

**Local Governance:**  
**4. Local Planning**



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**May 2016**



**Pinarayi Vijayan**  
Chief Minister

## **Message**

It is with immense pleasure I came to know that KILA is publishing handbooks on decentralisation in English language also. No doubt, Kerala Decentralisation has become another model to emulate. I hope that these six handbooks brought out by KILA deal with various subjects which give insights in the Local Developments and Decentralised Planning. The number of Elected Representative and Officials visiting Kerala to understand Kerala's ambitious Decentralisation programmes is increasing annually. I am sure that these handbooks would be of much help to those people who come from far and wide.

I heartily congratulate KILA for this new venture.

Lovingly,  
**Pinarayi Vijayan**



**Dr. K.T. Jaleel**  
Minister for Local Self Government

## **Message**

Local Governance system enables the government to understand the issues and concerns of the public through its various modes that has been developed as part of Decentralised Planning. The elected representatives must have the awareness that in a democracy, citizens are the supreme authority in decision making. The Elected Members have to play a pivotal role to fulfil their responsibility to the people. Democratic Decentralisation is the means to attain such an end. Each and every member must have the awareness on various aspects of Decentralisation. KILA by organising foundation courses to all newly elected representatives with the sole aim of strengthen the capacity of Elected Representatives. This six set of hand books have been prepared with this end in view. I am sure that these hand books serve the purpose of reference books also. As there is great demand from representative and officials from outside the state to study the Kerala model of decentralization, these books will also help them a lot to understand Kerala model Decentralisation.

I heartily congratulate KILA for having brought out this for capacitating the Elected Representatives in stipulated time.

Lovingly,  
**K T Jaleel**



**Dr. P.P. Balan**  
Director, KILA

## **Foreword**

The contribution of Kerala to the Local Self Governance system is very important. The onus of this, for next five years is on the newly elected representatives. The representation should be able to make new steps able to make new steps holding the achievement of previous years. The union and state governments use limited power in matters of urgent importance and direct impact on people. But the local government has the responsibility to establish local development and social justice.

In spite of the Kerala model of decentralization being well acclaimed, it is not free from the inefficiencies in the local administrative processes. This points towards a requirement of law-administration and technological skills to be acquired along the new administrative process of decentralization. KILA provides intensive training on these subjects regarding local self-governance from first phase onwards. KILA tries thus to develop the skills and efficiency in the activities for the welfare of the people. The collection of hand books titled Local Governance gives basic idea on these subjects. These handbooks have been prepared through the different levels of deliberations and activities with subject experts and stakeholder. I appreciate Assistant Professor Dr.J.B.Rajan, Associate Professor Dr. Peter M. Raj, and Professor Dr. Sunny George for the academic leadership provided. I also appreciate KILA extension faculty members, Sri. K. Gopalakrishnan, Sri. C. Radhakrishan, Sri. K.V. Anilkumar, Sri. N.P. Venugopal, Sri. Devarajan, Sri. Prathap Singh, Sri.P.K. Jayadevan, Mrs. Geethanjali, Miss. Akhila for the content editing and Sri Siraj Meenatheri for the Logistics help.

**Dr. P.P. Balan**



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## Chapter 1

### Local Planning

#### 1.1 History

Discussion on planning in India started in the Nineteen Thirties. The world depression occurred during this period, leading to the discussion on a new economic perspective in the world. It is on this background after independence, the discussion on planning got its importance in India. The first Five Year Plan in 1951 initiated the process of planning in India. The process that involves identification of issues, determining objectives, suggesting solutions and on the basis of which preparing projects and activities for implementation on a time bound manner is called planning. Planning is essential to determine the direction of development and make it effective.

Centralised planning methodology was followed in India till the completion of 8<sup>th</sup> five year plan (1992-1997). The sector - wise programmes prepared on development were implemented through various departments. Although we could achieve growth and development in the country, some of the basic issues, especially those related to local problems were not addressed. This points out to the limitations of centralised planning (Box 1.1).

#### **Box 1.1: Centralised Planning Method: Limitations**

- Concentration of power at the centre.
- Lack of Transparency
- Lack of People's Participation
- Local issues are not considered.
- Locally available Human and Natural Resources were not effectively used in unified schemes.
- Schemes had no comprehensiveness and not integrated with other schemes
- Type designed schemes were prepared
- Lack of effective management efficiency and responsibility
- Delay, cumbersome processes, leakage of resources (including corruption)
- Lack of effective monitoring
- Bureaucratic approach and Departmentalism. Bureaucratic dominance.

Even from the very beginning of first Five Year Plan 1951-1956, discussion on decentralized, District and Local level planning and various committees put forward suggestions at the national level (Box 1.2)

<b>Box 1.2: Decentralisation of Power– National Level Initiatives</b>		
Year	Name of Committees & Reports	Thoughts and Ideas
First Five Year Plan 1951-56	Community Development Blocks	Planning at four levels – National, State, District and Local Level
Second Five Year Plan 1956-61	District Development Councils	Prepare village level plans with the participation of people and make it part of national level plan
1957	Belwantha Rai Meheta Committee Report 1958	<ul style="list-style-type: none"> <li>• Three tier Local Administration at Grama, Block, District level. Grama Panchayat at Village level, Panchayat Samithi at Block level and Zilla Parishad at District level</li> <li>• Formation of Panchayat Committees at all level with Elected Representatives</li> <li>• Improve the co-operative sector with a view to mobilizing resources</li> </ul>
1969	Planning Commission	<ul style="list-style-type: none"> <li>• District Plan and suggestions for the preparation of District plan.</li> </ul>
1977	Asok Metha Committee	<ul style="list-style-type: none"> <li>• Suggestions for the improvement of Panchayati Raj System</li> </ul>
1978	Prof. M.L. Dantawala	<ul style="list-style-type: none"> <li>• Suggestions for Block-level planning. The Blocks shall function as a link between District and Villages.</li> </ul>
1983-84	Centrally Sponsored Schemes/Reserve Bank of India	<ul style="list-style-type: none"> <li>• Suggestions for District Plan</li> <li>• Concept of Potential Linked-Credit Plan</li> </ul>
1984	Hanumantha Rao Committee	<ul style="list-style-type: none"> <li>• Decentralisation functions, funds and freedom (power)</li> <li>• Constitute District planning Committee and District planning cell</li> </ul>
1985	G.V.K. Rao Committee	<ul style="list-style-type: none"> <li>• Suggestion for involvement in administration for village development</li> </ul>
<ul style="list-style-type: none"> <li>• Source: Planning Committee Report 2007</li> </ul>		

## 1.2 73<sup>rd</sup> and 74<sup>th</sup> Amendments in the Indian Constitution

On account of diversity in the social set up in India, it has been viewed that effective administration and proper development are not possible without decentralization. As the first initiative of Panchayat Raj system, Rajeev Gandhi Ministry, introduced 64<sup>th</sup> and 65<sup>th</sup> Constitutional amendments in the Parliament on 15<sup>th</sup> May 1989, but it failed and did not come into effect. Later in 1992 the 73<sup>rd</sup> and 74<sup>th</sup> amendments were passed by Parliament and it came in force in 1993. This epoch making enactment has not only brought constitutional backing to the local self government institutions, but they also received the right and freedom to prepare plans and implement schemes for local economic development and social justice.

### 1.3 Local Level Planning in Kerala - Features

Decentralisation in Kerala began with the preparation and implementation of plans through the Panchayati Raj Institutions under '*Janakeeyasoothranam*' (Peoples Plan Campaign). For the Ninth Five Year Plan ((1997-2002) Government issued an order (G.O (MS) No.10/96/plg.; dt. 30-7-1996) explaining the idea of people's plan campaign and that paved the way for participatory planning. It involved people from different walks of life in decentralised planning process.

Thus the ideas and core aspects of decentralized planning could be brought to the society as a whole. With this people's movement, an improvement in the managerial and administrative capacity of people's representatives and officials was achieved.

In order to achieve this goal, a massive training programme was conducted. The Local self government Institutions were empowered to handle and utilize effectively the funds, functions and functionaries that got transferred from State government for implementing developmental activities and administering Panchayat Raj System. The Peoples planning that introduced decentralized planning and implementation methodology has the following features:

#### (i) People's Participation in Planning

The Grama/Ward Sabha (a collective of all the registered voters in a constituency) is empowered to recommend developmental activities to be done in a particular place. (Kerala Panchayat Raj Act section 3(A),(b) and Kerala Municipalities Act Section 45 (b)). The suggestions of Grama/Ward Sabha shall be considered by the Local Self government while preparing plans. Similarly the Grama/Ward Sabhas

have the right to monitor and audit the developmental and administrative activities in the area. Development plans shall be prepared with the full involvement of working groups formulated with the participation of people from different sections. Active involvement of people is made possible through the Grama Sabha/ Ward Sabha/ Ward Committee, Working group, Development Seminar, discussions with different sections of people etc.

**(ii) Priority to Local Issues**

Local needs are given priority in the Local plans by ensuring the people's participation in the planning process.

**(iii) Local Level Development Approach**

The central plans are prepared with international/national perspective. Under Local Planning, the Local government can prepare plans taking into consideration the local development perspective.

**(iv) Sevagram Gram Kendras/Ward Kendras – Community Plan**

Each local body is a development unit under local level planning. Each ward under the local body is a sub-unit of development. Plan proposals shall be prepared under each neighbourhood level having 50-100 families at the ward level. The plan proposals so proposed from bottom level are consolidated to form the Community Plan.

**(v) Effective utilization of locally available human and natural resources**

The working groups consisting of members having good knowledge about the locality, each sections, local human and natural resources are performing the main role in the local level planning methodology. As a result, the locally available human and natural resources can be effectively utilized.

**(vi) Due Importance to backward people and backward regions**

The backwardness of people and the level of development required to each section of society and the different local areas can be analysed and understood under local

planning. Accordingly the fruits of development can be distributed to all sections of people and areas in a just and propertunate manner.

**(vii) Integration of plans made possible**

Under centralized planning the plan is prepared on a development sector-wise method by the different departments. Here plan integration may not be considered. Under the decentralized planning model, complementarity of activities, the forward and backward linkages of various projects are taken into consideration and subject-wise and agency-wise activities can be integrated. Through the integration of projects, the effective and economic utilization of resources are made possible.

**(viii) Effectiveness and Efficiency**

Lack of efficiency and effectiveness is the draw-back of centralized planning system. There is close relationship and dealings between the people and the administrators under the local administration system. When the possibilities of direct democracies are in practice, in the place of representative democracy, the effectiveness and efficiency of administrative and developmental activities will be increased.

**1.4 Participatory Planning - Importance**

The method of planning with the involvement of people is called participatory planning. Through participatory planning, the local planning becomes more creative. When the various planning processes are carried out with the involvement of people, the planning activity becomes more meaningful and effective. This is the most positive aspect of local level planning. This will also help to reduce the gap between planners and beneficiaries. Over and above this, it will enable the people to actually participate in the developmental activities with a sense of ownership. The deviation from centralized planning method to the decentralized planning method will make planning successful with the involvement of people.

**Participatory Planning – Positive Aspects**

Decentralised Planning and administration is resorted to overcome the drawbacks and limitations of centralized planning and make available the benefits and achievements of local administration to the people. Under decentralization the people are more involved in planning and developmental activities. The features of planning with the involvement of people are given in Box.(1.3).

### **Box. 1.3: Participatory Planning – Important Features**

- Planning according to the diversity of local issues.
- More detailed and fact based analysis of issues and situations
- The availability and scarcity of resources can be determined at the beginning of planning process and thereby suitable steps can be taken accordingly.
- Transparency can be ensured at all level.
- As the people take part in the planning process, a sense of ownership is felt among them.
- More effective and efficient implementation of plan
- The possibility of resource drain checked.



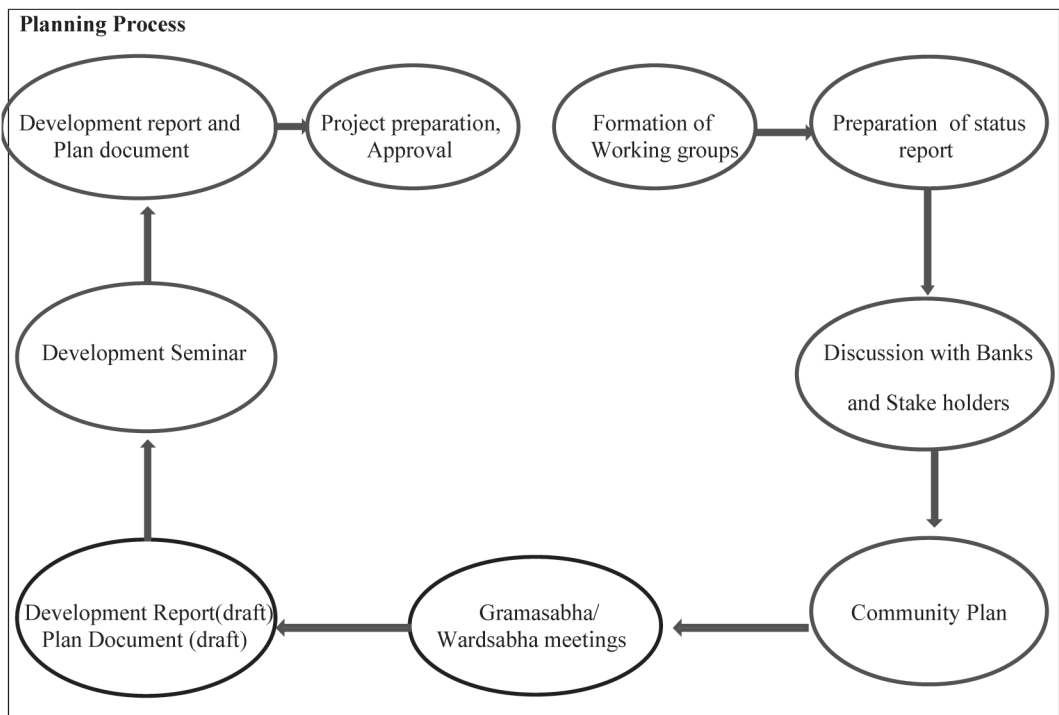
## Chapter 2

### Participatory Planning

#### 2.1 Methodology of Participatory Planning

An important feature of people's planning is its participatory planning process. The steps and processes of participatory planning methodology are followed since the beginning of Ninth Five Year Plan (1997-2002). (The cyclical process of participatory planning is shown in chart 2.1)

Chart 2.1 Participatory planning process



## 2.2. Formulation of Local Plan – Procedure

According to the 12<sup>th</sup> Five Year Plan (2012-2017) guideline (Go (ms) no.362/2013/LSGD/ dt 16-11-2013) the following is the process and procedure to be followed in the preparation of plan.

### 2.2.1 Formation of Working Groups

Working groups have a crucial role to play in the formulation of plan under participatory planning. (A detailed explanation on working groups is given in chapter III.)

### 2.2.2. Preparation of Status Reports

In order to prepare Five Year Plan and Annual Plan, it is necessary to analyse the status of all sectors and prepare Status Reports. It is the responsibility of the working groups to prepare status reports. (Details are given in chapter IV) Along with the preparation of Status Reports, each working group shall determine the requirement of each sector and propose draft project proposals on the basis of scientific analysis and studies on the scope of development possibilities.

Before presenting the draft project proposals and status reports in the Grama/Ward Sabha, efforts should be made to make it better through the following discussions:

#### (i). Discussion with Banks

In order to mobilise loans from banks for projects, a discussion with bank authorities concerned shall be made, for which a meeting is to be convened.

#### (ii) Discussion with Stakeholders

Each working group shall convene a meeting of stakeholders of each sector and hold discussion on the status report prepared. (See. Box 2.1)

#### **Box 2.1: Who are Stakeholders?**

Those with a general interest in any subject/sector are called stakeholders. It can be a person, an organization, direct or indirect beneficiaries, long experienced knowledgeable person, persons with technical knowledge, voluntary workers etc.

Those who can be involved in the stakeholder discussion.

Padasekara Samithi, PTAs, Hospital Management Committees, Service Organisations, Labour Organisations, Commercial Organisations, Voluntary Organisations, Residential Associations, Persons with technical knowhow and experience other CBOs

### 2.2.3 Community Plan

As part of micro level planning, suggestions from Ayalsabhas shall be called for and the Ward Development Committee shall consolidate those suggestions and prepare ward level community plan. These type of ward level community plans have to be taken into account while preparing the needs of the community and draft project proposals.

### 2.2.4 Grama Sabha/Ward Sabha Meetings

Grama/Ward Sabha is the platform of the people to raise/suggest their needs, issues, defects of programmes already implemented and determining the priority of development activities. The Grama/Ward Sabha convened for this purpose is called planning Grama Sabha/Ward Sabha. On the basis of discussion on status report in the Grama/Ward sabha, the priority of programmes to be taken up. The Grama Sabha shall decide upon the draft project proposals of the Working Group and prepare the plan in accordance with that. (See Box 2.2.)

<b>Grama Sabha/Ward Sabha- Details to be presented: 2.2</b>
<ul style="list-style-type: none"><li>• Project-wise plan outlay and expenditure details of previous year and the progress of achievements.</li><li>• The proposed plan resources and the sources of funds for the plan.</li><li>• The proposed outlay against each development sector.</li><li>• Draft project proposals (In the form as prescribed in the plan guideline)</li><li>• Status Reports</li></ul>
<b>Activities to be done in the Grama/Ward Sabha:</b>
<ul style="list-style-type: none"><li>• Working group-wise Group discussion</li><li>• Priority shall be determined after discussing project proposals.</li><li>• Minutes and decisions shall be recorded in the meeting itself and the decisions shall be read out.</li><li>• One woman and a man shall be selected from each subject group to represent in the development seminar. This shall be read out in the plenary session.</li></ul>

### **2.2.5 Development Report and Plan Document (Draft Preparation)**

- The Status Reports presented in the Grama Sabha/WardSabha shall be finalized incorporating the suggestions of GramaSabha/Ward Sabha.
- The Status Reports so finalized shall be consolidated and a draft Development Report and Draft Plan Document shall be made. (Details are given in chapter 5.)

### **2.2.6 Development Seminar**

A one day Development Seminar is to be conducted at the local government level with a view to receive the suggestions and ideas from the discussions in the seminar. (Details are given in chapter 5.)

### **2.2.7 Plan Finalization**

The following steps are to be followed in the finalization of plan:

1. The Finance Standing Committee, shall take a decision on the outlay to be earmarked for each sector mandatory provisions, compensatory outlay (if needed), expected sources of funds, total plan outlay etc .
2. The Standing Committees shall take a decision on the projects in each sector that are likely to be included in the plan.
3. Give final shape to the plan in the Steering Committee meeting.
4. The Panchayat/Municipal Council shall take the final decision on the total plan outlay and the outlay earmarked to each sector.

### **2.2.8. Preparation of Projects**

Each Standing Committee shall convene the meeting of all the Working Groups that come under their purview and direct them to prepare detailed projects. This shall be on the basis of the decision taken in the local body meeting. (All sources of project funds for each project, total outlay etc). Only those project proposals that are suggested by the Grama Sabha/Ward Sabha(the details of project formulation are given in chapter 6) need be considered.

### **2.2.9 Project Vetting and Approval**

All the projects prepared shall get approval from the following authorities.

1. Approval from the higher Officer of the Officer who prepared the project.
2. Approval from the Standing Committee.
3. Approval from the local government. (Details of project and plan approval are given in chapter 8)

#### **2.2.10. Approval of Plan by the Local Body**

The Local Body while giving approval to the projects shall approve the plan document also. Approval shall be given at least 3 days after these documents are presented in the local body committee meeting.

#### **2.2.11. Approval of Plan by the District Planning Committee**

The plan approved by the local body shall be submitted to the District Planning Committee. It will be scrutinized in the DPC Secretariat (District Planning Office) and ensured that the plan and projects are prepared in accordance with the plan guidelines and rules. Thus the plan will be approved by the DPC.

#### **2.2.12. Project Implementation**

The responsibility to implement the projects is vested with the Implementing Officers concerned. Projects that got financial sanction and in some cases technical sanction and those approved by DPC can be implemented. (See chapter 8 for details). Copy of projects and DPC approval details shall be given to the Implementing Officer by the Local Body Secretary, putting his signature on the project.



## Chapter 3

### Working Groups

#### 3.1 What is a Working Group?

Working Groups are planning committees of the Local Government. It is a group consisting of different sections of people like people's representatives, officials, voluntary workers, people with technical knowhow etc. Separate Working Groups shall be formed for each development sector for plan formulation. Working Groups shall be formed following the guidelines issued by government for plan formulation. The details of the Working Groups to be formed as per 12<sup>th</sup> plan guideline(GO(ms) no. 362/13/LSGD dt 16-11-2013) are given in box 3.1.

#### **Box 3.1 Working groups to be formed in Local Self Government Institutions**

- Preparation of Statistical and Account details
- Agriculture and Allied sectors (including soil and water conservation, Irrigation, Environment, afforestation)
- Animal Husbandry and Dairy Development
- Small Scale Industries
- Public Works ( including Energy, Electricity)
- Poverty Reduction (including Housing)
- Social Welfare (including the welfare of the aged, physically and mentally challenged)
- Scheduled Caste Development.
- Development of Women & Children.
- Health
- Drinking Water, Sanitation, (including Waste disposal)
- Education, Culture, Sports, Youth Welfare.
- Scheduled Tribe development (If only funds under TSP is received)
- Fisheries Development (Local Bodies having fishing villages)

Details of Working Groups to be formed in rural local governments and urban local governments are given separately in Annexure 1 and 2 respectively.

Note. If there is a fisheries official within the jurisdiction of the local body, then a separate Working Group for fishing sector can be formed making the fisheries official as Convener. If there is no fisheries official, the subject 'Fishing' can also be included under the Working Group for Agriculture and Allied Sectors.

### 3.2 Why Working Groups?

Working Group is the platform of the public to involve in the planning process of the local body. Working Groups are meant for preparing plans and projects by consolidating the different views of the public, especially the five groups- People's representative official, local experts, voluntary activist and the beneficiaries. A unanimous opinion of different ideas and views can be derived from this sort of group of people. In the case of Grama Panchayat the working group is formed by nomination from each ward development council (ward vikasana samithi) Each ward vikasana samithi should nominate one member each to every working group of the Grama Panchayat. In Block and District Panchayats, working group is constituted with the members nominated by the Grama/Block Panchayats from their working groups. Also experts and marginalised group representation should be there Grama/Block Panchayats should give the list to Block/District Panchayat in annexure 2 (1) of Go (MS) 4/16 dtd: 10.1.2016 (plan guide line).

In the case of Municipality/Corporation a sub committee of working group should be formed from among the members nominated by each ward sabha/ward committee.

The composition of Working Group are given in box 3.2

<b>Box 3.2: Structure of Working Group</b>	
Chair Person	: People's representative
Vice Chair Person	: An expert of the development sector (other than official elected member)
Convener	: Senior Official of the department/Office concerned
Members	: Model Practitioners, Professionals, Academic experts, Interested voluntary activists, SC promoters, ST promoters, other officials from the development sector



### **3.3 Duties and Functions of Working Groups**

The main function of the Working Group is to scientifically analyse the situation of the sector concerned and prepare the plan accordingly. In order to do this, the Working Group has to do the following things.

1. Collect the details like the name, the amount set apart and spent against each project implemented last year.
2. Prepare a report on the implementation of projects last year
3. Collect the statistics required for the preparation of status reports (Primary and Secondary)
4. Analyse the activities of various other agencies.
5. The issues, the needs and the development gap identified in a development sector shall be assessed and included in the status report.
6. Prepare a Chart showing simplicity and the severity of issues.
7. Prepare the development approach, the development policy and development strategy.
8. Arrive at the likely availability of funds from different sources and draft project suggestions.
9. Consultation with other Working Groups shall be made and the scope for integration of projects of different sectors shall be analyzed.
10. Prepare draft status report and project suggestions and submit it to the Standing Committee concerned.
11. Participate in the development seminar, Stakeholder consultations Grama/Ward Sabha meetings and make a lead role in the discussions.
12. Make enquiries and collect statistics so as to enable preparation of projects.
13. Consolidate the suggestions from Ayal Sabha, Ward Development Committee, Grama Sabha/Ward Sabha, Development Seminar etc , and accordingly finalise the Status Report and submit to the sub-committee.
14. Prepare Projects.
15. Function as Monitoring Committees.

### **3.4 Constituting Working Groups**

The first step of plan formulation is the constitution of Working Groups. Representation to various sections (Peoples representatives, Officials, Experts, Voluntary activist etc) and their involvement is to be ensured and the structure of Working Group is designed accordingly (See Annexures 1, 2 for details).

#### **i. Nomination of Members to Working Group by Ward Vikasana Samithies**

Every ward vikasana samithi should nominate one member each to the working group. In Grama Panchayat, 13 to 23 members will be nominated to a working group. Apart from the nominated members, representation to SC, ST other weaker section also should be provided. In Municipality & Corporation since the number of members nominated will be large, a sub group of the working group as contemplated in Para 6.2.3. of Go (MS) 4/16 dtd: 10.1.2016 will be constituted. This list will be submitted to the Municipal council.

#### **ii. Working Group Formation**

The board meeting will approve the list submitted by the Secretary. The name of each working group members approved by the board meeting shall be:

- issued as a proceedings by the secretary
- intimated to all the members
- published on the notice boards of local body and the transferred institutions.
- submitted to the DPC every year along with the annual plan for approval.

#### **iii. Chair Persons and Conveners**

- A. The Chairperson of a Working Group shall be a member of the Standing Committee concerned other than its Chairperson. If sufficient number of members are not available in a Standing Committee, then only a member from other standing committee can be made chairperson.
- B. The Chairperson of the Working Group for Woman and Child Development shall be a woman Elected Representative. Similarly, Chairpersons of Scheduled Caste Development, Scheduled Tribe Development shall be respectively Elected Representatives of such communities.

- C. The convener of the working group shall be the senior among the officers under the control of the local body, in the particular development sector.

**iv. Members to be nominated/can be nominated to the Working Groups by the ward vikasana samithies**

- A. Those who engage in model activities (farmers, businessmen, entrepreneurs etc) Practitioners, Professionals, experts in the respective sectors, representatives from educational/academic institutions etc shall be included as members of the Working Groups.
- B. Representatives of banks, forest officer (if the local body has forest areas in their jurisdictions), members of forest protection committees, representatives of eco-development committees etc shall also be included in the respective Working Groups.
- C. All the SC/ST promoters, Kudumbasree CDS members, Saksharatha Preraks, 3 members from Asha workers etc shall be included in the respective Working Groups.
- D. The Grama Panchayat & Block Panchayats should nominate one member each from thier working group to represent in the working group of Block/District Panchayat respectively.
- E. Scheduled Tribe persons, on the ratio of the Scheduled Tribe Population, shall be made members of the Working Group for Scheduled Tribe Development.
- F. One third of the members shall be women in each Working Group.
- G. People who are from outside the jurisdiction of the local body can be made members of the Working Group, if they are willing.

**v. Standing Committees and Working Groups**

- A. The responsibility of consolidating the activities of the Working Groups under a particular Standing Committee shall be vested with the chairman of that Standing Committee.
- B. The Chairperson/Convener of working groups shall be as per the Annexure I/II.

### **3.5 The Role of Standing Committees**

The Standing Committees have a crucial role to play in making the working group active and more effective. The responsibility of making the working group functional is shared among the Standing Committees. As per the 12<sup>th</sup> plan guidelines the details of working groups that come under the responsibility of each Standing Committee are furnished in annexure I and II.

### **3.6 The First General Body meeting of the Working Groups – Agenda**

- A. The President/Chairperson of the local body shall present a report(midterm) of the plan activities in the first general meetings of the working groups.
- B. The Development Standing Committee chair person shall present a report on the development policy, policy approach, and priorities followed in the plan.
- C. In the first general meeting, each working group discusses on how to prepare status report, draft project proposals and then arrive at a future plan for further continued activities.

### **3.7 Working Group Meeting**

- A. The Convener, after discussion with the Chairperson, shall convene the meeting as and when required.
- B. The Convener will record the minutes and attendance of the meeting and keep them under his custody.
- C. The quorum of the meeting will be 1/3 of the total members including the compulsory presence of the Chairman and Convener.

## Chapter 4

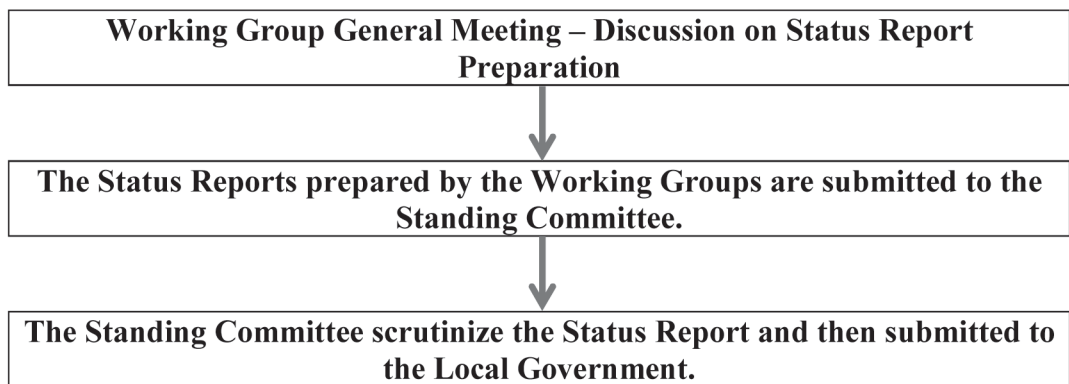
### Status Report

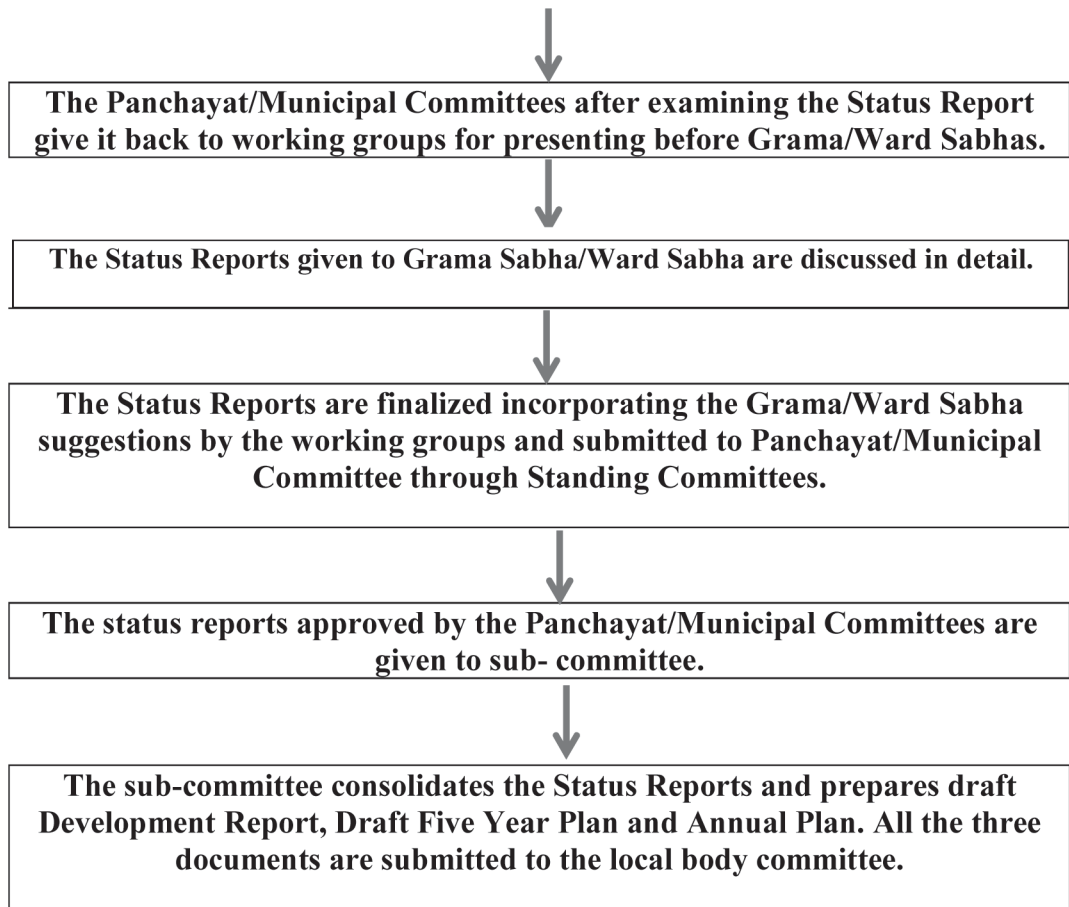
#### 4.1 What is a Status Report?

It is a factual and statistical analysis of the present situation of each development sector. This Status Report prepared by the Working Groups for each sector is highly necessary for plan formulation. Along with the detailed analysis of the present situation, issues, development required, scope for further development etc; the report will also contain details of projects now being implemented, their drawbacks, achievements etc. All these things will give a clear picture about the development gap, the scope for development and issues to be tackled. On the basis of this status report, the draft project proposals are prepared.

- Each Working Group shall prepare a status report for the Five Year Plan and submit to the local body so as to enable it present in the Grama Sabha/Ward Sabha meetings. (See chart 4.1)
- A copy of the status report of the Grama Panchayats shall be given to the Block Panchayat and the Block Panchayats to the District Panchayat.

#### Chart 4.1 STAGES OF PREPARATION OF STATUS REPORT





The structure of the sub-committee, which prepares the Development Report and plan document is as follows:

Chairperson	: President/Chairperson/Mayor
Convener	: Secretary
Joint Convener	: Plan Coordinator
Members	: Working group Chair persons and Conveners

### **1.1 Status Report- Structure, Content**

There are two sections/parts to a Status Report. Part one deals with the present position and in part two, draft project proposals are given.

## Part I: Situation Analysis

	<b>Chapter</b>	<b>Subject to be Included</b>
1	Present position of the sector	It shall be prepared with less explanation, but on the basis of statistics and with necessary tables.
2	Details of Projects Implemented during previous years	Detail of projects implemented year wise during a five year plan shall be prepared in prescribed form
3	Details of projects being implemented during current year	It shall be prepared in the prescribed form.
4	Projects that achieved the physical target and the reasons	Projects already implemented and benefits that could be derived shall be listed and against which the reasons for successful completion shall be noted.
5	Projects that could not be successfully implemented and the reasons.	Projects already implemented but could not yield expected results shall be listed and the reasons shall be noted against each projects.
6	Projects that could not be Implemented	Projects approved but could not be implemented shall be listed and the reasons shall be noted against them.
7	Programmes of Agencies/Departments	The projects being implemented by various departments and agencies shall be listed and the details like, target, activities, beneficiaries, benefits, achieved etc shall be noted against the projects.
8	Utility/Usefulness of Assets	A table incorporating the details of assets created shall be prepared (movable and immovable). The present position, usefulness, upkeep and maintenance etc shall be noted against each asset.
9	Works could not be completed	The details of projects against which money spent by local body but could not be completed fully shall be listed.
10	Analysis of Issues and Scope of remedial measures	It shall be prepared in the form prescribed.
11	Policy approach, Development view and Development strategy	The Sectoral development policy, strategy and policy approaches shall be prepared in a tabular form.
12	Comprehensive programmes	The working groups shall in consultation with other working groups, prepare comprehensive development programmes for the sector. The copies of which shall be given to other working groups. (Programme is not a project. Draft project proposals have to be prepared on the basis of a comprehensive programme.)
13	Resource Mobilisation	The details of locally available human and natural resources, how these resources can be used for solving issues, more over the expected sources of funds etc are to be tabulated and recorded.

## **4.2 Status Reports and Statistical Details**

Status Report shall be prepared only on the basis of statistical details, Census data, Panchayat level statistics (published by Economics and Statistics Department) ICDS survey reports, data available with other departments (eg. Agricultural Officer). Details of annual plan available through computer software etc. shall be used.

## **PART II - DRAFT PROJECT PROPOSALS**

Draft Project proposals shall be prepared in the proforma given in Annexure 3.

### **4.3 Finalisation of Project Proposals and Status Reports**

- i. Each working group shall give final shape to status reports and project proposals after Grama Sabha/Ward Sabha meeting.
- ii. The working groups of Block Panchayats and District Panchayat shall finalise their status reports and draft project proposals only after considering the status reports and project proposals received from lower tiers.

(This is not applicable to urban local bodies).



## Chapter 5

### Development Report And Plan Document

#### 5.1 Preface

The plan envisages comprehensive development of the area of LSGI considering the demands of the people and the specialities of the local body. In order to achieve this goal, the local governments have to prepare their development reports and five year plan document on a long term perspective. These two documents are prepared consolidating status reports. Annual plan and projects are prepared in accordance with that. Each local body shall publish the following documents in the first year of every Five Year Plan.

- i. Development Report
- ii. Five Year Plan Document
- iii. Annual Plan Document

Among this, the Development Report and Five Year Plan Document can be published as single document. Annual plan document need be published only after the Panchayat/ Municipal Committee gives approval to it.

#### 5.2 Development Report

The general Development approach, the sectoral development perspective and the present development situations are highlighted in the development report. This document need to be prepared only once in a Five Year Plan. The method of preparation are:-

- Each Local Body shall prepare a development report for the five year plan having the content and chapters as given in annexure 4.
- The development report is to be prepared by the sub-committee. (See Chapter 4) The sub-committee taking relevant extracts from the status reports finalized by the working groups and prepares the draft development reports.

- The development report and draft plan prepared shall be presented at the development seminar and finalized after detailed discussions.
- The draft development report so finalized shall be printed and copies given to DPC, lower and higher tier local bodies, various institutions, libraries, important organisations etc.
- The draft development report shall be made defect proof on the basis of questions given in box 5.1.

#### **Box 5.1: Questions**

- Whether the general development vision and the Sectoral development vision are having a long term development perspective and mutually and logically suitable?
- Whether the policy approach is in conformity with the development vision?
- Whether the development strategy is suitable for solving issues and problems?
- Whether the projects are in conformity with the vision, policy approach, priority criteria and the development strategy?
- Whether the priority is determined on the basis of clear cut criterions?
- Whether the possibilities of Integration, consolidation are utilized?
- Whether the projects prepared are as per guideline, efficient and practical?
- Whether any effort has been taken for remedying the defects of previous projects?

### **5.3 Five Year Plan Document**

A Five Year Plan document has to be prepared by each local body for the Five Year Plan period. A Five Year Plan document should have three parts as shown below.

#### **Part I: Priorities and perspective development vision**

The perspective development vision and priorities of each sector of the local government have to be prepared as per form no. 5.1 given below. In order to enable registering the details in form 5.1, each working group has to write the perspective development vision

and priorities in form No. 5.2. The details given in form no 5.2 can be included in the status report also.

The perspective development vision and priorities of the local body have to be recorded in form no. 5.1 after considering and consolidating details given in form no. 5.2.

**Form 5.1: Perspective Development Vision and Priorities**

Name of Local Body	
Name of Development Sector/Section	
Perspective development vision	1 2 3 4
Priorities	1 2 3 4

\* This is to be prepared by the sub-committee of the local body.

**Form 5.2 Policy approach and priorities: Development Sector wise\***

1	Name of Development Sector/section:	
2	Important Issues and Requirements of the Sector	1 2 3 4
3	Policy-approach	1 2 3 4
4	Development strategy	
5	Priorities	1 2 3 4

\*To be prepared by each working group.

Agriculture, Animal Husbandry, Health etc are called Development Sectors. Scheduled Caste Development, Scheduled Tribe Development, Women Development etc are meant by section.

In order to prepare the development vision, priorities of the respective sector and section, each Working Group has to consider the status report, which is prepared in accordance with what is stated in chapter 4.

**Part II: Expected Sources of Funds, Fund Allocation**

In order to realize the development expectations of the local body, sufficient funds have to be mobilized to implement projects as visualized in the development vision, development strategy etc. The funds mobilized has to be earmarked to different sectors also. When plan is prepared it is necessary to have an understanding about the sources of funds. This can be prepared in Form 5.3.

In order to assess the sources of funds, (Form 5.3) for various annual plans, 15 percent excess to the first year funds assessed can be calculated and this can be repeated for the remaining years of the five year plan and thus the total for the 5 years can be arrived at.

**Form 5.3: Expected Income Sources.....five year plan**

Year	Development Fund*	Maintenance Fund	Special Grants	World Bank Assistance	Own Fund	State Sponsored Scheme	Centrally Sponsored Scheme	Beneficiary Contribution	Loan	Voluntary Contribution	Others	Total
1	2	3	4	5	6	7	8	9	10	11	12	13
<b>Total</b>												

\*Grand Total for the five year can(plan fund) be calculated expecting 15 percent increase of funds every year to the current year outlay.

\*\*The funds budgeted by government under General sector, SCP, TSP, grant from Central Finance Commission and World Bank assistance are known as Development Fund.

Funds availability can be assessed in form no. 5.3 only by taking into account the expected sources of funds and the development vision and priorities.

### Part 3: Summary of Projects

A brief account (not with all details) of the projects (shelf of projects) that are going to be implemented during the next five years will be listed out and given in the plan document.

In the case of a project for the betterment and improvement of primary health centre will be there to be implemented during the coming years implementing each component- building purchase of instruments, compound wall etc- every year and completing it within five years. All these things will be written together and the outlay going to be set apart for all the components and the main activities will be shown against it in the form No. 5.4. The project for each year need to be prepared with all details and shown and the funds earmarked in the annual plan every year. Projects for the five years need be prepared in form no. 5.4 as detailed above.

#### Form 5.4: Five Year Plan – Shelf of Projects

Sl. No.	Development Sector/section	Name of Project	Important Activities to be implemented	Rough cost estimate
1	2	3	4	5

The draft Five Year Plan document and development report shall be printed and copies circulated in the development seminar. The Five Year Plan document development report printed together shall be finalized after taking into account the suggestions and modifications of development seminar and a copy should be given to the DPC by the Panchayat/Municipal Committee.

Both the plan document and the development report need be printed and published as a single document

#### **5.4 Annual plan Document**

- The Annual plan shall be prepared on the basis of the development report (including five year plan) approved by the local body.
- The structure, chapters etc of Annual Plan are given in annexure 5.
- The draft Annual plan shall be printed and copies distributed in the development seminar.
- The project included in the Annual plan shall be prepared in detail after the development seminar and the approval of the higher officer has to be obtained as detailed in the plan guidelines.
- On the basis of the project approved by the higher officer, the Annual Plan shall be finalized.
- The Annual plan so approved by the local body shall be submitted to the DPC and got its approval for implementations.

#### **5.5 Development Seminar**

In order to discuss and improve the draft development report and plan document, a one day development seminar is to be conducted by all the local bodies in the first year of the Five Year Plan. In the coming years in order to discuss and finalize the Annual Plan, a one day development seminar also is to be conducted every year by all the local bodies.

### **A. Box. 5.2: The Purpose of Development Seminar**

- The whole area of the local body shall be considered as a single unit of development, instead of taking each Ward/Division as a unit, and prepare the development plan.
- The plan is prepared avoiding duplication and repetition by taking in to account the possibilities of integration and consolidation
- The development approach of the plan is on a long term perspective, the priorities are rationale and the development strategy followed in each sector is suitable.
- The projects included in each sector are in accordance with the development approach, policy approach, priorities and development strategy adopted.
- When the present position issues, demands/requirements in future etc of each sector are taken into account, ensure that the projects prepared are suitable, practical, successful, effective and sustainable

### **B. Participants**

The people's representatives of Grama, Block, District Panchayats who represent the Village Panchayat area (in the case of urban local bodies, all councilors), working group members, two representatives from each subject group elected from the Grama/Ward Sabha meeting, heads of local body institutions, Implementing Officers, representative from each oorukootoms (one woman and one male person), SC/ST promoters, representatives of Area Development Society of Kudumbshree (Ward Level), Community Development Society of Kudumbashree (Local Body Level), CDS, representatives from financial institutions, representatives from cooperative societies, Asha workers, stake holders, experts, representatives from academic institutions, public activists, voluntary workers etc shall be invited to the village Panchayat level/urban local body level development seminar. The institutional representative shall be invited by the institutions concerned. The experts, public activists, voluntary workers etc shall be decided by the Local Body concerned.

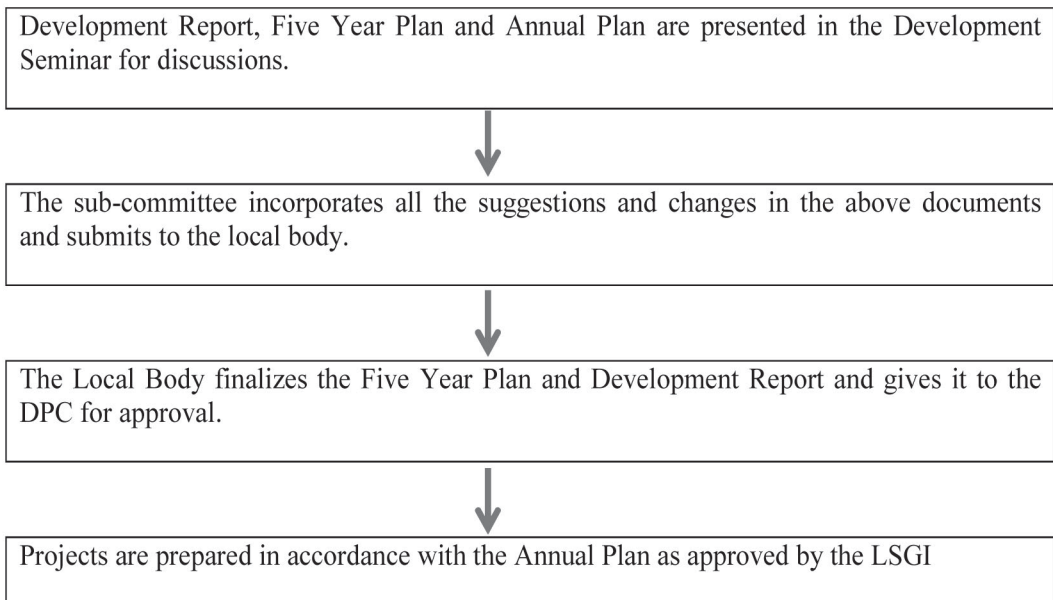
The Block Panchayats and District Panchayats also have to invite representatives as mentioned in B above.

- A. The development report prepared in accordance with the instructions in Annexure 4 and the plan document prepared as per the instructions in Annexure 5 shall be printed and distributed to all the participants in development seminar.
- B. All the suggestions made in the Grama Sabha/Ward Sabha meetings shall be reported in the development seminar.

### 5.6 Development Report, Plan Document, Projects

The process and procedures to be followed in the preparation of development report, Five Year Plan, Annual Plan and projects are given in chart 5.1.

#### Chart 5.1: Development Report, Five Year Plan, Annual Plan and Projects

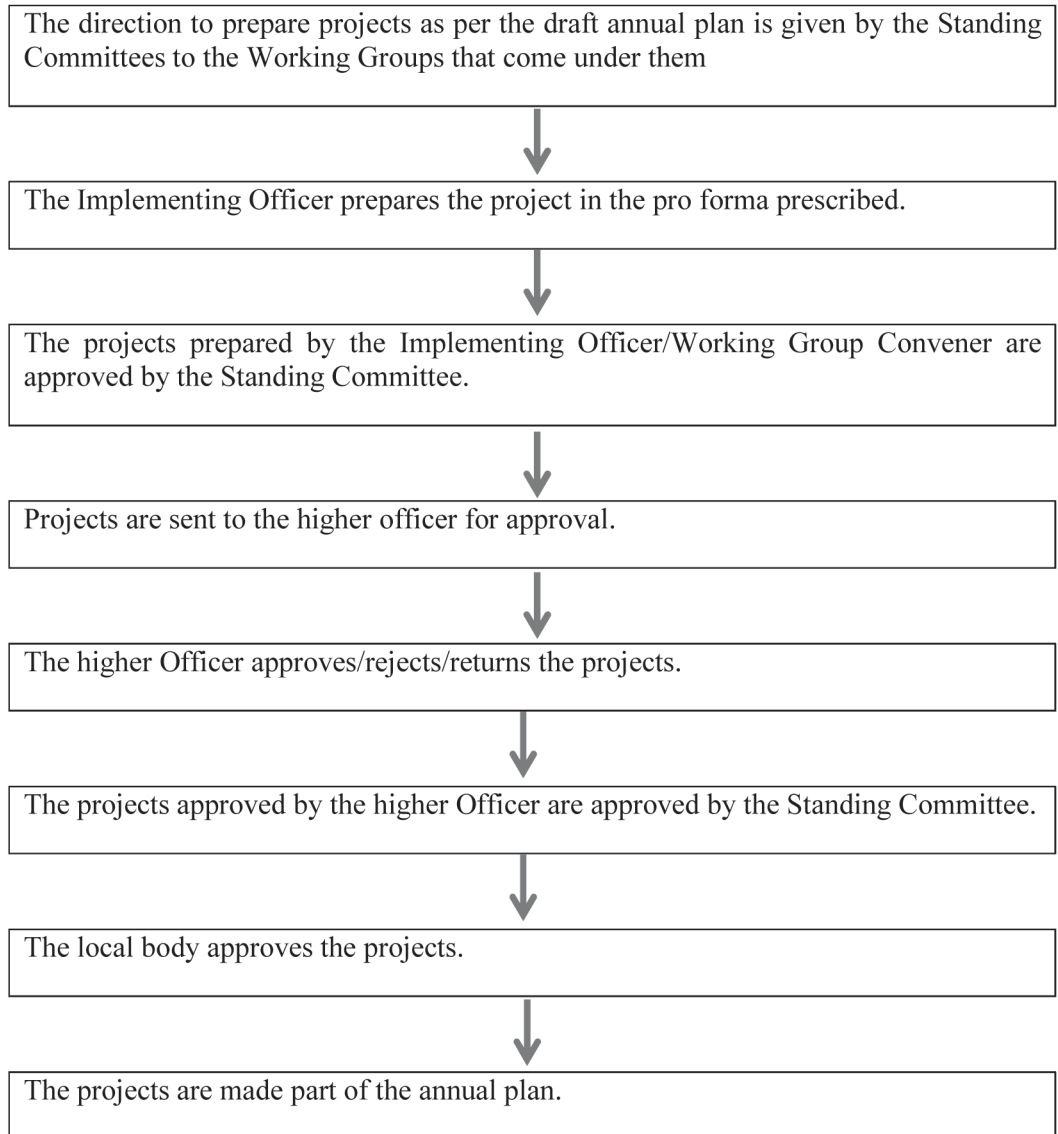


### 5.7. Projects and Annual Plan Document

The stages of preparations of projects included in the Annual Plan are given in chart 5.2



**Chart 5.2: Projects and Annual Plan Document**





## Chapter 6

### Preparation of Projects

#### 6.1 What is Project ?

Project is a document that contains the details of various components of activities which are prepared following certain technical parameters, meant for implementing to solve the development issues or to satisfy the development needs of people an area in a time bound manner. A project contains objectives, beneficiaries', beneficiary area, important activities, stages of activities, time schedule, financial analysis etc. A project is the smallest planning unit, capable of fixing limits of time and space and with predetermined objectives and targets.

#### 6.2 Why Projects?

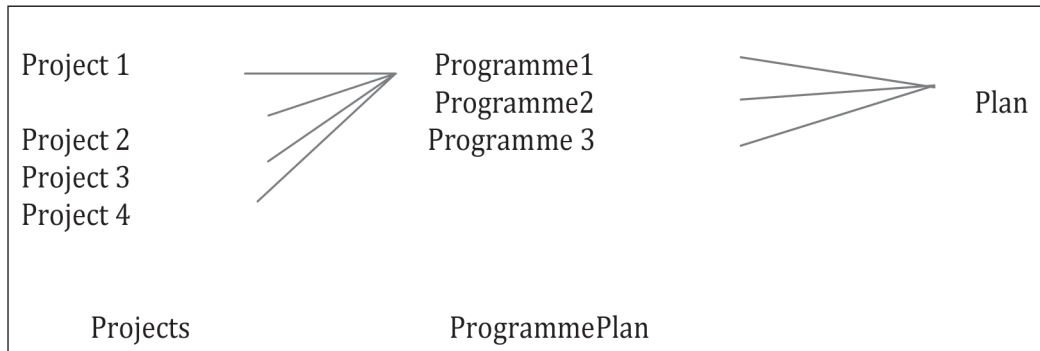
A good number of activities have to be completed for solving an issue or for satisfying a need. The achievements made will be the sum total of all the activities of the project. The activities so implemented will have social, financial, technical, practical and organizational aspects. If the projects are implemented without considering these aspects, we may not be able to get the expected results. Some times negative results may occur. Financial loss as well as technical and legal issues may have to be faced. In order to avoid all these things, a study at the grass roots level has to be made and a positive conclusion have to be arrived at before preparing the projects.

#### 6.3 Project, Programme, and Plan

In order to solve an issue in a sector we prepare and implement a good numbers of projects, all these projects together called a programme and all those programmes together form a plan.

(Pl. see chart 6.1)

**Chart 6.1**



#### **6.4 Who is to Prepare a Project?**

It is the responsibility of the Working Group to prepare projects. The Working Groups formed for each development sector have to prepare projects for that sector. The Implementing Officer (convener) has individual responsibility in this regard.

#### **Box 6.1: Things to be remembered while preparing projects**

- 1) The activity/programme to be implemented shall be function or the responsibility of the concerned local body vide the Act .
- 2) The conditions stipulated in the plan guidelines have to be observed.
- 3) The guidelines issued for giving subsidy also have to be followed. (subsidy norms to be followed)
- 4) Technical feasibility is to be ensured (Technical study, if required, shall be done in advance).
- 5) It shall be financially viable.
- 6) It shall be practical.
- 7) It shall be as per rules and regulations.
- 8) The upkeep and maintenance of assets created shall be ensured.
- 9) Do not take up too small and non-viable projects.
- 10) Thinly spread of outlay should be avoided.
- 11) It shall be socially acceptable.
- 12) It shall be environmentally feasible.

## 6.5 Forward and Backward Linkage of Projects

Separate Projects have to be formulated for solving each issue under decentralized planning process. Mutual link among those projects shall be ensured.

- eg: 1) A project meant for starting egger unit shall ensure another project for supplying feed to the unit. Similarly when the egger unit becomes successful, the project for marketing egg and chicken shall be implemented. The backward and forward linkages like this have to be ensured by preparing mutually supporting projects.
- 2) A project for road constructions across the river/canal and another project for river protection are not mutually interdependent on each other.
- 3) Instead of preparing separate projects for different crops in a land, the property shall be taken as a single unit of farming, and for which a programme is to be chalked out. Otherwise separate projects for irrigation, manuring, pesticides etc have to be prepared for each crop. This will not only be economical but will also create environmental issues.
- 4) Watershed based cropping pattern is to be followed for Agriculture. As stated above, whatever may be the developmental issue in a particular sector or society, the programmes shall be chalked out ensuring the mutual relationship and forward & backward linkages.

## 6.6 Project Cycle

The duration and various stages of a project (gestation period) from the beginning to the completion is called project cycle.

Every project is formed subject to the evolutionary process i.e., different stages of project formulation process are passed through. The project idea formed out of discussion in the Grama/Ward Sabha meeting, statistical data and analysis of ongoing plan schemes etc are translated into projects and implemented it on getting approval from the authorities concerned. At the time of implementation, monitoring is done by verifying the physical and financial progress achieved at every stage. On completion, social audit is done by the Grama Sabha/Ward Sabha and then arrangement is done to entrust the asset created to the user agency for further upkeep and maintenance. All these stages of a project form the project cycle.

## 6.7 Different Types of Projects

Each project is meant for a particular purpose and for solving issues and problems.

On the basis of different features, projects can be categorized into various types.

<b>Box 6.2: Projects on the basis of development sectors</b>		
<b>Production Sector Projects</b>	<b>Service Sector Projects</b>	<b>Infrastructure Projects</b>
Those projects that helps increase of production or that creates infrastructure which enables increase of production (Projects expecting income by implementation.)	Projects without profit but for welfare and service. These projects are implemented with an aim to provide welfare and support to people using the simplest and cost effective of methods, within the earliest possible time period.	These projects include roads, bridges, buildings and other construction works

<b><u>Box 6.3: Projects on the basis of length of gestation period</u></b>	
i)	Single Year Projects  Projects that are completed within one year are called single year projects.
ii)	Multiyear projects  Projects that take more than one year for its completion are called multiyear projects.

### 6.7.1 Sub Sectorial /Micro Sectorial Divisions

After the projects are categorized into three main divisions – production, service and infrastructure – each one can be further categorized. Eg Under production sector, Agriculture, Animal Husbandry, Fisheries, Small scale industries etc as sub sectors and again each subsector can be categorized into micro sector schemes. It is on the basis of this division of projects into different categories, that code numbers are given to projects.

## 6.8 Structure of Projects

### 6.8.1 Explanatory Projects

All projects prepared must have the same nature and structure. Projects of explanatory nature were prepared during 9<sup>th</sup> (1997-2002) and 10<sup>th</sup> (2002-2007) plan. Those projects had the following contents as given in the box 6.4.

<b>Box 6.4: Project Contents</b>		
1	Preface	The need and importance of the project is explained on the basis of Statistics.
2	Targets	It shall be defined numerically and capable of measuring in different units.
3	Beneficiaries	On the basis of facts and pre-determined criteria and ensuring Social Justice, the beneficiaries and benefiting areas shall be determined/ selected.
4	Activities	All activities shall be written item-wise and capable of completing implementation in a time bound manner and suitable to be technically analysed.
5	Calendar of Activities	A calendar showing the time bound implementation shall be prepared
6	Implementation	The agencies contacted at the time of implementation and the extent of their involvement in implementation shall be made clear.
7	Financial Analysis	The cost of each item, the sources of finance, rate of repayment explanation on item-wise unit rate of service, total income and expenditure details are to be given here.
8	Achievements	Actual direct and indirect gain shall be listed out in the schedule form.
9	Monitoring	The guidelines for monitoring shall be capable enough to decide the direction of project implementation and fixing the responsibility of implementation.

### **6.8.2 Project forms**

In order to prepare explanatory projects, the structure is shown in Annexure 6.8.1. Eleventh five year plan (2007-2012) onwards the projects are prepared in separate forms. At present there are three kinds of forms for the preparation of projects by local bodies.

Form 1 : Projects that require beneficiary selection

Form2 : Public works and projects involving purchase for general purpose

Form 3 : Projects involving general services

The instructions for preparing projects in the above forms, the method of using the forms etc are published vide GO (MS) no. 233/12/LSGD/7.9.2012. Projects are to be prepared by the Working Group concerned. The projects prepared shall be sent by the Implementing Officer to his higher officer for scrutiny and approval.



## Chapter 7

### Component Plans

#### 7.1 Why Component Plans?

It may not always be possible to deliver the required benefits to the downtrodden people out of the projects implemented in general. They may not have the required capacity to gain the benefits from the general pool. Some times the benefits received at the same rate/ level others receive, may not be sufficient for them. It is in this context that the backward people are given special attention. The reservation is an example for this special consideration. There are separate sections of people who deserve special attention in development and welfare activities. Scheduled Caste, Scheduled Tribes, Women, Children, Aged, Physically and mentally challenged destitute and other economically weaker sections are under this category. Therefore it is necessary to consider these groups when the plan is formulated. It is made clear in the plan guideline that special/ component plans have to be prepared for them.

#### **Box 7.1: Component / Special plans that are to be prepared**

- Women Component Plan - WCP
- Scheduled Caste Sub Plan - SCSP
- Tribal Sub Plan - TSP
- Sub Plan for Children, Aged, Differently Abled
- Anti-Poverty Sub Plan (including Asraya)
- Plan for Maintenance of Assets
- Special Plan for Fishermen

## **7.2 Women Component**

### **7.2.1 Thrust area in the Women Component Plan**

It is necessary to formulate special plans for the benefit of women so as to enable them to become part of the general public. In the women component plan thrust is to be given to those programmes which help them to overcome the problems they face in the society.

Eg :-

- Programmes aiming self-reliance.
- Activities for defending atrocities.
- Programmes that ensure protection.
- Programmes that will help them to raise their social status and cultural position.
- Programmes that will enable them to enjoy the freedom of travel.

### **7.2.2 Compulsary earmarking of outlay for W C P**

It has been established in the plan guidelines that at least 10 percent of the total plan outlay shall be set apart for WCP and a separate chapter, explaining the features of WCP be chalked out, by all the local governments in their plans

### **7.2.3 What can be done under WCP?**

A) Matters related to day to day practical life.

Functions that will improve the status of women shall be included in the WCP. Some examples are given below:

- Toilets with required facilities, in accordance with the number of girl students in schools that come under the local body shall be implemented.
- Separate urinals and latrines for women shall be provided in institutions. eg: LSGI office, hospitals, other offices, bus stand, ferry, markets etc.
- Rest rooms with light and water facility in public places for mothers to feed babies and take rest.
- Houses and other living facilities should be provided for single women or to those families where male support is absent.

- Lodging facilities may be made available in towns at low cost when they come to town for various matters.

B) Matters meant for ensuring economic self reliance:

- Job Training.
- Programmes that will generate income and employment for women.
- Self-employment – Individual – Group enterprises.

C) Programmes to ensure protection

- Programmes to empower women against violence and other atrocities.
- Activities of Jagratha Samithi.
- Sports development activities.

#### 7.2.4 Formulation Procedures

- At the time of preparation of status report, a study on the status of woman of that area shall be made.
- The economic status of women, issues related to social status etc shall be analysed and their demands shall be found out and noted.
- The plan shall be formulated on the basis of the suggestions so found out.
- Projects that will directly benefit the women shall be given priority in the plan.
- Projects that will equally benefit the women and men (Housing, latrine, drinking water, electricity, Anganwady constructions, supplementary nutrition, shopping complex etc.) should not be taken up under women component plan.
- However programmes for giving house, latrines, drinking water electricity to women can be taken up only if women are living in the house alone and if elderly men are not with them.

Projects over and above the 10 percent of the plan funds can be taken up utilizing other sources of funds and from general sector fund of the local body for the benefit of women. Project of State sponsored, centrally sponsored and that of other agencies can be integrated and implemented for aiming at women empowerment.

### **7.3 Scheduled Caste Sub Plan (SCSP)**

The plan prepared for the benefit of SC people alone is called Scheduled Caste Sub Plan. When development fund is allotted to local body this particular fund also is separately allotted to local body. The fund separately allotted under SCSP should not be used for the benefit of people of other community.

Two types of projects can be taken up for the benefit of Scheduled Caste People.

- i) Projects that will directly benefit the Scheduled Caste families or individual.
- ii) Infra structure/Public utility projects that will benefit at least above 50%SC beneficiaries Eg; Drinking water, electric line, Irrigation etc.

#### **7.3.1 Formulation Procedures**

- i) In order to uplift the Scheduled Caste people, each local body has to prepare a Scheduled Caste Sub Plan as part of the main plan of the local body.
- ii) Projects shall be prepared in the three sectors – economic development, social development, Infra-structure development – for the benefit of SC people.
- iii) Special Component Sub Plan shall be prepared utilizing the SC survey data. Priority shall be given for house hold approach. The family shall be considered as a unit of development and their requirement as well the requirement of the habitat will also have to be considered in preparing the SCSP.
- iv) Projects that will benefit the individuals and SC families and those projects that will increase public facilities shall be prepared.
- v) At least 5 families living together can be considered as an SC habitat and drinking water and electricity facilities can be provided using SCSP funds.
- vi) The conditions that are to be observed while implementing a public facility (infrastructure) Project are given below:
  - There shall be a social map along with each public facility project.
  - An officer from the Scheduled Caste development wing shall certify that more than 50 percent of beneficiary people are Scheduled Caste.
  - A project prepared for extending electricity shall contain the detailed estimate of KSEB Ltd.

- A project prepared for the improvement of irrigation in the agricultural land of SC people shall contain a certificate and social map showing that more than 50% of the total area for irrigation belongs to SC members and their land shall be shown in separate colours in the map.
  - The officer concerned shall certify the address of the total number of families and the address of SC members along with the social map.
  - The Scheduled Caste Development Officer of the area concerned shall visit and inspect the area for certifying and for preparing the social map and in which a certificate in the prescribed form shall be written along with the list of SC families.
  - For construction of roads, funds under SCSP can be used only within the colony. The District Panchayat shall take up roads having 6 meter width in the colony. General funds shall be used for constructing roads to the colony.
- vii) Thrust shall be given for the social and economic development of each family. Social and economic developments projects can be linked with National Rural Livelihood Mission Projects. Scheduled Caste Sub Plan shall be formulated using the data of Scheduled Caste Survey conducted.
- viii) Projects that can be taken up under financial assistance:
- A) Financial Assistance can be given to those landless families for lease land farming.
  - B) Marriage assistance can be given to SC women.
  - C) At least a minimum of 10 percent of SCSP fund shall be used for giving financial assistance to SC youth for getting foreign employment, assistance for professional courses etc.
  - D) Talented SC students can be given assistance for entrance coaching meant for admission to professional courses and assistance for studying professional courses.
  - E) SC youth can be given financial assistance for making available employment in foreign countries.

- F) Priority shall be given to those projects meant for making available drinking water and latrine facilities. Funds for other projects under SCSP (except mandatory projects) shall be made only after sufficient funds under the above two projects is made available.

### **7.3.2 Surveillance committee at the local body level**

- 1) In order to make effective fund utilization and project implementation under SCSP, each local body has to constitute a Surveillance Committee from 2014-2015 onwards at the local body level. The Scheduled Caste members of the local body will be the members of the respective committee. The committee will hold a meeting every month and review the progress of plan implementation and utilization of funds. If the number of Scheduled Caste members are less than three, the responsibility of Surveillance Committee will be done by the working group for Scheduled Caste development.
- 2) The minutes of the Surveillance Committee shall be discussed in the local body committee meeting and follow up action, if needed, will be taken.

#### **Box 7.2: Social Map**

It is a map showing the benefitted area of a project and the house of Scheduled Castes and general population going to be benefitted with the implementation of project under SCSP, marked in different colours.

### **7.4 Tribal Sub Plan**

A separate plan prepared for the Scheduled Tribes is called Tribal Sub Plan. Funds under this item are allotted to the local bodies along with the general plan fund allocation.

There are separate guidelines for the preparation of TSP. Important among them are given below.

- i) Each local body who receives funds under TSP shall prepare a plan for the development of Scheduled Tribes.
- ii) There shall be plan under three main sectors – Production, Services, infrastructure- for the development of Scheduled Tribes.

- iii) Thrust shall be given for the family oriented development and for which the data collected in the Tribal Survey shall be used. Family shall be considered as a development unit as in the case of Asraya, and as such the needs and demands of families and Ooru have to be decided.
- iv) Project for the development of common facilities of the Ooru and projects for individual have to be chalked out.
- v) An Asraya model plan has to be formulated by including all the BPL families within the local body area. The requirement of each individual and each family has to be taken into account.
- vi) The area, where at least five Scheduled Tribe families are situated, shall be considered as a Scheduled Tribe habitat.

While implementing a public facility work like water supply, electricity and foot path, certain conditions have to be observed.

- a) In order to improve agriculture in the Ooru, for which irrigation projects are implemented, it shall ensure that at least 51% of the agriculture land belongs to Scheduled Tribe Community. In order to prove this, a social map showing the area of irrigation and the plots of land that belongs to Scheduled Tribes and that belong to other community people depicted in different colours, shall be attached with the project. The position of the work going to be done and the locations of Scheduled Tribe families also must be shown. The list of addresses of ST families and the general population shall be separately given along with the project.
- b) The project prepared for extending electricity to Tribal Oorus shall also contain a social map and the list of beneficiaries. At least 51 % of the beneficiaries shall be Scheduled Tribe population. An estimate prepared by the KSEB Ltd. officer concerned shall be attached.
- c) A project for extending drinking water to ST Ooru shall contain a social map, beneficiary list and estimate.
- d) TSP fund shall not be used for road construction. However foot paths having not more than three meter width and foot bridges to the Oorus(hamlets) only can be constructed utilizing TSP funds. TSP fund can be utilised for foot path construction, provided more than 50% of the beneficiaries are Scheduled Tribe people.

- e) Beneficiary contributions are not compulsory for the drinking water projects implemented utilizing TSP funds.
- f) Priority shall be given for those projects which will ensure drinking water and latrine facilities to Tribal Oorus. Other projects (except mandatory ones) shall be taken up under TSP, only after sufficient outlay for the above two projects are set apart and ensured the availability of those services.
- vii) Projects of financial assistance that can be taken up under TSP
  - A) Financial assistance to landless families for lease land farming.
  - B) Financial assistance to Scheduled Tribe Youth to gain employment in foreign countries.
  - C) At least 10 % of the funds under TSP shall be set apart for youth development programmes. (Gainful –employment in foreign countries and in India and educational assistance etc.)
  - D) Distribution of breakfast to Scheduled Tribe students in schools where at least 10% students are Scheduled Tribes.
  - E) Financial assistance to meritorious students for securing admission in national and international educational institutions, studying in professional colleges, entrance coaching for admission to professional courses etc.
  - F) Scheduled Tribe youth can be given financial assistance for securing employment abroad.

viii) Housing

Housing assistance shall be given to house less families under IAY (Indira Awas Yojana) and housing schemes of Scheduled Tribe Development Department. Only if there remain houseless families, even after allotting houses as above, the local Governments need to formulate housing schemes.

The local body shall obtain certificates for these purposes and attach it with housing projects sent for approval.

- A) A family deserves only a house. Husband, wife, father, mother and children etc. form a family. The house shall be allotted in the name of wife. If she is alive, the application shall be submitted by her.



- B) Priority shall be given for assisting the landless houseless families.
- C) Beneficiaries shall be selected on a priority basis from the BPL list provided by the secretary and from the list of beneficiaries certified by two officers concerned to the effect that the applicants have no proper dwelling houses. This condition is applicable to housing schemes including IAY.
- D) The houses received under any of the schemes shall not be sold out or disposed off for a period of 12 years.
- E) Houses should not be built with an area of not more than 66 SQ. meters.
- F) Repair and maintenance assistance or assistance for a new house will not be given to a beneficiary for 6 years and 12 years respectively after a new housing assistance is received and house constructed. If any assistance is needed before the above period, a certificate from the village officer shall be obtained to the effect that no proper dwelling house is there.
- G) If the existing house is repairable and can be made renovated, assistance for new house should not be given. An estimate for renovation shall be prepared and assistance given.

#### **7.4.1 Plan Formulation Procedures**

- 1) *Oorukoottam* meetings have to be conducted even before the Gramasabhas/ Ward Sabhas are convened by local bodies. More than 50 percent of the total voters of the Ooru shall participate in the meeting. The elders and aged who live in the disbursed houses of the hamlet shall also be invited to the Ooru meeting.
- 2) Priority of project to be implemented shall be decided in the *Oorukootta(hamlet level meeting)* meeting.
- 3) One woman and man along with the Oorumoopan(Tribal Chief) shall be selected to the Tribal Sub Plan preparation committee of local body.
- 4) Detailed discussion shall be conducted in the Grama Sabha/Ward Sabha meetings and development seminar.
- 5) The plan preparation committee of Grama Panchayat shall meet after the development seminar and prepare a priority list of projects to be implemented by Grama- Block –Dist Panchayats and State Government. The Grama-Block- District

Panchayats shall follow strictly this priority list and prepare the Tribal Sub Plan. In the case of urban local bodies, they shall prepare two priority lists, one of the local body and the other one for state government.

- 6) There shall be a package of care services in the Tribal Sub Plan, as stipulated in the plan guidelines.

#### **7.4.2 Surveillance Committee at the Local Government**

- 1) In order to ensure the effective utilization of funds under TSP and proper implementation of projects, surveillance committee shall be constituted at the local body level from 2014-15 onwards. The Scheduled Tribe members of each local body will be the members of the surveillance committee. This committee will meet every month and review the progress of implementation of TSP and utilization of funds. If the number of Tribal members is less than 3 in that local body, the responsibility of surveillance committee shall be done by the working group for the Tribal development .
- 2) The minutes of the surveillance committee shall be placed in the local body meeting and discussed. If follow up action is required, it shall be taken up.

#### **7.5 Sub plan for Children, the Aged, the Differently Abled**

Each local body shall set apart 5 percent of the plan fund minimum for the plan preparation for the Children, the Aged, and the Differently Abled and for palliative care.

##### **7.5.1 Sub Plan for Children**

Programmes for the nourishment of mind, body and health aspects of the children, their education etc shall be included in the children's plan

A child development plan shall be formulated using the data collected and suggestions received from *Balasabha*. (*a collective of children*)

Construction of Anganwadi, Supplementary nutrition through Anganwadi etc shall not be made part of the plan for children. While preparing children's policy, thrust shall be given to what is stated in box 7.3 below.

### **Box 7.3: Thrust areas of Children's Plan**

- Child friendly institutions (Hospitals, Day care Centre, Anganwadies etc.)
- Encourage total lactation
- Encourage nutritional food
- Immunisation programmes
- Programmes for children faced with learning defects (disabilities)
- Activities for mentally retarded children
- Nutrition garden
- Child friendly toilet
- Strengthening Balasabha/Activities of Balapanchayats
- Citizens charter of children.
- Education to marginalized children.
- Activities for ensuring the availability of pure/boiled water.
- Safety of children in Anganwadies/Schools

Formulate integrated programmes among ICDS, CDS, SC/ST Dept. etc.

Integrate the programmes of NHM, SSA, ICDS, Clean Kerala Mission etc.

#### **7.5.2 Special Programmes for the Aged**

Programmes in accordance with the national and state policy guidelines for the aged shall be included in the plan for the aged. The changes that happen in the social and family relationships create a good number of problems to the aged nowadays.

In order to solve their issues, that Local bodies have to frame a geriatric policy in favour of the aged. The following matters shall be included in it:

- Remedy for the loneliness in life.
- Remedy for the diseases that occur in old age.
- Remedy for the singleness and the situations where there is nobody to depend on.
- Protection of the aged.

Priority shall be given in the activities implemented for them. Special Grama Sabha for the aged can be convened.

### **7.5.3 Plan for the Physically and Mentally Challenged People**

The special plan for the differentially abled shall be prepared incorporating the welfare programmes and rehabilitation and development programmes for the mentally and physically challenged. Statistics, true to facts, shall be collected. Plan shall be prepared on the basis of the statistics collected. As part of the preparation of plan, the following things can be done.

- Collection and compilation of statistics relating to the differently abled.
- Conducting a medical camp to determine the demand/requirement of the differently abled.
- Special Grama/Ward Sabha for the differently abled.
- Policy formulation
- Based on subsidy guidelines, the following things can be done.
- Financial assistance to differently abled
- Distribution of artificial limbs to those who participate in the medical camp conducted for determining the defects and equipment required. Each individual shall be given equipment with specifications.
- Scholarships to differently abled.
- Establish and run buds schools buds rehabilitation centers etc.

### **7.5.4 Palliative Care Services**

All the local bodies have to implement Palliative Care Services following the guidelines issued vide GO (MS) No 228/2012/LSGD/dt 23-08-2012. The funds required for this has to be compulsorily earmarked from the plan funds. SCP/TSP funds also shall be used for this purpose. The Block – District Panchayats can give a share to the projects implemented by Grama Panchayats.

The aim of this care services is to find out patients who require long treatment care service and who require help of others for their day – today individual movements and then connect between these patients and voluntary workers for further serving the patients at their homes itself. A home based treatment and care is thus provided (Homecare) to the needy patients. In order to make this project more viable, the following activities can be taken up.

- A team of volunteers shall be formed for home care activities and training shall be imparted to the team.
- Find out who are deserving care
- Provide homecare services with the help of voluntary workers
- Meet the expenses of the homecare team
- Make available homecare kit.
- Provide vehicle to the homecare team
- Make available the medicine without failure
- Provide referrals.
- Other care materials ( Water bed, wheel chair etc.) shall be made available.
- Services like pension shall be provided.
- Food, education of children etc shall be supported.
- Conduct rehabilitation activities.
- Engage the services of trained nurse.

The Implementing Officer who implements projects under health sector shall implement palliative care and service projects.

## **7.6 Anti – Poverty Sub Plan**

### **7.6.1 Importance**

Non accessibility to the basic and necessary needs is called poverty. If accessibility to the basic needs of life is provided, then we can reduce poverty. Therefore in order to reduce poverty the areas of non accessibility of the families concerned have to be identified. That means the process of plan formulation has to be started from the family itself.

It is the responsibility of the Working Group on Anti Poverty Sub Plan to prepare the Anti Poverty Sub plan. The Kudumbasree has a system starting from grassroots level to the State poverty eradication mission for solving the issue of poverty. Through this system Anti Poverty Sub Plan is formulated.

### **7.6.2 Formulation Procedures**

1. Formulation of working groups
2. Analysis of status
3. Preparation of database of poor people
4. Preparation of Micro plan at neighborhood level
5. Consolidation of plan at the ADS level
6. Integration of plan at the CDS level
7. Integration of plan at the working group level
8. Convergence workshop
9. Preparation of Draft Anti Poverty Sub Plan

The Block Panchayats and District Panchayats shall give importance and take up programmes identified by Grama Panchayats, but those projects which Grama Panchayats cannot take up shall be included in their respective Anti Poverty Sub Plan. In another sense the plan of Block Panchayat and District Panchayat shall be supportive to the Grama Panchayat plan.

### **7.6.3 *Asraya* Project**

- *Asraya* project is a part of Anti Poverty Sub Plan prepared for assisting destitute.
- At first each destitute family is identified on the basis of certain prescribed criteria.
- The problems faced by each family shall be identified as next step.
- *Asraya* project is prepared to solve those issues within a specified time. A procedural system has been developed by Kudumbasree for this purpose.
- *Asraya* plan is to be prepared by the Grama Panchayats and urban local bodies.
- The District Panchayat and Block panchayat can give contribution to the plan of Grama Panchayats.
- *Asraya* plan shall be submitted to the kudumbasree mission and their approval shall be obtained.

- On the basis of prescribed criteria, food health care, dwelling, housing drinking water, remedy from physical and mental challenges, assistance to escape from social isolation etc. shall be made available to the destitute by preparing and including a package of care services in the destitute plan (Asraya)

## **7.7 Asset Maintenance Plan**

- Proper up keep and maintenance of all assets under the ownership, control, and management of local govt. shall be done without any failure.
- As part of preparation of status report, a clear account of all the movable and immovable assets created and got transferred shall be taken and recorded.
- The protection, maintenance, utility etc of the existing assets shall be ensured. Only after ensuring this, new assets of this kind shall be created.
- Similarly the details of incomplete assets shall be collected and steps for the completion of those assets taken.

### **7.7.1 Procedure for the Preparation of Asset Management Plan**

- Various Working Groups shall collect the details of assets newly created and that were existing under their respective sectors.
- The Standing Committee shall consolidate the details of assets of the local body including other institutions under it.
- The Working Groups shall consolidate the details and submit to the Finance Standing Committee.
- An Asset Management Plan shall be prepared on the basis of the status report.
- The existing assets and assets newly created shall be maintained and managed in the following manner.
- The assets given to families shall be maintained by themselves.
- Every institution shall maintain their assets.
- The assets entrusted with the beneficiary committees shall be maintained and engaged under their control and supervision (eg. drinking water project)

- The assets got transferred from various departments shall be maintained and managed by the local body itself.
- The public assets also shall be maintained by the local govt.

The asset register of local governments and their institutions shall be revised every year. The details of assets that need renovations and those need repair shall be collected separately. The fund received for the maintenance shall be allocated in the plan every year. Development fund, maintenance fund, own fund, other funds etc can be used for this purpose.

The asset maintenance fund received by the local governments every year (maintenance fund) is meant for the maintenance and repair and for the improvement of the assets.

## **7.8 Sub Plan and Matsya Sabha for the Traditional Fishermen**

### **7.8.1 What is Matsya Sabha?**

Government of Kerala has published the list of 222 marine fish landing villages and 113 fish landing villages in inland sector. As part of planning process, Matsya sabha is to be separately conducted. The coastal ward is the boundary of Matsya sabha. The fishermen who belong to the traditional sector (bona fide fishermen/fishery related areas) are to participate in the Matsyasabha. The forum of such persons of families whose names are included in the voters list of each ward is called Matsya Sabha (Bottom level Assembly for Fisher People). The plan guidelines stipulates that separate Matsya Sabha has to be conducted for the marginalized and traditional fishermen.

### **7.8.2 The stratory to be adapted for the formulation of programme in the fisheries sector is given below**

- (i) Eco- System Approach  
An ecosystem approach involving total and sustainable development is to be adopted in the fisheries sector.
- (ii) Equilibrium/ Optimum Plan  
The fisheries plan is to be formulated ensuring the equilibrium/ Sustainable management and exploitation of resources. Thereby we can ensure the sustainability of depleting fisheries resources.
- (iii) Beneficiary Equalisation



There shall be a change in the method of plan preparation aiming the individual beneficiaries, projects that will benefit individuals as well as society as a whole shall be formulated benefiting both the individuals and society in an equal and just manner.

(iv) Fishermen Centered Plan

The projects prepared shall be fishermen centered instead of inclined towards fish production. Therefore the activities in the production, services, Infrastructure sectors in the fishermen village shall aim towards the improvement of fishermen welfare and social environment.

### **7.8.3 Projects – Sectoral Divisions**

The projects of local govts are to be generally classified into 3 sectors. When the fishermen centered approach is followed, it is not only in production sector but also in service and infrastructure sectors. The projects are to be prepared aiming the development of traditional fishermen.



## Chapter 8

### Plan Vetting And Approval

#### 8.1 Plan Approval of Local Government

1. The Development Standing Committee Chairman will present draft plan and projects in the local body meeting.

*(At the time of meeting in the absence of Development Standing Committee Chairman, another member of the committee, at the request of the President/Chairperson/Mayor will present the plan).*

2. A copy of the draft plan containing the name of each project, the outlay set apart and other required details, will be distributed to all the members in the meeting.
3. In the meeting convened, three days after the presentation of draft plan, the committee will consider the plan and give its approved after deleberation.
4. As per the approval by the committee, the draft plan has to be revised effecting the changes proposed and the final document printed and copies of which shall be given to the DPC and to the lower and higher tiers. On the front page of the plan document, the year, and the inscription 'plan' shall be printed when final copies are printed.

#### 8.2 Scrutiny of Plan and Projects

##### 8.2.1 Electronic Vetting System

IKM (Information Kerala Mission) has developed Sulekha Software to scrutinise the plan electronically and see that the plan is prepared in accordance with the plan guideline.

##### 8.2.2 Project Vetting and Approval

- (i) The projects included in the plan approved by the local body shall be prepared in detail by the implementing officers. She /He shall certify that the projects prepared

is as per rule, following guidelines, estimates are as per approved rates, technically feasible, project is practically implementable, the timetable of execution is proper etc.

- (ii) The project certified by the Implementing Officer shall be submitted to the local body secretary.
- (iii) The project submitted by the Implementing Officer to the secretary of the local body shall be sent to the officer concerned for approval.

*(The higher Officer of the Implementing Officer who prepared the project or the officer entrusted by the department officer or State level officer or the officer whom government have entrusted shall scrutinise and approve the project. The Implementing Officer of a project shall never give approval to that project.)*

- (iv) Approval to a project is given by an officer not on the basis whether that project is implemented by his junior officer. It shall be based on the fact that whether the project is related to the sector he details with.

eg. In cases where the local body may not have an Implementing Officer under fisheries, the Agricultural Officer will be the Implementing Officer. However the project under fisheries sector will be approved by the higher level fisheries officer concerned.

- (i) If the project received for approval by an officer does not come under his technical knowhow/ technical approval:
  - either send back
  - or approve it on the basis of the recommendations of his higher officer/ officers
- (ii) Technical sanction to estimates of infrastructure project shall also be obtained from the officer concerned.
- (iii) Changes to projects, once approved, shall be made only in contingency situations.
- (iv) The project, after obtaining approval from the higher officer, shall be submitted to the meeting of the Standing Committee concerned and the committee shall approve it.

- (v) All projects and plan, on getting approval from the Standing Committee, shall be submitted to the Panchayat/ Municipal committee for approval

### **8.3 Submission of Plan to the DPC for Approval**

- (i) The plan and other documents after the above approvals shall be sent to the DPC (through District Planning Office, the DPC secretariat) using Sulekha software. Along with it printed copies of development report and plan document shall be submitted.
- (ii) Implementation of the projects can be started immediately after the approval by the DPC.
- (iii) Project in its full form along with the detailed estimate and the certificate of approval of the officer concerned shall be published in the website of the local government.

### **8.4 DPC Approval**

- (i) On receipt of plan and the documents in the District planning office, it is submitted to the DPC along with the agenda note.
- (ii) The District Planning Committee on examining plan documents and agenda notes received from the District planning office gives approval to the plan. Along with the approval of plan, the DPC gives approval to the projects included in the plan and that got approval of the higher officer of the Implementing Officer.

*(Any project that has not been approved by DPC will be shown separately in the proceedings. The Panchayats and urban local bodies shall implement only those projects included in the approved plan and got the approval of DPC).*

### **8.5 Technical Sanction to Estimates**

- (i) Technical Scrutiny and Technical Sanction (T.S) to those projects that require T.S. which are included in the DPC approved plan shall be obtained from the officer concerned.
- (ii) The officer issuing Technical Sanction will have financial power of the next higher officer just as the financial power enjoyed by the committee issued technical sanction as contemplated in the GO (MS) no. 249/2007/LSGD/dt 1-11-2007.

If the estimate amount of a project that require T/S is beyond the financial limit of the officer, he should not issue T/S to that project. It shall be sent back suggesting to submit it to higher levels.

- (iii) The limit of financial jurisdiction of LSGD engineers issuing Technical Sanction will be decided by Government from time to time.

## **8.6 Financial Sanction (FS)**

The local self government has to issue financial sanction to those projects included in the DPC approved plan before they are implemented.

## **8.7 Appellate Committees**

### **8.7.1 District Level**

- (i) An appellate committee at the district level has to be constituted for deciding upon the complaints against not approving the projects of Grama- Block – District Panchayats and Municipalities
- (ii) The committee can invite any expert to this committee. Within two weeks, on receipt of complaint, this committee shall meet and take a decision.
- (iii) The committee is not bound to give approval simply because they received complaint.

<b>Box 8.1 : District Level Appalate Committee</b>
The DPC Chairperson will be the Chairperson of the District Level Appalate Committee and the District Collector will be the Convenor. The District Planning Officer, Urban Affairs Joint Director, Deputy Director of Panchayats, Asst. Development Commissioner and the Senior Officer of the Dept. concerned with approval will be the members.

### **8.7.2 State Level**

- (i) Government will constitute a committee to hear and decide upon the complaints on non receipt of approval submitted by Dist. Panchayats and Corporations.
- (ii) Complaints, if any, on rejected projects by the Appeal Committee can be submitted to the State Govt.

## Annexure 1

Working Groups – Functions, Chairpersons, Convener (Panchayats)						
Sl. No.	Standing Committee with Responsibility	Name of the Working Group to be Constituted	Official to be functioned as Convener			Elected Representative who is to become Chairperson
			Village Panchayat	Block Panchayat	Dist. Panchayat	
1	Finance Standing Committee	Accounts, Preparation of records, good governance	Secretary	Secretary	Secretary	A member of Finance Standing Committee, other than the Chairman
2	Development Standing Committee	1.Agriculture & Allied sectors (including soil & water conservation, irrigation, environment afforestation) 2.Animal Husbandry and Dairy Development 3.Small Scale Industries	Agricultural Officer	Asst. Director Agriculture	Principal Agricultural Officer	A member of the Development Standing Committee, other than the Chairman.
			Veterinary Surgeon	Senior Veterinary Surgeon Dairy Extension Officer	Deputy Director, Animal Husbandry, Dairy development	-do-
			Village Extension Officer	Industrial Development Officer	General Manager District Industries centre	-do-
		4. Fisheries (1)	(Pl. see the note given below)	(See the note given below)	Deputy Director of Fisheries.	-do-
		5. Public Works (including energy and electricity)	Assistant Engineer	Assistant Executive Engineer	Not applicable	-do-
3	Welfare	1. Poverty Reduction (including housing in Grama-Block Panchayats only) 2. Social welfare (including Aged, Differently Aabled) Development 3. Scheduled Caste Development 4. Scheduled Tribe Development (2) 5. Development of Woman and Children	Village Extension Officer	Secretary	Project Director Poverty alleviation unit	A member of the Welfare Standing Committee other than the Chairman
			ICDS Supervisor	C.D.P.O	District Social Welfare Officer	-do-
			VEO	Development Officer for SC	Dist. Development Officer for SC	-do-
			(see note below)		Dist. Scheduled Tribe Development Officer	-do-
			ICDS Supervisor	CDPO	Dist. women development officer	-do-

4	Health & Education	1. Health	Medical Officer	GDPO	Dist. Women Development Officer	A member of the Health & Education Standing Committee other than the Chairman
		2. Drinking water, Sanitation (including waste management)	Asst. Engineer	Asst. Executive Engineer	Executive Engineer	
		3. Education, Culture, Art, Sports, Youth welfare	Headmaster/ Headmistress	Secretary	Deputy Director Education	
5	Public works	1. Public Works, (Including electricity & energy)	Not applicable	Not applicable	Executive Engineer	A member of the Public works Standing Committee other than the Chairman
		2. Housing	Not applicable	Not applicable	Project Director Poverty alleviation unit (PAU)	-do-

1. If an officer of the Fisheries Department is there in the Panchayat, this working group can be formed with this Officer as convener. Otherwise the responsibility of this sector shall also be given to the working group for Agriculture and Allied sectors.
2. If an officer of the Tribal Development Department is there under the control of the Panchayat, this working group can be formed with this as convener. In the absence of an Officer from Tribal Development Department, the responsibility of this sector can be entrusted with the working group for Scheduled Caste Development.



## Annexure 2

### Working Groups, Responsibility of Standing Committees, Chair Persons (Urban Local Bodies)

Sl No	Standing Committee with control over the working group	Name of the working group to be formed	Officer functioning as Convener		Member to become the Chairperson
			Municipality	Corporation	
1	2 Finance	3 Accounts, Registers, Effectiveness of public service	4 Secretary	5 Secretary	6 A member of the Finance standing committee other than the Chairperson
2	Development	1. Agriculture and allied sectors (including soil and water conservation, irrigation, environment and afforestation) 2. Animal Husbandry and Dairy Development 3. Small Scale Industries 4. Fisheries	Senior Officer among the officers of Agriculture Department under the control of Municipality  Veterinary Surgeon/Senior Veterinary Surgeon Industries Development Officer Senior Officer of Fisheries dept. under the control of Municipality	Senior Officer of the Agriculture Department under control of Corporation.  Veterinary Surgen/Senior Veterinary Surgeon Industries Development Officer Senior Officer of Fisheries dept. under the control of Fisheries Dept.	A member of the Development Standing Committee other than the Chairperson.
3	Welfare	1. Poverty Reduction 2. Social welfare (The Aged, Differently Abled etc) 3. Scheduled Caste Development 4. Scheduled Tribe Development (Where there is TSP Allocation) 5. Welfare of Women & Children	Project officer, Urban poverty reduction cell Asst. Child Development Project Officer S.C Development. Officer (TEO, or SCDO) ST Development Officer (TEO or SCDO) Asst. Child Development project Officer	Project officer, Urban poverty reduction cell Asst. Child Development Project Officer SC development Officer (TEO or SCDO) ST Development Officer TEO or SCDO Asst. Child Development Project Officer	A member of the Welfare Standing Committee other than the Chairperson
4	Health	(Health, Sanitation, Waste management, Tourism)	Senior Medical Officer of Health department over whom municipal control is there	Sr. Medical Officer of Health Department over whom corporation has control	A member the Health Standing Committee other than the Chairperson

5	Education	1.Education, Art, Culture Sports, Youth welfare	Higher Secondary School Principal	Not applicable	A member the Education Standing Committee other than the Chairperson
		2.Education, Sports, youth welfare, Tourism	Not applicable	Higher Secondary School Principal	A member of town planning Standing Committee other than the Chairperson.
6	Urban Development	Culture, Art Monument protection, Town/City beautification	Not applicable	Higher Secondary School Principal	A member of town planning Standing Committee other than the Chairperson.
		1. Public works (including energy and electricity)	Municipal Engineer	Municipal Corporation Engineer	A member of Standing Committee of public works other than the Chairman.
7	Public works	2. Housing	CDS Member Secretary (Senior)	CDS member Secretary (Senior)	
		3.Drinking water	Municipal Engineer	Municipal Corporation Engineer	

**Annexure -3**

**Draft Project Proposals for the Current Year**

..... Annual Plan/ Five Year Plan

Name of Local Self Govt.....Name of working group

.....year

Sl No	Name of Project	Target	Beneficiaries Section Beneficiary Area 1	Activities	Expected source of Funds						Grand Total		
					Development Fund	Maintenance Fund	Own Fund	Centrally Sponsored	State Sponsored	Loan		Beneficiary Contribution	Others
				2									
				Total									

Details for each year has to be prepared in the separate forms, when five year plan is prepared.

Place.....

Date.....

Signature

Name

(Convener).....working group

- 1.The beneficiary member, their section/category, or belong to which place/area, shall be written.
  - 2.Write what are all the activities and its quantum and wherever applicable, write the area also.
- Activities to be done in different areas/ institutions should not be clubbed together, propose as single project

## **Annexure 4**

### **Development Report – Chapters and Contents**

#### Part I General Status

Chapter 1 General Details (maximum 2 pages)

Chapter 2 Geographical features & Ecological features (maximum 3 pages)

Chapter 3 Population (average 2 pages)

Chapter 4 Social, Cultural- Economic status(3 pages)

#### Part II Development Sectors/Sections

Each working group shall prepare a report not exceeding 3 pages with the following contents. The reports so prepared shall be given as each chapter in the part II of the development report

1. Present Status of the sector (on the basis of Statistics)
2. Existing issues, its severity, the reasons for issues
3. Solutions to solve issues and the requirement of people.
4. The achievement and draw backs of the activities of the local govt in the previous years
5. The achievements and defects of the activities of other agencies/Depts/ Institutions during the five year plan.
6. Scope for further development
7. Activities that are to be taken up.

## **Annexure 5**

### **Structure and chapters of Plan Document (Model)**

#### **1. The Development Status of the Local Government**

The general particulars, general socio-economic status, geographical and ecological features, human and natural resources, status of special sections and existing developmental issues and challenges etc shall be given as separate portions. The above details prepared by each working group on their respective development sectors shall be passed on to the working group meant for preparing accounts and registers. This chapter shall be prepared based on the statistical details and with minimum write up portions.

#### **2. Appraisal of Previous Plan/Five Year Plan**

The report prepared by the working group and consolidated in the prescribed proforma shall be included in the chapter as such.

#### **3. Appraisal of ongoing Annual Plan**

If the plan is prepared after the completion of another plan, this chapter need not be included. Otherwise the details of ongoing current year plan shall be written in the prescribed form and given in this chapter as such.

#### **4. Reasons of achievements and failures**

The reasons for the achievements on the basis of actual and real benefits of each programme and the reason for the failure of programmes shall be recorded separately in tables. (This shall be prepared on the basis of the status report prepared by the working group)

#### **5. Programmes implemented by Department/Agencies**

The projects implemented by various departments and agencies shall be recorded as a list on the basis of the status report prepared by the working groups. An appraisal report on these projects shall also be included.

6. Analysis of Issues and scope of solving issues.

This shall be prepared on the basis of status reports. The very serious and serious issues alone need be included

7. Development approach, strategy and policy approach

These three things shall be written in three columns on the basis of status reports

8. Expected source of resources and outlays

The expected source of funds shall be recorded in the prescribed form on the basis of each subject and the outlay set apart against each sector shall be shown. More over an analysis of how the natural and human resources can be utilized, shall also be done.

9. Projects and the Details

The details of the Annual Plan projects including spill over and projects implemented with maintenance fund shall be prepared in the prescribed form. Separate forms shall be used for general projects, SCP project and TSP projects.

10. Special Plans and Programmes

The details of all special plans that are to be prepared as per the direction of govt at times, SCP, TSP, WCP, APSP, plan for the children, Aged, Differently Abled etc shall be included separately in this chapter. A small write up of those section of the population for whom separate plans are prepared shall be given at the beginning. In continuation of that the details like name of project, project number, plan fund set apart, total outlay etc shall be written like a table. The details of each special plan or programme have to be given like this, but the details of projects under maintenance plan need not be given in this chapter.

11. Maintenance Plan (Asset Management and Maintenance plan)

It is the responsibility of all the local govts to manage and maintain the assets of their own. Similarly they have to maintain the institutions the

that got transferred. Therefore it is necessary to prepare a maintenance and management plan of all the institutions-under the ownerships of LSGI and got transferred to local govt- on the basis of the projects and proposal submitted in the prescribed form by the heads of institutions. The assets that require maintenance and repair shall be identified from the asset register. This shall be given as a table at the beginning of the chapter

(The name of asset, present condition, the maintenance required etc.) In continuation of that, a table showing the details of project included in the Asset Maintenance Plan (Project number, name of project, development fund set apart, maintenance fund provided, own fund, grand total etc) shall be prepared.

#### 12. Loan Linkages

A brief description about the loan linkage with the plan shall be prepared. A table of loan linked projects is to be prepared. (A table showing the details such as project number, name of projects, development fund provided, funds provided from Centrally Sponsored Plan, loan from cooperative institutions, loan from other financial institutions, grand total etc.)

#### 13. Project Integration and Integrated programmes

With a view to achieving maximum benefit, the projects and programmes have to be integrated considering and analyzing the funds and activities of the projects prepared by the working groups. There shall be a brief explanation on the possibilities of integration of projects and programmes. More over the name of each integrated programme and the name of projects integrated shall also be given in a table ( See para 12.9 of plan guideline.)

#### 14. Monitoring arrangements

Monitoring is the responsibility of working groups. Each working group has to monitor the projects of their respective sectors/sections.

Therefore the working groups have to function as monitoring committees at the time of project implementation.

This has to be made clear here. More over the functions and responsibilities shall be made clear.

### Reference

- Government of Kerala : Kerala Panchayat Raj Act 1994
- do : Kerala Municipality Act 1994
- do : GO (MS) 362/13/LSGD dt. 16-11-2013
- do : GO (MS) number 112/14/LSGD/dt 25-06-2014  
GO relating to SevagramGramakendram/ Ward Kendram)
- KILA 2010 : Panchayat Administration Guide
- do 2010 : Urban Administration Guide
- do 2014 : Hand- book on SevagramGramakendram/Ward kendram.
- do 2015 : Preparations of GramaPnchayat Development Plan-  
S.M. Vijayanand IAS, Secretry, Ministry of Panchayat Raj, Govt  
of India .