
UNIT 7 CONCEPTUAL FRAMEWORK FOR GENDER IN DEVELOPMENT PLANNING

Conceptual Framework for
Gender in Development
Planning

Structure

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7.1 INTRODUCTION

The goal of gender planning is to achieve equality, equity and empowerment. Gender planning is a process which aims to promote emancipation of women from subordination. This planning tradition was adopted by different countries based on the extent of subordination women face and their status vis a vis men. The WID and GAD approaches and the knowledge explored by feminists and the development experts provide a conceptual base for gender planning. The conceptual base was further translated into tools and techniques. We have studied the rationale for gender planning in Unit 1 of Block 1. This Unit deals with the basic concepts of planning and also discusses types and approaches in planning; role of planning in assuring gender justice; evolution of planning and the role of stakeholders.

7.2 OBJECTIVES

After studying this Unit, you should be able to:

- describe the different concepts related to Gender Planning;
- explain the approaches of planning; and
- describe gender awareness in planning and policy making.

7.3 BASIC CONCEPTS IN GENDER PLANNING

It is important to understand the concepts related to Gender Planning. We will explore the meaning of terms such as Gender, Planning, Gender Studies, Gender Justice, Gender and Development, Gender Equality and Gender and Poverty.

7.3.1 Gender

As you have learnt the concept of gender in MGS-001, the following brief description of gender will provide its significance in the planning context. Gender refers to the social attributes and opportunities associated with being male and female and the relationships between women and men and girls and boys, as well as the relations between women and between men. According to the United Nations Entity for Gender Equality and Women's Empowerment, these attributes, opportunities and relationships are socially constructed and are learned through the processes of socialization. They are context/time-specific and changeable. Gender determines what is expected, allowed and valued in a woman or a man in a given context. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources, as well as decision-making opportunities. Gender is part of the broader socio-cultural context. It is an important criterion for socio-cultural analysis just like class, race, poverty level, ethnic group and age. While doing gender planning, analysis will be carried out to understand the role of women, men and their roles, needs and the control over resources and the decision making in the household, civil society etc. This analysis will acknowledge difference and the significance of including the needs of all.

7.3.2 Gender Studies

Gender Studies is a field of interdisciplinary study which analyzes the phenomenon of gender. Gender studies are sometimes related to studies of class, race, ethnicity, sexuality and location. Gender studies has many different forms. One view explored by Simone de Beauvoir said: "One is not born a woman, one becomes one". This view proposes that in gender studies, the term "gender" should be used to refer to the social and cultural constructions of masculinities and femininities, not to the state of being male or female in its entirety. However, this view is not held by all gender theorists. Other areas of gender study closely examine the influence that the biological states of being male or female have on social constructs of gender. Specifically, gender roles are explored with respect to how they are defined by biology and how they are defined by cultural trends. The field emerged from a number of different areas: the sociology of the 1950s and later (Sociology of gender); the theories of the psychoanalyst Jacques Lacan; and the work of feminists such as Judith Butler.

7.3.3 Gender Justice

The term 'gender justice' is being employed increasingly by activists and academics who are concerned that terms like 'gender equality' or 'gender mainstreaming' are failing to give a strong enough sense of or adequately address, the ongoing gender-

based injustices from which women suffer. Contemporary discussions of gender justice have many different starting points – political philosophy, discussions of human agency, autonomy, rights and capabilities; political science discussions involving democratization, citizenship and constitutionalism; and discussions in the field of law about judicial reform and practical matters of access to justice. ‘Gender justice’ is often used with reference to emancipatory projects that advance women’s rights through legal change or promote women’s interests in social and economic policy. Ideologies and conventions about women’s subordination to men and the family are often rooted in assumptions about what is ‘natural’ or ‘divinely ordained’ in human relationships. These perspectives on women’s rightful subordination are legitimated not by appeals to justice but by socially embedded convictions about honour and propriety – convictions felt to be beyond the realm of justice.

Uniqueness of Gender Justice

Gender justice includes unique elements that go beyond related concepts of justice in class or race terms, which complicate both its definition and enactment. There are various reasons for this:

- First, women cannot be identified as a coherent group along with other sets of disempowered people such as ethnic minorities or socially excluded immigrants. Gender cuts across these and all other social categories, producing differences of interests – and conceptions of justice – between women.
- Second, unlike any other social group, relationships between women and men in the family and community are a key site of gender-specific injustice and, therefore, any strategy to advance gender justice must focus on power relations in the domestic or ‘private’ context.
- Third, the patriarchal mindsets and social relations that are produced in the private sphere are not contained there, but infuse most economic, social and political institutions.

Therefore, it becomes very important that any kind of planning towards ensuring gender justice should take all the earlier mentioned factors into consideration.

7.3.4 Gender and Development

Gender issues, particularly the roles of women, are widely recognized as vitally important to international development issues. This often means a focus on gender equality, ensuring participation, but includes an understanding of the different roles and expectations from the genders within the community.

Researchers at the Overseas Development Institute have highlighted that policy dialogue on the Millennium Development Goals (MDGs) needs to recognize that the gender dynamics of power, poverty, vulnerability and care link all the goals. Gender explicit issues are only explicit in MDG 3 and 5. However, gender impacts all the goals. Some relevant gender dimensions can be summarized as follows:

- Discriminatory laws can limit women’s access to education and ownership;
- Women make up the majority of those working in agriculture or in insecure employment;
- Women’s dual responsibilities as carers and income earners leaves them suffering from time poverty and thus unable to access health and education services;
- Their role as carers particularly impacts MDG 4 on child mortality; and
- Gender-based discrimination particularly affects MDG 8 (Partnerships for Development).

Gender-sensitive Planning

In directly addressing inequality, attention to gender issues is regarded as important to the success of development programmes for all participants. For example, in microfinance it is common to target women. Women tend to be over-represented in the poorest segments of the population as they are also regarded as more reliable at repaying loans.

7.3.5 Gender Equality

Gender equality is strongly linked to education. The Dakar Framework for Action (2000) set out ambitious goals: to eliminate gender disparities in primary and secondary education by 2005 and to achieve gender equality in education by 2015. The focus was on ensuring girls' full and equal access to and achievement in good quality basic education. The gender objective of the Dakar Framework for Action is somewhat different from the MDG Goal 3 (Target 1): "Eliminate gender disparity in primary and secondary education, preferably by 2005 and in all levels of education no later than 2015". MDG Goal 3 does not comprise a reference to learner achievement and good quality basic education, but goes beyond the school level. Studies demonstrate the positive impact of girls' education on child and maternal health, fertility rates, poverty reduction and economic growth. Educated mothers are more likely to send their children to school.

In the arena of natural resource management, women in developing countries frequently have principal responsibilities for uncompensated functions that directly impact their and their families' lives, including agricultural chores and obtaining clean water and cooking fuels. For these tasks, calls for women to "participate" in development are not enough, since they can serve as a pretext to foist undesirable duties on women. Hence, empowerment and not merely participation, must be core aims in gender and development policies and programmes. Some organizations working in developing countries and in the development field have incorporated advocacy and empowerment for women into their work. The United Nations Food and Agriculture Organization adopted in November 2009 a 10-year strategic framework that includes the strategic objective of gender equity in access to resources, goods, services and decision-making in rural areas and mainstreams gender equity in all FAO's programmes for agriculture and rural development. The Association for Progressive Communications (APC) has developed a Gender Evaluation Methodology for planning and evaluating development projects to ensure they benefit all sectors of society including women. The Gender-related Development Index (GDI), developed by the United Nations (UN), aims to show the inequalities between men and women in the following areas: long and healthy life, knowledge and a decent standard of living.

7.3.6 Gender and Poverty

Gender inequality has a great impact especially on women and poverty. In poverty stricken countries it is more likely that men have more opportunities to have an income, have more political and social rights than women. Women experience more poverty than men do due to gender discrimination. Gender and Development (GAD) is a holistic approach of importance in countries where gender inequality prevents improvement in social and economic development. It aims to empower women and decrease the level of inequality between men and women.

Check Your Progress Exercise 1

- Note:** i) Use this space given below to answers the questions.
- ii) Compare your answers with the one given at the end of this Unit.

- 1) Explain Gender Studies.

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- 2) Define 'Gender Justice', 'Gender Equality' and 'Gender and Development'.

Do you know/recall the basic element of approaches in planning? Box 7.1 summarizes the key features of planning. This will help you to understand the process of gender planning as well.

Box 7.1: Planning

A plan is a course of action one intends to follow in order to solve a problem or change an existing situation. Planning is a process for accomplishing purposes. It is a blueprint for growth and a road map of development. It helps in deciding objectives both in quantitative and qualitative terms. It is setting of goals on the basis of objectives and available resources. Planning helps in forecasting the future and makes the future visible to some extent. It paves the way between where we are and where we want to go. Planning is not done off hand. It is prepared after careful and extensive research. For a comprehensive plan, the target/goal has to be clearly defined in writing. The goal should be realistic, specific, acceptable to the agency and stakeholders and easily measurable. We have to identify all the main issues which need to be addressed; review past performance; decide budgetary requirement; focus on matters of strategic importance. Inherent in this process are focal areas such as: what are the requirements and how will they be met? What will be the likely length of the plan and its structure? What are the shortcomings in the concept and gaps? What are the strategies and activities for implementation? Progress would need to be reviewed periodically.

Approaches in Planning

While making a plan for any kind of change, four approaches are possible.

I) **Reactive – past oriented**

Reactive planning is an active attempt to turn back the clock to the past. The past, no matter how bad, is preferable to the present. And definitely better than the future will be. The past is romanticized and there is a desire to return to the "good old days." These people seek to undo the change that has been created in the present and they fear the future, which they attempt to prevent.

II) **Inactive – present oriented**

Inactive planning is an attempt to preserve the present, which is preferable to both the past and the future. While the present may have problems it is better than the past. The expectation is that things are as good as they are likely to get and the future will only be worse. Any additional change is likely to be for the worse and should, therefore, be avoided.

III) **Preactive – predict the future**

Preactive planning is an attempt to predict the future and then to plan for that

predicted future. Technological change is seen as the driving force bringing about the future, which will be better than the present or the past. The planning process will seek to position the organization or project to take advantage of the change that is happening in the organizational or project environment.

IV) Proactive – create the future

Proactive planning involves designing a desired future and then inventing ways to create that future state. Not only is the future a preferred state, but the organization can actively control the outcome. Planners actively shape the future, rather than just trying to get ahead of events outside of their control. The predicted changes are seen not as absolute constraints, but as obstacles that can be addressed and overcome.

7.4 APPROACHES TO DEVELOPMENT AND GENDER PLANNING

Development and gender planning converge in respect of the goals of planning. It is logical to assume that if women constitute the poorest, most subordinated section of society and are consistently denied access to the rights, services and benefits of society, then planning needs to be informed by a gender analysis which seeks to address the root causes of these gender-based inequalities. Gender planning should, therefore, not be seen as a separate, parallel process to mainstream development planning but should transform mainstream development planning to address the needs of women and poor people generally through an economically, socially and environmentally sustainable process.

Efforts to promote gender equality have in recent years shifted in focus from ‘women in development’ to ‘gender and development’. The ‘women in development’ approach began with an uncritical acceptance of existing social structures and focused on how women could be better integrated into existing development initiatives. Targeting women’s productive work to the exclusion of their reproductive work, this approach was characterized by income-generating projects for women that failed to address the systemic causes of gender inequality. It also tended to view women as passive recipients of development assistance, rather than as active agents in transforming their own economic, social, political and cultural realities. A key outcome was that women’s concerns were viewed in isolation, as separate issues, leading to their marginalization in the state system and other structures.

The ‘gender and development’ approach focuses more on the fact that women and men have different life courses and that development policies affect them differently. It seeks to address these differences by mainstreaming gender into development planning at all levels and in all sectors, focusing less on providing equal treatment for men and women (since equal treatment does not necessarily result in equal outcomes) and more on taking whatever steps are necessary to ensure equal outcomes. It recognizes that improving the status of women cannot be understood as a separate, isolated issue and can only be achieved by taking into account the status of both women and men.

The ‘gender and development’ approach is built on awareness not only of the differences between men and women but also of the inequalities that emanate from these differences. It seeks to address not only women’s practical gender needs (the immediate material needs of women in their existing roles as, for example, housewives and mothers) but also their strategic gender interests (the necessity of changing the position of women in society – addressing inequalities in employment, political participation and cultural and legal status).

Do you recall the differences between practical and strategic gender needs? Box 7.2 highlights the key definitions.

Box 7.2: Practical and Strategic Gender Needs

Since men and women have different roles and responsibilities, they also have different needs, identified as practical and strategic gender needs.

Practical gender needs: These are needs that emanate from the actual conditions people experience due to the gender roles ascribed to them by society. In the case of women, these needs are often related to women's roles as mothers, homemakers and providers of basic needs. Projects can meet the practical gender needs of both men and women without necessarily changing their relative position in society.

Strategic gender needs: These needs point to what is required to overcome the generally subordinate position of women to men in society and relate to women's empowerment. Such needs vary according to social, economic and political context. Most governments now acknowledge the need to create opportunities which enable women to address their strategic needs.

7.5 MAINSTREAMING GENDER IN PLANNING

Attempts to mainstream gender into the planning sector should be located within country-specific political and administrative contexts. Gender policy should be integrated into organizational planning instruments such as budget lines, project criteria, operational tools and day-to-day practice and procedures. The belief system and culture of the existing social structures will only change if policy is translated into democratic decision-making and a gender-supportive work environment.

The leadership, culture and style of an organization should support gender processes and interpersonal relations of workers. This affects how gender is institutionalized and provides opportunities for organizational change. If the leadership and management style discriminates against one gender or is insensitive to gender relations then implementation of policies and projects to address gender inequities will be considerably hindered. The extent to which managers and leaders are able to change their own style and the culture of their organizations will depend on the success of gender training and a performance appraisal system that rewards gender awareness and the attainment of gender-related goals and targets. Gender-aware policy and planning are important tools to effect a positive change in women's conditions. Gender-aware policies and plans are more likely to respond to deep seated patterns of discrimination against women when women themselves collectively analyze and contribute to policy-making and planning processes. In cases where men are not benefiting equally from development planning strategies, a gender-aware approach enables interventions to correct the imbalance.

There are usually four major planning cycles through which most developing countries seek to respond to national needs and issues. These are: the macro/sectoral policy cycle, the budget cycle, the aid cycle and the project cycle. These cycles when brought together through a planning process usually reflect a government's medium term (5-10 year period) expenditure plan.

In establishing macro policy frameworks, gender analysis and outputs need to be included to ensure effective policies which address the needs of all sectors of the population. Approaches to policy-making which influence gender outcomes can be categorized in three types: gender-neutral, gender-specific and gender-aware/redistributive/transformational. Generally policy and programme interventions could fall within a welfare, equity or transformation/empowerment approach. A welfare

Gender-sensitive Planning

approach usually responds to meeting the practical needs of women (gender-specific), whereas a transformative approach responds to meeting strategic needs (gender-transformative).

The potential of gender policy to transform gender relations and the gender-biased distribution of resources is greatly enhanced if that policy is developed through a participatory process involving key decision-makers within the department concerned and in other related sectors, as well as with the groups and communities the policy is intended to benefit. In the preparation of a gender-aware medium-term development plan, 'engendered' inputs from the macro and sectoral policy planning cycles can be combined to produce a medium-term plan of expenditure which then informs the preparation of annual budget expenditures. These then feed into the project cycles in the various sectors.

Check Your Progress Exercise 2

Note: i) Use this space given below to answers the questions.

ii) Compare your answers with the one given at the end of this Unit.

1) List different approaches of planning.

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2) Elucidate the development approach to planning.

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7.6 TOOLS FOR GENDER MAINSTREAMING IN DEVELOPMENT PLANNING

The Commonwealth Secretariat has developed a series of policy options for integrating gender into national budgetary policies in the context of economic reform. The policy options centre on six possible tools:

- sex-disaggregated beneficiary assessments;
- sex-disaggregated public expenditure incidence analysis;
- gender-aware policy evaluation of public expenditure;
- gender-aware budget statement;
- sex-disaggregated analysis of the impact of the budget on time use; and
- gender-aware, medium-term economic policy framework.

7.7 GENDER AWARENESS AND POLICY PLANNING

The need for gender-aware policy and planning arises from the demographic composition of populations in which women form the majority and from the fact

that while their contribution to social reproduction and unpaid work is a major contribution to national economies, women continue to have low status and are not afforded opportunities to become part of or gain benefits from, economic and political systems except at the lower ends.

It is for this reason that gender-aware policy and planning become important tools to effect a positive change in women's conditions. Gender-aware policies and plans are more likely to respond to deep-seated patterns of discrimination against women when women themselves collectively analyze and contribute to policy-making and planning processes. In cases where men are not benefiting equally from development planning strategies, a gender-aware approach also enables interventions to correct these imbalances.

- *Policy-making* is the process of social and political decision-making about how to allocate resources for the needs and interests of society which ends in a policy strategy.
- *Planning* is the process of implementation of the policy, with the end result being a clear plan.
- *Implementation* is the process of taking action to deliver the programme designed, often resulting in a completed product (Moser, 1993: 6).

These three processes, according to Moser, can be used to describe the interrelated stages of gender policy formulation and implementation. Since the gap between gender-aware policy and planning is significant in planning agencies, it is an area that needs to be addressed. The absence of a clearly established gender policy has been identified as a major problem in development planning.

7.8 PLANNING CYCLES

The inclusion of a gender perspective throughout all four planning cycles (macro/sectoral policy cycle, budget cycle, aid cycle, project cycle) as well as in the different stages of each cycle will strengthen the possibility of change from gender-blind to gender-aware policies, plans and programmes and will act as an internal guide for changes in the macro processes.

- 1) **Macro Policy/Sectoral Policy Cycle:** This policy works with resource availability. The checklist for this planning cycle includes:
 - Are policies gender-neutral?
 - Are they gender-specific?
 - Are the policies gender-redistributive?
 - Are strategic gender goals included in the plans?

The following cycles need careful scrutiny.

- 1) **Annual Budget Cycle:** This deals with planning the income from Revenue, taxes etc. The checklist for this planning cycle includes:
 - What is the women's contribution and what allocations go directly to women through sectoral plans?
- 2) **Aid Cycle:** This analyzes the policies of donors from a gender viewpoint and links it to projects.
- 3) **Project Cycle:** How is gender integrated into projects?

In addition to this it is also important to check if the development plans in all sectors include resources to promote programmes promoting gender equality. It is

also important to see if the programmes respond to the concept of gender equality i.e. do they respond to the needs and conditions of women and men equally?

7.9 GENDER AND MACRO/MICRO PLANNING

In establishing macro policy frameworks, gender analysis and outputs need to be included to ensure effective policies which address the needs of all sectors of the population.

Approaches to policy-making which influence gender outcomes can be categorized into three types: gender-neutral, gender-specific and gender aware/redistributive/transformational (Kabeer, 1994: 80-97).

7.9.1 Gender-neutral Policies

These are policies that are seen as having no significant gender dimension. However, government policies seldom if ever have the same effect on women as they do on men, even if at first sight they may appear to exist in a context where gender is irrelevant. In order to determine that a policy is genuinely gender-neutral, it is necessary to have complete and accurate information about the gender-based division of resources and responsibilities relating to the policy. Otherwise, policies which may appear to be gender-neutral may, in fact, be gender-blind and biased in favour of males because they presuppose that those involved in and affected by the policy are males, with male needs and interests. Example: A policy to extend credit to small enterprises which does not address the constraints women face in obtaining such credit.

7.9.2 Gender-specific Policies

These take into account gender differentials and target women or men specifically, but leave the current distribution of resources and responsibilities intact. Example: a micro-credit scheme that targets women.

7.9.3 Gender-aware/redistributive/transformational Policies

These are aimed at transforming existing gender relations to achieve democracy by redistributing the division of resources, responsibilities and power between women and men more evenly. This policy approach is politically challenging since it seeks to redirect resources to women and requires men to give up certain privileges while taking on responsibilities which result in equity in development outcomes. But they also go the furthest towards addressing not only practical gender needs but also strategic gender interests (Kabeer, 1994).

Gender planning places particular attention on the unequal relations between men and women in development and on how to address the needs of women. In the broader process of development planning it means that gender issues are recognized in the identification of the problems or needs, incorporated into the development goals and objectives and gender-aware policies, right through to implementation.

Generally policy and programme interventions could fall within a welfare, equity or transformation/empowerment approach. A welfare approach usually responds to meeting the practical needs of women, whereas a transformational approach responds to meeting strategic needs.

7.10 ENGENDERING PARTICIPATORY PLANNING

As we mentioned earlier, the potential of gender policy to transform gender relations and the gender-biased distribution of resources is greatly enhanced if that policy is

developed through a participatory process involving key decision-makers in all relevant sectors, as well as with the groups and communities the policy is intended to benefit. A gender policy formulated through such a participatory process is far more likely to gain wide-ranging acceptance and sufficient commitment to its implementation for the attainment of its goals.

Gender policies and planning must ensure that poor women do not become a target for experiments or the dumping ground for technically conceived plans that do not respond to their specific needs. Experience has shown that when such experiments or plans do not produce the desired result, planners and donors tend to perceive the problem to be the apathy of poor women rather than ill-conceived project designs that have not involved such women from the beginning.

Policy planning that is engendered should ensure the following:

- Clear goals and guidelines related to gender and development;
- Consistency with the organizational goal of transformation of gender relations and employment equity;
- Consultation at all levels and collective ownership of policy goals;
- Baseline sex-disaggregated information;
- Clearly outlined regional and national co-ordination functions and communication channels; and
- Gender-specific evaluation and monitoring criteria; and external evaluation at and between, different levels of performance.

Section 7.12 gives you more details on involving women in the planning process.

7.11 USING GENDER-SENSITIVE INDICATORS

Access to relevant sex-disaggregated data has been identified as an important element in mainstreaming gender into development planning. Use of gender-sensitive indicators to gather information or denote statistics would be an important way of mainstreaming gender into planning.

“An indicator is an item of data that summarizes a large amount of information in a single figure, in such a way as to give an indication of change over time and in comparison to a norm. Indicators differ from statistics in that, rather than merely presenting facts, indicators involve comparison to a norm in their interpretation. A gender-sensitive indicator can be defined as an indicator that captures gender-related changes in society over time.” (Beck, 1999).

Thus an example of a gender statistic would be: “60% of women in country X are literate”. An example of a gender-sensitive indicator would be: “60% of women in country X are literate, as compared to 82% of men and compared to 30% and 52%, five years ago” (Beck, 1999).

Gender-sensitive indicators are potentially of great use in integrating gender considerations into development planning. However, it should be recognized that there are limitations in the amount and type of information they can provide and that care needs to be taken in their interpretation.

“The greatest limitation of gender-sensitive indicators is that they do not provide information on wider social patterns: they will usually tell the analyst little about why gender relations have been shaped in a particular way and how these relations can be changed. They point to key questions rather than providing answers. Indicator

systems should, therefore, be complemented by gender analysis, which involves examining, often at a micro-level, the social relations between women and men and the structural features of society which reinforce gender inequality.”

7.12 INVOLVING WOMEN IN THE PLANNING PROCESS

Most departments and agencies have staff with knowledge and expertise related to the sector in which they work but without a gender-aware perspective on their sector. In development planning agencies most staff are usually male and training is oriented to technical and administrative aspects of work and fits the traditional planning mode. There is a shortage of professional women in the planning sector who have a gender analysis capability. Even in instances where women are present, they may not be gender-aware and they may experience difficulties in translating gender interests and needs into planning goals. Where gender awareness is lacking, those who have decision-making power may be indifferent, resistant or even hostile to gendered development plans. Many of them experience antagonism and even ridicule in their attempts to address gender inequalities. Planning agencies and departments need to analyze the roles, rights and responsibilities of women and men in government and specifically of women, to prevent their exclusion from development planning.

Check Your Progress Exercise 3

Note: i) Use this space given below to answers the questions.

ii) Compare your answers with the one given at the end of this Unit.

1) What is the role of stakeholders in participatory planning?

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7.13 SUMMING UP

In this Unit, we have explored different concepts pertaining to gender planning. The concepts of gender justice, gender, gender studies, gender and development, gender equality and gender and poverty were dealt with in this Unit. Apart from this, the importance of bringing gender development planning and gender planning, approaches to development and gender planning, practical and strategic gender needs, mainstreaming gender in planning, tools for gender mainstreaming in development planning and gender awareness were studied in this Unit. In the gender and planning, concepts like planning policy, planning cycles, gender and macro/micro planning, gender-neutral policies, gender-specific policies, gender-aware/redistributive/transformational policies, participatory planning were also explored in the Unit. Lastly how gender planning could be developed using gender-sensitive indicators and involving women in the planning process were discussed.

The ‘gender and development’ approach focuses more on the fact that women and men have different life courses and that development policies affect them differently. This approach seeks to address these differences by mainstreaming gender into development planning at all levels and in all sectors, focusing less on providing

equal treatment for men and women and more on taking adequate steps to ensure equal outcomes. This approach seeks to address not only women's practical gender needs but also their strategic gender interests.

The inclusion of a gender perspective throughout all four planning cycles (macro/sectoral policy cycle, budget cycle, aid cycle and project cycle) as well as in different stages of each cycle will strengthen the possibility of change from gender-blind to gender-aware policies, plans and programmes. This will also act as an internal guide for changes in the macro processes. We need to promote gender aware/redistributive/transformational policies formulated with participation of women.

7.14 GLOSSARY

Association for Progressive Communications (APC) : APC is a network of organizations. APC's mission is to empower and support organizations, social movements and individuals in and through the use of information and communication technologies (ICTs) to build strategic communities and initiatives for the purpose of making meaningful contributions to equitable human development, social justice, participatory political processes and environmental sustainability.

Self Reliance : Excessive dependence on external assistance for financing the earlier plans created uncertainty and interference in the implementation of the plans. Starting from Third Five Year Plan (1961-66), self reliance came to be accepted as a desirable objective of the planning process. In the Indian context it has a special meaning, viz. avoidance of undue dependence on foreign aid for financing plans. In other words, the endeavour should be to make investments from out of domestic savings to the greatest possible extent.

7.15 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress Exercise 1

- 1) Gender Studies is a field of interdisciplinary study which analyzes the phenomenon of gender.
- 2) '**Gender justice**' is often used with reference to emancipatory projects that advance women's rights through legal change or promote women's interests in social and economic policy. **Gender Equality** is also strongly linked to education. The Dakar Framework for Action (2000) set out ambitious goals: to eliminate gender disparities in primary and secondary education by 2005 and to achieve gender equality in education by 2015. The focus was on ensuring girls' full and equal access to and achievement in good quality basic education. With regard to Gender and Development, Gender issues particularly the roles of women, are widely recognized as vitally important to international development issues. This often means a focus on gender-equality, ensuring participation, but includes an understanding of the different roles and expectation of the genders within the community. As well as directly addressing

inequality, attention to gender issues is regarded as important to the success of development programmes, for all participants. For example, in microfinance it is common to target women, as besides the fact that women tend to be over-represented in the poorest segments of the population, they are also regarded as more reliable at repaying the loans.

Check Your Progress Exercise 2

- 1) Reactive – past oriented, Inactive – present oriented, Pre-active – **predict** the future and Proactive – **create** the future
- 2) Efforts to promote gender equality have in recent years shifted in focus from ‘women in development’ to ‘gender and development’. The ‘women in development’ approach began with an uncritical acceptance of existing social structures and focused on how women could be better integrated into existing development initiatives. Targeting women’s productive work to the exclusion of their reproductive work, this approach was characterized by income-generating projects for women that failed to address the systemic causes of gender inequality. It also tended to view women as passive recipients of development assistance, rather than as active agents in transforming their own economic, social, political and cultural realities. A key outcome was that women’s concerns were viewed in isolation, as separate issues, leading to their marginalization in the state system and other structures.

Check Your Progress Exercise 3

- 1) The potential of gender policy to transform gender relations and the gender-biased distribution of resources is greatly enhanced if that policy is developed through a participatory process involving key decision-makers in all relevant sectors, as well as with the groups and communities the policy is intended to benefit. A gender policy formulated through such a participatory process is far more likely to gain wide-ranging acceptance and sufficient commitment to its implementation for the attainment of its goals.

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7.17 QUESTIONS FOR REFLECTION AND PRACTICE

Conceptual Framework for
Gender in Development
Planning

- 1) Differentiate between practical and strategic gender needs.
- 2) Explain ways to mainstream gender into planning.

UNIT 8 METHODS AND TECHNIQUES OF PLANNING

Structure

- 8.1 Introduction
- 8.2 Objectives
- 8.3 Reasons for Planning
- 8.4 Basic Types of Planning
 - 8.4.1 Macro Planning
 - 8.4.2 Micro Planning
 - 8.4.3 Coordinating Macro (National) and Micro (Regional) Plans
- 8.5 Different Types of Plans
- 8.6 Formulating Plans
- 8.7 Phases of Planning
- 8.8 Pitfalls of Planning
- 8.9 Summing Up
- 8.10 Glossary
- 8.11 Answers to Check Your Progress Exercises
- 8.12 References
- 8.13 Questions for Reflection and Practice

8.1 INTRODUCTION

A plan is a course of action one intends to follow in order to solve a problem or change an existing situation. Planning is a process for accomplishing purposes. It is a blueprint for growth and a road map for development. It helps in deciding objectives both in quantitative and qualitative terms. It involves setting of goals on the basis of objectives and available resources.

A plan should be a realistic view of the expectations. Depending upon the activities, a plan can be long-term, intermediate-term or short-term. Preparation of a comprehensive plan will not guarantee success, but lack of a sound plan will almost certainly ensure failure. Therefore, it is essential that sound planning should be the first step of any activity. Planning can be summarized in three steps:

- Choosing a destination;
- Evaluating alternative routes; and
- Deciding the specific course of the plan.

In this Unit you will learn about methods and techniques of planning.

8.2 OBJECTIVES

After studying this Unit, you should be able to:

- describe the reasons for planning;
- distinguish various types of planning;

- analyze the steps involved in making plans; and
- describe the various phases of planning.

8.3 REASONS FOR PLANNING

A plan can play a vital role in helping to avoid mistakes or recognize hidden opportunities. Preparing a satisfactory plan for any programme is essential. Planning helps in forecasting the future and makes the future 'visible' to some extent. It paves the way from where we are and where we want to go. Some of the reasons for planning include:

- Helping to clarify, focus and research the project's development and prospects;
- Providing a considered and logical framework within which a project can develop over the next three to five years or long-term; and
- Offering a benchmark against which actual performance can be measured and reviewed.

Just as no two organizations are alike, no two plans can be the same. It is, therefore, important to prepare a plan keeping in view the necessities of the programme. When we speak about making a plan to combat an existing gender gap, we begin with the clear knowledge that many factors and players are involved in the said situation. For example, if we are making a plan to improve educational opportunities for girls, we are taking into consideration the existing opportunities and the factors that affect those opportunities. Let us take examples. The existence of a school or college in the area; the distance that the girl children have to cover to reach that school and college, the availability of transport, the cost of transport, the tuition fees, the financial burden on the family are examples of factors affecting opportunities for schooling. Therefore, it is very important to make any plan keeping all these varied factors in mind.

Right at the beginning stages, it is essential to indicate clearly who is going to do what, where and when with regard to defined problems. Since a plan gives objectives, targets, strategies, a time frame and a budget, one can measure its effectiveness in reducing the problem and its efficiency in terms of cost.

8.4 BASIC TYPES OF PLANNING

Planning is done at two basic levels. These are Macro Planning or planning for the programme as a whole and Micro Planning or planning the specifics.

8.4.1 Macro Planning

Overall planning for any project is called macro planning. At the macro level, the written action plan will focus on analyzing the existing problems and developing strategies for the entire programme as a whole. Preparation of the plan will include discussion and decision-making in each of the principal areas to be included in the plan. The final plan will include the following:

- A situational analysis of the current magnitude of the problem and the resources available;
- Planned steps to reduce the problem (aims, objectives and targets) and how to achieve each step (strategies, timetable, budget);
- How to implement these activities (management); and
- How to measure whether the objectives are achieved (monitoring and evaluation).

Much emphasis should be placed on developing human resources (training and retraining) and providing adequate facilities and all the resources needed for effective implementation of the plan.

8.4.2 Micro Planning

Micro Planning is planning at the lowest level of development. It brings the planning process to the grassroot level to tackle specific problems at the micro level. Development of local resources and provision of infrastructure facilities receives due attention during the process of micro planning, along with local tradition, history, values and practices.

The main reasons for undertaking local/micro level planning are as follows:

- Giving specific attention to the needs of the targeted groups;
- Fine tuning programmes towards the specific needs of the area;
- Decentralizing the planning process;
- Building a closer partnership with the people and the planners; and
- Organizing and coordinating the lowest echelons of the administration.

At the micro level, the written plan will focus more on the actual tasks to be performed – and by whom, where and when – taking into account resources (human, financial, physical) and organization of those resources. Planning at the micro level needs to be more pragmatic and less conceptual than at the macro level.

8.4.3 Coordinating Macro (National) and Micro (Regional) Plans

Planning at the central and peripheral levels should not be considered separate exercises, but complementary ones. Information from specific areas on the magnitude of the problems and requirements for human resources, infrastructure and equipment is essential for policy-planning at the macro level. Similarly, national guidance and policy should also be reflected in regional planning. Note that in many developing countries, funding of most regional activities is still decided centrally.

Table 8.1: Planning at Macro and Micro Levels

Planning level	Focus	Example
Macro level: Strategic planning	Overall objectives; overall inputs to achieve objectives; procedures	Make reproductive health education a part of the national programme in all girls schools
Micro level: Operational planning	Activities based on local needs; optimal utilization of available resources	Train teachers to teach students of 10 th , 11 th and 12 th standards the basics of reproductive health.

Let us take another example. In addition to reproductive health education provided by the government sector, such services are also provided by NGOs and private players. Even non-health sectors can contribute to reproductive health education, such as the district administration, schoolteachers and philanthropists who can contribute towards the salary of the teachers, the printing of materials and training/education programmes.

It is essential to involve all participating parties in the planning process. Co-operation and collaboration during the planning stage can avoid duplication and will increase the efficiency of the programme.

Check Your Progress Exercise 1

Note: i) Use this space given below to answers the questions.

ii) Compare your answers with the one given at the end of this Unit.

1) List the reasons for planning at the micro level.

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8.5 DIFFERENT TYPES OF PLANS

Different types of plans can be categorized as follows:

- **Single-use plans**

These are used to plan a specific event. When the end is reached or the event completed, the plan is dissolved.

- **Standing plans**

This plan is designed for a situation that reoccurs often enough to justify a standardized approach.

- **Contingency plans**

These plans are formulated to address specific future occurrences that might have impact on the organization or community.

- **Crisis management plans**

These plans are formulated to deal with specific crises that can occur in the future.

8.6 FORMULATING PLANS

The planning process can be condensed into five essential questions we must ask ourselves. Let us work with a simple example. If we are considering a programme for increasing the uptake of girls in primary education for girls and reducing the number of dropouts in school-going girl children, we can adopt the steps in this manner. These are:

- Where are we now? (Situation analysis)
- Where do we want to go? (Priorities, goals, targets)
- How will we get there? (Strategy, organization and management)
- How will we know where we arrive? (Monitoring and evaluation)
- What new problems do we have? (Forward planning)

Question 1: Where are we now? (Situation analysis)

First, we need to know the problem. What is its magnitude? Who are the people affected (in terms of communities or geographical areas)? Where are these people living? We need to know the available resources in terms of personnel, infrastructure and funds to deal with this problem. What are the present and past occurrences of

Gender-sensitive Planning

school dropouts in the area? How are resources utilized? If these resources were not utilized optimally, what were the constraints? How can those constraints be overcome? Are there enough resources to deal with the problems? If not, what extra resources would be required?

Data on needs, present and past output, available human resources and available facilities, equipment and supplies, can be collected by one person or by one or more small groups of people.

When the data collection is complete, all data are reviewed and approved by the planning committee, usually during a review meeting where all involved parties are represented. In the same forum, all identified constraints in providing primary school education for girls (including the distance to the school, the financial constraints, lack of teachers), human resources and facilities and equipment are reviewed.

Question 2: Where do we want to go? (Priorities, goals, targets)

The constraints and the proposed actions to overcome them – as identified in the situation analysis – become the building blocks for the action plan.

To begin with, we have to outline the objective of the programme. An “objective” is defined as the action that is proposed to overcome a constraint or problem that has been identified during a situation analysis. As much as possible, objectives should be stated in ways that will make them measurable. The objectives should also include a time frame.

For example, assume that the needs assessment showed a high prevalence of school dropouts among girls. The constraint is, “Less than 20% of all schoolchildren aged 10-15 years complete primary school in a particular area”. The objective is, “to make sure that at least 80% of all schoolchildren are retained in primary schools by 2020”.

It may not be possible to address all constraints and therefore, priorities must be set as to what to tackle first and what later. Aims, objectives and targets must be realistic, keeping in mind the available human, infrastructure and financial resources. Overambitious programmes often result in activities not being completed in time or at all, targets not being met and objectives not being achieved.

Question 3: How will we get there? (Strategy, organization and management)

Activities and sub-activities are directed towards the achievement of the objectives in the action plan. Taken together, the activities and sub-activities are called the “strategy”, i.e. the best way to achieve an objective.

Strategies must be clearly defined. In the example above, the proposed strategy is to make sure that girl children complete primary school in the said area.

The sub-activities in this example could be:

- Ensuring various stakeholders – parents, teachers, community leaders, non-governmental organizations and school management etc. are involved in the project;
- Getting support of the district education officer is also significant;
- Developing a simple methodology that can be used by teachers to assess why girls drop out of schools;
- Making house visits to speak to parents and guardians about the importance of basic education for girl children;

- Developing training materials to help girl students cope with their studies while handling additional responsibilities at home;
- Developing an out-of-school programme for children to be able to focus on studies in the evening after school hours;
- Providing crèches and day-care centres for young children to enable girl students to study while younger siblings under their care are looked after;
- Introducing incentives and scholarships for those students who perform well in schools; and
- Developing a monitoring and evaluation system.

For each sub-activity, the person(s) responsible, the plan starting and completion time and the costs of the plan should be indicated. Care should be taken so that the people identified are able to perform the assigned tasks, that tasks are distributed evenly and that particular individuals are not overloaded. Training programmes that may be required are included in the plan. Time schedules should be defined and organizational structures established.

When all objectives, activities and sub-activities have been described, the cost of each individual activity and sub-activity is estimated to provide a budget. This is a complicated – but also crucial – step in the planning process. Budgeting should be pragmatic and realistic in view of the available funds for the project.

Question 4: How will we know when we arrive? (Monitoring and evaluation)

Monitoring and evaluation of the overall programme and of the various programme activities is essential as an inbuilt activity of the ongoing programme. In this way, implementers can receive essential feedback to check whether the objectives and targets are sufficiently realistic, whether the strategies chosen are effective and/or efficient and whether the organizational structure is adequate to ensure good management. If required, objectives, targets or strategies can be modified to get the best results. However, all stakeholders should be taken into confidence before modifying the objectives, targets and strategies.

In order to enable effective evaluation, it is advisable to incorporate a management information system from the outset. The use of appropriate and valid indicators is essential to assess the baseline situation and the impact of subsequent interventions. In the example given earlier, teachers maintain records of those children who have dropped out of school. Comparing these lists with the number of dropouts before and after the intervention will help to indicate the programme's effectiveness.

Question 5: What new problems do we have? (Forward planning)

At the beginning of the planning process, we may have started with some assumptions. For example: Parents may not be interested in sending their girl children to school. As we proceed, we realize that the parents may be interested but the lack of a safe transportation to the school is resulting in girl children dropping out after a certain age. In this case the solution to girl children dropping out of schools may be providing the area with a mini bus to pick and drop the children from their homes.

Planning is a continuously evolving process, with much emphasis on learning. Initially, we may start with a lot of assumptions, but gradually during the process, we will learn more and more detail which will yield better insight and understanding and, therefore, enable better planning.

Note: i) Use this space given below to answer the question.
 ii) Compare your answer with the one given at the end of this Unit.

1) Briefly explain plan goals, priorities and targets.

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8. PHASES OF PLANNING

Whether the system is an organization, department, business or project intervention, the basic planning process typically includes a similar nature of activities carried out in similar sequence. The phases are carried out carefully or in some cases intuitively, for example, when planning a very small, straightforward effort. The complexity of the various phases depends on the scope of the system. For example, in a large organization, the following phases would be carried out in each division, in each department, in each group, etc. Smaller organizations carry out the same phases in a concise manner with the existing staff.

It is important to remember that different groups of planners might have different names for the following activities and group them differently. However, the nature of the activities and their general sequence remains the same. These phases include:

Referencing the Overall Singular Purpose (“Mission”) or Desired Result from System

During planning, planners have in mind (consciously or unconsciously) some overall purpose or result that the plan is to achieve. All phases of planning will be followed keeping this overall purpose in mind.

Taking Stock Outside and Inside the System

This “taking stock” is always done to some extent, whether consciously or unconsciously. For example, during strategic planning, it is important to conduct an environmental scan. This scan usually involves considering various driving forces or major influences, that might affect the organization or outcome.

Analyzing the Situation

For example, during strategic planning, planners often conduct a “SWOT analysis”. (SWOT is an acronym for considering the organization’s strengths and weaknesses and the opportunities and threats faced by the organization.) During this analysis, planners also can use a variety of assessments or methods to “measure” the health of systems.

Establishing Goals

Based on the analysis and alignment to the overall mission of the system, planners establish a set of goals that build on strengths to take advantage of opportunities, while building up weaknesses and warding off threats.

Establishing Strategies to Reach Goals

The particular strategies (or methods to reach the goals) chosen depend on matters of affordability, practicality and efficiency.

Establishing Objectives

Objectives are selected to be timely and indicative of progress toward goals. These objectives can also be set as you go along working towards the overall goal.

Associating Responsibilities and Timelines with each Objective

Responsibilities are assigned, including for implementation of the plan and for achieving various goals and objectives. Ideally, deadlines are set for meeting each responsibility.

Writing and Communicating a Plan Document

Information is organized and written in a document which is distributed around the system. This helps in defining the role for each participant, while avoiding overlaps and duplication of work.

Acknowledging Completion and Rewarding Success

This critical step is often ignored – which can eventually undermine the success of many of the future planning efforts. The purpose of a plan is to address a current problem or pursue a development goal. It seems simplistic to assert that you should acknowledge if the problem was solved or the goal met. Appreciating or rewarding success is also a crucial aspect. However, this step in the planning process is often ignored. Instead the organization moves on to the next problem to solve or goal to pursue. Skipping this step can cultivate apathy and skepticism – even cynicism – in an organization. So organizations should ensure that this step is included in the planning cycle.

Using Techniques of Making and Implementing a Successful Plan

A common failure in many kinds of planning is that the plan is never really implemented. Instead, all focus is laid on writing a plan document. Too often, the plan sits collecting dust on a shelf, by which time it is too late to be implemented because it is no longer relevant. We now turn our attention to issues to be considered in ensuring that the planning process is carried out completely and implemented properly and deviations from the intended plan are recognized and managed accordingly. Apart from these phases, the following steps are also important in the planning process.

Steps in Planning: Important Considerations

The key steps in the planning process are summarized in the following discussion.

1) Involving the right people in the planning process

This is the key to the success of planning and achieving the desired outcome of any programme. Just as it is important to hire the right people for a job to get the desired results, similarly, it is very important to get the right people into the planning process. While planning, organizations can decide the persons who are going to carry out the different activities planned and who will benefit from the plan. One can get inputs from both these groups of people before making a plan. It may also be meaningful to get inputs from those people who will be responsible to review and authorize the plan.

2) Writing down the planning information and communicating it widely

Very often people who are in the process of outlining the plan do not remember that everyone involved is not familiar with every aspect of the plan. As we go along and part of the plan begins to change, it becomes extremely difficult for people to remember who is supposed to be doing what at what time and according to which version of the plan. The key stakeholders – people in the

organization, funders, clients and beneficiaries may also have different ideas on what is going on at any point of time. Therefore, it is critical to write down the plans in detail and communicate them widely to all the stakeholders.

3) **Making goals Smarter**

Smarter is an acronym, that is, a word composed by joining letters from different words in a phrase or set of words. In this case, a Smarter goal or objective is:

Specific:

- Goals should be specific and expressed in a language that is easier for the person carrying out the task to understand. For example, it is difficult to know what someone should be doing if they are asked to pursue the goal to “work harder”. It is easier to recognize a specific goal such as “Write a paper”.

Measurable:

- Goals should be measurable. Instead of saying ‘Write a paper’ it is preferable to say “Write a 30-page paper”.

Acceptable:

- If one is to take responsibility for pursuit of a goal, the goal should be acceptable to the person. For example, a person is not likely to follow the directions of someone telling him/her to write a 30-page paper when she/he is also working on five other papers. However, the person is involved in setting the goal so that she/he can change her/his other commitments or modify the goal to incorporate other commitments so that she/he is much more likely to accept pursuit of the goal.

Realistic:

- Even if a person does accept the responsibility to pursue a goal that is specific and measurable, there is no point if the goal is not realistic. For example, if you ask someone to “Write a 30-page paper in the next 10 minutes,” he or she will not be able to do it.

Time frame:

- Committing to a realistic goal to “Write a 30-page paper in one month” is good. However, it will mean more to others (particularly if they are planning to help or participate in the process) if you specify that we will write one page a day for 30 days, rather than including the possibility that we will write all 30 pages on the last day of the 30-day period.

Extending:

- The goal should stretch the performer's capabilities. For example, one might be more interested in writing a 30-page paper if the topic of the paper interests the writer or the way that one writes it will extend his or her capabilities.

Rewarding:

- A person is more inclined to write the paper if he or she might be rewarded for the effort.

4) **Building in Accountability (Regularly Reviewing Who is Doing What and By When?)**

Plans should specify who is responsible for achieving each result, including goals and objectives. Dates should be set for completion of each result as well. Responsible parties should regularly review status of the plan. Be sure to have someone of authority “sign off” on the plan, including putting their signature on the plan to indicate that they agree with and support its contents. Include responsibilities in policies, procedures, job descriptions, performance review processes, etc.

5) **Noting deviations from the plan and re-planning accordingly**

It is acceptable to deviate from the plan. The plan is not a set of rules. It is an overall guideline. As important as following the plan is, the aspect of noticing deviations and adjusting the plan accordingly is of equal importance.

6) **Evaluating the planning process and the plan**

During the planning process, regularly collect feedback from participants. Do they agree with the planning process? If not, what is it that they do not like and how could it be done better? In large, ongoing planning processes (such as strategic planning, project planning, etc.), it is critical to collect this kind of feedback regularly.

During regular reviews of implementation of the plan, assess if goals are being achieved or not. If not, were goals realistic? Do responsible parties have the resources necessary to achieve the goals and objectives? Should goals be changed? Should more priority be placed on achieving the goals? What needs to be done?

Finally, it is important to write down how the planning process could have been done better. The points noted for further improvement should be considered the next time when the planning process is conducted.

7) **Conducting a Recurring Planning Process is at least as important as the Plan Document**

Far too often, primary emphasis is placed on the plan document. This is extremely unfortunate because the real treasure of planning is the planning process itself. During planning, planners learn a great deal from ongoing analysis, reflection, discussion, debates and dialogue around issues and goals in the system. Far too often, people put emphasis on written codes of ethics and codes of conduct. While these documents certainly are important, at least as important is conducting ongoing communications around these documents. The ongoing communications are what sensitize people to understanding and following the values and behaviours suggested in the codes.

8) **Acknowledging Results**

It is easy for planners to become tired and even cynical about the planning process. One of the reasons for this problem is that far too often, emphasis is placed on achieving results. Once the desired results are achieved, new ones are quickly established. The process can seem like having to solve one problem after another, with no real end in sight. Yet when one really thinks about it, it is a major accomplishment to carefully analyze a situation, involve others in a plan to do something about it, work together to carry out the plan and actually see some results. Achievements must be acknowledged.

8.8 PITFALLS OF PLANNING

The main pitfall of planning – the one from which all others derive – is falling into the delusion that planning can determine outcome. In fact, planning cannot guarantee the outcome desired. Instead, it can help to achieve something integral to any future success: readiness to recognize and face the challenges, obstacles and barriers.

A) Planning is only as good as the information on which it is based

Too often, groups rely on untested assumptions or hunches, erecting their plans on unsteady ground. Everyone “just knows” there will be no problem getting a distributor for a video or that it would be impossible to find funding for a new facility; or it is “obvious” that a part-time person would suffice to accomplish a brand-new and much needed task. It is the obvious things that everyone is familiar with that are most likely to create problems. It is worth the extra time to test assumptions and hunches against reality.

B) Planning is not magic – one can not always get what one wants

The process of planning is one of research and investigation. Results can no more be predetermined than can the outcome of a scientific experiment. Planning is only a tool that can help one decide whether to go forward, not just how. If the answers to key questions are “no”, then the outcome of planning should be to postpone the contemplated intervention, working toward readiness to tackle it farther down the road.

C) Be adaptable

Some planners see themselves as creating a blueprint, building a future the way one builds a house. If things do not go according to plan, they blame other people’s failure to identify with the programme. Rather than planning as if the future were pre-determined, we should plan for flexibility. Plans that cannot be changed should not be written.

D) Putting planning in its place and time

Some groups do not recognize that it takes time and effort to plan well. They want results, but are not able or willing to make the investment. They end up in the worst of both worlds: their ongoing work is set back because they took time to plan without thinking through the implications; and their too-rushed plans end up with half-baked ideas. It is important to be realistic about what can be invested. Finding a way to plan within available resources – time, energy, money is crucial.

E) Planning can become a substitute for action

Sometimes, planning takes up so much time and resources. It is important, therefore, to keep an eye on the timeframe and plan in a way that execution becomes necessary and possible.

F) Writing it up

Sometimes organizations have great face-to-face planning experiences: good discussions, moments of profound insight, the excitement of contemplating future possibility, the elation of a meeting of the minds. But feelings do not last long: they need to be carried forward into action, guided by a written plan. Some planning documents are so vague, abstract and general; they are useless to the people who invested so much in considering their futures. Typically, an aim is listed – “become self-sufficient in five years” – and beneath it, phrases suggesting a range of ways to advance that aim to: “expand earned income,” “secure individual and group savings,” “develop women’s self help groups.” As time goes by and the memory of the face-to-face experience fades, the planning document’s generalities are

drained of any meaning that might once have clung to them. If one takes the time to plan, it should be conducted properly, talking through alternative scenarios for realizing aims; mapping out ways to test them; concretizing guiding values, deadlines and ways to evaluate experiments.

G) Flexibility in planning

Some planners opt for a “model” approach. It is not that other organizations’ experiences are not relevant to one’s own. But it is always good to remember that what works for someone may not work in one’s context and situation. Plans can be based on other’s experiences, but scope should be provided for challenges and questions that arise on the way to execution.

Box 8.1: Gender Budgeting

The Five Step Framework for Gender Budgeting

Gender Budgeting is a tool to incorporate gender concerns in the planning process.

Step 1: An analysis of the situation for women and men and girls and boys (and the different sub-groups) in a given sector

Step 2: An assessment of the extent to which the sector’s policy addresses the gender issues and gaps described in the first step. This step should include an assessment of the relevant legislation, policies, programmes and schemes. It includes an analysis of both the written policy as well as the implicit policy reflected in government activities. It should examine the extent to which these policies, programmes and schemes meet the socioeconomic and other rights of women.

Step 3: An assessment of the adequacy of budget allocations to implement the gender-sensitive policies and programmes identified in Step 2 above.

Step 4: Monitoring whether the money was spent as planned, what was delivered and to whom. This involves checking both financial performance and the physical deliverables (disaggregated by sex).

Step 5: An assessment of the impact of the policy/programme/scheme and the extent to which the situation described in step 1 has been changed, in the direction of greater gender equality.

The pre-requisites for gender budgeting are mainly gender orientation and sensitization, disaggregated data on budgetary allocations, participatory planning, spatial mapping, gender appraisals for all new programmes and schemes, preparing guidelines for review of public expenditure and policy, analysis of public expenditure and outcome assessments of budgets.

Source: UNIFEM-UNFPA Gender Responsive Budgeting and Women’s Reproductive Rights

Check Your Progress Exercise 3

Note: i) Use this space given below to answer the question.

ii) Compare your answer with the one given at the end of this Unit.

1) Discuss one reason and find out why it is considered as a pitfall.

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8.9 SUMMING UP

Economic planning is considered as an effective method to utilize resources optimally and bring intended development. The Unit summarized three major reasons for planning: Helping to clarify, focus and research; providing a considered and logical framework and offering a benchmark for performance measurement.

Planning can be conducted at macro or micro (regional) levels. Planning at the central and peripheral levels should not be considered separate exercises but complementary ones. The process of formulating plans should focus on situation analysis; setting priorities, goals and targets; specifying strategy organization and management; detailing monitoring and evaluation and planning for future situations/problems encountered during implementation.

The activities involved in different phases of planning include: referencing the 'mission' or desired result from the system; taking stock; analyzing the situation; establishing goals; establishing strategies to reach goals; establishing objectives; associating responsibilities and timelines with each objective; writing and communicating a plan document; acknowledging completion and rewarding success; using techniques of making and implementing a successful plan.

8.10 GLOSSARY

District Planning : If the state Plans are to succeed, their formulation in relation to physical features and resources and the institutional organizations in each area is the first requirement. Development needs not only financial resources and material inputs but personnel and the right kind of institutions. This requirement has to be worked out for each operational area. The natural corollary of beginning to plan realistically and from the bottom is to recognize that planning is not something that comes from outside or above but what each state, district, locality and community does to develop its own resources and potentialities.

8.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress Exercise 1

- 1) The main reasons for undertaking local/micro level planning are as follows:
 - Specific attention may be given to the needs of the targeted groups;
 - Programmes are geared more towards the specific needs of the area;
 - Efforts are being made to decentralize the planning process;
 - A closer partnership with the people and the planners can be established; and
 - The lowest echelons of the administration can be organized and coordinated.

Check Your Progress Exercise 2

- 1) The constraints and the proposed actions to overcome them – as identified in the situation analysis – become the building blocks for the action plan. To

begin with, we have to outline the objective of the programme. An “objective” is defined as the action that is proposed to overcome a constraint or problem that has been identified during a situation analysis. As much as possible, objectives should be stated in ways that will make them measurable. The objectives should also include a time frame. For example, assume that the needs assessment showed a high prevalence of school dropouts among girls. The constraint is, “Less than 20% of all schoolchildren aged 10-15 years complete primary school in a particular area”. The objective is, “to make sure that at least 80% of all schoolchildren are there in primary schools by 2020”. It may not be possible to address all constraints and therefore priorities must be set as to what to tackle first and what later. Aims, objectives and targets must be realistic, keeping in mind the available human, infrastructure and financial resources. Overambitious programmes often result in activities not being completed in time or at all, targets not being met and objectives not being achieved.

Check Your Progress Exercise 3

- 1) Planning is not magic – you cannot always get what you want. The process of planning is one of research and investigation. Results can no more be predetermined than can the outcome of a scientific experiment. Planning is only a tool that can help you decide whether to go forward, not just how. If the answers to key questions are “no,” then the outcome of planning should be to postpone the contemplated expansion, working toward readiness to tackle it farther down the road. That is the reason it is considered as a pitfall.

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8.13 QUESTIONS FOR REFLECTION AND PRACTICE

- 1) Discuss the steps involved in the planning process.
- 2) Identify any one type of plan which you think will address gender concerns and explain briefly.
- 3) Write an essay about the phases of planning.

UNIT 9 DEVELOPMENT OF PLANS

Structure

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9.1 INTRODUCTION

As we have described in previous units, planning is the most fundamental function of any human activity which may be carried out individually or collectively to achieve development. It is the first step towards achieving development goals. Planning is also the first step in the project cycle which comprises of project design and planning, implementation, monitoring and evaluation. Planning is carried out at different levels within an organization, institution or department depending on their different functions, geographical area and stages of implementation of the project. The integration of gender in planning has assumed significance since the 1970s. Planning has been done at various levels. In this Unit we will discuss plans which are at the micro level using different methods like micro planning, project planning.

9.2 OBJECTIVES

After studying this Unit, you should be able to:

- describe development planning;
- explain micro planning, project planning;
- explain various steps in micro planning and project planning; and
- describe gender integration in micro planning.

9.3 DIFFERENT TYPES OF DEVELOPMENT PLANS

Different methodologies and traditions are adopted to develop a plan. Planning methodology provides technical guidance in the process of planning. Planning is a professional activity and different countries adopted different methodologies based on their tradition. Planning traditions can be broadly divided into three: one is classical tradition; second is applied tradition; and the third one is transformative tradition. Based on these traditions different methods were adopted. For example, the classical tradition concentrated more on city growth by concerning itself with physical and spatial problems. It started in the 1890s, concentrating on urban design, town planning and land use planning. The classical tradition has followed the blueprint approach, which consists of the survey analysis plan. The applied tradition started in the 1950s and 60s. The applied tradition emphasizes that planning is a set of rational procedures and methods which start from problem definition, correction and analysis of data, formulation of goals and objectives, design of alternative plans, decision making, implementation, monitoring and feedback. Project planning is one such applied tradition. We will discuss project planning in detail in the later part of this Unit.

Apart from project planning, micro planning is of recent origin and was attempted in different parts of the country at the gram panchayat level. Most of the socialist countries and the countries which got independence after the Second World War adopted the centralized planning tradition and methodologies. Many studies have criticized centralized planning due to its over emphasis on macroeconomic growth rather than the development of local areas. Alternative to centralized planning, experts proposed decentralized planning. Micro planning is a method of decentralized planning.

The planning stages consist of plan formulation, investment programming, budgeting, plan implementation and plan monitoring and evaluation. Plan formulation is made up of several activities – situational analysis and problem identification, setting of vision, goals, objectives and targets, formulation of policies and strategies, identification of programmes and projects and setting of the plan implementation mechanisms. It is a way of thinking and doing things that recognizes that population and sustainable development factors are interrelated. In this way development plans give priority to people's involvement. Development planning assumes that it brings good governance. The basic feature of good governance is to ensure a dignified life to each and every individual living under its jurisdiction through formulation and implementation of its welfare and development plans and policies. It improves the quality of life of the deprived by adhering to certain non-negotiable principles and values. Planning is the key factor that guides the life of each individual, family/society and moreover, it is in-built in each system. Planning is the intrinsic element/characteristic that determines the success of governance.

9.4 MICRO PLANNING

Micro Planning is a community-based empowering process for preparing a road map for development and management of local problems/issues of the local communities with properly defined roles and responsibilities of all stakeholders, clearly set targets and well discussed deadlines. It is the detailed planning at a lower level, usually at or below a district, which takes into account the variations in the community.

9.4.1 Definition: Micro Plan

It is the plan for the smallest unit of administration in India. The Gram Panchayat is the development unit at the village level. Each Gram Panchayat can be further

divided into wards. In this method the Gram Sabha (Village Council) members of each ward plan for their own ward. These ward level plans may be called people's plans. These people's plans are put together to make a panchayat level plan and are called micro plans. The problems faced by villagers are solved through solutions that they feel comfortable with. Each problem is solved at the local level with the participation of the Gram Sabha members, elected representatives, government officials and others.

Micro planning is a process that builds the capacity of the community to analyze their own situation and work on it to create a better future. The common goals need to be arrived at by understanding what development means and what will be the common priority for everyone. The need for micro planning arose since central planning alienated the local people from village assets and resources. In this type of planning, people used the roads and buildings till they were serviceable but when repairs were needed people did not give time, labour or resources for its repairs. The reason was that they had not participated and contributed in its creation. As a result they did not feel either accountable or responsible towards its upkeep. If village resources are owned by the village through its representatives and its development is planned with the people, they can be sustained and protected on a long-term basis. Planning for rural areas has always been a challenge for a planner. Most of the time they become part of some District/Regional plan. No clear-cut emphasis is laid on villages as separate entities rather than some strategies for rural areas proposed in these plans. This has been changed in the Panchayati Raj System.

Constitutionally, the control over natural resources (land, water, forests etc.) has been given to panchayats and powers related to implementation of development programmes and administration also lies with the panchayat. Panchayats are thus development institutions at the grassroots level that plan and implement proposals. The micro planning process facilitates Gram Sabha members to arrive at their action agenda engaging government, elected representatives and other key actors in the process of village development. The end result of micro planning work will be that the village community will decide for itself what kind of development they want. They will not be dependent on or take orders from others, on what should be done to make village life better.

Micro planning evolved from a rights-based approach which "integrates the norms, standards and principles of the international human rights system into the plans, policies and processes of development." Micro-planning is participatory, community-based, problem-driven and designed to inform policy with relevant inputs drawn from the local level. The key elements of micro planning are an active, intense community-based exercise, carried out over a period of one to two weeks, depending on the specific goals and objectives of the projects. The micro plan is a process that builds the capacity of the community to analyze their own situation and work on it to create a better future. Common goals need to be arrived at by understanding what development means and identifying the shared, common priorities for everyone. The output of the exercise is a development plan which includes a list of prioritized problems, strategies and options for dealing with the problems and a work programme describing who, when and what is to be done. Integral to the method is the equal relationship between the professional technical experts and the community. As the project's ownership lies with the community, the micro-planning exercise is also a step in the direction of empowering the community.

9.4.2 Micro Planning – Making the Invisible Visible

The major features of micro planning are summarized here.

- Micro Level Plan (MLP) is a process whereby each individual household dwelling in a village gets a fair chance to participate and design a Plan.

- The strengths of a plan lie in people's approval and flexibility that gives a scope to revisit the steps and rectify the mistakes.
- When people of various categories with an individual focus, are involved thoroughly in all the stages i.e. right from problem analysis to resource allocation and role-definition, the process itself challenges the existing power structure without resorting to any violent means.
- Hence, probability of change in the power equation, assertion of rights assigned to each individual under the constitutional framework and finally the development programmes (as designed by the people and approved by the state) do work out in tandem.
- For this very reason MLP is often defined as a people's empowerment process. As the communities get involved in the analysis of problems for formulation, execution and monitoring of MLP, they get empowered in the process.
- The basis of MLP is people-centred and emphasizing people's decision.
- It gives opportunity to people to define "development" according to their own perception and do their planning accordingly so as to play the major role and become accountable in its implementation.
- It makes mobilization of resources more feasible in terms of money, labour, materials, etc. Moreover, it ascertains area-specific physical and human potential.
- It provides space for individual planning, accepting the fact that the basis of planning cannot be a village as unit due to the various dynamics and inequity involved but has to be individualized in order to make people's planning a reality.
- It ensures transparency and public accountability. It provides opportunities for social audit and constant scrutiny of plans and their implementation.
- It strengthens the knowledge and capacity of the planner i.e. individual, family, group and community by providing diverse information on various systems, which regulates their life. Thus, it gives informed choice to the stakeholder to choose the best possible solution. Moreover, it is an eye-opener for the poor and marginalized who have become silent and passive in the long course of marginalization and exploitation.
- It is a continuous process, which never ends with one phase. It gives scope to revisit the whole planning process and modify it as per the need.

Hence, this is a continuous cycle, which never stops.

A good micro-level planning methodology should be:

- based on an assessment of the local situation;
- client-sensitive and participative;
- replicable; and
- easy to institutionalize.

Simplicity of such a system and possibility of integrating it in the existing system without radical modifications would increase the chances of acceptance in an organization.

9.4.3 Characteristics of Micro Planning

Micro planning has the following characteristics:

Gender-sensitive Planning

- It brings the planning process to the grassroots level to tackle specific local problems.
- During the planning process emphasis is given to development of local resources and provision of infrastructure.
- Emphasis is given to local traditions, history, values and practices.
- Bottom-up planning is encouraged.
- Communities are enabled to come together and analyze the economic, cultural and environmental situation and identify the village resources for their optimum utilization, prioritize the problem and seek solutions.

9.4.4 Phases of Micro Planning

The three phases of the process are:

- Pre-planning;
- Planning; and
- Post-planning.

The steps in each phase indicate a possible method to approach a micro planning exercise. However, based on locally available resources and the expertise of the community, micro planning methods can vary from place to place. The steps in each phase indicate a possible method to approach a micro planning exercise.

However, a micro planning exercise in each panchayat is unique due to different needs and aspirations of the particular community.

The objectives of a micro plan may include:

- Building capacity of people to prepare their development plan for implementation;
- Increasing the information base about the area and its people to utilize available resources;
- Identifying root causes to solve problems;
- Increasing decision-taking capacity;
- Improving socio-economic and legal environment of the village; and
- Enhancing negotiation abilities.

The above said objectives can be achieved by mobilizing the community and utilizing local resources with the help of empowered, sensitized elected representatives. In the micro planning exercise, active involvement of elected representatives is necessary because this will make the entire exercise constitutionally legal. Once the exercise is completed, elected representatives can place the micro planning document at the gramsabha. After the gramsabha approval, it becomes a valid document. Apart from elected representatives, the participation of existing groups in the village like youth groups, women's groups and farmers' groups should be ensured. Elected representatives should properly inform the block and district level officials about the exercise. Official participation will strengthen the exercise because of the experience and valuable inputs officials bring to the exercise. Their involvement will help the gram panchayat to mobilize necessary resources during the implementation process as they are obliged to make the local self-governance institutions stronger.

External facilitators will be necessary to carry out micro planning successfully. In individual discussions, group meetings and workshops staggered over a period of

time, the facilitator can facilitate the community members in applying micro planning tools to collect ward-level information and analyze data to arrive at solutions of problems. The facilitator will assist people in preparing the people's plan or ward level plan. The plan emerges from the solutions offered and accepted by the community and more importantly their taking responsibility to work upon it. Once people have collectively decided on their plan to work on specific areas of work, then the peoples' plan becomes a micro plan. A Micro plan is a means for future development of village communities. The Micro plan process will build the existing strength of each ward by promoting collective strength of the panchayat.

9.4.5 Steps in Micro Planning

Micro level planning requires scientific thinking and its principles should be spelt out in clear terms: the definition of the purpose, analysis of the problem and making a careful diligent search and statement of all the facts bearing upon it. Micro level planning proceeds with the following steps while preparing its pathway towards solving any problem.

Pre-planning phase

The following exercises are significant in the pre-planning stage. Identifying the panchayat, building the environment and organizing orientation workshops to develop a common understanding on micro planning is the first step.

Step 1 – Identifying the panchayat

The choice of the *panchayat* may depend upon many factors like the location (a roadside village or it being too distant from the main road); issue (affected by drought or flood-prone or facing a particular set of problems); and leadership (led by a dynamic leader or having a charismatic leadership).

After deciding on the panchayat the facilitator has to create an environment for the planning exercise. Once the panchayat is identified, the orientation exercise has to be conducted for the key people of the panchayat who can lead the exercise in their respective wards. People like ward members, self help group leaders, community leaders, youth leaders should be identified and they have to be included in the orientation exercise. In the orientation exercise ensuring the participation of women, dalits and marginalized people is important. The geographical spread of the panchayat, its disaggregated population data and the resources of the area are significant. Primary information can be gathered from the community. For collecting primary data, participatory rural appraisal methods like transect walk or time line tool can be used to build rapport as well as gather introductory information. Some basic information about the panchayat can be collected from the block development office and district collectorate.

The facilitator with the association of the panchayat president can also get information from official data such as census and other reports. Productivity of the village, for example, may focus on main occupations, wage rates and food production and other resource bases of the panchayat.

Step 2 – Working with the elected representatives to include the excluded

As we have discussed earlier, the active involvement of elected representatives will strengthen the exercise. A Micro planning exercise is not only preparing the plan of the selected panchayat. The implementation process is as important. Once the plan is prepared, the implementation process starts. The gram panchayat is the constitutionally elected body with necessary resources for implementing the programmes. Involving elected representatives from the beginning will ensure successful implementation. Apart from elected representatives (Panchayat presidents and ward members) participation of those un-represented or under-represented needs

to be ensured so that all wards and all sections are included such as women, children, the elderly, disabled, minorities, tribal sections etc.

Step 3 – Conducting orientation workshops

The primary objective of this workshop is to create a common understanding about micro planning among village communities. While organizing an orientation workshop, the facilitator should ensure that traditionally excluded people as well as those who are influential in the affairs of the panchayat should be invited and oriented about the exercise. We have already discussed the significance of inviting officials and local level government functionaries. The Block Development Officer needs to be informed about the micro plan processes and the Block Development Officer is also invited. The invitation needs to be sent much in advance as generally government officials are engaged in various activities. These meetings will prepare the people who have attended to actually commit resources and time if need be. All along the process now onwards care should be taken to invite or inform local government officials regarding the different processes/steps of the micro plan. This orientation workshop will briefly cover the following:

- Difference between centralized planning and decentralized planning;
- Benefits of micro-planning process beneficial for the village;
- Processes and steps of a micro plan;
- Role of *gram sabha* and elected members;
- Role and relationship of different communities in the village;
- Need for further information and resources;
- Sources of *panchayat* funds;
- Discussion on way forward; and
- Developing a People's plan: Who will do what by when for the ward level plan?

A steering committee can be chosen to undertake tasks from this stage onwards.

Planning Phase

Steps 4 to 6 are included in the planning phase.

Step 4 – Identifying problems and solutions

The facilitator and the steering committee members are responsible for collecting the following information for each ward with the help of communities.

Problems in priority: Causes and Solutions for each problem

There is a need to prioritize the problems and then select one or two key problems in each ward to focus attention on a list of solutions for a particular problem. The steering committee facilitates people's work on solutions rather than being involved in the problems. The steering committee will need further information, technological, economic inputs backed by positive affirmation of all involved to transform into the micro plan.

Information and data collection

In this step the facilitator will conduct a series of meetings with all wards of the panchayats separately to achieve results through community solutions. The purpose of these meetings is to prepare teams to collect information so that the plan becomes stronger with available facts. Tools to be used for the collection of the data should

be discussed and the team members should be trained in the use of a particular tool. It is assumed that the process of data collection brings different groups of people closer to each other and makes them aware of resources that need to be sustained, utilized, shared and multiplied.

The kind of information you may need to collect may include:

- 1) What resources does the village panchayat have? Natural resources – water (surface and ground); forest and land; human resources (age, sex, education, health and economic status).
- 2) How are the resources utilized? Livelihood (occupations and unemployment) services like schools, health centres, *panchayat ghars* (village assembly buildings), roads, houses, fields.
- 3) What are the assets (public and private) like livestock, machines etc.?
- 4) What information can be provided on agriculture, land and labour needs?
- 5) What is the available information on social groupings?
- 6) Is information available on past village development schemes (government contribution and community contribution)? Some information on village resources may be general whereas other information may be specific to the community needs expressed.

By using a PRA technique called a seasonal calendar, information like drought time, rainy seasons can be documented with the help of the community. This will be helpful in micro planning exercises to create watershed management structures like anicuts, check dams and also would enable facilitators to engage the *panchayat* in deepening wells. Perhaps this may need recording the migration and resource flow from the village. It will also be important to know what existing schemes and development plans are in progress or already sanctioned in selected panchayats and what allocations have been already made under the area development plan, health plans, women and child welfare schemes etc.

Step 5 – Collating the panchayat data

Ward level information could be collected either sector-wise i.e. health, sanitation or education. This can further be complemented by information on human groups (status of women, farmers, labourers, children etc.) or occupation and education profile of the village.

Key Solution Identification

In the micro planning exercise, solutions can be identified with help of the community. Wards with no problem and wards having problems can be differentiated and the solution for the problem can be identified with the help of the affected persons: What is the number of households or persons that may benefit from the solution? For each of the problems the community suggests the solution. The solutions will guide the community and stakeholders further on what information needs to be collected for the next step, i.e. finalizing the micro plan. Since this is a crucial stage for the formulation of a micro plan, a facilitator may choose to sit in different groups to get clarity on each sector and also sit with separate gender and generation groups for the community problem analysis and identification of development priorities and solutions.

Information from each ward should later be put together on the basis of similarities and differences. These should be listed separately such that each can be acknowledged during listing priorities. Information is collected for the purpose of analysis. While collating data on the problem, find out the root cause to focus on the right solution. The solution tree diagram tool can be used for this. The solution

tree diagram was depicted in the course MGS-003 Gender Analysis. Individual ward information can be shared within each ward level meeting to arrive at a consensual analysis of the collective strengths and weakness of the ward such that development plans can be supported by the baseline data.

Sharing collated information in ward meetings

After collecting necessary information, facilitators with the help of the Gram panchayat can convene a Gram Sabha meeting to ratify the collected data. Once the Gram Sabha has ratified it, data can be tabulated ward wise with the help of trained volunteers. Once the tabulation process is over, the Gram Panchayat has to convene the Gram Sabha meeting once again to share the information in the community. If the size of the Panchayat is large, ward sabhas can also be convened. The focus of the large group meeting will be to create a common consensus on the socioeconomic situation of the village as a whole and the problem that needs to be addressed.

Step 6 – Finalizing the Micro plan

After data is collected, the process of incorporating the people's plan into a micro plan for the panchayat can take place. The steering committee should invite the key community members and government officials like Block Development Officers, relevant District Education/Health/or Agriculture officers for a meeting to share the qualitative and quantitative data and this can be followed by the ward representatives presenting their analysis of the data. A panchayat level meeting can be convened to revisiting solutions of the identified problems.

In the earlier stages of the micro planning process, as you have seen, the community may have already listed the problems at different levels. This would also make people understand that some issues can be solved individually, other than through the help of our neighborhood and some can be collectively solved through the panchayat. It will be good to remember what has been done till now, so that your people's plans move forward.

Prioritizing the solutions

Since resources are limited all the solutions cannot be worked upon together. Therefore, key solutions need to be identified. Methods like wealth ranking, checklist etc. can be used at this stage to assist prioritization.

Identification of solutions and strategies

On the basis of the PRA baseline data, the problems can be prioritized. The solutions and strategies need to be listed.

Identification of resource base

Even without seeking professional expertise, resources can get collected if we are clear about how much our micro plan will require and who we can ask for help. The process by now would have created people's solidarity to work upon building political will. The political will of people in power like the MLAs and the MPs is also needed to ensure financial and human resources for the micro plan. They should, therefore, be approached.

Post-planning Phase – Implementation and Review

Step 7 and 8 are included in the post-planning phase.

Step 7 – Deciding how to manage the implementation of the Micro Plan

Even though making the plan work is every one's responsibility, managing and implementing this phase, requires active involvement of key people. The active

participation of village committees, women's groups, children's groups and others can provide much needed impetus.

Implementation cycle – Owning responsibility

In a meeting, the panchayat and core team could plan: who will do what? And by when? This should also be followed by a session on what supports are needed. The steering committee takes on reviewing responsibilities. This review work can take place during a meeting to agree on the expected outcomes from the planning. This will let people know what to look for during follow up and evaluation.

Step 8 – Reviewing and monitoring

The Panchayat and facilitator will need to keep the situation alive by calling a meeting to review the micro plan. It is best to set a time frame for periodic meetings. The Panchayat can request the steering committee to chair the meeting to review the plan of action. The Steering committee revisits the goals and objectives of the plan.

The following steps also can be taken by the panchayats:

- Revisit the goal and objective of the plan;
- Run through the micro plan to see what took place as planned and what evolved during the implementation cycle;
- Review what the panchayat needs to do less of/more of/differently;
- Publicly acknowledge contributions of the community and the others; and
- Use media to publicize good practice.

9.4.6 Tools for Micro Planning

The following PRA tools can be used for the micro planning exercise. Some tools are related to information gathering while others can help generate collective understanding. This list of tools is only illustrative and can be used in the order of steps as per the need, the context and issues.

Step 1

Transect walk

Time line

Step 2

Relationship matrix

Social mapping

Step 3

Stakeholder analysis

Resource mapping

Service mapping

Steps 4 & 5

Problem analysis and seeking solutions through a tree diagram

Step 6

Trend analysis

Sector-wise planning

Large Group Discussion

Focus Group Discussion

There is a danger in using tools in a rigid way. One must remember that micro planning is a process to empower people to own village resources and plan for its sustained growth. Thus being work centred may take you away from the central purpose of creating ownership of all and social harmony. As the initiator of this process, you need to be responsive to changes in the situation as the planning and implementation progresses.

9.4.7 Gender Issues in Micro Planning

As we have already discussed the status of women in Unit 1 in the course MGS-003 entitled Gender Analysis and the importance of gender aware planning in Block 1 of this course, we have understood the significance of incorporating gender perspectives in the planning process.

As you know, micro planning is done at the grassroots development unit of any country. As far as India is concerned, the Gram Panchayat is the grassroots development unit in the rural areas and Municipalities in the urban areas after the enactment of 73rd and 74th Constitutional Amendment Act. The Act has also provided 33.3% reservation for women. In many states reservation has been increased to 50%. In accordance with the Act, women occupy the decision making level at all levels of local institutions. When they prepare a plan for their respective panchayats or municipalities, the following gender issues can be considered.

Economic Empowerment

- Identifying potential areas of employment for women and imparting required skills in modern technology and process;
- Ensuring credit facilities for taking up income generating activities to supplement their earnings; and
- Consolidating and empowering self help group movements.

Political Empowerment

- Creating awareness among women for the importance of participating and raising their voice in local self government institutions and other statutory bodies;
- Strengthening of providing adequate education; and
- Providing technical training to act as resource persons in the various bodies at the grassroot level for effective policy implementation.

Social Empowerment

- Providing access to health care and other social facilities;
- Strengthening of basic facilities at the panchayat level;
- Providing adequate education facilities and training adolescent girls on various development issues;
- Provision of supportive infrastructure with emphasis on fuel, safe drinking water and sanitation;
- Ensuring social security measures for the aged, destitute, female-headed households, access to legal counsel, family courts, women-friendly police stations and government officers; and
- Undertaking training to create awareness on gender issues to reduce violence.

Along with the earlier discussed issues, micro plans should concentrate on the following issues:

- Women members of panchayats and executive bodies must be adequately trained and empowered so that they might exercise their authority;
- Links have to be established between elected representatives and development functionaries who will enable them to elicit women's participation;
- Trainees and community leaders should acquire interpersonal communication skills and attention should focus on poor women;
- Programmes aimed at women's empowerment must involve women in implementation;
- Formal representation and active participation of women in institutional structures has to be completed by mobilization of women; and
- Women's concerns in each sector should be properly identified and integrated into the planning process.

Box 9.1: Case Study of Micro level Planning in India

The Government of Kerala initiated a people's plan campaign in the local self government institutions. The State Planning Board was the implementing agency for the campaign. The special campaign cell was set up at the state planning board headquarters to which 30% were recruited with experience in the total literacy campaign. The first phase of the people's campaign begins with the mobilization of the people. The planning board thought that two factors constrained participation in Gram Sabhas: 1) Lack of awareness among the people; and 2) lack of advance preparation. The planning board started its campaign on the theme of power to the people all over Kerala. The people were mobilized to discuss the local development problems, their causes and solutions. In order to make the Gram Sabha meeting effective, people were divided into small groups to make the participation more effective. Resource persons were trained at the state level, district level and panchayat level. Around one lakh resource persons were mobilized and trained to act as facilitators in this process. It was estimated that more than two million persons participated in gram sabhas and ward assemblies. Participation of women, SCs and STs were increased but not to satisfactory levels. After sensitization data were collected by the local elected bodies, a detailed plan was prepared for each gram panchayat with the active participation of people. Once the plan was prepared, necessary finance was devolved to them and the implementation process was started. This case study shows that planning at the grassroots or micro plans can be done provided local bodies can be empowered with technical and managerial expertise.

Box 9.2: Grassroots Women Leaders and Planning: A Tamil Nadu Experiment

Six Village Panchayats, headed by women, prepared village development plans in Dindigul District with the assistance of the Rajiv Gandhi Chair for Panchayati Raj Studies, Gandhigram Rural University, Gandhigram, and The Hunger Project, New Delhi in 2005. Those Panchayats are:

Sl.No.	Name of the Village Panchayat	Name of the Block
1)	Athoor	Athoor
2)	N. Panchampatti	Athoor

3)	Noothulapuram	Nilakkottai
4)	Kodankinayakkanpatti	Nilakkottai
5)	Mullipadi	Dindigul
6)	Adiyanoothu	Dindigul

Arulnayaki, Panchayat President of Mullipadi Village Panchayat shared that though she was not well versed with the Panchayati Raj System, she had her own perceptions over the issues of under development. She proposed to do activities under three important areas, namely:

- i) Education;
- ii) Women's development; and
- iii) Economic development

She realized that her villagers did not encourage girl children to continue their studies after schooling and most of them have been living in abject poverty. Moreover, due to lack of awareness, women failed to make use of several services like pre-natal and post-natal care available in the health centre. They did not have the practice of prompt reporting and registration of pregnancy. They did not adhere to small family norms. She decided to work against these issues and hoped that the Village Panchayat would be a suitable place for those activities. But, in practice, Village Panchayat Presidents were asked to carry out the plan and programmes drafted at top level, she complained. Moreover, the villagers were also of the opinion that the basic amenities like drinking water supply, roads and other infrastructure facilities had to be carried out by the Village Panchayat, she remarked. There are a large number of issues and problems in the rural areas which are not discussed in any public forum and she has decided to discuss all those issues with the people. She is of the opinion that unless the poor, Dalit and women are sensitized and conscientised social transformation cannot be achieved. She has a detailed plan for her Village Panchayat and wants to fulfill the following in order to develop her Panchayat.

- Enrolling all the children who have completed five years of age in school.
- Ensuring that the enrolled children continue their studies without dropping out.
- Conducting school annual day celebration to enable the students to display their creative potential.
- Providing basic amenities like drinking water, toilet, playing ground and vegetable garden in the school.
- Creating a sanitation and toilet culture among the students.
- Establishing reading rooms to encourage the desire to learn among the villagers and putting to use the Ayyan Thiruvalluvar Library.
- Providing toilet facility and playthings for children in the anganwadi and trimming their nails to ensure hygiene.
- Enrolling all the children who have completed two and a half years of age in the anganwadi and helping them to learn the habit of attending to their personal cleanliness.
- Ensuring the age-specific weight and the general health of children by providing them with appropriate balanced nutritious meal and ensuring the proper conduct of activities such as providing nutritious flour and noon meal under the integrated child welfare scheme.

- Preventing female infanticide by creating awareness among the villagers.
- Ensuring that all the children receive fully and properly the benefits of the immunization programme.
- Creating an environment free of child labour.
- Adopting measures to prevent child mortality.
- Creating awareness among the people about gender equality.
- Ensuring that all deliveries take place only in hospitals
- Creating awareness among women about prenatal and postnatal care.
- Helping women to fully receive the benefits of the activities under the post-natal child welfare schemes.
- Helping pregnant women to properly receive benefits such as prenatal care, medical examination, immunization vaccines, nutritious flour and pregnancy assistance money.
- Providing the required minimum basic facilities in the sub-health centre
- Helping the village health nurse to discharge her welfare functions well.
- Taking steps to ensure optimum utilization of the women's sanitary complexes.
- Ensuring that all the people get safe drinking water.
- Completely eradicating open air defecation.
- Arranging for common public toilets and their proper use.
- Removing waste in order to create a sanitary village.
- Creating awareness among the people about the dangers to the village from non-degradable substances like plastics and polythene and taking steps for their prohibition.
- Augmenting finances by converting public wastes into fertilizers.
- Planting, rearing and protecting saplings in public places to transform the village into a green village.
- Ensuring minimum basic amenities to all the habitations in the village.
- Installing solar lights on streets.
- Ensuring that all eligible families get ration cards.
- Arranging to issue pattas to those who own no house sites.
- Ensuring that essential commodities are properly available under the public distribution system.
- Building houses for homeless people.
- Eradicating untouchability and creating social harmony.
- Ensuring that the Adi Dravidar community gets all the benefits they are eligible for.
- Organizing poor women into self help groups and helping them to achieve social and economic upliftment.

Gender-sensitive Planning

- Making all the arrangements required to enable the self help groups to produce articles and to market them.
- Bringing together the village artisans into a federation, enhancing their manual skills and arranging for employment opportunities for them.
- Creating awareness to ensure that girls are married only after they complete twenty one years of age.
- Observing the families of weak, destitute, elderly people, poor widows, poverty stricken artisans and guaranteeing their livelihood.
- Identifying the disabled and reaching to them benefits that ought to reach them.
- Showing the way for male as well as female self help groups to function robustly.
- Motivating and guiding self help groups participating fully in public welfare activities and in Gram Sabha meetings.
- Repairing and maintaining water sources such as ponds, tanks, ooranis and kanmois, collecting rainwater in them and using them properly.
- Creating the right perspective among the people regarding the importance of water, water management and utilization of water.
- Developing natural resources and protecting them from damage and degradation.
- Creating awareness among the people to effect changes in agriculture to suit circumstances.
- Creating awareness among the people to cultivate medical plants in public places in the village and in habitations and to use them.
- Reclaiming common property resources from encroachment.
- Regulating common property resources and taking steps to augment the Panchayat income through them.
- Reorienting the Panchayat activities to a people-centred mode and carrying them out with people's participation.
- Transforming the Panchayat into an arena for people's action.
- Transforming the people into social citizens and making them participate in all Panchayat activities.
- Transforming the Gram Sabha into a forum for social upliftment instead of a forum for collecting grievances.
- Involving women and Dalits in a big way in all the activities of the village.
- Synergizing the different organizations functioning in the village for development activities.

Apart from these objectives to be fulfilled, those women who have prepared plans for the development of their Panchayats also had specific activities and plans for women and girl children to be carried out with people's participation.

Box 9.3: A Role Model for Dalit Women Leaders

Ms. Pappa is a rural revolutionary leader known for her fight against the existing social order and bureaucratic system and she has emerged as a force to reckon with not only in the Panchayat area but also among the Gram Panchayat women leaders. She moved into social service much before she moved into the Panchayat. Setting right the public institutions is the first step in ensuring delivery of services to the poor. She responded to the challenges from the upper caste and the bureaucracy and on all the occasions she fought against them. She was the president of the Dalit Women Gram Panchayat Leaders of Tamil Nadu.

After becoming Gram Panchayat president in 2001, she proposed to do activities under on three important areas, namely education, women development and economic development as she realized that her villagers did not encourage girl children to continue their studies after schooling and most of them have been living in abject poverty. Due to rain fed irrigation, there is no successful agricultural practice and so poor landless labourers and marginal farmers used to go over distance of 20 km to get employment in farms or to fell down trees in the forest area so as they could earn for their livelihood from the sales proceedings of wood as fuel. Moreover due to lack of awareness, women failed to make use of the services like pre-natal and post-natal care available in the health centre. They did not have the practice of prompt reporting and registration of pregnancy. There were many couples who have five children and even eleven children. Further, there was the practice of female infanticide, especially among the community of Pallar and Kallar. She decided to work against these issues and hoped that the Village Panchayat will be a suitable place for those activities.

But in Practice Village Panchayat Presidents were asked to carry out the plan, programmes drafted at top level. Moreover, the villagers were also of the opinion that the basic amenities like drinking water supply, roads, other infrastructure facilities had to be carried out by Village Panchayat. There are large number of issues and problems in the rural areas which were not discussed in public-fora and she decided to discuss all those issues with the people. She is of the opinion that unless the poor, dalit and women are sensitized and concientized, social transformation cannot be achieved. She is not looking into the powers assigned to Panchayats. She has the tendency to respond to the demands and calls of the people as her administration is transparent, non-corrupt, she has been fighting against injustice.

Source: G.Uma & Vanishree .J

Check Your Progress Exercise 1

Note: i) Use this space given below to answers the questions.

ii) Compare your answers with the one given at the end of this Unit.

1) Define Micro Planning.

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2) How would you summarize the characteristics of micro planning?

9.5 PROGRAMME PLANNING

Programme planning is a comprehensive plan designed to implement the policies and accomplish the objectives. It is a single use plan which is laid down for a new and non-repetitive activity. It lays down the definite steps in proper sequence that will be taken for the purpose of achieving a specific objective. A programme, according to Allen “is a sequence of activities designed to implement policies and accomplish objectives”. It may be regarded as a combination of policies, procedures, rules, budgets, tasks, assignments, etc. developed for the specific purpose of carrying out a particular course of action. It is, in fact, a single-use comprehensive plan laying down the important steps for accomplishing a mission or a specific objective and sets the approximate time for each step. A programme will not be used again in the same form once the objective is accomplished. For instance, the expansion programme, calls for the preparation of a budget, lays down special policies, procedures and rules and assigns tasks for the purpose of, say, doubling the existing production capacity of the women’s enterprise. Once this target is reached, the special plans devised for the purpose will be given up.

A programme serves as a useful guide in day-to-day operations. It is action-based and result-oriented. It helps to maintain motivation among employees. A programme may be a major or a minor one; a long term, a medium or a short-term one. Generally, a primary programme is made up of several minor or derivative programmes. Some of the features of programme planning are listed here.

- i) A Programme is a single use but comprehensive plan.
- ii) It is based on objectives and policies of organizations.
- iii) It is implemented through an action plan indicating the activities to be performed and time allotted for each activity.
- iv) It is designed to ensure smooth and efficient functioning of an organization or agency.

Important Steps in Programme Planning

The following five steps can be identified in programme planning:

- i) **Dividing the various activities required to achieve the objectives into convenient steps**

Before developing a programme, the purpose of the programme, the steps to be taken, the quantity and quality of effort required for each step should be clearly defined. Division of work facilitates proper assignment of task to persons and facilitates review of progress at each step.

- ii) **Identifying the relation between all such steps and ensure their chronological sequence in operations**

Assigning priority to different steps and developing a chronological sequence is necessary. The work done and the time spent on one step affects the

subsequent steps. These relationships and sequential arrangements should be observed carefully. Sequencing helps to overcome the problem of coordination created by division of work.

iii) **Deciding the persons responsible for performing each activity and persons who are accountable for every step**

After division of work and flow of work, accountability for each step should be fixed on specific individuals, i.e., who will do what.

iv) **Determining the resources required for every step, viz., personnel, finance, facilities and materials**

The success of a programme depends on the timely availability of physical, financial and human resources. Therefore, the resources required for the programme should be determined.

v) **Estimating the time required for every step or activity – i.e. the starting time as well as the time of completion**

In the last step, the date when an operation can begin and the time needed for its completion are decided. Availability of resources, delivery schedule, processing time, etc. should be considered in deciding time schedule. A definite date sheet for each part of the programme will facilitate control. Due allowance should be made for delays created by factors beyond the control of managers. Every operation may be divided into discrete tasks and plotted against a time line to show at a glance the time schedule to the employee.

Effective programming is a challenging task and every manager is expected to bring new thinking and innovation into her/his work. She/he must look into competitive methods, external changes, research findings, available alternatives and try to 'build an improvement factor into each programme step'. Programmes will normally have a hierarchy of several sub-programmes. Since sub-programmes are complex in nature, it will be necessary to have higher order planning skills because even a single ill-conceived or poorly-conceived sub-programme can damage the entire programme.

9.6 PROJECT PLANNING

A project is a distinct cluster of functions and facilities for a definite purpose. It is a part of a general programme which can be designed and executed as a distinct plan in it. A project is a single-use plan having certain features of a programme. It may be defined as any scheme or a part of a scheme, for investing resources which can be analyzed and evaluated as an independent unit. It is a proposal of investment which can be separately evaluated through cost-benefit analysis. As such, a project can, therefore, be regarded as a work plan devised through scientific investigation and analysis, to achieve a desired objective within a particular period.

We can identify four basic features in every project:

- i) It is a plan or a course of action which is non-recurring.
- ii) It has a specific objective or mission.
- iii) It involves time-bound activities having a definite starting and completion date.
- iv) It involves considerable investment of resources and is significant for the future of the organization.

Gender-sensitive Planning

The planning of a project may require either a special taskforce or an adhoc administrative set up.

The Necessity of Projects

The project approach is required when:

- a) the work to be executed or performed is of a special nature and demands a special project team of experts drawn from different departments and the experts have to concentrate on some special problems;
- b) the work is very complex;
- c) high cost is involved and as such, errors and mistakes are to be minimized; and
- d) there is a need of one-shot activities or one-best way with precise time-table with the completion date of a particular task being given top priority.

Advantages of Projects

The important benefits claimed in favour of projects are that:

- a) they make the task of management much easier;
- b) they make the allocation of duties very precise;
- c) they simplify control;
- d) there is a specific purpose or a mission to be fulfilled and a sense of accomplishment to be sought for project personnel; and
- e) there is need for systematic project planning appraisal and feasibility studies of alternative projects due to changes in the environment size of the project and investment levels.

Elements of a Project Plan

Some key elements of a project plan include:

- Problem Identification;
- Formulation of Goals;
- Intervention Strategies;
- Implementation Strategies;
- Objectives;
- Implementation Sequence;
- Project Outcomes; and the
- Management System.

Box 9.4 provides a useful checklist for integrating gender in programmes and projects.

Box 9.4: Checklist for Integrating Gender in Programmes and Projects.

- **Background and Justification:** Is gender part of the context analysis for the intervention? Are there arguments for gender mainstreaming and gender equality?
- **Goals:** Does the goal of the proposed intervention reflect the needs of both men and women? Does it seek to address gender issues and gaps through addressing practical and strategic needs of men and women? Does it seek to address strategic gender needs by transforming the institutions (social and others) that perpetuate gender inequality?

- **Target groups:** Except where interventions specifically target men or women as part of a gender-specific programme, do women as well as men benefit from the programme?
- **Objectives:** Do the intervention objectives address needs of both women and men?
- **Activities:** Do planned activities involve men and women? Are any additional activities needed to ensure that the gender perspective is explicit (e.g. gender training, additional research, etc.)?
- **Indicators and related key questions:** Have key questions been developed to measure progress towards the fulfilment of each objective? Do these indicators measure the gender aspects of each objective? Are indicators gender disaggregated? Are targets set to guarantee a sufficient level of gender balance in activities (e.g. quotas for male and female participation)?
- **Implementation:** Who will implement the planned intervention? Are these partners gender competent? Do they have tools and methodologies to implement in a gender-aware way? Will both women and men (professionals and target groups) participate in implementation?
- **Monitoring and Evaluation:** Does the monitoring and evaluation strategy include a gender perspective? Will it examine both content and process of the intervention?
- **Risks:** Have stereotypes or structural barriers preventing full participation of women or men been considered? Has the potential negative impact of the intervention been considered (e.g. potential increased burden on women or social isolation of men)?
- **Budget:** Have financial inputs been “checked” to ensure that both men and women will benefit from the planned intervention? Has the need to provide gender training or to engage short-term gender experts been included in the budget?
- **Partners:** Have plans been made to ensure the capacity of partners to work with gender?
- **Annexes:** Are any relevant research papers (or excerpts) on gender included as annexes?
- **Best practice:** Has a communication strategy been developed for informing various sections of the public about the existence, progress and results of the project from a gender perspective?

*Adapted from a handbook produced by the Regional Gender Programme of the United Nations Development Programme’s Regional Bureau for Europe and the CIS (UNDP RBEC), by Astrida Neimanis, 2002

9.7 CHECKLIST FOR GENDER INTEGRATION IN MICRO LEVEL PLANNING/PROJECT PLANNING AND PROGRAMME PLANNING CYCLES

Gender issues must be built into all stages of the planning cycle. The following sets of questions are key for each of the four main stages in the planning cycle: Identification of the problem, Planning, Implementation and Monitoring and Evaluation.

Identification of the problems

- What is the condition of women and men in terms of all dimensions such as status, education, health, etc.?
- Are men and women having equal space, access and control in all the activities and resources in the society? How can this be ?
- How will these affect women and men's labour, time, workload, etc?
- What needs and opportunities exist for increasing women's and men's productivity?
- Have both men and women been directly consulted in identifying such issues?

Planning

In this discussion on planning we will discuss aspects related to: defining the objectives; identifying possible negative effects, identifying the impact on women's and men's activities and impact on women's and men's access and control.

Defining the objectives

- Are objectives clearly related to practical and strategic gender needs?
- Do these objectives adequately reflect gender needs?
- Have both men and women participated in setting those objectives?
- Have there been any earlier efforts?
- Has the present proposal been built on earlier activity?

Identifying possible negative effects

- Will the plan reduce women's and men's equal access to or control of resources and benefits?
- Will it badly affect women's and men's situation in some other way?
- What will be the effects on women and men in the short and longer term, thinking of social, economic and political effects?

Impact on women's and men's activities

- Community activities can be to do with production, reproduction and maintenance, social or political. Which of these does the project affect?
- Is the planned activity consistent with the way women and men see the activity?
- If it is planned to change the way women and men carry out an activity – where it is done, payment, technology, kind of activity – is all this feasible? What positive or negative effects will there be on both women and men?
- If in fact there is no change, is this a missed opportunity for women's and men's roles in the development process?
- How can the project design be adjusted to increase the positive effects and reduce or eliminate the negative ones?

Impact on women's and men's access and control

- How will each of the project components affect women's and men's access to and control of the resources and benefits?

- How will each of the project components affect women's and men's access to and control of the resources and benefits around household and family responsibilities?
- How will each of the project components affect women's and men's access to and control of the resources and benefits around their social, political and community responsibilities?
- What arrangements have been made for further exploration of constraints and possible improvements?
- How can the project design be adjusted to increase both women's and men's access to and control of resources and benefits?

Implementation

Aspects of implementation relate to personnel; organizational structure; operations and logistics; budgeting and flexibility.

Personnel

- Are project personnel trained to be aware of and sympathetic towards women and men's needs?
- Are personnel used to deliver the goods or services both to women and men?
- Do personnel have the necessary skills to provide the inputs required by women and men?
- What training techniques will be used to develop delivery systems?
- Are there appropriate opportunities for both women and men to participate in project management positions?
- Is the project manager trained in gender analysis and does the job description include responsibility for this component?

Organizational structure

- Does the organizational structure provide for access to resources by women and men?
- Does the organization have adequate power to obtain resources, needed by both men and women, from other organizations?
- Does the organization have the institutional capability to support and protect both women and men during the change process?

Operations and logistics

- Are the organization's delivery channels accessible to both women and men in terms of personnel, location and timing?
- Do control procedures exist to ensure dependable delivery of goods and services?
- Are there mechanisms to ensure that the project resources or benefits are not controlled or taken over by males?

Budgeting

- Is there funding to ensure programme continuity?
- Is the level of funding enough for the planned tasks?
- Does the project ensure that males do not get preferential access?
- Is it possible to trace funds for both women and men, from allocation to delivery, with a fair degree of accuracy?

Flexibility

- Does the project have a monitoring system that allows it to measure the effects of the project on both women and men?
- Does the organization have enough flexibility to adapt its structure and operations to meet the changing situations of men and women?

Monitoring & Evaluation

In our discussion on monitoring and evaluation we will focus on data requirements and data collection and analysis.

Data requirements

- Does the project's monitoring and evaluation system measure clearly the project's effects on both men and women?
- Are both men and women, from both project and community, involved in selecting what data is needed?
- Is the monitoring system participatory – did members of the community select some of what is monitored and then collect the data?

Data collection and analysis

- Is the data collected with sufficient frequency so that adjustments can be made during the project?
- Is the data fed back to the project personnel and to the community in an understandable form and on a timely basis, so that adjustments can be made?
- Are women involved in the collection and interpretation of data?
- Is data analyzed so as to provide guidance for the design of other projects?
- Are key areas of gender-related research identified?

Check Your Progress Exercise 2

Note: i) Use this space given below to answer the question.

ii) Compare your answer with the one given at the end of this Unit.

1) What are the three basic features of project planning?

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9.8 SUMMING UP

In this Unit, we have discussed the definition of development planning and different methodologies adopted for formulating development plans. Micro planning, project planning and programme planning are part of development planning. All these types of plans were discussed in detail. The Unit started with the rationale for adopting these types of planning, steps involved in these plans and the role of stakeholders. Finally we have discussed how to integrate gender components into the development planning process.

The steps in microplanning can be placed in three phases: Pre-planning, planning and post-planning phases. The steps include: Identifying the panchayat; working with the elected representatives to include the excluded; conducting orientation workshops; identifying problems and solutions; collating panchayat data; finalizing microplans; deciding how to manage implementation of the microplan; reviewing and monitoring.

Several PRA tools can be used for microplanning such as: transect walk; time line; relationship matrix; social mapping; stakeholder analysis; resource mapping; service mapping; problem analysis and seeking solutions through a tree diagram; trend analysis; sector-wise planning; large group discussion; focus group discussion.

Gender issues centred around economic, political and social empowerment need to be assessed and gender perspectives incorporated in the planning process. Microplans should concentrate on capacity building of women members of Panchayats and executive bodies; establishing linkages between elected representatives and development functionaries; formal representation and active participation of women in institutional structures and adequate reflection of women's concerns (in each development sector) within the planning process.

The Unit also provided useful checklists for gender integration in microlevel planning for projects and programmes. The checklist addresses key questions built into each of the four main stages of the planning cycle: identification of problems, planning, implementation and monitoring and evaluation.

9.9 GLOSSARY

- Micro planning** : It is also known as Bottom-up Planning: Planning starts at lower levels unlike the “top-down” planning process.
- Participatory Planning** : Participation of community at every stage of the planning process.
- Local Planning** : The spatial unit of planning is a village or gram panchayat.

9.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress Exercise 1

- 1) Micro Planning is a community-based empowering process for preparing a road map for development and management of local problems/issues of the local communities with properly defined roles and responsibilities of all stakeholders, clearly set targets and well discussed deadlines. It is the detailed planning at a lower level, usually at or below a district, which takes into account the variations in the community.
- 2) The following are the characteristics of micro planning:
 - It brings the planning process to the grassroots level to tackle specific level problems.
 - During the planning process emphasis is given to development of local resources and provision of infrastructure.
 - Emphasis is given to local traditions, history, values and practices.

- It encourages bottom-up planning.
- It enables communities to come together and analyzes the economic, cultural and environmental situations and identifies the villages resources for their optimum utilization, prioritizes problems and seeks solutions.

Check Your Progress Exercise 2

- 1) A project is a distinct cluster of functions and facilities for a definite purpose. It is a part of a general programme which can be designed and executed as a distinct plan in it. A project is a single-use plan having certain features of a programme. It may be defined as any scheme or a part of a scheme, for investing resources which can be analyzed and evaluated as an independent unit. It is a proposal of investment which can be separately evaluated through cost-benefit analysis. As such, a project can, therefore, be regarded as a work plan devised through scientific investigation and analysis, to achieve a desired objective within a particular period.

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Development of Plans

9.12 QUESTIONS FOR REFLECTION AND PRACTICE

- 1) How should we integrate gender into micro level planning/project planning and programme planning cycles? Explain.
- 2) Discuss steps involved in micro planning process with examples.
- 3) Write briefly about project planning and programme planning.

UNIT 10 PLAN IMPLEMENTATION, MONITORING AND EVALUATION

Structure

- 10.1 Introduction
- 10.2 Objectives
- 10.3 Plan Implementation
- 10.4 Monitoring and Evaluation
 - 10.4.1 Meaning of Monitoring
 - 10.4.2 Kinds of Monitoring
 - 10.4.3 Meaning of Evaluation
 - 10.4.4 Kinds of Evaluation
 - 10.4.5 Significance of Monitoring and Evaluation
- 10.5 Levels of Monitoring and Evaluation
- 10.6 Design and Implementation of Monitoring and Evaluation
- 10.7 Problems in Monitoring and Evaluation
- 10.8 Gender Issues in Plan Implementation and Evaluation
- 10.9 Plan Appraisal
 - 10.9.1 Mid-term Appraisal of Eleventh Five Year Plan: Gender Perspectives
 - 10.9.2 Gender in Monitoring and Evaluation
- 10.10 Summing Up
- 10.11 Glossary
- 10.12 Answers to Check Your Progress Exercises
- 10.13 References
- 10.14 Questions for Reflection and Practice

10.1 INTRODUCTION

In the previous units of this Block you have studied about the meaning, definition, importance, types of plans and the planning process which aims to promote development in the country. Development of plans and the planning cycle is elaborated in Unit 9. In this Unit you will learn more about Plan Implementation as well as Monitoring and Evaluation (M&E). In the planning cycle these three components play a significant role and they determine the success of the plan. Plans can become operationalized only in the implementation stage. In order to check whether the plan is being implemented properly, monitoring and evaluation techniques are used. This Unit clearly explains the significance of monitoring and evaluation from a gender perspective. Finally at the end of this Unit, the Eleventh Five Year Plan appraisal is presented from a gender perspective in the Indian context.

10.2 OBJECTIVES

After studying this Unit, you should be able to:

- describe the meaning of plan implementation, monitoring and evaluation;

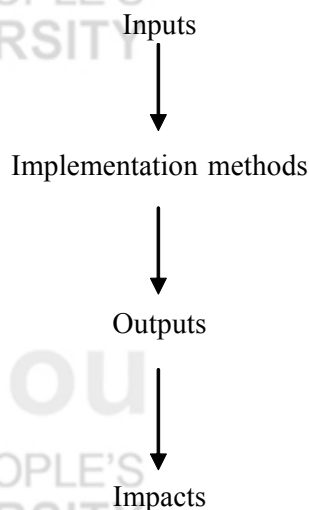
- analyze the problems associated with plan implementation, monitoring and evaluation;
- explain gender issues involved in plan implementation and evaluation; and
- examine plans from a gender perspective.

10.3 PLAN IMPLEMENTATION

The implementation stage is the actual development or construction of a plan where it becomes fully operational. This involves a number of phases, activities and decisions. They are presented in a nutshell in the following list:

- Taking decisions with regard to agencies and institutions which are involved in the implementation process;
- Taking decisions with regard to the involvement of beneficiaries/target group(s), for whom the plan is designed, in the planning, implementation and management of the plan;
- Procurement of financial and material resources and mobilizing human resources;
- Construction and installation of facilities and equipments;
- Selection of effective methods of service delivery and their implementation;
- Supervision of the implementation and service delivery modalities; and
- Establishing financial control over the plan implementation.

The whole implementation phase can be schematically represented as:



Inputs are defined as financial, human and material resources available to implement the plan. Outputs are services that a plan delivers to a target group to have an expected impact. Implementation refers to the transformation of a plan input through organizational systems and procedures involved to get quality output.

10.4 MONITORING AND EVALUATION

In this section you will learn about the meaning of monitoring and evaluation and also about the kinds and types of monitoring and evaluation and their significance.

10.4.1 Meaning of Monitoring

Monitoring is an internal activity carried out by the implementing agency or its associated organization to determine whether the plan is implemented as planned. It can also be stated that it checks whether resources are being mobilized as planned and activities are carried out as per strategy and being carried out on time. Monitoring is the process of continuous internal assessment and this activity helps to determine whether the plan is implemented properly to achieve its defined objectives within the stipulated timeframe and budget. This process gives the feedback about the progress of the plan and also it helps to identify problems involved in the implementation process.

10.4.2 Kinds of Monitoring

The following are some of the kinds of monitoring methods.

Performance monitoring: All plans have a well-defined set of inputs in terms of money, materials, equipment, staff, technical assistance etc. These inputs should give a set of expected outcomes within the stipulated time. Therefore, it is required to check the actual and planned progress towards the attainment of plan objectives and this analysis is known as performance monitoring. This is used to track the use of project inputs and production of outputs and to identify causes of delay and problems.

Financial monitoring: This will monitor the correct use of funds, disbursements and internal cash flow and assessment of cost effectiveness. It examines the changes in the expected cost and compares the planned and actual budget incurred. It uses the cost variance analysis to investigate the departure from the planned cost. It analyzes the reason for variance in the cost incurred to implement the plan. If there is any misuse of finances, this can be monitored effectively by applying this technique.

Diagnostic studies: This is also known as process monitoring. It helps to understand why implementation and sustainability problems have occurred and further, helps to find solutions to those problems. It also identifies and corrects problems arising during the implementation of plans. These studies are conducted quickly to avert delay and hence they are also known as rapid feedback or rapid reconnaissance studies. Complex problems require careful and detailed analysis and diagnostic studies are carried out in such a way to address those problems. It can also be used as a form of quality control and can be conducted periodically even when no problems were detected.

Mid-term assessment of plan performance: This is to assess the overall progress of the plan in order to identify key issues and required changes. This is required by the donor agencies that sponsor the plan. Its purpose is to identify problems and to provide suggestions for redesigning the plan or implementation strategy or changing the design of resource allocations. The assessment covers all aspects of implementation and financial performance, the effectiveness of implementing agencies and accessibility to intended target groups. This assessment is largely based on diagnostic studies and existing reports. Sometimes they carry out independent studies as well.

Plan implementation report and audit: This will assess plan implementation and performance of the executing agency followed by an independent audit to evaluate the extent to which loan agreement terms are being met. The purpose of this method is to certify that the plan has been satisfactorily completed and to identify deviations from the planned implementation schedule, outputs and budget. This report will give an account of achievement of plan objectives, plan design and performance and finally end with lessons learnt.

Monitoring operations, maintenance and sustainability: This operation assesses the capacity of the plan to continue delivering intended services and benefits throughout its planned economic period. This will assess the following components:

- The quantity and quality of outputs and benefits produced in comparison with the plan target;
- The social and economic background of the actual target group;
- Capacity and resources of the organization involved in the plan implementing process;
- Level of participation of the target group;
- Cost recovery performance;
- Adequacy of recurrent cost financing; and
- Adequacy of the maintenance of physical infrastructure and capital.

10.4.3 Meaning of Evaluation

Evaluation, on the other hand, may be considered as an internal or external activity. This may be conducted within the plan implementation agency or by an outside organization. It is used to assess and improve the present plan or to estimate the impact and evaluate the performance of completed plans. This is otherwise known as impact or efficiency evaluation.

10.4.4 Types of Plan Evaluation

There are different types of evaluation models developed over a period of time. These types or models are developed based on the evaluation of social development plans, programmes and projects. These models are based on the assessment of implementation processes, quantitative assessment, estimates of plan impact and so on. In the following section you can study about the types of plan evaluation.

Logical Framework Analysis: It is a kind of monitoring widely used. A Plan is time bound and its goal has to be achieved within the time mentioned in the plan. The attainment of goals is the criteria for measuring the degree to which each objective has been achieved. At the end of the specified time limit the actual and intended progress are compared and the reasons for failure to achieve the goal, if any, will be examined. This method is mostly used in the social development plan.

Quasi-experimental Designs: This is a kind of statistical procedure designed to estimate plan outcome. It estimates the size and distribution of project impacts statistically controlling for the effect of other factors that could affect the outcome.

Systems Analysis: It is otherwise known as project planning and performance evaluation. It is descriptive and some mathematical calculations are applied in the evaluation. It analyzes the process of plan implementation and assesses factors affecting plan outcomes. This method is widely used to evaluate health and infrastructure-related plans.

Causal Network: This is a simple graphic system applied mainly in evaluations using qualitative data to prove or disprove hypotheses. It also helps to analyze the link between implementation variables and their impact on project outcome.

Process Modelling: This technique is widely used to define the factors affecting the outcome of particular plan components and non-plan variables on plan outcome. It assesses the contribution of non-plan factors to the outcome.

Path Analysis: It is a kind of statistical technique used to estimate the quantitative output of the plan.

Structural Learning: It is a systematic way to learn from the experience of the on-going plan and use the knowledge to improve the future plan. This technique consists of creating a model that explains the whole operation and implementation process. On the basis of this model, a set of hypotheses will be developed and will be tested in other plans, projects or programmes.

10.4.5 Significance of Monitoring and Evaluation

The proper conduct of monitoring and evaluation is an important element which contributes to the successful implementation of the plan and gives feedback for future operation. The significance of monitoring and evaluation is as follows:

- It will contribute to the identification, appraisal, planning and design of future plans.
- When plan implementation begins, regular reports will be required on the progress of physical implementation, financial status, causes and possible solutions to problems arising during implementation. These can be addressed only through monitoring and evaluation.
- The organization which funds for the plan requires regular reporting. Therefore, through monitoring and evaluation, an implementing agency can become accountable to the funding or lending agency.
- Monitoring and evaluation serves as a quality control mechanism. Organizations which are involved in the planning process require regular information on the efficiency of the plan and the quality of work being carried out. Monitoring and evaluation will serve this purpose.
- Plan effectiveness and impact can be analyzed through monitoring and evaluation.

Check Your Progress Exercise 1

Note: i) Use this space given below to answer the question.

ii) Compare your answer with the one given at the end of this Unit.

1) What is logical framework analysis?

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10.5 LEVELS OF MONITORING AND EVALUATION

Monitoring and evaluation are used at multiple levels. They are conducted at national level, project level and sectoral level. In this section you will read about these important processes.

National level: At the national level many organizations carry out monitoring and evaluation. The Ministry of Finance will monitor and evaluate most of the plans funded internally by the country and externally by foreign countries. They assess

the overall progress and impacts of the national development programmes. Apart from this, non-governmental organizations and academic institutions also carry out Monitoring and Evaluation. Many NGOs are concerned with social and environmental issues. Academic institutions evaluate the credibility, utility and impact of the plan. They also do policy analysis and suggest policy change and implications.

Project level: As you know, M&E provides information to planners and managers and determines whether a plan is executed as per its design. It can also help to identify problems that need to be resolved, the unexpected impact and lessons for guidance. Therefore, M&E is required in all the stages of a plan right from plan preparation, plan appraisal, selection and negotiation, designing, plan implementation, management of plan operations and new plan identification.

Sectoral level: At the sectoral level information is gathered regarding project experiences in a particular sector. This will help to assess the potential replicability of the plan in some other sectoral situation. M&E at sectoral level will try to resolve queries such as:

- Which of the alternative methods of service delivery are the most cost effective?
- How would cost effectiveness be affected by the implementation of the project on a large scale?
- Which conditions cause the different methods of service delivery to be most effective and least effective? What are the implications for replicating the same on a large scale?
- Which groups are most and least likely to benefit from the project if it is replicated on a large scale?

10.6 DESIGN AND IMPLEMENTATION OF MONITORING AND EVALUATION

Now it is clear that the purpose of M&E is to provide information regarding the effective implementation of plans and the impact created by that plan. It also helps in the selection and planning of future plans. Also, we need to understand how M&E is designed and implemented. In order to design M&E, information is required at the stakeholder level, and programme level. One has to define the level of complexity, coverage and duration of the evaluation. In this section you can learn about these aspects.

Before conducting M&E certain information is required about the stakeholders involved in the planning process. The major stakeholders of the plan are: International organizations, national institutions, local implementing and coordinating agencies and finally the target group for which the plan is being implemented. International organizations require periodic information on physical and financial progress. National institutions require indicators on plan implementation and financial performance of the plan. Plan implementing agencies require short - and medium- term information to monitor progress and to detect and help resolve problems when they arise. Most of the plans do not involve the target group in design or review of monitoring studies. But in recent times awareness has been increased and the target group or intended population has started playing an important role in M&E. Civil society organizations and community-based organizations are encouraging people to develop their own M&E systems to ensure that benefit reach the targeted groups.

At the programme level certain information is required to do M&E and those are mentioned in the following list for quick reference:

Gender-sensitive Planning

Indicators of plan progress:

- Selection of target group(s) which benefit(s) from the plan;
- Progress of construction and physical implementation;
 - Utilization of project services;
 - Consolidation and follow on projects;
 - Dropouts;
 - Maintenance; and
 - Cost recovery.

Indicators of plan effectiveness:

- Accessibility/affordability of services;
- Impact on target population;
- Multiplier effects; and
- Impacts on sectoral and national policies.

Indicators of plan efficiency:

- Performance of individual project components;
- General efficiency in terms of design, finance, implementation and cost recovery; and
- Comparison with alternative projects in terms of costs, quality and replicability.

General planning information:

- Socioeconomic characteristics of the target population;
- Current living and access to services;
- Human development indicators; and
- Community organizations.

Level of complexity, coverage and duration of the evaluation should also be designed in advance. If the M&E is too complex, there is a danger of overloading the capacity of the organization to conduct the studies. This will lead to delay in dissemination of results, decline in the quality of the studies and heavy expenditure. When M&E begins, it should be kept as simple and economical as possible. Complexity can be increased at a later point of time if necessity arises. Further, it is most important to stipulate at what time the evaluation begins and ends. Many changes will start as soon as it is planned. These changes have to be included in M&E and this inclusion should not deviate from the stipulated time period as decided initially. Many impacts will not take place until several years after the implementation of the plan has been completed. In this case M&E cannot take place as quickly as possible.

Apart from those mentioned earlier, the organizational framework of the M&E agency plays a crucial role. Single M&E units will be viable so that they can have close contact and operationalization will be more effective. They should have one reporting authority to have clear unity of command.

Check Your Progress Exercise 2

Plan Implementation, Monitoring and Evaluation

Note: i) Use this space given below to answer the question.

ii) Compare your answer with the one given at the end of this Unit.

1) List the indicators to monitor the progress of a plan.

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10.7 PROBLEMS IN MONITORING AND EVALUATION

Monitoring and evaluation is not free from criticism because each approach of monitoring and evaluation has its own criticism. Many M&E exercises could not fulfil the expectations and demands placed on them. They have also been criticized for their inefficiency and limited utility. Their criticism is mainly focussed on when they just monitor and evaluate the quantitative output and financial implications of the plan. These problems are classified as described in the following discussion.

Organizational and political problems: Here the problem lies with the monitoring and evaluation agencies which exercise considerable influence over resource allocation and over decisions concerning the future fate of the plan they are evaluating. Sometimes an inappropriate agency might be assigned with the duty of monitoring and evaluation. Their reports and suggestions cannot be taken into consideration if they did not understand the whole planning process and the context in which it is being implemented. They might not be in a position to coordinate themselves with the system. This will have a serious impact on the monitoring and evaluation process. In other cases some of the pertinent organizations which are involved in the process of monitoring and evaluation must have been excluded and the government ignores their opinion. A further set of problems can be created by donor agencies themselves by influencing the content and organization of monitoring and evaluation systems.

Managerial problems: Many monitoring and evaluation agencies have failed to establish a clear procedure for monitoring and evaluation. They also have failed to cope with the expectations of the implementing agencies. This mainly stems from the following reasons:

- Minimization of accountability;
- Lack of confidence that evaluation products will yield practical benefits exceeding their cost;
- Lack of rewards associated with sponsoring evaluations;
- Length of time required to begin an evaluation; and
- Length of time required to produce results.

Problems of focus: Although the agencies involved in monitoring and evaluation focus on the plan implementation process, they are not able to produce intended results. They can just pinpoint the deviation, identify problems and suggest solutions to the problems. But they could not make any change in the implementation process. Further, they focus more on the assessment of inputs rather than on the evaluation of the outputs of the programme.

Methodological problems: In the early 1990s most of the evaluative studies are based on the quasi-experimental design. But they are considered as disappointing stating that they lack rigour in impact evaluation. Again the application of more quantitative methods has the tendency to ignore valuable qualitative methods. Comprehensive and integrated evaluation methodology is not often adopted by any agency involved in monitoring and evaluation.

10.8 GENDER ISSUES IN PLAN IMPLEMENTATION AND EVALUATION

Gender issues need to be considered in the process of plan implementation and evaluation. In this section you will study about the gender issues involved in plan implementation and evaluation. Gender issues in plan implementation and evaluation occur at various levels as mentioned in the following discussion.

Personnel level: The awareness of project personnel about women's needs cannot be taken for granted. They may not have necessary skill to provide special inputs required by women. Further, women beneficiaries might not be encouraged to participate in the process by persons who are involved in the plan implementation and evaluation process.

Organizational structures: The organization which is involved in the planning process might not make resources available to/for women. Women themselves do not have access or control over resources. The organization by itself might not have adequate power to obtain resources needed by women. Moreover, most of the organizations which are involved in the planning process do not have the institutional capability to support and protect women during the change process in society.

Operations and logistics: The accessibility to women of an organization's delivery channels in terms of personnel, location and timing need to be scrutinized. There is no control procedure to ensure delivery of services and goods to women. There is no mechanism to check whether the resources are taken over by men.

Finances: It is not certain that funds will exist to continue with the plan in future and its adequacy. Most of the development plans which are pertinent to women's empowerment are not carried out due to paucity of funds inspite of showing successful implementation. Further, it is not easy to trace funds for women from allocation to delivery accurately.

Flexibility: The existing management information system in any organization will not allow detection of the defects of operation on women and therefore it is considered as a serious setback in the monitoring and evaluation mechanism. Most of the planning institutions are not flexible enough to adapt structures and operations to meet the changing situations of women.

10.9 PLAN APPRAISAL

An assessment of a plan in terms of economic, social and financial viability is referred to as plan appraisal. The steps mentioned in this section are followed in plan appraisal:

- Economic Aspects;
- Technical Aspects;
- Organizational Aspects; and
- Financial Aspects.

With respect to the economic aspects, plan appraisal is done to ensure whether the following has happened:

- Increased output;
- Enhanced services;
- Increased employment;
- Larger government revenue;
- Higher earnings;
- Higher standard of living;
- Increased national income; and
- Improved income distribution.

Technical aspects need to be appraised to assess the availability of infrastructure, technology, compliance with project implementation schedules etc. On the organizational front appraisal is carried out to see if a project is adequately staffed, training is being given to personnel etc. With respect to the financial aspects, cost-benefit analysis would be conducted and income of and expenditure on the plan could be calculated to assess the financial viability.

The next section is devoted to explaining the process of plan appraisal. We will cite an example of the mid-term appraisal of the Eleventh Five Year Plan in India. This will help you not to just know about how appraisal is being carried out but also help you to analyze what exactly the Eleventh Five Year Plan is doing from a gender perspective. This section is based on the report published by the Planning Commission of India on Mid-term Appraisal of the Eleventh Five Year Plan published in the year 2010.

10.9.1 Mid-term Appraisal of Eleventh Five Year Plan: Gender Perspectives

The Eleventh Plan recognized women as change agents and acknowledged the rights of children regardless of vulnerabilities of their class, caste, religion, ethnicity, regional and gender status. The Plan envisioned inclusive growth and advocated ending the exclusion and discrimination faced by women and children. The Eleventh Plan has moved towards the concept of Women's Agency and Child Rights. For instance, Dhanalakshmi was introduced to address the issue of declining Child Sex Ratio (CSR). Ujjwala and Integrated Child Protection Scheme were started to protect and address security needs of vulnerable women and children. The National Commission for Protection of Child Rights (NCPCR) was established as a statutory body to protect, promote and defend child rights in the country. In order to integrate the gender perspective into the budgeting process, a scheme on Gender Budgeting was introduced. It was meant to give a gender perspective to planning, budget formulation and implementation of schemes and programmes. Half way through the Eleventh Plan, the steps taken to attain inclusive growth as per the goals set out in the Plan are clearly visible, albeit the progress is slow. Infant Mortality Rate (IMR) for rural females has declined from 66 in 2005 to 60 by 2008. The concomitant decline for males has been from 62 to 57. In urban areas the decline in IMR has been more significant, a reduction from 45 to 38 for females and from 37 to 34 for males. The all India estimates show that overall IMR has declined from 58 to 53 over this time period. Yet, while the process of systemic transformation has started, much more needs to be done if the promises and targets of the Plan are to be attained. For instance, the concept of gender budgeting needs to be extended to urban and rural local bodies to reflect needs of women at all

levels of scheme formulation and implementation. Procedures for implementation of the Domestic Violence Act 2005 need to be put in place. Many schemes with limited coverage which came up in the first half of the Plan are too new for impact assessment but hold out the hope that by the end of this plan they will begin to address long standing issues. It is recognized that structural changes take time and their success lies in proper implementation and good governance.

Box 10.1: The Eleventh Plan at a Glance: Towards Women's Agency and Child Rights

Women's agency and child rights are major focal areas in the Eleventh Plan.

The Approach

- Recognized the right of every woman and child to develop to her full potential;
- Recognized the differential needs of women and children as a heterogeneous category;
- Acknowledged the need for inter-sectoral convergence as well as the need for focused measures by Ministry of Women and Child Development (MoWCD) for the development of women and children;
- Recognized the need for partnership with civil society to create permanent institutional mechanisms that incorporate the experiences, capacities and knowledge of VOs and women's groups in development planning and implementation.

Commitments

- State Commissions for Protection of Child Rights;
- New scheme to combat trafficking;
- Schemes to cater to the needs of children orphaned by HIV/AIDS and ensuring mental health of children;
- Restructuring and universalizing Integrated Child Development Scheme (ICDS);
- Scheme to address the needs of adolescent girls;
- Introducing Maternity Benefits;
- Gender Budgeting;
- State Governments to frame rules under Child Marriage Act 2005 and appoint Child Marriage prohibition officers.

Monitorable Targets

- Raise the sex ratio for age group 0-6 from 927 in 2001 to 935 by 2011-12 and to 950 by 2016-17;
- Ensure that at least 33 percent of the direct and indirect beneficiaries of all government schemes are women and girl children;
- Ensure that all children enjoy a safe childhood without any compulsion to work.

Fiscal Allocation

- Eleventh Plan Allocation for MoWCD: Rs 56,765 Crores;
- Share of Centrally Sponsored Schemes: Rs. 55,019 Crores (97 per cent of the total allocation);
- Share of Central Sector Schemes: Rs. 1,746 Crores (3 per cent of the total allocation);
- Share of schemes related to children: Rs. 55,234 Crores (97.3 per cent of the total allocation);
- Share of schemes related to women: Rs. 1,366 Crores (2.40 per cent of the total allocation).

Process of Mid-Term Appraisal

Five regional consultations were held at Chandigarh (North), Bhubaneswar (East), Jaipur (West), Bangalore (South) and Guwahati (North East), in collaboration with UNIFEM, UNFPA and UNICEF. Two NGOs, Voluntary Health Association of India (VHAI) and National Alliance of Women (NAWO), were also to provide their perspective on the schemes.

Detailed feedback was obtained from MoWCD regarding schematic appraisal including scheme-wise physical and financial targets/outlays and achievements. The objective of the process described earlier was to assess the ability of existing schemes and programmes to comprehensively fulfill the Eleventh Plan Vision of Women's Agency and Child Rights. The process helped to identify difficulties, bottlenecks and good practices.

A sum of Rs. 31,343 Crores was allocated for the first four years of the plan. This is 55.22 per cent of the Eleventh Plan approved outlay, even though it covers 80 per cent of the plan period. Of this, during 2007-10, Rs. 26,998 Crores i.e. 86.18 per cent of the total plan outlay has been allocated for ICDS alone. The growth and development of children is vital and hence ICDS needs proper funding. But it is a matter of concern that the 10 per cent allocated for the rest, results in underfunding of other schemes which are essential for women and without which even the goals set out for ICDS cannot be achieved. Most of the schemes related to women have unrealistic cost norms.

Check Your Progress Exercise 3

Note: i) Use this space given below to answers the questions.

ii) Compare your answers with the one given at the end of this Unit.

- 1) "The present kind of organization itself cannot resolve gender issues in plan implementation and evaluation". Comment on this statement.

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10.9.2 Gender Considerations in Monitoring and Evaluation

The International Labour Organization (ILO) has suggested the following points to ensure that gender aspects are systematically considered in M&E:

Including gender in the plan design: Before finalizing the plan, the draft should be circulated for comments among gender experts. The plan appraisal process should also adequately address gender concerns in its design.

Sensitizing and supporting staff: Awareness creation and capacity building of the staff should be made mandatory to know how to include gender in the planning process.

Establishing a network of support: The network of gender specialists and M&E managers should be established to provide guidance and support.

Facilitating learning: M&E personnel should use evaluations for learning and improving their gender mainstreaming strategies.

10.10 SUMMING UP

The planning process is required for systematic development in a phased manner. In order to keep a check on the relevance of the plan and proper implementation, M&E is considered important. Gender issues in plan implementation and evaluation occur at levels such as a personnel; organizational structure; operations and logistics; finances; flexibility. New developments in M&E have promised to raise the overall quality of the plan. When properly applied the information produced by M&E can be used to revise the existing plan, serve as an input to the new plan and ensure the attainment of objectives of the plan formulated. This Unit has explained this process from a gender perspective with suitable examples from the Indian context. The ILO has suggested the following points to ensure incorporation of gender perspectives: Including gender in the plan design; sensitizing and supporting staff establishing a network of support and facilitating learning.

10.11 GLOSSARY

Cost-benefit Analysis : Compares plans on the basis of their true costs and benefits to society.

Planning Commission : It was constituted in 1950 by an executive order of the Government of India. Its main function is to assess the availability of resources and formulate a plan for effective utilization of resources. It is involved in the whole planning cycle of the country.

Donor Agency : A donor agency is an organization that gives funds for plans/projects/programmes of a developmental nature.

10.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress Exercise 1

- 1) It is one of the kinds of monitoring methods. The progress in the attainment of the plan objective within the stipulated time will be monitored by using Logical Framework Analysis. At the end of the specified time limit the actual and intended progress are compared and the reasons for failure to achieve the goal, if any, will be examined.

Check Your Progress Exercise 2

Plan Implementation, Monitoring and Evaluation

- 1) The indicators used to analyze the plan progress are:
 - Selection of target group which benefits from the plan;
 - Progress of construction and physical implementation;
 - Utilization of project services;
 - Consolidation and follow on projects;
 - Dropouts;
 - Maintenance; and
 - Cost recovery.

Check Your Progress Exercise 3

- 1) The organization which is involved in the planning process might not make resources available for women. Women do not have access and control over resources. The organization by itself might not have adequate power to obtain resources needed by women. Moreover, most of the organizations which are involved in the planning process do not have the institutional capability to support and protect women during the change process in the society.

10.13 REFERENCES

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10.14 QUESTIONS FOR REFLECTION AND PRACTICE

- 1) Define and explain the meaning and kinds of monitoring.
- 2) What is the need for evaluation? Explain the different types of evaluation methods.
- 3) Explain the problems associated with gender in plan implementation and M&E.
- 4) Critically examine the implementation of the Eleventh Five Year Plan. Substantiate your arguments based on the report of the mid-term appraisal of the Eleventh Five Year Plan.

UNIT 11 ADMINISTRATIVE SUPPORT SYSTEM FOR PLANNING

Structure

- 11.1 Introduction
- 11.2 Objectives
- 11.3 Planning Commission
 - 11.3.1 Internal Structure of the Organization
 - 11.3.2 Functions
 - 11.3.3 Programme Evaluation Organization
 - 11.3.4 Planning Commission – Critical Analysis
- 11.4 National Development Council
 - 11.4.1 Composition
 - 11.4.2 Functions of National Development Council
 - 11.4.3 National Development Council – Critical Analysis
- 11.5 Planning at the State Level
- 11.6 District Planning
- 11.7 Summing Up
- 11.8 Glossary
- 11.9 Answers to Check Your Progress Exercises
- 11.10 References
- 11.11 Questions for Reflection and Practice

11.1 INTRODUCTION

Planning for national development is considered to be an essential means for accelerating growth in developing countries. It is a major instrument in the service of the basic values and objectives cherished by a community. For developing countries, whether belonging to a democratic or an authoritarian political culture, planning has been considered a prerequisite for balanced socio-economic development and a strategy for making the best possible use of available natural, human and financial as well as infrastructural resources. Still developing countries face pressure in accelerating the speed of development so that the gap between the standard of living of their peoples and that of the developed countries is reduced at the fastest possible pace. Consequently, they also emerge as dignified members of the international community.

“Ever since the concept of planning was introduced in India, how to plan/design the development schemes and programmes for implementation in a given situation with varied geo-climatic features on the one hand and diverse socio-economic characteristics across the states on the other hand posed a great challenge before the planners and policy makers who always remained concerned about improving service delivery. In India the following administrative institutions have been identified so as to support the planning process:

- 1) Planning Commission;
- 2) National Development Council;
- 3) State Planning Departments and Boards; and

- 4) District Planning agencies, supported by the institutions of decentralized planning.

11.2 OBJECTIVES

After studying this Unit, you should be able to:

- examine the Planning Institutions at the Central, State and Local levels;
- discuss the role, structure and functions of the Planning Commission and its attached bodies;
- describe the National Development Council and its various committees; and
- explain the role of State Planning Boards and Decentralized Planning Committees.

11.3 PLANNING COMMISSION

The evolution of Indian Planning started with the formulation by M. Visvesvaraya of a ten-year plan in 1933 with the target of doubling the national income of India. The Indian National Congress took the initiative in setting up of the National Planning Committee with Jawaharlal Nehru as its Chairman. In 1941, a Committee for Planning was appointed which, after a span of two years, was replaced by the Executive Council in which the Governor General himself became the Chairman. In 1944, a separate Planning and Development department was established and some leading industrialists of India prepared a plan for economic development, entitled the Bombay Plan under the inspiration, direction and assistance of the Planning Department. In end of the year of 1946, the Advisory Planning Board (established by the Government) reviewed the problems of planning and the Board suggested setting up a Planning Commission, directly responsible to the Cabinet and concentrating its entire attention continuously on all aspects of development. Based on the recommendation, the Planning Commission was established in March 1950 by an executive resolution of the Government of India, on the recommendation of the Advisory Planning Board constituted in 1946, under the Chairmanship of K.C.Neogi. The Planning Commission is neither a constitutional body nor a statutory body. In India, it is the supreme organ of planning for social and economic development. The significant functions of the Planning Commission are formulation of perspective, five year and annual plans, resource assessment and evaluation.

11.3.1 Internal Structure of the Organization

The internal structure of the Planning Commission falls under three categories.

1) Programme Advisors

The designations of Programme Advisors were created in the Planning Commission in 1952. The primary duties of the advisors are to make connection between the Planning Commission and the states of the Indian Union. There are four programme advisors in this unit and they possess the status of Additional Secretaries of the Government. The major duties of this unit are to:

- make an assessment of the implementation of development programmes in states;
- report the progress of aided schemes and sponsored schemes to the Planning Commission and Union Ministries; and
- advise the Planning Commission about the proposals received from the states.

2) General Secretariat

It consists of five major branches, namely:

- a) General Administrative branch;
- b) General branch, Organization and Management branch and Accounts branch;
- c) General coordination branch;
- d) Plan coordination branch; and
- e) Information and publicity branch.

3) Technical Divisions

It is a major functional unit and the main focus is plan formulation, plan monitoring and plan evaluation. It will research all the aspects of the plan in detail and take decisions on which schemes and projects should be incorporated in the plan. It is responsible for the completion of various projects and schemes of the plan. It may be divided into two parts, that is, general divisions in which the focus is on the entire economy of the nation and subject divisions in which the focus is on specified fields of development. The technical divisions fall under two categories:

- 1) General divisions concerned with aspects of the entire economy. They are:

- I) Development Policy Division;
- II) Perspective Planning Division;
- III) International Economics Division;
- IV) Financial Resources Division;
- V) Labour, Employment and Manpower Division;
- VI) Project Appraisal and Management Division;
- VII) Plan Co-ordination Division;
- VIII) Monitoring and Information Division;
- IX) Statistics and Surveys Division;
- X) Socio-Economic Research Unit;
- XI) Computer Service Division; and
- XII) State Plans Division (including Multi-level Planning, Border Area Development Programme, Hill Area Development Programme and North-Eastern Region)

- 2) Subject Divisions are concerned with specified fields of development. They are:

- I) Education Division;
- II) Environment and Forest Division;
- III) Industry and Minerals Division;
- IV) Agriculture and Co-operation Division;
- V) Irrigation and Command Area Development Division;
- VI) Rural Development Division;

- VII) Village and Small Industries Division;
- VIII) Power and Energy Division (including Energy Policy Cell);
- IX) Rural Energy Division;
- X) Social Development and Women's Programme Division;
- XI) Backward Classes Division;
- XII) Social Welfare and Nutrition Division;
- XIII) Western Ghats Development Division;
- XIV) Communication and Information Division;
- XV) Transport Division;
- XVI) Housing, Urban Development and Water Supply Division;
- XVII) Health and Family Welfare Division; and
- XVIII) Science and Technology Division.

11.3.2 Functions

The following major functions have been allocated to the Planning Commission as per the Government of India (Allocation of Business) Rules, 1961:

1) Assessing and Augmenting Resources

The Commission makes an assessment of the material, capital and human resources of the country, including technical personnel and formulation of proposals for augmenting such of these resources as are found to be deficient.

2) Plan Formulation

It is ensuring the responsibility of formulating a Plan for the most effective and balanced utilization of the country's resources.

3) Defining Implementation Stages

The Planning Commission defines the stages in which the Plan should be carried out on a determination of priorities and allocation of resources for completion of each stage.

4) Determining Execution Machinery

The Commission is entrusted with the responsibility of determining the nature of machinery needed for securing the successful implementation of each stage of the plan from a holistic perspective.

5) Indicating Requisites of Plan Execution

The Commission is to identify the factors which are tending to retard economic development and determine the conditions which, in view of the current social and political situation, should be established for the successful execution of the Plan.

6) Appraisal

The important function of the Planning Commission is to appraise from time to time the progress achieved in the execution of each stage of the Plan and recommend adjustment of policies and measures that such appraisal may show to be necessary.

7) **Advice**

The Planning Commission makes appropriate recommendations for a more effective and efficient formulation, execution and evaluation of socio-economic plans. When the Central and State governments make any specific reference to the Commission, the latter may render suitable advice, too.

In addition to the above, the Allocation of Business has assigned the following responsibility to the Planning Commission, i.e.

- 1) Perspective Planning;
- 2) Hill Area Development Programme ;
- 3) Public Cooperation in National Development;
- 4) Institute of Applied Manpower Research;
- 5) Unique Identification Authority of India
 - Policy, planning and implementation of Unique Identification No. (UID) for residents in India and all matters related to it (UID)
 - Unique Identification Authority of India (UIDAI) and connected matters.
- 6) All matters relating to National Rainfed Area Authority (NRAA).

Here, it is also noted that the National Informatics Centre (NIC) was also part of the Planning Commission. Now it is under the Ministry of Information Technology.

11.3.3 Programme Evaluation Organization

The Programme Evaluation Organization is an attached body of the Planning Commission, established in October, 1952, as an independent organization, under the general guidance and direction of the Planning Commission with a specific task of evaluating the community development programmes and other Intensive Area Development Schemes. The basic objective of PEO is “to improve development planning and implementation through evaluation results which would be nothing but the manifestation of the grassroots reality about public interventions in helping the intended beneficiaries of development schemes and programmes”. It provided time to time feedback on the implementation of various development programmes. The main functions are to:

- 1) make an assessment of the achievements of plan programmes against the stated objectives and targets;
- 2) measure the impact of these programmes on the beneficiaries;
- 3) evaluate the impact of plan programmes on the socio-economic structure of the community; and
- 4) examine the process and adequacy of the delivery mechanism.

It is also rendering technical advice and guidance to the state evaluation organizations and imparting training to the evaluation personnel. It is headed by a Director/Chief who is assisted by Joint Directors, Deputy Directors, Assistant Directors and other staff. It has seven regional offices at Chennai, Hyderabad, Mumbai, Lucknow, Chandigarh, Jaipur and Kolkata and it is headed by a Deputy Director.

11.3.4 Planning Commission – Critical Analysis

Originally it was established as a staff agency. But in the course of time it has emerged as a powerful and directive authority whereby its recommendations are considered both by the Union and the States. The scholars in public administration described it as a ‘Super Cabinet’, an ‘Economic Cabinet’, a ‘Parallel Cabinet’, the ‘Fifth Wheel of the Coach,’ and so on. The main criticism of the Planning Commission is that it has encroached upon the autonomy of the states under the federal system. It is seen in terms of the Planning Commission’s acceptance, modification or rejection of the state’s proposals for development programmes, for which Central financial assistance is sought and which can be granted, only on the recommendation of the Planning Commission. P.P. Agarwal observed that “though Planning Commission is an advisory organ of the government it has come to exercise significant influence over the formation of public policies even in matters other than of development and its advisory role, in a way, extends over the entire administration.” Also the chairman of the Fourth Finance Commission highlighted the overlapping of functions and responsibilities between the Planning Commission and Finance Commission in federal fiscal transfers.

Check Your Progress Exercise 1

Note: i) Use this space given below to answers the questions.

ii) Compare your answers with the one given at the end of this Unit.

1) What are the functions of the Planning Commission?

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2) Discuss the role of the Programme Evaluation Organization.

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11.4 NATIONAL DEVELOPMENT COUNCIL

The National Development Council (NDC) was established by an executive resolution of the Government of India, in August 1952. The National Development Council was recommended by the First Five Year Plan and it stated that, “In a country of the size of India where the States have under the Constitution full autonomy within their own sphere of duties, it is necessary to have a forum such as National Development Council at which, from time to time, the Prime Minister of India and Chief Ministers of states can review the working of the plan and of its various aspects”. Before the five year plans were instituted, in 1946, K.C.Neogi, Chairman of the Planning Advisory Board had recommended the setting up of an advisory organization which would include representatives of the Provinces, Princely States and other interests. In a country like India, an institution like the National Development Council could facilitate periodical evaluation of planning and its various facets by the Prime Minister and the Chief Ministers of States. Unlike the Planning Commission, a NDC represents the federal approach to

planning and it is the key instrument for ensuring that the Planning Commission adopts a truly national perspective.

Like the Planning Commission it is neither a constitutional body nor a statutory body. On the other hand, the Sarkaria Commission on Centre-State Relations recommended that the National Development Council should be given constitutional status under Article 263 of the Constitution and should be renamed as National Economic and Development Council.

11.4.1 Composition

Initially the National Development Council was composed of higher level authorities of the Central and the State Governments along with the members of the Planning Commission. Later, based on the First Administrative Reforms Commission (ARC) Report in 1967, it was reorganized by the Government. The following are the members of the NDC:

- The Prime Minister of India (Chairman/Head);
- All Union Cabinet Ministers;
- The Chief Ministers of all States;
- Chief Ministers/Administrators of all Union territories; and
- The members of the Planning Commission.

The ARC recommended that the Prime Minister of India should continue as the Chairman of the NDC, while the Secretary of the Planning Commission should act as its Secretary.

Committees of NDC

In the 43rd NDC meeting in 1992-93, six committees of the NDC were set up, with a view to creating an on-going mechanism for assessing the situation in critical priority areas. The Committees are discussed in the following paragraphs.

Committee on Population

The Committee was designated to:

- a) review the social and demographic dimensions relevant to the formulation of the National Population Policy;
- b) suggest a mechanism for securing commitment and support of the leadership at all levels for implementation of population control programmes;
- c) identify intervention strategies for population control on a holistic basis;
- d) promote people's participation in population programmes;
- e) outline comprehensive policies for women's welfare;
- f) recommend appropriate measures in family welfare programmes; and
- g) recommend suitable mechanisms for continuous review of the implementation of the National Population Policy and the associated intervention strategies.

Committee on Micro-level Planning

The functions of the committee are to:

- a) define the scope and content of micro-level or sub-state level planning;
- b) delineate the procedures and envisage steps for making micro-level planning operationally effective and meaningful; and
- c) suggest pragmatic ways for the involvement of people at the grassroots level.

Committee on Austerity

It was entrusted with the task of identifying the causes of growth of total state government expenditure and suggesting areas where the economy could be affected in establishment expenditure, non-establishment expenditure, subsidies, interest component of state expenditure etc.

Committee on Employment

It examines the employment situation in rural and urban areas and among the educated, the uneducated and women; to analyze the efficacy of social employment programmes in employment generation; and to suggest strategies, policies and programmes for expanding productive and sustained employment opportunities in different sectors.

Committee on Literacy

It was set up to:

- a) review the progress of National Literacy Mission, as well as of schemes designed to prevent future incidence of literacy, through universalisation of elementary education;
- b) suggest strategies for enlisting the cooperation of Panchayati Raj Institutions, NGOs, folk media, print media and electronic media in the promotion of literacy;
- c) suggest structures and modalities for harnessing resources available at the panchayat, block and district levels in order to integrate the literacy movement with child-care, child development, women's economic empowerment, population control programme etc.; and
- d) suggest measures for providing post-literacy and continuing education for literates, neo-literates and women.

Committee on Medical Education

It recommends measures for ensuring that the availability of medical, dental and para-professionals humanpower was available in keeping with the present and future needs and to suggest modalities of expanding education in these areas in the public and the private sectors.

Objectives

The major objectives of the NDC are to:

- secure cooperation of states in the execution of the Plan;
- strengthen and mobilize the efforts and resources of the nation in support of the Plan;
- promote common economic policies in all vital spheres; and
- ensure balanced and rapid development of all parts of the country.

11.4.2 Functions of National Development Council

On the recommendation of the First Administrative Reforms Commission in 1967, the following functions were redefined. They are as follows:

- 1) To prescribe guidelines for preparation of the National Plan;
- 2) To consider the National Plan as formulated by the Planning Commission;

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- 3) To make an assessment of the resources which are required for implementing the Plan and to suggest measures for augmenting them;
- 4) To consider important questions of social and economic policy affecting national development;
- 5) To review the working of the National Plan from time to time; and
- 6) To recommend measures for achievement of the aims and targets set out in the National Plan.

The Five Year Plan Draft is prepared by the Planning Commission and it is submitted to the Union Cabinet. After that, it is placed before the National Development Council for its acceptance and the Plan is presented to the Parliament. Once parliament accords approval, it is considered as the official plan and published in the official gazette. So National Development Council is a powerful institution, responsible for policy matters with regard to planning for social and economic development. But it is listed as an advisory body to the Planning Commission and its recommendations are not binding.

11.4.3 National Development Council – Critical Analysis

The National Development Council is working as a bridge between the Union Government and the Planning Commission, on the one hand and State Governments on the other. V.T.Krishnamachari observed that the National Development Council provides a forum in which the Union Ministers and Chief Ministers of States discuss the plans at important stages in their formulation. Besides it has also served as a forum for Centre-State deliberations on matters of national importance and also as a device for sharing responsibility between them in the federal political systems. It is also described as a ‘Super Cabinet’ due to its wide and powerful composition. But its recommendations are only advisory not binding. So its role is criticized as providing a ‘Rubber Stamp’ of the policy decisions already taken by the Union Government.

Check Your Progress Exercise 2

Note: i) Use this space given below to answer the question.

ii) Compare your answer with the one given at the end of this Unit.

- 1) What is the role of the National Development Council? Provide a critique.

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- 2) State the various committees of the National Development Council.

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11.5 PLANNING AT THE STATE LEVEL

In a federal set-up, close coordination between the Central and the State governments in the sphere of development policy and administration is essential for balanced and rapid socio-economic development. In India, the subject of

‘planning’ is mentioned in the Concurrent list of the Indian Constitution and, therefore, the responsibility for undertaking planned development through systematic formulation, implementation and evaluation of plans is a responsibility of both the Centre and the states. Now the Centre has the Planning Commission and the State has Planning Boards. Normally the State Planning Board is politically headed by the Chief Minister or a Senior Cabinet Minister. Likewise, the Chief Secretary is an administrative head in the Board. The State Planning Board maintains a connection with the Planning Commission as well as the various Ministries and Departments of the State Government for the preparation of the development plans for the whole state.

In 1972, the Planning Commission had recommended to the States that their planning departments should be made more competent by setting up the following units within the departments:

- Perspective Planning Unit;
- Monitoring Plan Formulation and Evaluation Unit;
- Project Appraisal Unit;
- Regional District Planning Unit;
- Plan Coordination Unit; and
- Manpower and Employment Unit.

To establish and strengthen the State Planning Departments, the Central Government provides financial assistance to the states. Now all the states have the Planning Boards but there is no uniformity in the structure of the Planning Board.

State Planning Boards

In India each state has a separate planning board to prepare the draft state plan. It prepares the draft by consultations among the experts, Ministers and other decision-makers, as well as by seeking the views and demands of various organizations within the state.

The ARC has recommended the following functions for the State Planning Board in each state:

- To make an assessment of the State resources and formulate plans for the most effective and balanced utilization of these resources;
- To determine plan priorities of the State within the framework of the priorities of the National Plan;
- To assist the district authorities in formulating their development plans within the spheres in which such planning is considered to be useful and feasible and to coordinate these plans with the state plans;
- To identify factors which tend to retard the economic and social development of the state and determine the set of conditions for successful implementation of the plan; and
- To review the progress of implementation of the plan programmes and recommend such adjustments in policies and measures as the review may indicate.

In some states, due to lack of adequate expertise and creativity, the State Planning Board is yet to establish its role in a meaningful manner.

Note: i) Use this space given below to answer the question.
 ii) Compare your answer with the one given at the end of this Unit.

1) Explain the planning process at the State level.

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2) Write about the ARC recommendations for the State Planning Board.

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11.6 DISTRICT PLANNING

The planning methods already prevailing at the macro and micro level in India do not support the planning for district level. Besides integrating sectoral priorities and sectoral demands, Rakesh Hooja argues that, “the integration effort should also keep in mind the social background of the particular area and the various diversities (custom wise, skill wise, income-wise and the like) of the various groups which form the population of the area”. It will be possible only through a legitimate decentralization of the planning process. The participation and involvement of the people at the district level is very important. In 1973 V.K.R.V. Rao argues that “The whole *raison d’être* of district planning rests not only on technical grounds but also on the involvement and participation of the people of the district. What is meant by grassroots planning is that it is not only technically more efficient but also operationally more efficient because of the psychology it creates of a movement for development and social and economic change because of popular participation.” The Working Group on District Planning of the Planning Commission had remarked that decentralization through district planning enables a better perception of local needs, makes better informed decision making possible, gives people a better voice in decision making regarding their own welfare, achieves better integration among programmes, ensures effective popular participation, develops local resources and improves productivity. So, district planning is being considered an effective instrument for strengthening the structure and spirit of democracy in India.

Constitutional Status for District Planning

For the first time in India, constitutional status was given to the district planning institutions. In the 74th Constitutional Amendment Act, Article 243 of the Constitution mentions that in every State a District Planning Committee (DPC) shall be constituted in each district to consolidate plans prepared by the Panchayats and the Municipalities in the district concerned and to prepare a draft development plan for the district as a whole. The composition and the selection of the members will be determined by the State legislature passed by law. Also the State Law will determine the functions of the DPC relating to district planning and the manner of choosing its Chairperson.

The District Planning Committee, when preparing the draft development plan, will keep in mind the matters of common interest between the Panchayats and the Municipalities including spatial planning, sharing of water and other natural resources, the integrated development of infrastructure and environmental conservation, the extent and type of available financial and other resources, consulting such institutions and organizations that may be specified by the order of the Governor. After the draft development plan is prepared and after it is passed by the Committee of the Chairpersons of the DPC, it will be forwarded to the State Government for incorporation in the state plan.

The 74th Constitutional Act covers the following aspects of district planning:

- 1) It has envisaged the DPC to be representative of the structure of the district population.
- 2) It has specified the broad objectives of the District Planning Committee and yet has permitted State and District level flexibility in the definition of their functions.
- 3) It has allowed freedom to the States to prescribe the manner of the election of the Chairperson of the DPC.
- 4) It has provided for a consultative process in the drafting of the district plans and schemes.
- 5) It has prescribed integration between the district and the state plans.

We have Cells in Ministries and Departments devoted to gender budgeting. Box 11.1 lists them.

Box 11.1: Ministries and Departments with Gender Budget Cells

- 1) Department of Agriculture and Cooperation
- 2) Department of Biotechnology
- 3) Department of Chemicals and Petrochemicals
- 4) Department of Civil Aviation
- 5) Department of Coal
- 6) Department of Commerce
- 7) Ministry of Culture
- 8) Department of Consumer Affairs
- 9) Ministry of Defence
- 10) Department of Development of North-Eastern Region
- 11) Department of Drinking Water Supply
- 12) Ministry of External Affairs
- 13) Department of Elementary Education and Literacy
- 14) Ministry of Environment and Forests
- 15) Department of Family Welfare
- 16) Department of Fertilizers
- 17) Department of Foods and Public Distribution

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- 18) Department of Industrial Policy and Promotion
- 19) Ministry of Information and Broadcasting
- 20) Ministry of Information Technology
- 21) Department of Heavy Industry
- 22) Department of Health
- 23) Ministry of Home Affairs
- 24) Ministry of Labour and Employment
- 25) Department of Legal Affairs
- 26) Legislative Department
- 27) Department of Mines
- 28) Ministry of Non-conventional Energy Sources
- 29) Department of Ocean Development
- 30) Ministry of Overseas Indian Affairs
- 31) Ministry of Panchayati Raj
- 32) Ministry of Petroleum and Natural Gas
- 33) Department of Posts
- 34) Ministry of Power
- 35) Ministry of Rural Development
- 36) Department of Science and Technology
- 37) Department of Secondary Education and Higher Education
- 38) Ministry of Small-scale Industries, Agro and Rural Industries
- 39) Ministry of Social Justice and Empowerment
- 40) Department of Scientific and Industrial Research
- 41) Department of Shipping
- 42) Ministry of Statistics and Programme Implementation
- 43) Department of Telecommunications
- 44) Ministry of Textiles
- 45) Ministry of Tourism
- 46) Ministry of Tribal Affairs
- 47) Department of Urban Development
- 48) Ministry of Urban Employment and Poverty Alleviation
- 49) Ministry of Women and Child Development
- 50) Ministry of Water Resources
- 51) Ministry of Youth Affairs and Sports

Source: Ministry of Women and Child Development quoted in A.K. Singh, S.P. Singh and D.S. Sutaria (Eds.), *Gender Budgeting and women Empowerment in India*, Serials Publications, New Delhi, 2010

Box 11.2: Decentralized Planning Experience in Kerala

In Kerala, decentralized planning that followed the 73rd and 74th constitutional amendments and enabling enactments in the State in 1994 started off as the People's Plan Campaign and progressed with institutionalization at different levels. The important landmarks during the 9th Five Year Plan (since 1995) include:

- Transfer of powers, functions, institutions and staff to local governments initiated in October 1995 and completed by July 2000; the transferred officials were given a dual responsibility and accountability to both the PRIs and the line Departments for execution of their respective plan programmes;
- Adoption of a separate budget document exclusively for Local Self Governments (LSGs) {since February 1996} and the introduction of a formula for allocation of Plan funds(Grants in aid) among LSGs;
- Decision to devolve 35 to 40% of the plan funds to local governments announced in July 1996; around 90% of this was devolved with the condition that at least 30% should be spent on Productive sectors, not more than 30% should be invested on Infrastructure and at least 10% should be earmarked for Development programmes for Women;
- Launching of the People's plan Campaign in August 1996 with multi-pronged socio-political mobilization and sensitization of people with effective participation of organizations like Kerala Sasthra Sahitya Parishad (KSSP); this was being associated with institution-building at different tiers and levels;
- Restructuring of the Kerala Panchayat Raj Act and the Kerala Municipality Act in 1999, based on the recommendations of the Sen Committee on Decentralization of Powers; and
- Submission of First and Second State Finance Commission Reports in February 1996 and January 2001 respectively, reviewed the financial position of Local Self Governments and gave recommendations.

Institutional Mechanism

Decentralized planning in the State operated mainly through the following institutions and instruments:

Gram Sabha (GS): People's participation in decentralization was sought to be ensured mainly through meetings of the Gram Panchayat (GP) ward level Gram Sabha, chaired by the ward member. Ten per cent of the voters of the ward constitute the quorum; The officials of GP and implementing departments are required to attend the GS meetings. The Block level Gram Sabha consisting of GP Presidents and Block Samiti members and the District level Gram Sabha consisting of GP presidents, Block Panchayat (BP) Presidents and District Panchayat (DP) members were meant to vertically integrate plans.

Neighbourhood Groups (NHGs): Envisaged as a sub-system of GS, an NHG (Ayalkoottam) would be formed as an association of 20-25 women members to identify women from among themselves to form Self Help Groups (SHGs) for carrying out the Women Component Plan (WCP).

Resource Persons: About 600 Key Resource Persons (KRPs) at the State level, about 10000 district Resource persons (DRPs) at the district level and about one lakh Local Resource Persons (LRPs) at the GP level were recruited both

from the Government and outside, representing various disciplines. Resource Persons were to take lead in training programmes and to spearhead the Plan campaign. Kerala Institute of Local Administration (KILA) coordinates the training activities of Local governments.

Development Seminar (DS): Based on GS recommendations, a one day DS would be held every year at the PRI level to which experts, elected members, representatives nominated by the GSs, to discuss the draft annual plan document of the PRIs, suggest the broad priorities of development projects and select members of Task Forces (Working Groups).

Task Force: Presently known as 'Working Groups' (at GP, BP and DP levels) were to translate the demands and recommendations of GSs and DSs into viable, technically acceptable projects. For each local body, there were about 8-12 Task Forces/working groups dealing with different sectors. Each WG would be headed by an elected Member and convened by specified government official.

Committee System: All GPs, BPs and ZPs would have Standing Committees (SCs); each assigned with certain subjects. The SCs were to be coordinated with a Steering Committee consisting of the President, Vice President of the Panchayat and the chairpersons of the SCs. Panchayats were free to constitute sub-committees to assist the aforesaid committees. There was also provision for Joint Committees between neighbouring Local Governments.

Expert Committees (ECs): There would be ECs (evolved from Voluntary Technical Corps) at block and district levels drawing expertise from and outside the Government. ECs would have a three-fold role; providing technical advice to PRIs, technically vetting projects of PRIs and giving technical sanction for works, wherever required.

District Planning Committee (DPC): All PRI plans in the district would be submitted to DPC, which would give formal approval to them. Neither DPC nor ECs would have the power to alter the priorities fixed by PRIs, but could only ensure that the Guidelines were followed.

State Level Coordinators: At the apex level, the State Planning Board (SPB), co-ordinates with the Department of Local Self Government and takes the lead in decentralized planning at different tiers by issuing Guidelines and observing compliance and progress. There was a State Level Expert Committee too, to vet the District Panchayat plans.

State Election Commission: Apart from the conduct of Local body elections, the State Election Commission has been empowered to delimit the wards of PRIs for elections and to disqualify the defectors.

State Finance Commissions: The 1st SFC was constituted in 1994 and the 2nd in 1999. The 1st State Finance Commission (SFC) submitted its report in February 1996. However, the formula used for inter-se distribution of plan fund was not the one given by the SFC, but was evolved by the Working Group of State Planning Board in 1997.

Ombudsman: Ombudsman is a high-powered institution consisting of judicial dignitaries formed to check malfeasance in local governments in the discharge of developmental functions.

Lessons Learnt from the Decentralized Planning:

General:

- 1) Accounting and data retrievability at the PRI level are very weak. To rectify this, a) LSGI accounts must be integrated with general plan accounts in their format, content and timeliness and b) maintenance and flow of information (forward & backward) including reporting of financial and physical progress needs to be computerized forthwith.
- 2) Ensuring involvement of higher level local academia in database building (with surveys), planning and training of planners by linking their curriculum to reports on decentralization experience of their villages would provide an essential supplement to existing capacity for decentralized planning.

On Plan Formulation and Integration:

- 1) The piecemeal approach to productive sector planning must give way to plans and projects fully integrated to a well-defined watershed based development strategy. The primary condition for this would be that GPs are capacitated with data-based, scientific inputs for planning giving the quantitative dimensions of;
 - a) Watersheds within the boundaries of the GP;
 - b) Sectoral problems with their quantitative dimensions (for example, cost of cultivation of specific crops and their profitability, making clear required intervention and support therein); and
 - c) Sectoral potentials and their prioritization, all integrated into watershed based development strategy and District Plan.
- 2) Under watershed-based planning, Grama Panchayat can be the unit of planning; but often, a group of GPs or Block Panchayat as a whole must be seen as an integral whole. Hence, joint projects of different GPs must be attempted in productive sector. BPs must integrate plans at their level by bringing in harmony between GP level priorities with appropriate collective projects.
- 3) Graduation of priorities and plans between tiers would require constant vertical communication of planning processes (through officials, academia and other willing collaborators) from GP to district level. Non-official expertise, essential for local planning, must be encouraged with reasonable sitting fees and adequate, non-partisan recognition. Continuity of experience and expertise further requires that official expertise, fine-tuned to local developmental problems, is not disturbed with frequent transfers.
- 4) Fieldwork reveals that watershed based planning has many limitations in coastal and urban areas. Hence, a different, well-defined strategy may be chalked out for such areas. Weightage given to fishermen in the formula for allocation of grants-in-aids may be re-examined considering their poor socio-economic position.
- 5) District Plan is the appropriate point for integration of lower level plans. An integrated district plan requires the following;
 - a) Constitutionally, there is hardly any scope for specific expertise in DPC as only one member is nominated by Government as expert and more than 4/5th of its members are elected LSG members. Hence, sectorally distinguished, professional, official and non-official, support mechanisms for DPC should be developed and empowered, with duties

of district heads of departments clearly specified therein. They should analyze GP-wise problems and potentials, especially in the productive sector.

- b) Approval of District Plan should precede projectization at lower levels and be discussed threadbare and ratified at a forum represented by all LSGs in the district.
 - c) District Plan must contain; a) GP-wise data on problems and potentials integrated to watershed based strategy, b) action plan for addressing each prioritized problem and potential and c) unambiguously defined roles of each tier in each action plan.
 - d) Plans of LSGs may be sectorally examined and those inconsistent with strategies agreed under District Plan should be revised before approval.
 - e) Time schedule for approving the plan of various tiers for achieving integration (providing sufficient time for each tier) should be clearly specified and strictly enforced. Decentralized plan cycle needs to be advanced (like in case of annual budgeting) so that plan formulation is complete by the beginning of every financial year and one full year is ensured for plan implementation and follow up.
- 6) Effective merger of DRDA with District Panchayat is a pre-condition for integration of developmental efforts under CSS, SSS and PRI schemes. Like-wise, at the block level, the dichotomy between the functioning of Block Development Officer and that of Block Panchayat Secretary must be removed; his designation should only be 'Secretary to Block Panchayat' and his developmental functions should flow necessarily from this capacity.
- 7) Any effective integration of plans calls for drastic and systematic functional re-allocation between different tiers. One guiding principle should be that the projects meant for individual beneficiaries must be taken up only at GP level (among the rural PRIs). The scheme guidelines- both central and State- that preclude this need to be got amended. Collective projects on water management, drinking water, etc, must be in tune with the watershed based development strategy and be conceived/discussed thoroughly at the Block level.
- 8) Strategies must be urgently devised and implemented to reverse the declining share of productive sector plan expenditure shown in the Study.

On Plan Implementation:

- 1) One primary requirement for operationalizing an effective productive sector plan is to distinguish between the procedures for selection of beneficiaries for welfare schemes and productive sector schemes. Peasants, Animal Husbandry farmers, etc should be broadly defined for this purpose. Secondly, the tendency towards equal division of beneficiaries across GP wards must be arrested forthwith.
- 2) Concentration of flow of funds to LSGs (channelized through higher tiers) by the fag end of the financial year and not allowing enough time to spend those funds have together resulted in cumulative delays and manipulative accounting to show expenditure. To remedy this, funds may be directly transferred to the accounts of the concerned LSGs once their plan is approved.

- 3) The administrative control of local officials should be fully vested with the LSGs, which must have an integrated staff set-up not divided by artificial departmental barriers (Ref: Sen Committee). This would require the following:
 - a) Transferring salaries and other administrative responsibilities related to deployed departmental officials to local bodies at appropriate LSG levels.
 - b) Technical officials be relieved from administrative responsibilities and thereby freed fully for technical work and to provide scientific inputs required for local body level planning.
 - c) A specialized administrative/engineering cadre may be created for LSGs that can effectively handle hierarchies among different sets of officials.
- 4) The study found that need-driven creation of assets and stakeholder participation are prerequisites to ensuring maintenance and utilization of assets. Creation of every collective asset should ensure that the project report itself contains a beneficiary-supported and commonly agreed mechanism for the maintenance of assets and an adequate financial provision for the same.

On Gram Sabha Participation:

- 1) Decentralized planning will become effective only if it regains its mass movement character. Considering the size of GP wards in Kerala, sub-systems of Grama Sabhas of some form (like Neighbourhood Groups) consistent with watershed based development strategy must be developed and sustained.
- 2) In addition, channelizing beneficiary selection fully through Grama Sabhas or their sub-systems, and pre-empting alternative, stand-alone, channels for this would boost GS participation. This would not only help the growth of GSs but would prevent development of client-patron relationships also.
- 3) Efforts should also be made to improve the participation of educated youth (who felt that only politicians have a role in GSs) in the GSs.
- 4) The problems of information failure (aired mostly by scheduled tribes and fishermen) and clash of work timings with GS meetings (scheduled castes) must be urgently corrected. Grama Sabha meetings should be conducted on common work holidays in the village.
- 5) Micro-watershed strategy, wherever appropriate, may be employed as tool to change the growing perception that the richer section does not have anything to gain from GS attendance, by assigning appropriate roles for each.

Source: Planning Commission, "Evaluation of Decentralized Planning in Kerala", http://planningcommission.nic.in/reports/peoreport/peoevalu/peo_kerla.pdf

Note: i) Use this space given below to answer the question.
 ii) Compare your answer with the one given at the end of this Unit.

1) Explain the term State Planning Committee.

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2) What are the provisions given in the 74th Constitutional Amendment?

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11.7 SUMMING UP

In this Unit we have discussed the role and functions of the Planning Commission, National Development Council, State Planning Boards and decentralized planning agencies. Also, we have described the overall planning support systems in India and how they work. In the following Unit we will try to understand how the planning institutions review, analyze and evaluate the planning process in India.

The internal structure of the Planning Commission includes programme advisors, general secretariat and technical divisions (general divisions and subject divisions). A Division is assigned to social development and women's programmes among the subject divisions. The Planning Commission has emerged as a powerful and directive authority whereby its recommendations have been considered by both the Union and States.

The National Development Council is working as a bridge between the Union Government and Planning Commission on the one hand and State Governments on the other. The Council provides a forum in which Union Ministers and Chief Ministers of States discuss the plans at important stages in their formulation. Besides it has also served as a forum for centre-state deliberations.

In a federal set-up, close coordination between the central and state governments in the sphere of development policy and administration is essential for rapid socioeconomic development. While the centre has the Planning Commission, the states have Planning Boards.

Decentralization through district planning enables better informed decision making, giving people a voice in decision making regarding their own welfare. It enables better integration among programmes, develops local resources and improves productivity.

11.8 GLOSSARY

Annual Plans	:	Five Year Plans, however carefully prepared and however firmly based, can be affected by unexpected events and by changes in the
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politico-economic situation. While a Five Year Plan continues to form the main base, a more elaborate plan for each year (Annual Plan) is also prepared. The main purpose of Annual Plan is to maintain the development effort during the year along the lines indicated in the Five Year Plan.

- Perspective Planning** : It is a long term overall planning taking into view all aspects of the economy and the inter-sectoral relationships.
- Staff Agency** : The Staff agency is commonly supposed merely to advise and serve and not exercise authority and control over the power to command.
- Administrative Reforms Commission (ARC)** : The Administrative Reforms Commission or ARC is the committee appointed by the Government of India for giving recommendations for reviewing the public administration system of India. The first ARC was established on 5th January 1966 and the Second Administrative Reforms Commission (ARC) was constituted on 31.08.2005.
- Plan Financing** : Resources for the Plans are assessed separately for the public and private sector plans based on the estimates of savings and consumption in the economy. While only a broad estimate of investment is attempted for the private sector, a detailed exercise is undertaken for estimating resources for the public sector plan. The latter is done in terms of (a) internal resources and (b) external resources. The internal resources pertain to (1) budgetary surpluses on current account, (2) surpluses of public enterprises, (3) market borrowings, (4) additional resource mobilization (ARM) and (5) deficit financing. For States' Plans, estimates are made of the states' own resources and capital plan assistance.

11.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress Exercise 1

1) The following are the major functions of the Planning Commission:

- Assessing and Augmenting Resources;
- Plan Formulation;
- Defining Implementation Stages;
- Determining Execution Machinery;
- Indicating Requisites of Plan Execution;

Gender-sensitive Planning

- Appraisal – The important function of the Planning Commission is to appraise from time to time the progress achieved in the execution of each stage of the Plan and recommend adjustment of policies and measures that such appraisal may show to be necessary; and
 - Advice – The Planning Commission makes appropriate recommendations for a more effective and efficient formulation, execution and evaluation of socio-economic plans. When the Central and State governments make any specific reference to the Commission, the latter may render suitable advice, too.
- 2) The Programme Evaluation Organization is an attached body of the Planning Commission, established in October, 1952, as an independent organization, under the general guidance and direction of the Planning Commission with the specific task of evaluating the community development programmes and other Intensive Area Development Schemes. The basic objective of PEO is “to improve development planning and implementation through evaluation results which would be nothing but the manifestation of the grassroots reality about public interventions in helping the intended beneficiaries of development schemes and programmes”. It provides time-to-time feedback on the implementation of various development programmes.

Check Your Progress Exercise 2

- 1) The National Development Council is working as a bridge between the Union Government and the Planning Commission, on the one hand and State Governments on the other. V.T. Krishnamachari observed that the National Development Council provides a forum in which the Union Ministers and Chief Ministers of States discuss the plans at important stages in their formulation. Besides it has also served as a forum for Centre-State deliberations on matters of national importance and also as a device for sharing responsibility between them in the federal political systems. It is also described as a ‘Super Cabinet’ due to its wide and powerful composition. But its recommendations are only advisory not binding. So its role is criticized as providing a ‘Rubber Stamp’ to the policy decisions already taken by the Union Government.
- 2) Population, Micro Level Planning, Austerity, Medical Education and Literacy.

Check Your Progress Exercise 3

- 1) In a federal set-up, close coordination between the Central and the State governments in the sphere of development policy and administration is essential for balanced and rapid socio-economic development. In India, the subject of ‘planning’ is mentioned in the Concurrent list of the Indian Constitution and, therefore, the responsibility for undertaking planned development through systematic formulation, implementation and evaluation of plans is a responsibility of both the Centre and the states. Now the Centre has the Planning Commission and the State has Planning Boards. Normally the State Planning Board is politically headed by the Chief Minister or a Senior Cabinet Minister. Likewise, the Chief Secretary is an administrative head in the Board. The State Planning Board maintains a connection with the Planning Commission as well as the various Ministries and Departments of the State Government for the preparation of the development plans for the whole state.
- 2) The following are the ARC recommendations.
- To make an assessment of the State resources and formulate plans for the most effective and balanced utilization of these resources;
 - To determine plan priorities of the State within the framework of the priorities of the National Plan;

- To assist the district authorities in formulating their development plans within the spheres in which such planning is considered to be useful and feasible and to coordinate these plans with the state plans;
- To identify factors which tend to retard the economic and social development of the state and determine the set of conditions for successful implementation of the plan; and
- To review the progress of implementation of the plan programmes and recommend such adjustments in policies and measures as the review may indicate.

Check Your Progress Exercise 4

- 1) 5 years
- 2) The following are the provisions mentioned in the 74th constitutional amendment act.
 - It has envisaged the DPC to be representative of the structure of the district population.
 - It has specified the broad objectives of the District Planning Committee and yet has permitted State and District level flexibility in the definition of their functions.
 - It has allowed freedom to the States to prescribe the manner of the election of the Chairperson of the DPC.
 - It has provided for a consultative process in the drafting of the district plans and schemes.
 - It has prescribed for integration between the district and the state plans.

11.10 REFERENCES

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11.11 QUESTIONS FOR REFLECTION AND PRACTICE

- 1) Critically discuss planning at state level.
- 2) Examine the roles, responsibilities, structures and functions of the Planning Commission.