

**A  
ROADMAP  
FOR STRENGTHENING  
PANCHAYATI RAJ INSTITUTION  
IN  
BIHAR**

Prepared by

***Riddhi Foundation***

Kolkata



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**For**

**Department of Panchayati Raj,  
Government of Bihar**

Prepared by

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Kolkata



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## ABBREVIATIONS

BIPARD – Bihar Institute of Public Administration and Rural Development	MGNREGS - Mahatma Gandhi National Rural Employment Guarantee Scheme
BPRC- Block Panchayat Resource Centre	MoPR - Ministry of Panchayati Raj
BPROs - Block Panchayati Raj Officers	NCBF - National Capacity Building Framework
CDLG - Capacity Development for Local Government	NeGP - National e-Governance Plan
CSCs - Common Service Centres	NIC - National Informatics Centre
CRPs - Community Resource Persons	NRDWP - National Rural Drinking Water Programme
DDC- District Development Commissioner	NSAP - National Social Assistance Programme
DM - District Magistrate	NSAP Panchayat Support Functionaries (PSFs).
DPC - District Planning Committee (DPC)	OBC – Other Backward Classes
DPROs - District Panchayati Raj Officers	O and M - Operation and Management
DLTT-District Level Trainers’ Team	PCO - Panchayat Coordination Officer
DPTRC - District Panchayat Training and Resource Centre	PDO - Panchayat Development Officer
DPMU - District Programme Management Unit	PMAY - Prime Minister Awas Yojana
DRG - District Resource Group	PRI - Panchayati Raj Institutions
ERs - Elected representatives	PS - Panchayat Samities
14 <sup>th</sup> FC – Fourteen Finance Commission	PTC - Panchayat Training Centre (PTC)
5 <sup>th</sup> SFC – Fifth State Finance Commission	RGSA - Rashtriya Gram Swaraj Abhiyan
FAQ – Frequently Asked Questions	SBM-G - Swachh Bharath Mission (Gramin)
GoB – Government of Bihar	SC – Scheduled Castes
GoI – Government of India	SDGs - Sustainable Development Goals
GOs - Government Orders	SFC - State Finance Commission
GK - Gram <i>Kachheri</i>	SGS - Sahayak Gram Sachiv
GP - Gram Panchayat	SHGs - Self Help Groups
GRS - Gram Rozgar Sevak	SIPT - State Institute for Panchayat Training
GPDP - Gram Panchayat Development Plan	SLMTT - State Level Master Trainers’ Team
GPPFT – Gram Panchayat Planning Facilitating Team	SPMU - State Programme Management Unit
ICDS - Integrated Child Development Scheme	SPMU - State Programme Management Unit
IEC - Information, Education and Communication	SPRC - State Panchayat Resource Centre
ICT - Information and Communication Technology	SRLM - State Rural Livelihood Mission SSA - Sarva Shikha Abhiyan
IAY - Indira Awas Yojna	TA -Technical Assistant
HR – Human Resources	TSC - Total Sanitation Campaign
JE - Junior Engineer	ULBs - Urban Local Bodies
LFE - Local Fund Examiner	WIMC - Ward Implementation and Management Committee
	ZPs - Zilla Parishads



## ACKNOWLEDGMENT

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The staff of Department of Panchayati Raj of Bihar supported the team members with information whenever it was sought and also provided support during field. Without their support it would have been very difficult to do this work. The study team would also like to thank the district level officials who gave their valuable support and also helped to organize the field visits.

This Roadmap is part of a project supported by UNICEF India to improve the Panchayati Raj Institutions in eight states of India. The study team would like to thank UNICEF India for supporting this project. UNICEF Bihar played an important role by supporting the team whenever it was required through information and field work facilitation. A big thank you to them.

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Finally, the team would like to thank all the functionaries and citizens who gave their valuable time during field visits to the Gram Panchayats. The study team hopes that the document will help the ongoing process of strengthening Panchayati Raj Institution in Bihar.

## PREFACE

Preparation of plan for utilization of resources and making appropriate interventions for the wellbeing of the people is an essential component of any government. Planning by the Panchayats is, therefore, very important. Planning at the Gram Panchayat level is even more important since the people can directly participate in preparation and implementation of the plans for their own development. Recommendation of the 14<sup>th</sup> Finance Commission that the entire amount to be transferred to the Panchayats will be made available to the Gram Panchayats for improving basic services have further increased the importance of planning at that level and involvement of the people in the process.

Keeping that in mind, MoPR has issued a guideline for Gram Panchayat Development Plan and based on that all the States have prepared their own guidelines to be followed in preparation of plans at the Gram Panchayat level. In most states the capacity of the Gram Panchayats is limited and effective utilization of funds available for planning has become a big challenge. In view of this, MOPR wanted to know the status of planning by the Gram Panchayats of eight selected States along with facilitating the process by expert agencies. UNICEF agreed to provide technical support in partnership with Intercooperation Social Development India (ICSD) in those states. Such support was to be given in four states by ICSD and in another four states, including Bihar by Riddhi Foundation, as a partner of ICSD.

After studying the ground reality in Bihar by Riddhi Foundation there was interaction with the Secretary Panchayati Raj Department, Government of Bihar and other senior officials of that department. It was decided that there is need for strengthening the Panchayati Raj Institution of Bihar and in order that the same can be done in a planned manner there is need to prepare a Roadmap for strengthening the Panchayati Raj Institutions of the State. Given the time and resources available, it was not possible to prepare a Roadmap covering all the three tiers of Panchayats and it was decided that the Roadmap would be prepared for the Gram Panchayats only. The proposed Roadmap is to cover strengthening the Gram Panchayats as institutions of local government including their capability in planning and implementation of appropriate local interventions for development. Based on the requirement of the Government of Bihar, preparation of the Roadmap for the Gram Panchayats became one of the deliverables.

The Roadmap has been prepared based on field visits, interactions with functionaries and employees at all the three tiers of Panchayats, assessment of the existing system of capacity building and training and the gap that exists and the current status of planning and its implementation by the Gram Panchayats. Available literatures were also studied for preparation of the Roadmap. The draft Roadmap was discussed in a State level workshop in which the Secretary and other officials of the Panchayati Raj Department was present along with officials of UNICEF Bihar Field Office and India Country Office. Based on suggestions received in the workshop, the final Roadmap presented here has been prepared. It is hoped that the document will be of help to the Government of Bihar in strengthening the Gram Panchayats and enhancing peoples' involvement in planning for their own development.



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President, Riddhi Foundation

## CHAPTER - I

### BACKGROUND: A BRIEF HISTORICAL OUTLINE

#### 1.1 Pre-colonial and Colonial Period

1.1.1 Some ancient republics, such as that of the *Licchavis* and the *Sakyas*, were located in the area that is now called Bihar. Not much is known about them but some form of democratic functioning was practiced in these republics. It is also believed by scholars that a traditional form of community based 'Panchayats' was practiced in the villages till the colonial rule completely overhauled the administration of the country. Earlier the villages were more or less left to govern themselves because of problems of transportation and communication. With the coming of the East India Company from Britain, the revenue administration of the country was completely overhauled. In eastern India, including present day Bihar, the Permanent Settlement was initiated in 1793 as a result of which a new class of intermediaries or the *Zamindars* were given power to collect revenue from the villages and the traditional 'Panchayats' were completely replaced by the rule of the British via the *Zamindars*. Thus, although there are some records, 'Panchayats' and '*ganatantras*' in ancient India, it will be a mistake to think that there is an unbroken line of continuity between ancient 'Panchayats' or '*ganatantras*' and the contemporary Panchayat system of India.

1.1.2 In 1885 the British Government in India under Lord Mayo passed the Bengal Local Self-Government Act. This Act was applicable to what is now Bihar. Starting with Patna district in 1886 the Act was extended to Chotonagpur division in 1890. This legislation may be seen as the beginning of the new local government in eastern India. Local boards were set up at district and sub-divisional levels. The members were partly elected and partly nominated. The legislation also created Union Committees which were later converted into Union Boards. These Union Boards were the first of the modern local governments in India. The Bihar and Orissa Village Administration Act of 1922 created the first fully elected Union Boards in Bihar and by 1924-25 various forms of local boards were in operation in Bihar. However, the *zamindari* system was still strongly entrenched and, therefore, there was no chance of participatory popular governance emerging.

#### 1.2 Rural Local Governments after Independence

1.2.1 After independence from colonial rule, in 1947, the Bihar Local Self-Government Act of 1947 created provisions for district boards in areas smaller than the revenue districts. Till then the revenue district was the minimum statutory area for the former district administration. The Act also introduced local cess from one-and-half *anna* to two *anna*.

1.2.2 In 1950 an amendment was introduced which provided that members of the local boards would be elected by the district boards from an electoral college. By 1950, number of local boards come down to 38. In 1951-52, population per Gram Panchayat (GP) was fixed at 3000 and in 1952-53, the Community Development Programme was launched. It was also decided

by Government of Bihar (GoB) that there shall be 25 GPs per Sub-division. By 1955, 6,474 notified Panchayats and 2,970 unofficial units were formed in Bihar<sup>1</sup>.

1.2.3 In 1955 there was an attempt to synchronise Panchayat administration with revenue administration. Two Panchayats formed a *halka* or unit of revenue administration. 10 *Halkas* formed a Block. Blocks formed the operative units of Community Development Projects.

1.2.4 The next important legislative change came in 1961 when the Bihar *Panchayat Samiti* (PS) and *Zilla Parishad* (ZP) Act, was introduced. Through this legislation the Block and District level Panchayats were formed. Ranchi and Bhagalpur were the early ZPs and Block *Parishads* established on 2 October 1964, which was followed by Dhanbad on 3 December 1965. However the number of ZPs remained fixed at six for some time after the initial thrust. Where PSs and ZPs were not formed, the Collector was given the power to form Block and Zilla Development Committees. During this time, the rural population in the districts varied between 9 lakh and 42 lakh but the population of the Block was more or less stable at around eighty thousand and the population of the GPs were also more or less uniform at roughly four thousand.

1.2.5 At this stage, the Panchayati Raj Institutions which were emerging, were primarily focussed on implementing the Community Development Programme. By the end of the fourth five-year plan however there was shift in policy. The Community Development Programme had come to an end and development programmes became more top-down with Centrally-Sponsored Schemes being implemented through district level bureaucracy and there was very little scope for decision-making through popular participation.

1.2.6 Between 1974 and 1977 Bihar entered a new era through the popular agitation of Jayprakash Narayan. Various groups had emerged by this time demanding more power to the grass-roots both in rural and urban areas. This resulted in change in government both at the State level as well as at the Centre after the 1977 election.

1.2.7 In 1978 the Asoka Mehta Committee was initiated to look into the functioning of the PRIs in the country and also election took place in the state. This certainly revived interest in PRIs although the election of 1978 was marred by violence and intimidation<sup>2</sup>. Roughly ten percent of the Mukhiyas were returned without any contest and several contesting candidates were kidnapped. According to government estimates, about 70 persons were killed and 100 injured in the election while the opposition parties claimed that the figures were much higher. Election to the Block *Samitis* was held in 1979 and that for the ZPs was held in 1980. The elected bodies, thus formed, completed the full term of five years. Unfortunately, no election could be held after the completion of the statutory fifth year. This situation continued till 2001.

1.2.8 In 1987 a system of reservation for Scheduled Tribes and Scheduled Castes was proposed through an amendment. The reservation was to be in proportion to their number in the

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<sup>1</sup> George Mathew (ed.) *Status of Panchayati Raj in the States and Union Territories of India 2013*, Concept and ISS, New Delhi, 2013, p. 152.

<sup>2</sup> *Ibid.* p.153.

population of the GP. However, this amendment was struck down by the Patna High Court on grounds of being undemocratic and in violation of the rights of the local voters<sup>3</sup>.

1.2.9 In the absence of elections, the Panchayati Raj system of Bihar went into a state of negligence and decay for two decades. Even after the 73rd amendment, elections were not held. As per the 73rd amendment, the State Election Commission was however constituted in 1994. Earlier a new legislation, Bihar Panchayati Raj Act, 1993, was put in place.

### **1.3 Post- 73rd Amendment**

1.3.1 The doldrums was finally resolved on 29 August 2000, when the Supreme Court passed an interim order directing the State Government to hold election in the state<sup>4</sup>. The election was held in 2001 without the provision of the reservation for the posts of Chairpersons for Scheduled Castes (SC), Scheduled Tribes (ST) and women, which was the bone of contention being fought in Patna High Court.

1.3.2 The 2001 election was a success in terms of popular participation. Voters, including women, came out in large numbers. Barring stray cases, it was also a violence-free election. Voting percentage varied between 60 to 75 per cent. Even though there was no reservation system, 143 SC candidates, 39 ST candidates and 78 women candidates got elected as chairpersons of GPs. However, SC, ST or women candidates did not win in any ZP constituency and only 3 SC members and 1 ST member and 54 women members became PS chairpersons.

1.3.3 The new Government which came to power in 2005 enacted the Bihar Panchayati Raj Act in 2006 by replacing the earlier Act of 1993. The election of 2006, including the election of the judicial Panchayats, i.e., Gram Kachheri (GK) took place under the provisions of the new Act. The Act of 2006 provided for reservation of 50 per cent seats for women members as well as that of Chairpersons at the three levels of the Panchayati Raj Institutions (PRIs). Bihar was the first state in the country to do so. Subsequently, elections have been held as per statute in 2011 and 2016.

1.3.4 As per provisions of the 73rd Amendment, the District Planning Committee (DPC) have been formed in all 38 districts vide section 146 of the Bihar Panchayat Act, 2006 and Formation and Functions of DPC Rules, 2006. Similarly, State Finance Commission (SFC) are also regularly constituted and the 5<sup>th</sup> SFC had submitted its report in January 2016.

### **1.4 Recent Initiatives in Strengthening Decentralized Planning**

1.4.1 The Fourteen Finance Commission (14<sup>th</sup>FC) in its awards for the Panchayats clearly identified the GPs as the local government for delivering various basic services and recommended that the entire amount of funds to be payable to the Panchayats should be transferred to the GPs. The amount of fund to be transferred to the Panchayats was also increased substantially compared to what was awarded by the 13<sup>th</sup> Finance Commission. As a result, there was substantially higher amount of transfer of funds to the GPs. The MoPR took an initiative for proper planning at the GP level so that the resources getting transferred to the

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<sup>3</sup> *Ibid.*

<sup>4</sup> *Ibid.* p.158.

GPs are optimally used keeping the local needs in mind. A guideline was issued for taking up Gram Panchayat Development Plan (GPDP) and all states were also requested to issue respective Guidelines. GoB also issued their GPDP Guidelines named as Gram Panchayat Vikash Yojana vide No. 257035 dated 31/12/2015 of Department of Panchayati Raj, GoB followed by another guideline named Hamara Gaon Hamari Yojana for the year 2016-17. Ministry of Panchayati Raj (MoPR), Government of India (GoI) also desired to know the status of implementation of GPDP and to also facilitate the process in eight selected states including Bihar. UNICEF came forward to support the same and entered into a Partnership Agreement with Intercooperation Social Development (ICSD), India and the process of facilitation was to be carried out by ICSD and Riddhi Foundation (RF) and the latter got the responsibility of supporting the process in four states including Bihar.

1.4.2 Officials of RF interacted with the senior officials including the Secretary of the Department of Panchayat, GoB. It was felt by the key officials of the department that the GPs in Bihar are too weak institutionally and needs adequate strengthening before the process of GP is strengthened. RF was told to develop a Roadmap for strengthening the GPs of the state and the same was agreed by the UNICEF. RF has since prepared the Roadmap in the said context, which is presented here.

## CHAPTER – 2

### LITERATURE REVIEW AND THE NEED FOR A ROADMAP

#### 2.1 Need to Strengthen the GPs of Bihar

2.1.1 Emergence of the Panchayats, especially the GPs as units of local self-government requires adoption of appropriate policy of the State Government, to put in place supportive legal framework and organizational structures as well as several other associated processes for proper functioning of the Panchayats. The basic framework for this purpose was put in place through the New Panchayati Raj Act in 2006, and some subsequent changes. The process has acquired fresh urgency with the recommendations of the 14<sup>th</sup> FC, which has awarded the GPs of Bihar a sum of Rs.18,919.05 crores as basic grant and Rs 2101.78 crore as performance grant under 14<sup>th</sup> FC for the period 2015-16 to 2019-20. The total flow of fund to the GPs alone would, therefore, be around Rs.21,017.83 crores. This amount is being devolved exclusively to the GPs for planning and delivering basic services as mandated to them. Besides this amount GPs are likely to receive fund from Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS) as per demand for wage employment. Further, SFC transfers, Own Source Revenues (OSR) and flows from other State and Centrally sponsored schemes would enlarge the financial resource with the GPs considerably.

2.1.2 Article 243G of the Constitution of India acknowledges Panchayats as institutions of local self-government and mandates them to prepare plans for economic development and social justice. As local government, GPs are responsible for delivery of basic services to local residents and to address the problems of the poor and marginalised sections of the community. This can only be achieved through implementation of well thought out plans through efficient and responsible utilisation of available resources. Ministry of Finance has also issued guidelines for 14<sup>th</sup> FC grant which clearly insists on preparation of plans at the GP level.

2.1.3 However, participatory plans alone will not ensure effective delivery of basic and other services the GPs are responsible for. Even though their functional responsibilities and fiscal receipts are increasing, organizational capacity at the GP level continues to remain low, and skills in areas such as administration, planning and project execution have received insufficient focus thus far. In addition to supply-side inputs, there is also need for strong incentives on the demand side to enhance engagement of the people with the GPs, if it has to deliver desired level of services to the people. This requires that well-planned institutional capacity-building activities are both extended and deepened throughout the state and the same should be a part of an overall intervention for strengthening the institution of the GP and its acquiring responsibility and capacity to deliver services to the people.

2.1.4 The strengthening of the GPs will therefore need a Roadmap. This is to be a vision document, which would chart the future path of decentralization agenda for the GPs of Bihar and associated strengthening of capacity. In conformity with the letter and spirit of the 73<sup>rd</sup> Amendment of the Constitution, the vision for the Roadmap would be to have a proper people's Panchayat with due responsibility and responsiveness, and the Roadmap would set out the strategy to accomplish the vision. The strategy would include activities to be undertaken at the

State Government level as well as at the PRI level, assignment of specific responsibilities at both the levels along with timeframe to achieve the goal.

2.1.5 The Roadmap would be based on the existing legal framework and policy of the State Government, evolution of the system to date in terms of actual functioning of the GPs and capacities already acquired and are required to be acquired in delivering various services. Both the top down and the bottom up factors that have guided the evolution of the GPs so far would have to be analysed to envision the future. The former relates to the steps taken from above by the State Government in assigning responsibilities and resources for delivering various services, which has been mostly structured in the lines of various schemes. The latter relates to the demand from the people below, which impelled the Panchayats to deliver certain services sometimes without any mandate from above. The GPs in Bihar need to be capacitated to take on new responsibilities of their own.

2.1.6 The Roadmap for the GPs of Bihar will not be merely the Roadmap for devolution of responsibilities by the various departments of the State Government through the conventional exercise of activity mapping and assigning responsibilities from above through either legislative or executive route, but also the Roadmap for developing various capacities within the GPs so as to respond to the need-based demands of the people and acquire more responsibilities of their own for realization of such demands, stemming from the local needs and aspirations. In fact, the activities assigned to Panchayats in Bihar are more than what they are capable of handling at present. This process need to be guided by setting milestones in various fields related to socio-economic development of the people so that the Panchayats may work on their own, irrespective of formal devolution to reach those goals.

## **2.2 Institutional Strengthening of the GPs: Challenges Identified**

2.2.1 Different groups of experts at different times have studied the PRIs of Bihar for identifying steps required to be taken for its improvement. The recommendations of these groups of experts have been summarised in the following reports and documents:

- a) Report of the Task Force on Panchayati Raj set up under the under the chairmanship of Dr. George Mathew in 2011.<sup>5</sup>
- b) Capacity Assessment and Capacity Development Strategy (CA-CDS) Report for Strengthening Panchayati Raj Institutions in Bihar commissioned under the MoPR-UNDP Capacity Building for Local Government Project, and published by the MoPR; Gol in January 2012.<sup>6</sup>
- c) The World Bank Project Appraisal Document of the Bihar Panchayat Strengthening Project August 27, 2012.<sup>7</sup>
- d) The Report of the 5<sup>th</sup> SFC of Bihar.<sup>8</sup>

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<sup>5</sup> George Mathew (Chairman), *Report of the Taskforce on Panchayati Raj*, Patna, 2011

<sup>6</sup> Government of India, Ministry of Panchayati Raj, *Capacity Assessment and Capacity Development Strategy (CA-CDS) Report for Strengthening Panchayati Raj Institutions in Bihar*, UNDP, New Delhi, 2012.

<sup>7</sup> World Bank, *Project Appraisal Document, Bihar Panchayat Strengthening Project*, Washington DC, 2012.

<sup>8</sup> A.N. P Sinha (Chairman) Fifth State Finance Commission, Bihar, *Final Report*, Patna, 2016



Experts of Riddhi Foundation (RF) have been visiting the rural local bodies of Bihar and interacting with the functionaries at all tiers of Panchayat bodies with special focus on the GPs since August 2016. The issues identified in this chapter have been drawn from the studies listed above and RF's own understanding of the challenges in strengthening the GPs of Bihar.

### **2.2.2 Basic infrastructure of the GPs**

Office premises with adequate space is a sine qua non for the proper functioning of a GPs. The State government has a target to construct Panchayat Sarkar Bhavan in all GPs with sitting space for the elected representatives and functionaries of the GP and Gram Kaccheri (GK), Court Room of GK, space for safe keeping of records, hall for meetings of GP/Standing Committees, reception room for the members of public, Service Centre for providing computerized services, store, pantry and toilets etc. The report of the 5<sup>th</sup> SFC mentions that at the time of drafting of the report, "1435 PSBs had been sanctioned at a cost of Rs. 1237.17 Cr. 418 PSBs had been completed, 133 Bhavans were in the last stages of completion. The remaining 868 were at different stage of execution"<sup>9</sup>.

### **2.2.3 Functioning of Gram Sabhas, Ward Committees and Standing Committees**

Democratic functioning of the GPs depends on the quality of engagement of the people and the practice of collective functioning involving all the elected members. These require proper functioning of the Gram Sabhas, the Ward Committees, which have been named as the Ward Implementation and Management Committees (WIMCs) and has been given specific responsibilities and the Standing Committees. It has been observed that:

- a) General body meetings of the GPs are not very regular and minutes are generally not well maintained. Many of the formal decisions of the meetings are ignored during implementation.
- b) Statutory Standing Committees are not clear of their functions and are, therefore, not motivated to hold regular meetings.
- c) Information on rules, programmes and government circulars are often not shared with the Panches.
- d) Ward members used to play limited roles in Panchayat decision-making, though their participation in the General Body meetings is substantial. The launching of WIMCs has however empowered them substantially. But given the level of social inequality, especially along gender and caste lines, general inadequacy of training and a permanent helpline in the shape of a mentoring and handholding support, activation of the WIMCs may be problematic.
- e) The Ward members consider the directly elected Mukhiya as the dominant decision maker at the Panchayat level. Compared to the Ward members, Mukhiya tend to be wealthier, more educated and better informed.
- f) The protocol for holding Gram Sabhas need to include standard disclosure norms and an independent oversight mechanism for monitoring both process and outcomes.

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<sup>9</sup> Para 2.4.8 Final Report for 2015-20 of the Fifth Finance Commission Bihar, Volume I

#### **2.2.4 Regulatory Framework for Financial and Fiduciary Issues**

The Project Appraisal Document of Bihar Panchayat Strengthening Project had identified the regulatory framework for local revenue mobilization as weak. The document also raised issues with fiduciary environment as it considered the financial and procedures for financial management of PRIs quite antiquated. The regulatory framework, as the study team have been informed, is being reconstructed. It would however require huge capacity building exercise to implement the new framework with a dedicated handholding mechanism for a long time.

#### **2.2.5 Defining the Functions and Protocols for Activities**

2.2.5.1 Section 22 of the Bihar Panchayat Act contains a fairly exhaustive list of what the GPs are supposed to do in respect of items listed in the 11<sup>th</sup> Schedule of the Constitution of India. The departments concerned of the State Government have also assigned activities to the GPs, which at times exceeds what has been mentioned in the Bihar Panchayati Raj Act. However, there are no prescribed protocols including financial provisions for implementing these activities, nor are there functionaries to discharge these responsibilities. There is no mechanism to ascertain or to monitor to what extent the GPs are able to carry out these responsibilities. Given the shortage of human, physical and financial resources and capabilities, most of these functions are presently carried out either by departmental functionaries whose accountability to the GP is not very strong or are not being taken care of at all.

2.2.5.2 Some of the activities are also apparently concurrent with other tiers and departmental units at the field level. These need to be reviewed in terms of the principle of subsidiarity. The need for a coordinating mechanisms or authority in the case of overlapping responsibilities within or among functions also requires to be defined specifically.

2.2.5.3 The system of Record-keeping also needs significant improvement. In absence of proper infrastructure the records are frequently kept in the residence of the Mukhiya or Secretary and there is apparently little institutional ownership.

### **2.3 Functionaries of GPs**

2.3.1 At present most of the GPs have a part time Sachiv who serves more than one GP. The Fifth State Finance Commission (5<sup>th</sup> SFC) has suggested a model cadre for each GP consisting of a) Gram Rozgar Sewak /Sahayak Gram Sachiv (SGS), b) a GPs Sachiv (GPS) and c) Panchayat Development Officer (PDO)/Panchayat Coordination Officer (PCO). The State Government needs to take a call on accepting this recommendation and manning the GPs accordingly.

2.3.2 However as of now there are four contractual personnel attached to each GP. They are i) Indira Awas Sahayak, ii) Vikash Mitra, iii) Panchyat Rojgar Sahayak and iv) Kirshi Salahkar. The 5<sup>th</sup> SFC has recommended more effective deployment of this group of employees.

## **2.4 Finances of the GP and it's Management**

2.4.1 The Project Appraisal Document of the Bihar Gram Panchayat Strengthening Project had noted that the “fiduciary environment in PRI is extremely weak and is characterized by (i) antiquated financial rules and procedures for financial management in PRIs -- the rules supporting the PRI Act (2006) have not been updated; (ii) no accounting cadre in PRIs despite proliferation of scheme-wise accounting and reporting obligations to different financiers and absence of a consolidated financial position of PRIs; and (iii) lack of staff capacity of the independent auditor of PRIs, the Local Fund Examiner (LFE), hence only 500 out of 8,410 PRIs are being audited annually with audit reports often showing poor fiduciary compliance.

2.4.2 Though social audit has been mandated under MGNREGS, it is not widely used for either MGNREGS or broader accountability purposes.

2.4.3 The 5<sup>th</sup> SFC had recommended that there should be rules to clearly prescribe procedural guidelines and circulate a Manual of Panchayat Finance, posts related to accounts should be created and filled in urgently and the incumbents should undergo intense training. The Accounts of GPs should be computerized by 2017-18 using PRIA Soft or other suitable software and there should be a robust system of supervision. The study team was informed that the Bihar (Accounts, Audit, Budget and Taxation) Rules was being drafted. It is presumed that the issues pointed out in different studies/ reports have been taken care of in this rule.

## **2.5 Own Source Revenue of Panchayats**

The 5<sup>th</sup> SFC has examined this issue in-depth and have come out with some very important recommendations. These are:

- i. The State Government should put in place rules and procedures for collection of property tax by the GPs.
- ii. The Panchayats may collect tax on advertisement as recommended by the 14<sup>th</sup> FC.
- iii. Section 27 (b) of the BPR, 2006 empowers the GPs to impose tax on Profession, Trade, Callings and Employment. However, no rule has been framed. GPs, therefore, cannot collect Profession tax. The list of assesses should be shared with the respective Urban Local Bodies (ULBs) and the ZPs for their knowledge and assisting the Commercial Tax Department to identify those who are eligible to pay tax but are outside the net.
- iv. Sharing land revenue with the GPs in Bihar was recommended as early as in 1959. Land revenue was an important source for the State Government in those days. Net proceeds of land revenue collected from any GP may be transferred to the GP. Overall supervision of the GP on tax collection will be useful for better realization of the same.
- v. There is provision for collection of tolls, fees, user charges etc. by the Panchayats. PRD should come out with model bye-laws for being adopted by the Panchayats. The process of adoption should be facilitated by PRD.
- vi. The State Government should launch a drive for identification and documentation of all economic assets like lands, buildings, markets, water bodies etc. owned by

Panchayats. These should be developed and managed for improving income of the Panchayats. Even if land is not available, Panchayats should be encouraged to plant trees along the roads and canals to improve their revenue base.

- vii. The Panchayats should be encouraged to develop infrastructures like markets, community centres, bus stands which are beneficial to the people and are also helpful in mobilizing revenue.
- viii. Services are the most visible activity of the Panchayats for the citizens and there should be enough emphasis in building capacities of their Panchayats for both improving services and recovering at least part of Operation and Maintenance (O&M) charges.

## 2.6 Review of Planning and Implementation

2.6.1 UNICEF, in partnership with PRAXIS and CENCORED, had piloted an initiative for 'Integrated District Plan' in Vaishali district of Bihar in line with the guidelines of Planning Commission, in 2009. <sup>10</sup>

The learning from this initiative has been:

- i. The DPCs had been constituted, and the provisions of the Bihar Panchayati Raj Act 2006 contains important policies for strengthening local self-governance, including affirmative provisions of reservation of seats favouring socially disadvantaged sections and women.
- ii. The Activity Mapping of the Panchayat bodies for delineation of tier specific responsibilities was not in place when the planning process was initiated.
- iii. A strong role of the DM was of critical importance. The then District Magistrate (DM) of Vaishali had taken a very active interest in the planning process.
- iv. During the district planning process in Vaishali, it required establishment of a special pool of professional consultants financed by UNICEF and attached to a forum of representatives of various line departments, to support the multi-level planning processes in the absence of formal mechanisms of secretarial support to the DPC. The Cell, played a critical role. In other words, the in-house capabilities within the system were not adequate to support the planning process.
- v. Different administrative units located at the district level, including line departments and parastatal bodies, had a tendency of bypassing the DPC and undertaking parallel planning processes without timely convergence with Integrated District Plans. Given the vertical command lines of most line departments, such convergence was not deemed feasible unless strictly demanded by the State Government.
- vi. At the level of local governments, the opportunity to engage with district planning processes was not always perceived as a matter of right of elected people's representatives, and capacity building processes must have strong in-built awareness-generation components to emphasize upon such rights.
- vii. Lack of clarity about financial outlays at various levels in a district appeared as a big challenge for the district planning exercise in Vaishali, which made the planning

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<sup>10</sup> UNICEF and PRAXIS, *Facilitating District Planning: Integrated, Decentralized and Participatory*, UNICEF, New Delhi, 2009.

exercise somewhat speculative, though based on an examination of expenditure data for previous years.

- viii. The GPs were involved in the planning process, and plans did emerge, but the lessons from this exercise doesn't seem to have been institutionalised as revealed in RF's study of the GPDP process.
- ix. In addition to training of leaders and key functionaries of the local bodies, one of important strategies employed in the process in Vaishali was the identification of one competent local resource person in each village by the facilitators, to work closely with them and avail of hands-on training in facilitation to be able to support similar planning exercises undertaken in future.
- x. The report recommended in favour of making the Ward a meaningful sub-unit of local self-government without diluting the mandate and authority of a Panchayat, given the heterogeneous character of most GPs in Bihar. It suggested adoption of the processes that was used by the 'Strengthening Rural Decentralization' (SRD) project of Government of West Bengal, which provided for devolution of untied funds and planning opportunities to each of the constituent Wards of a Panchayat towards deepening of democratic processes within a Panchayat. Now that Bihar has decided to set up a WIMC in each Ward it would be useful to adopt the SRD processes *mutatis mutandis*.
- xi. One of the important learnings from Vaishali was regarding the need for strengthening of the Standing Committees of local bodies, requiring clearer delineation of their roles and responsibilities, and formulation of clear rules and protocols for discharging the assigned responsibilities meaningfully.
- xii. There was need for respecting the sanctity of integrated plans emerging during the decentralized planning processes, by ensuring timely release of funds for implementation, and setting up of monitoring mechanisms at the level of standing committees of PRIs and vigilance committees at the level of Gram Sabhas. Capacity of Standing Committees need to be enhanced to enable them to keep track of the monitoring indicators spelt out within the detailed specifications of plan proposals and to hold responsible authorities accountable with respect to their roles outlined in the local plans.
- xiii. Setting up of an effective 'Grievance Redressal System' at the State as well as district level to deal with the unfulfilled expectations of various participants of the planning process or any instances of unreasonable transgression of the democratic prerogative of elected bodies.
- xiv. The relevance of applying "the principle of optimal ignorance", i.e. the need for the micro-planning units to process only as much data as really necessary for planning purposes. The responsibility of generating data for building up a local database, which can be a hugely useful aid for micro-planning, could be delegated to government functionaries deployed at the local level, e.g. the Panchayat Secretary, and elected representatives should be the exempted from the responsibility of gathering data themselves. In most villages in Vaishali, the local needs articulated by people during the planning processes were mostly regarding shortfalls in availability of government services, deficiencies in infrastructure, disproportionately low concentration of vital

amenities, or aspirations of improved quality of services. This did not necessarily demand processing of all the secondary information that had been pre-organized for the planning processes.

2.6.2 The 5<sup>th</sup> SFC did not have any specific recommendation with regards to decentralized planning at the GPs level, but they did emphasize on the constitutional mandate on the DPCs to prepare Integrated District Plan for both the Panchayats and Municipalities as per Art 243ZD.

2.6.2.1 The Commission did not receive any information from the Panchayat Department and the Rural Development Departments of the Government on the subject. But from their own exploration the Commission found that primarily due to (a) non-cooperation of the line departments, and (b) low capacity of the PRIs, ULBs and the DPCs to plan, such ‘planning’ was limited to Backward Region Grant Fund (BRGF) and Finance Commission funds. Discontinuation of BRGF by Central Govt. has further weakened the DPCs and also the bottom up planning.

2.6.2.2 The Commission had generally endorsed the action points for decentralized planning suggested by the MoPR. They recommended that a) technical support should be provided to DPCs by functionally integrating DRDA, District offices for Planning/ Economics & Statistics, Town & Country Planning, District units of National Informatics Centre (NIC) and National Resources Data Management Centre. Besides, experts in requisite areas like planning, programme management, resource management, livelihood etc. should also be involved in the process, b) the DPCs should be equipped with building and Secretariat and c) Plan Plus and GIS modules of e-Panchayat must be made operational urgently.

2.6.2.3 The Commission did not get any information from the departments on the status of the Civic Functions. However, from the Commission’s preliminary field visit they observed that the GPs had no activity related to i) sanitation, ii) parks/playgrounds and iii) Library/Museum; rather limited activity on i) water supply, ii) solid waste management and properly functioning activity relating to i) drainage and sewerage, ii) local roads and footpaths and iii) burial and cremation grounds. GPs used to provide street light once but the service stood suspended owing to some litigation pending at the High Court.

2.6.2.4 The commission also did not receive any information with regards to (a) Level of service coverage or on (b) Efforts being made to enforce the benchmarks for essential services.

2.6.2.5 The Commission recommended for drawing up of a proper planning guideline for the GPs and also ensure that all information on probable receipt of funds be communicated to the Panchayats in time since the most funds are received by the Panchayats as grants or for implementation of Government schemes.

## 2.7 Improving Institutional Capacities

2.7.1 The MoPR of the Gol had commissioned a Capacity assessment – Capacity Development study<sup>11</sup> of Bihar under the MoPR – UNDP Capacity Development for Local Government (CDLG) project, and the study was focused on the preparedness of the State to deliver capacities to elected representatives (ERs) and support functionaries in the context of the National Capacity Building Framework (NCBF).

2.7.2 Bihar has been (and still is) trying to address the capacity building issues through the creation of a cadre of Master Resource Persons (MRPs) and District Resource Persons (DRPs), developing basic modules for training of ERs as well as that of trainers, and had targeted in the first rounds of training aimed at covering 100 per cent Elected Representatives and Panchayat Support Functionaries (PSFs).

The study had identified the following issues and challenges in the capacity assessment exercise they had undertaken.

2.7.3 **Legal capacity:** two significant issues identified are:

- i. Need for modifications in existing contiguous acts impinging on the PR canvas to ensure smooth devolution.
- ii. Non-clarity of roles, responsibilities, and powers of SCs and chairpersons of SCs vis-a-vis body corporates and their presidents.

2.7.4 **Policy capacity:** The study identified seven key bottlenecks:

- i. Non-convergent design of GOI programmes/schemes.
- ii. Non-convergent implementation of PRI-CB&T at the State level.
- iii. Non-optimal planning of PRI-CB&T by the State PRD.
- iv. Non-incentivized, non-mandatory environment for PRI-CB&T users.
- v. Lack of a nodal PRTI in the State and setting up of ETCs.
- vi. Limited ICT usage for PRI-CB&T.
- vii. Non-observance of devolved functions and procedures.

2.7.5 **Strategic capacity:** The key issue identified was that the concept and focus only on output-oriented training as opposed to holistic Capacity Development (CD). The training was non-differentiated (non-segmented for different entitlement holders), mainly aimed at providing information and knowledge, had very limited use of adult and experiential learning approaches, almost no use of ICT, and a weak monitoring and evaluation (M&E) system.

2.7.6 **Institutional capacity:** The key issues identified here were:

- i. Lack of a nodal institution for PRI-CB&T.
- ii. Autonomy of the nodal institution for PRI-CB&T.
- iii. Creating and strengthening/increasing the geographical reach of ETCs.

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<sup>11</sup> Government of India, Ministry of Panchayati Raj, *Capacity Assessment and Capacity Development Strategy (CA-CDS) Report for Strengthening Panchayati Raj Institutions in Bihar*, UNDP, New Delhi, 2012.

**2.7.7 Systems capacity:** The key issue identified here was that of weak systems and non-existent databases based on an analysis of 14 systems of the State PRD. The 14 systems were related to a) Training needs assessment, b) Training module design, c) Training documentation, evaluation, and reporting, d) On the job training, e) Planning, reporting, and evaluation of exposure visits, f) Identifying, selecting, training, and evaluation of trainers/mentors, g) Convergence guidelines, h) Research management, i) Operational planning, j) Database management, k) Management information system, l) Procurement management, m) Contract management, n) HR system.

**2.7.8 Infrastructure capacity:** The key issue identified here was paucity of infrastructure including physical and IT/ICT, limited number of ETCs, and lack of involvement of civil society organizations (CSOs) for CB&T delivery in the State.

**2.7.9 Financial capacity:** The study did not find implementation of NCBF at that time. However, with the proposed strengthening and scaling up fund requirements were expected to shoot up to several times the current levels.

## **2.8 The Need for a Roadmap**

The discussions above show that because of the complex history of Panchayati Raj in Bihar, there are many inter-related areas covering legal framework, organizational structure, institutional functioning, management practices, nature of engagement of the people and the elected representatives etc. which needs to be improved. There is also need for appropriate capacity building and training of all the stakeholders. Further, there is need for monitoring all the processes followed in functioning of the GPs and delivery of services to the people for understanding the weaknesses and the areas of failure to enable taking corrective measures through appropriate interventions. Some of the required interventions are rather easier to organize and will require less amount of resources while there could be some other possible interventions requiring huge resources and/or political will for bringing in the desired changes. Also, some of the required interventions are very basic touching the core issues of governance and cannot be compromised while there could be some other interventions which may wait without making much difference in the short run. Therefore, there should be an appropriate Roadmap to workout which interventions are easier to implement and should be taken up immediately and which are more difficult to achieve and/or this may not be the most opportune moment to pursue right now. There is need to prepare a Roadmap to not only identify what is to be done but also to suggest how the same will be done and when. It will also be easier to take a holistic look in appreciating what all are to be achieved to ensure that the GPs are put in a better institutional growth path. All the different aspects of the Roadmap have been described in the following sections. However, this Roadmap is largely a Roadmap prepared with the Gram Panchayat in mind. In future appropriate Roadmap for the upper tiers also would be necessary. Given the limitations of time and budget, it was not possible to devote attention to the upper tiers. It is however expected that many of the suggestions would be relevant for them also.



## 2.9 Methodology used for Preparation of the Roadmap

For the preparation of the Roadmap a mixed methodology applied consists of: a). desk review of existing relevant published and unpublished documents, e.g. Finance Commission Reports, Guidelines and Government Orders related to PRIs, studies done previously, etc.; b). Three workshops at Kolkata with officials of Panchayati Raj Department of Bihar and UNICEF officials from Bihar Field Office; c). State level workshop at Patna which was attended by Principal Secretary of Panchayati Raj Department, other senior officers of the Department, Chief of Field Office, UNICEF Bihar, Mr. A.N.P. Sinha, Former Chairman of the Fifth State Finance Commission, and representatives from different PRI bodies; and d). Field visits to the following districts, blocks and GPs to collect quantitative and qualitative data:

<b>District</b>	<b>Block</b>	<b>GP</b>
Patna	Dhanarua	Moriyawa
	Punpun	Barha
	Punpun	Kalyanpur
Gaya	Sherghati	Chitash Kalan
	Manipur	Shadipur
Vaishali	Sahadei	Sultanpur
Muzaffarpur	Sakra	Jagdishpur Baghnagari
		Paigamberpur

## CHAPTER - 3

# STRENGTHENING DEMOCRATIC FUNCTIONS OF THE GRAM PANCHAYATS

### 3. 1. Introduction

Panchayats as democratic institution, function under the leadership of the elected functionaries. However, the elected functionaries, in their roles as representatives of the people cannot always be expected to correctly focus the aims and aspirations, the deprivations and demands of the people, particularly the mute section of them unless there exists close and regular interaction with the people. Though this is true for all elected bodies but the same is more significant, particularly at the lowest tier of the GPs, because they function on addressing the local issues touching everyday life of the people. In order to bring out the popular demands in focus, one requires continuous active participation of the people. This chapter describes how the democratic functioning of the Panchayats could be strengthened and expanded for more wide and effective participation of the people, particularly the weaker section of the community and how to build capacities at all levels for achieving it.

### 3.2. Participation at the Village Level

3.2.1 Formation of WIMCs and Building their Capacity: Legal changes have been made to entrust more responsibility including execution of schemes by the villagers themselves through constitution of the WIMC at the ward level (See Annex 1, Issue 2, sub-part A(1)). The WIMC should not become a new tier of Panchayat but should be an integral part of the GP sharing some functions of the GP on its behalf at the village level. WIMC will be the representative body of the villagers at the village level to continuously interact with the people and maintain liaison with the GP. Proper functioning of the WIMC will require appropriate political will and congenial environment for consensus based approach to development. The aim of the Government should be to sensitize the citizen to come forward and build consensus in forming WIMC in all the wards. Formation of the WIMC need to be followed by capacity building through training and regular interactive sessions of all the members of the WIMC for which the State Government will make necessary arrangement. The outcome will be measured by participation of at least 20 per cent of the citizenry in the Gram Sabha meetings and ability of the WIMC to help in preparation and implementation of GPs plans showing Ward-wise break up. Experience shows that the activities, which can be planned and taken up at the ward level, though small in size yielding limited benefit in isolation but are very important in the local context, have considerable impact when multiplied by large number of Wards that exist in the State.

3.2.2 There is need for capacity building of WIMC members to enable them to follow the prescribed administrative and financial procedures for discharging responsibilities entrusted to them under Section 170(B) and 170 (C) of the Bihar Panchayati Raj Act 2006. This should be in the specific context of the two schemes, namely,

- i) *“Mukhyamantri Gali-Nali Pakkikaan Nischay Yojana”* and

ii) *“Mukhyamantri Gramin Peyajal Nischay Yojna”*

After identification of issues that hinder implementation of these two major infrastructure programmes of the State [See Annex 1, Issue 2, sub-part – A (2) and A (3)].

### **3.2.3 Setting out Protocols for functioning of the Committees**

The Standing Committees provide scope for participation of all elected members of the Panchayats and departmental functionaries. In order to enhance participation in decision making within the Panchayats the following steps should be taken towards that end:

- (i) Ensure timely holding of Ward Sabha and Gram Sabha meetings and monitoring follow up actions.
- (ii) Ensuring holding of stipulated number of General Body meeting and Standing Committee meeting every month.
- (iii) Preparation of Standing Committee wise budget as well as WIMC wise budget, clear delineation of responsibilities and regular meeting.
- (iv) Expenditure authorization for taking up schemes by respective committees.
- (v) Clear delineation of roles and responsibilities of the Mukhiya, the Standing Committees and that of the WIMCs.
- (vi) Proper documentation of the Committee meetings and the decisions and monitoring to ensure that decisions taken are complied with.
- (vii) Transparency and accountability system to be in place along with mechanism of communicating decisions of the Panchayats to the citizens.
- (viii) Proper system of grievance redressal.

### **3.2.4. Other Processes for Strengthening Democratic Functioning of the GP**

- (i) Social audit of all important programmes a regular activity of GP.
- (ii) Ensuring attendance of the officials at the Gram Sabha meetings to the extent possible.
- (iii) Introducing Citizen’s Report Card (CRC) and developing capacity of the citizens to collate, sift and evaluate information available from the CRC and other means.
- (iv) Ensuring that the expected obligations of consultation are followed at all levels and encouraging civil societies to be involved in the process.
- (v) Taking all possible steps for promotion of civil societies for strengthening the process of good governance.
- (vi) Making panchayats more accountable to the people through effective engagements of civil societies with those bodies [See Annex 1, Issue 2, sub-part - A (4)].

### **3.2.5. Increasing Awareness of the People in General**

There is inadequate understanding of the system of governance and the roles and responsibilities of the Panchayats by the ordinary citizens and that is a major impediment in participation of the people. Sometimes that also leads to demanding services from the GPs which they are not empowered to deliver. The State Government need to take appropriate Information, Education and Communication (IEC) for dissemination of important information related to the functioning of the Panchayats with particular reference to interests of the citizen

and take all possible measures for generation of awareness related to those aspects among the people [See Annex 1, Issue 2, sub-part – A(5)].

### **3.3. Organizing the Poor for their Participation in Panchayats**

Making legal provision and providing structural framework are not enough for the poorer section of the community and the women to participate in the process of development. In order to have the voice of the vulnerable and the marginalized sections heard, they have to be organized and their capacities are to be increased for being able to voice their demands and influence functioning of the Panchayats in their favour. This needs to be done by organizing the poor, particularly the women in Self Help Groups (SHGs) through the Jeevika programme (State Rural Livelihood Mission). SHG movement, especially of the women, in the State has gained a lot of momentum. The poor are already organized in groups for enhancing their livelihood opportunities and they need to be sensitized to work with the GPs for their socio-economic development covering all other aspects of life. Special drive need to be taken up to improve the understanding of the SHGs regarding the socio-economic situations in their own context as well as services to be made available by the Panchayats for its improvement. They need to be encouraged to participate in the affairs of the Panchayat as citizen and to avail due services from the Panchayats for their socio-economic advancement for which the State Government will take measures for building up their capacity. Bihar has already achieved impressive results in this regard, but more needs to be done in the coming years [See Annex 1, Issue 2, sub-part -A(5)].

### **3.4 Increasing Participation of all the Panches**

As per Sub-section 2 of Section of the Bihar Panchayati Raj Ordinance all the Panches are members of the Pubic Works Committee and each Panch is the Chairperson of their respective WIMCs. This arrangement gives very clear responsibilities of planning and implementing schemes related to drinking water supply, access roads and drainage in each Ward as well as to participate in the GP level in the Public Works Committee and other Standing Committee of which some of them, if not all will be members. This will make functioning of the GPs more inclusive and not centred on the Mukhiya alone. The Mukhiya need to be particularly sensitised for collective decision making by involving all the Panches in functioning of the GPs and the Panches need to be trained in discharging their responsibilities.

### **3.5 Improving Accountability and Transparency**

3.5.1 Improving accountability is a key pre-requisite for better functioning of the Panchayat. At the village level such accountability is attempted by calling all the voters in Gram Sabha meetings four times in a year for sharing information and receiving suggestions of the people. The system of social audit of all important programmes should be made a regular activity of the GP. Meetings of the Gram Sabha shall be more meaningful and effective if officers and functionaries of the State Government implementing programmes or providing services to the people of that Gram Sabha also attend its meetings. They may explain the programmes implemented or services provided to the people and shall be able to get feedback from the people on how their functions may be improved. Their direct interaction with the target group people will also help in better implementation of the programmes.

3.5.2 Accountability cannot be enforced if there is lack of transparency in functioning of the Panchayats. Steps need to be taken, as described later, for improving access to information to the people. One immediate measure will be to make some disclosure voluntarily. GPs should be required to publish by writing permanently on suitable walls or permanent display board in its office or in other public places the progress made under various schemes. A format for this may be designed by the State government to make it easier for the GPs to display information in a way that is easy to comprehend for a villager. Care should be taken to ensure that this information sharing does not become political propaganda.

### **3.6 Other Ethical Steps for Good Governance**

3.6.1 Strict observance of rule of law, following financial disciplines and maintaining objectivity and integrity are essential ethics on which the Panchayat system has to function. Maintaining transparency in all transactions and providing access to information to the citizen will be given due importance, as already mentioned. Apart from scrutiny by the higher tiers, the auditors and administrative inspections, emphasis should be given on development of citizen's report card to judge the ethics being followed in the affairs of the Panchayat [See Annex 1, Issue 2, sub-part – B (3)].

3.6.2 The State Government need to take up appropriate advocacy programmes for the people to demand highest standards of honesty, integrity and objectivity. Also in order that any person can judge the same there should be access to all information upholding the spirit of the Right to Information Act. Experience shows that individual person, who is from the marginalized section and have apprehension of losing patronage of such bodies are not in a position to come forward unless organized in groups or assisted by others for demanding transparency and information, particularly if the same has been taken against their interest. Therefore, innovative measures involving ICT, particularly mobile telephony need to be adopted so that a marginalized person can also raise his/her voice through mobile phone messages while maintaining anonymity [See Annex 1, Issue 2, sub-part – B (2)].

### **3.7 Interface between Panchayat and Civil Society**

Development of social capital by encouraging civil society to get engaged with the functioning of the Panchayats will be an important aspect of institutional strengthening of the Panchayat system. To promote that the Government should ensure that consultation and participation are embedded into the culture of all Panchayat bodies. The Government may consider proposing to ensure that the statutory obligations for consultation, at all levels are followed up in letter and spirit to ensure greater transparency of functioning. This would imply a more focused set of interventions for improving the quality and regularity of the consultation process in which the participation of the civil society will be very much desirable. The Panchayats can be made more accountable and effective if along with the World Bank supported project, there is also a project to strengthen the Civil Society of the State [See Annex 1, Issue 2, sub-part – B (3)].

## CHAPTER - 4

### IMPROVING SERVICES PROVIDED BY THE GRAM PANCHAYATS

#### 4. Services Provided by the GPs

4.1 Article 243G of the constitution empowers the Legislature of a State to endow the Panchayats with such powers and authority as may be necessary to enable them to function as institutions of self-government and such law may contain provisions for the devolution of powers and responsibilities upon Panchayats at the appropriate level, subject to such conditions as may be specified therein, with respect to:

- a) The preparation of plans for economic development and social justice;
- b) The implementation of schemes for economic development and social justice as may be entrusted to them including those in relation to the matters listed in the 11<sup>th</sup> Schedule.

4.2 In conformity with the constitutional provisions The Bihar Panchayati Raj Act assigns some activity out of all 29 subjects of the 11<sup>th</sup> Schedule of the Constitution.

4.3 A study on Functions, Functionaries and Funds of the Panchayati Raj institutions of Bihar, entitled “Handing over the Baton” prepared for the Department of Panchayati Raj, GoB by Praxis – Institute for Participatory Practices in 2014-15 with support from UNICEF lists 250 activities that have been assigned to the GPs by different departments. The number of activities assigned to GPs are summarized in the Table 4.1 below.

**Table 4.1: Powers and responsibilities devolved to PRIs by various departments in Bihar**

Sl. No.	Department	Number of Activities devolved to GPs
1	Agriculture	12
2	Animal Husbandry and Fishery	18
3	Environment and Forest	12
4	Health and Family Welfare	8
5	Industry	17
6	Labour, Employment and Training	20
7	PHED	15
8	Primary and Adult Education	42
9	Revenue and Land Reform	20
10	Rural Development	17
11	Rural Development ( <i>Gram Abhiyantran Sangathan</i> )	1
12	Secondary Education	2
13	Water Resources (Minor Irrigation)	12
14	Welfare	27
15	Art, Culture and Youth	4
16	Food Supply	6
17	Rehabilitation and Assistance Energy	10
18	Energy	7
		250

Source: Handing over the baton; Report prepared by Praxis – Institute for Participatory Practices 2014-15 with support from UNICEF for the Department of Panchayati Raj, Government of Bihar (2014-15) Page | 29

4.4 The Project Appraisal document of Bihar Panchayat Strengthening project had noted in 2012 that current assignment of functions and sub-functions of the three tiers of PRIs as described in the GoB's 'Activity Mapping' present challenges to institutional development of PRIs.

4.4.1 First, in many cases the 'Activity Mapping' does not provide for financing of these activities or the assignment of the functionaries necessary to carry out these activities. By and large, these functionaries remain employees of the state. The 'Activity Mapping' provides the Panchayats with supervisory authority over the work of the state functionaries and their requests for leave.

4.4.2 Second, the 'Activity Mapping' did not define the respective responsibility for each of the 29 functions where there are concurrent assignments among the four tiers of government, i.e., the State Government and the three tiers of PRIs.

4.4.3 Third, it did not provide for coordinating mechanisms or authority in the case of overlapping responsibilities within or among functions.

4.4.4 Finally, the GPs and PSs are often only assigned direct or indirect supervisory or recommending responsibilities. For example, GPs and PSs can recommend beneficiaries under the Indira Awas Yojna (IAY), the Old-age Pension Scheme and the Total Sanitation Campaign (TSC), or monitoring teachers under the Sarva Shikha Abhiyan (SSA) but there is no mechanism for the GPs or PSs to appeal against decisions taken by higher levels of government, limiting their authority. Similarly, the line departments' investment programmes are required to respond to local priorities articulated by Gram Sabhas, but coordination is weak reducing the chances that local priorities are respected by the line departments. The result is that accountability for public infrastructure and services is unclear.

4.5 The 5th SFC of Bihar too considered the progress so far on 'Activity Mapping' unsatisfactory.<sup>12</sup>

4.6 The 5th SFC was of the view that the rural local bodies should specifically perform broadly the following categories of functions as institutes of self-government.

- a) Regulatory Functions: These would include activities such as: i) Issuing Death and Birth Certificates; ii) issuing Trade License and other regulations, etc. besides judicial functions through the GKs<sup>13</sup>.
- b) Planning and implementing schemes: For both economic development and social justice;
- c) Providing Core Civic Services such as Water Supply, Sanitation, Drainage, Sewerage, Solid Waste Management, Access roads and Footpaths, Street Lighting, Parks, Playgrounds, Burial and Cremation Grounds, Library, etc. and;

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<sup>12</sup>Para 2.2.3.5 of the Final Report For 2015-20 of The Fifth State Finance Commission Bihar

<sup>13</sup> With respect to this category of functions the commission had noted that: i). Issuing Death and Birth Certificate was Functioning at GP level. However, there is lack of awareness among people; and ii). Even if Trade license and other Regulations used to happen at the PRI level earlier there is no such activity at any of the three levels

d) Perform Agency Functions: Functions assigned under the Central and State Schemes and policies.<sup>14</sup>

4.7 On the status of actual devolution the 5<sup>th</sup> SFC mentioned that: a) with regards to Funds no taxes are collected by the PRIs but a proposal regarding the same is under consideration of State government, b) in respect of Functions, Activity mapping has been conducted. Twenty line departments have issued Government Order (GO) and c) so far as Functionaries are concerned Departmental staffs are answerable to departments. Aangadwadi workers, health workers and teachers are appointed by PRIs<sup>15</sup>. The Commission also stated that they have not been able to obtain a list and extent of functions that the Panchayats are able to actually perform<sup>16</sup> and the functions that the Panchayats are unable to perform and the reasons thereof from the Department concerned<sup>17</sup>.

4.8 On the other hand the 5<sup>th</sup> SFC was also not happy with the roles assigned to Parallel Bodies<sup>18</sup>.

4.8.1 The 5<sup>th</sup> SFC felt that there is little evidence to show that such Parallel Bodies have avoided the evils including that of partisan politics, sharing of spoils, corruption and elite capture. These bodies they felt, often bypass the mainstream programmes, create disconnect, duality and alienation between the existing and the new structures and functions. In addition, there are issues of continuity beyond the life of CSSs or ACA, or State Schemes; subsequent operation and maintenance; and continued accountability. Parallel Bodies usurp the legitimate space of PRIs and demoralize the PRIs by virtue of their superior resource endowments, though such resources are available only during the lifetime of the schemes.

4.9 In drawing up a vision of Panchayats that should become symbols of Modernity and Responsive Governance the 5<sup>th</sup> SFC has suggested that all GPs should become smart and characterized by the following:

- a) Have a Panchayat Sarkar Bhawan,
- b) Have requisite skilled manpower,
- c) Implement all modules of e-Panchayat,
- d) Take Right to Public Services Act services from Block to GP,
- e) Enhance own revenue at least by 10 per cent per year,
- f) Implement PRIA Soft accounting software and regularly submit audited account,
- g) Provide essential civic amenities in its jurisdiction that would include: (1) Drinking Water, Drainage, Sanitation, (2) Village Street and Lighting (Solar + LED),
- h) Promote skill development, economic activities, rural market, etc.
- i) Provide Agri-Service Centre, etc.

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<sup>14</sup>Para 2.2.2 of the Final Report For 2015-20 of The Fifth State Finance Commission Bihar

<sup>15</sup>Table 2.2 of the Final Report For 2015-20 of The Fifth State Finance Commission Bihar

<sup>16</sup>Para 2.2.3.8 of the Final Report For 2015-20 of The Fifth State Finance Commission Bihar

<sup>17</sup>Para 2.2.3.9 of the Final Report For 2015-20 of The Fifth State Finance Commission Bihar

<sup>18</sup> Such as District Rural Development Agencies, Forest Development Agencies, District Watershed Development Societies, District Health Mission, District Education Mission, District Horticultural Mission, District Project Management Units of Externally-assisted Projects, etc.



- j) Prepare spatial plan for the GP area and implement building byelaws.
- k) Prepare socio-economic development plan for the GP,
- l) Have at least one playground and one library with IT facility,
- m) Facilitate Digital India (promote e-governance, e-education, e-health, etc.)

4.10 The GPs of Bihar however, have actually been able to take up very few of the functions assigned to it in all earnestness, for various reasons, including those of inadequate infrastructure, shortage of manpower etc., as discussed elsewhere in this document. Besides the activities devolved by various departments has not been accompanied by adequately defined accountability of the field level functionaries of these departments to the local bodies concerned. We have also not come across standard operating procedures for implementing these instructions. It is therefore recommended that activities to be actually taken up by the GPs may be reviewed and the functions to be taken up by the GPs are re-drafted on a realistic level, in conformity with their actual capacity.

4.11 The Bihar Panchayat Raj (Amendment) Ordinance, 2017 has taken a rather pragmatic view of the situation and has redefined the activities of the Standing Committees realistically. This amendment changes the role of: a) the Production Committee; b) Social Justice Committee; c) Education Committee; and d) Committee on Public Health, Family Welfare and Rural Sanitation<sup>19</sup>; e) Public Works Committee will oversee the activities of WIMC and monitor and supervise such other activities as has been assigned to them by the ordinance.

4.11.1 The other important institutional change brought about by this amendment is that of setting up of a WIMC by the Ward Sabha for discharge of its functions and responsibilities. The GPs Member elected from the Ward concerned has been made the ex-officio chairman of the WIMC. The functions of the WIMC are as follows:

- a) To generate proposals and determine the priority of schemes and development programmes for consideration of the Ward Sabha.
- b) To assist the Ward Sabha in generating awareness on issues like literacy, public sanitation, health, environment, pollution control etc.
- c) To select appropriate locations on behalf of Ward Sabha for water supply, public sanitation units and other public amenity schemes.
- d) To work under general control of Ward Sabha/GP for prevention of epidemics and natural calamities.
- e) Execution of schemes/programmes/responsibilities given from time to time by Ward Sabha/ GP.

4.11.2 The WIMC, however shall function under the Public Works Committee constituted under Section 25 (1) (vi) of the Act for execution of public works schemes.

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<sup>19</sup> These Committees have now been entrusted with the responsibility for monitoring and supervising the functions relating to their respective jurisdictions and will be replacing their earlier responsibility of “performing functions relating to” subjects assigned to them.

4.12 The Ward Sabhas in Bihar, of which the WIMC happens to be the executive arm, have also been entrusted with a wide range of activities in terms of sec 170 of the Bihar Panchayat Raj Act inserted vide The Bihar Panchayat Raj (Amendment) Act, 2015. The Ward Sabhas are responsible for: -

- a) Generating proposals and determining the priority of schemes and development programmes to be implemented in the area of the Ward Sabha and forwarding the same to the Gram Sabha for inclusion in Gram Panchayat Development Plan (GPDP);
- b) Identifying the most eligible persons from the area of Ward Sabha for beneficiary oriented schemes on the basis of criteria fixed;
- c) Verifying the eligibility of persons getting various kinds of welfare assistance from Government such as pensions and subsidies;
- d) Obtaining information from the GPs on the rationale of every decision of the GPs concerning the area of the Ward Sabha;
- e) Provide and mobilizing voluntary labour and contributions in cash and kind for development work and supervision of such development works through volunteer teams;
- f) Making efforts for ensuring that the members of Ward Sabha pay taxes and fees (if any) to the GPs;
- g) Suggesting, on the request of Mukhiya, the location of streetlights, street or community water taps, public sanitation units, and such other public amenity schemes within the area of the Ward Sabha;
- h) Imparting awareness on matters of public interest such as cleanliness, preservation of the environment and prevention of pollution;
- i) Assisting the employees of the GPs in sanitation arrangements in the area of Ward Sabha and render voluntary service in the removal of garbage;
- j) Promoting programme of adult education within the area of Ward Sabha;
- k) Assisting the activities of public health centres in the area of Ward Sabha especially in disease prevention and family welfare and to create arrangements to quickly report the incidence of epidemics and natural calamities;
- l) Promoting harmony and unity among various groups of people in the area of the Ward Sabha and to arrange cultural festivals and sports meets to give expression to the talents of the people of the locality; and
- m) Exercising such other powers and discharging such other functions as may be prescribed.

#### **4.13 Basic Infrastructure**

Given the changes brought about by the recent ordinance it would be appropriate to define the roles of each of the Standing Committees afresh and make provisions for building up their capacity in an incremental manner. Following the letter and spirit of the recommendations of the 14<sup>th</sup> FC of India and the 5<sup>th</sup> SFC of Bihar the primary focus of the GP should be on the delivery of basic services as defined by the both the Commissions.

4.13.1 Functions of the Public Works Committee and WIMC: In terms of sub-section (7) of Section-26 of the Bihar Panchayati Raj Act, the State Government is competent to issue necessary instructions to the GPs from time to time with respect to utilization and expenditure of money from the GPs Fund and such directions are binding on the GPs. The GoB have invoked this authority and vide Lt. No. 5752 and No. 5751, both dated 30<sup>th</sup> June 2017 respectively, instructed all GPs to accord priority to the implementation of: a). “*Mukhyamantri Gali-Nali Pakkikaran Nischay Yojna*”; and b). “*Mukhyamantri Gramin Peyajal Nischay Yojna*”. The objective of the *Mukhyamantri Gali-Nali Pakkikaran Nischay Yojna* Scheme is to ensure that: 1) all Wards in all GPs are connected by all-weather brick soled/ paver block/ RCC road; 2) There is adequate drainage facilities for safe disposal of liquid wastes and storm waters; 3) ensuring environmental sanitation of the ward.

4.13.2 The objective of the “*Mukhyamantri Gramin Peyajal Nischay Yojna*” are: a) to ensure an improved drinking water supply system for all rural families of the state; b) arrange for piped drinking water supply to all households throughout the year; c) make provisions for sufficient water for other household uses, such as, cooking, washing, cleaning etc. and d) reduction in the incidence of water borne diseases. It has also been mandated in the guidelines that 40 percent of GPs entitlement receivable under the 14<sup>th</sup> FC recommendations and 45 percent of the entitlement receivable under 5<sup>th</sup> SFC will have to be invested in “*Mukhyamantri Gali-Nali Pakkikaran Nischay Yojna*”, and an identical amount will have to be utilised for “*Mukhyamantri Gramin Peyajal Nischay Yojna*”. That would leave about 20 per cent of the entitlement under the Central Finance Commission and 10 per cent of the entitlement under the SFC to be used for other core service project of the GP. Given these mandates of the state, it would be appropriate to focus on these infrastructures initially, and take up other activities after these objectives of the state have been met.

4.13.3 The responsibilities of the WIMC for both these set of activities have been defined under the respective guidelines. The Public Works Committee of the GP has been made responsible for coordinating the activities relating to these programmes. Their roles need to be spelt out in greater details. Both Guidelines lay down fairly detailed procedural instructions for the WIMCs, including an operational time frame within which the programme has to be implemented. The monitoring mechanism of both the programmes has also been specified. The present status of the progress of implementation of these programmes and the effectiveness of the processes suggested are not available in the public domain. Therefore, the progress made is not known. Based on the pace of work a realistic plan for universal coverage has to be planned and intensely monitored. Capacity building of the members of WIMC and those of Public Works Committee of the GPs would be a huge need in this regard and would be discussed separately in Chapter VIII of this document.

#### **4.14 Improving Livelihood**

The Production Committee of the GPs has been made responsible for monitoring and supervision of functions relating to agriculture, animal husbandry, dairy, poultry and fisheries, forestry-related areas, khadi, village and cottage industries and poverty alleviation programmes. The extant orders of various line departments assign various kinds of activities

to the GPs without even defining specific items to be monitored by the GPs. The first step, therefore, would be to hold another round of consultation with the departments concerned to fine tune the monitoring arrangements. The line departments must share their plan for the GP level activities and report progress to the GPs concerned to enable monitoring, preferably in the Standing Committees.

4.14.1 However, the proposed monitoring arrangement may include oversight mechanism for improving the cropping intensity and the Production Committee may also suggest steps for providing micro and minor irrigation and mediate with the state extension machinery for improved agronomic practices for higher yield. They may also, with proper capacity building, assess the crop yield every year and work for increase in total production and economic returns of the farmers. The Committee may study the area to find out which land is unfit for cropping and advise and mediate with all concerned for planting trees on such land. They may also motivate the villagers concerned for improving tree cover for meeting the bio-mass need of the area. Promotion of horticulture and other species may also be taken up for generation of further economic activities using the planted trees. The Committee may also develop the GP's own assets in terms of plantation of valuable trees for generation of income on a sustainable basis.

4.14.2 The Committee will take steps for improving water and soil conservation for promotion of livelihood using MGNREGS with support of the departmental functionaries like Krishi Salahkar. Water conservation by storing surface water is an important activity to which the Panchayats are already associated. They may advise the department on ways to assist the SHGs and other community based organisations of the poor in taking lease of the water bodies and utilise them intensively for pisciculture to augment their income. Taking up composite culture of fishery and duckery together on such water bodies may be promoted for generation of more economic activities in their areas. The Committee may also devise ways of utilising MGNREGS for creating water bodies that may be used both for pisciculture and irrigation.

4.14.3 The GP has already been assigned the responsibility of supervising: a). Animal distribution and fish marketing programmes; b). Selection of fish farmers and animal rearers for training; c). Distribution of cows at grant in aid price; d). Disease control programmes; e). Maintenance of animal husbandry centre and artificial insemination; f). Development of grazing land; g). Control of epidemics and contagious diseases; h). Works related to disposal of dead animals and i). Maintenance of properties. The Mukhiya of GP has also been authorized to approve casual leaves as well permission for leaving headquarters for extension workers/departmental functionaries posted in rural areas. All these, however, would require huge capacity building and also fixed monitoring protocols which will have to be developed in collaboration with the line departments concerned.

#### **4.15. Ensuring Social Justice**

The Social Justice Committee of the GP has been assigned the responsibility for monitoring and supervision of functions relating to: a) Promotion of educational, economic, social, cultural and other interests of SC, ST and other weaker sections; b) Protection of such castes and classes from social injustice and all forms of exploitation; and c) Welfare of women and children.

4.15.1 With regards to the welfare of SC, ST and other weaker sections, the task already assigned to GP include a number of supervisory roles such as: a). Selection of students for various scholarship schemes, e.g. for SC, ST and OBC students studying in class 7 -10, for students hailing from families engaged in unclean occupation and Musahar families etc.; b). Preparing list of BPL Swarozgaris under SCA to TSP; c). Selection of students for disability scholarship schemes, e.g. for SC, ST and OBC students studying in class 1 - 6, for students hailing from families; d). General supervision of residential primary and middle schools and, hostels at primary, middle levels meant for SCs and STs; e) Monitoring of implementation of provisions laid down in the Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Act and initiating preventive measures; f) Approval of scholarship schemes, e.g. for SC, ST and OBC students studying in class I - VI, for students hailing from families engaged in unclean occupation and Musahar families etc.; g) Renewal of scholarship schemes, e.g. for SC, ST and OBC students studying in class I - VI, for students hailing from families engaged in unclean occupation and Musahar families etc.

4.15.2 On the issues related to women and children the GP's responsibility as laid down in the departmental order similarly include selection of beneficiaries of number of schemes as also engagement of AWCs etc. However, the monitoring functions have not been specifically mentioned. Subject to concurrence of the departments concerned this may include women and child related issues that would not be covered by the Committee on public health and the Committee on Education. These may include issues related to functioning of: a) The Village Child Protection Committee; b) Reduction of incidence of marriage of girl aged less than 18 years; c) Engagement of children below 14 years as labour; d) Functioning of the Adolescent club; e) Participation of Girls in games and sports etc. The GPs may be also sensitized to develop child friendly GPs and to put in place a system of Bal Panchayat for which appropriate orientation and handholding will be required. The same may be first piloted before considering to scale it up.

#### **4.16. Public Health**

The Committee on Public Health, Family Welfare and Rural Sanitation is responsible for monitoring and supervision of functions relating to public health, family welfare and rural sanitation. There is an apparent overlap between its mandate and that of the Public Works Committee, which have been made responsible for implementing the schemes relating to drinking water and drainage in coordination with the WIMCs.

4.16.1 In terms of Section 22 (xviii) of the Bihar Panchayati Raj Act, the GPs are responsible for: 1) Maintenance of general sanitation; 2) Cleaning of public roads, drains, tanks, wells and other public places; 3) Maintenance and regulation of burning and burial grounds; 4) Construction and maintenance of public latrines; 5) Disposal of unclaimed corpses and carcasses; 6) Management and control of washing and bathing ghats; and 7) Upgradation of environment and prevention of its degradation. The activities related to those subjects will have to be overseen and monitored by this Committee in terms of the amended provisions of the act.

4.16.2 The other issues that this Committee will have to keep track of include: a) Status of pregnant women in the GP every month; b) Whether all mothers are opting for and are able to access facilities for institutional delivery; c) Status of Ante Natal Care; c) whether risky pregnancies are being identified in time and safety measures taken; d) Incidences of child death; e) Coverage of immunisation programme; f). Nutritional status of children; g). Functioning of the AWCs; and h) Incidence of common diseases and the public measures required for mitigating them. A system of fixed day monthly meeting to discuss public health and nutrition related issues pertaining to the GP, based on a structured agenda and data updated monthly, with the participation of all stake holders might prove to be very helpful for the Committee to discharge its responsibilities.

#### **4.17 Education**

4.17.1 The responsibility for monitoring and supervision of functions relating to education, including primary, secondary and mass education, libraries and cultural activities has been assigned to the Education Committee of the GP. Presently the Primary and Adult Education Departments together have assigned 42 activities to the GPs, the Social Welfare Department have assigned 27 activities, the Art, Culture and Youth services have assigned another 4 activities. Given their present capacity, and the revision of the Committees mandate brought about by the recent amendment it is proposed that this assignment may be reviewed.

4.17.2 In the first phase the Committee may take up monitoring of implementation of the Right to Education Act in general with specific focus on: a) The number of eligible children not enrolled in school; b) Number of dropouts in the age group of 6-14 years and arrangement being made to bring them back to school; c) Incidence of absentees of students and teachers and the possible corrective measures; d) Status of infrastructure in schools including those for hand-washing, cooking of mid-day meal and toilets; e) Functioning of MDM schemes and the quality of food being served and f) Ease of access for the differently abled children.

#### **4.18 Planning, Co-ordination, Managing the Finance and other General Functions**

4.18.1 These major statutory responsibilities of a GP have been assigned to the Planning, Co-ordination and Finance Committee, which, along with the Public Works Committee would be headed by the Mukhiya. This Committee is responsible for performing all the general functions relating to GP including subjects mentioned in Section 22, which include, inter alia: a) Preparation of annual plans for the development of the Panchayat area; b) Preparation of annual budget; c) Power to take up relief works during natural calamities; d) Organising voluntary labour and contribution for community works; e) Maintenance of essential statistics of village(s), and f) Co-ordination of the work of other Committees and all residuary functions not under the charge of other Committees.

4.18.2 Apart from the task of preparing the plans for spatial and sectoral development of the GP, this Committee may also be made responsible for the regulatory functions of the GP such as: a) Issuing Death and Birth Certificate; b) Issuing Trade license; and c) Approving building plans, which needs to be included in the Bihar Panchayati Raj Act as recommended by the 5<sup>th</sup>

SFC of Bihar<sup>20</sup>. It is felt that given the new approaches adopted for deepening decentralisation in Bihar, the most important actions with regards to assignment of functions would be to draw up a fresh set of orders assigning specific functions to the GPs, especially defining the jurisdiction of each of the Committees, to be followed by working protocol for the assigned functions and roadmap for capacity building for discharging those responsibilities.

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<sup>20</sup>2.2.3.2 of the Final Report For 2015-20 of The Fifth State Finance Commission Bihar



## CHAPTER – 5

### FUNCTIONARIES OF PANCHAYATS

#### 5.1 Observation on Current Status of Manpower

5.1.1 In the GPs of Bihar, the only available regular staff is a Panchayat Sachiv, who usually holds charge of 3-5 GPs and performs many non-GP functions as assigned by district administration. This, coupled with the inadequate infrastructure of the GP, constitute the biggest challenge against enabling the GP to function as an institute of local government.

5.1.2 However the GoB in various departments have attempted to overcome this shortage by engaging contractual personnel at the GP level to take care of some of the work required to be done related to the department(s) concerned. These include: a) Indira Awas Sahayak; b) a Vikash Mitra; c) a Panchyat Rojgar Sevak; and d) a Kirshi Salahkar. Apart from the last person on the list, who is appointed by the District Agricultural Officer the remaining three are accountable to the District Development Commissioner (DDC). All of them however have very limited accountability to the GP.

5.1.3 Interestingly the Kishan Salahkar has no training or orientation in Agriculture. His/her sole responsibility is to collect different types of application for various agricultural programmes and pass them on to the concerned officer of the Agriculture department at the Block level. None of these contractual engagements seemed to be a whole-time assignment. They were also not linked to any of the Standing Committees at the GP level even though they deal with subjects, which are in the domain of one or the other standing Committees.

5.1.4 The Functional staff of some of the departments present at the GP level, such as Anganwadi Sevika, ANM and village level functionaries of Animal Husbandry department have some kind of *de jure* accountability to the GP, as their leave etc. are to be approved by the Mukhiya. In their cases too, their functions with respect to the Standing Committees concerned have not been specified.

5.1.5 There are no defined career prospects for the contractual employees concerned. There is no defined accountability mechanism nor have the RF team have come across any robust performance appraisal mechanism to assess their achievement.

5.1.6 The Officers meant for overseeing and handholding the institutional functioning of the GPs, viz. the Block Panchayati Raj Officers (BPROs) and the District Panchayati Raj Officers (DPROs) also do not seem to have been provided with specific monitoring, handholding and supervisory tools and resources. The BPROs are reportedly associated with too many ‘other’ assignments to play their role effectively.

5.1.7 The DPROs also do not have support of trained and qualified technical human resources especially in respect of skills related to financial management, ICT and Governance to be able to render much effective support to the PRIs and to discharge their roles effectively. There is need to strengthen the office of the DPRO by creating suitable posts to effectively supervise and guide the Panchayats. To start with the following resource persons may be engaged on



contractual basis with possible support of Rashtriya Gram Swaraj Abhiyan (RGSA) to assist the DPRO:

- Consultant - Audit and Accounts
- Consultant – Governance (Service Delivery and Planning by GPs and WIMCs)
- Consultant – IT

## 5.2 Recommendation of the 5<sup>th</sup> SFC on Functionaries of GPs

5.2.1 The 5<sup>th</sup> SFC of Bihar has taken into account the Model Panchayat Cadre structure recommended by the MoPR of the Gol and modified it to suit Bihar's requirements. The structure suggested by the 5<sup>th</sup> SFC along with its cost implications have been reproduced in the Table 5.1 below.

**Table 5.1: Recommendation on Functionaries of GP by the 5<sup>th</sup> SFC**

Sl.	Post	Nature of Posts	Unit per GP/PS/ZP					Total No of Posts	Salary per unit pm	Total Cost (p.a) Rs crore
			GP (8398)	PS (534)	ZP					
					Large (17)	Medium (12)	Small (09)			
1	2	3	4	5	6	7	8	9		
<b>A</b>	<b>Development Cadre</b>									
1	PDO <sup>1</sup>	Regular	1	0	0	0	0	8398	35000	352.7
<b>B</b>	<b>Engineering Cadre</b>									
2	D.E	Regular	0	0	1	1	1	38	50,000	2.28
3	A.E	Regular	0	1	2	1	1	589	44,000	31.1
4	J.E.	Regular	1 for 5	1	4	3	1	2327	30000	83.8
<b>C</b>	<b>Administrative Cadre</b>									
5	Sachiv	Regular	1	0	0	0	0	8398	19000	191.5
6	Hd. Clerk	Regular	0	0	1	1	1	38	25000	1.1
7	LDC **	Regular	1	1	7	5	4	9147	17000	186.6
<b>D</b>	<b>Accounts Cadre</b>									
8	Accountant	Regular	1	1	1	1	1	8970	22000	236.8
<b>E</b>	<b>I.T. Cadre</b>									
9	Manager	Regular	0	1	1	1	1	572	30000	20.6
10	Asstt-cum DEO <sup>2</sup>	Regular	1	1	4	3	2	9054	17000	184.7
<b>F</b>	<b>Contractual Staff (to be out sourced or on contract)</b>									
11	M.T.S <sup>3</sup>	Contract	1	1	(Maximumn 3)			9046	11000	119.4
12	Peon	do	0	0	(Maximum 2)			76	110000	1
13	Driver	do	0	0	(Maximum 3)			114	110000	1.5
<b>G</b>	<b>Total</b>		-					56,767	-	1413

1. Panchayat Development Officer, 2. IT Assistant-cum-Data Entry Operator, 3. MTS (Sweeper –cum - Peon cum – Chowkidar),

\*Large ZP- more than 15 Blocks, medium ZP less than 15 and up to 10 Blocks and small ZP less than 10 Blocks.

\*\*The post is LDC- cum - Tax Collector will serve both office works and collection of tax in the field.

5.2.2 According to this recommendation there should be: 1) 1 Panchayat Development Officer (PDO); 2) 1 GP Sachiv; 3) 1 LDC –Cum –Tax Collector; 4) 1 Accountant; 5) 1 IT Assistant – cum – DEO; and 6) one MTS (Sweeper – cum – Peon-cum Chowkidar in each GP. Such a structure will: a) Ensure availability of technical personnel at all three tiers and b) Make the

personnel transferable while providing them career progression. At the GP level the PDO should be the overall supervising officer who will be assisted by personnel with different skills.

5.2.3 The Commission has modified the recommendation regarding the area to be assigned to Junior Engineers. They have suggested that since the population per GP for the country is around 3000 and that for Bihar is around 11000, there should be one Junior Engineer (JE) for each cluster of 5 GPs in Bihar, in place of one JE for 10 GPs as recommended by MoPR. This would also enable the JE to visit the other four GPs, outside his Head Quarter one or two days a week.

5.2.4 The total financial resources required for such engagement has been estimated by the Commission and included in their recommendation.

5.2.5 The Commission has also recommended that the contractual GP level functionaries such as Vikas Mitra, Tola Sevak, Indira Awas Sahayak, Panchayat Rozgar Sewak, Krishi Salahkar, who are already available within the GPs but are without full-time work, could be placed under the GPs authority. The PDO, as and when appointed should, in addition to supervising the contractual employees of the GP, should also have overall charge of the GK staff since the part time employees of the GK cannot take up issues with the higher officers. It will further help in better coordination between GP and GK.

5.2.6 All contractual Officials like, Gram Rojgar Sevak, Tola Sevak, Vikas Mitra, Krishi Salahkar, etc. should work from the GP office and will sign their attendance at that office. The villagers can then mention their problem to the GP functionaries for necessary follow up. There should be meeting at PS level where the Mukhiyas convey problems of their areas, which remain unaddressed at the GP level meeting, to the departmental officers in the presence of Pramukh and BDO.

### **5.3 Suggestion on Manpower by MoPR**

5.3.1 The Road Map for Panchayats (2011 – 16): An All India Perspective circulated by the MoPR had suggested that a GP should normally have four categories of staff:

- i. Core staff for its internal processes: PDO/Secretary, Accountant, Technical Assistant (TA) and Extension Officer. Given the ever-increasing responsibilities and complexity of the task in the GP, it would be desirable to create a post of PDO with a degree/diploma in Business Administration, Rural Management or a similar degree;
- ii. Scheme Specific Staff: for example, MGNREGA provides a *Gram Rozgar Sewak* for the GP;
- iii. Functional Staff: such as Teachers, ASHA, Anganwadi workers; and
- iv. Contractual skilled workers: such as Motor Mechanic, Hand-Pump Mechanic, and Electrician etc.<sup>21</sup>

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<sup>21</sup> Roadmap for the Panchayati Raj (2011-16): An All India Perspective; Ministry of Panchayati Raj; Version date: Feb., 2011

5.3.2 The MoRD, GoI had constituted a ‘Committee on Performance Based Payment for Better Outcome in Rural Development Programme’, which has submitted its report recently and has recommended that the bare minimum human resources for the GPs will be the following:

- i. One full time Secretary on regular employment along with a full time PDO for GPs with population beyond 10,000;
- ii. Every GP should have a TA and the existing Gram Rozgar Sewaks (GRSs) with required qualification or suitable youth with required qualification should be selected on merit and trained as Barefoot Technicians<sup>22</sup> to carry out essential engineering functions including those related to water supply and sanitation;
- iii. Another full-time worker to take care of the ICT and accounting need who may be outsourced preferably from the SHG Federation or from the market based on merit. These staffs may be supported to substantial extent with the available scheme contingencies. This bare minimum requirement may be satisfied over a period of three years. The activities will include filling the vacancies of the Sachivs and providing skill training to the existing GRSs with required qualification to upgrade them in to a cadre of Technical Assistants. If necessary support of SIRD/Training Centres of other states may be taken in the initial phase. Similarly, where qualified women are available in the SHG federation of the GP, they may be given training on ICT and accounting to be a full time contractual worker for the GP.

#### **5.4 Manpower for current mandates of the GPs and WIMCs**

5.4.1 The guidelines for “*Mukhyamantri Peya Jal Nischay Yojna*” provided for setting up a support cell under the DPRO that will function as the resource centre for implementation of this programme for ensuring supply of drinking water to every rural household. This support cell will arrange for financial management, public relation, monitoring and evaluation, performance reports, consultation with interested persons etc. This support cell will prepare panels of one clerk-cum-IT Assistant and a JE for each cluster of four GPs and arrange for engaging them on the basis of performance based honorarium. The DPROs will invite expression of interest for empanelment of suitable candidates for these posts. The District Water and sanitation Committee has been asked to empanel candidates with engineering diplomas, who are willing to work against performance based remuneration, and share the panel with the GPs concerned. The GP will engage any one of these empanelled candidates as TA. The TA shall be responsible for preparation of the scheme and overseeing the technical components of its implementation. An amount equal to 2 percent of the estimated cost shall be payable to the TA as compensation, but this will be paid in a phased manner. For example: 0.25 per cent of the total compensation will be paid after the scheme has been prepared and approved by the Block level authorities, another 0.25 per cent after the water channels have been constructed, 0.25 per cent after each household have been connected, 0.75 per cent after the supply to the household have begun, and the remaining 0.50 per cent after the supply has successfully ran for three months. The BDO will be the Block level facilitator for this programme and he will be supported by the JE for MGNREGS in technicalities of

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<sup>22</sup> To undergo six weeks training as per module recommended by the MoRD, which should be upgraded. It should be extended to eight weeks to include water and sanitation.

implementation and monitoring of the programme. The BDO will prepare a panel of resource persons previously trained in this behalf, and use them as and when the occasion arises. He will also be responsible for overseeing the performance of clerk-cum-IT Assistant and the Junior Engineers working at the Cluster of GPs (mentioned above) and another officer, as may be authorised by the department will also will help him in supervising the programme. All GP level contractual functionaries such as the Gram Rojgar Sevak, Tola Sevak, Vikas Mitra, Krishi Salahakar, etc will act as “Motivators” and will be compensated proportionately.

5.4.2 A similar guideline, with some modifications has also been issued for implementation of the other major programme at the GP and ward level, viz. the “*Mukhyamantri Gali Nali Yojna*”. The DPRO would be responsible for financial management, public relation, monitoring and evaluation, performance reports, capacity building consultation with interested persons etc. The programme guidelines to provide for a support cell under the DPRP that will act as the resource centre for implementation of this programme. This cell will prepare panel of one clerk-cum-IT Assistant and a JE for each cluster of 4 GPs and share the panel with the GPs who will arrange for engaging them on the basis of performance-based honorarium.

5.4.3 Supply of safe drinking water in every household with sustainability in terms of availability, adequacy, convenience, affordability and equity with the understanding that communities are the best stakeholders is a much needed development. In this connection the WIMCs are to be empowered to be able to maintain the water supply installations and recover the O&M costs through user charges and ensure sustainability of the supply. This necessitates to build the capacity of WIMC through various activities to enable them in carrying out need based efficient management of the water supply schemes as their own responsibility. They have to take care of works related to providing house connection and monitoring of supply, which requires trained manpower to operate the pump, to manage the distribution network, to collect water charges and to maintain quality of water both at the source and at the consumption level. However, the GP may be required to bear expenses related to providing water to public places and village institutions like AWCs, schools which may not be able to make payment like the household, which has a cost to be borne by the GP. If the GP starts taking user charges there should be enough advocacy and capacity building and house connections are to be provided.

5.4.4 Given the importance that Bihar has accorded to water supply programme and the proportion of GP fund that the state has decided to earmark for this purpose the state may like to consider whether operation and management (O&M) of the water supply can be properly managed with the proposed manpower. The responsibility perhaps deserves matching resources, human and financial. Water supply schemes require different types of professionals for their maintenance, mechanics for operation of pumps, plumbers for maintenance of distribution system and personnel engaged in water quality monitoring. Since running of water supply schemes invites continuous public scrutiny especially during summer. GPs and WIMCs would be forced to take bulk of the blame. Even the substantial funds provided by the 14<sup>th</sup> FC may not improve the situation unless clarity emerges on the human resources, which the Panchayat can rely on for the O&M. The recent decision of Gol to take away the weightage given for devolution index in allotment of funds under National Rural Drinking Water

Programme (NRDWP) and to remove the earmarking of 15 per cent for O&M may complicate the matters further, putting the Village Panchayats to greater difficulty.

5.4.5 India has embarked on a massive and time-bound mission to eliminate open defecation (ODF). To achieve this within the targeted date and, more so, to ensure sustainability Village Panchayats have the most critical role to play - in extension, supervision of work, prevention of slip back, maintenance of public facilities etc. The GPs need to have enough capacity to ensure sustainability of ODF status and providing proper sanitary services at all public places.

5.4.6 It is recommend that the technical jobs associated with maintenance of the water supply programme at the GP level may be outsourced to the SHGs clusters, (after building up their capacity to the required level) in conformity with the recommendations of the “Performance Based Payments Committee for better outcomes in Rural Development Programmes” of the Ministry of Rural Development.

## **5.5 Issues related to Human Resource Framework of GPs**

The Human Resource (HR) Framework for GPs of Bihar is as follows:

- i. As of now the Sachiv is there to take care of both secretariat as well as implementing functions and there is no other permanent employee and there is no declared HR policy for manning the GPs.
- ii. Centrally Sponsored Schemes have assigned specific responsibilities to the Panchayats especially at the village level. This is particularly true of MGNREGS, Prime Minister Awas Yojana (PMAY), National Social Assistance Programme (NSAP), Swachh Bharath Mission (Gramin) (SBM-G) and NRDWP. The schemes provide for administrative costs. But here again there is no standard staffing support to Gram Panchayats.
- iii. Most of the staff at the GP level, (including those proposed to be engaged) are on contract. Though they have the advantage of being local people, the qualifications are minimal, the remuneration is not standardised and their capacity is inadequate. Interestingly, the vacancy position in contractual staff is relatively low compared to regular staff.
- iv. Their services have been used for several years in some of the programmes and more than a decade in the case of MGNREGS, there are reports of demands for permanence and a possibility of approaching the courts. The scheme level staffs normally perform only functions related to the scheme and multi-tasking is generally not encouraged.
- v. Since the staff are scheme/ activity related, they are controlled by the officials at the Block and District levels. The role of the GPs in their supervision is quite vague.
- vi. Though the work turnout appears to be satisfactory, the motivational levels are rather low mainly due to relatively low wages and uncertainty of career. The contractual nature of the jobs and fixed remuneration (in most states) seem to have reduced the incentive to improve performance
- vii. A common feature seen in contract staff is that those who are more proficient among them get selected for better jobs, leaving the less talented in the existing positions.

- viii. Even for the meagre staff strength of at least one Secretary for each GP the vacancy position is huge and disconcerting.
- ix. The position has been aggravated by the Gol, who, even while providing substantial funds for administrative expenses, has a narrow focus on administrative structure of the GP presuming that to be the responsibility of the State Government. Since the funds are scheme linked there is an implicit assumption by states that they will not continue for a long time. This has prevented a rational approach to staffing Panchayats.

## 5.6 Recommendations

5.6.1 A decision is required to be taken on the manpower of GPs based on the recommendations discussed above and a time bound programme for filling up the posts may also be adopted. It is suggested that the manpower recommended in the report of the “Performance Based Payments Committee for better outcomes in Rural Development Programmes” may be accepted as the core human resource.

5.6.2 Section 25 (1) of the Bihar Panchayat Raj Act 2006 (as amended by the Bihar Panchayati Raj (Amendment) Ordinance 2017) provides that the Panchayat Secretary shall be the secretary of the Planning, Coordination and Finance Committee and Public Works Committee. The DM or any Officer authorized by him shall nominate a government servant to function as the secretaries of the other Standing Committees. Since such nominated officers are not likely to be able to function as a whole-time worker to support the Standing Committees continuously, it is proposed that the contractual employees mentioned at para 5.1.3, of this chapter, may be associated with the other Standing Committees as Assistant Secretaries. The following arrangement is proposed:

Name of the Committee	Responsibility	Contractual Functionary that may be associated with Committee as Assistant Secretary
Planning, Co-ordination and Finance Committee	Performing general functions relating to GP including subjects mentioned in section 22, co-ordination of the work of other Committees and all residuary functions not under the charge of other Committees.	
Production Committee	Monitoring and supervision of functions relating to agriculture, animal husbandry, dairy, poultry and fisheries, forestry-related areas, <i>khadi</i> , village and cottage industries and poverty alleviation programmes.	Krishi Salahkar
Social Justice Committee	Monitoring and supervision of functions relating to: (a) Promotion of educational, economic, social, cultural and other interests of Scheduled Castes, Scheduled Tribes and other weaker sections;	Vikash Mitra

	(b) Protection of such castes and classes from social injustice and all forms of exploitation; (c) Welfare of women and children.	
Education Committee	Monitoring and supervision of functions relating to education, including primary, secondary and mass education, libraries and cultural activities	As may be nominated by the DM
Committee on Public Health, Family Welfare and Rural Sanitation	Monitoring and supervision of functions relating to public health, family welfare and rural sanitation.	As may be nominated by the DM
Public Works Committee	Monitoring and supervision of functions relating to all kinds of constructions and maintenance including rural housing, sources of water supply, roads and other means of communication, rural electrification and related works	Gram Rojgar Sevak

5.6.3 The position of Gram Rojgar Sevak exists in almost all the GPs. The State Government may consider having them formally trained as Barefoot Technicians to carry out essential engineering functions including those related to water supply and sanitation. They should function as the TA of the Village Panchayat and their work should be supervised by a qualified technical person at the cluster/Block level. These persons may support the Secretary in development administration as well. This arrangement is recommended for Panchayats with population less than 10,000. For Panchayats with population more than 10,000 a qualified employee with Diploma or Degree in civil engineering is required.

5.6.4 Regarding support staff particularly for IT and accounting, especially for smaller Panchayats up to a population of 10,000 outsourcing to CSCs or trained Community Resource Persons (CRPs) from SHG networks at the local level with some checks for maintaining quality is advocated. For larger Panchayats the states may decide to have regular staff or go for more formal outsourcing from higher level, giving preference to trained CRPs.

5.6.5 For all the existing staffs, including those on contract, minimum levels of competency required for that position should be defined and ensured. All job descriptions must have performance indicators defined clearly and be measurable and handbook for each category of functionaries may be prepared and circulated.

5.6.6 Even for employees on contract, minimum qualifications and rigorous selection procedure are recommended. As an incentive for good performance, the state may consider earmarking a percentage of permanent posts in Panchayats for contract employees who have completed a determined period of time, provided they have the minimum qualifications. Their absorption in the regular post will be based on competitive examination conducted among the eligible contractual employees.

5.6.7 Bihar has a vibrant SHG movement. For the service delivery functions of the GPs to be effective there is need for good outreach and also effective demand based on an understanding of the importance of the services and the mechanisms of the delivery. Linkage with the SHG network can effectively address these challenges.

5.6.8 There are four broad ways in which the human resources of SHG network could be utilized by the GPs. These are:

- i. Utilization of the SHG network as a whole for different functions thereby addressing the needs of the community as a whole;
- ii. Formation of activity groups for carrying out particular tasks which require ‘trained groups’;
- iii. Utilizing qualified or trained CRPs from among the SHGs for performing specific functions;
- iv. Increasing participation of people especially the poor and the marginalized during Gram Sabha meetings and ensuring their active involvement in planning, implementation and monitoring.
- v. In the case of (ii) and (iii), the requirements could be set by the GPs and the identification done by the WIMC concerned. The agreement to supply human resources would therefore be between the Village Panchayats and the Village Organizations.

5.6.9 The SHGs could be utilized for conduct of Gram Sabha as follows:

- i. To hold pre-consultation among themselves and come out with informed suggestions and requests as beneficial to the community as a whole.
- ii. Spreading awareness about the rights and responsibilities of Gram Sabha.
- iii. Informing all the members of Gram Sabha about meetings, agenda, date, time, venue, etc. This can be done by Community Resource Persons identified for the purpose.
- iv. Providing trained facilitators to guide the actual transaction in the Gram Sabha, generate discussions and record decisions.

5.6.10 The SHG leaders could be taught about different schemes and programmes and also be given specific development messages especially in matters related to health, sanitation, nutrition, etc., to discuss and disseminate among SHGs. Specifically, there could be CRPs, for health, nutrition, sanitation, education and so on to reach out to the intended target group.

5.6.11 A system could be put in place whereby different aspects of local development, be it expenditure or creation of assets, relevance of the scheme or its impact, the fairness of the selection of a beneficiary or the proper utilization of the benefit, and so on, could be monitored in a systematic manner by SHGs and intimated to the GP. Of special interest would be to get an assessment of the functioning of the institutions like schools, hospitals, Anganwadis, with particular reference to the reach and quality of services. Through the process of community-based monitoring, the GP would get effective feedback on different aspects of its functioning. CRPs could be trained to ensure quality of the process.



5.6.12 Community Resource Persons could be specially trained to perform different tasks. They include:

- i. Women who have completed Class 10 or Class 12 could be given three months training on basic engineering, using the modules developed by International Labour Organisation (ILO) and certified as Barefoot Engineers. An additional module for water and sanitation may be added to meet the need of trained manpower in this sector. They can be suitably empowered to perform tasks such as work site supervision, assisting the MGNREGS workers to carry out their work, record first measurement, etc.
- ii. Qualified CRPs could be trained to assist the Panchayats in maintaining its accounts.
- iii. Trained CRPs could also function as barefoot auditors performing certain basic tasks related to auditing.
- iv. CRPs could function as tax and user fee collectors.
- v. CRPs could also be utilized to conduct field enquiries especially for issue of certificates, licenses, etc.
- vi. CRPs could be used for technology extension in areas like agriculture, animal husbandry, fisheries and behaviour change communication in areas related to health, sanitation and hygiene.

5.6.13 Activity groups from SHG network could be formed and trained to perform tasks like:

- i. Maintenance of assets including water supply system, roads, etc.
- ii. Managing markets.
- iii. Productive use of village commons especially tanks and ponds.
- iv. Providing food security including managing PDS.

A broad time frame for working out the proposed arrangement, and a strategy for their capacity building are proposed at Annex 1.

## CHAPTER - VI

### FINANCES OF THE GRAM PANCHAYATS

#### 6.1 Strengthening GPS Finances

Sound financial management is an essential need of any government. That has several components like: i) Rules and regulations to guide all financial transactions; ii) Maintenance of accounts and keeping all records and availability of those for subsequent scrutiny; iii) Well defined system of assessment of tax and other sources of income and collection of revenue; iv) System of budgetary control and expenditure authorization for ensuring legality of all expenditures made by the GP; v) Timely audit for knowing any lack of compliances to Financial Rules, prudence in collection of revenue and expenditure made by the GPs and ensuring due compliance; vi) Adequate manpower at the GP level; and vii) A system of supervision and monitoring of the activities. The steps recommended to be taken for each of these activities are narrated below.

#### 6.2 To Put in Place Proper Rules and Regulations

The 5th SFC had recommended that there should be Rules to clearly prescribe procedural guidelines and the State Government has also proposed to introduce a new Rule known as The Bihar (Accounts, Audit, Budget and Taxation) Rule, which is to be notified. That needs to be done as soon as possible. The 5th SFC had further recommended circulation of a Manual of Panchayat Finance. The Manual for the GP should be prepared with due field testing with the GP level functionaries and the same should be in place as soon as the Rule is notified.

#### 6.3 Maintenance of Accounts and Keeping of Records

The Rule merely provides a framework of following certain norms in handling finance and maintenance of accounts. Following the Rules and orders in day-to-day administration and keeping accounts and other records are to be performed at GP office. The status of maintenance of accounts as observed in field survey is poor. There is need to revamp the system. That will require: i) Clearing the backlog of accounts; ii) Physical verification of unspent fund and working out the head wise amount lying unspent; iii) Ensuring the system of writing daily cash book and verification; iv) Submitting the abstract of accounts within certain number of days to be decided by the State Government (to start with 10 working days will be fine) to the Block offices; and v) Computerising the accounts. It is difficult to set a timeline for these activities without arranging dedicated manpower for the same.

#### 6.4 Strengthening System of Mobilizing Own Revenue

The GPs of Bihar collect little revenue. The other problem, as mentioned by the 5th SFC is that data on Panchayat finance is hardly available. The State Government is yet to notify the Rules related to collection of property tax and issue guidelines on mobilizing non-tax revenue by the GP. Collection of revenue should be put as a priority activity of the Panchayats. The field visits by RF has shown that there is potential for collection of non-tax revenue by the GPs, but adequate efforts have not been given and the Panchayats do not feel that collection of revenue is an important task. Rather many of them are of the view that collection of tax will be resisted

by the people. There is need for advocacy to explain to the people the need for generating revenue by every GP. If there is adequate publicity and all the GPs start collecting revenue together then no GP will feel that only that GP is imposing tax and there is likely to be less resistance. There should also be sincere efforts for collection of non-tax revenue, which is not likely to face resistance. There are many income earning activities which may be taken up by the GPs and fees/charges may also be collected for delivering various services by the GPs. Every GP has to adopt its Bye-law to authorise collection of charges/fees etc. The State Government needs to issue appropriate order on how to fix the rates. The 5th SFC has also suggested that all the Panchayats should have by-law for collection of non-tax revenue. In this background the following steps are required to be taken:

- i. Notifying the Rule for collection of property tax.
- ii. Incorporating the relevant procedural details in the Manual of Panchayat Finance mentioned previously.
- iii. Issuing government order on collection of non-tax revenue.
- iv. Preparation of a Model Bye-law, for GPs, issuing a guideline on the possible scopes for collection of non-tax revenue by all the three tiers of Panchayats and to ensure that all Panchayats adopt their own by-law and start collecting non-tax revenue.
- v. Training of the Panchayat functionaries and the supervising officials on collection of revenue and how to augment the same.
- vi. Organizing publicity on a sustainable basis for educating the citizen on the need for generating revenue by the Panchayats.
- vii. Putting in place a system of monitoring revenue collection by the GPs and the processes being followed towards that. The revenue data needs to be analysed and specific follow up measures are to be taken on a regular basis.

Since the Rule for collection for property tax is pending for long, the State Government has to come out with a possible time frame to enforce the provision for collection of property tax by the GPs. There is little barrier in starting collection of non-tax revenue, particularly by the GPs. Relevant orders and framing of model By-laws should be ready by June 2018 and training of all the GP functionaries is possible to be completed by September 2018. More than 80 per cent of the GPs should be able to adopt Bye-laws and start collection of non-tax revenue by the year 2018-19. The arrangement for training and the system of monitoring should also be put in place by the month of June 2018.

### **6.5 System of Budgetary Control and Expenditure Authorization**

All expenditures by any government are to be within the approved budget, which decides the priority of the government by allocating different quantum of funds for different activities. This is required to be followed by the Panchayats to ensure that it spends its fund based on the need felt by the elected body collectively which is reflected in the budget. The sanctity of the budget is less appreciated at the GP level and the same is not even passed before the beginning of the financial year. Similar to expenditure, all income during the year should be estimated so that expenditure allocation can be made on a realistic basis. The Gram Panchayats need to be communicated the amount of funds to be released during the year along with the purpose for which the amount can be utilized well before the beginning of the year. Also, there should be

a realistic estimate of the own source revenue that the GP will be able to generate. All these are to be taken into consideration for preparing a realistic budget and to also pass a revised budget as prescribed so that any change felt during the year can be proposed and approved by the GP. However, the culture of guiding expenditure by the budget has to be brought in through due orientation of the GP functionaries. Provision in the approved budget is not enough to make any expenditure unless (i) there is availability of fund, and (ii) the expenditure to be made has been duly authorized as per financial delegation. The following steps need to be taken for budgetary control and ensuring that all expenditures are duly authorized:

- i. All Panchayats prepare their budget and get that approved in their meeting convened with the specific agenda of discussion of the budget. A model budget preparation format may be prepared and circulated for guidance. The budget has to be uploaded in a suitable website for public viewing.
- ii. The accounting system should be able to provide head-wise available balance at the end of each month or as and when required to decide whether and how much expenditure can be incurred under the specific head. This being difficult to generate manually it will be necessary to computerize the accounts in due course, as discussed later.
- iii. Existing order on delegation of power to sanction fund may be reviewed to decide limit of different functionaries/ Standing Committees/ the entire GP will be authorized to sanction expenditure for any particular scheme/activity within the approved budget. Routine expenditure like payment of salary, entitled dues of employees etc. may be devolved on the Sachiv and Mukhiya. For providing approval of expenditure related to scheme etc., which are not routine in nature the level of authorization may be increased from individual functionaries to the collective of elected representatives. The highest power will be with the entire Panchayat as a body followed by the Standing Committee concerned. Power of the Mukhiya should be lower than that of the Standing Committee and the Sachiv should be allowed to enjoy even lower power for spending on routine activities which does not leave any discretion. Higher power of the Standing Committee will provide more roles to the Panches, who are members of the Standing Committees.
- iv. The Standing Committee dealing with Finance should monitor compliance with the order to be issued.
- v. All functionaries are to be trained on budgetary control and how to prepare budget and authorization of expenditure at different levels within a realistic time frame.

## **6.6 Computerization of Accounts**

6.6.1 The state has to computerise the accounts as soon as possible. Several states have taken such steps in the recent past and have improved the financial management of their Panchayats. The software is to be transaction based and the same should be able to provide support in maintaining accounts without any internet connectivity. The PRIASOFT does not provide support to capture transactions on real time and the same also requires internet connectivity, since it is driven by a central server. The state may consider to develop a suitable software to not only take care of the accounts but other essential administrative jobs for improving

efficiency. This will help to promote automation in the office and will require less staffs to run the affairs of the Panchayats.

6.6.2 GoB may also study the software being used by different states and respective features and come out with its own requirement, which will help to prepare the 'System Requirement Study' for designing the dedicated software for different tiers of Panchayats of the state. GoB may also consider to create regular post of one state IT officer in the Panchayat Directorate and one district IT Officer in each ZP to facilitate computerization of accounts and adoption of dedicated integrated/accounts software by every GP. The state may further consider to have one outsourced person at the block level to support computerization of accounts of every GP and to also provide support to the GPs and the PS in adoption of ICT in its functioning. Each GP should have at least one and preferably two computers (so that there is one computer exclusively for accounting) with internet connectivity. The state may make a quick survey of status of internet connectivity in the GPs and coordinate with the service providers for ensuring internet with reasonable speed in each GP, which may be achieved by 2018-19.

### **6.7 Arrangement for Required Manpower**

A committee constituted by the MORD on how to ensure performance based payment for implementation of rural development programmes, which was headed by Mr Sumit Bose, has submitted its report recently, as already mentioned earlier. The committee has gone into the depth of availability of manpower of particularly the GP and has recommended that the accounting and ICT related tasks of that tier may be outsourced from SHG network/CSCs etc. Such persons should have certain minimum qualification and skill set, which should be ensured, by arranging training if necessary. The remuneration of such persons can be met out of allowed administrative component of the scheme funds and even a small portion of 14th FC funds can be used for that purpose. The State Government may consider to adopt this and arrange to engage a dedicated and competent person whose remuneration will be paid by the GP based on actual work done. Without a dedicated person for maintaining accounts with full accountability to the GP it will be difficult to manage the accounts of the GP.

### **6.8 Arrangement for Auditing of the Accounts**

At present the audit of scheme fund is done by chartered accountants and their services are also outsourced for general audit of the GPs. The internal audit is best performed by state's own officials, who can continuously guide the persons concerned for improving the standards of maintenance of accounts. The outsourced agencies have little interest on long term capacity development and, therefore, the current arrangement should not be continued for long. GOB may consider developing a Local Fund Audit Directorate or the Panchayat Department can develop an Internal Audit wing with a cadre of internal auditors. This may be done in next 3 to 5 years and till then the current system of outsourcing of internal auditing may continue. The audit of Panchayats in the state is in arrears and there is little administrative arrangement at the state level to monitor and analyse the status of audit and to take follow up measures. Therefore, a core team comprising of a Joint Director level officer with a couple of auditors at the state head quarter and an officer of the rank of Deputy Director and one Auditor in each division may be put in place. Their responsibility will be to analyse the report of the outsourced auditors, take follow up measures, and make enquiries on reported defalcation of funds or major

financial irregularities and to also conduct selective audit of a few Panchayats to judge the quality of audit by the outsourced auditors. The experiences will help to build up the audit directorate in due course. The state may take a view and it is highly recommended that the core team for internal audit is put in place within next one year.

### **6.9 Supervision and Monitoring of Financial Management**

There is essential need for putting in place a strong system of supervision of the financial management in the Panchayats and bring in as much information as possible in the public domain for the sake of transparency. This is best possible in a computerised environment. There is also need for a monitoring framework for knowing the status of Panchayats finances by collecting data periodically, analysing the same and taking follow up actions which also requires adequate human resources. Until the accounts are computerized and all data are made available in the website some essential data has to be collected every month for analysis. Such analysis should be done at the district level. There should be one officer to assist the District Panchayat Officer for monitoring the functioning of the Panchayats and submit regular report to the Panchayat Directorate, which should be appropriately strengthened to monitor the performances of all the GPs.

## CHAPTER - VII

### DECENTRALIZED PLANNING WITH FOCUS ON GRAM PANCHAYAT DEVELOPMENT PLAN

#### 7.1 Revision of the Guideline Along with an Action-oriented Manual for GPDP

7.1.1 In order to improve the status of preparation of Gram Panchayat Development Plan (GPDP) by all GPs in Bihar, the following requirements may be fulfilled as essential part of and in tandem with the other interventions for strengthening the institutional capacities of GPs and WIMCs:

- i. A revised and updated guideline for decentralized planning through GPDP, aiming at overall socio-economic development and social justice in the GP area (in terms of Article 243G of the Constitution of India) with utmost focus on effective implementation of the *Mukhyamantri Gali-Nali Pakkikaran Nischay Yojna and Mukhyamantri Gramin Peyajal Nischay Yojna*, may be prepared and re-issued in the present context as soon as possible. The proposed guideline also needs to highlight, among other things, procedures for making an assessment of GP-wise status of water supply, drains and road connectivity in rural areas through a baseline survey which will help in measuring gaps between requirement and availability and in preparing plans to bridge the gaps.
- ii. There is also need for giving priority on improving delivery of public services within the GP through appropriate no-cost and low-cost interventions as a part of GPDP. The status of delivery of services related to public health, nutrition, school education, public delivery system as a part of food security etc. and the status of development of the GP as available from the service delivery institution as well as primary survey should be made a part of envisioning process and making appropriate interventions through GPDP.
- iii. An action-oriented Manual for GPDP needs to be prepared as soon as possible, clearly defining various stages and procedures along with a practicable timeframe for preparing plans for each Ward to be integrated into the GP plan through intense participation of people and village level service delivery institutions.

7.1.2 While the revised and updated guideline for decentralised planning through GPDP and the action-oriented Manual for GPDP may be applied in each and every GP throughout the state as per a general mandate, the same may be applied with intensive support on pilot basis in a few GPs in a few districts in order to set up good models, may be with support from external agencies/experts, for replication and scaling up.

#### 7.2 Institutional Arrangements Required for Effective Launch of GPDP

7.2.1 For effective launch of the GPDP initiative, even in a few GPs in a few districts in Bihar on a pilot basis, the following institutional structure for GPDP is suggested to be set up and made functional as soon as possible at state, district and block levels in order to coordinate and monitor activities relating to GPDP at the respective levels:

- i. State Level Support, Coordination and Monitoring Committee for GPDP (or in any other name), headed by the Minister of Panchayati Raj or the Chief Secretary of the state with all concerned Secretaries of the line departments and such other members as the State Government may decide;
- ii. District Level Support, Coordination and Monitoring Committee for GPDP (or in any other name), headed by the Zilla Parishad Adhyaksh or the Collector with all concerned district level officers of the line departments and such other members as the State Government may decide; and
- iii. Block Level Support, Coordination and Monitoring Committee for GPDP (or in any other name), headed by the Panchayat Samiti Pramukh or the Executive Officer of the PS with all concerned Block level officers of the line departments and such other members as the State Government may decide.

7.2.2 The State Government may determine the terms of reference and the roles and responsibilities of the proposed Committees through issuance of an order to ensure that adequate supports are provided to the initiative with due priority and there is close monitoring. Further, the Committee at respective level should ensure that there is required participation of the officials of the departments associated with delivery of services at the GP level.

7.2.3 Issuance of a strong directive from the State Government for effective launch of GPDP even on a pilot basis covering the following aspects.

- i. That preparation of GP development plan and budget through participatory processes within a given timeframe, as mandated by the Bihar Panchayati Raj Act 2006, is obligatory on the part of every GP and that in the absence of an appropriate GPDP, the GPs may not be able to access funds from the State Government or the Central Government;
- ii. That extension of active support is obligatory on the part of all concerned officers of the line departments operating at district and block levels in the processes of GPDP in the pilot areas.
- iii. That active participation is obligatory on the part of all concerned functionaries of the line departments operating at GP level in the processes of GPDP and that such participation should be treated to be 'on duty' for official work.
- iv. In respect of the officials of the line departments, appropriate orders are to be also issued by the departments concerned.

7.2.4 There should be proper arrangement for institutional capacity building and training of various functionaries of GP and other stakeholders on and facilitation of the processes of GPDP. A multi-layered institutional structure for capacity building and training needs to be set up as soon as possible, may be to start within the pilot areas, as stated below:

- i. A State Programme Management Unit (SPMU) for GPDP at the state level and a District Programme Management Unit (DPMU) for GPDP at the level of each district may be set up to plan, coordinate and monitor GPDP. Since much of the planning will be related to providing access to drinking water, access roads and drainage etc. under



the said two schemes as a part of '*saat nischay*' programme launched by the state, there should be synergy between the district level committee working for guiding and monitoring implementation of the programme and that working for the GPDP. GoB may also consider to have one committee performing both the functions. It may be noted that the MoPR, Gol provides a reasonably good amount of fund for setting up of SPMU and DPMUs under RGSA.

- ii. A District Resource Group (DRG) may be constituted in each district with committed officers selected from District and Block levels, preferably in large numbers from the latter. The functions of the DRG will be: i) to develop capacity of the GPs through iterative training and non-training interventions; ii) to provide continuous handholding support to the GPs, singly in case of big GPs and on cluster basis in case of small GPs, and facilitate all the stages of preparation of GPDP; iii) to supervise and monitor the entire process; and iv) to function as Charge Officer in respect of one or two big GPs or a cluster of small GPs. The members of the District Resource Group (DRG) will have to discharge such functions over a maximum of 10 to 12 working days in a year in addition to their own duties. Since most of the members of the DRG would come from a number of line departments, it would be helpful if appropriate order is issued under signature of the Chief Secretary to the effect that it is obligatory on the part of any member of the DRG to function as Trainer-cum-Handholding Support Provider-cum-Charge Officer for GPDP and that discharge of such responsibility should be treated to be 'on duty' for official work. The DPRO may be assigned to be in charge of steering and coordinating the DRG.
- iii. A State Level Master Trainers' Team (SLMTT) may be constituted with committed officers having knack for training in order to train and guide the members of the DRG. Faculty members of Bihar Institute of Panchayat and Rural Development (BIPARD) and the Division level training centres, other state level or regional level training institutions and officials of the SPMU for RGSA may be made members of SLMTT. The BIPARD or the SPMU for RGSA (preferably the latter, because the BIPARD may remain too busy with classroom-based training) may be authorized by GoB Government to be in charge of steering and coordinating the SLMTT for GPDP.

7.2.5 It is essential to set up a frontline work force in each GP to facilitate the processes of GPDP. A Gram Panchayat Planning Facilitation Team (GPPFT) may be formed in every GP as its frontline work force to facilitate the process of participatory planning for GPDP. Each GPPFT will comprise of the elected representatives (ERs) including members of the six Standing Committees and employees of the GP, employees of the line departments operating at the GP level, retired employees residing in the GP area, Jeevika members, representatives of communities, representatives of Community-Based Organisations (CBOs)/Non-Governmental Organisations (NGOs), local youths, elderly citizens and volunteers among others as may be decided by the GP. This GPPFT is neither a statutory Standing Committee of the GP nor a body parallel to the GP but an expanded form of the GP itself as a functional group to be specially formed by the GP to facilitate the processes of GPDP.

It would be helpful if an order is issued by the Panchayati Raj Department for formation of a GPPFT in every GP. Since it is an informal body, the size of the GPPFT will depend on the availability of the categories of the members mentioned above. The GPPFTs need to be thoroughly capacitated through a series of training and non-training interventions by the respective DRGs at the GP level. The functions of the GPPFT will be to initiate and accomplish all activities starting from the stage of environment building for GPDP to the final stage of plan approval and, even after that, during the stages of implementation and monitoring. Every year the GPPFT may be reconstituted by the GP with need-based deletion or addition of members. For effective functioning of the GPPFT at the ward level, the GP or the cluster of GPs may divide the members of the GPPFT into ward-wise sub-teams (with 3-5 members, depending on availability), headed by the respective Panches, to facilitate community mobilisation, environment building for GPDP, collection of primary and secondary data, identification of needs and priorities and selection of plan activities for preparation of Ward Plans, GP Development Plan and integration of the Ward Plans into the overall GP Development Plan.

7.2.6 Setting up of thematic Working Groups for GPDP is another essential requirement. In each GP, the six Standing Committees need to be made functional, capacitated and given the responsibility of looking after the assigned thematic aspects of GPDP. Alternatively, the members of the GPPFT may be formed into the following thematic Working Groups (in such a way that the members of the Standing Committees are included in the thematic Working Groups concerned) to be functioning under overall guidance of the GP:

- i. Human Development Working Group to deal with health, nutrition, education and public health related issues including environment and hygiene etc.
- ii. Women and Child Development Working Group to deal with issues related to gender, rights of women and children, women's empowerment, protection of women and children against atrocities/abuse and their skill development, child friendly GPs.
- iii. Livelihoods Development Working Group to deal with agriculture and allied sectors and natural resource management including soil and water conservation, green cover and bio-diversity related issues, implementation of MGNREGS, integration of development activities of the GP with that of Jeevika activities etc.
- iv. Social Justice and Social Security Working Group to deal with development of SC/ST communities and other backward sections of the society aiming at equity, their empowerment and well-being.
- v. Infrastructure and Miscellaneous Working Group: (to deal with the local infrastructure as well as infrastructure of the GP, particularly activities which are related to providing basic services to the villagers like water, sanitation including solid and liquid waste management, access road, infrastructure for augmenting own revenue etc.).

7.2.7 Each thematic Working Group will consist of members from the GPFTT having expertise in the relevant field or having inclination to the specific subjects. The thematic Working Groups will be responsible for collection of secondary and primary data pertaining to the assigned functions, situation analysis on the basis of the data, prioritisation of the needs of the people in the GP, identification and prioritisation of activities and preparation of thematic sub-plans. The draft sub-plans to be prepared by the thematic Working Groups would need to be discussed

and interacted upon in a meeting called by the GP before integrating them into the overall GPDP. The GPPFT will follow the methodology of preparing GPDP in consonance with the revised GPDP Guideline of the state and the Manual for GPDP.

7.2.8 As soon as possible, GoB may issue orders for sharing data of various local level institutions to GPs for monitoring their performances and asking the said institutions to submit their report of functioning before the Gram Sabha and asking suggestions for improvement which may be part of GPDP.

7.2.9 The state may also issue orders for convergence of GPDP processes with those of Jeevika for strengthening livelihood opportunities in favour of the poor and the backward sections, mainly through SHGs.

### **7.3 Infrastructure Required for Capacity Building and Training for GPDP**

7.3.1 The state is yet to establish the State Panchayat Resource Centre (SPRC) which is supposed to be the apex centre for organizing training related to Panchayats across the state. The Division level training centres of the state do not have required infrastructures and are not so functional. The state has to establish the SPRC and district level Resource Centre for each district as soon as possible. For the present the SPRC may be started in any hired premises at Patna and the Division level training institutes may be strengthened so that these are in a position to conduct two parallel residential trainings simultaneously. Considering the huge size of the stakeholders in the state there is need for having arrangement of day long training at block and even GP or cluster of GP level (for training of the GPPFT). Hence, GoB may create an alternate arrangement for training for GPDP. For example, the meeting halls of the GPs (in the Panchayat Sarkar Bhavan or wherever available) and the meeting halls of the PSs may be upgraded, with minor addition/alteration, into meeting-cum-training halls for day training. This type of training infrastructure, at the GP level or at the level of cluster of GPs, will suffice it to conduct training, workshop and write-shop for successful implementation of the GPDP initiative. Collaboration with NGOs, universities, colleges etc. may also be tried to augment the scope of training for GPDP using their infrastructure.

### **7.4 Strategic Plan of Actions for Training and Non-Training Interventions**

7.4.1 For effective GPDP, classroom-based training may be helpful for understanding the conceptual premises of GPDP. But, frequent 'action-oriented field work based training' programmes will be more appropriate. Besides, training is not the only intervention for Capacity Building of the elected representatives and functionaries of Panchayats. Indeed, their capacity can be developed, more particularly for GPDP, through a combined effect of properly designed training interventions and non-training interventions as stated below.

7.4.2 Facilitation and handholding support at the level of GP or cluster of GPs is a very effective method for building capacity. The facilitators need to be trained properly and should have good practical experiences. The ordinary people should also be oriented on GPDP using various IEC tools e.g. structured learning material, mostly on frequently asked questions (FAQ) mode; chart, poster, leaflet, wall writing etc.; video films and video clips; other strategic campaign with other tools including electronic, print and folk media.

7.4.3 A concrete Plan of Action for all the components of training and non-training interventions along with a district-wise calendar of training programmes for GPDP may be prepared every year by the State Government with support from the respective DRGs.

7.4.4 The wide range of participatory tools that may be used for GPDP include Transect Walk, Social Mapping, Natural Resource Mapping, Well Being Ranking, Seasonality Diagram and Causal Diagram (to be used, depending on actual need and opportunity). The GPPFT should be trained to use those tools when needed.

## **7.5 Development of Learning Materials for Capacity Building and Training**

7.5.1 A very important aspect of planning for capacity building and training for GPDP is to develop appropriate learning materials for each category of the stakeholders. Experience shows that it becomes easier for trainees to imbibe new learning if learning materials are prepared in simple vernacular on FAQ mode. Besides, PowerPoint Presentations, embedded with video clips, attracts learners and becomes helpful to them in learning the relevant issues attentively deeply and sustainably.

7.5.2 Moreover, for the sake of uniformity in use of standardised learning materials by the trainers, Transaction Manuals need to be prepared for use in both institution-based training and field works for GPDP. The Transaction Manuals need to clearly indicate the communication strategy and the sequence of inputs to be given along with the methods and tools to be used in each part of any session of training.

## **7.6 Plan for IEC and Communication for GPDP**

7.6.1 Preparation of a Plan for Information, Education and Communication (IEC) for GPDP, particularly for the purpose of Environment Building for participatory planning process is very important. The objective of the IEC Plan will be to generate awareness among the communities about the benefits of various rural development and social development programmes to which they are entitled. Particularly the context of GPDP, immediately after training of the members of the GPFTTs by two members of the DRG, they need to create an enabling environment through application of appropriate IEC tools in order to ensure people's participation in the GPDP process. The following tools among others may be used for Environment Building for participatory planning process at the community level:

- i. Rally/procession at the village level involving community representatives;
- ii. Wall writing with catchy slogans in relation to GPDP;
- iii. Local campaign by use of folk media through local troupes;
- iv. House-to-house visit and interaction with the household members;
- v. Communication to every household through an invitation letter from the Mukhiya in simple vernacular requesting for participation in the community level interactions;
- vi. Radio programmes on the issues related to GPDP; TV programmes on the issues related to GPDP;
- vii. Newspaper advertisements on the issues related to GPDP;

7.6.2 These initiatives may be implemented over one week or more as may be convenient to the GPs before inception of the GPDP process and again before inception of the process of

implementation of the GP Development Plans so that the communities may be aware of the issues, can participate and can gradually own the processes.

7.6.3 The issues related to capacity building and training, which have been highlighted in this section and the previous section have been discussed in more details in Chapter VIII.

### **7.7 Funding the Interventions for Capacity Building and Training**

The MoPR, Gol provides fund for two streams of capacity building and training of the elected representatives of Panchayats under RGSA: a) For Non-GPDP interventions (i.e. for institutional functioning of Panchayats); and b) For GPDP interventions. The fund made available by the said ministry is quite adequate to manage all the activities, including deployment of human resources for training institutions as well as for SPMU and DPMUs. Besides, some fund may be given to GPs for conducting GP level training, workshop and write-shop.

### **7.8 Transition from Modest Beginning to Gradual Up-scaling of GPDP**

7.8.1 It appears difficult to implement the vision of implementing the wide range of training programmes aiming at effective GPDP across the entire state at a single go. Hence, it may be considered expedient to start the initiative in some of the GPs of 2-3 districts on a pilot basis. Next, based on the experiences earned and the lessons learnt, the initiative may be rolled out to other districts in phases but in progressive scales in such a way that it may be possible to cover the entire state in 3-4 years. With this end in view, a Perspective Plan for up-scaling GPDP may be prepared by the Panchayati Raj Department, may be with support from an external agency having profound expertise and experience.

7.8.2 During the rolling out or up-scaling phase of GPDP which will be initiated banking upon the experiences earned and the lessons learnt, the following activities, among others, need to be accomplished:

- i. The data captured through baseline survey as well as data related to services being delivered within the GP and progress made, which may be collected from the village level service delivery facilities like schools, health sub-centres, Integrated Child Development Scheme (ICDS) centres etc. and other secondary data related to the GP need to be computerized. This will make envisioning the required interventions and fixing priorities for GPDP and make the process more objective.
- ii. Development of web-enabled system to display the findings of the baseline survey and the annual progress of the planned interventions.
- iii. The status is to be shown also in spatial format on GP maps (showing Wards and habitations and important delivery institutions) using GIS. This may be completed within the next two years with support from an external expert organization.

### **7.9. Monitoring Framework for GPDP**

It is necessary to develop a strong system for quantitative and qualitative monitoring of the progress of GPDP and associated process like building capacity for the same. The scope of monitoring and evaluation should not be kept restricted to the level of data collection, uploading of data and post training evaluation by learners in structured format as are usually

done. The system, which should be web-enabled and with GIS backbone should be appropriate for continuous supervision and monitoring of the progress and the entire process of GPDP including that for capacity building. The system should have dashboard for easily viewing the critical indicators and being web-enabled it will be possible for monitoring progress easily and to supervise the activities recommended under GPDP. The system will also provide total transparency. Details about the system of monitoring to be put in place has been discussed in Chapter IX.

## CHAPTER - VIII

### STRENGTHENING INSTITUTIONAL CAPACITY AND CAPACITY BUILDING & TRAINING FOR PANCHAYATS

#### 8.1 Perspective Plan for Capacity Building and Training

8.1.1 Based on the vision of the GoB as demonstrated in the Roadmap, a Perspective Plan for capacity building and training of the elected representatives and functionaries of the three-tier Panchayats aiming at their overall institutional capacities needs to be developed as soon as possible. The basic objective of the proposed Perspective Plan will be to work out a strategic design for development of the capacity of the elected representatives and functionaries of Panchayats including members of the WIMCs under GPs in terms of knowledge, awareness, skills, attitude and confidence through a combined training and non-training interventions. In the context of GPs, the attainment of the desired level of capacity on the part of their elected representatives and functionaries needs to be demonstrated mainly through the following results:

- i. Regular meetings of the stipulated number of General Body meeting and Standing Committee meetings every month.
- ii. Record keeping and sharing of the decisions of the Standing Committees and other processes of the GP.
- iii. Timely Ward Sabha and Gram Sabha meetings and monitoring follow up actions.
- iv. Preparation and approval of an Annual Development Plan and Budget of the GP in time with focus on human and social development issues in consonance with the Sustainable Development Goals (SDGs).
- v. All regulatory functions like issuing death and birth certificate, trade license and other regulations following etc. are carried out efficiently following the service delivery standards.
- vi. Preparation/adoption of a model by-law by each GP, its publicity on sustainable basis for educating the citizens on the need for generating revenue by the Panchayats, followed up with collection of OSR (both tax and non-tax).
- vii. Improved financial management through computerization of accounts and reduction of fiduciary risks.
- viii. System of budgetary control and expenditure authorization for ensuring legality of all expenditure.
- ix. Ensuring the system of writing daily cash book by trained persons and verification as per law.
- x. Effective and efficient discharge of statutory, discretionary and assigned functions including implementation of various schemes.
- xi. Effective functioning of the WIMCs.
- xii. Maintenance of transparency and accountability.
- xiii. Effective use of ICT in functioning of the GPs.
- xiv. Timely audit and appropriate audit compliance.
- xv. A strong system of supervision and monitoring of all the activities by the GPs.

8.1.2 In order to achieve the above-mentioned results, the Perspective Plan for capacity building and training of the elected representatives and functionaries of Panchayats, particularly those of GPs, needs to make provision for a set of well-designed strategic interventions as stated in the following sections for implementation within a realistic timeframe.

## **8.2 Development of Infrastructure for Capacity Building and Training**

8.2.1 The state has one SIRD (BIPARD) and nine not-so-equipped training centres at Division level to cater to the learning needs of the elected representatives and functionaries of three-tier Panchayats. Considering the huge number of the clientele in the state, the existing infrastructure appears quite inadequate to train them frequently (at least two residential trainings, one foundation training immediately after and within six months of their getting elected and one refresher training after two years of the first training for the Mukhiyas and the Panches apart from other theme based trainings) and adequately aiming at developing their capacity for effective institutional functioning of GPs as well as for effective preparation of GPDP. Hence, the state may develop a concrete plan of action for setting up of adequate infrastructure for Capacity Building and Training of the ERs and Functionaries of Panchayats as stated below:

- i. A State Panchayat Resource Centre (SPRC) / State Institute for Panchayat Training (SIPT) needs to be set up within 6 months, may be in a hired building. A full time Director and at least 5 Faculty members need to be in place in the institute.
- ii. To start with, one Panchayat Training Centre (PTC) needs to be established (may be in a hired building) within 6 months in each Division by renovating the exiting centre or in hired premises as the case may be.
- iii. One District Panchayat Training and Resource Centre (DPTRC) needs to be set up in each district with two class rooms, hostels for 60 participants, a full time Principal and two Faculty Members. This may be achieved in phases within 3-4 years.
- iv. One Block Panchayat Resource Centre (BPRC) may be set up in each block with one full time Resource Person and a class room with facility for day training within 3-4 years.

8.2.2 The resources to be available under RGSA (when launched) may be dovetailed with other resources of the state for materialising this vision.

8.2.3 Viable alternatives for creating training infrastructure using existing facilities may also be explored. For example, the meeting halls of the GPs (wherever available) may be upgraded, with minor addition/alteration, into meeting-cum-training halls for day training. It may be possible to meet the cost of a set of minimum equipment (say one desktop computer and an LED Projector) and training aids like white board, flip board etc. from RGSA funds. If floor-sitting arrangement is accepted, the cost of furniture can be avoided. This type of training infrastructure, even without a desktop computer and an LED Projector, at the GP level or at the level of cluster of GPs, will suffice it to conduct training, workshop and write-shop at the training-cum-meeting hall of the GP for training on issues related to overall institutional strengthening of GPs as well as for successful implementation of the GPDP initiative.



Collaboration with NGOs, universities, colleges etc. may also be ventured to augment the scope of training using their infrastructure.

### **8.3 Institutional structure for Capacity Building and Training**

8.3.1 A multi-layered institutional structure for capacity building and training of the elected representatives and functionaries of GPs may be set up as proposed below:

- i. A State Level Master Trainers' Team (SLMTT) may be constituted at the proposed SIPT with committed serving officers having knack for training and also qualified contractual faculty members to be taken from the open market in order to train and guide the members of the District Level Trainers' Team (DLTT). Faculty members of BIPARD and suitable faculty members from other state level or division level training institutions and officials of the State Programme Management Unit (SPMU) for RGSA may be made members of SLMTT.
- ii. A DLTT may be constituted in each district with committed officers selected from district level and Block level, preferably in large numbers from the latter for training of the elected representatives and functionaries of GPs. The functions of the DLTT will be: i) To develop capacity of the elected representatives and functionaries of GPs including members of WIMCs through iterative training and non-training interventions; and ii) To provide continuous handholding support to the GPs, singly in case of big GP's and on cluster basis in case of small GPs, in the beginning of the initiative and facilitate the process of strengthening institutional functioning of GPs. The DPRO may be made in charge of steering and coordinating the DLTT through proper notification.

### **8.4 Plan of Actions for Capacity Building and Training**

8.4.1 There may be two types of training interventions, usual face-to-face classroom-based training for institutional strengthening and 'action-oriented field work based training', mainly for GPDP. However, training is not the only intervention for capacity building of the elected representatives and functionaries of GPs. Indeed, their capacity can be developed through a combined effect of properly designed training and non-training interventions, as indicated below.

8.4.2 Based on the above-mentioned principles, a concrete Plan of Action for all the components for training and non-training interventions along with a district-wise calendar of training programmes for elected representatives and functionaries of GPs may be prepared every year by the Panchayati Raj Department with support from the SLMTT and the DLTTs.

8.4.3 It may be considered appropriate to mention the wide range of methods that may be used for both institution-based participatory training and application of participatory tools and techniques for community-based interactions as follows:

- i. For institution-based participatory training: Brainstorming, Interactive Lecture, Focus Group Discussion, Participatory Reading and Learning in Small Groups, Practice in Small Groups, Case Study, Role Play, Screening of Video Films and Quiz (to be selectively used, depending on actual need and opportunity);

- ii. Participatory tools and techniques for community-based interactions: Transect Walk, Social Mapping, Natural Resource Mapping, Well Being Ranking, Seasonality Diagram and Causal Diagram (to be selectively used, depending on actual need and opportunity).

8.4.4 The scope of exposure visits to successful examples and good practices in the field of capacity building and training interventions both inside and outside the state will help immensely in standardising and improving the systems and processes. Indeed, seeing is believing. So, the elected representatives and functionaries of GPs need to be brought under well-designed exposure visits so that they can see and believe that they also can do.

## 8.5 Focusing on State Specific Needs

The capacity building and training should be well focused towards institutional strengthening of GPs as well as for implementation of *Mukhyamantri Gali-Nali Pakkikaran Nischay Yojna* and *Mukhyamantri Gramin Peyajal Nischay Yojna*.

8.5.1 For the purpose of institutional strengthening of GPs, the major contents of training for the elected representatives and functionaries of GPs may be as follows:

- i. How to conduct regular meetings of the stipulated number of General Body meeting and Standing Committee meetings every month.
- ii. How to ensure record keeping and sharing of the decisions of the Standing Committees and other processes of the GP.
- iii. How to conduct timely Ward Sabha and Gram Sabha meetings and monitor follow up actions.
- iv. How to discharge regulatory functions like issuing death and birth certificate, trade license and other regulations following service delivery standards - improving transparency and engagement with the people.
- v. Methodology of preparation and approval of annual plan and budget of the GP on time through the GPDP initiative, with utmost focus on overall human and social development issues including education, public health, nutrition, gender issues, development of women and children, access to safe drinking water, sanitation including solid and liquid waste management, development of backward sections of the society, development of differently abled persons and scope of improvement of livelihoods of the poor mainly through SHGs - in consonance with the SDGs.
- vi. Procedure for adoption of a model by-law by each GP, publicity on sustainable basis for educating the citizens on the need for generating revenue by the Panchayats, followed up with collection of OSR (both tax and non-tax).
- vii. Improved financial management through computerisation of accounts and reduction of fiduciary risks.
- viii. System of budgetary control and expenditure authorization for ensuring legality of all expenditure.
- ix. How to ensure the system of writing daily cash book by trained persons and verification as per law.
- x. How to effectively and efficiently discharge statutory, discretionary and assigned functions including implementation of various rural development schemes.

- xi. How to maintain transparency and accountability in all activities.
- xii. How to use ICT effectively in rural local governance.
- xiii. Management of natural resources and upgradation of overall environment and maintenance of bio-diversity.
- xiv. How to ensure timely audit and appropriate audit compliance.
- xv. Modality of supervision and monitoring of all the activities by the GPs.

8.5.2 The major contents of the training of the members of the WIMCs needs to be suitably identified, based on the roles and responsibilities to be discharged by them and on the basis of assessed learning needs.

8.5.3 An annual assessment of the learning needs of the entire range of stakeholders including elected representatives and functionaries of GPs and members of the WIMCs needs to be made by the SIPT with the help of the members of the SLMTT and the DLTTs and also, may be, external institutions/agencies.

## **8.6 Development of Learning Materials**

8.6.1 A very important aspect of planning for capacity building and training for GPs is to develop appropriate learning materials for each category of the stakeholders. Experience shows that it becomes easier for trainees to imbibe new learning if learning materials are prepared in simple vernacular on FAQ mode. Besides, Power Point presentations, embedded with video clips, attracts learners and becomes helpful to them in learning the relevant issues attentively deeply and sustainably.

8.6.2 Moreover, for the sake of uniformity in use of standardised learning materials by the trainers, Transaction Manuals need to be prepared for use in both institution-based training and field works for GPDP. The Transaction Manuals need to clearly indicate the communication strategy and the sequence of inputs to be given along with the methods and tools to be used in each part of any session of training.

## **8.7 Funding for Capacity Building and Training**

The MoPR, Gol provides fund for two streams of capacity building and training of the elected representatives of Panchayats under RGSA: (a) for Non-GPDP interventions (i.e. for institutional functioning of Panchayats); and (b) for GPDP interventions. The quantum of resources made available by the said Ministry is quite adequate to manage all the activities, including deployment of human resources for training institutions as well as for SPMU and DPMUs.

## **8.8 Roadmap for Gradual Up-scaling of Capacity Building and Training**

It may appear difficult to implement the vision of implementing this Roadmap containing a wide range of training and non-training interventions across the entire state at a single go. Hence, it may be envisioned and considered expedient to start the initiative in a few districts of Bihar within six months. Next, based on the experiences earned and the lessons learnt, the initiative may be rolled out to other districts in phases but in progressive scales in such a way that it may be possible to cover the entire state in 3-4 years. This gradual phenomenon of up-

scaling needs to be duly reflected in the Perspective Plan for capacity building and training for elected representatives of GPs and WIMCs.

### **8.9 Monitoring and Evaluation of the Capacity Building and Training**

8.9.1 It is necessary to develop a strong system and network for quantitative and qualitative monitoring of the capacity building and training interventions for institutional strengthening of GPs as well as for effective GPDP. The scope of monitoring and evaluation should not be kept restricted to the level of data collection, uploading of data and post training evaluation by learners in structured format as are usually done. There should be monitoring of whether the targeted number of persons could be trained as per plan, whether all the processes suggested for capacity building and training were followed and whether the quality of training imparted could be as achieved as desired. The trainers should visit the trainees a few months after the training and assess whether the practices followed in the respective GPs are in consonance with what was trained. In case of deviation, the reason for the deviation and how the same could be addressed in the subsequent training programme should also be given due attention.

8.9.2 The Plan of Action for Capacity Building and Training interventions should also include external evaluation by expert agencies at least every two years in order to improve the quality of the processes.

## CHAPTER - IX

### MONITORING FRAMEWORK FOR THE GRAM PANCHAYATS

#### 9.1 Monitoring Governance Processes and Delivery of Services

Existing system of monitoring of the Panchayats in Bihar is very weak. There has to be an arrangement for regular monitoring the institutional processes followed and services delivered by the Panchayats. Monitoring has to be objective to reflect performance based on easily measurable parameters covering institutional processes, financial management, mobilization of own resources, efficiency in use of resources and outputs. The GPs being the most important unit of local government in rural areas, monitoring the performances of GPs along with that of the GK will be most critical. There has to be a system of monitoring, which will contain the formats, procedural details of how the data will be captured by whom and when, how those will be compiled to derive the indicators for assessing performances of the GPs. There should be also a system of working out a score based composite performance indicator to rank the GPs. This will help to focus on the units with lower performances and assess the specific causes of weakness for appropriate interventions.

#### 9.2 Monitoring System to Strengthen Functioning of the GPs

The objective of monitoring is not to merely know how the system is functioning but to also facilitate the processes of strengthening the system. That requires carefully choosing the indicators, which are critical for promoting good governance as institutional processes and improving delivery of services by the GP level public facilities like health centre, school, ICDS centres and development made through implementation of GPDP including programmes like MGNREGS. The first component being intangible and having strong element of quality there should be adequate emphasis on capturing the processes and coming out with a composite score on the quality of governance. That will also identify the good performing units for studying in depth their practices and bringing the poor performing GP functionaries to those units for their exposure leading to self-actualization for following the good practices in their GPs.

#### 9.3 Monitoring of Institutional Processes

Democratic functioning of the Panchayats through meetings of the general body of the GP, the Standing Committees and the WMICs for taking decisions collectively, keeping records of all decisions taken and maintaining transparency are the essential processes. Also, compliance to prescribed rules and procedures and prudence in financial management are essential. As far as the citizens are concerned, organizing Gram Sabha meetings and sharing relevant information with the people and listening to their voice is the other aspect of good governance. It is difficult to capture all the processes but monitoring some basic activities can reasonably assess the institutional functioning of the GPs. To start with, monitoring of institutional functioning may be confined to: i) Watching the number of meetings the Panchayats/Standing Committees and the WMICs are having; ii) Availability of the resolution with attendance and decision taken, (iii) Number of Gram Sabha being held; iv) The attendance of male and female separately in each meeting; and (v) Following prudent financial management as mentioned below.

## **9.4 Monitoring Financial Performances and Own Resources**

9.4.1 Prudent financial management with budgetary control, a sound system of expenditure authorization, ability to utilize fund on time, maximizing income and maintenance of cashbooks and other records on time are important indicators for monitoring financial management. These are also the major area of weakness and there is need to put in place a sound system, which has been discussed in Chapter VI.

9.4.2 The monitoring framework should cover all aspects of accounts keeping, prudence in expenditure and efficiency of earning revenue and utilizing available funds. Such monitoring should be done using a web-based system so that the status of financial management and collection of own source revenue can be viewed on a real-time basis by all the supervising officials and critical factors are captured to analyse the efficiency and to guide taking corrective measures.

## **9.5 Monitoring of the National Flagship Programme and the GPDP**

9.5.1 The flagship programmes of the Gol like MGNREGS, PMAY, NSAP etc. are monitored by the concerned department of the state and the Union Government such as the MORD. The GPs should be oriented to compile their own report or view their performances from the relevant website. However, it may be difficult to do so without adequate expertise and access to internet by the GPs. The other alternative is to work out progress in a disaggregated manner up to GP level and monitor performance using such reported data. This is done to some extent but there is scope to improve the same so that areas of failure are clearly known by the implementing and the supervising officials.

9.5.2 There has to be a separate system of monitoring the progress of planned expenditure as per GPDP either using the Action Soft or through a dedicated software. The most important component in this respect is availability on dashboard in real time the following status: i) Total plan size under the GPDP; ii) Amount of fund to be spent out of own resources through GPDP (initially this may be nil but gradually this element will be populated with actual amount); iii) Actual availability of funds till the reporting month; iv) Actual expenditure till the reporting month, (v) Number of schemes approved under GPDP; vi) Number of schemes started; vii). Number of schemes completed; and viii) Physical outputs of the schemes completed.

## **9.6 Development of Database for Monitoring and Working out Indicators**

9.6.1 There is need to collect data on: i). Institutional aspects of functioning of the Panchayat; and ii) Various aspects of development from the field level by the GPs. The data will help to work out the indicators to judge performance in terms of whether correct processes have been followed and desired results have been achieved. For the latter, the data to be collected should be selected theme-wise so that development across different sectors can be monitored. It is proposed to monitor progress on 6 different sectors namely: i) Public Health and Nutrition; ii). Elementary Education; iii). Drinking Water, Sanitation and Hygiene; iv). Child Protection and Development; v). Natural Resource Management and Agriculture; vi). Road and Other Infrastructure. That apart data should also be collected for monitoring financial and physical progress under GPDP, MGNREGS, PMAY etc. The data to be captured is be converted to indicators to reflect progress under each sector and to also measure performance using a score



based composite indicator for comparison across GPs and identifying the poorer ones along with the reasons behind their failures.

9.6.2 The data to be captured should not be too many making it difficult to be handled at the GP level and at the same time it should not be too little, which does not serve the purpose. Keeping both the aspects in mind it has been thought to start with a small set of data to cover the critical aspects of institutional functioning and certain important thematic development as mentioned before. Data to be collected for monitoring institutional functioning of the Panchayats is shown in Annex 2 and data to be collected, sources and indicators for thematic development is shown in Annex 3. There are many more themes and indicators, which may be monitored. Those have been left out for the present and may be added later as the GP gets more experienced in handling data and using the same in systematic monitoring. Regular capturing of data will lead to development of a database, which will be analysed to work out the performances – both on institutional functioning and delivery of programmes through planned investments.

9.6.3 Certain activities proposed to be collected, particularly in Annex 3 may not be possible to be collected now since the activities are not performed (e.g. Sanitary Survey is not conducted or Water Sample is not collected for testing quality of water). Yet, these have been mentioned in the monitoring framework to flag the activity for starting the same as soon as possible. Indicators are to be worked out at the end of every month from the collected data for assessing actual progress made during the month of review, performance of the GP or other tiers of Panchayats concerned and how does that compare with the other GPs within the Block, District and the state.

### **9.7 Development of a Manual for using Data for Strengthening GPDP**

A manual is to be prepared based on the scheme of monitoring mentioned above so that the GP functionaries can easily follow the monitoring processes. It will also be useful for imparting training on how to collect the data, maintain quality and the process of working out the indicators. The manual should be developed, after due field testing, within three months and all the functionaries should be given training within another three months so that the monitoring framework is operational within next six months.

### **9.8 Developing a Web-based System with GIS Backbone for Monitoring**

The data to be captured need to be compiled to generate various indicators, as mentioned before, to judge institutional functioning and the delivery of services and progresses made in respect of various aspects of well-being of the people or other physical aspects of development. It will be convenient if a suitable ICT based system is developed for entering and processing the data and generating all the standard indicators as well as to keep provision for generating any other indicator using the captured data. The ICT based system can show the performance against each theme as well as based on a composite score and the same may be viewed simultaneously by the GP functionaries as well as all the supervising officials and those who are in charge of policy making. It will also become possible to compare performances across GPs within any block or district. Further, with GIS backbone it will be possible to make spatial analysis and to display progress across GPs on thematic maps, which makes internalization of the issues much easier, even by people who are not so literate. That will also help visualizing

the ranking of the GPs for creating competitive environment. The required software should be in place within 6 months so that the same is available for use by the time training of all Panchayat functionaries on system of monitoring is completed.

## **9.9 Review at GP, Block and District Levels**

9.9.1 Once data are captured and indicators are developed, the same has to be used to review progress of: i) Institutional functioning; and ii) Implementation of GPDP in a systematic manner. There has to be a protocol for reviewing the progress. One option is to have the review meeting on fixed dates of the month. For example, the GP level review meeting can be conducted on the 2<sup>nd</sup> Monday of the month so that all data are collected and entered into the system by the first week and there is a formal discussion at the GP office on the progress on the 2<sup>nd</sup> Monday (if so decided). The advantage of meeting on fixed date is that, all participants will remain prepared for the meeting without any notice and supervising officials may also join some of the meetings selected at random. Initially the focus of the monitoring will be whether all GPs are reporting their progress in the website and difficulties they are facing so that the web-based system is actually operational. Since the indicators are visible for everyone there is no need to submit separate report to the higher tiers. However, there must be one report highlighting the actions taken based on progress of the previous month and follow up/corrective measures taken. The same has to be submitted to the Block office by each GP. Also, all the innovative activities are to be reported for appreciation and dissemination. The action taken report should specifically focus on the lapses (where the services did not reach the target group or any activity could not be taken up at all etc.) and lower performances (like rate of expenditure is too slow or physical progress not up to the mark etc.).

9.9.2 There has to be similar monthly review at the block and district level. The Mukhiya and the Sachiv are to remain present in the review meeting and there has to be clear agenda of the meeting to be prepared after viewing performances of the GPs so that all the participants from the GP can come prepared. The first priority will be to monitor the institutional functioning. Since the GPDP is being used to improve delivery of services by the village level facilities also in an integrated manner and there are many supply side issues which constraint delivery of various services, the block level meetings must be attended by the officers from the Health and Family Welfare Department, Women and Child Development Department, the Education Department and the Agriculture Department working at the block level. That will help the GPs to sort out the problems they face in those sectors for improving delivery and uptake of services delivered by the state government run facilities and will also help the line department functionaries to be brought closer to the GPs and vice-versa. The departments concerned may be approached for issuing appropriate order for participation of their officers in the review meetings. This will also strengthen functioning of the Standing Committees at the respective level.

9.9.3 Any monitoring becomes meaningless unless there is proper follow up to rectify the mistakes or lapses. Since the initial thrust will be to transform the GPs into a strong institution of local governance there should be a system of follow up in which the GPs to be visited and the issues to be probed will be decided based on performance. The block level officers like the BPROs are to be trained on the institutional issues and they have to mandatorily visit certain



number of GPs for follow up including handholding. The visits are to be planned to understand the reasons of failure reported through the MIS as well as to ensure that good quality data are being uploaded. Number of days the supervising officials should be in the field should be fixed and their actual visits should be tracked for which suitable real-time mobile telephony application may be developed. The system will allow to know who has visited which places and at what time. Without continuous field visits and validation of the data being reported and ground level understanding of reasons of failure the monitoring system will not be strong. Ideally, there should be an arrangement for systematic mentoring so that every GP is visited at a regular frequency and the GP functionaries are mentored to follow the recommended institutional practices. GoB may come out with a scheme for said follow up/mentoring along with a programme of building capacity of the team. The block level resource persons/ master trainers may be used for such purpose after developing their capacities.

### **9.10 Annual System of Self-Evaluation by Each Tier of Panchayat**

Self-evaluation is an effective system of finding the weaknesses and taking up measures with own initiatives. There being large number of GPs with widely different problems it is advisable to put in place a system of annual self-evaluation in which each unit assesses their annual performances based on certain indicators covering all aspects of functioning of the GPs. The exercise has to be conducted in participatory mode so that Panchayat functionaries including elected members, as many as possible, are sensitized on the key performance indicators. The filled-up formats are to be analysed to identify the weaknesses and the finding have to be discussed at length at the block, district and state level for taking corrective measures. In order to incentivise participation in self-evaluation there should be reward for good performing GPs in each Block. The self-evaluated score of each unit selected for giving reward has to be independently verified so that there is check on over-assessment. If GoB agrees in taking up the same, the evaluation format should be developed by March 2018 and actual evaluation of the year 2017-18 may be completed by September 2018 and the exercise may be repeated every year.

### **9.11 Building Capacity of the Functionaries on Monitoring**

Appropriate capacity of the GP functionaries and higher-level functionaries on the proposed framework of monitoring is a critical need and has to be developed in a planned manner. The Sachiv, a couple of block/district level functionaries need to be well trained on various aspects of monitoring and using the ICT based system to monitor progress of GPDP. They also need to learn how to take up review meetings, generate feedback for addressing failures detected in the process of monitoring and how to follow up the same. The GP functionaries, particularly the Sachiv, the Mukhiya and the functionaries of the village level institutions like the ANM, ASHA workers, Head Masters, ICDS workers and the Agriculture Assistant should also be trained on capturing data, maintaining quality of the data, internalization of the indicators and implication of each indicator, interventions necessary to improve the indicators and how to mobilize the people to work for their own improvement etc. There should be also systematic feedback to the citizen through the Gram Sabhas for educating them on the status of development and areas requiring improvement so that their participation in the process of development is ensured. The Gram Sabha should also receive feedback from the citizen in strengthening both planning and monitoring of the GPDP. There should be an earmarked

officer at the state level to remain in charge of monitoring with the responsibility of analysing all the institutional aspect of functioning of the GPs, generating exception reports to highlight the areas of failure and initiating corrective actions and tracking follow up measures on time.

## CHAPTER – 10

### WAY FORWARD

A broad list of actions in the short term (12 months) and in medium term (48 months) have been suggested in the matrix at Appendix – 1 of this report. **To set this process in motion the following activities may be taken up immediately.**

- 1. Establish a Cell in the Directorate** – with specialists from Governance, Finance, Planning, Engineering, HR & CB and ICT, in the pattern of the state level Programme Management Unit of the Bihar GPSP may be set up to commence the process of implementation of the Roadmap.
- 2. Issue appropriate notification** declaring the existing premises from which the GP is functioning to be the Office of the GP provided the same is a public building or find out a public place and shift the GP to that place before notifying the same as the GP office.
- 3. Conduct a baseline study of GP infrastructures** and a plan to provide minimum facilities - This is an essential requirement. It seems that having Panchayat Sarkar Bhavan in all GPs will take huge resources which may not be available within a short period. Having the entire money for constructing the Panchayat Sarkar Bhavan within a few years may be difficult. It may be considered if the space recommended for such building can be created in phases and in the first phase the bare minimum space is constructed along with keeping provision for further extension. There is need to work out the bare minimum requirement of physical space and minimum infrastructure for the GP office and to have a survey to identify the GPs where the same is not available, so that a short term plan is prepared to meet the gap. The data should be collected within 3 months and an action plan should be prepared to provide minimum physical space within next 3 years. The state may consider allowing use of the 14<sup>th</sup> FC funds and support of MGNREGS may also be taken to meet the essential requirement. The GPs should also be allowed to buy/acquire land so that the office is located at the most convenient place. There has to be at least one computer in every GP for maintaining accounts and MIS related activities. The Panchayat Department may also arrange to list those GPs without good internet connectivity and take up with different service providers for providing wireless connectivity. A plan for ensuring connectivity to all GPs has to be worked out in consultation with the service providers.
- 4. Fill up existing vacancies from GP to the Directorate/ Department** - A decision is required to be taken on the manpower of GPs based on the recommendations discussed above and a time bound programme for filling up the posts may also be adopted. (5.6.1) Till such time the regular posts are filled up the contractual staff may be associated with the standing committees at the GP level and their capacities and compensation be made commensurate to the additional responsibility assigned to them.

5. **Take a view on the proposed staff strength of the GP** based on the report of the 5<sup>th</sup> SFC and the Committee of the MoRD headed by Mr Sumit Bose. Also, take a view on creation of a cadre of Bare Foot Technicians from the existing GRS or other local youths.
6. **Have one full time Accounts cum IT persons outsourced for each GP** and train them adequately (for details see Para 6.7)
7. **Start revising the Rules and Regulations** related to Accounts, Budget and Audit and create Finance and Internal Audit Cells in state and districts.
8. **Issue guidelines for collection of OSR** from Non-tax revenue sources as well as arrange to publish the Rule for collection of property tax.
9. **Establish the State Panchayat Resource Centre** and at least one District Panchayat Resource Centre in each division along with Faculty Members.
10. **Initiate other steps for capacity building of the Panchayats and training of functionaries** as suggested in the Roadmap.
11. **Establish a manual for the WIMCs in executing works** including a baseline study on access to drinking water, road & drainage and develop GIS (for details see para 4.13)
12. **Establish the BRCs and identify one RP to assist the BPROs** in hand holding the GPs and organizing training
13. **Computerization of Accounts** may be started by first deciding on the type of software to be used and to develop the same for pilot testing as soon as possible.
14. **Develop an appropriate planning manual** describing the methodology to be followed up for planning and arrange to **test the methodology in a few pilot districts** before upscaling the same.
15. **Develop a monitoring framework** with application of ICT for closely monitoring the institutional processes and status of functioning of the GPs.

## Summary of action points with suggested timeline

Issues	A - Activities to be done in the short term (12 months)	B - Activities to be done in the medium term (48 months)
<b>1. Ensuring Adequate Minimum Infrastructures</b>	<ol style="list-style-type: none"> <li>1. Some of the GPs which do not have own building are operating from other public places. The state govt. may notify such premises as the GP office and come out with a list of all GP premises along with available facilities and whether these are own building or other premises.</li> <li>2. The state to set the minimum physical infrastructure that a GP needs (office space and equipment, which may also include space required for GKs).</li> <li>3. A survey to identify the GPs where minimum infrastructure is not available may be held within 3 months.</li> <li>4. To ensure availability of at least one computer in all GPs for maintaining accounts and supporting MIS.</li> <li>5. Prepare list of GPs without good internet connectivity and plan for providing wireless connectivity.</li> </ol>	<ol style="list-style-type: none"> <li>1. Constructing Panchayat Sarkar Bhavan in all GPs with adequate physical infrastructures.</li> <li>2. Working out a plan for bridging the gap in minimum infrastructure.</li> </ol>
<b>2. Strengthening Democratic Functioning</b>	<ol style="list-style-type: none"> <li>1. Formation of Ward Implementation and Management Committee (WIMCs) in all the Wards of all GPs.</li> <li>2. First round of capacity building of WIMC members is essential to enable them to follow the prescribed Administrative and financial procedures for discharging responsibilities entrusted to them under Section 170 (B) and 170 (c) of the Bihar Panchayati Raj Act 2006</li> <li>3. Assessment of WIMCs ability to adhere to the time frame fixed for implementation of a) <i>“Mukhyamantri Gali-Nali Pakkikaran Nischay Yojna”</i> and b) <i>“Mukhyamantri Gramin Peyajal Nischay Yojna”</i> and identification of issues that hinder implementation of these two major infrastructure programmes of the state.</li> <li>4. Clear delineation of roles and responsibilities of the Mukhia,</li> </ol>	<ol style="list-style-type: none"> <li>1. Proper documentation of the Committee meetings and the decisions and monitoring to ensure that decisions taken are complied with.</li> <li>2. Transparency and accountability system to be in place along with mechanism of communicating decisions of the Panchayats to the citizen</li> <li>3. Proper system of grievance redressal.</li> <li>4. Preparation of SC wise budget as well as WIMC wise budget, clear delineation of responsibilities and regular meeting.</li> <li>5. Expenditure authorization for taking up schemes by respective committees.</li> </ol>

	<p>the Standing Committees and that of the WIMCs.</p> <p>5. There is a strong case for SHG (Jeevika) - GP linkage. The state may consider cooption of GP level cluster leader in the GP and Ward level leader of Jeevika in the WIMC. They will work as the link between the elected bodies and the community and will strengthen functioning of each other and pursuing common interests.</p>	
<p><b>3.Functionaries of the Gram Panchayat</b></p>	<ol style="list-style-type: none"> <li>1. Filling up all vacancies of GP Sachivs.</li> <li>2. The contractual GP level functionaries such as Vikas Mitra, Tola Sevak, Indira Awas Sahayak, Panchayat Rozgar Sewak, Krishi Salahkar, who are already available within the GPs but are without full-time work, and have been linked to <i>Gali Nali Pakkikaran</i> and <i>Peya Jal Nischay Yojana</i> may be brought fully under GPs authority and as recommended by the 5<sup>th</sup> SFC of Bihar. How their services will be utilized should be clearly delineated.</li> <li>3. Setting up of the support cells in the Office of the DPRO for implementing <i>Mukhyamantri Peya Jal Nischay Yojna</i> and <i>Mukhyamantri Gali Nali Pakkikaran Nishay Yojna</i> as detailed in the respective guidelines.</li> <li>4. Assigning specific GP related oversight functions to the BPROs with time bound programme for capacity building and sparing them from other works of the Block to the extent possible.</li> <li>5. To take a view on the Recommendation of the Committee on Performance Based Payment for Better Outcome in Rural Development Programme set up by the MORD, which has been accepted by that department. The Committee has recommended: 1) one full time Secretary on regular employment along with a full time Panchayat Development</li> </ol>	<ol style="list-style-type: none"> <li>1. The state government should take a view based on the recommendations of the Recommendations of the 5<sup>th</sup> SFC of Bihar: 1) 1 Panchayat Development Officer , 2) 1 GP Sachiv, 3) 1 LDC –Cum –Tax Collector, 4) 1 Accountant, 5) 1 IT Assistant – cum – DEO , 6) one MTS (Sweeper – cum – Peon-cum Chowkidar in each Gram Panchayat and 7) one Junior Engineer for each cluster of 5 GPs in Bihar, and the Recommendation of MoPR in The Road Map for Panchayats (2011 – 16): Core staff for its internal processes: (i) PDO/Secretary, (ii) Accountant, (iii) Technical Assistant and (iv) Extension Officer to take a view on further strengthening of the GPs in addition to what will be decided on the recommendations of the Committee constituted by the MORD as mentioned here.</li> <li>2. To take up follow up measures based on the decisions taken in respect of the three Committees mentioned here.</li> <li>3. To come out with clearly laid job responsibilities and accountability framework for all the employees – regular as well as contractual.</li> <li>4. To have a policy of training of all the employees – regular as well as contractual working for the GPs including those from other offices/institutions who provides support to GPs.</li> </ol>

	<p>Officer for GPs with population beyond 10,000, 2) a Technical Assistant and the existing Gram Rozgar Sewaks (GRSs) to be trained as Barfoot Technician to perform that role and 3) A worker to take care of the ICT and accounting need (may be outsourced to the SHG Federation)</p> <p>6. Accounting and ICT related tasks of that tier may be outsourced from SHG network/CSCs etc. and after meeting the quality or from individual to be decided on merit. The remuneration of such persons can be met out of allowed administrative component of the scheme funds. A small portion of 14<sup>th</sup> FC funds and support of RGSY can be used for that purpose.</p>	
<b>4. Financial Management of the GPs</b>	<ol style="list-style-type: none"> <li>1. Financial Rules need to be reviewed for improving financial management and reducing fiduciary risks.</li> <li>2. Timely preparation of budget and system of budgetary control and expenditure authorization for ensuring legality of all expenditures.</li> <li>3. Preparation of a Finance Manual for better guidance.</li> <li>4. Ensuring the system of writing daily cash book by trained persons and verification.</li> <li>5. A system of supervision and monitoring of the activities.</li> </ol>	<ol style="list-style-type: none"> <li>1. Clearing the backlog of accounts.</li> <li>2. Physical verification of unspent fund and working out the head wise amount lying unspent.</li> <li>3. Submitting the abstract of accounts within certain number of days to be decided by the state government (to start with 10 working days will be fine) to the block offices.</li> <li>4. Timely audit for knowing any lack of compliances to rules and prudence in collection of revenue and expenditure made by the GPs and ensuring due compliance. A cadre of auditors to be established.</li> <li>5. Computerising the accounts and conducting all transactions online.</li> </ol>
<b>5. Strengthening System of Mobilizing Own Revenue</b>	<ol style="list-style-type: none"> <li>1. Issuing government order on collection of non-tax revenue.</li> <li>2. Preparation of a Model Bye Law, for Gram Panchayats, issuing a guideline on the possible scopes for collection of non-tax revenue by all the three tiers of Panchayats and to ensure that all Panchayats adopt their own by-law and start collecting non-tax revenue.</li> <li>3. Organizing publicity on a sustainable basis for educating the citizen on the need for generating revenue by the Panchayats. The process to start</li> </ol>	<ol style="list-style-type: none"> <li>1. Notifying the rule for collection of property tax.</li> <li>2. Assigning of other sources of revenue for the GPs.</li> <li>3. Incorporating the relevant procedural details in the Manual of Panchayat Finance mentioned previously.</li> <li>4. Training of the Panchayat functionaries and the supervising officials on collection of revenue and how to augment the same.</li> <li>5. Putting in place a system of monitoring revenue collection by the GPs and the processes</li> </ol>

	within one year and has to be continued in the coming years also.	being followed towards that. The revenue data needs to be analysed and specific follow up measures are to be taken on a regular basis.
<b>6. System of Budgetary Control and Expenditure and authorization</b>	<ol style="list-style-type: none"> <li>Existing order on delegation of power to sanction fund may be reviewed to decide limit of which functionary/ Committee/ the entire GP is authorized to sanction.</li> <li>The Standing Committee dealing with Finance should monitor compliance.</li> <li>All functionaries, particularly the Mukhia and the Sachiv to be trained on budgetary control.</li> </ol>	<ol style="list-style-type: none"> <li>Panchayats to prepare their budget and get that approved in their meeting convened with the specific agenda.</li> <li>The accounting system should be able to provide head-wise available balance at the end of each month or as and when required to decide whether and how much expenditure can be incurred under the specific head</li> </ol>
<b>7. Computerization of Accounts</b>	<ol style="list-style-type: none"> <li>One outsourced IT professional at the block level to support computerization of accounts of every GP and to also provide support to the Panchayat Samiti in adoption of ICT.</li> <li>Each GP should have at least one and preferably two computers.</li> <li>Quick survey of status of internet connectivity in the GPs and coordinate with the service providers for ensuring internet.</li> <li>'System Requirement Study' for designing the dedicated software for different tiers of Panchayats.</li> </ol>	<ol style="list-style-type: none"> <li>Developing a suitable software to not only take care of the accounts but other essential administrative jobs.</li> <li>Creation of a regular post of state IT officer in the Panchayat Directorate and one District IT Officer in each ZP to facilitate computerization of accounts.</li> <li>Arrangement for training on use of computer and the applications.</li> </ol>
<b>8. Arrangement for Auditing of the Accounts</b>	<ol style="list-style-type: none"> <li>Setting up of a core team comprising of a Joint Director level officer with a couple of auditors at the state head quarter and an officer of the rank of Deputy Director and one Auditor in each division. The Team would monitor the quality of audit being conducted by outsourced auditors.</li> <li>To analyse the audit reports and to take up follow up measures, make enquiries on reported defalcation of funds or major financial irregularities and also conduct selective audit of a few Panchayats to judge the quality of audit by the outsourced auditors</li> </ol>	<ol style="list-style-type: none"> <li>Developing a Local Fund Audit Directorate or setting up an Internal Audit wing in the Panchayat Department with a cadre of internal auditors</li> </ol>
<b>9. Supervision and Monitoring of Financial Management</b>	<ol style="list-style-type: none"> <li>Until the accounts are computerized and all data are available in the website some</li> </ol>	<ol style="list-style-type: none"> <li>Collection of Own Source Revenue of the Gram Panchayat</li> </ol>



	<p>essential data has to be collected every month for analysis. Such analysis should be done at the district level.</p> <ol style="list-style-type: none"> <li>2. One officer to assist the District Panchayat Raj Officer for monitoring the functioning of the Panchayats and submit regular report to the Panchayat Directorate.</li> <li>3. Maintenance of cash books and other financial records including status of unspent balance.</li> </ol>	
<b>10. Decentralized Planning Through GPDP</b>	<ol style="list-style-type: none"> <li>1. There has to be an assessment of status of water supply, drains and access to roads in rural Bihar through a baseline survey to know the GP wise status which will help to assess the gap and make plans in bridging the same.</li> <li>2. The procedures for preparing plans at the Ward and GP level are to be well defined to ensure participation of the people and their ownership of the process.</li> <li>3. A suitable Manual for people centric planning and involving all the village level service delivery institutions are to be developed.</li> <li>4. The state may issue orders for sharing data of these institutions to the GPs for monitoring their performances and asking the said institutions to submit their report of functioning before the Gram Sabha and asking suggestions for improvement which may be part of GPDP.</li> <li>5. To have convergence with Jeevika for strengthening livelihood.</li> <li>6. A Manual for planning and mechanism for said convergence may be prepared in next six months and the same may be tried in a few pilot GPs by the year 2018-19.</li> </ol>	<ol style="list-style-type: none"> <li>1. The data captured through baseline survey needs to be computerised for guiding selection of habitations to get priority in planned investments for basic services</li> <li>2. Develop web-enabled system to display the findings of the baseline survey and the annual progress of the planned interventions.</li> <li>3. The status are to be also shown in spatial format on GP maps (showing Wards and habitations and important delivery institutions) using GIS. This may be completed within next two years with support from expert organizations.</li> </ol>
<b>11. Capacity Building of Elected Representatives and Functionaries for overall institutional capacities of Panchayats</b>	<ol style="list-style-type: none"> <li>1. Development of a state level training centre within 6 months – may be in any hired premises. A full time Director and at least 5 Faculty members to be in place in the institute.</li> <li>2. To start with one Training Centre to be established (if required in hired premises) in</li> </ol>	<ol style="list-style-type: none"> <li>1. District Resource Centre in each district with two class rooms, hostels. Full time Principal and two Faculty Members.</li> <li>2. One Resource Centre in each block – one full time Resource Person and a class room with facility for day long training.</li> </ol>

	<p>each division within 6 months and rest to come up in next 3 years.</p> <ol style="list-style-type: none"> <li>3. All Regulatory functions like issuing Death &amp; Birth Certificate, Trade license and other Regulations following service delivery standards – improving transparency &amp; engagement with the people to be covered under capacity building.</li> <li>4. Ensuring holding of stipulated number of General Body meeting and Standing Committee meeting every month.</li> <li>5. Record keeping of the decisions of the Standing Committees and other processes of the GP.</li> <li>6. Ensure timely holding of the Ward Sabha and Gram Sabha Meetings and monitoring follow up actions.</li> <li>7. Preparation and approval of the Annual Budget of the GP on time.</li> </ol>	<ol style="list-style-type: none"> <li>3. Developing a team of resource persons at all levels and having competence on different subjects.</li> <li>4. Training of all the trainers, development of standard modules and preparation of training materials as per training strategy to be worked out.</li> <li>5. Building capacity to train all functionaries on use of ICT.</li> </ol>
<p><b>12. To put in place a Monitoring Framework and to put that into use for effective monitoring of all institutional functions and service deliveries.</b></p>	<ol style="list-style-type: none"> <li>1. Institutional aspects of functioning of the Panchayat.</li> <li>2. Status of progress in respect of Drinking water, Sanitation and Hygiene, Access to road and other infrastructure, Public Health &amp; Nutrition, Elementary Education, Natural resource management and agriculture, Child protection and development, women development.</li> <li>3. Monitoring of financial and physical progress under GPDP, MGNREGS and PMAY.</li> <li>4. Development of a Manual for using data for strengthening GPDP.</li> <li>5. Developing a web-based system with GIS backbone for monitoring.</li> <li>6. To put in place a system of review of performances at GP, Block and District Levels and taking follow up measures</li> </ol>	<ol style="list-style-type: none"> <li>1. Annual system of self-evaluation by each tier of Panchayat.</li> <li>2. Building capacity of the functionaries for effective monitoring and taking evidence based corrective measures.</li> <li>3. Regular collection of secondary data from the village level institutions like schools, health centres and ICDS centres and PDS for assessing delivery of services within the GP.</li> <li>4. To put in place an online data capturing, analysis and development of dashboard for reviewing in a more efficient and transparent manner.</li> </ol>

**Table 9.1: Data to be collected for Monitoring Institutional Functioning of the Panchayats**

<b>Monitoring Indicators for institutional functioning</b>			
Name of the GP....		Block .....	District.....
I. Collective functioning of the GP/PS/ZP (whatever is relevant)			
<b>Sl. No</b>	<b>Indicator</b>	<b>Value</b>	<b>Data Source/Means of Verification</b>
1.	No. of meeting of the Panchayat held in the month	Panchayat	Average meeting of the Panchayat per month
2	No. of Standing Committees (SC) constituted	do	No. of SCs yet to be constituted
3	No. of meeting of the SCs held in the month	do	No. of meeting held
4	Whether all resolutions are available – (i). Yes for all, (ii) Only for some of the SCs (iii). No	do	Status of record keeping
5	Whether officials of Health/Schools/ ICDS/ Agriculture posted within the GP attended any meeting in the GP during the month	do	(i). All 4, (ii). 3 of them, (iii). 2 out of them, (iv). 1 out of them, (v). None (vi). they were not called in any meeting
6	No. of Gram Sabha meeting held in the month*	do	No. of meeting held
7	Attendance in the Gram Sabha meeting*	do	Percentage of attendance
8	No. of WICs in the GP*	do	-
9	No. of WICs from which report of its functioning has been submitted to the GP*	do	Percentage of WICs reporting
10	Which date the budget has been approved (dd/mm)	do	Put 9999 if budget is yet to be approved
11	Total budget	do	-
12	Fund received during the month	do	Percentage of budgeted amount received
13	Expenditure made during the month	do	Percentage of fund utilization
14	Estimated own source revenue for the year	do	-
15	Collection of own revenue during the month	do	Efficiency of collection in percentage
16	Cash book written up to which date (dd/mm/yy)	do	Extent of pendency of writing cashbook
17	Unspent balance as on the last month till when cash book written	do	Variation with earlier report if any
18	Date of last visit of BPRO/other officer from block to check the functioning of the GP (dd/mm/yy)	do	No. of visits per month
19	If the GP has its own building - (i) yes, with sufficient space, (ii) yes but inadequate space, (iii) no, under construction, (iv) no	do	Status of GP building

20	Post of <i>Sachiv</i> – exclusive charge/ in charge of 2 GPS/ in charge of more than 2 GPS	do	Availability of full-time <i>Sachiv</i>
21	If there is GRS/TA – (i) Yes full time, (ii). Yes but part time (iii). No.	do	Availability of extra hand for work
22	When was the last review meeting was held (dd/mm)	do	Review was made (i).Time, (ii). Delayed by 1months (ii). Delayed by 2/3 months, (iii). Delayed beyond 3 months
23	Resolution of the last meeting is available or not – Y/N	do	Availability of record of meeting

Table 9.2: Data to be collected, source and indicators to be collected for Thematic Development

Monitoring Indicators for GPDP			
Name of the GP:.....		Name of the Block:.....	
Name of the District:.....,		Name of the State:.....	
Total no. of HHs (Gen):.....		Total no. of HHs (SC):.....	
Total no. of HHs (ST):.....		Total no. of HHs (OBC):.....	
Total no. of HHs (VJNT):.....		Total no. of HHs (Others):.....	
Total population of the GP:.....			
Total population Male:.....			
Total Population Female:.....			
Sl. No	Indicator	Value	Data Source/Mean of Verification
<b>I.</b>	<b>Public Health and Nutrition</b>		
1	No. of pregnant women (PW) registered in the month	ANM/ASHA reports to SC/PHC and GP	-
2	Out of 1, how many were registered in the 1st trimester?	Do	Percentage of pregnancies registered in 1st trimester
3	How many deliveries were there in the month	Do	-
4	How many of PWs in item 3 received all ANC's	Do	Percentage of PWs with 3 ANC's
5	How many of them (item 4_ consumed 100 IFA tablets?	Do	Percentage of PWs taking 100
6	How many deliveries were in hospital/institution?	Do	Percentage of institutional deliveries
7	How many PW who delivered babies in the previous month had the 1st, 2nd and 3rd PNC's on time	Do	Percentage of lactating mothers who had 1st 3 PNC's
8	No. of high risk mothers detected in the month	Do	Percentage of PWs who have high risk of delivery
9	No. of maternal death, if any, during the month	Do	No. of maternal death in last one year
10	No. of death of babies below 1 year, if any, during the month	Do	No. of infant death in last one year
11	No. of death of babies below 5 year, if any, during the month	Do	No. of infant death in last one year
12	No. of death of girls below 5 year, if any, during the month	Do	No. of death of girl child in last one year
13	No. of children and mothers who were to be immunised during the month as per schedule	Do	-
14	Out of all children mentioned in 12, numbers of children and mothers who missed the same (and also list those children/mothers for follow up)	Do	(i). Percentage of children who missed scheduled immunization; (ii). List of missed cases
15	No. of children up to 6 years as per last survey	Do	-

16	No. of children enrolled in AWC(s)	AWW report	Percentage of children enrolled in AWCs
17	No. of children whose weight was taken in the month	Do	Percentage of EC weighed during the month
18	No. of children receiving supplementary nutrition	Do	Percentage of EC who received supplementary nutrition
19	No. of visits to the AWCs for checking food quality by parents of children	From AWW	From reports maintained in AWC, Compliance to Menu and display of Menu
20	No. of Severely Under Weight (SUW) children in the GP	Report on SAM/MAM from AWW	Incidence of severe malnutrition
21	No. of Moderately Under Weight (MUW) children in the GP	AWW	Incidence of moderate malnutrition
22	No. of adolescent girls in the GP	Report from ASHA/ANM/AWW	-
23	No. of adolescent girls with anaemia	Report from ASHA/AWW	Incidence of Anaemia among adolescent girls
24	No. of adolescent girls receiving nutritional supplements.	AWW report on distribution	Percentage of adolescent girls receiving suppl. nutrition
25	Availability of nutritional supplements in AWC on time	Yes/No	Report on timely distribution and timely availability of food in the AWW - Y/N
26	No. of persons having fever during the month	Report by MPW; Home visit report by ASHA, ANM and MPW	Report by MPW; Incidence of fever (no. suffered per 1000 population)
27	Name the diseases from which anyone suffered for more than 3 days during the month and no. of such persons	Do	Name of the common diseases from which people suffered
<b>II. Elementary Education</b>			
28	No. of children in the age group 6 to 14 years	Head Master/SMC report to the GP	-
29	No. of girls in the age group 6 to 14 years	Do	-
30	No. of children who are not enrolled (6 to 14 years)	Do	Percentage of children not enrolled in school
31	No. of and girls who are not enrolled (6 to 14 years)	Do	Percentage of girls not enrolled in school
32	No. of school dropouts total (6 to 14 years)	Do	Percentage of dropouts
33	No. of school dropouts girls (6 to 14 years)	Do	Percentage of girls dropouts
34	No. of drop outs / not enrolled brought back to school in the month	Do	Children brought back to school (No.)
35	Number of students with less than 80% Attendance*	Do	Percentage children with poor attendance

36	No of teachers with less than 80% attendance	Do	Percentage of teacher with lower attendance
37	If the school(s) toilets are in use (regular/occasional/defunct and not in use)	SMC report to GPS/visit to school	Usage of toilets as classified
38	If the school(s) have hand-washing facilities with soap	Do	Availability of hand wash facility Y/N/Defunct
39	The status of cleanliness of toilets (Good/Average/Poor)	Do	Cleanliness of school toilet– Good/Av/Poor
40	No of food quality testing visits to schools made by parents	Head Master/SMC report to the GP	No. of days in which food quality tested
41	MDM menu on displayed in school (Yes all days/ Yes some days/ No)	SMC report to GPS/visit to school	Display of MDM-Menu – as classified
42	No. of differently abled children	Do	No. of such children
43	Availability of friendly infrastructure for differently abled.	Do	Infrastructure disable friendly or not Y/N
<b>III.</b>	<b>Drinking Water, Sanitation and Hygiene</b>		
44	Total no. of HHs		
45	No. of households without toilets	Own data of GP	Percentage of HHs without IHHL
46	No. of HHs who are sharing toilets of others	Do	Percentage of HHs using shared toilet
47	No. of households with defunct toilets	Do	Percentage of HHs having defunct toilet
48	No. of households with any member not using toilets	Do	Percentage of HHs practicing OD
49	Whether <i>Nigrani Samity</i> watched OD during the month	Do	<i>Nigrani Samity</i> active or not – Y/N
50	Last sanitary survey was done - before 12/6/3 months	Do	No. of months before which the last sanitary survey was done
51	No. of HHs having drainage outlet	Do	Percentage of HHs having access to drain
52	Cleaning of drainage was done by GP before 12/6/3 months	Do	No. of months ago when the drain was cleaned
53	Mention the No. of HHs of each category (i). Whose solid waste is treated scientifically by the HH themselves, (ii). The GP picks up the same (iii). No such arrangement	Do	Status of solid waste disposal as specified
54	Whether any behaviour change training programmes and awareness sessions conducted during the month	Do	No. of IEC/BCC related activity conducted so far during the year and when the last activity was conducted
55	No. of households with water piped in their premises	Do	Percentage of HHs having access to PWS

56	Whether any water sample tested during the month	Do	No. of water samples tested during the year and when the last one was done
57	If the GP knows the result and the water is potable	Yes/No report to GP from MPW	Whether water is safe for drinking, if not nature of contamination
58	If not potable, whether any interventions made for improvement	Yes/No Own data of GP	If any measure taken to address the problem Y/N
59	Use of sanitary pads (i). All, (ii). More than 50%, (ii). Less than 50%, (iv). Very few uses sanitary pads	Do	Coverage of use of sanitary pads – universal/ good/average/poor
<b>IV. Child Protection and Development</b>			
60	VCPC formed and meeting regularly (Meeting regularly/ not meeting regularly/not formed)	Meeting reports	Meeting reports; issues identified and action taken
61	If any girl with less than 18 years was married in the last month	Yes/No	Record of all marriages in the GP with age of bride and groom
62	No. of children below 14 years engaged in work as labour	Do	Children below 14 years not in school or with less than 70% attendance in schools to be visited by SMC, VCPC to get the data
63	Whether the Committee met during the month	Yes/No Reports of SMC, VHSNC, VCPC to GP	No. of meetings during the year, when last meeting was held
64	Whether there was meeting of the Adolescent club during the month - Yes/ No/ Not formed	Details of club and meeting reports	No. of meetings during the year, when last meeting was held or not formed
65	Whether <i>Bal Sabha</i> met during the month - Yes/ No/ Not formed	Report from <i>Bal Sabha</i> functionaries	No. of meetings during the year, when last meeting was held or not formed
66	Whether there is separate playing ground for the children	Yes/No Own data of GP	Availability of playing field for children Y/N
67	Whether girls participate in outdoor games - Yes/ No but space is there/ There is no such space	Do	Participation of girls in outdoor games Y/N
<b>V. Natural resource management and agriculture</b>			
68	Total land area	From own records of GP/ Agriculture Assistant	-
69	Total area available for cultivation	Do	Percentage of area available for cultivation
70	Total land which can be treated for better water and soil conservation	Do	Area of land requiring treatment
71	Total land area which was treated during the month	Do	Percentage of land treated during the year
72	Total area under green cover (through social forestry/horticulture/fodder)	Do	Percentage of total area under green cover



73	Additional area which may be brought under green cover	Do	Total area which is yet to be covered with plants etc.
74	Area brought under green cover during the month	Do	Percentage of total area brought under green cover during the year
75	No. of water conservation structure that can be constructed	Do	No. of water conservation structure that should be constructed
76	Actual no. of water conservation structures constructed during the month	Do	Percentage of water conservation structures constructed during the month
<b>VI. Road Infrastructure</b>			
77	Total all weather road in the GP in KM	From own records of GP	Total AW road in KM
78	Total road length required for providing connectivity to all hamlets	Do	Total AW road required to be constructed
79	Total road length constructed during the month	Do	AW road constructed as % of total during the year
80	Total road length requiring up-gradation	Do	Total road length to be upgraded
81	Total existing road length upgraded during the month	Do	Completed up-gradation as % of total during the year
<b>VII. Financial progress under GPDP and MGNREGS</b>			
82	Total annual plan under GPDP in Rs. Lakh	From own records of GP	Annual plan as per GPDP
83	Own source revenue of the GP in the previous year	Do	OSR of the GP
84	Amount of own source revenue to be spent through GPDP	Do	Share of OSR in GPDP
85	Amount earmarked for Health and nutrition	Do	Allocation under GPDP on public health and nutrition
86	Expenditure for Health and Nutrition till the month	Do	Percentage expenditure on health and nutrition till the month
87	Amount earmarked for Education	Do	Allocation under GPDP on education
88	Expenditure for Education till the month	Do	Percentage expenditure on education till the month
89	Amount earmarked for Drinking Water and Sanitation	Do	Allocation under GPDP on WASH
90	Expenditure for Drinking Water and Sanitation till the month	Do	Percentage expenditure on WASH till the month
91	Amount earmarked for Child Protection and Development	Do	Allocation under GPDP on WCDandP
92	Expenditure for Child Protection and Development till the month	Do	Percentage expenditure on WCDandP till the month
93	Amount earmarked for road sector	Do	Allocation under GPDP on road sector

94	Actual expenditure made for road sector during the month	Do	Percentage expenditure on road sector till the month
95	Labour budget for the year under MGNREGS	Do	Total person-days
96	Funds required as per labour budget	Do	Annual budget (INR)
97	Total No. of continuing schemes of the last year and new schemes started during the month	Do	No. of schemes to be taken up till the month
98	No. of schemes completed till the month	Do	Percentage of schemes completed
99	Person-days generated till the month	Do	Person-days generated till this month as percentage of LB
100	Person-days generated till the month for women	Do	Share of women in employment generated
101	Expenditure made till the month under MGNREGS	Do	Expenditure as share of total annual plan
102	No. of individual schemes started during the month	Do	No. of individual schemes started till this month
103	No. of such schemes completed in this month	Do	No. of individual schemes completed till the month
104	Total expenses made on individual schemes	Do	Percentage of expenses made on individual schemes
105	Total no. of houses to be constructed during the year under PMAY	GP	-
106	Actual no. of PMAY houses constructed	Do	Percentage of progress under PMAY

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