there were discussions about the roles of Panchayats at different levels and these were used to determine the training content for chairpersons at the three levels. Some conclusions have also been arrived at for elected members of Gram Panchayats. Significantly, a discussion on the roles, responsibilities, and commensurate authorities (if any) of the chairpersons at different levels is conspicuous by its absence in workshop reports. Much more significantly, there is no discussion on the roles, responsibilities, and desirable manner of functioning of elected members of Panchayats at all the levels other than that of the chairpersons.

In MGSIRD's 2009–10 training calendar, only about 25 per cent of the training is meant for Panchayats. This proportion has no doubt changed in 2010–11 with the infusion of additional Panchayat training responsibilities. However, one-third of the training is devoted to ToTs. These ToTs were clearly meant to develop master trainers for the cascading mode adopted in the training plan.

One significant fact that needs to be mentioned here is that till December 2010, the time when this Report was prepared, not all ERs of Janpad Panchayats (post the February 2010 elections) had been covered for orientation training, though the reports received by the team indicated that this had been completed. Our discussions with a cross-section of the representatives also indicated that they had no knowledge about when such training would be provided. Since the training coverage is intended to be 100 per cent, there is clearly some gap in intentions and implementation. This could be because the attendees voluntarily decided not to take part in the training. It was seen that the number of people who attended the training programme was often less than the number of people invited. However, there could also be other structural issues which need attention.

Despite the orientation training, it was also learnt that the responses of the officials at the block level, both of the Janpad Panchayat and also other departments, have not changed significantly towards ERs. A number of ERs said that they were often advised to take the Right to Information route to obtain whatever information they needed which is not the most creditable thing to note. Clearly, a substantial input on attitudinal development training is needed.



Relying on the cascading mode is an ambitious exercise even in states that have a stronger history of capacity building initiatives, such as Kerala and Rajasthan. Though it does achieve coverage, the cascading mode has not yielded desirable results in many other aspects. According to the nodal organization in Kerala issues in operationalizing the cascading mode effectively surface repeatedly despite years of efforts. These range from selection of trainers to the completeness with which the training is actually conducted. What issues will surface in MP and how they will be negotiated was not clear, as the effort has only been initiated this year, and field surveys were not part of this assignment.

### 7.3.2 Training Material, Content, and Use of Communication Technology

The training material used for the cascading orientation training in 2010 was centrally developed by MGSIRD so as to standardize content and quality, and distributed to all trainees at various levels. The actual production was decentralized to the Janpad level, with funds and electronic documents transferred to Janpad CEOs, who then arranged to print and distribute copies to trainees. This was necessary as MGSIRD has limitations on its autonomy to source publications and printing services from outside government sources.

The content of the training material is limited to three primary areas—the statutory and legal frameworks for Panchayat functioning (laws, rules, procedures), the design of development programmes and schemes, and in general, do's and don'ts in terms of Panchayat functioning. While in substance these are informative and no doubt necessary as reference material for trainees, two specific issues limit their effectiveness. One, given the large proportion of ERs who are un-lettered or barely lettered (90 per cent of the members and 73 per cent of the chairpersons), textual material is unlikely to be of any use. Graphic and diagrammatic material that explains the content of the document is a crucial necessity.

*Organizing cultural programmes* at various locations across the state to raise awareness and understanding about local governance has been a remarkable initiative though its content, coverage, and effectiveness was not examined by this team. The initiative is more consistent with the profiles of target groups and is bound to fill gaps/deficiencies arising because of the non-production of visual material.

Another concern is that training material is not oriented to providing a perspective on local governance, or an easy understanding of the roles of representatives as it is focussed on imparting statutory information. Job-performance requires a more integrated and holistic understanding directed at questions such as 'What is my role?' 'What am I supposed to do?' 'Who am I answerable to?'. A less legalistic and programmatic approach, particularly in the orientation stage, is likely to increase absorption and effectiveness.

The integrated training perspective plan for 2010–11 under BRGF and prepared by MGSIRD, states that 11 Satellite Interactive Terminals are proposed to be set up in 11 training institutes. Further, there will be 218 receiving nodes (receiving only terminals—one-way video and two-way audio) in 29 districts in 189 BRCs. There will also be a satellite hub and studio in the MGSIRD campus, which will be appropriate for transmitting training programmes. These arrangements are, however, planned for the future and the plans are yet to be implemented.

### 7.3.3 Partner Institutions in Current Training Plan

In earlier years, MGSIRD partnered with NGOs to meet its training objectives, especially for training at the Gram Panchayat level. It appears that a clear position has been taken at the state level this year to not include NGOs in capability development efforts. The reasons are not clearly articulated though it was indicated that the intention was to develop in-house capabilities that were qualitatively superior.



The Sanjay Gandhi Institute of Youth Leadership and Development (SGIYLD), Panchmarhi, has been taken on as a partner in the current training plan for Panchayats. It is an autonomous institution, designated as a training and capacity building centre for Panchayats by MoPR, GoI. The institute has spartan facilities and a small faculty. Recently, additional faculty members have been hired and placed on a contractual basis by MGSIRD utilizing resources from BRGF. The institute appears to have some potential as a contributor to the training and capacity building of Panchayats, especially the younger generation of ERs.

In the current phase of orientation training for Panchayats, the RCVP Noronha Academy of Administration (or the state ATI), Bhopal, and the Water and Land Management Institute (WALMI), Bhopal, have been included as partners. These two partnerships are noteworthy for their specific competencies as well as their pre-eminent standing in the state in their respective domains. These attributes can fruitfully augment MGSIRD's capabilities with regard to Panchayat capability development, particularly till such time as the Panchayats develop adequate and higher-level capabilities.

## 7.4 2010–11 Training: Successes, Gaps, and Next Steps

The training plan rolled out by MGSIRD and its partners for Panchayat members elected in 2010 is remarkable for its design of 100 per cent coverage, and the attention it pays to necessary organizational details. Progress also appears to be on track, with all training to be completed by early 2011, taking a total of 10 months.

### 7.4.1 Notable Features

A successful training design, effective planning and organizing, and the generally on-time rollout of the orientation and perspective training plan by the MGSIRD team are impressive. This places the state among the high achievers in this respect; the other high achievers are Rajasthan and Kerala. Further, this achievement stands out against the backdrop of the very low-key and moderate achievements of previous years.

Four notable points are worth discussing for the potential of the training and for providing indications for future course of action. First, full coverage in a time-bound manner was aimed at, planned for, and has been rolled out. This in itself is admirable given the lack of any earlier efforts—and therefore lack of experience—in this respect. To scale up training from 15,000 in 2009–10 to 400,000 in 2010–11 is no mean feat because of the sheer scale of imagination and planning required. What this achievement promises is that the huge task at hand can be handled by the state apparatus.

Second, alternative approaches to training and awareness-building were initiated in the form of cultural programmes. This indicates a greater realization that Panchayat CD requires different steps, and that it is sharply different from the institutional classroom-based training for RD functionaries that has been the norm in the MGSIRD system.

Third, is the simultaneous development of the field trainers required, in the numbers required for full coverage of 400,000 plus individuals, in a parallel fashion. This was also planned for systematically, and implemented in time for the training plan to be effectively rolled out. Monitors were also trained and deployed for monitoring field training.

Fourth, the centralized production of the content of training material and its decentralized distribution is a good start to developing more targeted content in a uniform fashion, even if training is distributed.

### 7.4.2 Issues and Gaps

While the current efforts in terms of planning have been impressive, a number of issues and gaps must be noted for future attention. A major issue is the lack of visual and graphic material used for training—all documents/handouts are textual and use a legal language. This prevents a large proportion of the elected members from benefitting from the distributed material.

In terms of delivery, the perspective plan 2010–11 notes the appropriateness of participatory pedagogic approaches, but also suggests an interactive lecture method as a more practical approach to adopt. It also suggests that due importance be attached to group exercises, group work, and role play as pedagogic methods. These should be supplemented with field visits to beacon Panchayats during the training sessions. While these steps were appreciated, the extent to which they have actually been used was reportedly uneven.

In the orientation training conducted so far there is no emphasis on basic skills. Perspectives on local governance include sharing the basic features of the 73rd Constitutional Amendment Act and provisions relating to the constitution and functioning of Panchayats as they appear in state act and rules. While these are essential and necessary, it must be noted that these are perhaps insufficient for creating the perspective that underpins the constitutional intent with respect to local self-governments. One could suggest steps that can be taken but suffice it to say that a recognition and appreciation of ‘commons’ and ‘public nature’ of things which are so germane to creating a conducive environment for planning may be considered for inclusion in the ‘perspective’ component of training.

No initiative has been launched for addressing the ‘functional literacy’ component of NCBF; this is urgently required. The training content pays due attention to describing the various rural development schemes but other aspects of job knowledge are not discussed. Job related skills too are treated in a similar manner though the content here includes exposure to information technology or use of computers in particular.

### 7.4.3 Other Elements of CD as per NCBF

While current efforts are remarkable and impressive, particularly in relation to the baseline of the previous year, it must be realized that this is only a small proportion of the number and diversity of CD tasks that have to be undertaken, and the variety of inputs that need to be provided as set out in NCBF. There is clearly a move at planning for future additions, but so far as the team could discern this is limited to addressing gaps (such as making graphic and visual content, or including PESA provisions), planning sectoral training, skill-building, and technical training. There is no doubt that these are required and the forward planning is well appreciated. However, this is an incremental approach and while useful, it can constrain progress in terms of the larger task by not allowing for attention to key/critical inputs.

There appears to be no attempt as yet for more comprehensive planning with regard to the range of CD inputs to be delivered and the full gamut of the attendant tasks required. This is necessary as a map of the domain which will enable effective and efficient progress. While the state (or MGSIRD) may well not address the full range of inputs set out in NCBF, the decisions must not be ad-hoc but should be well considered. Only if the full requirements are laid out and considered in the light of the situation in the state and the capabilities that exist can a systematic CD plan emerge. Currently, the attention is only focussed on training plans. Further, an overall picture would spur attention to alternative modalities that could augment current efforts even as additional state capabilities get created. For example, from the capability building perspective used in this Report, there is clearly inadequate attention devoted to attitudinal orientation or

motivational aspects of training. Creating appropriate incentive structures, handholding and mentoring, promoting organizational affiliations, and exposure visits are some of the key aspects that need to be addressed. Visits to beacon Panchayats were planned as an exposure event. However, these have not been implemented as the attention appears to be on rolling out the training plan.

Moreover, if MGSIRD has to organize these exposure visits, it must be recognized that the first task will be identifying beacon Panchayats; if they are not there, a whole lot of attention may have to be necessarily devoted to creating and building some of them. Apparently, examples have been recognized by various faculty members of MGSIRD/ETCs, but systematic attention to identifying a large number of beacon Panchayats will be required. NGOs have greater familiarity in this regard and could be usefully partnered with, but this thought has not surfaced because the overall requirements and time-frames have not been set. At the moment, one only notes these because of their absence in the CD efforts, and the need to plan for inclusion of many such components. Developing a comprehensive CD plan should therefore be the next creative effort by MGSIRD following the success of its training plan.

## 8. MP STATE CAPABILITIES FOR PANCHAYAT CD

### ASSESSMENT OF GAPS AND ISSUES

In this chapter we bring together observations on the gaps in state capabilities and current CD efforts that have been discussed in this Report to provide a summary picture of the status in the state. **This summation is focussed on the strategic gaps that have emerged from the assessment, and does not include operational gaps/issues.**

#### 8.1 The Institutional Framework

Four components are crucial in establishing the institutional framework for effective capability development of Panchayats (or local governments) in the state. These are the essential and minimal elements of preferences, rules, norms, and procedures that explicitly and implicitly direct establishing and effective functioning of Panchayats. Moreover, they play the same role in the process of capability development of Panchayats, and are therefore necessary for the state's CD efforts.

##### 8.1.1 State Local Governance Policy/Vision Document

A local governance policy/vision document that clearly articulates the purpose and role of Panchayats and the approach to developing capable Panchayats in the state does not exist in Madhya Pradesh, and it must be developed at the earliest. Moreover, it is important that this be developed through a systematic and consensual process and be widely disseminated; the process is a crucial part of developing an effective policy document.

GAP	: Lack of State Local Governance Vision and Policy Statement/Document
Priority	: High
Process	: Critical

##### 8.1.2 State Panchayat Act and Rules

The MP Panchayat Raj Evam Gram Swaraj Adhiniyam (and Rules) 1993 has been the legal guiding document for establishing and functioning of Panchayats in the state. Whether it is internally consistent is unclear as no systematic examination of the act is available. However, it has no section on 'objects' or goals which could serve as a guiding frame in the absence of an explicit state vision/policy. This is a significant gap, which can be addressed to a large extent by developing other guiding frameworks, such as the state local governance policy and a systematic organizational design of Panchayats and need not be addressed separately as a priority.

##### 8.1.3 Organization Development of Panchayats

The design of Panchayats as working organizations in MP derives from the extent to which statutory provisions in the MP Panchayat Raj Evam Gram Swaraj Adhiniyam (and Rules) 1993 are effectuated through executive orders. This process of organizational development is unsystematic and discontinuous and does not enable effective functioning. What is necessary for the effective functioning of local governments—even with the extent of devolution as it stands—is a detailed organizational appraisal of the Panchayat system and the Panchayats comprising it as a prelude to any systematic development of their organizational capabilities.

GAP	: Lack of systematic Panchayat organizational development efforts
Priority	: High
Process	: Organizational appraisal and design

### 8.1.4 MP Capability Development Policy and Design Framework

A comprehensive capability development policy and design framework to direct Panchayat CD efforts does not exist in MP and NCBF has recently been used to guide training efforts. The criticality of this gap and the urgency of addressing it cannot be overemphasized; such a document is the bedrock as well as the definitive frame of CD efforts in the state and must be developed at the earliest. This is particularly imperative as the state has unique specificities, such as a local government profile, size of target groups, and extent of special areas, in addition to the fact that NCBF has significant gaps and in any case requires state-specific adaptation which should be systematic and not ad-hoc.

GAP	: Lack of MP panchayats/local governments CD policy and design framework
Priority	: Very high
Process	: Must emerge from the state local governance policy/vision

## 8.2 The Organizational Structure for Panchayat Capability Development

This section discusses specific gaps, the differential needs for addressing them, and the prioritization of attention to different aspects of the organizational structure for Panchayat capabilities.

### 8.2.1 State Nodal Structure: MPPRDD

The clubbing together of both the Panchayat and rural development responsibilities in MPPRDD no doubt imposes an inappropriate (and perhaps unrealized) bias towards developing the agency functions of Panchayats over their self-governance functions. This is, however, the dominant pattern in many states, except for visionary ones like Kerala where both the Rural Development Commissionerate and the Urban Development Directorate are located within the Local Self-Government Department. This is no doubt an exemplary model for state restructuring which could be an ideal to strive towards, but unfortunately that process is not readily amenable to technical suggestions as it is a politically determined preference.

In the interim, however, the current dispensation of MPPRDD is particularly suited to two initiatives that can provide tremendous purchase for more balanced capability development efforts and offset the limitations that are currently visible. First, is the need to articulate *the state local governance vision* which clearly spells out the purpose and roles desired from Panchayats (and ULBs) in the state and the policy and framework documents (such as the MP-CD Policy and Design/Framework) that can guide CD efforts. Second, *multi-departmental collaborative efforts* need to be initiated and steered at local government capability development. Given its exceptional leadership, both of these are especially suited to the current competencies of MPPRDD and may be given due priority.

GAP 1	: Lack of a guiding institutional framework for panchayat CD
GAP 2	: Limited (project-specific) inter-departmental collaboration for balanced panchayat CD
Priority	: High for both GAPS

## 8.2.2 The CD Design and Delivery Structure

While the efforts of the organizational structure in the state which is currently charged with the design and delivery of capability development have been laudable, particularly in light of the sheer size of the task and limited organizational resources at hand, there is yet a long way to go. The achievements in 2010, particularly in the post-election orientation training are quite remarkable in their planning and implementation, especially in view of the moderate achievements in previous years and the extremely slim organizational and faculty resources at hand. Some steps for future infrastructural and resource development have also been planned, many of which have already been initiated. However, viewed in relation to the overall CD tasks in the state, and as laid out in NCBE, a number of gaps and issues surface which need attention.

### 1. Appropriateness of current CD delivery set-up (MGSIRD)

MGSIRD as a nodal organization, through its network of ETCs, PTCs, and in partnership with the Sanjay Gandhi Institute, the state ATI, and WALMI, has displayed notable initiative and organizing capabilities in developing an orientation training plan for 100 per cent coverage across the state at all levels. Moreover, it has successfully implemented the plan largely on schedule. Further, there are well-mapped out plans to expand its capacities and infrastructure, and for augmenting faculty resources under BRGF. As such, it appears well set to take on the mantle of Panchayat capability development fully in the future.

However, the question that arises is that if it has the appropriate organizational structure for rural development training which is also its mandate should it also engage in the capability building of Panchayats? This was an issue flagged by the PS, MPPRDD at the outset. Panchayat CD is an exceptionally large task, with multiple components, many of which require foci and competencies sharply different from those required for RD training. If the organization were to be expanded to meet these requirements for Panchayats, RD training will either be subsumed under it, or (undesirably) colour the Panchayat CD in the same way as is happening in training implementers of state/GoI RD programmes. The option of developing a new parallel organizational structure for Panchayat capability development is a possibility that has been flagged as a question by the state and a systematic consideration of the appropriateness of either option is required for there appears to have been no such attention till now.

ISSUE	: MGSIRD's appropriateness as the nodal design and delivery structure; alternative arrangements possible and their relative strengths
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### 2. Organizational sufficiency for all CD components

Though MGSIRD has been handling the current Panchayat training agenda, there are other CD components, including organizational CD, and several elements at the individual level, such as exposure visits, literacy development, and developing networks that remain unaddressed. The question of designated organizational structures for these tasks remains open—would MGSIRD also be charged with/take on these responsibilities? At present there is an organizational-structural gap in this respect that requires immediate attention.

GAP	: Organizational structures for non-training components of Panchayat CD
Priority	: High
Process	: Tied to the question of the nodal organization

### 3. Focus/mission of CD delivery organization (MGSIRD)

As flagged before, the focus of MGSIRD has been on training for implementation of RD programmes, and while training for Panchayat members and personnel is also part of this mandate, the differences in focus, approach, and content between the two are substantial and important for its success. Recognition of these differences does not appear to be significant in the current training trajectory and even less so in the articulation of its future vision/mission. Not only is such explicit recognition and articulation important, but the changed orientation and mission of the organization must be well-recognized by all members and widely shared across all personnel if the organization is to take on this new task in the longer term. Systematic exercises for organizational reorientation and change and realignment of knowledge bases and competencies will be necessary to achieve this.

GAP	: Limited recognition of some unique aspects of the Panchayat CD task in current nodal delivery organization; weak differentiation with RD training
Priority	: Moderate; depends on decisions regarding the longer-term organizational structure for Panchayat CD delivery

### 4. Appropriate organization design of the CD delivery structure

MGSIRD has been equipped (adequately or otherwise) for RD training activities and some Panchayat CD training, which only add up to a small fraction of the volume and do not cover any of the diversity required for Panchayat CD. Current efforts towards 100 per cent coverage of orientation training as in NCBF have been in a cascading mode. For full effect, however, CD efforts have to be multi-pronged and sustained, requiring an exceptionally enhanced and expanded design, coordination, and delivery systems, which in turn imply radical organizational expansion, upgradation, and restructuring. In fact, with the full laying out of the range of inputs required as per NCBF and the volumes to be addressed it appears that even the BRCs will need to emerge as substantially more expanded and resourced units than they are currently envisaged to be.

Current visioning of MGSIRD/ETCs, while calling for expansion in infrastructure and resources, does not appear to take into account the changes in organization form, structure, size, and systems that would be required if the current nodal organization is to take on the full range of tasks in the long term. In fact, a systematic organizational redesign and restructuring exercise and expansion and change-management plans would be required and professional support for the organizational change process is strongly advisable. Recognition of this is sorely missing.

Gap	: Plans and designs for task-appropriate organizational redesign/restructuring
Priority	: Moderate; must definitely follow if the current delivery structures are to be suitably expanded to take on the full range of tasks in the long term

### 5. Sufficient authority and autonomy for effective functioning

Autonomy and authority have not surfaced as current issues, but as endemic to the existence of MGSIRD which functions as an extension of MPPRDD, with substantial operational decisions being part of the departmental decision-making, rather than the autonomous organization that it technically is.

Currently, autonomy from state departmental structures appears to be more of an issue in relation to



wider hierarchies and positional authority in state structures, which make the leadership and faculty of both MGSIRD and ETCs subject to demands for facility usage with similar requests coming from various directions. Insulation from this, as well as from other issues listed earlier can only be gained by substantial upgradation of MGSIRD and ETCs' positions in the hierarchy or by separating MGSIRD from state structures completely and professionalizing it. This is imperative if the organization is to expand its responsibilities for Panchayat CD.

Issue	: Low strategic and functional autonomy of the CD design and delivery structure
Priority	: Moderate; should be part of an organizational redevelopment and expansion exercise

## 6. Financial resources for CD delivery

Currently, the CD delivery structure is adequately resourced in terms of funds from BRGF, RGSY, and other programmes for on-going training responsibilities, and the stream appears sustainable for the near future. However, the issue of resource requirements for other components (organizational development of Panchayats, exposure visits, networking, and newsletters) has not been addressed; neither has the question of their sustainability. Current faculty recruitments, for example, are temporary and programme-specific. A more systematic look at sustained financial resource streams for the whole range of CD tasks and components is required.

A suggestion often made in this regard is developing a state training fund by pooling training funds available from a variety of RD programmes, particularly the GoI's flagship programmes. While this is an attractive proposition, its operationalization is likely to be difficult. First, training funds under various sectoral programmes are directed at the sectoral/departmental staff, task-specific CBOs and user-groups, and the like. Panchayats figure only marginally (if at all) in the implementation structure of many flagship programmes, which are mostly implemented through parallel structures at the local level. Secondly, where they do get mentioned is in terms of 'consultations'; as such, they do not figure as target organizations/groups for using training funds. Allocating/earmarking some proportion of such funds may therefore not be possible and other options will have to be explored.

Issue	: Independent and sustained funds or fund-flows
Priority	: Moderate; should be part of an organizational redevelopment and expansion exercise

## 7. Adequate/appropriate infrastructure for CD delivery

The current infrastructure and facilities with MGSIRD, ETCs, and PTCS are clearly not sufficient, and despite off-site arrangements, require substantial expansion. Plans and actions have already been initiated in this regard. However, the prime issue is the incremental nature of the planning and provisioning without developing a holistic picture of the eventual requirements if the organizational ensemble is to take on the full range of CD tasks as suggested in NCBF. In particular, the non-training inputs required are completely bypassed even in vision documents. While current additions are required in any event, clearly the recognition that different organizational forms, structures, and processes may be required, and that the infrastructural needs may accordingly take different shape, has not emerged.

Issue	: Incremental development of infrastructure without systematic envisioning of the range of CD tasks, variety of CD components, and attendant organizational form and structural requirements
Priority	: Moderate; would follow from an organizational redevelopment and expansion exercise

## 8. Organizational governance and leadership

Two issues emerge from the current governance and leadership arrangements. One is the issue of autonomy and two, of competencies. Currently, MGSIRD has a reasonably wide-based governing board, but the rest of its governance and leadership structure is heavily centred in the state departmental structure. As such neither strategic nor operational autonomy from state functioning has been possible, and the attendant issues ranging from continuity and competencies of faculty to degrees of freedom in operations have hamstrung quality performance.

With both governance and leadership being from the administrative structure, the perspectives, understandings, and expertise in terms of the CD task have also been sub-optimal. While the administrative experience brought to the organization is useful, area (CD) expertise, as well as theoretical and practical knowledge bases that underpin CD are missing, and professional expertise, innovation, and creative directions are precluded.

Gaps	: Limited professionalization and CD expertise in the governance and leadership structure
Priority	: Moderate; should be part of an organizational redevelopment exercise

## 9. MGSIRD resources: Faculty

While the current range of responsibilities have already outstripped faculty strength and expertise by a margin, the gap between the existing situation and the numbers and competencies that would be required if the organization is to be developed as the delivery structure for Panchayat CD in the long term is very wide. Addressing this requires efforts beyond adding numbers either on secondment or through temporary project appointments; a systematic manpower planning exercise tuned to the envisaged responsibilities and roles is imperative. While officers seconded from the department add value in terms of administrative and coordination skills and a practical understanding of the functioning of local governments, conceptual, theoretical, and professional understanding of democratic local self-governance and the expertise in capability development need to be sourced from outside. The balance between ‘professional’ and ‘academic’ faculty needs to be tilted in favour of the latter and all need to have a minimum fixed tenure to accrete the knowledge and expertise required in the organization.

Successful qualitative improvement in faculty resources depends on a hospitable organization design. Professional competencies of a higher order are required which cannot be attracted without substantial organizational redesign to develop the characteristics that would enable professional functioning. Organization-specific recruitment, promotions, benefits, and retention policies must also be suitably developed in relation to the nature of the organization and its mandate and responsibilities which are substantially different from departmental roles and tasks. The organization is—and will expand—as a knowledge and skill transmission entity and the requirements for the effectiveness of such organizations must be recognized and instituted. The decision to make MGSIRD the nodal structure for Panchayat CD must be accompanied by strategic decisions and efforts to reinvent it as an autonomous, professional institution.

Gap	: Limited faculty strength and expertise in relation to envisaged roles and the overall CD mandate as spelt out in NCBF
Priority	: High to moderate; can be sustainably addressed in organizational redevelopment but requires interim action for immediate augmentation

### 8.2.3 CD Expertise, Knowledge-generation, and Educational Structures

The near absence of requirements in terms of the structures necessary for creating knowledge and its dissemination, domain-specific education, and creating capability development expertise required for the local governance domain being absent in the state has been noted and the necessity and urgency of attending to this gap is being reiterated here. Knowledge structures are the foundation on which the development of local self-governance and effective capability development of Panchayats rests, and without these, all efforts remain impressionistic and/or legalistic. Of particular urgency is the need to develop an understanding of CD knowledge, techniques, tools and delivery, and related expertise. Though the apex training institutions have some of this, they are not only very small in relation to the requirements of Panchayat CD, but also reside in very few individuals rather than being institutionalized.

**GAP:** Extremely slim/lack of knowledge structures (development, transmission, education) for local governance in general and for CD (knowledge, expertise, tools) in particular in the state

**PRIORITY:** Very high; upgrading CD knowledge and expertise and expanding on a pool of experts is urgently needed

### 8.3 Capability Development: Target Groups, Content, and Delivery

An assessment of gaps and issues with respect to the target groups addressed, coverage, content, and delivery, some of which have been discussed earlier were largely based on self-reports from MGSIRD and pertain primarily to the extensive (and laudable) efforts made during 2010–11. These efforts were made for the first time and were directed at the initial coverage of the orientation training, which though a huge task in itself is but a small proportion of the entire range of capability development tasks. Hence, while insights were gained into some strategic issues, assessments can only relate to this component.

Of the two primary levels of capability development—the organizational level and of individuals within Panchayats—the first is almost completely bypassed. This is a major gap as it is more than half the task and essential for any individual-level capability development efforts to have the desired effect.

Among the range of individuals within Panchayats who are usually grouped into ERs and Panchayat personnel, but in reality are differentiated into many more capability development groups, have all been addressed in the current training plan and its implementation. However, in effect, *the non-literate and barely-literate are likely to have remained substantially unimpacted*, since the material was textual and in fairly advanced and sometimes legalistic language. Moreover, there was no *systematic differentiation into CD groups* and therefore inputs were not targeted substantively at these groups.<sup>3</sup>

**Two strategic issues** are revealed here—**limited CD competencies and lack of an effective MIS** (more accurately, a Training Information System or TIS) that perhaps precluded the differentiation and targeting that was necessary. Quality and type of content also reflect the limited conceptual and theoretical domain understanding as well as limited CD competencies in delivery organizational structures, that is, competency gaps. The mode of delivery and the delivery itself could not be assessed as no observation was possible, but is likely to be affected by the same issues. It *must be recognized that programmatic RD training for fairly well-educated state government MPPRDD employees requires substantially less extensive, variegated, and expert*

<sup>3</sup> At the orientation stage there may apparently be no major need to differentiate except between those who are experienced and first-timers. However, there are other important differentiators such as gender and literacy which are pertinent to content, grouping, and delivery modalities.

*training competencies than those required for Panchayat CD, and current competencies are largely at the former level only.*

GAP 1	: Lack of a Training Information System (MIS)
GAP 2	: Inadequate professional CD competencies in the nodal organization
Priority	: Very high

#### 8.4 CD Inputs Delivery—Processes, Time-frames, and Sequencing

Current efforts at providing full coverage to orientation training appear to have been successfully implemented in general, though some anecdotal evidence of gaps in coverage did surface. The duration of individual programmes was lower than that advised and the overall time taken for the full coverage did exceed the limits set in NCBE, but that can be attributed to the first-time effort and be adjusted in the future. The strategic issue pertinent here is that only a much-abbreviated orientation training was delivered, whereas the desired inputs in the first year after elections involves a whole set of orientative, foundational, perspective-development, and skill-building inputs. A strategic plan for systematic delivery of all the components was not developed, and therefore *no practical estimate of the size, complexity, and temporal (and geographical) distribution of the tasks was made.*

The **lack of a comprehensive CD plan** is a major impediment in developing an appropriate CD design and delivery infrastructure and operational arrangements. While exact contents are dependent on state-specific adaptation to some extent, an interim mapping is definitely possible from NCBE. This is an urgent, and in many ways a foundational exercise as it will create full realization of the volume, diversity, and complexity of the tasks on the one hand and provide the template for visioning infrastructural, competency, and resource development on the other. Currently, both CD and infrastructural development efforts are incremental and based on past understanding and experiences (largely of RD training), without any full picture of what is to be aimed for—*we cannot go anywhere if we only know where we are and not where we wish to go.*

GAP	: Lack of a comprehensive CD plan
Priority	: Very high

## 9. ADDRESSING GAPS AND ISSUES—STRATEGIC PLAN FOR STATE CAPABILITY DEVELOPMENT

*A dream is just a dream... a dream with a goal and a time-frame can be realized. The goal and time-frame are the strategy to achieve the dream.*

An assessment of state capabilities for Panchayat CD, as has been laid out in this Report is useful only if it is actually used to address the range of gaps and issues that emerge from such an exercise. Effective action to address these requires systematic planning and a sequence of concerted actions directed at plugging the gaps and resolving issues. The planning required for such concerted action has to necessarily be at two levels. First, is an overall strategic plan that examines options, identifies goals, selects optimal directions (strategies), indicates resources, and sets time-frames. This strategic plan will then need to be detailed out in terms of specific activities and tasks under each strategy, directed at achieving definite objectives, with allocation of responsibilities and resources and fixing deadlines—or an action plan. The action plan cannot be developed without specific agreement on all parts of a strategic plan because the strategic plan defines the destinations and the road map, which are necessary.

This assignment included only developing a Strategic Plan for Building State Capabilities (for Panchayat CD) in light of the deficiencies and gaps that emerged from the state capability assessment. A strategic plan, in itself, cannot (and usually does not) have significant effect unless the strategic planning process has actually been systematically undertaken. That is, *the process is as important, if not more, than the plan document itself. However, no process was possible before this Report, and therefore the plan proposed here remains as recommendations to the state rather than an action-initiating document of the state itself. Discussions and deliberations on the options were necessary before it could become the Strategic Plan for MP state Capability Development and the state is strongly urged to undertake this exercise.*

We now discuss the basic components of the strategic plan and the strategic planning process, before laying out the various components and finally the recommended plan.

### 9.1 Developing a Strategic Plan

A Strategic Plan for Development of State Capabilities (for Panchayat CD) explicitly:

- identifies **where the state wants to be** at some point in the future, and
- identifies **how it is going to get there.**

The strategic part of this is the selection of an appropriate course of action that negotiates the current status of the state (with respect to gaps, issues, resources, and the organizational situation) with the possibilities and problems in its internal and external environment towards best realization of the goals that it sets for itself. Here we sketch the contours of a strategic planning process and the elements of a strategic plan, before discussing the strategy adopted by the team to develop a suggestive plan for the state in the absence of a systematic planning process.

### 9.1.1 Process and Components of a Strategic Plan

Developing a strategic plan includes:

- Developing and establishing statements of vision, mission, and values; if these already exist, they may be revisited or simply referred to.
- Reviewing gaps and issues in state capabilities.
- Identifying opportunities and possibilities in the state or national context.
- Establishing goals which need to be accomplished over the next three to five years.
- Identifying strategies (methods) to reach the goals.
- Establishing objectives as intermediate targets along the way to achieving the goals.
- Identifying responsibility-holders and time-lines for achieving the objectives.
- Writing and communicating the plan to all significant responsibility-holders and resource providers.

**The planning process is at least as important as the plan itself** because the goals can be achieved only when information, agreement, and efforts of all significant actors in the system are pooled together. Involving all persons who will be responsible for carrying out the plan, particularly key decision-makers and resource-holders, is the key to an effective and achievable strategic plan. The key developers of the plan are the actors in the system; while external resource persons can facilitate the process and prepare the output key inputs in terms of strategic decisions and alternative choices (where they exist) are to be provided by the most significant decision-makers or the ‘top-management’.

**A strategic plan** incorporates a map of the process as well as the final plan itself because the map provides the rationale for and logical underpinning of the decisions embodied in the actual plan. That is, the final document which should be a stand-alone one for systematic circulation to all key responsibility-holders, maps out where the state wants to go, where it is at present, the road it will have to take, and the milestones in the journey. Therefore, it should include at least the following:

- A vision of what capabilities the state wants to have.
- Its mission or the purpose to be achieved by the developed capabilities.
- The *strategic* gaps and issues that the state faces in its mission.
- The strategic goals identified by the state.
- The strategies to reach the goals.
- The specific objectives to be achieved in implementing each strategy.
- The time-frames for achieving the objectives.

Strategic planning is necessarily followed by action planning, once the strategies have been fully agreed upon by significant decision-makers and have been accepted in all respects. Action planning is done to develop a detailed implementation plan; sometimes the two overlap in that *the objectives and time-frames are often included in the action plan instead of the strategic plan*. The action plan considers the milestones identified for the journey, the specific activities to be undertaken to reach them, how to prepare for and during the journey, who will be responsible for the journey, the resources they will need/use, how long they



will take, who will ensure they are on track, and how progress will be measured.

An action plan would therefore specify at least the following:

- The specific objectives to be achieved to implement each strategy.
- The tasks/activities to be undertaken.
- The persons/position-holders responsible for achieving the objectives.
- The time-line for achieving the objectives.
- The resources allocated/to be used (operating budget).
- Links to performance evaluation.
- Monitoring and evaluation mechanisms.

Some of the technical terms used here (and generally in strategic planning) are explained in Box 16.

#### Box 16 : Basic terms in Strategic Planning

- **Visions** are statements that are a compelling description of the future state of affairs of the picture that the organization would like to create.
- **Missions** are statements of the purpose that is to be achieved; they vary in nature from very brief to quite comprehensive, and include a specific time-frame.
- **Goals** are specific accomplishments that must be achieved in order to reach some larger, overall result from the system, for example, the mission. They are outputs from the system. They should be **Specific, Measurable, Achievable, Realistic, Time-bound, Extendable, and Rewarding (SMARTER)**.
- **Strategies** are the methods or processes required in to achieve the goals.
- **Objectives** are specific accomplishments necessary to achieve the goals in the plan, and can be considered as 'targets'. They are intermediate outputs, and not the final output, and are usually 'milestones' along the way when implementing strategies.
- **Tasks** and/or **activities** are a cluster of actions required to implement the plan. If the scope of the plan is very small, tasks and activities are often the same.
- **Resources** are the **inputs** required to achieve outputs, and include the people, materials, technologies, and money required to implement the strategies or processes. The costs of these resources are often depicted in the form of a **budget**.

### 9.1.2 Approach Adopted for Developing the Strategic Plan

As is clear from Box 16, developing a strategic plan can only be undertaken through a (facilitated) process of decision-making and a selection from optional strategies by the 'top-management' of the state. In this case, the exercise was undertaken with senior decision-makers in MPPRDD and MGSIRD, along with other significant decision-makers with regard to Panchayat CD in the state that officials from MPPRDD and MGSIRD identified. *Such a strategic planning process, or even one event/discussion directed towards selecting strategic directions, had not been possible before this Report was prepared. Therefore, the plan was developed by consultants on the basis of their state capability assessment exercise and on the basis of an understanding of state preferences that were gleaned during the assessment process.*

The consulting team had to adopt a different route (and a multi-pronged strategy) to prepare a strategic plan. A vision and mission were derived through a critical examination of state documents where some indications were visible (particularly in the MGSIRD vision document) and from the overall vision and



mission developed during the inception workshop held in Hyderabad (12–13 May 2010) that preceded this assignment. Goals and strategies were identified in two ways—where it was possible to address alternative modalities to fill in gaps and issues, the effort was to identify the optimal options with respect to state circumstances. In instances where a single option was possible, there was no difficulty in coming up with specific goals and/or strategies. Each segment of the strategic plan is now discussed in terms of the bases, rationale, and wherever pertinent, the pros and cons of alternative strategies.

## 9.2 Vision and Mission for State Capability Development

No specific vision and/or mission statements were articulated by the state with regard to the development of its own capabilities to undertake the task of Panchayat CD in any of the documents made available to the team. MGSIRD included statements of its own organizational vision and mission in its 2008–13 vision document (quoted below). In the inception workshop preceding this assignment, a vision document was developed by the participants which contained vision and mission statements with respect to Panchayat CD. The respective vision and mission statements are given in Table 18; however, as is also noted alongside, *none of them accurately relate to the task of state capability development.*

More accurate and appropriate vision and mission statements that pertain to the task of developing state capabilities for Panchayats CD are suggested in Table 18. It must be realized that state capability development is a mission in itself, which is directed towards achieving the vision of a state capable of developing effective Panchayats. While it is for the state to spell out what it sees as effective Panchayats, the team's suggestion is that effective Panchayats are those that are active institutions of local self-governance in line with the vision enshrined in the Constitution.

**Table 18: Appropriate Vision and Mission Statement for Development of MP State Capabilities for Panchayat CD**

Source	Statement	Comments
<b>VISION</b>		
CDLG Workshop Vision Document	Panchayats as effective Institutions of Local Self-government	Inappropriate, as it is too general and does not refer to the task of developing state capabilities
MGSIRD Vision	To transfer Knowledge and Skills to the rural people and development functionaries to enable them to plan and execute rural development programmes in an effective manner for sustainable livelihood and good governance	Inappropriate, as it: <ul style="list-style-type: none"> <li>• Relates to rural development and RD functionaries, not Panchayats</li> <li>• Is more appropriately a mission statement as it refers to action to be taken instead of a vision to be realized</li> <li>• Pertains to the organization and not the state</li> </ul>
VISION suggested for MP CD	MP fully capable of developing Panchayats as institutions of local self-governance	
<b>MISSION</b>		
CDLG Workshop Vision Document	To develop the capacities of all elected representatives and functionaries of Panchayat Raj Institutions (PRIs) and associated agencies for good governance and decentralized participatory planning for sustainable development	Spells out a specific goal, rather than a mission.

Source	Statement	Comments
MGSIRD Mission	To ensure empowerment, participation & good governance through qualitative training	Specific to SIRD, not relevant to state or state capability development
Mission	Development of MP state capabilities for effective Panchayat capability development	
Suggested for MP-CD	OR Development of MP state capabilities for effective capability development of Panchayats	

The vision and mission statements suggested for the purpose of capability development of MP are:

**Vision:** MP state be fully capable of developing Panchayats as institutions of local self-governance.

**Mission:** Developing MP state capabilities for effective Panchayat capability development. OR

Developing MP state capabilities for effective capability development of Panchayats.

### 9.3 Strategic Gaps and Issues in State Capabilities

The strategic gaps and issues that emerged from a systematic assessment of state capabilities are given in Table 19. Further, their importance to the state capability development task and their urgency is marked alongside as a prelude to developing strategic goals.

**Table 19: Strategic Gaps and Issues in State Capabilities for Panchayat CD**

No.	Component and Gaps	Importance	Urgency	Comments
<b>1</b>	<b>Institutional Framework (Steering tools)</b>			
1.1	Lack of state Local Governance Vision and Policy statement or document	High	High	Process is crucial
1.2	Lack of systematic organizational development of Panchayats	High	High	Orgnl review must precede the organizational review
1.3	Lack of MP Panchayats Capability Development Policy & Framework	Very High	Very High	Must emerge from LG Vision
<b>2</b>	<b>Organizational Structures</b>			
<b>2.1</b>	<b>State Agency: MPPRDD</b>			
2.11	Lack of guiding institutional framework (steering tools) for Panchayat CD	High	High	
2.12	Limited inter-departmental collaboration for balanced Panchayat CD	High	High	
<b>2.2</b>	<b>The CD Design and Delivery Structure: MGSIRD and its network</b>			
2.21	Issue: MGSIRD's appropriateness as the nodal design and delivery structure; possibility of optional arrangements and their relative strengths.	Very High	Very High	<b>State decision necessary</b>
2.22	Lack of identification of organizational structures for non-training components of Panchayat CD	High	High	<b>State decision necessary</b>
2.23	Lack of primary focus on Panchayat CD task in vision, mission of current nodal delivery organization	High	Moderate	<b>State decision necessary</b>
2.24	Lack of plans and designs for task-appropriate organizational re-design/ restructuring.	High	Moderate	Imperative, if it is nodal organization
2.25	Issue: Low autonomy from state department of CD design and delivery structure	High	Moderate to Low	Part of above

No.	Component and Gaps	Importance	Urgency	Comments
2.26	Issue: Independent and sustained funds or funds-flow	Moderate	Low	Part of above
2.27	Issue: Incremental development of infrastructure without envisioning the range of CD tasks, variety of CD components, and attendant organizational form and structural requirements	Moderate	Low	Part of above
2.28	Gap: Limited professionalization and CD expertise in the governance and leadership structure	Moderate	Low	Part of above
2.29	Gap: Very limited faculty strength and expertise in relation to envisaged roles and CD mandate	High	Moderate	Part of above with interim arrangements
<b>2.3 Knowledge Structures</b>				
2.31	Lack of domain-directed/focussed knowledge-generation structure(s) for undertaking research and publication on local governance	High	Low	Incentives for private action
2.32	Lack of local governance education and knowledge-transmission organizational structure(s)	High	Moderate to Low	Can be initially met by training
2.33	Lack of organizational structure(s)/centres for production of capability development understanding, knowledge, tools, and expertise, especially training of master trainers and trainers	Very High	Very High	Crucial and urgent for developing professional CD expertise
<b>3 Capability Development Groups, Content Design, and Delivery</b>				
3.1	Lack of adequate professional CD competencies in nodal organization	Very High	High	Can be immediately sourced
3.2	Lack of Training Information System (MIS)	Very High	High	
<b>4 CD Delivery Processes, Time-frames, and Sequencing</b>				
4.1	Lack of a comprehensive CD plan	Very High	Very High	

## 9.4 Strategic Goals for State Capability Development

For systematic and full development of state capabilities, *all the above gaps and issues need to be addressed*. Addressing them systematically, with due regard to their relative *importance* as well as *inter-dependence* is also crucial as only then can the yields be synergistic and sustained. This aspect cannot be overemphasized as attention first has to be paid to the smaller, easier, or proximate tasks over the more important but perhaps larger or more difficult tasks as this dissipates energy and produces little effect because such larger tasks are often foundational in nature. An important and fundamental principle in strategic planning is prioritizing important and not urgent tasks.

*Five strategic goals* emerge from a review of the gaps and issues in current state capabilities. Though all of them must be addressed, there is a need for prioritizing some; these are arranged in a suggested order of priority. However, it must be appreciated that there is high inter-dependence between these goals and most of them need to be addressed simultaneously, particularly the first four.

### 9.4.1 Goal 1: Developing a Strong Institutional Framework

As explained earlier, this is imperative both as a foundational and a guiding mechanism for capability development of Panchayats. In addition, it provides effective steering tools to MPPRDD for steering and directing the CD domain in the state.

#### 9.4.2 Goal 2: Developing a Suitably-Focussed Organizational Structure(s) for CD Design and Delivery

Clearly this is the centre piece and fulcrum of the capabilities for Panchayat CD. However, there is a need for systematically identifying and developing appropriate organizations/organizational approaches for the whole range of CD tasks, and all components therein.

#### 9.4.3 Goal 3: Developing a Centre for Developing CD Knowledge and Expertise

Among the three kinds of knowledge-structures necessary for the local governance domain and for capability development in particular, the urgency for and importance of concerted and sustained development of *CD knowledge tools and even more importantly, people with CD expertise in the state* cannot be overemphasized. Hence, achieving this is a specific goal in itself. Moreover, the state has a nucleus of such capabilities in the ATI, and it can become a hub for this nationally for this is acutely required in the country as well (the MP ATI is among the three ATIs in the country for training IAS officers outside the Mussoorie Academy, and has been especially equipped with such competencies).

#### 9.4.4 Goal 4: Developing an Integrated and Balanced Panchayat CD with Appropriate Attention to all Target Groups

Imbalances and issues in terms of target groups, content, delivery modalities, and time-frames need concerted and institutional attention. These include the need for inter-departmental collaboration. A balanced, inclusive, discerning, and differentiated CD needs no justification, but it needs to be identified as a goal to ensure that the efforts/activities required to achieve this are not overlooked.

#### 9.4.5 Goal 5: Developing Programmes for Local Governance Research and Education

While this is an important goal and a key component of state capabilities to effectively develop local self-governance by Panchayats, it does not have the same urgency as the other four goals. However, lack of attention to this can limit the effect of other initiatives, and therefore its somewhat lower urgency should not lead to its neglect. It is foundational in character and transformative in effect, besides providing the knowledge and human resources that are needed to meet the four other goals.

### 9.5 Strategy for Achieving Goal 1: Institutional Framework

To achieve the goals, strategic decisions about the methods and processes (strategies) to be adopted—the who, how, and when—are clearly decisions which need to be taken by the state, or in this case by MPPRDD. In the absence of a planning exercise, only optimal directions or choices can be suggested here; these are based on as much of the state situation as could be captured during this short assignment and on the technical considerations that emerged from the knowledge base in this respect. We now set out the suggested strategy for developing a strong and effective institutional framework, the objectives to be achieved in its implementation, the time-frames to be set, and give a sketch of some necessary resources. Developing detailed action plans will be part of the strategic process and a small objective in itself.

#### 9.5.1 Strategies to Develop a Strong Institutional Framework

Gaps which exist in the elements or components of the necessary institutional framework which need to be filled include:

- A state local governance vision and policy statement or document.
- A MP Panchayat capability development policy and design framework.
- Systematic organizational development of Panchayats.

While the steps for developing these are clear, the process to be undertaken is particularly crucial for the first two. Who develops these documents, and how, are strategic choices to be made by the state, but clearly, this has to be a multi-departmental effort. MPPRDD is uniquely placed to spearhead efforts for reasons noted earlier. ***The other departments to be involved should be decided taking onto account the following:***

- Since Panchayats (and ULBs) do not have sovereign status or functions, but have been conceived and constitutionally mandated to be developmental in nature, the approach has to be multi-sectoral and span urban-rural divides.
- The distinctive feature is that Panchayats and ULBS have to be institutions of local self-governance and therefore (ultimately) determine the developmental trajectories in their jurisdictions. This makes their planning function significant.
- Three key departments that must be involved in developing the institutional framework are MPPRDD, the Department of Urban Administration and Development (MPDUAD), and the Department of Planning, Economics and Statistics (MPDPES).
- All other developmental departments also have important roles to play in instituting effective local governments and there is a need for consensus on the vision, policy, and CD framework documents. However, which departments relate more centrally and must therefore be part of the development process must navigate between appropriateness and effectiveness. ***It is likely to be most productive if the three key (and sectorally cross-cutting) departments mentioned earlier collaborate on the development of these documents which are widely circulated for time-bound feedback and suggestions before finalization.***

How the various components are developed is equally important and the following points may be considered before a decision is taken:

- While a participatory process involving all stakeholders (or representatives) is important and to be valued, the degree to which a participatory method can be feasibly adopted must be considered.
- Policy development is a state task, and ultimately a product of political preferences of the time; however, a wider consensus and creating a larger support-base across constituencies will lend stability and continuity to CD efforts in the state thereby strengthening its CD capabilities substantially.

In consideration of the above, the following strategy is recommended (Strategy 1): Constituting ***a task force for MP state Local Governance Capability Development Policy and Framework***, which comprises ***of apex officers of the P&RD, U&AD, and planning*** departments. Other departments may be involved if the state so decides, but it is advisable to include only other multi-sectoral departments, such as finance, both to keep the effort small and therefore effective, as well as to negotiate the difficulty of selecting the most pertinent sectoral departments. A decision about selecting the most pertinent sectoral departments is bound to be judgemental and arbitrary because local governance includes almost all development sectors to some extent.

**The task force will steer the processes of:**

- ***Formulating the vision, policy, framework, and design documents***, using the following processes:
  - Identifying and recruiting professional support for the tasks.
  - Taking decisions on specific document(s) to be produced and the focus of each.
  - Identifying/taking a decision on the stakeholders to be involved and how.
  - Developing process map(s) for each.
  - Developing a draft structure for the respective documents.
  - Producing draft documents through the process developed (ii above).
  - Wide circulation and consultations with stakeholders.
  - Finalizing documents containing vision, policy, CD framework, etc.
  - Wide dissemination, sharing, and circulation.
- ***Developing a plan for the systematic organizational development of Panchayats*** (including consideration of the ‘6 Ks’ mentioned before—*karyalaya, karyakarta, karyakram, kosh, karya padhati*, and *karya sanskruti* and their effective integration). The following processes are recommended for this:
  - Identifying and recruiting professional support for the tasks.
  - Systematic organizational design review of Panchayats and the Panchayat system as it currently exists.
  - Sharing review results with relevant departments, decision-makers, and stakeholders.
  - Consultations/suggestions on appropriate design and strategies for organizational development.
  - Developing an integrated and effective design for each Panchayat unit and their inter-relationships (by the agency) in the context of the current state of devolution and role expectations specified in the state vision and policy as it is developed.
  - Developing a plan to capacitate respective Panchayats as per the desired design through a facilitated consultative process with key decision-makers.
  - Final plan for organizational capability development of Panchayats.

It is desirable that one professional agency/team be assigned the task of developing all policy and framework documents as they are heavily inter-related and flow sequentially from one to another. It would be ideal if the same agency could also support the process for organizational capability design as discussed earlier, because again that is closely interwoven and sequentially linked with ***formulating the vision, policy, framework, and design documents***.

### **9.5.2 Objectives to be Achieved for Strategy 1**

While the various steps of the process list the many objectives (milestones) to be achieved in the implementation of the strategy, some of its key objectives are:

- Establishing a task force, with appropriate resources—minimally, an effective mandate, a budget, and a competent secretariat.
- Engaging professional support (an agency/consultant team) with appropriate ToRs.
- Developing an action plan.
- Producing a state local governance vision and policy document.
- Producing MP state Panchayat (and ULB) CD Policy and Framework. These could be two framework documents for Panchayats and ULBs, or a combined one.
- Assessing the organizational status of Panchayats (and ULBs).
- Developing an effective organization design for Panchayats (and ULBs).
- Developing an Organizational Capability Development Framework and Plan for Panchayats (and ULBs).

Each of these objectives has definite and tangible outputs; some have sub-objectives and intermediate outputs which must be identified and detailed in the respective action plans. Action plans will also take note of the specific assignment of responsibilities, resources, and time-lines for various activities/tasks pertaining to each objective.

### 9.5.3 Resources and Time-frames for Achieving the Objectives

Detailed specification of resources and time-frames for achieving specific objectives can only be detailed out in an action plan because a number of decisions need to be taken by the state in each case. These are beyond the purview of this team. However, some important items and points are suggested with respect to the resources required and a feasible time-frame for achieving Goal 1 (Developing the Institutional Framework). These are:

- A secretariat will be required for the task force with competencies related to the task of policy development.
- External professional support will also be necessary, ideally by a single agency for all components of the task. This may extend the time-frame, but the cumulative understanding of the task required for quality support, the close inter-connections between different task-segments, and their sequential linkages make this necessary. The last two are particularly important considerations because segmenting different components will weaken the institutional development process.
- Sustained and continuous engagement of the principals (task force members) is a key resource component.
- A time-frame of at least one year from the date of activation of the task force (with all necessary resources) will be necessary. However, the task is a multi-stakeholder and process-intensive one, and could take longer. The important point is that shortening of the process or its compartmentalization in the interest of speed is unlikely to yield desired results.

## 9.6 Achieving Goal 2: Organizational Structure(s) for CD Design and Delivery

In identifying the strategy to achieve Goal 2, the prime question is the choice of the nodal organizational structure, which is the first strategic decision required from the state. Currently, the nodal organization is



MGSIRD, which with its network of ETCs, PTCs, and other partners has made a notable effort to reach all newly elected representatives and thereby achieved an extraordinary increase in coverage in 2010 over its previous trajectory till 2009. However, as is well-recognized in the state and even within the organization its resources and capabilities (including its network of ETCs and PTCs) are slim and their competencies are weak when compared to the entire task of Panchayat CD as it is laid out in NCBF. Therefore, very substantial effort and major investment in its expansion and suitable organizational restructuring will be required to expand it to at least a number of times its present capacity and to a higher order of capabilities. The key question is whether this is the optimal option in terms of establishing the design and delivery structure for Panchayat CD in the state.

There are three options in this regard:

- **Option I**—Substantially expanding MGSIRD and upgrading the level of its capabilities, with or without partnering with other training institutions/networks under other departments in the state.
- **Option II**—Developing a parallel and new organizational system for Panchayat CD.
- **Option III**—Outsourcing substantial components of the task (as per the business model suggested by MoPR in the business meet in January 2010).

Some points must be noted when comparing the three options: **One**, the political and transformative nature of the task at its best. **Two**, the sheer size and complexity. **Three**, the thin presence of significant NGOs or private commercial entities (for example, consultancies) in the state with conceptual, organizational, and practical capabilities for the Panchayat CD task. **Four**, the marginal difference between the resources required if the task is undertaken in any alternative mode, that is, the overall resources required given the exceptional size and scale of this task are so large that the differences in costs between the three modes would only be a small proportion and therefore should not be a primary consideration. **Five**, sustained requirement for a similar degree and extent of Panchayat CD, perhaps over the next two to three decades at least as the task is unlikely to reduce in size or complexity soon.

### 9.6.1 Option I: MGSIRD System Expansion

*Expanding the MGSIRD system is a default option that has significant strengths.* However, there are *also deep-seated issues that are difficult to resolve.* The strengths of this option are notable—it is already established, has a history of engagement with Panchayat training, has basic training infrastructure and competencies, and has displayed substantial initiative and capability in systematically expanding its coverage. There is also an established and geographically dispersed network of ETCs and PTCs for regional reach and the momentum and substantial committed investments to expand infrastructure.

There are, nevertheless, some important issues that must be noted and systematically addressed if this is to be the selected option:

#### 1. Reorientation of the primary mandate and overall orientation

First, the primary mandate of MGSIRD is the training of RD functionaries, mainly for RD programme implementation. As discussed before, its focus, competencies, and inevitably, framing of the Panchayat CD task are rooted in this history and efforts. There is as yet little shift that has occurred towards capturing the significantly different dimensions and nature of Panchayat CD.

- If MGSIRD is to be identified as the nodal structure for Panchayat CD, this orientation will need very

substantial revision and reinvention for it to be effective. This is an extremely difficult organizational reinvention task which will require sustained and intensive engagement, handholding, and troubleshooting.

- The size of the Panchayat CD task far outstrips RD training tasks and will occupy a greater proportion of its time, competencies, and resources. In effect, MGSIRD will have to become a Panchayat CD organization which also trains RD employees. While this is possible, acceptability should be explicitly considered; this will also call for a change in the name of the organization.

## 2. Question of non-training CD responsibilities

It is as yet unclear whether MGSIRD has been charged with the coordination, design, and delivery of all components of the Panchayat CD task, including distance education/training, content development, exposure, organizing, and developing newsletters. Though there is inclusion of satellite-based training infrastructure as a proposal in its perspective plan and vision document, no movement in that direction is apparent yet. No organizational change plans to accommodate non-training activities are visible.

- If responsibility for all the components is to be vested in the organization, it will require substantial **organizational transformation**, including **expansion, upgradation, and diversification of competencies**, of an order perhaps not anticipated and certainly not reflected in its vision or plan. It will be in the order of **reinventing the organization** rather than mere restructuring, and the attendant organization change issues will require sustained professional support and inputs.

## 3. Handling radical transformation into a complex and diverse organization

MGSIRD is currently a simple organization with a single focus. If it is to be charged with the full mandate of Panchayat CD for the long term, the competencies required in the organization will be diverse, which will require a range of differently qualified personnel. Moreover, in addition to direct delivery, there will also be exceptional organization, steering, and coordination responsibilities.

- The challenges of moving the organization to becoming a multi-faceted, diverse, and complex one will be extraordinary. *For a reasonably conflict-free transformation, exceptional organizational change skills and professional leadership of a high order will be required, which does not appear easy to recruit/attract under the current dispensation.*

## 4. Demands of professionalization

The different and expanded mandate of MGSIRD will require a high proportion of professional staff and a high-calibre leadership, neither of which are likely to be possible under the current governance and management patterns. It is unlikely that good quality professionals will be attracted, and even if recruited, they will not be able to function effectively in this situation and will therefore not stay for long.

- A major rethinking of organizational governance and management arrangements in statute and in practice will be required to establish requisite autonomy if MGSIRD is to be reinvented as the CD organization that it will need to become. The state's willingness to do this in practice is a key issue to be addressed.

## 5. Negotiating Locational issues

Apparently, the location of MGSIRD at Jabalpur, away from the state capital, has eroded its attractiveness for more senior leadership and made it unattractive for high-quality officers and professionals. It was pointed

out that incentives for officers in training positions have been directed by GoI norms, and some level of incentives is already being given but even so it does not appear to be an attractive enough proposition.

- Given its location, this is likely to continue and significant incentives will have to be designed to attract the faculty and leadership required, *involving resource commitments of a much higher order than may fit with state departmental norms. The state's commitment to this is imperative if this option is to be selected.*

## 6. Jurisdictional/accountability issue

A major uncertainty in the Panchayat CD agenda if located in MGSIRD stems from its dual resources and other linkages to the Ministry of Rural Development (MoRD) and MoPR. It draws budgetary support from MoRD and is linked to the NIRD system, while the reorientation that it entails is aligned to the purposes of MoPR. The stability of this dual responsibility is a non-trivial issue in light of the current MoRD efforts to consolidate the NIRD and SIRD systems. Apparently there is also some thinking towards reconstituting the SIRDs as statutory 'training authorities' for rural development training. MoPR, on the other hand, has systematically explored the possibility of instituting an apex institution for local governance in the country and possibly, promoting Panchayat training institutions in the states aka the NIRD-SIRD system. Resource commitments and flows to MGSIRD for Panchayat CD are currently primarily from MoPR, including a large proportion for proposed and on-going infrastructure expansion. To what extent this will be sustained under the changed arrangements is, at present, an open question.

- The state/MGSIRD ability to negotiate this dichotomy satisfactorily and sustainably such that it does not affect the functioning of the organization past the immediate decision-making dispensation is a major factor in weighing the option. ***It might be simpler, safer, and more productive in the long run to resolve this duality by separating the two sets of resource dependencies, technical alliances, and accountabilities.***

Current capabilities and capacities of MGSIRD (including ETCs and PTCs) are clearly slim for the full range of CD tasks. However, gaps and deficiencies can be systematically addressed and the organization radically transformed to a high-quality design and delivery structure for Panchayat CD also improving its capabilities to deliver on its RD training mandate if the above issues are fully addressed. ***Transformation/reinvention of an established organizational set-up is more difficult and complex than the institution of a new one and requires commitment both to the process and in engaging time and other resources if it is to be successful. If this is recognized, accepted, and the commitments made, then the task can be accomplished.***

**If option (I) is selected**, that is, the strategy of expanding and transforming MGSIRD is adopted, then the following steps are suggested:

- Recruiting appropriate professional expertise for the organizational review and redesign task.
- Developing an action plan for redevelopment and change-management.
- A thorough organizational review of MGSIRD and its affiliated organizations.
- Developing an appropriate organization redevelopment plan by undertaking the following:
  - A facilitated visioning exercise on the roles and contours of the revised organization with the members of the executive committee and other significant decision-makers.
  - Developing a draft redevelopment plan by a consultant.

- Sharing and consultations with significant stakeholders.
- Final redevelopment plan by consultants.
- Designating an internal change-management team/task force by MPPRDD.
- Implementing change processes.

Objectives to be achieved in this process include the products and outputs of each step. The time-frame for this process cannot be less than a year, but can be unpredictable.

### 9.6.2 Option II: Developing a Parallel Panchayat CD Infrastructure

Effective capability development of individuals in Panchayats has equal parts of education and conscientization as much as job training. Therefore, the notion of a separate Panchayat CD structure has immense appeal as an idea. The resources and practical implications of this, are however, very substantial, and it is for the state to make the decision. Some points to be considered are:

- All primary issues, such as entrenched orientation to RD training, lack of autonomy, and capability issues can be side-stepped and a new organizational set-up efficiently developed.
- Uncertainties about jurisdictional divisions, resource dependencies, and lines of allegiance and accountability to MoRD and MoPR can be successfully side-stepped and current investments safely directed. This is a non-trivial consideration because in the longer term it appears that PR and RD training facilities can be separated, some states such as Uttar Pradesh have already initiated this. On the other hand, Kerala is trying to merge its SIRD and KILA, but with a very different intent because it correctly perceives local governance to be the primary agenda, which subsumes both rural and urban development.
- The organization could be located in Bhopal which is more central in every respect improving its chances of attracting professional talent. Suitable professional expertise will also be more easily sourced if this is done.
- However, the resource requirements will be substantial, and without budgetary support and commitments that are flowing to MGSIRD currently, alternate sources will have to be tapped. There will be a gestation period and in the interim MGSIRD will have to continue and expand its Panchayat CD activities. Available sources of funds (for example, BRGF) will have to continue for this, and separate and additional investments/flows will have to be designed for the new organizational set-up.
- The task includes the setting up of regional training institutions, like ETCs for which the same issues in terms of capacity, monitoring, and coordination could surface.

In sum, the task will be simpler to navigate, but requires much larger resources than the mere expansion of MGSIRD (option I) in financial terms. The time taken for full development can also be much longer because infrastructure will have to be built. However, the longer term assurance of stability and removal of the uncertainties in the GoI environment make this no less an attractive strategy.

#### **If this option is selected the following steps are suggested:**

- A brief concept note on the intention and contours of the idea.
- Identifying a possible location and resource sources.

- Recruiting a professional agency for preparing a detailed project report.
- Sharing and consultations with stakeholders.
- Preparing an action plan for implementing the report in light of stakeholders' feedback.
- Mobilizing resources.
- Implementing the action plan.

### 9.6.3 Option III: Outsourcing

The option of outsourcing most or all Panchayat CD tasks is almost a non-starter in the state at the current juncture as the dominant approach for a number of reasons:

- First, given the long-term nature of the task, the state expressed its preference at the outset for developing in-house capabilities. This also matches our assessment of the possibilities for outsourcing in the state context.
- There is very thin presence of significant NGOs or private commercial entities (for example, consultancies) in the state with conceptual, organizational, and practical capabilities for the Panchayat CD task. There are notable NGOs with excellent understanding and long experience in Panchayat CD, who also enjoy a good standing for their integrity and commitment to the task. However, these are few and very unevenly distributed across the state. Smaller organizations with high commitment and familiarity with the community also exist, but again they are unevenly distributed and their CD capabilities are uncertain. Further, given the size of the task, the numbers required will be too large for successful monitoring and coordination.
- Private commercial organizations of the kind that could take up the scale and content of the tasks are also not present in the state. Therefore, there is no developed 'market' and the competitive logic that can assure quality and accountability does not operate. Moreover, by their very nature these commercial organizations are unsuitable for the political and transformative nature of the task.
- The dynamic informational requirements of the Panchayat CD task, particularly in terms of their functioning, for example, the circulars/GOs issued by the state departments, makes it necessary that there be a routinized state linkage. Copies of state orders/instructions/programme details are not marked to outside organizations as they are to SIRD, for example, thereby keeping the faculty/trainers updated.

*However, there is substantial scope for involving non-state actors in several ways and this is highly desirable as a complement to in-house state efforts.* However, under all circumstances, **core content** of CD efforts, particularly in terms of legal, statutory, and programmatic details, must be fixed by the state. Additional material and optional content could be independently developed by vendors. Similarly, some measurable outputs must be detailed; this will also help in monitoring.

- First, it is necessary that **monitoring of all CD efforts should be assigned to a third party, preferably from outside the state.** NGOs of repute in this domain, academic institutions, and individual experts may all be involved.
- **Second, some proportion of the work in each component should be assigned to non-state actors**

*in different areas.* NGOs with experience and capabilities, for example, may be assigned training and other responsibilities in some areas where they operate. Academic or research institutions may also be involved if they have field units. This will allow space for innovation and experimentation in methods and approaches as well as ensuring creative competition. The value added by NGOs in terms of approaches and innovations in this domain has been invaluable; Panchayat Resource Centres, for example, were conceptualized, set up, and operated by NGOs long before the state decided to develop BRCs.

- ***Outsourcing should be used for specific tasks***, such as content development and/or production and development of audio-visual material.

#### 9.6.4 Strategy for Developing an Appropriate Panchayat CD Delivery Structure

Clearly, the state will have to make a strategic choice from among the options available for developing the design and delivery structure for the full range of Panchayat CD tasks. Apart from the fact that the technical considerations are not deterministic in this regard, the uncertainties visible in terms of jurisdictions, sources of funds, and accountability and control conditions make it a risk-laden choice. ***State preferences in terms of whether it will be more willing to invest in the extensive efforts required to suitably reorient and reinvent the MGSIRD system or in the greater costing but simpler process of building a new organizational structure is the key turning point in this decision.*** In addition, state information of GoI plans in the institutional reform of the NIRD system and the moves to develop PR-CD infrastructure (which the team is not privy to) will be important factors.

In either case, it is recommended that certain elements be incorporated in the strategy selected:

- BRCs are a key and valuable development and should be developed further as a substantially important layer in the system. However, their design needs revision in terms of their control and functioning—they should be developed as dedicated Panchayat Resource Centres (and not generic training centres under the Janpad), with a larger pool of full-time field CD staff. This is because many of the activities related to the range of CD components are best located in them—satellite reception and local training, meeting hubs for networks/associations of ERs, mentor identification and activation, information, trouble-shooting, and handholding support and not least, local-level orientation, skill, refresher, and other specialized training.
- BRCs—recast as PRCs—should not be under the control of the Janpad but under regional training institutions (RRDTC/ETCs or the newly instituted network, as decided).
- Autonomy and professionalization which are like two sides of the same coin must be ensured.
- Legitimacy and status of the leadership and faculty must be developed to a higher level such that they are capacitated to address district-level ERs and functionaries. ***This is an intangible but important aspect of capacitating the CD delivery structure.*** Currently, the relative positions of MGSIRD trainers and zilla-level trainees do not support effective CD of the zilla-level trainees in MGSIRD, and recourse has been taken to ATI and WALMI in this respect.

#### 9.7 Achieving Goal 3: Developing a Centre for CD knowledge and expertise development

The state needs at least 355 master resource persons and 5,320 field resource persons for systematic Panchayat CD if NCBF criteria are used. While there is no roster of the certified trainers in the state, it is reported that



very few of the faculty in MGSIRD and ETCs have undertaken parts of the systematic approach to training (SAT) cycle. This huge gap in training expertise, and no doubt even larger gap if the full range of capability development skills required are considered, needs systematic attention.

### 9.7.1 Strategy to Develop Training and CD Expertise

First, there is a need of certified trainers (those who have undergone the SAT cycle), and they can only be developed by certified master trainers (those who are certified trainers and in addition have undergone systematic training in how to prepare certified trainers). Both are required in the state, for though GoI is expected to prepare the 150 master trainers required in the country, there has been little progress in that direction. The state will have to develop master trainers and then provide the organizational space and resources for developing the trainers (master resource persons in NCBF terms) required in the state.

Madhya Pradesh appears to be already endowed with the nucleus required to grow such a space—there appear to be two master trainers in the state ATI. The optimal strategy to immediately develop more training expertise in the state and that too in the longer term, which will mean having an organizational structure for continuously developing knowledge and expertise required for the CD tasks in the domain, is partnering with the state ATI. The strategy will be to develop a structured programme for first developing certified trainers and eventually, master trainers as well as capability development knowledge and expertise of a significant order.

The organizational vehicle could be a collaborative centre for training development, which will undertake development of knowledge, tools, and techniques for capability development, programmes for development of certified trainers and as appropriate, master trainers. The ATI is the best location for this as it already has a settled programme and experience in this regard. Its status and credibility as a ‘special ATI’ among the others in the country will give added legitimacy and standing to the effort, and MP could well become the premier location for developing certified trainers for the local government domain.

### 9.7.2 Objectives to be Achieved in the Strategy

The objectives and intermediate outputs that emerge from this strategy are few but nevertheless clear and important:

- Agreement with the RCPV Noronha Institute of Public Administration (MP ATI)/its parent department for coming up with a training programme to develop certified trainers, along with the modalities and the time-frame.
- Conducting ToTs *by certified master trainers*.
- Agreement to develop the centre (could be in parallel with the above).
- Detailed design (constitution and ToR) of the centre, including its responsibility structure, governance, resources, functions, products, review and monitoring processes etc.
- Continuous support and review of outputs as agreed.

### 9.7.3 Resources and Time-lines

The resources and time-lines for the above will fully depend on the agreements reached with the ATI and hence cannot be anticipated; however, a time-frame of one year from the initial contact to the development of the first set of certified trainers should be reasonable.



## 9.8 Achieving Goal 4: Strategies for Developing an integrated and balanced Panchayat CD

A balanced and targeted development of Panchayat capabilities must attend to developing their self-governing capabilities (planning, monitoring, and audit) in addition to the current emphasis on their implementation skills. Further, the CD efforts must be discerningly directed and appropriately targeted in correspondence with individual positions as well as personal profiles—that is, in terms of the specific needs of different capability development groups. This can be achieved if the following two strategies are adopted:

### 9.8.1 Strategies for Balanced and Targeted CD

The two strategies to be adopted for balanced and differentiated capability development are:

- **Strategy 4.1—Developing a collaborative effort with other departments**

Collaborating with other significant departments, particularly the Planning Department, is essential for a balanced and integrated development of Panchayat capabilities to self-govern. Currently, the CD efforts are almost fully tilted towards capacitating Panchayats as GoI's

implementing agencies and for implementing state rural development programmes. Developing their self-governance abilities will require attention to their planning capabilities and institution of the integrated and bottom-up planning process envisaged in the Constitution so that they can engage in the district planning process.

This inter-departmental collaboration is different from and beyond developing the institutional framework through a task force, as suggested for achieving Goal 1. The strategy here will include more regular collaboration in actual CD tasks, including on ways of capacitating Panchayats as organizations to undertake participatory planning. Content development, design of specific skill-building programmes, and even perhaps field-level support can all be arenas for collaboration.

- **Strategy 4.2—Developing a MIS (or more accurately) a Training Information System**

A systematic training information system with the databases necessary to accurately decipher CD needs, target delivery to specific CD groups, and track progress is a central strategy of the entire CD effort as it underpins effectiveness in many aspects. Currently, written records are maintained on trainees, feedback, and monitors' reports etc., which are slowly being entered into electronic databases. However, the systematic development of TIS will involve system design and appropriate data and query formats, and only then entering actual information. It will also need to capture ER profiles and do it quickly after elections, so that CD efforts can be designed accordingly.

### 9.8.2 Objectives to be Achieved in these Strategies

For the two strategies identified above, the following objectives and intermediate outputs/milestones should be reached:

- Objectives for Strategy 4.1:
  - Decision on collaboration with specific departments and its initiation.
  - Agreement on modalities (regular contact, task-specific, etc.).

- Identification of contact points and responsibility holders.
- Agreement on outputs, resources, and time-frames (action plans).
- Objectives for Strategy 4.2
  - Map of data needs for capability development design and delivery, including training and other components.
  - System design.
  - Design of data sets.
  - Data entry.
  - System commission.
  - System use.

### 9.8.3 Resources and Time-lines

As is clear from the nature of Strategy 4.1 (collaboration), and the objectives/milestones to be reached, resources and time-lines emerge from the objectives being achieved and action plans being developed (jointly). The only strategic specification will be that such collaborations be initiated at the earliest, even as plans are being made to enter the next round of ‘sectoral’ and ‘skill’ training after completion of orientation training.

For Strategy 4.2, resources will depend on the level of sophistication to be achieved and the specific implementation modalities chosen. Both are decisions to be taken by the state. Time-frames will also be related to both sophistication levels as well the human resources deployed; again, a matter of choice by the state.

## 9.9 Achieving Goal 5: Strategies for Developing local governance research and education programmes

This is perhaps the only goal with a somewhat lesser urgency and a two year time-frame for this will be more feasible. Yet it is among the more important goals to be reached, for it underpins CD efforts both directly (for example, by developing competent human resources for the domain) as well as more broadly by creating awareness and an understanding of the need for and nature of local governance. It therefore requires attention, but the state should act as an ‘enabler’.

Moreover, it must be appreciated that capability development institutions—typically, training institutions—are not the best places to house the range of research and education activities required. While training institutions are excellently placed for undertaking particular kind of knowledge development and shorter-term educational courses for in-service candidates, many of the research and education tasks are best located in institutions focussed on research and education. Further, the state should act as an ‘enabler’ in this respect rather than develop in-house facilities of any scale. In addition, the many aspects of design, content, location, and resource patterns are best assigned to academics and those who have the required expertise. Aspects like target groups and audience, demand and job-linkages, faculty expertise and knowledge material for input are key issues in this domain that need systematic exploration and addressing.

Therefore, there appear to be three optimal strategies for achieving this goal in the medium term (next five years, which is typically the time horizon for a strategic plan):

- **Strategy 5.1:** Set up an advisory group comprising of eminent academics and experts in this domain to steer state efforts at enabling the growth of research and education programmes in local governance in the state.
- **Strategy 5.2:** Partner with a higher education/research institution in the state to facilitate the development of a certificate course in local governance in line with the NCBF suggestion, as an initial catalyst.
- **Strategy 5.3:** Ensure the inclusion of a centre for research on local governance in plans for expanding/establishing the CD delivery organizational structure (whichever is decided by the state, MGSIRD or a parallel set-up for Panchayat CD).

### 9.9.1 Strategy 5.1—Constitution and functioning of an Advisory Group on Research and Education in Local Governance in MP

For this strategy it is necessary for the state to see the task of developing the local governance domain in a larger perspective and in the long term. Constituting an advisory group in itself will not deliver desired transformative outputs unless these efforts are sustained and charged with some significant responsibilities for devising context-appropriate ways and means of stimulating research and education in local self-governance topics. However, *this must also be accompanied by state efforts to create some demand by linking the education programme to job possibilities in the local government domain.* Unless linked to actual use of the knowledge, short-term educational programmes will neither be attractive nor be able to maintain quality—they will face the danger of becoming vacuous and akin to ‘hobby courses’.

Besides identifying appropriate members, constituting the advisory group, developing a ToR, and assembling necessary resources for effective functioning of the group, the specific objectives of this strategy include the following:

- Identifying specific domain needs, particularly in terms of educational programmes (there is likely to be only latent demand at best, at this juncture).
- Designing specific initiatives, such as research programmes and/or short-term courses and also action plans for their implementation.
- Identifying appropriate institutions/organizations for undertaking these initiatives.
- Detailing out the modalities along with the concerned institution/organization; the advisory group should only advise.
- Designing support or enabling systems for the institutions to implement the programme(s).
- Designing/instituting specific measures by the state to attach value to such programmes, for example, by according credit in recruitment processes.
- Supporting the functioning/implementation of the initiatives.

**The resources required and the time-lines** will depend on the specific initiatives to be taken up and should be detailed out in the action plans of the initiatives. The overall time-frame for constituting and initiating the functioning of the group can take up to six to eight months after a decision on the strategies is taken.

### 9.9.2 Strategy 5.2—Partnering with a higher education/research institution in the state to facilitate the development of a Certificate Course in Local Governance

To seed the development of an educational area that will hopefully develop its own momentum, as well as to develop knowledgeable human resources for the domain, NCBF suggests starting a six-month certificate course. Some suggestions are also provided in NCBF for its design and focus. The state should implement this suggestion under the overall steering of the advisory group and in partnership with a significant knowledge institution in the state. This will be one of the initiatives developed by the advisory group.

This strategy needs to keep in mind three aspects—one, the first offering must be of high quality and in an institution of high standing in the state; two, it should be linked to some incentive in terms of employment; and three, it must be fully designed and its faculty and content resources marshalled before it is rolled out. Further, the strategy is limited to just the inception and supporting the functioning of this incentive for a limited time period. Hence, both the course design and the partnership arrangements must be such that they become part of the partner organization's repertoire in a fixed time period rather than being a long-term 'sponsored' programme. An effective design is critical and the state/advisory group must invest in this.

**Specific objectives** for this strategy are similar to those for Strategy 5.1, except that they are specific to this initiative:

- Broad design of the programme including focus, objectives, duration, and outputs expected by the advisory group.
- Criteria and process for identifying an appropriate institution.
- Important parameters for programme development and implementation.
- Identifying an appropriate institution.
- Detailed design and modalities for roll-out (action plan) by the institution; the advisory group should play only an advising role.
- Agreement (MoA) on support or enabling systems to be provided by the state for the institutions to implement the programme(s).

**Resources** required will depend on the specific design details of the course and the partner selected. Despite the relative low urgency of achieving this goal in the immediate future as compared to the four other goals the time-line should not be unduly extended, The **time-frame** for the initiation of the course should not be delayed for more than a year. This allows enough time for deferring the initiation of the advisory group for a few months while the state attends to the strategies and activities required to address the other goals; it also gives the group time to undertake its tasks in this regard.

### 9.9.3 Strategy 5.3—Ensuring the inclusion of a Centre for Research on Local Governance in the plans for expanding/establishing the CD delivery organizational structure

This strategy is linked to the decision on and process of developing an organizational structure for CD design and delivery in the state. Therefore, the exact contours of this strategy and its specific objectives will be tied to the decision of which organizational strategy is adopted and how it is carried forward, and cannot be identified here. It is important that some centre(s) for research and knowledge development are included in the set-up, but that the activities and orientations associated with it do not overwhelm the central CD agenda. The kinds of and modalities for engagement in knowledge-development on the one hand and on

capability development activities on the other must be carefully designed so that there is no inadvertent goal-erosion/ displacement in the organization, which is a real danger given the different nature of and rewards associated with the two activities. Research activities in a training/CD organization have to be productively linked to improving programme quality. How this can be ensured is a matter of the (re)design of the organizational set-up, which is expected to evolve from the decisions taken in achieving Goal 2.

The current nodal organization MGSIRD, has incorporated plans for various centres in its vision document and proposes to engage in research and knowledge development activities. While it is important that these be carried forward if the decision is taken to expand and transform MGSIRD into a full-fledged Panchayat CD organizational set-up, the exact contours of the organization and the centres will have to be evolved during and through the organizational restructuring and change processes that are essential and have been recommended in this Report.

#### 9.9.4 Elaborating on a Short Term Operational Plan

The previous sections set out a road map for developing a 'strategic plan' for state capacity development for implementing NCBF. It is hoped that the state will at some stage convenient to it, engage in the suggested events and processes to arrive at its final strategic plan. In the meanwhile one aspect of the suggested road map is addressed here. For this, Option I, that is, substantial reorientation and expansion of the MGSIRD system has been relied upon.

#### 9.9.5 MGSIRD System Expansion

The strengths of this option are notable—it is already established, has a history of engaging with Panchayat training, has basic training infrastructure and competencies, and has displayed substantial initiative and capability in systematically expanding coverage in recent years. It also has an established and geographically dispersed network of ETCs and PTCs for regional reach and the momentum and substantial committed investments to expand infrastructure. Establishing BRCs has complemented the outreach capabilities of the pre-existing institutional framework. The best shot in the short term is, therefore, establishing an inter-institutional network within, repositioning the entire institutional complex, and substantially ramping up organizational resources at every level.

##### *Institutional repositioning, augmentation of organizational resources*

The primary mandate of MGSIRD is the training of RD functionaries, mainly for RD programme implementation. Its focus, competencies, and inevitably the framing of the Panchayat CD task are rooted in this history and efforts. Path dependence formulation of institutions would suggest that a disruptive change must be introduced for transformation. This is an extremely difficult organizational reinvention task which requires sustained and intensive engagement, handholding, and trouble-shooting. The size of the Panchayat CD task far outstrips RD training tasks by a large factor, and will occupy the greater proportion of its time, competencies, and resources. In effect, MGSIRD will have to become a Panchayat CD organization which also trains RD employees.

Hence, it is recommended that MGSIRD be renamed as the Mahatma Gandhi State Institute of Panchayats and Rural Development (MGSIP&RD) and appropriately repositioned. It will function as the apex institution with substantial growth in its mandate, organizational resources, and budgets. It will network with nationally prominent research and teaching institutions while steering a network of ETCs/PTCs and BRCs within the state.

It is suggested that MGSIP&RD be enabled with at least 16 clear faculty positions. The faculty positions may be organized in the pattern of academic institutions, with levels of assistant, associate, and full professors. In order to attract the best talent, faculty remunerations and facilities may be pegged at the UGC recommended levels. The director's position should be suitably upgraded to reflect the larger institutional responsibility and commensurate authority to steer the entire capability building task of rural local self-governments. The vision document already available at the institute may be used as the basis for upgrading infrastructure, including computing, reprographics, library, and communication facilities. The extent of investments required for this purpose has already been computed; if necessary, the figures may be proportionately increased to reflect the new stature, status, and responsibilities of the institute.

The six ETCs and three PTCs should be renamed the Regional Institutes of Panchayat & Rural Development (RIP&RD). In every RIP&RD positions may be created for at least seven faculty members. The faculty positions will be in two grades—assistant and associate professors. Members of the faculty, who remain long enough and exhibit high performance levels, may be promoted to the professor grade and simultaneously transferred to MGSIP&RD. Senior faculty members of MGSIP&RD, who are already in the professor grade, may be deputed as directors of RIP&RDs on 3–5 year terms. Every regional institute will have the responsibility of supporting about 35 Block Panchayat Resource & Training Centres (BPRTCs) in developing their five-year and annual work plans, monitoring their implementation, and identifying and implementing human resource development needs. Put differently, a faculty member of the regional institute will be responsible for overseeing the functioning of five BPRTCs. These BPRTCs and their command area will provide the geographic scope for research and developing training material for the respective faculty members of the regional institute.

The BRCs be renamed and repositioned as the Block Panchayat Resource & Training Centres. While these may continue to be under the superintendence and control of the Janpad Panchayat (and not the CEO alone), functionally they will be intrinsically linked to RIP&RD and through it, to MGSIP&RD. In order to realize the mandate already provided for, every BPRTC may be provided with six functionaries. These would include one coordinator, one institutional support and communication person, one database management and monitoring person, one planning support person, one helpline operator, and one house-keeping and ministerial staff. These personnel may be recruited immediately and suitably inducted through orientation and training by MGSIP&RD and the concerned RIP&RD. The BPRTC will have exclusive responsibilities towards the capacitation of Panchayats including their Standing Committees and Gram Sabhas. Every BPRTC may be provided with five desktop computers, desktop publishing facilities, internet connectivity, and two telephone lines. One of the telephone lines will be used as a dedicated helpline.

It is estimated that an annual allocation of about Rs 15 lakh towards recurring expenditures per BPRTC may be required. At the beginning, a capital budget of Rs 3 lakh per BPRTC may be made available for creating requisite facilities.

#### *Activities of the state and regional institutes—five-year planning cycles*

MGSIP&RD and RIP&RDs will shoulder the entire gamut of responsibilities of research, developing pedagogic material, training, and monitoring. Every faculty member's portfolio of activities will include all the activities of the respective institute. Research will include action research for knowledge development as also research for supporting the development of pedagogic material.

It is recommended that the institutes follow a five-year planning cycle. The cycle will be synchronized with Panchayat elections in the state. In the first year of a plan cycle, 100 per cent of the faculty time will be devoted to training. In the second year, 75 per cent of faculty time will be devoted to training while 25 per cent will be devoted to research. In the third year, 50 per cent of faculty time will be devoted to training and 50 per cent to research and pedagogic material development. In the fourth year, 25 per cent of faculty time will be devoted to training and 75 per cent to research, pedagogic material development, and preparing evaluation reports. In the fifth year, research, developing pedagogic material, and preparing other reports will take up 100 per cent of faculty time.

*Non-training CD responsibilities*

MGSIP&RD may be charged with the coordination, design, and delivery of all components of the Panchayat CD task, including distance education/training, content development, exposure, and developing newsletters. The proposal for satellite-based training infrastructure contained in the perspective plan and vision document may be implemented forthwith. Cost estimations in this regard are already available in the said documents and they are fully endorsed.



# Annexure I

## SEVENTH ROUND TABLE OF MINISTERS IN-CHARGE OF PANCHAYATI RAJ – JAIPUR, 17-19 DECEMBER, 2004

### Capacity Building & Training

1. Training and communication ought to reach all PRI functionaries and elected representatives, namely:
  - (i) Gram Panchayat members, chairpersons, and office bearers,
  - (ii) Intermediate Panchayat members, chairpersons, and office bearers,
  - (iii) District Panchayat members, chairpersons, and office bearers,
  - (iv) All officials concerned at the national, state, district, intermediate, and village levels; and
  - (v) Standing committee members at all levels.
2. Special efforts should be made towards sensitizing the media, political parties, and representatives in legislatures, civil society organizations, and citizens.
3. There must be special campaigns for mobilization of Gram Sabha members.
4. There must be special training for women, SC/ST representatives as well as first time entrants into the Panchayat system within three months of their entry.
5. Training for PESA areas should be designed so as to respect the cultural traditions and special needs of tribal people.
6. Training and communication should not be viewed as a one-time intervention but should be a continuous, on-going process leading to an enhanced sense of self-esteem and confidence. Training should cover both 'before' and 'after' election periods. Initial training and communication should reach all elected representatives within one year.
7. For those Panchayat members who need it, a functional literacy training course should be undertaken immediately after their elections.
8. Panchayats should be encouraged to have a sense of ownership of the training programmes and play a major role in designing content and mechanisms of training. To this end, there must be representation for Panchayat members in the governing boards of training institutions that cater to their needs.
9. Content of training should emphasize strategic and technical aspects and should be based on a systematic training needs analysis arrived at through multi-stakeholder consultative workshops, which would precede the design of training modules and materials.
10. There should be a minimum core curriculum that is common across the states which is adapted to suit local contexts. The core curriculum should include:
  - (i) Vision on purna swaraj through gram swaraj;

- (ii) Principles of secularism, equality, and human rights emanating from the Constitution of India;
  - (iii) Gender equity and social justice;
  - (iv) Status of human development;
  - (v) Poverty alleviation;
  - (vi) Participatory planning, implementation, and monitoring;
  - (vii) Right to information and transparency;
  - (viii) Social audit, and
  - (ix) Rules and regulations covering Panchayati Raj.
11. Overall perspective of training must reinforce issues of social equity, gender sensitivity, and justice among all participants in the process of governance through Panchayati Raj, including all levels of the bureaucracy.
12. The thematic curriculum should include:
- (i) Human resource management,
  - (ii) Natural resource management,
  - (iii) Disaster management,
  - (iv) Financial management, including own resource management and accounting, and
  - (v) Sectoral approaches into providing basic human needs.
13. The training strategy should be inclusive, participative and interactive, and have a composite mix of various interventions:
- (i) Face-to-face participatory training;
  - (ii) Exposure visits;
  - (iii) Peer training/learning;
  - (iv) Satellite training;
  - (v) Radio/cassettes/films;
  - (vi) Traditional means of communication;
  - (vii) Newsletters, updates, and digests of replies to frequently asked questions; and
  - (viii) Resource centres and help desks for Panchayats.
14. Training content and processes should be relevant to the ground realities of elected representatives. The content and processes should continue to develop and evolve based on feedback and impact assessment. Training should become a two-way process so that feedback can help in reforming the content and process of training, as also result in systemic changes in Panchayat and government functioning.
15. States should move towards forming training networks and collectives to share experiences, learn from

each other, and access material from each other. States should also institutionalize collaboration with community based organizations at the state, district, and block levels.

16. Training should inspire elected representatives to form federations or collectives and facilitate them in voicing their demands for genuine devolution and development.
17. Trained members should be encouraged to become resource persons for further training of Panchayat representatives. Peer-to-peer learning, both within and outside the state through regional or national tie-ups should be encouraged and supported.
18. Training should include exposure to best practices through visits to other Panchayats.
19. All open universities may tie up with IGNOU and build linkages with SIRDs and other like institutions engaged in training and capacity building.
20. Training programmes should be designed especially for the secretarial and technical staff working with Panchayats through institutions, such as IGNOU. Such training programmes should lead to formal certification on achieving prescribed standards of learning.
21. Education in democracy and the constitutional role of Panchayats as institutions of local self-government should be made part of school curricula.
22. It shall be the endeavour of the central government to provide in as short a time as possible a Panchayat capacity building fund through the Ministry of Panchayati Raj, which could include a certain percentage of central transfers especially earmarked for that purpose. Similarly, state governments should also create a Panchayat capacity building fund for periodic training.
23. There should a national perspective plan on decentralized training and capacity building for all PRI functionaries with specific objectives, time-frame and resources.
24. States can benefit by the use of pedagogy and training techniques with information accessible to all. The Ministry of Panchayati Raj could develop a repository of training programmes, including training resources and manuals developed by the Commonwealth. Master modules in training in issues of gender, poverty, and mass communication can also be developed.
25. Independent training impact assessment studies should be periodically undertaken to assess the outcomes of training and inform emerging needs for follow up,
26. States shall work towards upgradation of training centres, such as SIRDs, and extension training centres at the district and block levels and below.
27. With respect to the training needs of Panchayat members from union territories and states with Sixth Schedule areas, the Government of India will identify an SIRD or a group of institutions that could undertake the training.

## ANNEXURE II

### ASSESSMENT OF STATE-LEVEL CAPACITIES TO IMPLEMENT THE NATIONAL CAPACITY BUILDING FRAMEWORK (NCBF) & UNDERTAKE PLANNING

#### Terms of Reference

(18 May 2010)

#### 1. Assignment Overview

The Ministry of Panchayati Raj (MoPR) is keen to assess state-level capacities for implementing the National Capacity Building Framework (NCBF) and for undertaking planning by developing capabilities of the Panchayati Raj Institutions (PRIs) towards the larger goal of promoting effective decentralized governance and participatory planning. The state-wide capacity assessment in select States will be conducted by experts who had participated earlier in the MoPR-UNDP led mission in Chhattisgarh in August 2009. Among other things, the intention is to help the states find alternative options for ensuring 100 per cent coverage of PRI Capacity Building and Training (CB&T) delivery in a time bound manner as indicated in NCBF and ascertaining that only state-specific Panchayati Raj Department (PRD) approved core content is used for training to ensure minimum acceptable uniformity and quality across the states.

#### 2. Background

After the 73rd and 74th amendments to the Constitution, PRIs and urban local bodies (ULBs) have been identified as the third tier of governance. Of the 28 states and 7 union territories (UTs), 3 states are exempted from the provisions of these amendments, and they have been allowed to continue with traditional arrangements of local bodies which are akin to PRIs. There are, currently, about 2 lakh PRIs represented by over 28 lakh elected representatives (ERs) of whom over one-third are women. There are about 10 lakh functionaries working for/under the PRIs. The PRIs are currently assigned two of the major programmes for rural development—the National Rural Employment Guarantee Scheme (NREGS) and the Backward Regions Grant Fund (BRGF). In terms of the constitutional intent, states have assigned many more schemes to PRIs, though such assignments are not uniform across the states. In the coming years, PRIs will be expected to implement even larger development schemes and programmes. To perform such large scale responsibilities, PRIs need to have adequate capacities in terms of number as well quality of human resources.

Realizing the imperatives of strengthening capacities of PRI-ERs and officials to effectively undertake their roles, MoPR launched NCBF which provides details of various training programmes aimed at building the capabilities of PRIs. PRIs are also increasingly expected to play a role in district planning, which requires building their capacities in the area of planning. Besides several other initiatives, MoPR is currently implementing the Capacity Development for Local Governance (CDLG) project with support from the UNDP in the seven focus states (Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, and Uttar Pradesh) towards achieving the broader goal of capacity development (CD).

Another UNDP 'Capacity Development for District Planning' (CDDP) supports the Planning Commission's mandate on improved capacities in integrated inclusive district planning at the national, state, and district

levels. Together, the two projects aim to contribute towards the larger goal of ensuring effective governance and participatory planning.

The CDLG project is aligned with the goals and objectives of NCBF, and aims to strengthen institutions and processes at various levels which bring about a behavioural change through increased motivation, joint decision-making, the provision of resources (that is, networks, resource persons/institutions, training courses/material, information, innovative solutions, and methods), and personal empowerment. Key partner institutions in this are training institutions, such as the State Institutes for Rural Development (SIRDs), the Panchayati Raj Training Institutes (PRTI, which exist in a few states), and Administrative Training Institutes (ATIs), which have the mandate to train ERs and officials in local governance. It has been the experience that these institutions put together are unable to meet the responsibility of providing the required training to PRI- ERs and officials. The State Training Institutions (STIs) are mandated to train PRI-ERS and officials as well as personnel of line departments in planning as well.

Under the CDLG project, the UNDP-RCB team undertook a mission in Chhattisgarh in August 2009 to assess the capacity of the state to implement NCBF and to undertake district planning. Select experts were invited from prominent national institutions to participate in the assessment exercise. MoPR is now engaging the services of the experts who participated in the capacity assessment mission in Chhattisgarh to assess the capacities of select other CDLG states of Bihar, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, and Uttar Pradesh.

### 3. Objectives and Outputs

#### 3.1 Objective: The key objective is to assess the capacities of a given state to implement

NCBF and for undertaking planning with focus on PRI-ERs and officials. The capacity assessment report and the proposed capacity development strategy for a given state must help achieve, among other things, 100 per cent coverage of PRI-CB&T delivery in a time bound manner as indicated in NCBF and ascertain that only state-specific PRD approved core content is used for training to ensure minimum acceptable uniformity and quality across the state.

#### 3.2 Expected outputs

A high quality state-specific capacity assessment report with a clear set of institution specific and overall recommendations towards the stated objective of implementing NCBF and undertaking planning; and A high quality state-specific capacity development strategy for the given state to deal with all issues concerning PRI-CB&T (necessary for implementing NCBF and undertaking district planning) in a comprehensive and systematic manner.

*(Note: The two outputs could either be presented separately or as a part of the same document).*

### 4. Methodological Approach

The teams have been advised to undertake the capacity assessment by drawing upon the standard qualitative analysis, quantitative analysis, check-list based analysis, and the UNDP-CA methodology framework, which emphasizes participatory and self-assessment aspects.

However, the experts will have the freedom to be innovative and creative in producing quality outputs. The UNDP-CA approach offers a self-assessment platform that allows direct engagement of relevant government

departments, training institutions, SIRD and ATI officials, and other capacity development partners (such as NGOs and other training institutions) in coming up with quantitative as well as qualitative capacity indicators, which serve as a basis for the prioritization of the capacity development needs of a given state in the context of PRI-CD.

The assessment is conducted through meetings and self-assessment sessions/consultations with the leadership and staff of the institutions involved in PRI-CD (that is, SIRDs, ETCs, PTCs, ATIs, NGOs, and others) as well as key staff members of other ministries/agencies and development partners (for example, relevant state-level government departments and civil society organizations) that are closely involved with PRI institutions. The CA framework and work plan, including the capacity indicators, will be developed by the experts following initial research and consultation meetings.

Consultations will be conducted with the relevant departments, training institutions, and other institutions active in the CD of PRIs, primarily to determine challenges and derive an initial understanding of their capacity gaps, and how the state-level institutional framework can specifically respond to these CD challenges. This process will inform the development of an integrated state capacity development strategy for the given state(s).

Specifically, the capacity assessment (CA) will use a range of methodologies to triangulate information and come up with a comprehensive understanding of prevailing capacity development issues and needs will be used. These methodologies will include the following:

- **Desk research/review:**

This will serve as the preliminary activity for CA, which will compile relevant research documents and findings, evaluation reports, policies, project documents, etc., to come up with an initial understanding of on-going or completed initiatives, as well as policy statements that will inform the planning and conduct of the capacity assessment to ensure that the process builds on and adds value to existing or completed activities. This will include a review of the outputs and outcomes of previous assessments by other institutions (for example, NIRD, ASCI, IGNOU, and the BRGF Review) to guide the CA context.

- **Consultation Meetings/Workshops**

Dialogues and consultation workshops will be convened throughout the CA process to bring together different stakeholders, discuss common challenges, issues, and perspectives, and agree on potential areas for further discussion, analysis or collaboration.

- **Key Informant/Semi-Structured Interviews**

This will involve semi-structured interviews with officials and key staff members of the training institutions, as well as relevant departments/partner agencies, to obtain their feedback and perspectives on PRI-CD needs, as well as the capacity needs of the training institutions themselves.

### **Self-Assessment**

This will serve as the crux of the CA, which will employ qualitative and quantitative indicators to determine priority capacity needs. CA worksheets, which contain specific capacity indicators that will be assessed, will be developed by the experts in consultation with the other mission participants ; these will be filled by interviewees. Results of the self-assessment will be consolidated and used to compare, validate, and

complement the results obtained from the other methodologies.

State-level partners who are going to be interviewed as part of the pilot CA include officials and key staff of select institutions, such as the state-specific Panchayati Raj Department, Rural Development Department, Tribal Affairs Department, Health Department, Women and Child Department, the Administrative Training Institute (ATI), State Institute of Rural Development (SIRD), other ETCs, PTCs, and NGOs working in the area of PRI capacity building and training. The CA expert team will finalize the list of institutions to be met and individuals to be interviewed in consultation with the state-specific Principal Secretary (PS)/Secretary PRD, who will provide overall guidance to the experts in undertaking the CA assignment.

### 5. Role Clarity during the Capacity Assessment Process

- The entire CA exercise shall be conducted under the overall guidance of the state-specific PS/Secretary, Panchayati Raj Department;
- MoPR will assign a two member expert team to undertake the state-wide capacity assessment;
- State-specific PRDs to provide facilitation support to coordinate appointments for the expert team with other state-specific departments/institutions mentioned above and help organize the required meetings and workshops; and
- The entire cost of engaging CA experts will be borne by the MoPR-UNDP CDLG National Project Cell. However, the cost of organizing local meetings/workshops to facilitate the work of the CA team will be taken from the state CDLG budget.

### 6. Proposed Strategy/Work Plan for the CA assignment

A preparatory CA workshop was organized by MoPR at AMR-APARD Hyderabad on 13–14 April 2010 to develop a common understanding among the experts on the expectations and terms of engagement and to discuss the methodology. The workshop resulted in the finalization of a number of guiding documents that will be used as reference while undertaking the CA exercise. These documents are:

- Confirmed Terms of Reference (ToR), with agreement on CA methodology.
- Draft PRI CD vision statement.
- Indicative CA report structure.
- Sets of various questionnaires to be used by the expert teams.
- Indicative steps for the CA process.

The experts are being advised to finalize these key guiding documents in consultation with the state-specific PS/Secretary, Panchayati Raj Department, in their assigned state.

**The PS/Secretary PRD are particularly requested to provide their inputs to the experts on the key guiding documents, particularly the draft PRI CD vision statement and the indicative CA report structure to help clarify the expectations that they have from the experts which would help in developing a quality report for the state.**



In addition, the expert teams are advised to use the CA process steps (enclosed) as a broad reference to further prepare their work plan including home work and field work in consultation with state PRDs.

### **7. Assignment Timeline:**

As indicated in the CA process steps, the expert team will complete the entire task in 25–30 working days, spread over 45 days from the date of the beginning of their assignment.

### **8. Reporting requirements and administrative support:**

State-specific PRD will facilitate the assignment and provide the necessary coordination support. Under the guidance of PS/Secretary PRD, state-specific CDLG team members will provide logistical support for the entire duration of the CA, which includes helping with scheduling and confirming meetings with stakeholders, including briefing relevant officials/stakeholders prior to actual meetings, coordinating venues for consultation meetings/workshops, printing /copying relevant distribution materials and documents for consultations during the mission and later during the stakeholder meeting/workshop to present the first draft, and coordinating travel arrangements including local transportation requirements, among others.

## ANNEXURE III

### MINUTES OF INCEPTION MEETING

The Ministry of Panchayati Raj (MoPR) has assigned the work of capacity assessment and preparation of a capacity development strategy for the implementation of NCBF to IRMA's capacity assessment (CA) team.

The inception meeting with Dr. Kajri Mishra, lead CA expert at IRMA was held on 18 August 2010. Other officers present during the inception meeting were Mr. M.B Ozha, Director (RE), Amit Anand, State Project Officer UNDP, and Binu Chaturvedi, State Project Coordinator, CDLG Project UNDP. The meeting was chaired by Additional Chief Secretary, Government of Madhya Pradesh (GoMP), Panchayat and Rural Development Department.

Mr. R. Parasuram, Additional Chief Secretary, GoMP emphasized the following key areas to be considered while conducting the CA exercise and asked the CA team to submit its findings and suggestions and strategies according to these areas:

- There is need to address the issue of availability of funds and resources to cater to the need of the capacity building of PRIs and their functionaries in view of the large geographical area of Madhya Pradesh with low population density where cost of operations are very high.
- Institutional based training is always effective. MP has inadequate resources and infrastructure to cater to the need of training a large number of PRIs and their functionaries.
- While doing the CA, there is a need to correlate the demand and supply position and suggest how **to conduct the training in an effective manner.**
- Non-institutional based training has its own limitation like infrastructure and lack of qualified resource persons. Therefore, there is need to focus on institutional training.
- Both recurring and current infrastructural costs need to be met.
- Apart from PRIs there is unmet need of trained local employees since they have received no training so far for their capacity enhancement. Also there is a need to enhance the managerial competencies of Panchayat secretaries. Other categories of people who need to be trained include 4 lakh official of Panchayats and around 85,000 SHGs which are supporting the implementation of programmes. In a nutshell there is huge gap between demand and supply which needs to be addressed during the CA.
- Sharing experiences of NGOs and their involvement in the capacity building programme.
- Other priority areas which need attention are e-panchayats for which in-house training capacity needs to be increased and training material needs to be developed so that a strategy for catering to the huge demand in e-panchayat related areas can be worked out.
- Although SATCOM and distance learning methods are good they have their own limitations and are not very effective in the context of PRI training.

- There are 7 ETC but there is a need to increase them to at least 25; there is also the need to enhance the capacity of MGSIRD and undertake capacity assessment of NGOs.
- In the present scenario in Madhya Pradesh the training capacity has its own limitation but we could not work in this area because of training pressures.
- No doubt our first mandate is of training PRIs but at the same time there is also a big demand for enhancing the competencies of resource persons for which there should be exclusive training centres for providing technical training with proper infrastructure or each institute must have a technical wing.
- The CA expert was requested to visit ETC Nogoan and any one ETC either in Bhopal/Gwalior or in Indore.

## ANNEXURE IV

### DRAFT PRI CAPACITY DEVELOPMENT VISION STATEMENT

To be revised in consultation with state-specific Principal Secretary (PS)/Secretary, Panchayati Raj Department (PRD).

#### **Vision**

- Panchayats as effective institutions of local self government.

#### **Mission**

- To develop the capacities of all elected representatives (ERs) and functionaries of Panchayat Raj
- Institutions (PRIs) and associated agencies for good governance and decentralized participatory planning for sustainable development.

#### **Objectives**

- To ensure basic training for all, with 100 per cent coverage in a time bound manner with reference to the National Capacity Building Framework (NCBF);
- To develop a standardized core content, approved by the state PRD, to ensure uniformity of the basic training content across the state; and to ensure that need based training, quality monitoring, and impact assessment are incorporated as part of the state PRI-CB&T approach through the training institutions.

#### **Key Elements of Five Year Perspective Plan**

- Basic Courses—Mandatory: PRI CB&T is a must.
- For all ERs and functionaries of PRIs on core issues with reference to NCBF. The critical Core Content includes:
  - Fundamentals of Panchayati Raj,
  - Roles and responsibilities of various position bearers,
  - Panchayat administration, routine management, and accounting procedures,
  - Effective administration of central and state-specific sectoral schemes, and
  - Significance of a Gram Sabha in village level planning and decision-making, with focus on women and other disadvantaged groups.
- Computer training (ICT) to all Gram Panchayat level functionaries in three years.
  - One round of training for all PRIs in five years on a participatory action plan and gender based

- budgeting and social auditing with annual refresher courses.
- Need based literacy training for PRI-ERs within six months of elections as envisaged in NCBE.
  - Special training of SC/ST women ERs once in every three years.
  - Exposure visits for all ERs and functionaries to beacon Panchayats at least once in three years.
  - Include issues concerning leadership, social audit, and RTI Act in the basic training programmes.
  - Thematic training to all PRI-ERs on any three themes of their choice (preference driven) to cover, among others, the following:
    - Health (primary health—NRHM)
    - Education (primary education—SSA)
    - Wage employment programmes (NREGS)
    - Self employment programmes including skill development for placement (SGSYNRLM)
    - Poverty alleviation programmes
    - Social security programmes (pensions and insurance)
    - Integrated natural resource management (watersheds, IWDP, etc.)
    - Disaster management
    - Drinking water and Sanitation (NRWS, TSC, etc.)
    - PESA Act (Gram Sabhas in ST areas)
    - Minority welfare programmes
    - Human resources development
    - Any other themes
  - Systematically develop suitable PRI-CB&T policy, materials, and techniques: It is important to distinguish between PRD approved core content and the supplementary training material developed with reference to the PRD approved core content. The five critical or fundamental areas for the core content are identified in 1.1. Additional training materials should be developed on all topics as mentioned above as per the preference of the state, with particular emphasis on the following:
    - Innovative supplementary training materials,
    - Innovative training techniques, such as computer based tutorials,
    - Frequently asked questions (FAQs),
    - Interesting case studies, and
    - Distance learning material.

- Organize PRI-CB&T programme delivery in the public-private partnership (PPP) mode, including outsourcing with well-defined monitoring and quality control mechanisms in place.
- Work systematically towards making PRI-CB&T demand driven. Ideally the goal should be to create an environment in which PRIs are able to make a choice on where to get trained.
- Strengthen knowledge management function with knowledge portals, e-groups, community practices, newsletters etc.
- Create and nurture a vibrant peer network to strengthen all systems of PRI-CB&T design, development, evaluation, FAQs development, research etc.
- Make PRI-CB&T institutions (such as SIRDs /PRTIs) IT-enabled with IT-driven systems and databases.
- Strengthen convergence with major stakeholders involved in CB&T of PR stakeholders.
- Develop adequate number of beacon Panchayats/best practices for exposure visits.
- Make PRI-CB&T outcome oriented based on defined performance indicators.

## ANNEXURE V

### LIST OF DOCUMENTS REVIEWED (RECEIVED FROM GOI-UNDP CDLG PROJECT, MGSIRD, ETCS, AND OTHER PARTNERS)

1. Village Panchayat President, Vice President and Member Training Guidelines 2010
2. Janpad Panchayat President, Vice President and Member Training Guidelines 2010
3. District panchayat President, Vice President and Member Training Guidelines 2010
4. Village development's main schemes and programmes (for the training of representatives, officers and workers), Mahatma Gandhi State Institute of Rural Development
5. Panchayat Raj in relation to Village Panchayat (course material for trainers), Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur
6. Capacity Development for Local Governance (CDLG) Project, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur, 2010
7. Capacity Development for Local Governance (CDLG) Project, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur, 2009 (May– December)
8. Capacity Development for Local governance (CDLG) Project, Mahatma Gandhi State Institute of Rural Development, (3-day workshop handout) Madhya Pradesh, Jabalpur, 2009 (1–3 September)
9. A review of training requirements of Panchayat representatives (3-day workshop handout), Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur, 4–6 November 2009
10. Annual Training Calendar, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur 2008–09
11. Annual Training Calendar, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur 2009–10
12. Annual Training Calendar, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur 2010–11
13. Article of Association, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur
14. Technical and Skill Development Training, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur
15. Handout of Rights (as approved by the Board of Directors), Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur
16. Presentation on Mahatma Gandhi State Institute of Rural Development (translated)
17. Madhya Pradesh Government Panchayat and Rural Development Department, Vallabh Bawan, Bhopal- Circular 1 (translated)



18. Madhya Pradesh Government Panchayat and Rural Development Department, Vallabh Bawan, Bhopal- Circular 2 (translated)
19. Madhya Pradesh Government Panchayat and Rural Development Department, Vallabh Bawan, Bhopal- Circular 3 (translated)
20. Madhya Pradesh Government Panchayat and Rural Development Department, Vallabh Bawan, Bhopal- Circular 4 (translated)
21. Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur, Annual Report 2008–09 (translated same as 2009–10)
22. Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur, Annual Report 2009–10 (translated)
23. Madhya Pradesh Government Panchayat and Rural Development Department, directions regarding function of Block Resource Centres (translated)
24. Rules of SEWA Bharti, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur (translated)
25. Impact of women reservation in MP
26. List of site names (Forest Department)
27. List of site names (Tribal Development Department)
28. List of site names (Rajya Shiksha Kendra, MP)
29. List of development centres and progress of training of Sarpanch, Deputy Sarpanch and Secretary
30. Training Calendar for training of Sarpanch, Deputy Sarpanch and Secretary
31. Status report
32. Training details of the MP Water and Land Management Institute, Bhopal
33. WALMI at a glance
34. Sources of Income from 2007–08 to 2009–10
35. Training progress, July 2010
36. Training details of WALMI, 2008–09
37. Training details of WALMI, 2009–10
38. Infrastructure Development and Upgradation of Training Institute
39. Journals for Grants received
40. Description of the receiving Terminal at MP

41. Office memorandum for Training Division, dated 27.12.1993
42. Office memorandum for implementation of Government decision on 6th Central Pay Commission, dated: 5 September 2008
43. Women Empowerment and Capability Building Workshop, 6th and 7th November (Report)
44. Vision Document—Envisioning exercise head been undertaking vice the SIRD
45. Description of working unit
46. Date wise calendar for the year 2010 so far (Progress Report)
47. Strengthening of State Support Institutions in the Focus States, Capacity Assessment Report, August 2008
48. Institutional Arrangements, Financial management at the organizational level
49. UNDP, Supporting Capacity Development, the UNDP approach, Bureau for Development Policy, New York, March 2008
50. Capacity Development: Practice note, UNDP
51. Capacity Assessment Methodology, User's Guide, UNDP
52. Alternation of officers
53. RCVP Noronha Academy of Administration and Management, Bhopal, 2010 April
54. Training modules
55. National Capability Building Framework for Panchayati Raj elected representatives and functionaries
56. Directory of organization of working on women
57. RCVP Noronha Academy of Administration and Management, Bhopal, Training Calendar 2010, 2011
58. Assessment of state-level capacities: To implement the National Building Framework (NCBF) (Annexure 1)
59. Draft PRI Capacity Development Vision Statement ( Annexure 2)
60. Assessment of the State Capacities for implementing NCBF and the proposed Strategy for Building Capacities of PRIs (Annexure 3)
61. Key Steps and Contents for state CA and Strategy Planning for CB (MP) and proposed dates
62. Quantitative data required
63. Strategic Plan for Building Capacities of PRIs in (state name)
64. Key decisions in strategic planning and capacity assessment for PRI-CB&T in India
65. Training Guidelines—2010

66. List of various self-help organizations (NGOs) (Hindi/translated)
67. Six days directing training of Janpad members from 05.04.2010 to 10.04.2010 (Hindi/translated)
68. Gram Panchayat training directions for the training of Gram Panchayat 2010, MP Government
69. Course material 2010
70. Amount allocated for training purposes from the annual year 2007–08 to 2010–11 (Hindi/translated)
71. Organization structure, WALMI (English)
72. Annual Report, WALMI, 2007–08 (Hindi/translated)
73. Authorities to Gram Sabha by the various departments under Panchayat and Gram Swaraj in Madhya Pradesh (Hindi/translated)
74. Abstract and expanded details of training 2010 (English)

#### **Received from ETC**

1. Report on training session of Janpad members under Panchayat Raj Session. Dated 05.04.2010 to 10.04.2010, Naugaon District Chattarpur, MP (translated)
2. Internal evaluation report of 6-day training of Janpad Panchayat members under Panchayat Raj. Sessions Dated: 26.08.2010 to 31.08.2010 (translated)
3. Administrative report dated 15.09.2010 Regional Rural Development Training Centre, Naugaon District Chattarpur, Madhya Pradesh (translated)
4. Regional Rural Development Training Centre, Naugaon District Chattarpur, MP—Evaluation Questionnaire (translated)
5. Report on training session of Janpad members under Panchayati Raj Office, Regional Rural Development Training Centre, Naugaon District Chattarpur, MP (translated)
6. Information regarding amount allocated for training, Office, Principal Panchayat Secretary, Training Centre Naugaon District, Chhatarpur, MP (translated)
7. Vision document and Perspective Plan 2008–13 and 2010–15 (English)
8. Administrative Report, Office Principal Panchayat Secretary Training Centre, Naugaon District Chattarpur, Madhya Pradesh (translated)
9. Monthly report-2 of training sessions held (translated)
10. Work plan for Janpad member training
11. Under construction work, BRGF
12. Information regarding work under progress (ETC)

## Annexure V

### LIST OF DOCUMENTS REVIEWED

(Received from Gol-UNDP CDLG Project, MGSIRD, ETCs, and other partners)

1. Village Panchayat President, Vice President and Member Training Guidelines 2010
2. Janpad Panchayat President, Vice President and Member Training Guidelines 2010
3. District panchayat President, Vice President and Member Training Guidelines 2010
4. Village development's main schemes and programmes (for the training of representatives, officers and workers), Mahatma Gandhi State Institute of Rural Development
5. Panchayat Raj in relation to Village Panchayat (course material for trainers), Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur
6. Capacity Development for Local Governance (CDLG) Project, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur, 2010
7. Capacity Development for Local Governance (CDLG) Project, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur, 2009 (May– December)
8. Capacity Development for Local governance (CDLG) Project, Mahatma Gandhi State Institute of Rural Development, (3-day workshop handout) Madhya Pradesh, Jabalpur, 2009 (1–3 September)
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10. Annual Training Calendar, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur 2008–09
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12. Annual Training Calendar, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur 2010–11
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14. Technical and Skill Development Training, Mahatma Gandhi State Institute of Rural Development, Madhya Pradesh, Jabalpur
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25. Impact of women reservation in MP
26. List of site names (Forest Department)
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28. List of site names (Rajya Shiksha Kendra, MP)
29. List of development centres and progress of training of Sarpanch, Deputy Sarpanch and Secretary
30. Training Calendar for training of Sarpanch, Deputy Sarpanch and Secretary
31. Status report
32. Training details of the MP Water and Land Management Institute, Bhopal
33. WALMI at a glance
34. Sources of Income from 7007–08 to 2009–10
35. Training progress, July 2010
36. Training details of WALMI, 2008–09
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38. Infrastructure Development and Upgradation of Training Institute
39. Journals for Grants received
40. Description of the receiving Terminal at MP
41. Office memorandum for Training Division, dated 27.12.1993
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43. Women Empowerment and Capability Building Workshop, 6th and 7th November (Report)
44. Vision Document—Envisioning exercise head been undertaking vice the SIRD
45. Description of working unit
46. Date wise calendar for the year 2010 so far (Progress Report)

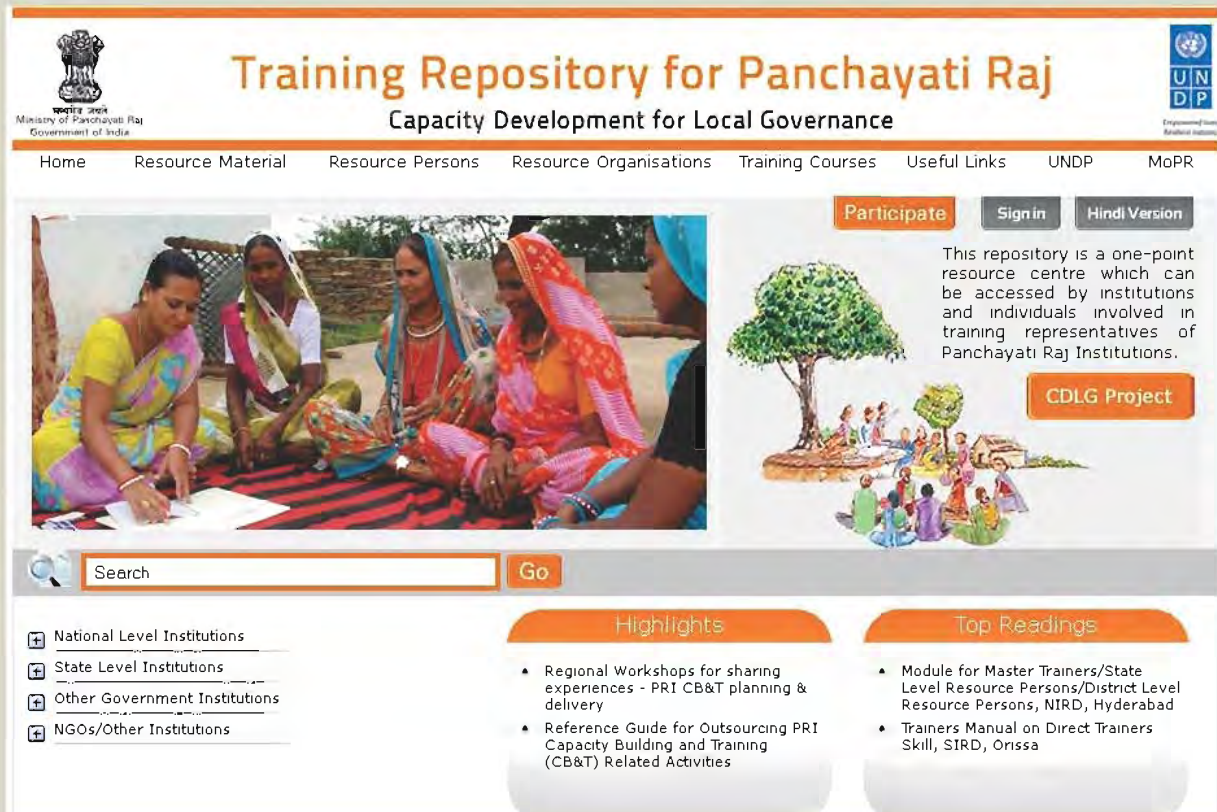
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58. Assessment of state-level capacities: To implement the National Building Framework (NCBF) (Annexure 1)
59. Draft PRI Capacity Development Vision Statement ( Annexure 2)
60. Assessment of the State Capacities for implementing NCBF and the proposed Strategy for Building Capacities of PRIs (Annexure 3)
61. Key Steps and Contents for state CA and Strategy Planning for CB (MP) and proposed dates
62. Quantitative data required
63. Strategic Plan for Building Capacities of PRIs in (state name)
64. Key decisions in strategic planning and capacity assessment for PRI-CB&T in India
65. Training Guidelines—2010
66. List of various self-help organizations (NGOs) (Hindi/translated)
67. Six days directing training of Janpad members from 05.04.2010 to 10.04.2010 (Hindi/translated)
68. Gram Panchayat training directions for the training of Gram Panchayat 2010, MP Government
69. Course material 2010
70. Amount allocated for training purposes from the annual year 2007–08 to 2010–11 71. (Hindi/ translated)
71. Organization structure, WALMI (English)
72. Annual Report, WALMI, 2007–08 (Hindi/translated)
73. Authorities to Gram Sabha by the various departments under Panchayat and Gram Swaraj in Madhya Pradesh (Hindi/translated)
74. Abstract and expanded details of training 2010 (English)



# TRAINING REPOSITORY FOR PANCHAYATI RAJ

Capacity Development for Local Governance

<http://www.pri-resources.in>



The screenshot shows the website's header with the Government of India logo and the UNDP logo. The main title is "Training Repository for Panchayati Raj" with the subtitle "Capacity Development for Local Governance". A navigation menu includes Home, Resource Material, Resource Persons, Resource Organisations, Training Courses, Useful Links, UNDP, and MoPR. Below the menu is a search bar with a "Go" button. The main content area features a large image of women in saris sitting on a mat and looking at documents. To the right of the image is a "Participate" button, a "Sign in" button, and a "Hindi Version" button. Below these buttons is a paragraph of text: "This repository is a one-point resource centre which can be accessed by institutions and individuals involved in training representatives of Panchayati Raj Institutions." Below the text is a "CDLG Project" button and an illustration of a tree with people sitting around it. Below the main content area are two columns: "Highlights" and "Top Readings".

**Participate** **Sign in** **Hindi Version**

This repository is a one-point resource centre which can be accessed by institutions and individuals involved in training representatives of Panchayati Raj Institutions.

**CDLG Project**

Search  **Go**

**Highlights**

- Regional Workshops for sharing experiences - PRI CB&T planning & delivery
- Reference Guide for Outsourcing PRI Capacity Building and Training (CB&T) Related Activities

**Top Readings**

- Module for Master Trainers/State Level Resource Persons/District Level Resource Persons, NIRD, Hyderabad
- Trainers Manual on Direct Trainers Skill, SIRD, Orissa

The repository is an online resource centre to facilitate sharing and use of information and resources developed by various government and non-government agencies to help build capacities of the elected representatives and functionaries associated with the Panchayati Raj Institutions (PRIs) in the country. It has databases related to training materials, resource persons, academic programmes, and other useful links

**Ministry of Panchayati Raj**  
**Government of India**

**Developed under the MoPR-UNDP Capacity Development for Local Governance (CDLG) Project.**