UTTAR PRADESH

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

for Strengthening Panchayati Raj Institutions in Uttar Pradesh

Ministry of Panchayati Raj
Government of India
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ABOUT THE REPORT

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

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

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

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

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MESSAGE

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

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

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

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

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

(Ashok K. Angurana)

Active Gram Sabha: For Empowered People and Accountable Panchayats

Manoj Kumar, I.A.S.
Principal Secretary

MESSAGE

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

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

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

(Manoj Kumar)
Principal Secretary
Panchayati Raj Department
Government of Uttar Pradesh

MESSAGE

The challenges faced by the institutions that are mandated to develop capacities of elected representatives in the Panchayati Raj system are well known. Not only does the system have to respond to the herculean task of training millions of elected representatives every five years, they have to be sensitive to the different competencies that they have.
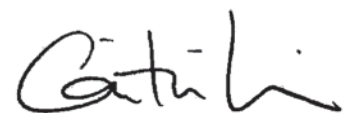
This calls for having a capacity development strategy for the state as a whole that is based on a capacity assessment taking into account institutional strengths and challenges of all the stakeholders in the state. While trainings needs assessments are ingrained in the training systems, a holistic capacity development strategy based on an in-depth capacity assessment is required to be in place.

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

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

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

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

Caitlin Wiesen
Country Director
UNDP India

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ACRONYMS

ADO	Assistant Development Officer
ADPRO	Assistant District Panchayati Raj Officer
AMA	Apar Mukhya Adhikari
ANM	Auxiliary Nurse Midwife
ASHA	Accredited Social Health Activist
ATI	Administrative Institute of Training
AWW	Anganwadi Workers
BDO	Block Development Officer
BRC	Block Resource Centre
BRGF	Backward Regions Grant Fund
CA	Capacity Assessment
CB&T	Capacity Building and Training
CBOs	Community Based Organizations
CD	Capacity Development
CDLG	Capacity Development for Local Governance
CDS	Capacity Development Strategy
CHC	Community Health Centre
CSOs	Civil Society Organizations
CSS	Centrally Sponsored Schemes
DC	Development Communication
DDO	District Development Officer
DIET	District Institute of Education and Training
DIRD	District Institute of Rural Development
DPC	District Planning Committees
DPMU	District Project Management Unit
DPRO	District Panchayati Raj Officer
DRDA	District Rural Development Agency
DTO	District Training Officer
ERs	Elected Representatives
ETCs	Extension Training Centres
EWRs	Elected Women Representatives
GDP	Gross Domestic Product
GO	Government Organizations
GoI	Government of India

GP	Gram Panchayat
GSDP	Gross State Domestic Product
HR	Human Resources
IAS	Indian Administrative Services
IAY	Indira Awas Yojana
ICDS	Integrated Child Development Scheme
ICT	Information and Communication Technology
IEC	Information Education Communication
IGNOU	Indira Gandhi National Open University
IMR	Infant Mortality Rate
IT	Information Technology
KABP	Knowledge, Attitude, Belief, Practices
KP	Kshetra Panchayat
KSA	Knowledge Skill Attitude
LEB	Life Expectancy at Birth
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MDM	Mid Day Meals
MEALS	Monitoring Evaluation and Learning Systems
MGNREGS	Mahatma Gandhi National Rural Employment Guarantee Scheme
MIS	Management Information System
MLA	Member of Legislative Assembly
MMR	Maternal Mortality Rate
MoPR	Ministry of Panchayati Raj
MoRD	Ministry of Rural Development
MP	Madhya Pradesh
NCBF	National Capacity Building Framework
NFHS	National Family Health Survey
NGOs	Non-Government Organizations
NIC	National Informatics Centre
NIRD	National Institute of Rural Development
NRHM	National Rural Health Mission
OBC	Other Backward Classes
pa	per annum
pm	per month
PD	Project Director
PEOs	Panchayat Executive Officers
PHC	Primary Health Centre
PMU	Project Management Unit

POS	Package of Services
PPP	Public Private Partnership
PR	Panchayati Raj
PRD	Panchayati Raj Department
PRIs	Panchayati Raj Institutions
PRIT	Panchayati Raj Institute of Training
RCH	Reproductive and Child Health
RDD	Rural Development Department
RGSY	Rashtriya Gram Swaraj Yojana
RIRD	Regional Institute of Rural Development
RP	Resource Persons
RTI	Right to Information
SATCOM	Satellite Communication
SCs	Standing Committees
SCs	Scheduled Castes
SFC	State Finance Commission
SGSY	Swarnajayanti Gram Swarozgaar Yojana
SHGs	Self-Help Groups
SIET	State Institute of Education and Training
SIFSPA	State Innovations in Family Planning Service Provider Agencies
SIRD	State Institute of Rural Development
SIT	Satellite Interactive Terminals
SPA	Service Provider Agencies
SSA	Sarva Shiksha Abhiyan
ST	Scheduled Tribes
TFC	Thirteenth Finance Commission
TNA	Training Needs Assessment
ToT	Training of Trainers
TSC	Total Sanitation Campaign
UNDP	United Nations Development Programme
UP	Uttar Pradesh
UPAAM	Uttar Pradesh Academy of Administration and Management
UPSACS	Uttar Pradesh State AIDS Control Society
VEC	Village Education Committees
VHSC	Village Health and Sanitation Committees
VV	Village Volunteer
ZP	Zilla Panchayat

GLOSSARY

Adhyaksh—The elected leader of the Zilla Panchayat

Apar Mukhya Adhikari—Secretary of the Zilla Panchayat

Gram Sabha—A body consisting of persons registered in the electoral rolls relating to a revenue village comprised within a Gram Panchayat area

Gram Panchayat Adhikari—The Panchayat secretary at the Gram Panchayat level

Gram Panchayat—Constitutes a village or group of contiguous villages whose population is at least 1,000

Pradhan—The elected leader (Chairperson) of the Gram Panchayat

Kshetra Panchayat—The elected representative body at every block

Pramukh—The elected leader (Chairperson) of the Kshetra Panchayat

Zilla Panchayat—The people's elected representative body at the district level

ACKNOWLEDGEMENTS

Disclaimer

This report on the capacity assessment and capacity development strategy for PRI-CB&T Uttar Pradesh is based on the findings of the study team from the field study, information provided to the study team during the study, and a review of the documents and data as listed in the Report. This Report provides specific suggestions including cost estimates. However, these need to be modified as per the state's requirements by the Panchayati Raj Department, Government of Uttar Pradesh.

This document is meant for the use of the Ministry of Panchayati Raj, Government of India and the Panchayati Raj Department, Government of Uttar Pradesh and cannot be used by anybody else without their prior approval.

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EXECUTIVE SUMMARY

The Study

A study on capacity assessment and capacity development strategy (CA-CDS) for Panchayati Raj Institutions (PRIs) was carried out for the state Panchayati Raj Department (PRD), Uttar Pradesh (UP) and the Ministry of Panchayati Raj (MoPR), Government of India (GoI). The study is part of the Capacity Development for Local Governance (CDLG) Project implemented by MoPR in seven focus states with support from UNDP. A five-member team carried out the exercise during December 2010 to April 2011 under a contract with MoPR-GoI.

The focus of the study is the capacity of the state to deliver capacities to elected representatives (ERs) and support functionaries in the context of the National Capacity Building Framework (NCBF). Although this Report has been developed keeping the National Capacity Building Framework (NCBF) in focus, the package of strategies developed herewith are relevant directly to the issues of CB&T for PRIs regardless of NCBF. The only aspects that would require modifications within this Report upon changes in NCBF are training load, training plan, and training costs.

The Report

This final Report presents the conclusions and recommendations of the study.

Enormous Task of PRI-CB&T

The task of building capacities of 7.71 lakh ERs and about 3.82 lakh support functionaries,which is of high quality and in a timely manner is a Herculean task. Many challenges need to be overcome, some within the state PRD's domain and some outside. These include:

- **Within the state PRD**—Developing a clear vision for PRIs, developing a strong supply chain to deliver PRI-CB&T, moving from output oriented training to holistic capacity building, and ensuring planned spend rates for PRI-CB&T.

- **Outside the state PRD but within the state government**—Developing and implementing convergent training efforts in the state.

- **Within society**—Lack of access to information/knowledge and power poverty due to gender/caste/class differentials.

- **Within ERs**—Large numbers, opportunity costs of training especially for daily wage earning ERs, low functional literacy of significant ERs especially women ERs, weak absorbing capacities, and turnover rates due to rotating reservations.

- **At the policy level**—Ensuring adequate funding to cover 100 per cent ERs and support functionaries, advocating non-lapsable, pooled funding for CB&T.

Conceptual Framework for Capacity Assessment

A conceptual framework has guided the capacity assessment (CA) exercise. The framework postulates that the overall capacity of the state to deliver PRI-CB&T comprises of seven capacities. When all the capacities are at the same level then throughput (results) occurs. Piecemeal improvements in any or some of the capacities may not yield throughput, as lacunae in the other capacities will become bottlenecks.

The capacities comprise of:

- **Legal Capacity**—Legal capacity is defined as the capacity of PRIs due to laws and statutes.

- **Policy Capacity**—Policy capacity is defined as a directing force of an institution/sector and specifies broad intentions/objectives/purposes usually formalized/written, which should be achieved through proposed and ongoing programmes/interventions.

- **Strategic Capacity**—Strategies are ways/guidelines for converting inputs to outputs/outcomes. While policy is a normative guideline, strategies evolve from interactions of sectors/institutions with their environment. Strategic capacity is the capacity of the PRI-CB&T delivery due to strategies.

- **Institutional Structure Capacity**—Institutional structure is work relationships and interlinks of various institutions/designation holders among each other through defined parameters of authorities, responsibilities, and reporting. The capacity of the institutional structure is defined as the capacity of institutional structures to deliver PRI-CB&T.

- **Systems Capacity**—Systems are standardized ways/methods/procedures/protocols/guidelines of doing repetitive tasks. Systems capacity is the capacity of delivering PRI-CB&T due to systems.

- **Infrastructure Capacity**—Infrastructure capacity is the capacity of the PRI-CB&T delivery due to infrastructure. Infrastructure here comprises of all types of infrastructure relevant for the delivery of PRI-CB&T including physical, numbers, and geographical spread of extension training centres (ETCs), information communication technology (ICT), human resources (HR), etc.

- **Funds Capacity**—Is the capacity to delivery PRI-CB&T due to availability of funds and their norms.

Capacity Assessment Findings and Recommendations

The Report takes cognizance of the initiatives taken by the state PRD in recent times. These include the proposed Panchayati Raj Institute of Training (PRIT), more involvement of the State Institute of Rural Development (SIRD) in PRI-CB&T, engaging with civil society (service providers for training delivery), preparing micro-plans for training, completing one round of training covering more than 2 lakh ERs, initiating the process of engaging more service provider agencies (SPAs) for the next round of training, developing basic modules and outsourcing of state-wide training needs assessment (TNA), and developing core curricula through support from the Capacity Development for Local Governance (CDLG) Project. However, significant issues and challenges remain:

Legal Capacity

Key Issues

- Non-clarity of roles, responsibilities, and powers of Standing Committees (SCs) and chairpersons of SCs vis-a-vis body incorporates and presidents of body incorporates.

- Non-recognition of training as part of ERs' duties.

Recommendations

- The state should include training as a part of the duties of ERs.

- The state should frame appropriate rules and regulations to clarify delegation of powers and duties between body incorporates and their members and constituents/SCs and specific role holders.

Policy Capacity

Key Issues

Six key bottlenecks here are:

- Non-convergent design of centrally sponsored schemes (CSS)/GoI schemes.

- Lapsable non-pooled funding for PRI-CB&T.

- Entitlement of PRI-CB&T on non-relevant criteria for CB&T for the state and resource scarcity for PRI-CB&T. Funds required for five years for 100 per cent coverage for PRI-CB&T in the state are Rs 908 crore. More than 50 per cent of these funds are required for coverage in the first year. Entitlements of the state under various schemes for PRI-CB&T remain the same every year. Hence, there is a huge gap between the funds required for the first year and the actual entitlement of the state.

- Non-convergent implementation of PRI-CB&T at the state level.

- Non-optimal planning of PRI-CB&T by the state PRD/SIRD.

- Non-incentivized environment for PRI-CB&T users.

Recommendations

The first three key issues identified here need to be addressed at the national level and remaining three issues at the state level.

- MoPR should advocate with concerned ministries (health, education, etc.) to modify their existing programmes and schemes to include PRIs and their structures like SCs at various levels with the space and authorities provided to them and modify proposed compositions of parallel structures for programme implementation (for example, Village Health Committees and Village Education Committees).

- MoPR should take a lead in implementing NCBF's recommendations of creating non-lapsable pooled funds from all CCA grants for PRI-CB&T in a time bound manner in consultation with all concerned ministries.

- Both the state and MoPR need to address the issue of entitlements of Uttar Pradesh (UP) for PRI-CB&T and ensure that adequate resources are available to the state for 100 per cent coverage as per NCBF.

- The current per participant costing norms for PRI-CB&T only take care of recurring costs. MoPR should modify the costing norms and should spare some proportion of the total PRI-CB&T budget for creating a reserve fund, institutional strengthening, and facility upgradation.

- The state should create a PRI-CB&T coordination committee under the aegis of Principal Secretary (PS)-Planning/Chief Secretary with PS-PRD as the Member- Secretary and membership of all PS-secretaries of concerned line departments for attaining convergence of all CB&T efforts in the state with PRI-CB&T.

- The state PRD/proposed PRIT should have a strategic/long-term planning approach to capacity building. This includes a clear role, mandates, workload sharing arrangements, and partnership agreements between the two nodal agencies of PRIT and SIRD.

- The state should pay travel costs for participants/ERs for attending training to ensure that their actual costs are met.

Strategic Capacity

Key Issues

- A weak and badly articulated training strategy.

- The current strategy's focus is limited to ERs without addressing aspects of constituency development or an enabling environment.

- Current focus more on knowledge and information sharing and less on skill development.

- Training is quantitative and target oriented with no defined outcome indicators and weak/non-existent monitoring and evaluation (M&E).

- Emphasis on the adult learning approach in training is much less than required.

- Minimal number of agencies for training delivery including SIRD, the District Project Management Unit (DPMU), and four SPAs in proportion to the huge training load in the state.

- No well-articulated capacity building strategies other than training are in place as of now.

- Weak functional literacy of a significant number of ERs.

- Disincentives for training (at times the travel costs are higher than the allowances paid).

- No follow up and consequent higher loss of new learning.

Recommendations

- Comprehensive and holistic package of strategies aimed at overall capacity building with training as a major strategy but not the only strategy. Strategic package to include strategies for capacity building and empowerment of not only individuals but also for empowering constituencies as well as creating an enabling environment as shown in Figure 1.

Figure 1: Components of the Strategic Package

The overall strategic framework suggested in this Report thus comprises of 11 strategies. Table 1 provides an overview of the strategies suggested in this Report.

Table 1: Overview of Strategies for PRI-CB&T

No.	Strategy	Target Group	Components	Implementing Agency
1	Modified Training	• ERs of all three tiers • Panchayat support functionaries of all three tiers • Trainers • Master trainers • Implementing teams for different strategies • Team of key institutions like PRD, DPMUs, PRIT, SIRD, RIRD, DIRD	• Total of 88,246 batches of 20 people each—ERs, PSFs and resource persons • 14-day training for all elected leaders and chairpersons of PRI-SCs as per NCBF in the first year • 10-day training for all PRI elected members as per NCBF in the first year • 25 sessions of the computer literacy programme at the village level for ERs • Refresher training for all ERs for the remaining four year term • Training of 5,747 block resource persons by identified master trainers • Training of master trainers	PRIT/CB&T-PMU, SIRD, RIRD, DIRD, SPAs.

No.	Strategy	Target Group	Components	Implementing Agency
2	Development Communication	• ERs • Panchayat support functionaries • Community at large	• Community radio stations – possible list of programmes and their utility, revenue model to make CRS self-sustaining • Mobile vans—documentary screening, street plays, songs, distributing IEC material • Indoor outdoor media plan— posters, wall paintings, flip chart displays • Mass media plan—radio and television programmes • Public private partnership models	CSOs
3	Holistic Development of ERs	• Illiterate ERs, specifically women ERs	• 46 sessions on functional literacy for illiterate ERs • 40 separate sessions on gender sensitization for men(20) and women(20) • 10 sessions on leadership	• Through convergence with the Sakshar Bharat Mission in those districts • Village volunteers at GP level chosen from local community to conduct sessions who will be paid per session
4	On the Job training	• ERs	• 32,840 interventions by mentors across all districts, blocks, and 26 per cent of GPs • Interventions at first and second meetings of ZPs, KPs, GPs, and Gram Sabhas • Interventions at first and second meetings of SCs at district, block, and village level • Menu of learning points for all interventions provided	Delivered by mentors Managed by outsourced partners
5	Empowering Engagement Process between PEOs and ERs	• PEOs • ERs	• 15-day mentoring training for PEOs • Framework for optimal processes within Panchayats • Ethical guidelines for interventions of PEOs	Delivered through PEOs who are trained by mentors
6	Role Model Development	• PRIs • ERs • Trainers • Master trainers	• Selection of role models from ERs (20 to be identified per annum), EWRs (20 per annum), resource persons (20 per annum), Gram Panchayats (25 per annum), and mentors (20 per annum) • Award system—yearly awards system giving tangible and intangible benefits to role models • Demonstration systems— dissemination of information regarding the identified role models	PRIT

No.	Strategy	Target Group	Components	Implementing Agency
			• Make individual role models as facilitators, make model PRIs as demonstration/exposure visit sites • Criteria set for identifying role models	
7	Peer Network Development	• ERs	• State level peer network with supporting structures at the district level • Awareness about peer network and its benefits during training sessions	To be supported by PRIT
8	Contributory Partnerships	• PEOs • ERs	• Partnerships with civil society—organizations and individuals depending on need • Capacity development of partners through various short-term and medium term programmes • Contracting mechanism • Monitoring and evaluation of selected partners	To be identified by PRD and PRIT
9	Knowledge Management	• ERs • Panchayat support functionaries • Trainers • Master trainers • Teams of implementing agencies like PRIT/RIRD/DIRD/SIRD • SPAs • Other strategy implementing agencies	• Vortal/knowledge gateway with web enabled dual/multi lingual information transfer • Monitoring, evaluation and, learning system (MEALS) • Protocols for data acceptability, accessibility, compatibility, and data safety and security	PRIT
10	Research	• All PRI stakeholders	• Action research • Operational research • Formative research • In various fields—legal, psychology, social sciences, management sciences, governance—all in the context of PRI	PRIT with support from support partners (academic institutions, research institutions, outsourced partners, etc.)
11	Convergence	• Line departments	• Convergence at policy, system, project, institutional, and structural levels	PRD

- A holistic and modified training strategy with 100 per cent coverage, developing a network of a large number of SPAs, training design based on adult learning principles and participatory learning technologies, ready to use training modules, developing a large cadre of adequately trained trainers, system for continuous capacity building of trainers, a robust M&E system, etc. The training delivery structure as envisaged is given in Table 2.

Table 2: Training Delivery Structure

Delivery Level	Delivery Structure
State level	PRIT/CB&T-PMU
Elected Representatives from the district level (ZP)	PRIT/CB&T-PMU
Master Trainers and Training Resource People	PRIT/CB&T-PMU
Elected Representatives from the block level in districts with RIRD/DIRD presence Trainers	RIRD/DIRD
Elected Representatives from the block level in districts where RIRD/DIRD not present Trainers	SPA
Elected Representatives from village level (GP)	SPA

- Building partnerships for technical and implementation support for training as well as other strategies suggested in this Report.

- The state PRD should not implement strategies like role model development, peer networking, and on job training directly. Considering the ethical issues involved, the state should constitute an independent committee for monitoring the implementation of these strategies. The members of such a committee should be of high stature and integrity. Academic institutions can be selected for implementing these strategies. The peer networking strategy should be demand driven and facilitation support should be provided by an independent committee/institution.

Institutional Capacity

Key Issues

The key issue identified here are:

- Unclear vision, role of the proposed PRIT, and role divisions between PRIT and SIRD.

- Inadequate wherewithal within current structure to address the huge load of CB&T in the state.

- Weak systems of engaging civil society actors in PRI-CB&T and a weak PRI-CB&T delivery chain.

Recommendations

- The state needs a strong institutional structure with clearly defined roles and required functional autonomies for the five major functions of: (i) governance, (ii) strategic planning, (iii) technical support, (iv) operational management, and (v) delivery or implementation. This Report suggests the following structure:

  – Governance super structure—state PRD—Headed by PS-PRD and supported by a small node within the state PRD to coordinate with structures at the subsequent levels, particularly the proposed PRIT.

  – Management super structure—PRIT—Establishing a dedicated and autonomous PRIT to work as the central node for all the activities related to PRI-CB&T in the state. However, since PRIT is still being established and may take some time to become operational, a dedicated PRI-CB&T Project Management Unit (CB&T-PMU) should be established as an immediate measure.

  – Technical and other support structures—A network of external agencies and individuals to support various functions of PRIT/CB&T-PMU comprising of technical expertise and support functions.

These will be outsourced agencies/individuals engaged as long-term thematic partners or as service providers on an as and when required basis.

- Operational management structure—District and block level teams within PRD mainly looking after functions of coordination with delivery chain structures, M&E and reporting, and record keeping.

- Delivery infrastructure—The delivery chain for training as well as other capacity building strategies at the district/block/village levels comprising of various service providers like SIRD with its network of RIRDs/DIRDs, NGOs/CSOs, SPAs, DPMUs, performing troupes, and media and communication agencies. This will also include a resource pool comprising of master trainers, training resource people, mentors, village level volunteers, etc.

• The state PRD needs to develop a clear vision and road map for PRIT. PRIT needs to play the role of knowledge producer and manager of CB&T. PRIT will work through network structures of external resources, with adequate functional autonomy, and will be a system driven organization with five clear responsibility areas of training design and development; other strategy development; training coordination and M&E; procurement and contract management; and accounts and audits.

• The state needs to establish a CB&T-PMU dedicated to CB&T planning, management, and implementation. CB&T-PMU will be the nodal CB&T body in the state and will be merged with PRIT once it becomes functional.

• The state PRD needs to chalk out clear roles and work divisions among different structures like PRD, PRIT, and SIRD. SIRD with its reach and infrastructure can be a strong nodal training implementation partner with a clear long-term partnership agreement.

Systems Capacity

Key Issues

As PRIT is yet to become functional all the systems need to be established.

Recommendations

• Since PRIT is yet to be operational all new systems will have to be installed. PRIT's system requirements are different from those of a typical government department. As technical bodies, PRIT and SIRD need significant frameworks/protocols/guides and varied databases to direct a host of PRI-CB&T efforts over time, apart from also providing administrative systems. PRIT's administration system may be corporatized to ensure meritocracy and result orientedness. Systems are of varied types and in PRI-CB&T may comprise of the following:

- Technical systems—TNA, training design and module development, on the job training, convergence, developing experiential learning tools, exposure visits, ToT system, mentor development and management system, research management system.

- Management systems—Strategic planning, operational planning, M&E, MIS, project management, quality assurance, etc.

- Procurement and contract management systems—Procurement systems, contract management/ outsourcing management systems, etc.

- Administrative systems—Concerned with day-to-day work and information/instructions/order flows.

- HR systems—Concerned with recruitment to retirement/termination cycle management of HR including recruitment and selection, postings, remuneration/fixing salaries, increments/rewards, transfers/promotions/terminations/retirement, training and capacity development, HR administration.

- Finance, accounting and auditing systems.

- Networking/interface systems—Convergence system/protocols, communication and coordination, and mainstreaming.

These systems are indicative and the state PRD can fine-tune/modify and detail out each of them.

Infrastructure Capacity

Key Issues

- Adequate infrastructure at the state level with existing SIRD and upcoming PRIT.

- District level infrastructure comprising of SIRD's network of 50 RIRDs/DIRDs. However its physical infrastructure needs renovation and addition of IT/ICT infrastructure, equipment upgrading, and soft furbishing. On the whole the infrastructure at the district as well as the block level seems adequate.

Recommendations

- SIRD needs to renovate its physical infrastructure, upgrade its equipment, and add IT/ICT infrastructure. The state should estimate the total cost for upgrading the infrastructure and equipment of SIRD, RIRDs, and DIRDs.

- PRIT should have sufficient physical infrastructure and a strong IT infrastructure.

- The delivery infrastructure in PRI-CB&T for Uttar Pradesh comprises of a large number of agencies/individuals who are direct service providing units to the large base of PRI functionaries. Currently the training delivery is ensured through SIRD, SPAs, and DPMUs. However, with the proposed package of services and strategies, multiple service providers will be required to be functional for different activities. This will include institutional resources like SPAs, CSOs, and SIRD along with RIRDs and DIRDs, other PPP partners, folk media troupes, media and communication agencies, and community radio operating agencies on the one hand and individual resources like mentors, master trainers, training resource people, and village volunteers on the other.

Funds

Key Issues

Funds are not a constraint at present. However, with the proposed strengthening and scaling up, fund requirements will be several times the current level and will become a constraint especially because of the large training requirements.

The funds required to implement only the training as per NCBF are estimated in Table 3.

Table 3: Estimates of Total Funds Required for Training

S. No.	Particulars	Total Cost (in Rs)
1	Training cost estimates for first year as per NCBF (14 days)	3,46,82,15,340
2	Total training cost for refresher training for four years	4,70,60,90,080
	Total Training Cost for 5 years	8,17,43,05,420

- In addition to this, the state will require a budget for operationalizing PRIT and implementing strategies other than training. This is estimated at another Rs 20 crore. The state should also estimate the cost for renovating and upgrading physical infrastructure at RIRDs and DIRDs.

Recommendations

- Once the state manages 100 per cent utilization of the available funds from MoPR, it should chalk out a strategy for meeting the fund requirements for PRI-CB&T jointly with MoPR.

- The state should allocate funds for upgrading infrastructure at RIRDs and DIRDs. Fund allocation can be done based on requirements.

- NCBF recommends covering three courses during the first year. Considering the training load and fund constraints, the state can plan one course every year. Thus, three courses can be covered during the initial three years while refresher training can be imparted as per NCBF during the last two years. Costs for one round of 4-day training of both ERs and Panchayat support functionaries (PSFs) come to around Rs. 1,71,78,50,040.

Major Implementation Activities and Timeframe

While a detailed implementation plan will need to be developed by the state based on all the recommendations, a broad timeline for the major activities is given here for consideration by the state. The timeline captures the essence of progress in holistic capacity development in PRI-CB&T.

It is estimated that implementation of all the recommendations may take three years. Given below is the time period for implementing the various strategic recommendations for PRI-CB&T in Uttar Pradesh.

Immediate
(0–6 months)

- Establish CB&T-PMU with a team.

- Develop a 5-year action plan based on the strategies suggested in this Report along with budgetary requirements.

- Develop an understanding with SIRD about the nature of its involvement, long-term partnership, and the support required from PRD.

- Identify more SPAs, at least one per district, and more than one for large districts.

- Depute district CB&T teams.

- Develop a database of resource people and training venues.

- Establish training repository/vortal.

- Compile data of training activities by other departments/schemes/programmes.

- Establish a CB&T convergence committee and work out a convergence plan.

- Develop a DPR for PRIT.

Short-term (6 months—1.5 years)

- Develop all training manuals.

- Develop training manuals for resource people.

- Develop a cadre of resource people and master resource people.

- Carry out a systematic TNA.

- Establish PRIT and make it functional by merging CB&T-PMU with PRIT.

- Implement mass media and mid-media campaigns.

- Identify SPAs for implementing CB strategies other than training.

- Implement the strategy for 'empowering engagement process between PEOs and ERs'.

- Implement on the job training strategy.

- Implement role model development strategy.

- Establish a Panchayat helpline.

- Develop and detail out all suggested systems.

- Exposure visits for different categories of ERs and support functionaries as well as for resource people.

Medium-term (1.5 years—3 years)

- Establish community radio stations.

- Establish mobile vans for training and communication.

- Implement the holistic development strategy for EWRs.

- Implement the peer network development strategy.

- Exposure visits for different categories of ERs and support functionaries as well as for resource people.

Research, knowledge management, and partnership processes are ongoing strategies across the timeline.

Comments of the State PRD on the Draft Report

The draft study report was examined by the state PRD and its observations communicated through a letter dated 8 February 2011. The following four major observations were made for incorporation in the final Report:

- Best practices followed by the Government of Uttar Pradesh (GoUP) departments for CB&T of officers/functionaries at the grassroots level, which can be replicated for CB&T of PRIs.

- Infrastructure that is available and can be used for CB&T of ERs and functionaries of PRIs in the state. Please also append the infrastructure gaps identified.

- Possible sources of funds other than BRGF-CB&T and RGSY, which could be converged to impart training to ERs and functionaries as per NCBF's recommendations.

- Recommendation on institutional arrangements to provide training in a time bound manner as mentioned in NCBF.

All these observations have been addressed and incorporated in the final Report. The details on best practices and infrastructure of other government departments, which can be used for PRI-CB&T, are addressed in the situation analysis chapter and in the capacity assessment of infrastructure section. We have also detailed out the strategy of holistic development of EWRs through convergence with the Sakshar Bharat Mission.

Comments of the State PRD on the Final Report

A presentation on the final Report was made to Mr. B.M Meena, PS-PRD and RD, GoUP. During the presentation, several observations were made by PS-PRD and other officers, which are summarized below. These observations have been appropriately incorporated in the final version of the CA-CDS Report:

- PS-PRD appreciated the recommendation on convergence of CB&T activities carried out by different departments and requested PRD and SIRD to work on this further. He directed SIRD to put together data on the training conducted by the institution on behalf of various departments over the last few years under various schemes/projects/programmes including budgets, spending patterns, available resources, trainers, training systems, infrastructure, and training material. This should be used for identifying common areas for CB&T and a plan for integrating them should be worked out to avoid duplication.

- Recommendation on setting up a convergence committee for PRI-CB&T under the leadership of Chief Secretary with PS-PRD as Member-Secretary and secretaries of concerned departments as members of the committee would be considered. The data put together by SIRD, along with the plan for integration and convergence, could be presented to the committee to determine further course of action. Also, PRD should try and create a pooled fund for CB&T from various agencies conducting CB&T.

- On the recommendation concerning using the Panchayat Lab methodology, which emphasizes mentoring of key position bearers, particularly focusing on GP level Panchayat secretaries, PS-PRD emphasized the need to promote open discussions/Gram Sabhas for participatory planning and governance. He also emphasized the need to ensure that every training module covers aspects on how to conduct open discussions/Gram Sabhas. This point will be suitably highlighted in the final Report. Further, PS-PRD emphasized the need for making training a pleasant learning event for participants by creating a warm and hospitable environment.

- While discussing the point concerning the role of SIRD in PRI-CB&T, PS-PRD asked the SIRD representative to play a proactive role. It was suggested that SIRD should consider setting up a PR centre with a dedicated faculty and support staff, and submit a proposal to PRD indicating its requirements for setting up such a centre so as to be able to conduct PRI-CB&T in a focused and systematic manner.

- On the recommendation of having a pool of trainers, PS-PRD appreciated the suggestion on centralizing the function of training of trainers (ToT) and developing a cadre of trainers and directed PRD to develop a database of available trainers. Considering that UP is all set to launch PRI-CB&T through select SPAs, it may be useful that while SPAs conduct training across the state, PRD identifies some of the best trainers from all the SPAs as per some predetermined criteria, and develops them further as master trainers for future engagement by providing them specialized training.

- On the suggestion on developing various databases including trainers, ERs, venues, and so on, PS-PRD emphasized this as an important aspect and directed PRD to pursue it.

- On the recommendation concerning the state PRIT, some details of which are given in the CA-CDS Report, it was decided that the ongoing proposal to develop PRIT-DPR should cover all aspects of such an institution in detail. Having taken the lead in setting up a state level institution dealing with PR issues, UP's DPR may be a useful reference for other states in the country.

Considering the PRI-CB&T challenge in the state, particularly the enormity of the task and the need to ensure delivery of systematic training on a continuous basis, the state PRD is undertaking/considering several key initiatives, such as large scale outsourcing of PRI-CB&T, focused engagement with SIRD and its associated sub-state level institutions and, in the longer run, having a well-equipped and designed PRIT. However, as an immediate measure, PRD may consider setting up a PMU exclusively for PRI-CB&T, which may be merged with PRIT in due course of time. This would help in maintaining the momentum that PRI-CB&Twill acquire in the state in the coming years.

1. Preamble

Constitutional Amendments 73 and 74 ushered in the Panchayati Raj in India. Their guiding principles include strengthening people's ownership and participation in local governance and decisions affecting their lives, following rights based approaches, and transparency in public administration. Despite attempts by stakeholders at the central and state levels to strengthen PRIs, they still have a long way to go in becoming strong, inclusive, and democratic institutions in the spirit of the Constitutional Amendments due to various systemic and social constraints.

Capacity development of ERs and support functionaries in such a scenario is perhaps the only transformational tool available to achieve the aims of the 73rd and 74th Amendments and making PRIs true pillars of democracy. This was recognized in the seventh round table conference on Training & Capacity Development (CB&T) in December 2004. Subsequently, the Ministry of Panchayati Raj (MoPR) launched a National Capacity Building Framework (NCBF) in July 2006 as a guiding document for CB&T of PRI functionaries. Towards the broader goal of capacity development, besides several other initiatives, MoPR is currently implementing the Capacity Development for Local Governance (CDLG) Project with support from UNDP in seven focus states (Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, and Uttar Pradesh). Another UNDP project, Capacity Development for District Planning (CDDP) supports the Planning Commission's mandate on improved capacities in integrated and inclusive district planning at the national, state, and district levels. Together, the two projects aim to contribute towards the larger goal of ensuring effective governance and participatory planning.

The CDLG Project is aligned with NCBF's goals and objectives, and aims to strengthen institutions and processes at various levels which bring about a behavioural change through increased motivation, joint decision-making, the provision of resources (that is, networks, resource persons/institutions, training courses/material, information, and innovative solutions and methods), and personal empowerment.

Under the CDLG Project the UNDP-RCB team undertook a mission to Chhattisgarh in August 2009 to assess the capacities of the state to implement NCBF and to undertake district planning. Experts from select national level institutions were invited to accompany the UNDP-RCB team on the mission to ensure exchange of views and techniques.

As a follow up of this, MoPR decided to assess the capacities of other focus states for implementing NCBF and for developing capabilities of PRIs towards the larger goal of promoting effective decentralized governance and participatory planning.

A 2-day preparatory workshop was organized by MoPR in Hyderabad on 13–14 May 2010 to discuss the scope of work, expected deliverables, duration of the assignment, confirmation of expert teams, and other terms of engagement. Based on the discussions during the workshop and a follow up discussion with MoPR, it was decided to assign a four member expert team to each of the states to undertake the assignment. The teams were asked to undertake the assignment as per the Terms of Reference (ToR).

This is the report of the Capacity Assessment & Capacity Development Strategy exercise carried out for the state of Uttar Pradesh as part of the above-mentioned initiatives. MoPR engaged five experts to conduct this exercise:

- Rajendra Jani

- Dr. Ketan Gandhi

- Suresh Parmar

- Amrita Varadarajan

- Ajay Kanani

This Report comprises of the following:

- Executive summary

- About the study

- Situation analysis

- Capacity assessment

- Institutional structure

- Strategic framework

- Detailed strategies for CB&T

- Systems framework

The Report is a comprehensive document,which provides details of all relevant strategies, systems, and structures with costs or cost norms as applicable.

2. Methodology, Focus, and Limitations

2.1 Methodology

MoPR provided the broad indicative guidelines for the methodology and processes to be followed. The study team later developed a full-fledged methodology based on their experience of conducting other such exercises. Overall, the methodology is based on a qualitative approach including in-depth interactions with selected key stakeholders, focused group discussions and consultations, representative site visits, and intensive document referral and secondary information.

2.1.1 CA-CDS Team Formation

A CA-CDS team comprising of five experts, Mr. Rajendra Jani, Dr. Ketan Gandhi, Mr. Suresh Parmar, Ms. Amrita Varadarajan, and Mr. Ajay Kanani was formed.

2.1.2 Work Plan

At the onset, the study team developed a tentative work plan based on their understanding about the assignment and the prevalent situation in Uttar Pradesh. This work plan was shared with both MoPR and the state PRD and was fine-tuned based on the feedback from the state CDLG team.

The study team also developed a tentative list of people to be met, consultations to be organized, visits to be scheduled, and documents to be referred to during the field study and shared these with the state PRD and the state CDLG team prior to field visits; these too were fine-tuned as per the needs.

2.1.3 Preparatory Research

The assignment started with desk research, which contributed towards developing an understanding of the status of PRIs in the country (and specifically in Uttar Pradesh), the status of CB&T initiatives in the country (and specifically in Uttar Pradesh), and good practices in PRI-CB&T. The following areas were studied by referring to different documents downloaded after a thorough web search:

- 73rd Amendment to the Constitution of India.

- Uttar Pradesh Panchayati Raj Act.

- Basic statistics concerning Panchayati Raj in Uttar Pradesh.

- State's response to PRI-CB&T.

- Profile of SIRD, RIRDs, DIRDs, UPAAM.

- Guidelines of the Rural Development Department's (RDD) schemes.

- Reports of various research/studies conducted which are related to PRIs.

An indicative list of the documents referred to during the desk research is given in Annexure 1.

2.1.4 Identifying Key Institutes and Resources in the State

Initially the following institutions and their key officials were identified for meetings, consultations, and visits as part of the fieldwork:

- Panchayati Raj Department.

- State Institute of Rural Development.

- Regional and District Institutes of Rural Development.

- Academic institutions which could be potential partners in PRI-CB&T.

- Lead NGOs/CBOs within the state.

- Panchayati Raj Institutions.

- Resource persons.

A tentative plan for conducting meetings and consultations with these institutions and stakeholders was sent to the state CDLG team which coordinated the fieldwork.

2.1.5 Field Research

The CA-CDS team carried out the fieldwork over 12 days. Table 4 gives a summary of the fieldwork:

Table 4: Summary of the Field Work

Duration of field work	9.1.2011 to 21.1.2011	1.4.2011 to 14.4.2011
Number of team members	5	2
No. of consultations	6	-
No. of meetings	72	18
No. of FGDs	4	-
Field visits	2	6
Total number of people met	175	18
Documents referred	200+	

Details of the institutions visited, and meetings and consultations held are given in Annexure 2. A total of 193 people were met and more than 200 documents were referred to.

2.1.6 Presentation of Field Research

The work in progress report was presented to Shri Alok Kumar, the then Secretary, PRD, GoUP on 21 January 2011. Other officials present during the meeting were Mr. A.C. Pandey, Project Director-BRGF, Mr. O.P. Pandey, Joint Director-SIRD, and the CDLG team.

The presentation covered the understanding that the team had got based on its consultations with various stakeholders of capacity development and training. Key factors affecting the delivery of PRI-CB&T were identified and analysed. A strategic framework was suggested to the state that will strengthen its capacities to build the capacities of PRIs across the board and enable the state to meet NCBF's objectives.

2.1.7 Report Writing

Following the first field visit, the study team worked on preparing the Report. It found gaps in information at various points,which were filled through email communication and telephonic conversations. An additional field visit to some districts in the eastern part of the state was organized in April 2011 to get a better understanding of the regional differences within the state.

The report writing exercise started with brainstorming sessions for developing an overall strategic framework for Uttar Pradesh. This was followed by detailing out of each strategy with specifications, operational details, and resource estimates.

2.2. Focus and Limitations of the Study

The focus of the CA-CDS exercise was to assess various capacities which make the overall capacity of the state to deliver PRI-CB&T in NCBF's context. No other programme's capacities were considered including programme capacities of the state PRD, programme capacities of PRIs (GPs/KPs/ZPs) including HR, infrastructure, and systems, and programme capacities of line departments to support PRIs in their programme implementation.

Although this Report has been developed keeping NCBF in mind, the strategies and recommendations provided in it are relevant to the issues of PRIs and capacity development regardless of NCBF. Aspects of the Report that would require modification upon changes in NCBF would be that of training plan, training load, and training costs.

The study also recognizes that some issues are broad based and beyond the operating boundaries of the state PRD. These include realities that exist in society in terms of gender, expected weak functional literacy of ERs, existing social structures which run parallel to PRIs within rural society, poverty, and non-convergent programme/schemes, structures parallel to PRIs and their SCs which have been created by various line departments to implement programmes/schemes (for example, Village Education Committees and Village Health and Sanitation Committees). These external realities will impact the realities and functioning of PRIs and also their process of capacity acquisition.

The study identifies such factors and recommends strategies to address them as far as is practically possible by the state PRD; when needed it also suggests collaborative partnerships with relevant line departments.

Normally strategy development reports are broad based and do not contain details of operational strategies, plans, system specifications, or resources estimates. We have stepped outside the normal scope of work and try to provide as many details as was practically possible. We trust that this will facilitate the state's decision-making process.

This is the first time that a comprehensive CA-CDS exercise has been carried out in the state. The recommendations, strategies, systems, institutional structure, and resource estimates should therefore be relooked at after three years.

3 GENERAL PROFILE: UTTAR PRADESH

Uttar Pradesh is the most populous state in India with a total population of 19,95,81,477 according to the latest Census data (2011). In 2000, a separate Himalayan state, Uttaranchal, (now named Uttarakhand), was carved out of Uttar Pradesh. Uttar Pradesh is the second largest state-economy in India,which contributed 8.17 per cent to the country's total GDP between 2004 and 2009.

3.1 Socio-Economic Profile

Table 5 highlights some of the key statistics of the state.

Table 5: Key Statistics of UP

Area	2,36,286 sq km
Population (2001 Census)	19,95,81,477
Male	10,45,96,415
Female	9,49,85,062
Decennial growth rate	25.80 per cent
Literacy rate	69.72 per cent
Female literacy	59.26 per cent
Total number of districts	72
Total number of divisions	18
Total number of blocks	821
Sex ratio	908

Uttar Pradesh has the highest SC population in the country. Some of the major areas of concern in the state are:

- High poverty levels with nearly 10 million people living below the poverty line.

- A low female literacy rate as compared to the national average and as compared to the male literacy rate.

- Sex ratio of 908, which is significantly lower than the national sex ratio of 933.

- Shortfall in HR and infrastructure in the health delivery system.

- Highest under-5 mortality rate (141), the second highest crude death rate, and the third lowest life expectancy showing serious health concerns.

- Almost all social indicators are among the lowest in UP, with only Bihar and Odisha lagging behind.

- 19.84 per cent households have electricity but there are many hours of power-cuts.

- High out-migration from eastern UP and Bundelkhand due to poverty and poor living conditions.

- Approximately 27 lakh hectares affected annually due to floods, famine, and droughts.

3.2 Regional Imbalance

A distinguishing feature of Uttar Pradesh's economy is its regional imbalances. In terms of economic indicators like agricultural productivity, infrastructural facilities, and industrial growth, Uttar Pradesh's economy can be categorized into five regions: Western, Eastern, Central, Bundelkhand, and Hill.

Western Uttar Pradesh is agriculturally prosperous. It is relatively industrialized and has seen a greater degree of urbanization due to its proximity to Delhi and other industrialized/developed areas. Western UP also has Khap Panchayats.

At the other end is Bundelkhand. Low agricultural growth, lesser number of industrial units, and lesser gross value of industrial products marks this region as the least developed in the state. Bundelkhand carries some influences of its neighbouring state Madhya Pradesh. Eastern UP is characterized by high poverty, higher migration rates, lower industrialization, and a weak law and order situation. However, Eastern UP has higher natural resources as compared to Bundelkhand.

3.3 Civil Society Organizations

UP's civil society sector, as seen from statistical data, is huge and the largest in the country. According to the Registrar of Firms, Societies and Chits, Uttar Pradesh, 4.21 lakh CSOs were registered in the state up to March 2005 for the promotion of social changes and economic development.

Experiences of the government and the NGOs working together have been mixed and mainly negative from both the sides. While there are many dedicated NGOs, there is also the opinion that there are many fly by night operators in the sector. Careful selection of NGOs seems to be crucial for engaging civil society in PRI-CB&T. While there are many CBOs/self-help groups no data exists on how many of them are active.

3.4 Media and Communication

There are more than 70 big cities in UP and every city has local daily, fortnightly, or monthly publications. All these have a wide public reach. The leading newspapers include Dainik Bhaskar, Dainik Jagran, Amar Ujala, and Hindustan. Uttar Pradesh has more than 40 radio stations including AIR, FM channels, and four community radio stations.

Different media and communication channels including mobiles, Internet, rural magazines and newspapers like Khabar Lahariya reach out to rural masses; these can be identified and used for PRI-CB&T.

The state PRD had prepared a plan for providing computers with Internet connectivity to Gram Panchayats,which had more than 10,000 population. All remaining GPs will also be covered in a phased manner.

4. STATUS OF PANCHAYATI RAJ IN THE STATE

4.1 State Legislation

UP consists of 72 districts, 821 blocks, and 51,914 villages. Table 6 gives the number of ERs at each level.

Table 6: Basic PRI Statistics

S. No.	Particulars	Gram Panchayat	Kshetra Panchayat	Zilla Panchayat
1	Number of Panchayats	51,914	821	72
2	Number of ERs	7,03,097	65,701	2,696

UP was one of the first states to recognize PRIs as key institutions and passed relevant acts prior to the 73rd Amendment as early as 1947 with the United Provinces Panchayat Raj Act, 1947 which vided the setting up of Gaon Sabhas and Gaon Panchayats in each village. This was amended in 1980 to include provision of 30 per cent reservation for women and that at least one woman member in the Panchayat be a scheduled caste (SC).

In 1961, the Uttar Pradesh Kshetra Samiti and Zilla Parishad Adhiniyam was enacted which was amended in 1994, along with the UP Panchayat Raj Act, 1947 in tandem with the 73rd Constitutional Amendment Act.

4.2 Status of Devolution

On the whole devolution in UP has been slow. The first concrete attempt was made in 1999 wherein about 16 departments issued the GO functions that had to be devolved. Later some of these GOs were taken back. The on ground situation and what exists on paper are at variance when it comes to devolution of powers.

Devolution of Functions

Section 15 of the UP Panchayat Raj Act, 1947 and sections 32 and 33 of the UP Kshetra Panchayats and Zilla Panchayats Act, 1961 respectively provide for the devolution of functions, in conformity with Article 243-G.

The Administrative Reforms and Decentralization Commission (Bajaj Ayog) which was appointed by the UP government in 1994 made several recommendations regarding devolution of functions to Panchayats. The report of the Bajaj Ayog was considered by a high powered committee (HPC), the Bholanath Tiwari Committee, which recommended devolution of 32 subjects to Panchayats.

So far functions related to 12 departments have been transferred to Panchayats. These include the departments of basic education, minor irrigation, drinking water, youth welfare, food & civil supply, rural development, Panchayati Raj, animal husbandry, social welfare, health, and agriculture.

Devolution of Functionaries

Gram Panchayats have the power to verify the attendance of all village level workers. However, the appointments and transfers of all village level workers continue to be under the control of their parent departments.

Vide government order dated March 2006, chairpersons of Kshetra Panchayats and Pradhans of Gram Panchayats have been empowered to verify the attendance of doctors and paramedical staff working in their areas and verifying the inspection notes of Chief Medical Officers and Deputy Chief Medical Officers respectively.

While DRDAs have been put under the chairpersonship of Adhyaksh ZP, they continue to be separate entities, which have not been merged with ZPs as yet.

Devolution of Finances

There is no separate Panchayat window within the budget to which allocation with respect to the three levels of Panchayats can be slotted. Administrative costs of Panchayat staff members are met from regular departmental budgets. Funds may be released to Panchayats by individual line departments based on the schemes entrusted to them.

Funds to run poverty alleviation programmes of the Rural Development Department (RDD), scholarships of the Social Welfare Department, and construction of pavements and drainage, rural markets and Panchayat bhawans are being released to the accounts of Gram Panchayats. Funds under the centrally sponsored schemes (CSS) TSC, MGNREGA, SGRY, and MDM are also being transferred to Panchayats.

Till 1995–96, a major source of finances for PRIs was through CSS and state grants. After 1996–97 with the recommendations of Tenth Finance Commission and the State Finance Commission (SFC) financial resources of Gram Panchayats have augmented since 1997–98.

4.3 State Election Commission

Different committees have recommended that constitutional status be accorded to Panchayati Raj and local institutions and a separate Election Commission conducts the elections to these institutions. As a consequence, the Constitution (73rd Amendment) Act came into effect from 24 April 1993. The State Election Commission conducted four elections of Gram, Kshetra, and Zilla Panchayats after this act came into force. The state government has made the following rules and regulations under the act for conducting Panchayat elections:

- Uttar Pradesh State Election Commission (Panchayat Raj and Local Bodies) (Appointment and Conditions of Service) Rules, 1994.

- UP Panchayat Raj (Registration of Electors) Rules, 1994.

- UP Panchayat Raj (Computation of Period of five years for Removal of Disqualification, Fixation of period of dues etc. and Settlement of Disputes of Disqualification) Rules, 1994.

- UP Panchayat Raj (Election of Members, Pradhans and Up-Pradhans) Rules, 1994.

- UP Panchayat Raj (Settlement of Election Disputes) Rules, 1994.

- UP Kshetra Panchayats and Zilla Panchayats (Election of Members) Rules, 1994.

- UP Kshetra Panchayats and Zilla Panchayats (Oath of office of Adhyaksh or Pramukh etc.) Rules, 1994.

- UP Zilla Panchayats (Election of Adhyaksh and Up-Adhyaksh and Settlement of Election Disputes) Rules, 1994.

- UP Kshetra Panchayats (Election of Pramukh and Up-Pramukh and Settlement of Election Disputes) Rules, 1994.

- UP Kshetra Panchayats (Removal of Disqualification and Settlement of Disputes Relating to Disqualification and Membership) Rules, 1994.

Elections to Panchayats are held regularly in the state. The power of delimitation of constituencies, reservation, and rotation vests with the state government. There is a model 'code of conduct' for Panchayat elections, which comes into force when the election schedule is announced.

Electoral rolls for Assembly, Parliament, and Panchayat elections are not common. So far there are separate electoral rolls for Panchayats. Under the law there are provisions for disclosure of election expenses and for filing annual property statements by ERs.

4.4 District Planning Committee

As per the Gazette Notification number 9/7/35-AA-2/99-55 dated 7 January 2008 DPCs in all the 71 districts were constituted in May-June 2008 with the Chief Development Officer of the district as the ex officio Secretary of the committee.

District Planning Committees were formed after the last election and are planned to be reconstituted in due course after the on-going elections. However, most of the DPCs, if formed, are on paper and not functional.

4.5 State Finance Commission

The state's Finance Department constitutes the State Finance Commission within one year after the general elections to PRIs. Three finance commissions have been constituted till now. They have submitted their reports to the state government.

The first Finance Commission recommended that 10 per cent of the net proceeds of the state's total tax revenue should be devolved, of which 70 per cent should be earmarked for urban local bodies and the remaining 30 per cent for rural local bodies. Of the 3 per cent of the net proceeds meant for rural local bodies, 20 per cent was to be earmarked for Zilla Panchayats and the balance 80 per cent for Gram Panchayats with 80 per cent weightage for population and 20 per cent for area. Going further, the state government decided to devolve 11 per cent of the net proceeds of the state's total tax revenue of which 4 per cent was earmarked for rural local bodies.

4.6 Reservation

Adequate provisions have been made in the state PR acts as per Article 243 D and reservation was ensured in the Panchayat elections held in 2005. The percentage of seats for women, SCs, and STs elected to Panchayats is 33, 21.15, and 0.06 per cent respectively. Reservation is given for the Panchayat term of five years, at the end of which it is rotated. The 2-child norm as a disqualification for Panchayat members has not been adopted in UP.

4.7 Department of Panchayati Raj

4.7.1 Vision Statement

Strengthening of the Panchayati Raj system so that PRIs may become the real functional units of governance with their direct involvement in the socio-economic development of rural areas through a democratic process.

4.7.2 Objectives

• Economic and social development of villages and inhabitants of rural areas.

• To create and operationalize a democratic 3-tier Panchayati Raj structure in rural areas for effective development through people elected by the villagers.

4.7.3 Status of PRD Officials

Table 7 gives the status of officials in PRD.

Table 7: Status of PRD Officials

No.	Positions	Sanctioned	On Board
1	Divisional Deputy Directors	16	16
2	District Panchayati Raj Officers	73	73
3	Assistant District Panchayati Raj Officers	54	39
4	Assistant Development Officers	809	809
5	Gram Panchayat Adhikaris	8,135	5,583
6	Safai Karmis	1,08,848	95,193

Apart from 5,583 Gram Panchayat Adhikaris, about 6,000 Gram Vikas Adhikaris of the Department of Rural Development (DRD) hold additional charge as secretaries of GPs.

Besides these regular employees of the government, the following staff members from different departments are also available at the GP level:

• Gram Rozgar Sewaks (MGNREGS)   :   40,000

• Technical Assistants (MGNREGS)   :   4,000

• Anganwadi workers   :   1.52 lakh (36,000 more are to be posted)

• ASHAs   :   1.50 lakh

Thirty-four of the 72 districts are covered under BRGF.

4.7.4 Administrative Set-up of PRD

Figure 2 gives the overall administrative set up of the state PRD and Figure 3 gives the structure of the Panchayati Raj institutional set-up in the state.

Figure 2: PRD's Administrative Set-up

```
                    Minister—Panchayati Raj
                             ↑
              Chief Secretary and Agriculture
                      Commissioner
                             ↑
                   Principal Secretary—
                      Panchayati Raj
                             ↑
                   Secretary—Panchayati Raj
            ↗                ↑                ↖
   Special Secretary      Director       Deputy Secretary
            ↑                ↑                
  Additional Director   District PRO (HQ)   Chief Accounts &
                             ↑              Finance Officer
                    Deputy Director (Division)
                             ↑
                     District Panchayati
                         Raj Officer
                             ↑
                     Assistant PR Officer
                             ↑
                   Assistant Development
                     Officer Panchayat
                             ↑
                      Gram Panchayat/
                       Vikas Adhikari
```

Figure 3: Organizational Structure of PRIs

Government Officials	Elected Representatives	Panchayat
Chief Development Officer	Chairperson	Zilla Panchayats (72)
Apar Mukhiya Adhikari	Dy. Chairperson	
	Members	
Block Development Officer	Pramukh	Kshetra Panchayats (821)
Assistant Development Officer (Panchayat)	Members	
	Sr. Dy. Pramukh	
	Pradhan	Gram Panchayat (51,914)
	Up-Pradhan	
	Members Gram Panchayat	
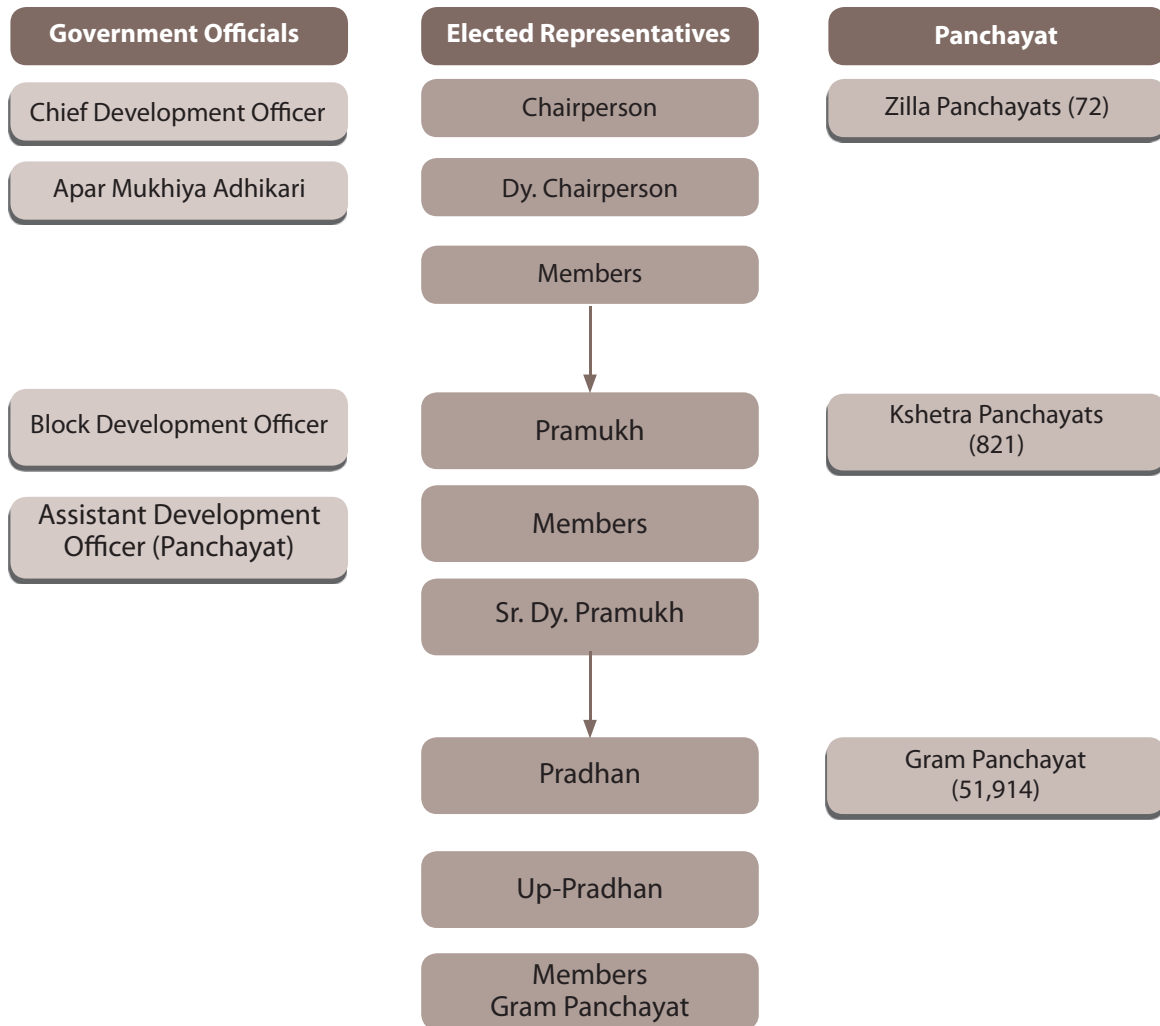
5. CURRENT CAPACITY BUILDING AND TRAINING SCENARIO

5.1 Current PRI-CB&T Mechanism

5.1.1 Deen Dayal Upadhyaya State Institute of Rural Development (DDU-SIRD) with 17 RIRDS and 33 DIRDS

SIRD was established by GoUP on 1 April 1982. It was renamed the Deen Dayal Upadhyaya State Institute of Rural Development (DDU-SIRD) on 25 September 1991.

The Management Council at DDU-SIRD, which is headed by the Agriculture Production Commissioner, provides guidance and takes decisions on policy matters. The executive functions of the institute are discharged by the Director General (Figure 4).

Vision and Mission

- The vision of the institute is the overall development of human resources in rural areas through training, consultancy, and research.

- SIRD's mission is to enable people centric, equitable development at the base level.

Focus Areas/Departments

- Rural Development.

- Panchayati Raj.

- Women and Child Development.

- Land and Water Resources.

- Skill Development.

- Disaster Management.

- Health.

Key Training Programmes and Activities

- Conducting foundation/induction and refresher courses.

- Training programmes in disaster management.

- Training courses for PRI-ERs (Panchayati Raj Institutions).

- TOTs in SGSY, disaster management, PRIs, and NREGA.

- Dissemination of information through periodicals, papers, and books.

Figure 4: DDU-SIRD's Organizational Chart
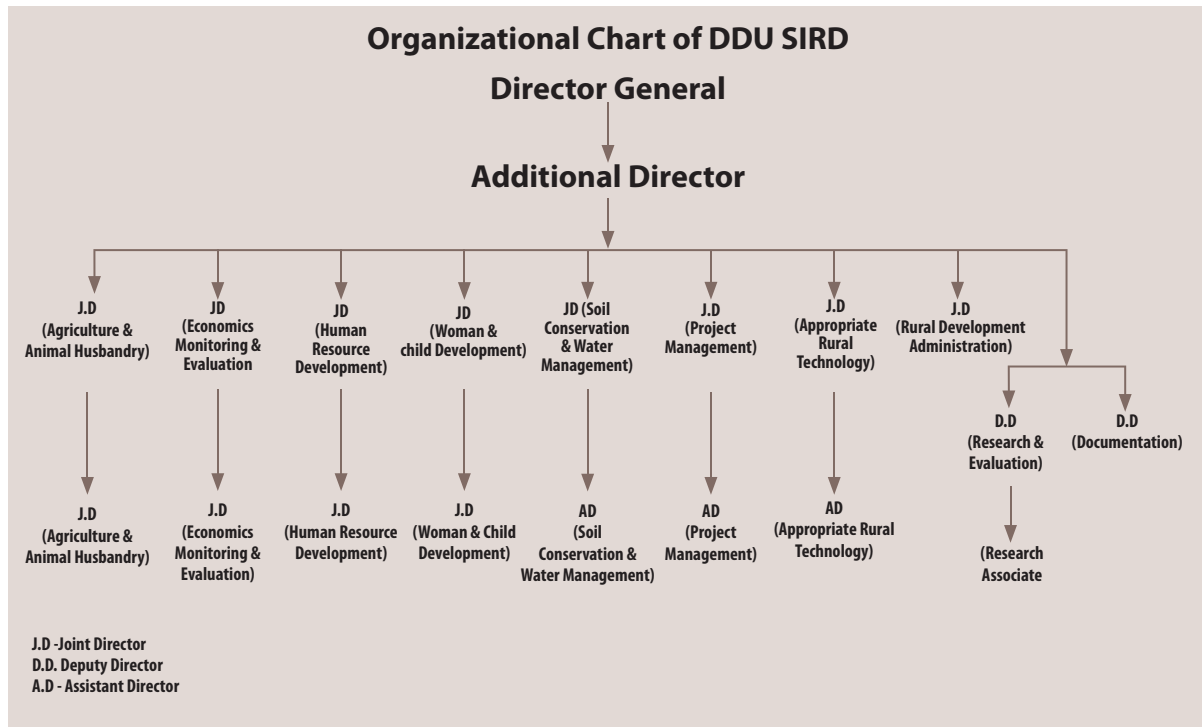
SIRD Network

- SIRD in Lucknow; accommodation for 150 trainees.

- 17 RIRDs covering 15 districts; lodging facilities for 100 trainees per institute.

- 33 DIRDs covering 33 districts; lodging for 50 trainees per institute.

- Total regional and district institutes: 50.

- SIRD and 50 RIRDs/DIRDs serve all the 72 districts in the state.

The summary of training conducted by SIRD, RIRDs, and DIRDs for ERs and support functionaries during the last three years is given in Table 8.

Table 8: Summary of Training by SIRD in the Last 3 Years

Year	No. of Programmes	No. of Participants		Total No. of Participants
		Officials	Elected Representatives and Others	
2006–07	3,473	25,670	1,23,089	1,48,759
2007–08	4,303	32,793	1,67,581	2,00,374
2008–09	9,960	37,704	3,02,118	3,39,822
2009–10	7,778	29,598	3,21,673	3,51,271

Proposed SATCOM Facility

It is planned that a SATCOM hub and studio will be established in SIRD. The SIET studio in Lucknow will be used for generating content. In the first phase, SATCOM facilities will be started with the participation of six departments—Rural Development, Education, Health, Panchayati Raj, Women and Child Welfare,

and Land and Water Resources. SITs will be established at the district level, in RIRDs, DIRDs, and DIETs (Education Department) for interactive training.

Limitations

- Currently the RIRD/DIRD network's infrastructure needs significant renovations for conducting large scale training. Both training and residential facilities need significant renovations.

- A large number of faculty positions are vacant and thus raise questions about their capability to conduct training across the RIRD/DIRD network.

- Existing faculties are not oriented on PRI related issues and they need comprehensive capacity building and updating on PRI training.

SIRD's Role in Proposed Training of Newly Elected Representatives

- SIRD will organize ToT for deputy directors (division) and DPROs at the state level. This will be a 2-day residential training.

- Two-day sensitization training programme for ADOs (Panchayat) by RIRDs and DIRDs.

- Two-day residential training for Zilla Panchayat Adhyakshs at the state level by SIRD.

- Conducting ToT for resource persons.

5.1.2 Other Training Institutes in the State

There are some other training and capacity building institutes and initiatives in the state, which may or may not be directly connected with the CB&T of ERs. But their physical infrastructure and human resources may be utilized for the purpose of PRI-CB&T. Table 9 provides a list of indicative institutes and initiatives with which collaboration can be thought of for PRI-CB&T.

Table 9: Institutes and Initiatives for Collaboration for PRI-CB&T

No.	Training Institute	Year of Establishment/ Location	Type of Training Conducted	Available Infrastructure	Potential Role
1	UPAAM	2001/ Lucknow	Professional training of government officers (IAS/state services)	• 7 training halls • library • computer lab • auditorium • conference hall, • hostel with capacity for 52 people • 3 full time faculty and 37 visiting faculty	• Resource persons database may be accessed and utilized for TOTs for PRI-CB&T trainers • Infrastructure can be utilized if available. However as reported during the meeting, UPAAM is already overloaded and is in no position to support any additional programmes

No.	Training Institute	Year of Establishment/ Location	Type of Training Conducted	Available Infrastructure	Potential Role
2	District Project Management Unit (DPMU)	Established in 34 BRGF districts	19 PMUs' proposals were accepted for training of ERs; handling matters related to BRGF	• No physical infrastructure of DPMU specifically. A team for DPMU exists with 5 people all of whom are under government functionaries with additional charge	The DPMU can at the most facilitate monitoring and evaluation of training conducted by the SPAs in the district. However with programmatic responsibilities, this too does not seem to be a viable option
3	Sahbagi Shikshan Kendra (SSK)	1990/ Lucknow	Training of grassroots level CSOs and networks to build their capacities; Has worked as support agency to state PRD in forming training modules		• The organization can act as a resource cum support agency for various tasks such as creating training material, various training modules, and TOTs. • Also the network of local CSOs may be utilized for PRI-CB&T to either train or to spread the word about training or to contribute in other CB&T strategies
4	District Institute of Education and Training (DIET)	72/one per district	Training of teachers for primary education	Training halls/ classrooms	• The infrastructure of the institutes may be used for district level PRI-CB&T
5	State Innovations in Family Planning Services Project Agency (SIFPSPA)	1992/Lucknow/working in 38 districts	Training of MNGOs/ CSOs in health and various related projects	Has some physical infrastructure utilized in training of MNGOs. Divisional PMUs exist. Has network of Mother NGOs who in turn train Field NGOs	• Have a good CSO selection and appraisal system, which can be considered as a reference model • The network of NGOs can be tapped into to reach out to ERs in various capacity building initiatives
6	Farmers' Field School	238 FFS in 23 district under the UP Bhumi Sudhar Nigam started in 1978	Run by farmers;technology development, dissemination; undertaking various activities in order to ensure sustainability	15 FFS have been provided with computers and other peripherals	• The infrastructure in the 15 FFS' may be thought of for training in small batches

No.	Training Institute	Year of Establishment/ Location	Type of Training Conducted	Available Infrastructure	Potential Role
7	Centre for Training and Management of Soil, Water and Forest	Kanpur	Developing material for and conducting distance learning courses for Forest Department officials in natural and human resource management	• An air-conditioned conference hall equipped with LCD projectors and computers • 2 well maintained air-conditioned hostels for senior executives having 17 rooms capacity • Officers' hostel having 20 rooms • Staff hostel with 90 rooms • 4 buses for tours • 5 well equipped lecture halls • A well equipped library	• These lecture halls can be used after checking on the training calendar of the department • The hostel facilities can be used during PRI- ER training • Training of resource persons
8	NIC Training Centre	1990/Lucknow	Training of central and state governmental officials;technology update programmes for NIC officials	• 3 NIC training centres having 20+10+20 participants • Well-equipped training labs	• The laboratories may be used for computer training or Plan Plus training of ERs
9	Sakshar Bharat Mission	Central government initiative running in 66 districts	Training of partner NGOs, and VTs; provide literacy sessions in target districts	Block Resource Centres under SSA are available which have halls and classrooms and teaching-learning material	• Master trainers and resource persons working under the programme can also be involved in training of ERs at the block level • Voluntary teachers can give priority and focus on enrollment of EWRs • BRC's physical infrastructure can also be used; currently it is used for about 100 days per annum • The HR network can be used in the strategy for holistic development of EWRs

6. Overall Capacity Assessment Model for the CA–CDS Study

6.1 Operating Definitions of Basic Terms in CB&T

Capacity is defined as an 'ability'. Operationally in a work situation capacity is defined as the 'ability to perform'.

Capacity in a work situation may be visualized as two interdependent capacity components of:

- Individual capacity.

- Institutional capacity.

Capacity of human resources is dependent on internal and external factors/capacities comprising of:

- Internal—knowledge, skills, attitudes.

- External—environment (to what extent it is enabling or otherwise).

Capacity of an institution is dependent on internal and external factors/capacities comprising of:

- Internal

    - Strategy

    - Systems

    - Institutional structures, network structures, roles and responsibilities, etc.

    - Infrastructure—human resources, technology platforms, funds, IT/ICT, and other infrastructure

- External environment

    - Legal

    - Governance

    - Synergies/convergence with other line departments/parallel structures

    - Policy

    - Funds

All these capacities make the overall capacity of the PRI sector for CB&T delivery.

6.2 Conceptual Model for Capacity Assessment

This study attempts to answer two key questions:

- What are the capacity development needs of PRI stakeholders including ERs and support functionaries?

- What is the existing capacity of the state to deliver these capacity development needs?

6.2.1 Crystallizing the Capacity Development Needs of ERs and Support Functionaries

Capacity development needs flow holistically from two directions:

- State PR Act and rules and regulations, which define the roles, duties, functions, authorities, and responsibilities of ERs and support functionaries.

- NCBF guidelines, which lay down the minimal training needs of ERs and support functionaries.

Both these provide a spectrum of capacity development needs from ideal/maximum to minimal/adequate.

This study takes NCBF as the basis as specified in the ToR and examines the capacity of the state to deliver PRI-CB&T. In addition to NCBF, required capacity development needs for delivery of proposed strategies are also estimated. The state may have a vision of addressing the training needs not identified by NCBF. In that case the training workload and resources will need revision.

6.2.2 Assessing the State's Capacity to Deliver PRI-CB&T

A conceptual model for CA of the PRI-CB&T sector is seen as consisting of various capacities forming different envelopes of capacities which together make the overall capacity to delivery PRI-CB&T. PRI-CB&T delivery is through all these envelopes based on the various capacities existing in them. The extent of the CB&T throughput (outcome) is determined by the minimal capacity of any of the envelopes. Thus, raising capacities of all the envelopes simultaneously is important for achieving greater/optimal throughput.

The model is highlighted in Figure 5.

Figure 5: Capacity of the State to Build Capacities of PRIs and Their Stakeholders
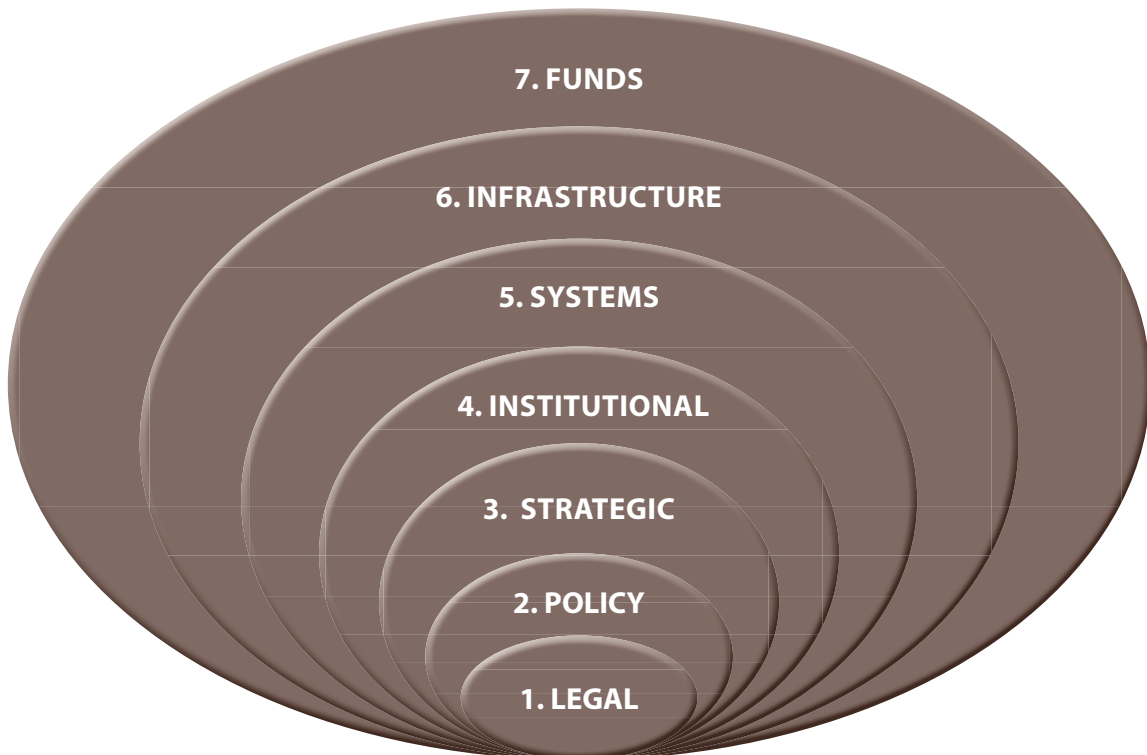
The various capacity envelopes,which make the overall capacity of delivery of PRI-CB&T comprise of:

- Legal Capacity—capacity of PRIs due to laws and statutes.

- Policy Capacity—as a directing force of an institution/sector and specifies broad intentions/objectives/ purposes usually formalized/written, which should be achieved through proposed and ongoing programmes/ interventions.

- Strategic Capacity—strategies are ways/guidelines for converting inputs to outputs/outcomes. While policy is a normative guideline, strategies evolve from the interactions of sectors/institutions with their environment. Strategic capacity is the capacity of PRI-CB&T delivery due to strategies.

- Institutional Structure Capacity—institutional structure is work relationships and interlinks of various institutions/designation holders among each other through defined parameters of authorities, responsibilities, and reporting. Capacity of the institutional structure is defined as the capacity of the institutional structures to deliver PRI-CB&T.

- Systems Capacity—systems are standardized ways/methods/procedures/protocols/guidelines of doing repetitive tasks. Systems capacity is the capacity of delivering PRI-CB&T due to systems.

- Infrastrucutre Capacity—infrastructure capacity is the capacity of PRI-CB&T delivery due to infrastructure. Infrastructure here comprises of all types of infrastructure relevant for PRI-CB&T delivery including physical, numbers, and geographical spread of ETCs, ICT, HR, etc.

- Funds Capacity—is the capacity to deliver PRI-CB&T due to the funds available and their norms.

While identifying key issues at the state level under each capacity envelop key issues have also been identified at the national level and those within civil society.

All these capacities are located at various levels of the hierarchy including in the state PRD, line departments (as relevant), SIRD, PRIT (not yet operational), and civil society network structures including CSOs and trainers/mentors. Thus, capacity assessment is carried out for each of the constituent members of the PRI-CB&T delivery network (Figure 6).

Figure 6: Current System of PRI-CB&T

CURRENT SYSTEM MODEL OF CB & T OF PRI IN UP

Key Issues
1 Fracture zones
2 Negligible resource intake from environment
3 Part coverage
4 Output driven

MoPR

STATE DEPARTMENT OF PR

STATE RDD

PRINT

SIRD

SPA

DPMU

TRAINERS

TRAINING BY OTHER DEPARTMENTS

CB INPUTS

CB INPUTS

DISTRICT PANCHAYATS

BLOCK PANCHAYAT

GRAM PANCHAYAT

PEOPLE

INPUT-1   INPUT-2   PROCESSES   OUTPUT   OUTCOMES   IMPACTS

6.3 The Current CB&T System

6.3.1 Brief History

The issue of PRI-CB&T was on backburner till 2008 and almost no training of ERs was carried out before that. Even now, the coverage of ERs in training has been estimated as being fairly low as compared to its total target of 7.7 lakh ERs. The exact figure of ERs covered till now is not available as SIRD, which was the main institute providing training with a focus on rural development sectoral training has no separate figures available for the ERs that have been trained. It seems that till recently there was no coordination/ communication between the state PRD and SIRD. There was almost no involvement of CSOs in training. Experiences of the state government's engagement with civil society have been mixed and by and large have

not been positive. Several issues were responsible for this including no clear ToRs for CSOs and non-existent M&E. Some training of ERs on an experimental basis was done by the state PRD through DPMUs. This also proved to be a mixed experience. With programmatic workload and differing priorities of DPMUs the training was not a priority and good experiences were mainly due to interested field leadership.

6.3.2 Key Training Institutes and Delivery Structures

6.3.2.1 The State PRD /PRIT/CDLG

The state PRD has taken several initiatives with support from the CDLG Project funded by UNDP. These include:

- Proposed and started implementing a new institute under the state PRD called PRIT (Panchayat Raj Training Institute). The building is under construction with significant work already completed, and a minimal nodal team of seven persons approved by a HPC. There does not seem to be a clear vision or roles charted out among the proposed PRIT and SIRD at present; neither is there a clear operational plan.

- Contracted large SPAs for implementing training in selected districts. This was facilitated by the business meet organized by MoPR and funded through the UNDP-CDLG Project. At present there are four SPAs contracted for 55 districts for training GP Pradhans and members (four members per GP targeted at present in the first round of 3-days of training). The training planned is far less than what is prescribed by NCBF and does not target 100 per cent coverage even now. However, it is a good start which is looking at the task of covering a large number of ERs in the state.

- Selected 19 DPMUs (out of 35), which were interested in providing training and had submitted proposals for training ZP and KP level ERs.

- The state PRD started dialoguing with SIRD and passed on some budget for training of ZP/KP ERs in other than selected DPMU districts.

- The state PRD with support from the CDLG team has produced basic training modules, which are in the draft stage.

- Outsourcing of TNA and core curricula development using the CDLG budget.

The state PRD has also implemented better systems of communication, coordination, and M&E though the monitoring is still output oriented and not outcome oriented.

All these initiatives are welcome and a move in the right direction. What is required is greater clarity in PRIT's vision and role, a detailed operational plan, adequate budget with functional autonomy (which may be difficult as at present PRIT is part of the state PRD), and a strong HR team.

6.3.2.2 SIRD

UP-SIRD is a part of RDD and is headed by a Director General, a senior IAS officer, who usually has multiple charges. It has a major constraint of not being able to develop its own reserve funds as it is not a separate legal entity with its own constitution and byelaws. Several SIRDs, since they are societies are claiming part of the training funds for their management costs but this avenue is not available to UP-SIRD.

UP-SIRD is probably the largest training institution in India in the PRI-CB&T sector in terms of infrastructure and a HR team. It functions through large geographical footprints of 17 RIRDs and 33 DIRDs. UP-SIRD is also a unique institution in PRI-CB&T in that it has a dedicated training cadre developed under RD, though against the sanctioned strength only about 50 per cent of the posts are currently filled. With all this its training coverage is only 25–30 per cent of what it can be. Its infrastructure needs serious renovation for which a proposal has been submitted. For ICT capacity a SATCOM plan and budget has been approved by MoRD though experts opine that the technology is outdated. The plan is yet to be implemented.

Expertise of the existing team is in sectoral training and not in PR though there are a couple of faculties which have expertise in the sector. SIRD has a mandate of undertaking rural development programmes and that forms a major chunk of its workload. It needs sound micro-planning to ensure that NCBF's recommendations regarding timeliness of the training of ERs is followed in the state.

In terms of identifying key training themes, developing training modules, developing training aids, and knowledge management SIRD at present does not seem to have in-house expertise. However, SIRD has a potential to be a strong nodal agency for implementing training in PRI-CB&T with adequate support from the state PRD/PRIT.

SIRD has also developed some basic modules and has conducted some ToTs. However, the ToTs were of short duration of less than a week (NCBF prescribes training of 60 days for trainers).

Thus, the road ahead seems to be PRIT as the knowledge developer and for M&E and SIRD as the training implementation partner along with CSOs/SPAs/DPMUs as other training implementation partners.

6.3.2.3 Other Training Institutes

There are many other training institutes in UP which though not focused on ERs, do provide training to rural functionaries (which also comprise of ERs). These include SIFPSA, Training Institute of Planning Department, Bankers Institute for Rural Development Training,the Research Institute of Finance Department, SIHFW, Sakshar Bharat Mission, NIC training centres, vocational training centres established by various departments, Animal Husbandry Training Institute, Nehru Yuva Kendras, forestry training institutes, Krushi Prashikshan Kendra, Neda Training Institute of the Energy Department, and farmers' field schools. With their focus on different target groups and thematic areas and specific mandates and workloads their involvement in PRI-CB&T can be through the convergence of:

• Common training plan and calendars to ensure convergence.

• Sharing of resources—CSOs and faculties.

• Integrating sectoral training as a precursor to a holistic view about PR.

• Sharing and learning from each other through research, innovation, and ICT piloting.

All institutes except SIRD, PRIT, and CSOs/SPAs can only play supplementary roles in areas of sharing resources and may not be able to share PRI-CB&T's training workload.

6.3.2.4 CSOs

When it comes to numbers UP has a strong presence of NGOs with the registered figure of NGOs with the State Planning Department reaching 4.2 lakh. CAPART had also created a database of 2,000 NGOs in the

past. A survey had estimated 32 networks of NGOs working in the state. All NGOs working in the rural development sector have strong links with PRIs and their stakeholders. However, it is opined that there are very few good NGOs. As stated earlier the experiences of both the state government and NGOs working together have been mixed.

A careful and transparent selection of CSOs, timely payments and approvals, etc. as experiences of SIFPSA and UNICEF suggest, have been able to deal with most issues of quality and timely delivery of inputs from CSOs. These experiences should be deployed to expand civil society's involvement in PRI-CB&T. It must be emphasized here that the task of 100 per cent coverage as per NCBF for PRI-CB&T is impossible without an active and significant involvement of CSOs in UP.

In conclusion the current system has some weaknesses:

- No clear vision for PRIT and no clear role division between PRIT and SIRD.

- While DPMUs may delivery CB&T, they do not seem sustainable in the long run due to their programmatic priorities.

- The current training plans only aim at covering 40 per cent of the ERs and no plans exist for support functionaries.

- The M&E system is weak/non-existent with output based monitoring.

- Weak systems to engage civil society in PRI-CB&T.

- Training as a standalone single strategy.

7. CAPACITY ASSESSMENT: POLICY CAPACITY

7.1 Operating Definition

Policy capacity is defined as a directing force of an institution/sector and specifies broad intentions/ objectives/purposes usually formalized/written, which should be achieved through proposed and ongoing programmes/ interventions.

7.2 Key Issues Affecting PRI-CB&T Delivery

Three key issues at the national level which affect PRI-CB&T in UP are:

- Non-convergent design of CSS programmes/GoI schemes.

- Lapsable non-pooled funding for PRI-CB&T.

- Entitlement of PRI-CB&T on non-relevant criteria for CB&T for the state and resource scarcity for PRI-CB&T.

Three key policy issues at the state level affecting PRI-CB&T design and delivery are:

- Non-convergent implementation of PRI-CB&T at the state level.

- Non-optimal planning of PRI-CB&T by the state PRD/SIRD.

- Non-incentivized environment for PRI-CB&T users

7.3 An Analysis of Key Issues

7.3.1 Non-convergent Design of GoI's CSS/Programmes

While flagship programmes like MGNREGA and key tasks like district planning recognize and integrate PRIs in implementation taking due cognizance of constitutional mandates/roles of PRIs, some programmes and schemes like NRHM, SSA, and disaster mitigation do not do so.

In fact, a majority of GoI's programmes specify their implementation in a standalone manner through creating parallel village/block/district level bodies undermining the constitutional roles/mandates of PRIs including that of their SCs and their democratic functioning.

For example, NRHM has specified the creation of village level Rogi Kalyan Samitis (Village Health and Sanitation Committees). The Village Health and Sanitation Committees (VHSCs) do have ward members/ Pradhans as members of the committees but the committees do not have any specifications in a structural/ systemic manner to integrate them with specified SCs for the same purpose under the state PR Act. The same argument holds for Village Education Committees, which have no integrating features with similar specified SCs under the state PR Act, though the Pradhans are also joint signatories of bank accounts and members of the committees. Representation of a Pradhan cannot be argued as representation of the SCs/ members; both are slightly different but have a significant impact on the functioning of SCs.

These phenomena have impacted the creation and effective functioning of constituted village SCs under the state PR Act and made them non-starters. As a result, SCs exist only on paper in the state and are otherwise non-functioning. At a broader level, another impact of this scheme of things is the undermining of constitutional mandates/roles of PRIs and their stakeholders and weakening of effective functioning of PRIs as inclusive, strong, and transparent bodies of democracy.

There are two simple ways to address this issue:

- Making village level SCs all inclusive for all GoI/state programmes and doing away with parallel line departmental/mission level structures and systems with suitable modifications in the membership of the SCs.

- Integrating both the structures through systemic interventions and linking them with departmental committees functioning under/as sub-committees of SCs of PRIs.

However, we should also realize that the real conflict at a bigger level is of the time bound achievement of programme goals versus governance and institutional development of PRIs. This is a classical conflict of programme goals versus the governance agenda and needs to be addressed by taking a stand in which the goals are given more importance.

The conflict needs to be addressed at the GoI level in which MoPR should take the lead in finding out appropriate answers in consultation with other concerned ministries.

7.3.2 Lapsable Non-pooled Funding for PRI-CB&T

The state primarily gets its budget for PRI-CB&T/ERs from three schemes funded by MoPR—PMEYSA, RGSY, and BRGF. UP has had a weak track record in PRI-CB&T coverage, which it is now planning to improve. But capacity building is a long-term task which will require funds that are several times more than the current entitlement of the state. Some arrangement for funds of a non-lapsable nature will facilitate the state. Such funds should be released subject to performance and quality coverage.

It is important to note one strong NCBF recommendation in this regard—pooled funds for CB&T from all GoI's CCA grants (with a non-lapsable nature) with MoPR being the nodal agency. This recommendation has not been implemented yet and will go a long way in strengthening PRI-CB&T. MoPR should take the lead in furthering this NCBF recommendation in a time bound manner in consultation with all the concerned ministries.

7.3.3 Entitlement for PRI-CB&T on Non-relevant Criteria and Resource Scarcity for 100 per cent Coverage of PRI-CB&T

UP has a peculiar problem of resource scarcity for PRI-CB&T. BRGF funds are released based on the number of BRGF districts in the state, which are 35 (the funds are at the rate of Rs 1 crore per district per year). RGSY is a demand driven scheme and as such there is no upper limit specified but overall the fund kitty at the national level with 25 per cent share of the state and 75 per cent funded by the Centre which is limited to Rs 50 crore per year.

This study does not explore the various sources from which the state can raise funds. If one considers the budget entitlement of the state for PRI-CB&T and the workload (7.71 lakh ERs, plus at least 30 per cent of that amount for support functionaries, 50 RIRDs/DIRDs, a proposed PRIT, their infrastructure and

proposed renovations and updating) the budget requirements will be at least 3–4 times higher than the entitlement currently available from the central government. It is a moot question whether the state can raise the remaining resources. This is an important issue and both the state and MoPR should attempt to find answers to this notwithstanding the current low utilization of funds and low spend rates in PRI-CB&T in the state.

Added to this is an issue of cash flow. All CSS provide more or less even funds on a yearly basis while NCBF prescribes time bound completion of 80 per cent of the training of PRI-ERs in the first year of election. Thus, to meet NCBF's recommendation the state will need much more funding in the first year after the elections. This issue also needs to be addressed by MoPR and fund flows should correspond to the differing training workload in each year.

7.3.4 Non-convergent Implementation of PRI-CB&T at the State Level

Almost all the departments specified in the devolution (form, function, and functionaries)to PRIs, design and implement 'soft' interventions along with their programme implementation. These 'soft' interventions comprise of training and capacity development, community mobilization, and awareness/IEC/BCC. Most of the national and state programmes have defined budget lines and provisions for these areas.

A significant number of these interventions are directed at people living in rural areas including PRI-ERs.

PRI-ERs have a dual role in such schemes:

- As recipients/entitlement holders of such schemes.

- As decision-makers to decide among conflicting priorities for rural citizens and implementing the schemes for other beneficiaries.

The separately planned and not linked training and capacity development efforts of such programmes:

- Do not fully take into account the dual roles and different needs of PRI-ERs.

- Are segmented for departmental/functional approaches providing a fragmented understanding of developmental processes to PRI-ERs and rural citizens and create a 'training noise'. This noise is created when different departments provide segmented training reducing the effectiveness of overall PRI-CB&T.

- Are designed and implemented by and large in a non-convergent manner.

Convergence among different departments implementing CB&T and soft interventions targeted at rural citizens, especially at PRI-ERs,is thus needed to reduce the 'training noise' and for enhancing the overall effectiveness of PRI-CB&T.

Convergence among different departments may be achieved at different levels:

- At the national level by implementing NCBF's recommendation of creating a pooled fund for PRI-CB&T and recognizing PRIs as central institutions for administration of all relevant CSS.

- While the above recommendation may take time to implement, simultaneously at the state level there is a need to converge different CB&T efforts. Clear roles, mandates, and contributory partnership

agreements between the proposed PRIT and SIRD are crucial for ensuring a cohesive PRI-CB&T environment. A practical solution is to form a state level CB&T planning and coordination committee concerning all line departments under the aegis of Chief Secretary/PS-Planning and Coordination Department with the Member-Secretary's role being played by PS-PRD. This solution does seem to be one more committee in a plethora of existing committees with the result that more time and effort will have to be spent by all concerned. Hence, the benefits of convergence rarely seem to justify the costs, efforts, and time involved in convergence. The arguments in favour of such efforts are 3-fold:

- Good management principles dictate efforts for convergence.

- It provides the issue of PRI-CB&T the importance that it deserves.

- Such convergence is not only needed for PRI-CB&T but also for enhancing overall programme effectiveness and such steps go a long way forward in creating a climate of 'working together'.

At a practical level such a convergent mechanism will:

- Bring a unified approach to CB&T among all key institutes delivering CB&T including the proposed PRIT, SIRD, and other training institutions.

- Lead to cost effectiveness in CB&T delivery through common/integrated usage of delivery channels and infrastructure (trainers, CSOs, and training infrastructure of various departments, which have a significant potential of higher utilization with some degree of renovations).

7.3.5 Non-optimal Planning of PRI—CB&T by the State PRD/SIRD

It is only since last year that the state PRD has started micro-planning for implementing training on a large scale. Basic modules are in the draft stages and civil society resources are being engaged. All this augurs well for operational planning. The current operational plan hopes to cover 36 per cent of the total ERs. While 100 per cent coverage is planned for ZP and KP levels only 29 per cent coverage is planned for the GP level. There is a real issue of covering mega numbers of ERs in UP and it is only recently that SIRD has started planning training in specified districts.

It can be said that the state has not yet initiated a strategic planning/long-term planning exercise. Such an exercise will include:

- Long range—3–5 years.

- Clarity of roles, functions, and division of workload between the proposed PRIT and SIRD based on a long-term partnership agreement.

- Detailed design of a supply chain comprising of various actors/partners including academic institutions, CSOs, and individual resources. Holistic delivery of PRI-CB&T will require a multi-disciplinary task force from research, social science, gender, project management, training technologies, ICT/IT enabled technologies, M&E, training, mentoring, developmental communication, and functional literacy. The delivery chain will start with the apex of PRIT as a knowledge producer, SIRD as the nodal training implementer, other training partners and trainers in various thematic areas, and finally cover 7.71 lakh ERs. This will need sound partnership strategies and expertise in procurement and contract management.

- Technical strategies/frameworks/protocols/guides for record keeping, reporting and MIS, TNA, designing training modules, training impact assessments, and outcomes based evaluations.

- Emphasis on defining and carefully controlling core curricula and researching needs for emerging realities/newer issues (like global warming and disaster mitigation).

- A comprehensive communication network—at present communication among the PRI fraternity is through phones and posts. Real time and rapid transfer of information, decisions taken, and GOs need to be passed on to a large number of stakeholders.

- Clear and measurable outcome based indicators.

- Strategy of continuing education/developing faculties and resources.

- Differentiated CB&T approaches and delivery methods for different target groups—as is well known ERs are not a homogeneous group but are segmented by their social standing (caste/class), gender, education levels, and information and knowledge differentials. The same module and same delivery will not be optimal for all.

Thus, there is a need to instill discipline and have a process in strategic planning within the state PRD/ proposed PRIT.

7.3.6 The training workload of a Non-incentivized Environment for PRI-CB&T

Currently the climate for PRI-CB&T is not incentivized; instead at times it seems to provide disincentives for end users to attend training. This is evidenced by:

- Personal costs because of training—Attending training has two types of costs which have to be incurred by ERs:

  – Actual costs of transportation to/from home to training venue—compared to the allowances paid (which may also not be paid at times) to ERs for their travel costs to/from venue the actual costs may be higher.

  – Opportunity costs of attending training—A bulk of the ERs are ward members and from poor economic backgrounds. A significant number of ERs are daily wage earners who lose their daily wages when they attend training. This is a tricky issue as PRI-CB&T needs ownership of users and cannot subsidize 100 per cent opportunity loss but at the same time the training should not penalize ERs. EWRs have other issues of workloads in homes which they cannot delegate, this has its own opportunity costs in lieu of income loss and they are often discouraged from attending such training by husbands/men in the house.

MoPR has, in a welcome step, increased the cost norms making a little more budget available for transportation costs of training participants. The state will have to peg travel allowances for training to ensure that the actual costs are by and large met. The other factor of opportunity cost can be addressed through making the training useful for ERs. Though exact data is not available, it was opined in the consultation meetings that in the last elections a significant number of youth were elected as ERs. Even the proportion of ERs who have functional literacy may have increased. All the ER consultations and meetings indicated that the ERs would welcome CB&T.

7.4 Recommendations for Policy Capacity Development

The recommendations from the foregoing capacity assessment of policy are:

- MoPR should take a lead in implementing NCBF's recommendation of creating non-lapsable pooled funds from all CCA grants for PRI-CB&T in a time bound manner in consultation with all the concerned ministries.

- Both the state and MoPR need to address the issue of UP's entitlement for PRI-CB&T and ensuring that adequate resources are available to the state for 100 per cent coverage as per NCBF.

- MoPR should advocate with concerned ministries (health, education, etc.) to modify their existing programmes and schemes to include PRIs and their structures like SCs at various levels with due space and authorities provided to them and modify the proposed compositions of parallel structures for programme implementation (for example, Village Health and Sanitation Committees and Village Education Committees). MoPR should take up an advocacy role among the concerned ministries for achieving this.

- The state should create a PRI-CB&T coordination committee under the aegis of PS-Planning/Chief Secretary with Member-Secretary as PS-PRD for attaining convergence of all CB&T with PRI-CB&T with membership of all PS-secretaries of the concerned line departments.

- The state PRD/proposed PRIT should have a strategic/long-term planning approach to capacity building. This should include a clear role, mandates, workload sharing arrangements, and partnership agreements between the two nodal agencies of PRIT and SIRD.

- The state should peg travel allowances for participants/ERs to ensure that their actual costs are met.

8. Capacity Assessment: Legal Capacity

8.1 Operating Definition

Legal capacity is defined as PRIs' capacity due to laws and statutes in the context of PRI-CB&T.

8.2 Key Issues

Two key issues identified here are:

- Non-inclusion of training in duties/responsibilities of ERs.
- Non-clarity in rules and regulations between authority/division of responsibilities among Pramukhs and chairpersons of SCs at the GP level with a similar situation at the Kshetra Panchayat and Zilla Panchayat levels.

8.3 An Analysis of Key Issues

8.3.1 Non-inclusion of Training in Duties/Responsibilities of ERs

Developmental issues in terms of complexities, if not in terms of scale, are the same at the national/state or village levels. Perhaps complexities of trade-offs are felt more at the village level because ERs have greater social proximity with the people. Thus, ERs not only need information and knowledge but also skills and appropriate attitudes to manage the affairs of PRIs. The need for holistic capacity building is more than what is normally assumed; this is also normally underestimated.

Continuing education, professional upgradation, training, developmental communication, and soft skills like team building, leadership and communication are required by ERs in order to fulfill their constitutional mandates.

In the corporate world, training is a part of duties, responsibilities, and work while the Uttar Pradesh Panchayati Raj Act or rules and regulations do not mention this key aspect of training. Training is taken as an add-on. Feedback from field consultations with the government (blocks, villages) functionaries is revealing. Some typical responses include:

- ERs are trained.
- There is no need for training.
- Just ensure an adequate number of GP secretaries; there is no need to train ERs.
- Do you train women in making tea, food, etc.? If not why do women ERs need training?

Along with a need for learning among ERs there also seems to be an equally strong need of lower government functionaries to 'de-learn'. De-learning is awareness of the constitutional changes and the spirit in which they are made for decentralized governance and democratic functioning; sensitivities towards the new and slightly different role than that of a decision-maker; and capacities to take on mentoring and facilitating ERs.

It is argued that training should be part of the duty list of ERs. This will require changes in relevant rules and regulations of the Uttar Pradesh Panchayati Act.

8.3.2 Non-clarity in Rules and Regulations and Roles and Responsibilities of Specified ERs' Roles

The state act specifies that body incorporates (Gram Panchayats, Kshetra Panchayats, and Zilla Panchayats) shall form and act through specified SCs. However, we did not find any clarifications in the rules and regulations about the nature of division of duties of such SCs and body incorporates and their members, that is, Pramukhs/Adhyakshs of body incorporates and chairpersons of SCs.

This creates non-clarity about the division of roles and authorities of SCs and this is one of the reasons leading to the non-formation and non-functioning of SCs.

Similarly the chief executives/secretaries/ADOs of body incorporates have two streams of duties delegated to them:

- From the government as government functionaries.

- From body incorporates to act as chief executives/PEOs/secretaries of body incorporates.

However, we did not find any such delegation from body incorporates to such functionaries.

Appropriate rules and regulations need to be formed by the state PRD to clarify these issues.

8.4 Recommendations

Recommendations for enhancing legal capacity include:

- The state should include training as a part of the duties of ERs.

- The state should frame appropriate rules and regulations to clarify delegation of powers and duties between body incorporates and their members and constituents/SCs and specific role holders.

9. CAPACITY ASSESSMENT: STRATEGIC CAPACITY

9.1 Operating Definition

Strategies are ways/guidelines for converting inputs to outputs/outcomes. While policy is a normative guideline, strategies evolve from interactions of sectors/institutions with their environment.

9.2 Key Issues

The key issue identified here comprises of 'limited concept of training at present and need for developing a comprehensive package of strategies for holistic capacity development of PRIs and their stakeholders'.

9.3 An Analysis of Key Issues

9.3.1 Weak Functional Literacy

The issue of weak functional literacy of ERs is well known and agreed upon among stakeholders, though no precise data is available on the literacy rates among ERs and EWRs in the state. While this is a larger societal issue, the state PRD/PRIT/SIRD can play a catalytic role in leveraging existing schemes like SSA, functional literacy, and informal education/adult education for accelerating a functional literacy drive for identified ERs and EWRs.

Consultations, individuals meetings, and interviews with primary stakeholders and gatekeepers confirmed weak functional literacy to a significant extent and also indicated differentials in the functional literacy existing among ward members and Pramukhs, EWRs, and male ERs.

Weak functional literacy reduces the 'absorptive capacity' of ERs and reduces the efficacy of PRI-CB&T significantly. Existing differentials in functional literacy among ERs/EWRs furthers marginalization of those with weak functional literacy. Functional literacy is a foundation and prerequisite for all other strategies of holistic PRI-CB&T.

The Sakshar Bharat Mission is aimed at enhancing functional literacy of all by converging all earlier schemes for adult education. The programme provides scope of convergence with PRD priorities for enhancing functional literacy of ERs/EWRs. The programme has its own budget, coverage, state level resource centres, field teams, and well chalked out plans. PRIT/state PRD needs to develop a priority focus on strengthening functional literacy of ERs/EWRs jointly with the State Education Department, the Women and Child Development Department, and other concerned stakeholders.

9.1.2 Limited Concept of Training at Present

The state PRD has prepared a strategy and capacity building plan of Panchayats for 2010–11. SIRD and the state PRD have developed basic modules for training of ERs as well as ToT manuals. The yearly plans involve 100 per cent coverage till Kshetra Panchayats and about 30 per cent ERs of GPs through a mixed supply chain of SPAs, selected DPMUs, SIRD, and a cadre of trainers at SIRD and at SPAs. The training envisages a first round of 3-days of training.

ll these initiatives suggest that PRD has already started making systematic efforts for addressing the huge PRI-CB&T needs. However, at this point of time the efforts are mostly focused on training coverage. Current efforts need to be further strengthened through transforming the current intervention from output oriented training to holistic capacity development.

9.3.3 Differentiating the Training Approach for Different Target Groups

The current training approach, delivery, and material are by and large the same for all target groups of ERs except that trainers at the local level may deliver training in the local dialect (if they know it). Delivery methods and training aids are likely to be different among all SPAs, DPMUs, and SIRD.

It is accepted and agreed to by all in the state that ERs are different and need differing approaches, delivery methods, and material. The differentials exists due to power, availability of information, gender and functional literacy, women, youth, first time elected and multi-term representatives, and caste based differentials as is evident in Figure 7.

Figure 7: Differentials Among Target Groups
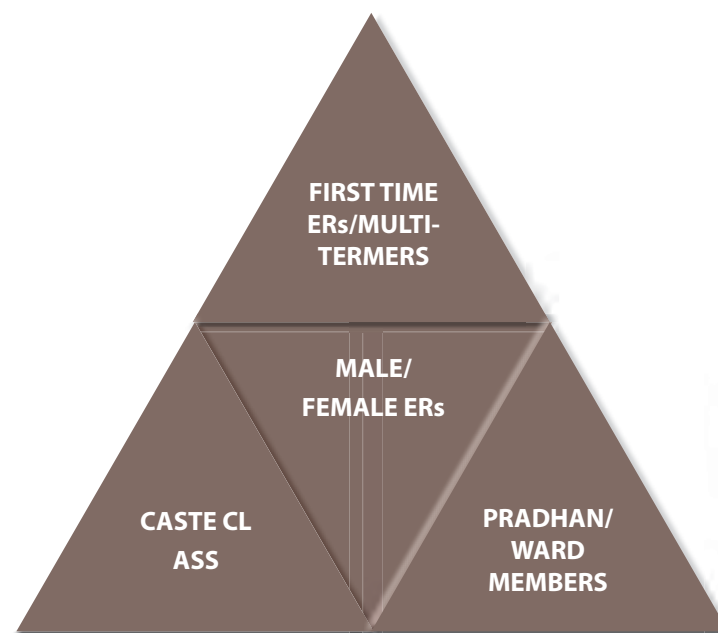
The training approach for all these groups will differ along with delivery mechanisms and training material. This will also include a training batch mix, for example, what may be required are all EWR groups, horizontal batches (all GP members, all Pramukhs etc.), vertical division (GP/KP/ZP, selected members in a group), and co-joint training of secretaries and Pradhans. Forming different groups will serve different purposes and the state PRD/PRIT/SIRD needs to have proper batch mixes at different times.

9.9.4 Need for Developing Training Material and Aids

The state is developing core curricula through outsourcing. The state also has various basic training modules developed by SIRD as well as the CDLG Project. A ToT manual developed by SIRD also exists. SPAs are advised to use digital projectors, films, and experiential learning material as appropriate.

However, the manuals are actually reading books. A manual is structured in the style of learning lessons and has more pictorials, small exercises, questions, highlights, and summaries to make learning easier.

Training aids especially focused on adult learning tools like role plays, storytelling, experience sharing, exposure visits, games, panel discussions, films, and simulations have to be much more important as a part of training and require more effort in developing them.

Adults learn through experiences more easily. Exposure visits to beacon Panchayats is a strong learning aid and should be an important part of the training, as the learning curve is much faster in this case. There was a scheme of identifying and rewarding beacon Panchayats which was started but was then stopped about four years ago; it was started and stopped on the recommendations of the State Finance Commission. While the contention of the State Finance Commission was that some GPs should not be rewarded for doing the work which they are supposed to do anyway, the point here is creating a role model and learning site through some reward/recognition system and installing a positive spiral of change.

9.9.4 Transforming the Output Oriented Training Concept to Holistic Capacity Development

The current training is mainly output oriented with an emphasis on quantitative coverage. Training outcomes are not defined and neither are they measured. While providing adequate information is enabling, there is a definite need for focusing on knowledge building, skill development, and having an appropriate attitude and belief system. A conceptual model developed for the state depicts the transformation of training to holistic capacity development (Figure 8).

Figure 8: Strategic Shift from Training to Capacity Development

	Information Giving	Knowledge Providing	Capacity Development	Transformation Al
Objective	Provide all relevant information	Provide knowledge	Knowledge + Skills + attitudes	All as previous + enabling environment
Training/Learning Philosophies	Inputs based	Inputs based	Input based + Generation based	Generation based+ inputs based
Supply Chain Driver	Push mechanism	Push + Pull mechanism	Pull + Push mechanism, significantly demand driven	Pull mechanism, fully demand driven
Communication	One sided	Two-way	Two-way + Multi-way	Multi-dimensional
Methodology	Significantly lecture	Lecture+ interactive	Interactive and multi-modal	Multi-modal
Delivery Actors	Trainers	Trainers	Facilitators + participants	Participants + facilitators
Training Tools Used	Lecture and handouts	Lecture and handouts +	+ Role plays, exercises, games, exposure visits, storytelling, experience sharing, films, open/focus/panel discussions, learning by doing, case studies	All previous tools + peer learning, climate of continuous learning

As the model in Figure 8 suggests, capacity development is the only transformational tool available for strengthening PRIs and the state needs to shift from the left side of the training approach towards the right side with a transformational approach to capacity development.

9.3.6 Making the Engagement Process Among Panchayat Executive Officers and ERs More Empowering

The most direct and powerful approach to learning is by 'doing together'. PEOs (chief executives, Pramukhs, etc.) interact with ERs in their day-to-day working. This process of engagement among PEOs and ERs may be empowering or otherwise.

Capacities of PEOs to play these empowering roles and to undertake empowering processes need to be enhanced significantly. Qualitative discussions across the tiers of PRIs bear out the need for capacity development of PEOs especially as soft skill/management skill developers.

The current engagement process needs to be well designed with:

- Roles of PEOs as:

    – Mentors and facilitators.

    – Information providers.

    – On the job trainers.

- Process of engagement as:

    – Empowering, facilitating.

    – Knowledge and information enriching.

    – Team building.

    – Inclusive engagement of all ERs including women, ward members, and ST/SC ERs.

    – Creating dialogue between multiple stakeholders.

    – Providing alternatives, basis of intelligent decision-making by ERs.

    – Making office/work environment comfortable for first time ERs.

Creating enabling engagement processes will require capacity development of PEO teams of the state PRD in various areas of soft skills, facilitation, and mentoring apart from directly concerned functionaries of the relevant line departments.

9.3.7 Adding the Component of On the Job Training

Holistic capacity development of PRI stakeholders/ERs, apart from providing information and knowledge building will also address skill building and forming attitudes.

Moving from providing information and knowledge building to skill building will require the additional component of on the job training of the nature of in-situ/on the job facilitation.

Thus, immediately after elections, on the ground facilitation support by mentors/CSOs needs to be provided to Panchayats for holding the first Panchayat meeting, forming SCs, holding the first Gram Sabha, etc. Each Panchayat may be supported in the first three months intensively and then on a need basis through frequent visits by mentors/CSOs.

A cadre of mentors and CSOs which is similar to the current cadre of trainers needs to be built by PRD, along with a cadre of CSO partners through a systematic programme of identifying, selecting, training, skill building, and continued M&E. Current master resource persons may also be allowed to be a part of such a cadre subject to their selection and qualifying the steps of training, examinations, and certification.

9.3.8 Developing a Peer Force

At present there are weak positive peer pressures operating for capacity building. Positive peer pressure acts as a binding agent for CB&T and facilitates its stronger intake.

Peer is defined as 'person of equal standing'. A peer force/network is defined as a 'place to belong'. Holistic developmental approaches argue for a 3-pronged approach to capacity development comprising of:

- Individual capacity development.

- Constituency/community development.

- Creating an enabling environment.

Developing a peer force/networks/forums is a constituency development component of PRI-CB&T.

This component is missing in the state PRI-CB&T at present. We suggest that PRIT/SIRD should incorporate this component in its service delivery.

The role of PRIT/SIRD will comprise of:

- Providing soft support including technical, management, and CB&T towards forming networks/associations/forums of ERs/EWRs at various levels as per the willingness of the constituency members through external facilitating institutions/individuals.

- Providing small budgets/facilities for secretarial/administrative assistance to such networks.

- Providing linkages to such different networks/forums to interact with each other.

If appropriately facilitated such networks will further holistic PRI-CB&T.

9.3.9 Adding the Component of Development Communication

Creating an enabling environment along with raising capacities of individual ERs are required for holistic capacity development. Creating awareness and sensitizing ERs towards newly emerging realities, requires broad basing and not focused training. Development communication and training thus go hand in hand and need to have an integrated design strategy and not separate strategies.

The holistic capacity development approach is a 3-pronged approach comprising of a focus on key stakeholder/s, constituencies/communities as well as their environments as proven by most developmental approaches.

Thus, empowering stakeholders and ensuring utilization/claiming of space provided by statutes for democratic functioning of PRIs will need a wider canvas and the component of development communication for spreading awareness among stakeholders for strengthening Gram Sabhas, Panchayats, Standing Committees, and people at large.

The essential components of such a strategy will comprise of:

- Need assessment—to define current awareness levels and the needs of all categories of PR stakeholders.

- A Development Communication (DC) strategy to address the need of creating awareness leading to the creation of an enabling environment.

- A detailed DC plan including content, media mix, and schedule.

- DC budget.

A draft DC strategy is outlined based on the limited understanding gained from the rapid field and desk research as a starting point and to demonstrate the planning and effort which should go in for developing a comprehensive DC strategy. The state should fine-tune this strategy based on detailed field research and implement it.

9.3.10 Need for Developing Role Models—PRIs and ERs

The state has had a long system of recognition and rewards for beacon Panchayats. This was started on the recommendation of the State Finance Commission (SFC) but was stopped about four years ago due to the recommendation of the subsequent State Finance Commission. The contention of the SFC that some GPs should not be rewarded for the work which they are anyway supposed to do is true.

However, recognizing role models from among institutions and ERs is one of the key components of positive reinforcement. This type of recognition and intangible and tangible rewards provide:

- Positive motivation for the recognized entities for further progress.

- Role models inspire others and become examples.

- Benchmarking of the performance of democracy at the grassroots level.

- Accelerated learning and scaling up potential—adults learn through experiences and by doing.

- Exposure visits to demonstration Panchayats, meetings/panel discussions/experience sharing with model ERs/EWRs serve all these purposes.

Thus, developing role models from among PRIs and ERs is suggested as an important component of the proposed strategic framework.

The definition of model GPs should also incorporate process indicators and not only result/output indicators. The process indicators may include:

- Democratic and inclusive processes are a basis for consultations, conflict resolution, and decision-making.

- Roles of heads of body incorporates (Pramukhs, presidents/Adhyakshs/chairpersons of Kshetra and District Panchayats and chairpersons of SCs) is facilitative and promotes and strengthens appropriate processes and team building.

- Where the role of Panchayat officers (PRD officers and other line department officers) gives due cognizance to the roles, duties, and authorities of the constituted ERs and PRIs and who play facilitative, mentoring, information providing, documentation, and decision recording roles.

- Gram Sabhas are called in a timely fashion and attended by the general population. All SCs are formed and are duly functioning with clarity about their roles and with appropriate division of functions and duties between the body incorporates and SCs.

- Proactive disclosures are made by body incorporates and PR officers.

- All stakeholders are given due recognition and space for discussions, questioning, commenting, and participating in decision-making including SCs/STs and EWRs.

While the process indicators may be relatively intangible to quantify and assess, their inclusion sustains enthusiasm with recognition coming with time. Result indicators are achieved after a journey of 3–5 years and it is difficult to sustain the journey for results if there is no recognition in the meantime of the processes.

9.3.11 Need for Further Strengthening Outsourcing—Trainers, Mentors, and CSOs

With the exception of recent initiatives of contracting SPAs, the state PRD has taken limited initiatives of engaging civil society in PRI-CB&T. These experiences have been mixed.

A large number of ERs have to be trained, for which differing training workloads as per NCBF (NCBF prescribes almost 80 per cent of the training to be delivered in the first year after elections of ERs and then refreshers for subsequent years. Of course the state can always deliver additional training as required), and a holistic capacity building strategy (not limited to training but including development communication, on the job training, role model, and peer networks) all argue that the state government alone cannot deliver 100 per cent capacity building. PRIT may play various roles of a knowledge producer, M&E, and training developer and also a limited role of being a training implementer but a significant portion of implementing the training will have to be done by SIRD and by civil society.

Resources may be drawn from all segments of society including academicians, the corporate sector, freelance professionals, NGOs, CBOs/self-help groups, ERs and ex-ERs, retired government officials, and NYKs. A volunteer drive targeting college youth and housewives will also strengthen the role of civil society in PRI-CB&T delivery and make it more enriching.

The state PRD has taken a very welcome initiative of training of trainers and trained about 1,600 ERs to act as trainers. A careful selection of final trainers based on their willingness and capacities may be carried out and this force may be deployed as part of training resources.

This strategy is part of modified training.

9.3.12 Need for Strengthening Research

Research is a forward looking component of PRI-CB&T and can help in generating value added knowledge to the ongoing PRI-CB&T programme. A well designed research programme:

- Helps improve the PRI-CB&T programme and enhances its quality.

- Shortens the learning curve and the costs associated with it.

- Revitalizes the human resources associated with developing and delivering PRI-CB&T.

At present there is no emphasis on research and while some ad-hoc research does get done in bits and pieces there is no real time feedback for the ongoing PRI-CB&T. SIRD has very little to do in training ERs and also for research at present.

PR is a unique system in India and while significant research has been carried out in various states, UP needs to start its own research programme to ensure that this research is based on its own realities.

The state has an adequate resource base to support research endeavours in terms of universities/colleges of social sciences, management sciences, humanities, and professionals/NGOs.

9.3.13 Need for Building Partnerships and Developing Local Resources

Till recently, the state PRD had been promoting limited engagement of civil society in PRI-CB&T. This experience was mixed mainly due to issues of non-clarity of ToRs, no sound selection of NGOs, and weak/non-existent M&E.

However, recently the state PRD has engaged four large SPAs and also SIRD in a stronger manner in implementing training.

Reaching about 9–10 lakh people (ERs and support functionaries) every year is challenging. Many roles which provide a higher value, including those of catalysts, regulators, M&E, and training managers are available with implementing training being only one of these. It is felt that PRIT and SIRD should both assume a proper role mix from these roles.

Engaging CSOs in PRI-CB&T is a sensitive and at times controversial task. Transparency and meritocracy in selecting, coming up with comprehensive ToRs, a strong M&E system, and timely payments with sound contract management are all crucial for ensuring propriety in the public domain. MoPR has recently come out with a reference guide on outsourcing, which may be useful for the state in developing its own outsourcing system.

Another important issue here is that of existing capacities of NGOs and availability of CB&T ready NGO partners. While there are 4.2 lakh registered NGOs, availability of good and dedicated NGOs is much less. CB&T intervention ready partners will also be few as compared to the large needs. Thus, some investment will have to be made by the state in raising the capacities of selected NGOs over the medium-term to ensure availability of resources.

Local resource building will make PRI-CB&T sustainable.

9.3.14 Need for Strengthening Knowledge Management at the State and National Levels

Information and knowledge empowers. Knowledge is also a basic right. Lack of required information and knowledge restricts all kinds of access and proves to be a constraint in exercising rights and choices available to the stakeholders. Access to information and knowledge is now accepted as one of the key causal factors influencing poverty.

Knowledge management deals with capturing, transmitting, storage, and dissemination of generated/accrued knowledge and information from/to all stakeholders.

At present the function of knowledge management is absent/weak in the entire schema of PRI-CB&T. We argue that a strong function of knowledge management will:

- Accelerate the process of holistic PRI-CB&T.

- Reduce the learning curve (due to cross learning/learning from each other).

- Usher in greater transparency and trust and a healthy relationship among different PRI constituencies (working for a shared purpose/objectives but with different mandates/operating cultures/work practices).

- Promote and strengthen right based approaches, inclusivity, and in mainstreaming diversity.

The need for the knowledge management function is at both the levels—at the state level (PRIT) and at the national level (NIRD/MoPR). MoPR through the CDLG Project has a knowledge gateway and has started regular interaction meetings.

9.4 Recommendations

The key recommendation emerging from this section is that the state's response has to move from a traditional training model towards a holistic capacity development approach and needs a comprehensive package of strategies for holistic and all round development of PRIs and their stakeholders' capacities.

The package of strategies comprises of:

- A modified training strategy through a differentiated approach towards training (different methodology mix, training material, etc.).

- On the job training of ERs.

- Empowering engagement processes among PEOs and ERs.

- Facilitating the development of a peer network.

- Recognizing and rewarding role models from among PRIs and ERs.

- Development communication.

- Research.

- Knowledge management.

- Convergence.

- Contributory partnerships strategy.

Each of these strategies needs to be developed based on a need assessment and field data with action plans and budgets for implementation. All the strategies require a comprehensive package of systems which will need to be developed to implement the strategies in an optimal manner.

10. CAPACITY ASSESSMENT: SYSTEMS

Systems are standardized ways/methods/procedures/protocols/guidelines of doing repetitive tasks. Systems capacity is the capacity of the PRI-CB&T sector due to systems.

Properly defined and implemented systems yield significant benefits in terms of saving time and costs, appropriate decentralization, ensuring transparency and proactive disclosures, and ensuring consistency of performance among diverse cultural and work practices over a period of time. Improperly defined systems on the other hand restrict workflows, create delays, and make decision-making difficult.

As is evident, all policies, programmes, strategies, and plans will require some kind of systems to implement them.

10.1 Systems Menu

Systems are of varied types (see Figure 9).

Figure 9: Systems Menu in PRI-CB&T

TECHNICAL SYSTEMS	TRAINING NEED ASSESSMENT, TRAINING DESIGN AND MODULE DEVELOPMENT, TRAINING DOCUMENTATION, TRAINING MONITORING AND REPORTING, TRAINING EVALUATION, ETC.
MANAGEMENT SYSTEMS	STRATEGIC PLANNING, OPERATIONAL PLANNING/MICRO PLANNING, M&E, MIS, PROJECT MANAGEMENT, QUALITY ASSURANCE ,ETC.
PROCUREMENT MANAGEMENT SYSTEMS	PROCUREMENT MANAGEMENT SYSTEM, CONTRACT MANAGEMENT SYSTEM
HR SYSTEMS	RECRUITMENT, REMUNERATION, PERFORMANCE APPRAISAL, REWARD-PROMOTION/INCREMENTS, TRAINING AND DEVELOPMENT, RETIREMENT/TERMINATION, ETC.
ADMINISTRATIVE SYSTEMS	ASSETS MANAGEMENT, MAINTENANCE, INSURANCE, ETC.
FINANCE SYSTEMS	ACCOUNTING, AUDITING, FUND AND CASH MANAGEMENT, ETC.
NETWORKING/INTERFACE SYSTEMS	CONVERGENCE SYSTEM, COORDINATION AND COMMUNICATION SYSTEM, ETC.

- Technical systems—TNA, training design and module development, on the job training, convergence, developing experiential learning tools, exposure visits, ToT system, mentor development and management system, research management system, etc.

- Management systems—strategic and operational planning, M&E, MIS, project management, quality assurance, etc.

- Procurement and contract management systems—procurement systems, contract management/outsourcing management systems, etc.

- Administrative systems—concerned with day to day work and information/instructions/orders flows.

- HR systems—concerned with recruitment to retirement/termination cycle management of HR including recruitment and selection, postings, fixing remunerations/salaries, increments/rewards, transfers/promotions/termination/retirement, training and capacity development, HR administration, etc.

- Finance, accounting and auditing systems.

- Networking/interface systems—convergence system/protocols, communication and coordination, mainstreaming, etc.

10.2 Recommendations

The state PRD/PRIT needs to develop detailed systems/protocols/guides (IT driven where need be) to ensure effectiveness in PRI-CB&T. These systems are needed for ongoing strategies/interventions as well as for proposed/new strategies/interventions.

11. Capacity Assessment: Institutional Structure

11.1 Key Institutional Structures

Till recently the state had no clear nodal institute for PRI-CB&T. SIRD with its significant infrastructure and geographical footprint of 50 RIRDs/DIRDs, about 600 sanctioned positions (about 50 per cent filled currently), and prioritized RD sectoral programme delivery over ERs, had very little dialogue with the state PRD. In recent times, however, SIRD has been involved in implementing training at the ZP/KP levels by the state PRD. SIRD's infrastructure though spread out needs refurbishing and IT/ICT additions. While the SIRD staff is experienced in sectoral training they need to be sensitized to PRI issues and the holistic nature of CB&T required for PRIs. Continuing training of its staff has not been a systematic affair in SIRD; there has only been occasional training. Communication among SIRD/RIRDs/DIRDs also needs to be much stronger with more frequent meetings, sharing through learning, etc. in real time, which is not happening at present. A significant number of DIRDs/RIRDs are underutilized (as low as 20–30 per cent overall) and there lies the potential of collaboration with PRIT. Though SIRD is an indispensable training implementation partner with the potential of taking on a significant workload, its roles of knowledge development, delivery of all the ten strategies, M&E, and supporting a large civil society initiative all seem difficult. This is because of its mandate and workload in RD and sectoral training programmes, its nature of being a government department, and its own rhythm of working. Immediate scale ups in SIRD are not likely to happen in all these areas. Thus, SIRD can play a strong and nodal role of implementing training, but all its other roles must be allocated to PRIT.

The proposed PRIT has a building under construction and minimal staff is provided in the proposal. There seems to be no clarity about its vision and the course of action which it should take in the future. This is one of the key issues in the institutional structure.

A linkage between the state PRD and SIRD has been forged in the recent past and needs to be sealed by a strong MoU for long-term partnership and clarity of roles and workloads between PRIT and SIRD.

11.2 Other Training Institutes and Scope for Convergence

There are many other training institutes in government departments some of which are also autonomous. The significant ones include UPAAM, SIFPSPA, SIHFW, training institute of the Planning Department, training and research institute of the Finance Department, forestry training institutes, Krushi Prashikshan Kendra, NIC training centres, the Animal Husbandry Training Institute, NEDA training centre of the Energy Department, farmers' field training institutes, bankers institute for rural development, state resource centres of the Sakshar Bharat Mission, and vocational training institutes of the Social Welfare Department. All these institutes have specific focus, varying infrastructure, and differing outreach. The potential of convergence exists in sharing resources like trainers and infrastructure. Though all these put together may not add significant capacities for implementing training there are advantages in strategic areas of holistic capacity building and intangible but important benefits of convergence through policies, integrated planning, and budgeting and scheduling of CB&T initiatives across the state.

11.3 Role of Civil Society and Partnerships in PRI-CB&T

The networking structure (linkages with external resources and civil society) seems to be weak in both SIRD and PRIT except for the recent contracting of SPAs by the state PRD.

As per current data from the Registrar's Office, about 4.2 lakh organizations are registered as voluntary organizations in the state. In the consultations that we had with the government and civil society, there was converging opinion that though there are many NGOs, a majority of them may exist only on paper and/or be fly by night operators. CAPART has a database of 10,000 NGOs and 72 nodal NGOs. A survey carried out by NGOs identified about 36 networks of NGOs in UP, most of them issue-based, with some of them being broad based. While the experiences of working together both by the state government as well as NGOs have been mixed, SIFPSPA and UNICEF opined that with careful and transparent selection of NGOs, clear ToRs, timely payments, and a strong M&E system no issues came up in their work with NGOs. This learning provides an important way to work with NGOs in UP.

Lakhs of self-help groups have been set up by various departments under many schemes. However, how many of them are active right now is a moot question.

It is also our reading that PRI-CB&T ready NGOs may be very few in the state. Significant capacities of NGOs will have to be built by PRIT in the spirit of long-term partnerships to build an effective supply chain of PRI-CB&T delivery. Developing partnerships and local resources are thus strongly indicated and should form part of the PRI-CB&T strategy.

11.4 Infrastructure Availability Across the State for PRI-CB&T

Apart from the institutes mentioned above at the state level (several of them with outreach at the district and block levels), the following infrastructure exists in the districts and blocks:

- DIETs in each district with full-fledged and mostly residential facilities.

- Block Resource Centres in all blocks (821), with facilities to train up to 50 participants at a time.

- DPMUs—though DPMUs have their own programmatic priorities they have been involved in PRI-CB&T delivery with mixed results. At present it is planned that about 19 DPMUs will be involved in selected districts based on their interest in training at the ZP/KP levels.

- SPAs (4) are involved in training of GP level functionaries (Pradhan+ three GP members from each GP planned to be covered). This will be non-residential training.

Additionally, the District Collectorate and CDO offices have conference rooms and most of the GPs in the BRGF districts have Panchayat Bhawans. All these facilities can be used for training when they are free.

Looking at the overall scenario large investments in infrastructure for PRI-CB&T may not be required except for renovating DIRDs/RIRDs and investing in ICT/IT infrastructure.

11.5 PRIT's Proposed Functional Institutional Structure

This report outlines a broad based functional structure for PRIT in the chapters that follow. This will have to be detailed out for work relationships and interlinks of various institutions/designation holders through defined parameters of authorities, responsibilities, and reporting.

The functional structure suggested for PRIT comprises of five key functions along with its interaction with an external resource pool as outlined in Figure 10.

Figure 10: Proposed PRI-CB&T Supply Chain for UP
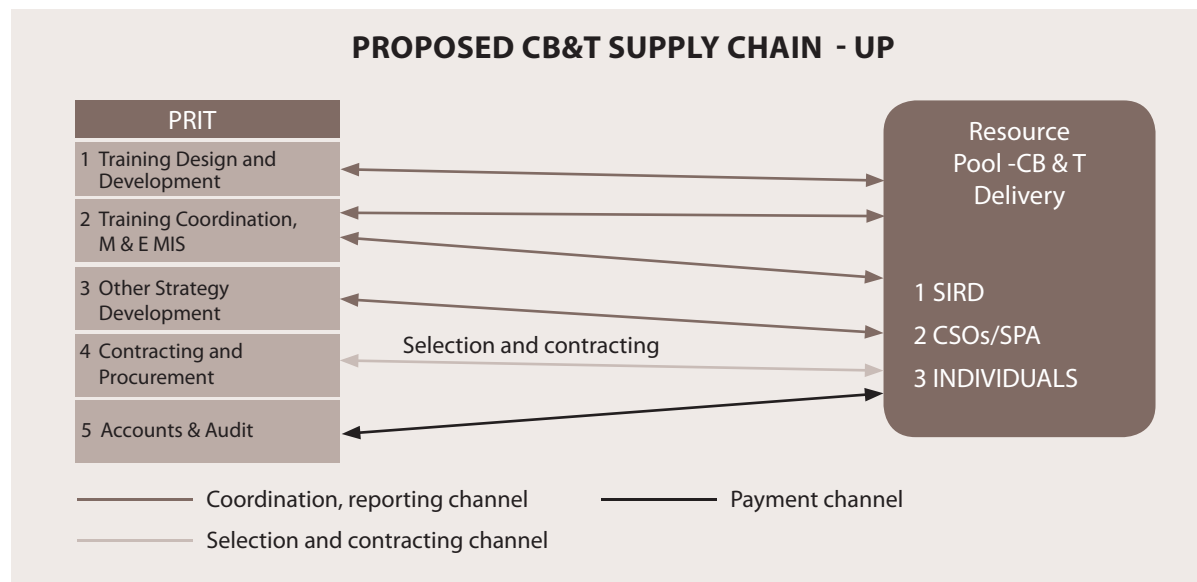
Functional responsibilities for developing and implementing the suggested strategies are highlighted in Figure 11.

Figure 11: Functional Responsibilities for Developing and Implementing Strategies

Strategy Responsibility

Print Departments / function	Strategy
1 Training Design and Development	1 Modified Training
2 Training Coordination, M & E, MIS	2 M & E Including MIS 3 Knowledge Management 4 Convergence
3 Other Strategy Development	5 On the Job Training 6 Developmental Communication 7 Role Model Reward 8 Peer Network Development 9 Empowering Engagement Process
4 Contracting and Procurement	10 Contributory Partnership Development
5 Accounts & Audit	11 Resource Mobilization, Audit

Different functional departments will work with varying skill sets of external resources as highlighted in Figure 12.

Figure 13: Key Tasks and Deliverables

Skill Mix of External Resources

Print		External Resources - Institutes/ Individuals	
1	Training Design and Development	1	Technical experts gender, Panchayat Act, Rules and Regulations, Schemes, RTI, Computer/IT emerging issues etc.
		2	Editors, translators
		3	Printers
2	Training Coordination, M & E, MIS	1	Training experts-SIRD , SPA/ CSOS, DPMUs individual experts
		2	M & E experts
		3	Evaluation panels - role models (PRIs, ERs)
3	Other Strategy Development	1	Developmental communication - Community radio operators, folk performers, visual media contractors
		2	Mentors- on the job training, empowering engagement processes
		3	Research experts
		4	Peer network supporters
4	Contracting and Procurement	1	Institutional appraisal experts - Technical, financial
5	Accounts & Audit	11	Resource mobilization, audit

The key tasks of each functional department are given in Figure 13.

Figure 13: Key Tasks and Deliverables

Print		Key Tasks		Key Deliverables	
1	Training Design and Development	1	TNA	1	TNA Reports
		2	Core and other curricula	2	TOT Manuals
		3	Developing TOT manuals	3	Learning aids manuals
		4	Developing basic participants handouts	4	Basic Trainings audio visual aids
		5	Developing basic audio visual aids	5	Participants Manuals
		6	Developing training aids		
		7	Printing training material		
2	CB & T Coordination M & E	1	Sanitizing new CSOS, Trainers, mentors	1	Capacity building and training calendar
		2	Training and other strategy micro planning	2	Capacity building and training performance report
		3	Allocating themes, geographical areas, target groups	3	Capacity building and training documentation
		4	Communicating with concerned district functionaries	4	Yearly capacity building and training evaluation report
		5	Performance assessment & monitoring of CSOS-MIS based		
		3	Third party evaluations/monitoring		
3	Other strategy development	1	Research	1	Capacity development strategies
		2	Fine-tuning strategies/planes, budgets - developmental communications, research , role model, pear network, on the job training, empowering engagement	2	Capacity development plans and budgets
		3	Approving community radio schedules folk performance, scrip, films, research proposals etc.	3	Films, scripts, audio clips, posters hoarding etc.

Print		Key Tasks		Key Deliverables	
4	Contracting and Procurement	1 2 3	Sections of CSOC/ individuals Sanitizations/inductions of new CSOS individuals Contracting of CSOS/ individuals	1 2 3 4	CSO appraisal manual Contracting manual New CSOs Sanitization manual Adequate data bank of pre qualified selected CSOs
5	Accounts & audit	1 2 3	payment based on certification by CB-BT M & E Audit Yearly budgeting and cash flow management	1 2 3	Invoice/Payment Status Report Concurrent and Year end Audit Yearly Budget and Cash Flow Statement

PRIT is envisaged to be a system driven organization as is befitting for a sensitive task holder working with significant external resources. Its key systems are outlined in Figure 14.

Figure 14: Key Systems/Frameworks and Databases for PRIT

Print		Key Tasks		Key Deliverables	
1	Training Design and Development	1 2 3	TNA framework/guide Training module design guide Learning audio visuals preparation guide	**Master Data Basis** 1 ERS 2 Training 3 Mentors	
2	Training Coordination, M&E Development	1 2 3	Training process documentation guide Capacity building and Training evaluation guide MIS system and formats	4 CSOs 5 District/ Block/GP PRD official data base	
3	Other Strategy Development	1 2 3 4 5 6	Role model selection guide-ERs Role model selection guide-PRIs Ethical guide for research Peer network development guide Evaluation panel selection and work guide Empowering engagement process guide	**Training Data Basis** 1 ERS-Training Record 2 CSOs Performance 3 Trainers Performance	
4	Contracting and Procurement	1 2 3 4 5	CSO appraisal guide Individual resources appraisal guide Contract manual CSO appraisal guide Individual resource selection guide	4 Training/CB Calendar and plan 5 Mentors performance 6 Invoice/payment	
5	Account & Audit	1 2 3	Audit guide Payment manual Account codes and system guide		

To summarize, PRIT is envisaged as:

- A holistic capacity building institute which delivers much more than training. PRIT will achieve this through developing and facilitating the delivery of ten identified strategies.

- A higher value additive role of knowledge producer, manager, and regulator and all deliveries of PRI-CB&T through outsourcing and the PPP mode.

- A system driven institution with sound databases, systems, and strong technical systems, protocols, guides, and frameworks to ensure quality delivery consistently.

- Undertaking five key functions of training design and development; training coordination, M&E and MIS; other strategy development; contracting and procurement; and accounts and audits. Significant/ all of these functions can be outsourced through contracted arrangements of project management units/technical support units. Internalizing or outsourcing each has its own pros and cons and the state PRD will have to decide the way forward. In case of outsourcing of any of these functions their housing should be in PRIT to ensure smooth delivery of the functions. With considerable functional autonomy it will be necessary to build a collegial climate for PRIT.

The key issues to be decided further in the structuring of PRIT comprise of:

- Vision and long-term plan.

- Mandate and key areas of work.

- Form and legal entity—department, society, any other form.

- Constitution and byelaws—to ensure proper governance by the state PRD and ensuring functional autonomy to PRIT at the same time.

- Detailed organizational structure—with designations, job descriptions, specifications, reporting relationships, etc.

- Skill mix of the HR team in terms of qualifications, experiences, etc.

- IT/ICT infrastructure to ensure real time transmission of all relevant information.

- Extent of physical infrastructure needed including space, furniture, and equipment.

- Detailing out all the systems, guides/protocols as outlined earlier

- Operating budget.

- Role of district/block authorities in supporting PRI-CB&T and PRIT.

12. Institutional Structure

Institutional structure is work relationships and interlinks of various institutions/designation holders with each other through defined parameters of authorities, responsibilities, and reporting. The capacity of the institutional structure is dependent on various parameters like:

- Functional division and workload based division of work.

- Span of management control.

- Adequacy of HR—quantitatively and qualitatively.

The current PRD structure has evolved based on historical practices and norm based allocation of HR and other resources. The state does not have an exclusive nodal institute for PRI-CB&T. A dedicated CB&T institute in the form of PRIT has been envisaged and is in process of being established since 2006. However, issues of undefined budget lines for PRIT have led to delays in its development. The upcoming structure is planned to house the directorate's offices as well as PRIT. A separate women's hostel has also been constructed within the premises; this is the first building to be constructed. Currently the hostel is being used as office premises by the PMU (BRGF) and CDLG teams. These will shift to the main PRIT premises once the construction is complete. Currently CB&T initiatives are mainly being carried out by the PMU (BRGF) and CDLG teams.

Apart from this, SIRD has a huge network of training institutes across the state with 50 RIRDs/DIRDs. SIRD is currently involved as a training delivery partner for carrying out training of a majority of District Panchayat and Kshetra Panchayat ERs in the state. However, the infrastructure for RIRDs/DIRDs needs significant refurbishing and updating for state of the art training facilities. While the SIRD staff is well-experienced in sectoral training they need to be sensitized to PRI issues and the holistic nature of CB&T required for PRIs. Continuing training of staff members has not been done systematically at SIRD which only undertakes occasional training. Also, in spite of being focused on CB&T, SIRD has a much larger mandate and PRI-CB&T is just one of its agendas.

Overall, between PRD and SIRD there is a significant lack of resources, both in terms of infrastructure as well as human resources. The current structure is inadequate for transformational change management through holistic CD of PR stakeholders.

This Report proposes a holistic CB&T approach for PRIs with training being a major strategy but not the only strategy for capacity building. This Report proposes a package of ten different strategies for PRI-CB&T including training. The current training load of over 7.71 lakh ERs and a correspondingly large number of support functionaries needs a huge and coordinated effort with a very strong delivery chain, a large number of service providers, and a strong management and support structure. The current structure of the state PRD and SIRD is not equipped to cater to this huge demand. Apart from the large numbers that need to be covered, PRD also requires to shift from merely being a training manager to acting as a holistic manager for all activities related to CB&T. This will require a full-fledged and dedicated structure to carry out multitasking including strategic planning, operational planning, systems design and implementation, M&E,

CB&T design, CB&T roll out, creating partnerships, developing institutional and individual resources, establishing convergence, working as a pay & accounts office, documentation, research, and convergence. An immediate, time bound, and strong response is the need of the hour. And this need is also a long-term need,which requires a sustained solution. Under the circumstances the state PRD needs to be equipped with a multi-level structure with the following levels:

- Governance super structure—State PRD—Headed by PS-PRD and supported by a small node within the state PRD to coordinate with structures at the subsequent levels, particularly the proposed PRIT.

  – Management super structure—PRIT—Establishing a dedicated and autonomous PRIT to work as the central node for all the activities related to PRI-CB&T in the state. However, since PRIT is still being established and may take some time, a dedicated PRI-CB&T Project Management Unit (CB&T-PMU) should be established as an immediate measure.

  – Technical and other support structure—A network of external agencies and individuals to support various functions of PRIT/CB&T-PMU comprising of technical expertise and support functions. These will be outsourced agencies/individuals engaged as long-term thematic partners or as service providers on an as and when required basis.

  – Operational management structure—District and block level teams within PRD mainly looking after functions of coordination with delivery chain structures, M&E and reporting, and record keeping.

  – Delivery infrastructure—The delivery chain for training as well as other capacity building strategies at district/block/village level comprising of various service providers like SIRD with its network of RIRD/DIRD, NGOs/CSOs, SPAs, DPMUs, performing troupes, media and communication agencies, etc. This will also include a resource pool comprising of master trainers, training resource people, mentors, village level volunteers, etc.

The overall structure for the capacity development of PRIs is given in Figure 15.

Figure 15: Overall Structure for PRI Capacity Development
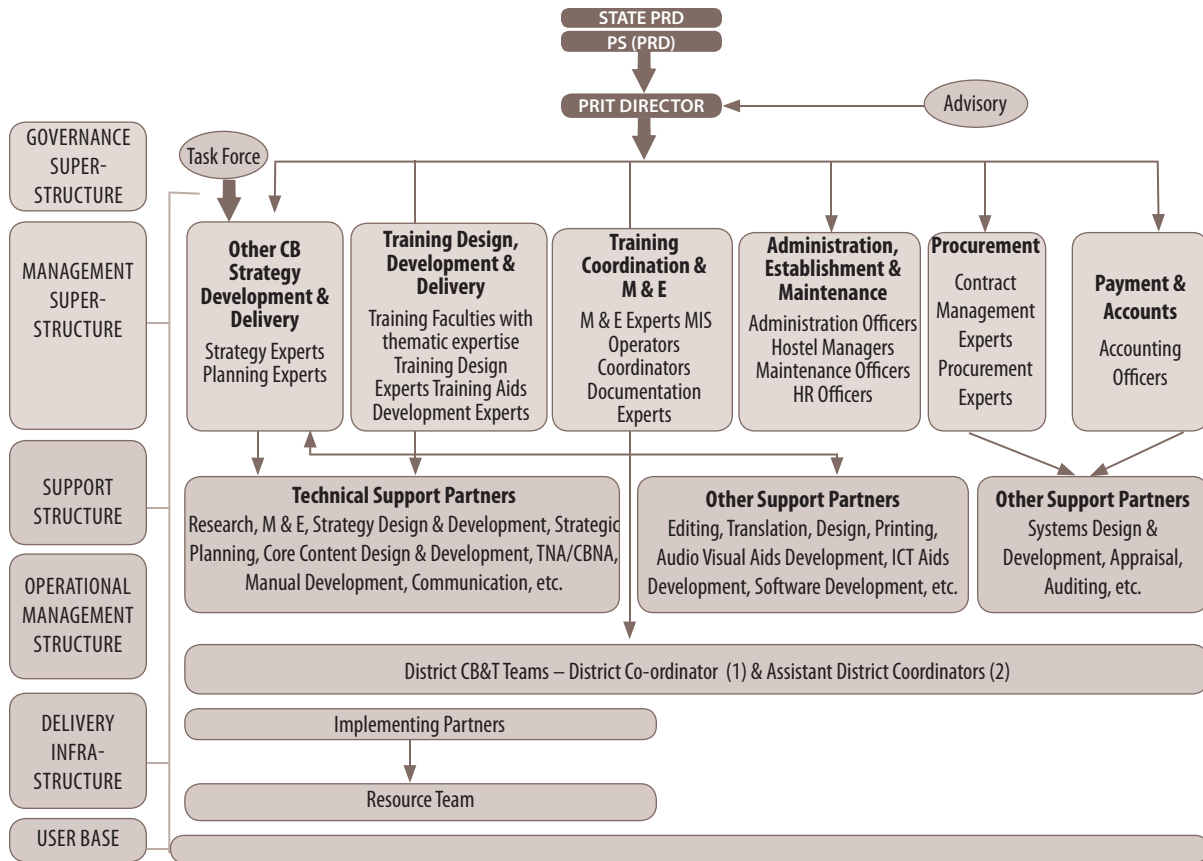
The state PRD may need to define and detail out the roles and functions of structures at different levels—team structures, scope of work, job descriptions and specifications, infrastructure required at each level, specifications of the infrastructure required, capital costs for creating the envisaged structures, and recurrent costs for maintaining the structures.

12.1 Governance Super Structure—State PRD

The state PRD will act as the governance super structure for all the capacity development initiatives in the state including implementing all the strategies suggested in this Report. PS-PRD will be the overall head of the entire structure.

Compared to the volume of current capacity development efforts being implemented in the state, the state PRD will need to move fast as the volume of efforts for capacity development will increase manifold. This will require a strong and robust management structure at the state level to cope with the implementation load of additional initiatives and strategies. Structures under the state PRD like PRIT/CB&T-PMU and others further down the chain will require much more strengthening and expansion, the state PRD will also need to be strengthened in terms of some additional resources (mainly human and infrastructure) for working as a governance and management structure for the structures under it. PRD may depute 1–2 people as the coordinating team with the proposed PRIT/CB&T-PMU. We envisage that a small, lean team

at the PRD level will be able to act as a link between PRIT/CB&T-PMU and PRD and will facilitate the various initiatives being implemented by PRIT through coordination, approvals, linkages, and adherence to systems.

State PRD: Major Functions

The major functions of the super structure are:

- Overall governance of the CB&T programme.

- Overall governance of the CB&T structure (PRIT/CB&T-PMU and others).

- Formulating policies for ensuring smooth implementation of the CB&T programme.

- Facilitating required changes in the legal context for achieving the objectives of devolution and their implementation.

- Approval of strategies, systems, plans, and budgets.

- Timely decision-making.

- Ensuring the quantum of funds required for the state.

- Ensuring timely release of funds.

- Ensuring human resources for PRIT/CB&T-PMU.

- Overall oversight and monitoring.

- Liaisoning with MoPR and MoRD for funds and technical support.

- Liaisoning with other departments for convergence.

12.2 Management Super Structure—PRIT/CB&T-PMU

PRIT is envisaged as the focal point for developing and managing all strategies, systems, plans, and budgets for the state CB&T programme. The strategies and systems required for the state CB&T have been detailed out elsewhere in this Report and PRIT will be the focal point for ensuring their implementation. PRIT will also work as an umbrella structure for all other institutional and individual support structures and service providers. PRIT is envisaged as a huge structure with a large number of individuals and agencies functioning under it.

It is also recommended that PRIT conduct training of district level ERs and support functionaries. This residential training of district level ERs and support functionaries will be conducted at the state level by PRIT. A small team of 3–4 persons can be deputed/recruited for the purpose of delivering and coordinating the training. The same team can also function as the state level coordination team for block and village level training. Initially, SIRD can also be involved in the delivery of state level training.

Based on its functional role, PRIT should comprise of the following six sections:

- Training design, development, and delivery.

- Developing and delivering other strategies.

- CB&T coordination and M&E.

- Administration, establishment, and maintenance.

- Procurement.

- Payments and accounts.

The key tasks and deliverables for each of the sections are given in Table 10.

Table 10: PRIT's Key Tasks and Deliverables

PRIT Section	Key Tasks	Key Deliverable
Training design, development, and delivery	• TNA • Core and other curricula • Developing ToT manuals • Developing basic participants' handouts • Developing basic audio-visual aids • Developing training aids • Printing training material • Conducting training at the state level for district ERs and support functionaries	• TNA reports • ToT manuals • Learning aids manuals • Basic training audio-visual aids • Participants' manuals • Training report of district level training
CB&T coordination and M&E	• Sensitizing new CSOs, trainers, mentors • Training and micro-planning for other strategies • Allocating themes, geographical areas, target groups • Communicating with concerned district functionaries • Performance assessment and monitoring of CSOS (MIS based) • Third party evaluations/monitoring	• Capacity building and training calendar • Capacity building and training performance reports • Capacity building and training documentation • Yearly capacity building and training evaluation reports
Other strategy development and delivery	• Research • Fine-tuning strategies/plans, budgets—developmental communication, research, role model, peer network, on the job training, empowering engagement • Approving community radio schedules, folk performances, scripts, films, research proposals, etc.	• Capacity development strategies • Capacity development plans and budgets • Films, scripts, audio clips, posters, hoardings, etc.
Contracting and procurement	• Selection of CSOs/individuals • Sensitization/induction of new CSOs/individuals • Contracting of csos/individuals	• CSO appraisal manual • Contracting manual • New CSOs' sensitization manual • Adequate data bank of pre qualified, selected CSOs
Payment & accounts	• Payments based on certification by CB&T • M&E • Audit • Yearly budgeting and cash flow management	• Invoice/payment status reports • Concurrent and year-end audits • Yearly budget and cash flow statements
Administration, establishment, and maintenance	• HR, record keeping, developing systems and implementing them • Campus maintenance and safety • Safety and security systems implementation • Basic systems like water supply, sewage, power supply, and ACs • Maintaining assets	• Systems manual • Reports of quality checks • Functional assets and systems

12.2.1 PRIT: Major Functions

The major functions of PRIT can thus be envisaged as:

- Periodic CB&T needs assessment for the state.

- Designing and developing CB&T strategies for the state.

- Designing and developing CB&T plans and budgets for the state.

- Presenting plans and budgets to the state PRD and seeking approvals and funds.

- Facilitating the implementation of CB&T strategies through thematic partners and other service providers.

- Conducting training at the state level for district level ERs and support functionaries.

- Designing and developing CB&T systems and procedures for the state.

- Designing and developing all learning aids as required by various strategies including training manuals and modules.

- Identifying and mobilizing/selecting (through appropriate procedures) institutional and individual resources for implementing various strategies for CB&T in the state (including CSO partners, resource people, communication agencies, ToT, research agencies, documentation experts, M&E experts, and various such service providers for technical, management, administrative, and logistics support).

- Management and oversight of district/block level teams (approving plans and budgets, providing technical support, providing training and capacity development, monitoring, feedback, performance assessment, releasing funds as required, and collecting SoEs and UCs).

- Managing funds for CB&T for the state and disbursing them further to SPAs, CSO partners, consultants (agencies and individuals), etc. and ensuring timely SoEs and UCs.

- Outsourcing various activities as required through appropriate processes and managing contracts, assessing performance, monitoring progress, releasing funds, and ensuring achievement of desired deliverables.

- Conducting ToTs and training for state and regional level functionaries, convergence partners, etc. and all such training that is conducted at the state level.

- Evaluation of various CB&T initiatives in the state.

12.2.2 PRIT Team Structure and Functional Management

PRIT is envisaged to have a functionally strong and adequately large team to carry out its envisaged role. PRIT's team structure will be based on its six sections as defined above. PRIT will require a mix of human resources in each of the sections (Table 11).

Table 11: Human Resource Mix for PRIT

PRIT Section	Type of Human Resources Required
Training Design and Development	• Training faculties with thematic expertise • Training design experts • Training aids development experts
CB&T Coordination and M&E	• M&E experts • CB&T coordinators • MIS operators • Documentation experts
Other Strategy Development and Delivery	• Strategy experts • Planning experts
Contracting and Procurement	• Contract management experts • Procurement experts
Payment and Accounts	• Accounting professionals
Administration, Establishment, and Maintenance	• Administration functionaries • Hostel managers • Maintenance functionaries • HR functionaries

PRIT may comprise of a team deputed fully of government employees, or it may comprise of a mix of government employees and contractual professionals. PRIT will require a thoroughly professional team with expertise in respective functional areas and the selection of individuals should be done after a rigorous appraisal process. Focus should be on selecting the best available resources, from within government or contracted them from the open market. One of the effective methods which can be considered can be outsourcing the management of three key technical functions of training, design, and development; CB&T coordination and M&E; and developing and delivering the development of other strategies to a professional agency.

The outsourced agency will have a specified ToR with clearly spelt out roles, tasks, and deliverables based on a result based framework to ensure envisaged outcomes. The agency will depute the required professionals to PRIT and these professionals will be housed in PRIT and will report to the PRIT Director and work in coordination with PRIT teams. This practice has been followed by other government departments/agencies and has provenance.

Advisory Panel

PRIT will form an advisory panel comprising of leading experts in different functional areas. The advisory panel will meet once in a quarter, or more if needed, and provide expert inputs, strategic directions, and advisory services for various strategies and their implementation. This panel can also comprise of senior functionaries from other government departments, CSOs, academic institutions, researchers, etc.

Task Force

PRIT will form task forces for different themes as required. The task forces will be small teams formed for specific tasks or themes. These teams will take up the role of special purpose vehicles for specific tasks. Task forces can be formed on themes like communication, literacy, training, gender, and empowerment of women or for special tasks like training evaluation, designing the mentor selection criteria, assessing resource people, and training manual design/pre-testing.

The task force teams can comprise of PRIT members, service providers, technical support partners, ERs, support functionaries, CSO team members, mentors, resource people, and other interested people.

PRIT will provide space and infrastructure to the task force teams and will also facilitate the entire process. The task force teams may be offered an honorarium and actual costs for travel, food, etc.

12.3 Support Structure

The support structure for PRIT comprises of external agencies and individuals providing long-term or need based support. PRIT is visualized as a node with a core team for CB&T and there will be a need for involving thematic experts for designing, developing, and delivering various strategies planned for CB&T in the state. Table 12 provides an outline of the various areas where external skills will be required.

Table 12: External Resource Mix for PRIT Functional Areas

PRIT Section	External Resources —Institutional/Individual
Training Design, Development, And Delivery	• Technical experts—gender, Panchayat Act, rules and regulations, schemes, RTI, computer/IT, emerging issues, etc. • Editors, translators • Printers • Aid developers • Technology/ICT aid developers • Software development
Training Coordination And M&E	• Training experts—SIRD, SPA/CSOs, DPMUs, individual experts • M&E experts • Evaluation panels—role models (PRIs, ERs)
Other Strategy Development and Delivery	• Developmental communication—community radio operators, folk performers, visual media contractors • Mentors—on the job training, empowering engagement processes • Research experts • Peer network supporters
Contracting And Procurement	• Institutional appraisal experts—technical, financial
Payment & Accounts	• External auditors

While PRIT may engage institutional/individual resources from time to time as per the needs, it would be worthwhile for it to establish long-term partnerships with reputed institutes with specific areas of expertise like research partners, communication partners, and ICT partners.

Similarly, PRIT should develop a database of empanelled institutes/individuals for each of the thematic areas mentioned earlier at the very beginning so that it does not need to identify and procure processes every time the need arises.

12.4 Operational Management Structure

The state will require efficient structures at the district and block levels to coordinate and support the activity load under CB&T. On an average a district in UP comprises of about 10,000 ERs, which in itself is a huge volume. CB&T activities addressing such a huge volume will have a high level of workload with numerous activities taking place simultaneously. As per the state's experience of conducting training for ERs through SPAs, 40–50 training events may simultaneously be conducted in a district at any given point in time. Coordinating this activity load and monitoring and providing support as required will require dedicated human resources. The current PRD structure has DPROs at the district level and ADOs (Panchayat) at the block level as the only available human resources dedicated to implementing PRD activities at the district and block levels. While these individuals already have a huge workload with programmatic responsibilities,

there is no other human resource available to carry out the additional responsibilities which are envisaged to emerge through implementing CB&T strategies as suggested in this Report. We suggest placing dedicated human resources at the district level to address the CB&T component. The district CB&T team will be required to carry out the two important functions of coordination and M&E. These teams will basically work as focal coordinating nodes for all CB&T related activities at the district/block/village levels.

12.4.1 District CB&T Team: Major Functions

The major functions of the district CB&T are envisaged as:

- Preparing district-wise CB&T plans with budgets.

- Presenting plans and budgets to PRIT and seeking approvals and funds.

- Coordinating with district and block governments and line departments for CB&T related activities.

- Preparing and maintaining a database of all PRI functionaries including ERs and support functionaries.

- Identifying (through appropriate procedures laid out by PRIT) institutional and individual resources for implementing various CB&T strategies (including CSO partners, resource people, communication agencies, resource people, and mentors).

- Identifying delivery chain partners at each block level.

- Preparing a training schedule for each district and block.

- Overseeing the training being conducted by delivery chain partners.

- Managing and overseeing the delivery chain partners (approving plans and budgets, providing technical support, monitoring, feedback, performance assessment, releasing funds as required and collecting SoEs and UCs etc.).

- Monitoring delivery chain partners through monthly review meetings, reports, performance assessments, feedback systems, etc.

- Ensuring timely and quality implementation of all activities and guidelines set by PRIT at the district/block level.

12.4.2 District CB&T Team: Structure

We envisage a team of 2–3 people for each district depending on the size of the district. The structure and broad functional roles of this team are given in Table 13.

Table 13: Structure of the District CB&T Team

Category	Number of Positions	Envisaged Roles
District PRI-CB&T Officers	1	• Overall CB&T management at the district level • Planning and budgeting • Coordination with line departments • Partnerships and linkages with district level institutions, CSOs, etc. • Overall coordination with service providers
Assistant PRI-CB&T Officers	1–2	• Coordination with service providers at the block level for the respective blocks allocated • In charge of 6–10 blocks each • Monitoring of the activities at the block level • Coordination with block level functionaries and line departments • Identifying support structures and service providers at the block level for tasks like training venue, L&B, audio-visual aids, and so on • Preparing and maintaining various databases

The state PRD will need to establish these district CB&T teams within PRIT/CB&T-PMU.

12.5 Delivery Infrastructure

The delivery infrastructure in PRI-CB&T comprises of a large number of agencies/individuals which are direct service providing units for the large base of PRI functionaries. Currently the training delivery is ensured through SIRD, SPAs, and DPMUs. However, with the proposed package of services and strategies, multiple service providers will be required for different activities. These will include institutional resources like SPAs, CSOs, SIRD along with RIRDs/DIRDs, other PPP partners, folk media troupes, media and communication agencies, and community radio operating agencies on the one hand and individual resources like mentors, master trainers, training resource people, and village volunteers on the other.

12.6 The CB&T Project Management Unit

As discussed earlier, PRIT is envisaged as the nodal CB&T institute for Uttar Pradesh. However, establishing PRIT will take time. Currently the construction for the main premises is being done. However, the state PRD still needs to have a clear plan for PRIT with decisions/clarity on the following aspects:

• Vision, objectives, and mandate of PRIT and defining key areas of work.

• Deciding form and legal status.

• Revenue model.

• Formulating a constitution and byelaws for PRIT.

• Linkages and nature of relationship with other institutions.

• Governance and HR structures with clearly defined roles and responsibilities, key result areas, and reporting relationships.

• Package of services.

• Detailing out all systems, guidelines, and protocols as outlined in this Report.

- Plan for IT/ICT infrastructure to ensure diverse databases and real time sharing of all relevant information.

- Designing and using a plan for the physical infrastructure needed including space, furniture, and equipment.

- Working out operating budgets and providing these through sources as decided.

- Working out a model of extension services to the district/block level.

The state PRD has already initiated the process of developing a DPR for PRIT which is envisaged to facilitate a majority of these aspects.

Meanwhile, with a new batch of ERs being in place for almost a year, CB&T is an immediate priority. The state PRD has already carried out one round of training covering about one-third of the ERs with the help of the PMU (BRGF) and CDLG Project teams. The process of identifying more SPAs through the outsourcing mode has been initiated for the second round of training. However, the CB&T challenge in its entirety is a huge task and the state PRD will need a larger and dedicated team to address this till the proposed PRIT is fully operational. We suggest establishing a CB&T Project Management Unit (CB&T-PMU) solely dedicated to carrying out CB&T activities. CB&T-PMU can be placed either in the functional portion of the PRIT building or at any other suitable location. CB&T-PMU will spearhead the CB&T activities of the state PRD from planning to implementation. It is envisaged that once PRIT is fully functional, CB&T-PMU may be merged with PRIT. However, it will address the huge CB&T challenge till PRIT becomes functional and takes over the function. CB&T-PMU can also be managed through outsourcing to a service provider who is well versed in providing such support. This has been tried out in other sectors and government departments and has proved to be an efficient model.

CB&T-PMU can have a HR mix in line with the HR mix suggested for PRIT in this Report. Training faculties and human resources associated with establishing, maintaining, and hostel and catering management may not be required at this stage. The district CB&T teams suggested earlier in this Report will serve as the district level arms of CB&T-PMU and will report directly to it.

12.7 SIRD's Role

SIRD has been assigned the responsibility of providing training to Zilla Panchayat and Kshetra Panchayat ERs. SIRD possesses a spread out network of 50 RIRDs and DIRDs across the state. The state PRD needs to extensively utilize this infrastructure resource. However, the RIRD/DIRD network requires significant renovation of existing facilities to make it appropriately functional and usable. SIRD will also require technical capacities to carry out such a large volume of training. SIRD has already put up a proposal with MoRD for renovating its existing centres. The state PRD may work out a long-term understanding with SIRD in consultation with the Department of Rural Development for:

- Renovation of the RIRD/DIRD infrastructure and facilities.

- Providing an adequate number of faculties well versed in PRI to carry out the training load.

- Capacity building of the faculties.

The state PRD may also consider supporting the establishment of a dedicated PRI-CB&T centre within SIRD to carry out the training delivery task as allocated to SIRD.

13. Strategic Framework for PRI-CB&T in Uttar Pradesh

After the field work was completed, the capacity assessment team began work on developing a strategic framework for PRI-CB&T in Uttar Pradesh. The strategic framework developed is based on three major realities:

• Huge load of CB&T in the state.

• Inadequacy of current infrastructure and training institutes for addressing the CB&T load.

• Weak training strategy with missing focus on holistic capacity building.

Training and capacity building not only of the members of the 3-tiers of pris but all their stakeholders like the training institutes, government officials, support functionaries, as well as gatekeepers (the community), involves enhancing their knowledge, developing their skills and attitudes, and providing an enabling environment keeping in mind contextual factors and challenges. The strategies for each of these components are given in Figure 16.

Figure 16: Strategic Components for PRI-CB&T in Uttar Pradesh
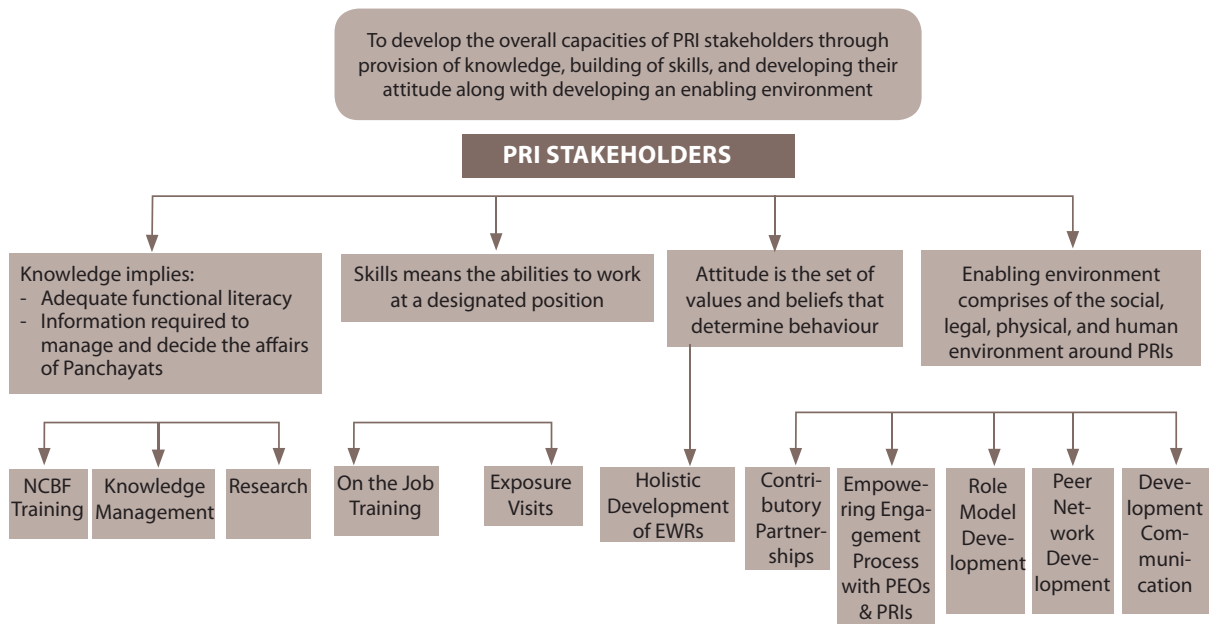
Strategies are envisaged for various PRI stakeholders including PRIT, SIRD, RIRDs, DIRDs, trainers, ERs at all the three tiers, and for panchayat support functionaries (PSFs).

The basic model shows that development is through empowerment of individuals and the constituency as well as through creating an enabling environment all of which are intrinsically related (Figure 17).

Figure 17: Basic Concept Of Development
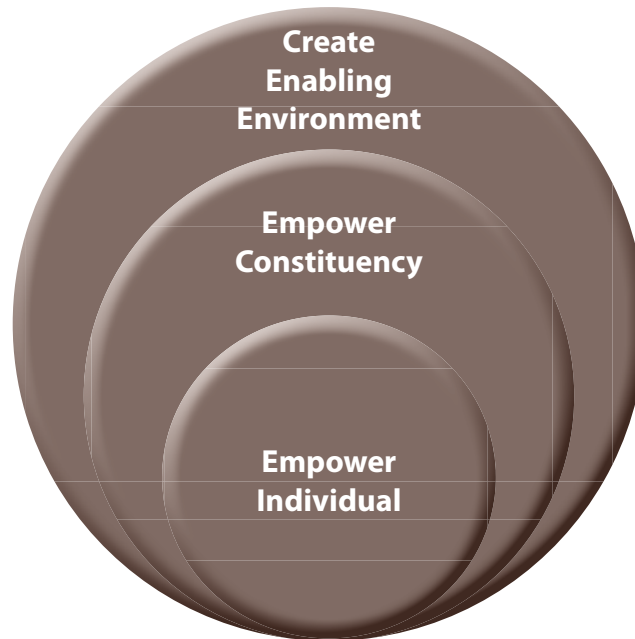
This report suggests strategies for every component of this development model, that is, for empowering individuals and constituencies and for creating an enabling environment (Figure 18).

Figure 18: Development Model And Cb&T Strategies

Create Enabling Environment
- Knowledge Management
- Research
- Contributory Partnerships
- Convergence

Empowering Constituency
- Development Communication
- On the Job Training
- Role Model Development
- Peer Network Development
- Empowering Engagement Process between PEO & ERs

Empowering Individual
- Holistic development of EWRs
- NCBF Training

Thus, the 11 strategies suggested fulfill the components of the overall objective of PRI-CB&T as well as for catering to the various PRI-CB&T stakeholders. The various strategies are explained in more detail in subsequent chapters but table 14 gives an outline of the strategies for the various stakeholders identified for PRI-CB&T in Uttar Pradesh.

Table 14: Strategic Outline For Pri-Cb&T In Uttar Pradesh

Strategies	Objective	Nature	Implementing Agency	Target Group
Development Communication	• To decrease the information divide and increase access to information and services among ERs in rural areas	• Pin pointed strategy with appropriate media mix (narrow, mid, and mass media) targeted at the gatekeepers of PRIs (government officials, community, etc.)	CSOs	• ERs • Community • PSFs
Holistic Development of EWRs	• To provide functional literacy (information and skills required to perform the functions of Panchayats), leadership skills and gender sensitization to all ERs, with special focus on women	• Sessions on literacy, leadership context of PRIs' functioning conducted at the village level for ERs at all levels	Through convergence with Sakshar Bharat Mission and village volunteers	• ERs with special focus on women
Modified NCBF Training	• To provide information regarding the roles and responsibilities of ERs and PSFs and on various sectoral schemes, programmes, and legislations	• In immersion training provided to ERs and PSFs on their roles and responsibilities through greater use of experiential learning aids like role plays as well as through exposure visits to beacon Panchayats	SIRD/PRIT/SPAs	• ERs • PSFs
On the Job training	• To build skills and attitude of ERs and PSFs through mentoring interventions at all the three tiers	• Qualitative interventions by mentors at all the three tiers	Mentors	• ERs
Role Model Development	• Strengthening performance oriented processes/outcomes within PRIs through recognition, rewarding of PRIs and their stakeholders	• Identification and selection by state level committee and awards system for role model ERs, EWRs, GPs, and resource persons with demonstration system to encourage and replicate best practices	SIRD/PRIT	• ERs • Gram Panchayats • Resource persons/trainers
Peer Network Development	• To share acquired knowledge and experiences of ERs among peers at all levels and replicating best practices	• Voluntary, eventually self-sustaining network formed by ERs of all the three tiers to bring about coordination, sharing of information, and replication of best practices	ERs	ERs

Strategies	Objective	Nature	Implementing Agency	Target Group
Knowledge Management	• Reducing the information and knowledge divide among PRI stakeholders by providing universal access to it to all stakeholders	• Indicators and cycles for monitoring and evaluation of CB&T efforts, ICT platforms for real time data sharing and uploading to ensure timely interventions if required	SIRD/PRIT	• Trainers/ resource persons • PSFs • SIRD/PRIT staff • ERs • SPAs/CSOs (strategy implementers)
Research	• Directing strategies, policies, etc. as per the need of PRIs and to provide provenance of effectiveness or otherwise of PRI-CB&T	• Action, operational, and formative researches to be conducted in legal, social, and management science areas on issues pertaining to PRIs and CB&T in Uttar Pradesh	CSOs	All PRI stakeholders (government, CSOs, ERs, community members
Contributory Partnerships	• To ensure timely and effective delivery of PRI-CB&T efforts and interventions • To develop the capacities of capacity developers	• Partnerships with academic institutions, NGOs, students, etc. to implement CB&T interventions as well as developing compulsory courses for resource persons in order to develop their capacities regularly and courses/fellowships for PRI-ERs and PSFs and other CSOs	PRIT	• Resource persons • CSOs • ERs • PSFs
Empowering Engagement Process between PEOs & PRIs	• To develop capacities of ERs, especially skill building and attitude shaping through engaging PEOs and PRIs	• Developing ethical guidelines for interventions of PEOs as well as frameworks for engagement between PEOs and PRIs and mentoring training to PEOs at all levels	PEOs	• PEOs (Panchayat secretaries/ Sachivs, etc.) • ERs
Convergence	• Optimally utilize available resources to achieve the overall objective of effective functioning of PRIs	• Possible areas of convergence at policy, systemic, project, and structural levels	PRD	• Line departments

14. Training Strategy/Modified Training Under NCBF Specifications

14.1 Defining Training

Training is one of the major and most commonly used approaches of capacity development of human resources (the other major approaches of capacity development of human resources include communication, mentoring, on the job learning, experiential learning, deputation, tagging along, and exchange programmes).

According to Wikipedia 'The term training refers to the acquisition of knowledge, skills, and competencies as a result of the teaching of vocational or practical skills and knowledge that relate to specific useful competencies'.

Training is thus an input aimed at enhancing the capacity of human resources. Training can also be defined as a direct invasive procedure of the human mind for development.

While training can be used for a variety of purposes ranging from information and knowledge giving to skill development to bringing about attitudinal and transformational changes, the usual experience is that it works best for the first three purposes of information and knowledge giving, and to some extent for skill development.

14.2 Training in the Context of PRI-CB&T and NCBF

In the context of PRI-CD, training is one of the most important strategies and also one of the largest components both input and cost-wise.

Recognizing the huge and mostly unaddressed need for capacity development of PRI functionaries, MoPR launched NCBF in July 2006 as a guiding document for the training and capacity development of PRI functionaries. Most of the states implemented NCBF through different strategies and also succeeded to varied degrees. However, the states still need to go a long way in terms of absolute coverage, qualitative coverage, quality of training, the quality of resource people, and the timeliness of training.

This Report provides a basic plan for conducting all the training as suggested in NCBF for ERs as well as training for the other human resources involved in imparting training as well as in the delivery of all other strategies for capacity development suggested in this Report.

14.3 Current Training Scenario in Uttar Pradesh

The issue of PRI-CB&T was on a backburner till 2008 and almost no training of ERs was carried out till then. Even now, the coverage of ERs in training has been estimated at being fairly low as compared to the total target of 7.7 lakh ERs. The exact figure of ERs covered till now is not available as SIRD, which was the main institute providing training with a focus on rural development sectoral training has no separate figures available for the number of ERs trained. It seems that till recently there was no coordination/communication between the state PRD and SIRD.

There was almost no involvement of CSOs in training. The experiences of the state government's engagement with civil society have been mixed and by and large have not been positive. There were several issues leading to this including no clear ToRs for CSOs and non-existent M&E. Some training of ERs on an experimental basis was also done by the state PRD through DPMUs. This also proved to be a mixed experience. With programmatic workload and differing priorities of DPMUs, training was not a priority and good experiences were mainly due to interested field leadership.

The state PRD has taken several initiatives in recent times with support from the CDLG Project funded by UNDP. These include:

- Proposed and started implementing a new institute under the state PRD called PRIT (Panchayat Raj Training Institute). The building is under construction with significant work already completed, and a minimal nodal team of seven persons approved by a HPC. There does not seem to be a clear vision or roles charted out among the proposed PRIT and SIRD at present; neither is there a clear operational plan.

- Contracted large SPAs for implementing training in selected districts. This was facilitated by the business meet organized by MoPR and funded through the UNDP-CDLG Project. At present there are four SPAs contracted for 55 districts for training of GP Pradhans and members (Pradhan and three members per GP targeted at present in the first round of 3-days of training). The training planned is far less than that prescribed by NCBF and does not target 100 per cent coverage even now. However, it is a good start which is looking at the task of covering large numbers of ERs in the state.

- Selected 19 DPMUs (out of 35), which are interested in providing training and had submitted proposals for training ZP and KP level ERs.

- The state PRD started dialoguing with SIRD and passed on some budget for training of ZP/KP ERs in districts other than the selected DPMU districts.

- The state PRD with support from the CDLG team has produced basic training modules, which are in the draft stages.

- Outsourcing of TNA and core curricula development using CDLG budget.

14.4 Training Load and Training Spread

Uttar Pradesh has 72 Zilla Panchayats, 821 Kshetra Panchayats (block level) and 51,914 Gram Panchayats. The total number of PRI-ERs is 2,696 at the district level, 65,700 ERs at the block level, and 7,03,097 ERs at the village level.

The total training load for Uttar Pradesh thus comprises of more than 7.71 lakh ERs and support functionaries who form the training and capacity development delivery network in the state.

Each ER and support functionary is expected to undergo a number of training as per NCBF and as suggested in other CD strategies in this Report. The objective of the CA-CDS exercise was to develop a strategy ensuring 100 per cent coverage of all PRI functionaries as per the NCBF suggested training framework. In this sense, this Report can be seen as NCBF Plus. The NCBF framework aims at ensuring minimal requirements and not optimal requirements. This Report presents an approach somewhere in between minimal and optimal requirements.

The overall training load and training spread in the state along with the different training that each group is expected to undergo is given in Table 15.

Table 15: Overall Training Load and Spread

Training Name	Training Days	Training Location	Target Group	Training Load	Batch Size	No. of Batches
Foundation Course	4	SIRD/PRIT	Zilla Panchayat ERs	2,696	20	134
	4	RIRD/DIRD	Kshetra Panchayat ERs	65,701	20	3,250
	4	Block Level	Gram Panchayat ERs	7,03,097	20	35,315
Basic Functional Course	4	SIRD/PRIT	Zilla Panchayat Adhyakshs and SC chairpersons	288	20	14
	4	RIRD/DIRD	Kshetra Panchayat Pramukhs and SC chairpersons	3,284	20	164
	4	Block Level	Gram Panchayat Pradhans and SC chairpersons	2,07,656	20	10,383
Sectorally Focused Course	6	SIRD/PRIT	Zilla Panchayat ERs	2,696	20	134
	6	RIRD/DIRD	Kshetra Panchayat ERs	65,701	20	3,250
	6	Block Level	Gram Panchayat ERs	7,03,097	20	35,315
Computer Literacy	25	Village Level	ERs	600		
TOTs—Resource Persons	60	SIRD/PRIT	For modified training	5,747	20	287
Refresher Course*	4	SIRD/PRIT	Zilla Panchayat ERs	2,696	20	134
	4	RIRD/DIRD	Kshetra Panchayat ERs	65,701	20	3,250
	4	Block Level	Gram Panchayat ERs	7,03,097	20	35,315

Note: * Refresher course for every year from the second year onwards.

14.5 Training Delivery Structure

Currently the training management function is mainly being carried out by PMU (BRGF) supported by the CDLG Project team. Four SPAs are on board for training delivery along with the SIRD network and selected DPMUs. However, to address the huge training load the state requires a large CB&T management structure, which is envisaged to be spearheaded by the proposed PRIT once it is functional and by CB&T-PMU in the interim. The overall CB&T delivery structure in PRI-CB&T envisaged for UP by this study is:

- Governance super structure—State PRD—Headed by PS-PRD and supported by a small node within the state PRD to coordinate with structures at the subsequent levels, particularly the proposed PRIT.

- Management super structure—PRIT—Establishing a dedicated and autonomous PRIT to work as the central node for all the activities related to PRI-CB&T in the state. However, since PRIT is still being established and may take some time, a dedicated PRI-CB&T Project Management Unit (CB&T-PMU) should be established as an immediate measure.

- Technical and other support structure—A network of external agencies and individuals to support various functions of PRIT/CB&T-PMU comprising of technical expertise and support functions. These will be outsourced agencies/individuals engaged as long-term thematic partners or as service providers on an as and when required basis.

- Operational management structure—District and block level teams within PRD mainly looking after functions of coordination with delivery chain structures, M&E and reporting, and record keeping.

- Delivery infrastructure—The delivery chain for training as well as other capacity building strategies at district/block/village level comprising of various service providers like SIRD with its network of RIRD/ DIRD, NGOs/CSOs, SPAs, DPMUs, performing troupes, media and communication agencies, etc. This will also include a resource pool comprising of master trainers, training resource people, mentors, village level volunteers, etc. (see Figure 19).

Figure 19: Training Delivery Structure
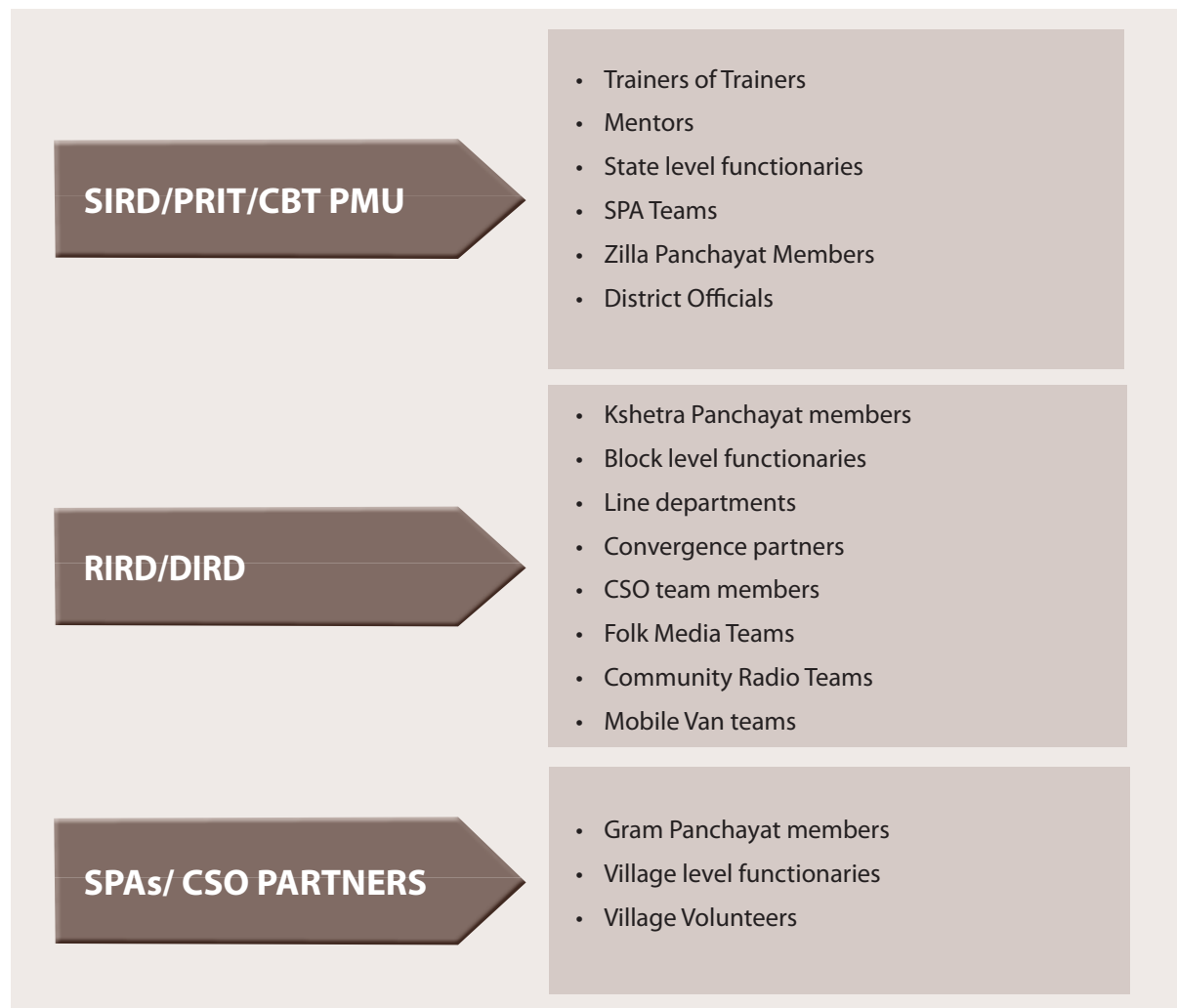
SIRD/PRIT/CBT PMU	• Trainers of Trainers • Mentors • State level functionaries • SPA Teams • Zilla Panchayat Members • District Officials
RIRD/DIRD	• Kshetra Panchayat members • Block level functionaries • Line departments • Convergence partners • CSO team members • Folk Media Teams • Community Radio Teams • Mobile Van teams
SPAs/ CSO PARTNERS	• Gram Panchayat members • Village level functionaries • Village Volunteers

With the proposed package of services and strategies, multiple service providers will be required for different activities. These will include institutional resources like PRIT, SPAs, CSOs, and SIRD along with RIRDs/ DIRDs, other PPP partners, folk media troupes, media and communication agencies, and community radio operating agencies on the one hand and individual resources like mentors, master trainers, training resource people, and village volunteers on the other.

14.6 Training Needs Assessment

Most of the training experts suggest TNA as a precursor to any training design or for developing initiatives for training strategy. TNA, when done, basically studies two things:

- Profile of the trainee—This can include social and economic status, cultural profile, knowledge level, perceptions and beliefs, receiving capabilities, languages known and spoken, literacy level, inputs history, and preferred methods.

- Knowledge/skill/attitude requirements – Based on the role that a trainee is envisaged to perform the knowledge s/he requires to understand that role and the skills s/he requires to implement the knowledge and attitude to take balanced decisions are listed vis-a-vis his/her current status regarding the same.

In the case of PRI functionaries, the roles which the trainees are required to perform and the knowledge, skills, and attitudes required for these are very clearly defined in the PRI Act. Thus, only the first part,that is, the profile of a trainee is required to be known to design a sound training programme. Basic profiles of a majority of the PRI functionaries are more or less known with their known literacy levels, absolute lack of knowledge about the functioning of PRIs, known gender differentials, and known awareness levels. It can be assumed that most of the information required for a sound training design is known and a full-fledged TNA may not be required at the beginning.

At the beginning, a database with profiles of the training target group at the state level can be of significant help. The state PRD may not possess all the information on many of the features but these can be updated once all the ERs are in place. The database may comprise of but not be limited to the following features:

- Name

- Age

- Gender

- Caste

- Village, block, and district

- Designation

- Literacy

- Education

- Previous history of functioning as an ER (traditional Panchayats)

- Date since getting elected

- Training attended

This database will provide significant information on the training target group in lieu of a full-fledged TNA.

A qualitative TNA may be planned in year 2 or 3, focusing on developing a qualitative understanding of the issues related to learning, methods of training, gaps in training, and other related issues. This can be outsourced to agencies with requisite capabilities and experience.

14.7 Training Design and Development

Training involves changing concepts and thoughts along with improving knowledge and skills. It therefore needs to be precisely designed and skillfully implemented. Some of the important aspects that need to be addressed while designing training include:

14.7.1 Differential Approach

Our experience in other states shows that the training approach, delivery, and material are same for all the levels of ERs. Learnings from the states suggest that different sub-groups of ERs have differing needs and will consequently require differing approaches, delivery methods, and material. Differentials begin to crop up among ERs due to power, availability of information, and gender and functional literacy among women and youth as is evident from Figure 20.

Figure 20: Differentials Among Target Groups
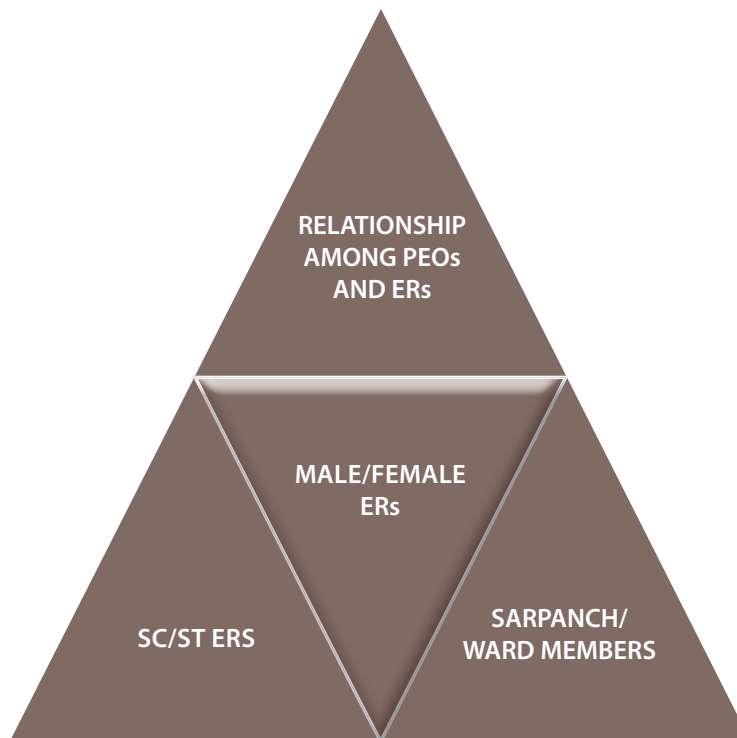
The training approach for all the sub-groups will differ along with delivery mechanisms and training material.

14.7.2 Developing the Core Content

Recently, the CDLG Project took up the initiative of developing core course content for PRI-CB&T interventions in the state. Core content comprises of specific thematic areas which are necessary for PRI-CB&T. PRIT/CB&T-PMU needs to define the thematic areas and their precise contents including methods of delivery and all relevant reference material. This is mandated due to reasons of:

- Ensuring precise delivery of knowledge bits relevant to statutes/acts, duties, roles, and responsibilities, and other functionings of PRIs which are mandatory/governed by acts and rules and regulations.

- Ensuring accurate and holistic delivery of developmental concepts as per the covenants to which India is a signatory (Universal Declaration of Human Rights, Beijing Platform for Action, United Nations Convention on the Rights of the Child, Convention on the Eradication of all Forms of Discrimination Against Women, International Covenant on Civil and Political Rights, International Covenant on Economic, Social and Cultural Rights, and the Kyoto Protocol).

- Ensuring consistency and holistic approaches and frameworks and reducing the risks of 'individual/ specific interest based' deliveries.

Additionally, for Uttar Pradesh a functional literacy module for specific ERs and special modules for youth and women ERs may be considered necessary as basic core content.

14.7.3 Training of Trainers

PRI-CB&T in other states has shown that most of the times, ToT is limited to imparting technical skills. Even the training manuals only comprise of technical skills or technical details on training topics. However, it is expected that the people being chosen as trainers of trainers will be technically sound and subject experts. One of the major weaknesses of most of the ToT designs is that the training skills of the selected trainers are not focused. It is assumed that people with good technical skills can perform good training, which is a myth. Most of the time people with good technical knowledge are selected as trainers. In such cases the focus of ToT in fact has to be on the training skills of selected individuals. This will ensure the dual purpose of achieving effectiveness and also efficient delivery by trained people and further training delivery in a cascade effect by the trainers. Training manuals should therefore focus on the skills of the trainers rather than on the technical component.

14.7.4 Based on Adult Learning Principles

The target group for training is a typical group with very low literacy and no/limited exposure to the formal education system, in fact with no previous learning experience. Everything that this group has learnt would be through experiential learning methods. PRI training would probably be their first experience of 'training'. The training design thus will have to be designed keeping this fact in mind and needs to be based on adult learning principles. It has to be designed based on activity oriented learning rather than being based on power point slides and charts. We as adults learn through observations, mimicking, films, case studies, and life situations. The same principles need to be incorporated in the design of the training to make it more acceptable, absorbable, and implementable. This essentially means converting knowledge into value additive knowledge products through case studies, planned and facilitated exposure visits, storytelling, experience sharing, role plays, live problem solving exercises, games, and group work.

This method may provide the spark for converting passive knowledge into active knowledge, which is when it will be utilized.

14.7.5 Training Methodologies

Training is generally held in a lecture based manner and delivered in a one way communication mode. In other states where such training has taken place, there is very little exchange between the trainers and the trainees, due to a variety of reasons including language, power, gender, interest levels, and degree of understanding.

The training needs to be vibrant, interactive, and in a dialogue form between the trainer and the learner. Good training should be like a good theatre experience. Research has shown that people first remember feelings and then the skills associated with training. Thus, sound training should bring out all positive feelings like enjoyment, curiosity, laughter, and interest. This will require a fusion of design, audio-visual aids, faculties, facilitators, and a good training arboriculture. The training design should ensure various methodologies to make the entire experience memorable for learners.

The methodology mix should include games, to-do-activities, case studies, storytelling, simulation exercises, problem-solving games/exercises, and role plays. The methodology should be learner centric rather than being trainer centric.

14.7.5.1 Panchayat Laboratory

Each training round will have a two hour session on Panchayat Laboratory. Panchayat Laboratory is a simulation exercise that involves recreating an actual scene from a Panchayat in the classroom and allowing participants to play various roles apart from those assigned to them in the real world. This exercise will not only help them in understanding their own roles and responsibilities but also in understanding the roles and importance of other members and functionaries in a Panchayat.

14.7.6 Training Manual Specifications

All training manuals need to be comprehensive, self-explanatory, user friendly, and self-contained.

Resource Person Manual

- Credits

- Contents

- Abbreviations

- Glossary

- Objectives of the manual

- Resource person's prerequisites

- Intended users

- Directions for use of the manual

- Training specifications:

  - Registration format

  - Duration

  - Training type—residential or non-residential

  - Daily timings

  - Sitting arrangements

  - Venue specifications

  - Other facilities required at the venue

- Maximum and minimum number of participants

- Group and gender mix

- Training kit contents

- Soft board/white board/black board

- Audio-visual aids required

- Instructions about group photo

- Overall Session Plan

- Session-wise break up of each session with the following sub-sections:

  - Title of session

  - Duration

  - Material required for the session

  - Learning points from the session

  - Learning point-wise description of each point and content

  - Introduction

  - Methodology for each learning point with description

  - Copy of display (slides, charts, photos, etc.)

  - Tips for resource people with methods for assessing and ensuring participants' attention, understanding, and retention

  - Pre and post-test format

  - Session evaluation format

- Training evaluation format

- Sample certificate

- FAQs

- Bibliography

- Reference material

- CD/photos/chart/any other material to be used during the training to be kept in the front or back cover pockets designed for the purpose

Learner Manual

- Credits

- Contents

- Abbreviations

- Glossary

- Objectives of the manual

- Intended users

- Directions for use of the manual

- Overview of the topic

- Objective of the training

- Overall session plan

- Topic-wise break up of each topic with the following sub-sections:

    – Title of topic

    – Key learning points

    – Description of each point

    – Questions and answers to assess learning

    – Objective at the end of the topic

- FAQs

- Bibliography

- Reference material

- CD/photos/chart/any other material relevant for the training topic to be kept in the front or back cover pockets designed for the purpose

14.7.7 Training Manual Design and Development

Based on the training strategy and coverage suggested in this Report, the manuals that will have to be developed in addition to the existing ones are given in Table 16. The existing ones may need to be modified based on the specifications provided above to make them more efficient.

Table 16: List of Training Manuals to be Developed

No.	Name of the Manual	Intended Users
1	ToT Manual—Trainers' Manual	Block resource persons
2	Foundation Course—Participants' Manual	ERs and PSFs
3	Basic Functional Course—Participants' Manual	Elected leaders of Panchayats and PSFs and SC chairpersons
4	Sectorally Focused Programme—Participants' Manual	ERs of Panchayats and PSOs
5	Foundation Course—Trainers' Manual	Resource persons
6	Basic Functional Course—Trainers' Manual	Resource persons
7	Sectorally Focused Programme—Trainers' Manual	Resource persons

The manual design and development process may also be outsourced with overall design and inputs being provided by PRD/PRIT/CB&T-PMU. The PRIT/CB&T-PMU team will prepare the overall design and objectives of each manual. The PRIT/CB&T-PMU team will also provide profiles of intended users and resultant inferences on the manual design. The team preparing the manual will need to further develop the manual in consultation with the PRIT/CB&T-PMU team. Once developed, PRIT/CB&T-PMU will carry out a peer review of the manual followed by a pre-testing exercise with intended users. The feedback will

be incorporated and the manual modified accordingly. PRIT/CB&T-PMU should also ensure appropriate vetting and approval prior to the circulation of the manuals. All the manuals should be developed in the local language using local accents and terms.

The costs for designing and developing the manuals may be budgeted for as per the details given in Table 17.

Table 17: Tentative Costs for Designing and Developing Manuals

No.	Item	Tentative Cost Estimate
1	Design of manual	Rs 1,50,000–3,00,000
2	Reproduction of manual	Rs 200–600 per printed copy

In all, we envisage that seven training manuals will have to be developed. The estimated number of total copies required and the total costs involved for these can be calculated by the state.

14.8 Training Delivery

As discussed earlier, some of the major constraints in PRI-CB&T are at the level of training delivery. These include issues related to access, timely information, TA/DA rates, food and facilities at the venue, seating arrangements, trainer-trainee interaction, participant involvement and immersion, group composition, power dynamics within the group, and gender differentials. Figure 21 shows the possible issues that ERs will face during their training.

Figure 21: Key Issues in Training Access and Usage by ERs

Arrival for Training
- Opportunity cost
- Travel cost and time

Receipt of Training
- Methodology mix-weak experiential learning
  Lack of peer pressure
- Lack of contextual understanding
- Weak functional literacy
- Gender/power differentiation

Implementation of Training
- Suboptimal process of engagement
- Weak capacities of PEOs
- Lack of role models
- Lack of hand holding support/follow up/extension

Some recommendations for addressing these issues at the level of training delivery are:

- Information: Timely information to be provided to participants. Their participation to be confirmed through repeated reminders.

- Scheduling: Care should be taken not to schedule training during local festivals, events, on Gram Sabha and Panchayat meeting days, colliding with other training, etc.

- Venue selection: The venue for training:

  - Should be easily accessible by a majority of the participants.

  - Have good connectivity.

  - Can be located easily.

  - Has comfortable facilities.

  - The training room should be peaceful with no/minimal external auditory/visual disturbances.

  - The training environment should be pleasant and welcoming for the participants and should encourage them to return to the training venue. The trainers should be hospitable and polite to the ERs.

  - The choice and ambience of the venue should be created taking into account regional cultural and social practices. It should not hurt any particular community's sentiments.

  - Should have adequate space for group activities.

  - Adequate space and arrangements for participants seating.

  - Proper lighting and air ventilation with fans.

  - Plug points for connecting laptops, projectors, TVs, or other equipment.

- Group composition: Batch mix is one of the most important variables in a training programme. It should be determined by:

  - Contiguous areas for training at the cluster level.

  - Gender: For certain training, separate training for men and women and for some other training a good mix should be done to ensure greater participation as well as a higher qualitative training experience.

  - Designation: A horizontal mix, that is, ERs at the same level and a vertical mix, that is, across levels are two possible types of batch mixes that should be used. For example, subjects like team building can be conducted in a horizontal mix.

- Trainer-trainee interface: Various activities may be used for increasing trainer-trainee interaction during training. One way is through incorporating games/activities which will help this process. Our experience from the field suggests that a trainer from a similar age group, the same geographical region, and particularly from the peer group (worked as ER) is much better accepted and received by participants

- Training aids: All required training aids should be available like projectors, TVs, DVD players, speakers, white boards, markers, charts, stationery for group activities, microphones, cameras, pens, and pencils. Other required training aids for planned activities should also be available. CDs should be available in case movies are to be shown.

- Accessory facilities: Care should be taken in providing the following facilities as per the need of the target group:

- Drinking water and disposable glasses.

- First aid kit with sanitary napkins.

- Separate toilets for men and women.

- Wash areas.

- Play area, activities,and kits for dependent children coming with EWRs.

- Food: Should be as per local flavour and tradition. Care should be taken to respect local customs and traditions. Food/snacks for fasting days should also be made available. Servings should be adequate in quantity.

- TA/DA distribution should be done at fixed timings and without disturbing the training time. It should not be done simultaneously with ongoing training.

14.9 Resource People for Training

The state has very few resource people involved in imparting training. However, based on the training load worked out by the study team based on the strategies suggested in this Report, the state will require resource people broadly at three levels: block level to cater to the training of all ERs and village and block level support functionaries; to train other functionaries like mentors, district and block level support functionaries, SPAs; and block level resource people. The state PRD will also need to engage an expert resource agency to provide training to the state PRD, PRIT, and SIRD functionaries as well. Table 18 provides a structure of the resource people/agencies required.

Table 18: Resource People at Different Levels

Block Resource People		State Level Resource People		Resource People for State Prd.*	
Target Groups Catered	Training Location	Target Groups Catered	Training Location	Target Groups Catered	Training Location
All elected representatives at GP/PS/ZP levels	Block level	SPA teams	PRIT/SIRD	RETC teams	PRIT/SIRD/other
Village volunteers	Block level	Mentors	RIRD/DIRD/ Block Level	PRCC teams	PRIT/SIRD/other
Support functionaries at GP level (for e.g. ANM, ASHA, AWW, PEO, GRS, etc.)	Block level	District level support functionaries	PRIT/SIRD	State PRD team	PRIT/SIRD/other
Block level support functionaries	RIRD/DIRD	Community radio station teams	PRIT/SIRD	State level resource people	PRIT/SIRD/other
Mobile van facilitators	Block level	Block level resource people	PRIT/SIRD		
Folk performance team members	Block level				

*Note: * This will need to be carried out either by an expert resource agency (consultant agency) or MoPR.*

14.9.1 Block Level Resource People

Calculating the training load in line with NCBF, there will be about 2–3 training batches conducted simultaneously at each block level at any given point of time spread across the year. Thus, there should be provisions for at least six resource people at each block level calculated based on two resource people per training batch. It would also be a good idea to have an extra resource person in case of non-availability of the selected resource people. Thus, we have envisaged a requirement of about seven resource people per block. This number may vary from block to block as per the actual size of the block and the number of ERs in the block. Thus the training plan developed by the study team envisages about 5,747 resource people (@ seven resource people per block) for the entire state to conduct simultaneous training as required by the timeline under NCBF.

PRIT/CB&T-PMU will need to formulate criteria for selecting resource people. The SPAs can identify and short-list the resource people, who can be finalized in consultation with PRIT/CB&T-PMU based on the decided criteria. Certain important criteria to be kept in mind while selecting trainers are:

- Gender balance—recruiting an adequate number of male and female resource persons.

- Minimum qualifications—graduation in any discipline.

- Work experience—at least two years of work experience in the rural sector; should have experience of conducting training.

- Should be fluent in speaking, reading, and writing Hindi and English.

- Should have knowledge of basic computer skills like MS Office.

- Should be from the respective block as far as possible and willing to travel to neighbouring blocks if needed.

- Some of the criteria can be relaxed in case of those who have served as ERs and are potentially good resource people.

All the empanelled resource people will need to go through rigorous training as per NCBF's prescribed guidelines. All the training for the resource people should be carried out at the state level by PRIT/CB&T-PMU to ensure uniformity. The training will have to be followed by an assessment of their learning and training skills and only those successful in this assessment should be certified as resource people or master resource people as the case may be. The selected resource people will thereafter provide training in the training organized and conducted by SPAs at the block level. Criteria for assessing the need has to be worked out by PRIT/CB&T-PMU and the assessment may be carried out by an external agency well versed in the task.

14.9.2 State Level Resource People

PRIT/CB&T-PMU will need to identify and create a pool of state level resource people for training block resource people. This can also involve people from CSOs, RIRDs, DIRDs, other government departments, academic institutions, research organizations, and CSOs working with PRIs and decentralization.

14.9.3 Resource Agency for State Level Functionaries

For providing training to state level resource people, besides PRIT/CB&T-PMU teams and the state PRD team, an expert resource agency specializing in providing such training will have to be identified and

engaged. The agency will have to be of national/international repute and should have a good track record of carrying out such assignments. MoPR's assistance may be sought to identify such agencies.

14.10 Training Assessment

PRIT/PRD/SIRD will need to develop a strong M&E framework for all training related activities:

- Training report formats to be developed.

- All training to have detailed training reports.

- All training to have pre- and post-knowledge gain assessment test formats; to be part of training manuals.

- All training to have concurrent evaluation by session end assessments as well as overall evaluation at the end of the training. This should cover all aspects of training including:

  – Information

  – Access

  – Venue selection

  – Facilities

  – Lodging and boarding

  – Faculty assessment

  – Content

  – Methodology

  – Group dynamics

  – Training aids and material

  – Training kit

- The feedback received from the participants has to be regularly compiled by SPAs/RIRDs/DIRDs at the block level in order to get an overall understanding.

- Each training exercise to be scored by CSO partners. Monthly assessment reports to be prepared by CSO partners and submitted to DIRDs/RIRDs.

- All assessments to be fed into MIS.

- PRIT/CB&T-PMU to assess CSO partners and resource people through MIS, training reports, and actual training visits.

14.11 Training Repository

PRIT/CB&T-PMU will need to maintain a repository of training related data and documents. PRIT/ CB&T-PMU, SIRD, RIRD, and DIRD libraries should comprise of important and known training, PRI, and decentralization related books, documents, reports, research reports, guidelines, frameworks, strategy documents, training manuals developed by other states/countries/donor agencies, legal documents, acts, GRs, amendments, and laws.

PRIT/CB&T-PMU, SIRD, RIRDs, and DIRDs should also subscribe to various newsletters and magazines related to training and PRI. PRIT/CB&T-PMU, SIRD, RIRDs, and DIRDs should also maintain a collection of training material, learning aids, posters, charts, flip books, CDs, and films. PRIT/CB&T-PMU, SIRD, RIRDs, and DIRDs should maintain various databases including:

- Trainers' database

- Resource people database

- Documents' database

- Consultants' database

- CSO database

- Support institutions' database (research agencies, documentation, publishing, training institutions, etc.)

- ER database

- Support functionaries database

- Important contacts' database

- Suppliers' database

14.12 Training Plan

Elections to Panchayats were held in September 2010 in Uttar Pradesh. The state has developed a plan for 3-days of training for ERs during the first year. Four ERs from each Panchayat will be covered during the first year. Training of district and block level ERs will be conducted by SIRD, RIRDs, and DIRDs while village level ERs will be trained by SPAs and DPMUs.

We now provide a summary of the type of training to be conducted, the training load at each level, estimated number of batches, and cost estimates. The training plan is based on NCBF's recommendations and the cost estimates have been arrived at using MoPR and UP-PRD's estimates. The training plan and budget are given in Table 19.

We have also calculated the training load and estimated the cost if the state conducts training of one NCBF course every year. Thus, the three courses recommended by NCBF can be covered during the initial three years and refresher training can be organized for the remaining two years (Tables 20 and 21).

The key features of the training plan are:

- All training planned as per the timeline suggested by NCBF.

- Training costs estimated for five years.

- Training costs for training of resource people budgeted.

Table 19: Training Cost Pattern at Different Levels and for Different Durations

Level	Participant	Cost per day per participant
State	Resource persons	1,000
District	ER/PSFs	1,250
Block	ER/PSFs	680
Village	ER/PSFs	350

Table 20: Training Cost Estimates for the First Year as per NCBF Recommendations

Panchayat	ZP		KP		GP		
	No. of ERs	Training Cost	No. of ERs	Training Cost	No. of ERs	Training Cost	Total
Foundation Course	2,696	1,34,80,000	65,701	17,87,06,720	7,03,097	98,43,35,800	1,17,65,22,520
Basic Functional	504	25,20,000	5,747	1,56,31,840	3,63,398	50,87,57,200	52,69,09,040
Sectorally Focused	2,696	2,02,20,000	65,701	26,80,60,080	7,03,097	1,47,65,03,700	1,76,47,83,780

Table 21: Training Cost for Refresher Training for One Year

Panchayat	ZP		KP		GP		
	No. of ERs	Training Cost	No. of ERs	Training Cost	No. of ERs	Training Cost	Total
Refresher	2,696	1,34,80,000	65,701	17,87,06,720	7,03,097	98,43,35,800	1,17,65,22,520

The total training cost for all 4 years comes to Rs 470 crore, 60 lakh, 90,080 and eighty (Rs 4,70,60,90,080) (Table 22).

Table 22: Summary of Training Cost for 5 Years as per NCBF

S.No.	Training	Cost
1	Foundation Course	1,17,65,22,520
2	Basic Functional Course	52,69,09,040
3	Sectorally Focused Course	1,76,47,83,780
4	Refresher	4,70,60,90,080
Total		8,17,43,05,420

The total cost for five years of training for all ERs comes to Rs 817 crore, 43 lakh, 5,420.

15. Development Communication Strategy

15.1 Introduction—Development Communication

Developmental communication (DC) is communicating for empowerment of constituencies. The power of the media, the fourth pillar of democracy, to influence people is well accepted.

One of the targets of the Millennium Development Goal 8 is to 'develop a global partnership for development' in states 'in cooperation with the private sector, make available the benefits of new technologies, especially information and communications'. The target aims to decrease the digital divide and increase people's access to information and communication technology through PPPs.

15.2 Current DC Strategy

There are more than 70 big cities in UP and every city has local daily, fortnightly, or monthly publications. All these local news media have a wide reach. The leading newspapers include Dainik Bhaskar, Dainik Jagran, Amar Ujala, and Hindustan. Uttar Pradesh has more than 40 radio stations including AIR, FM channels, and four community radio stations. UP EDUSAT has set up 14 satellite receiving sites all over the state, which are known or work in IGNOU centres all over the state.

The state PRD had prepared a plan for providing computer with Internet connectivity to Gram Panchayats with more than 10,000 population. All remaining GPs will also be covered in a phased manner.

Against this backdrop, SIRD/state PRD does not have a clear DC strategy, plan, or budget at present. All GoI's flagship programmes (like SSA, NRHM, MGNREGA, TSC, and IAY) provide budgets for soft interventions including CB&T, IEC/BCC, advocacy, and community mobilization. However, these efforts are planned and implemented separately by various line departments without any convergence (except MGNREGA which flows through PRIs). The sum total of all IEC/BCC efforts in the state is scanty, sporadic, and non-targeted.

15.3 Objectives of the Proposed DC Strategy

The objectives of the DC strategy are reducing the information and knowledge divide among ERs and rural citizens, increasing access to information and other services, and strengthening an enabling environment inter alia strengthening the foundations of PRIs including Gram Sabhas and Panchayats.

15.4 Strategy 1: Community Radio Station

15.4.1 Brief History of Community Radio Stations in India

India's first CRS became operational on 1 February 2004 at Anna University, Chennai, after it obtained a license from the Ministry of Information and Broadcasting (MoIB). Some of the major landmarks in the history of CRS in India are:

- January 2003: Campus radio guidelines.

- May 2004: MIB workshop to design an enabling framework for CR in India.

- October 2005: Proposed inclusive CR policy with GoM.

- September 2006: GoM clears CR policy.

- 16 November 2006: Cabinet approves policy.

Today there are more than 100 operational CRS in the country, some of which are:

- Anna CRS run by Anna University, Chennai.

- Sangam run by Deccan Development Society in Andhra Pradesh.

- Radio Active.

- Kumaon Vani, Uttarakhand.

- Namma Dhwani, Budikote, Karnataka.

- Radio Namaskar, Konark, Odisha.

- Kalanjiam Samuga Vanoli, Nagapattinam, Tamil Nadu.

One of UP's most backward districts of Lalitpur, became one of the first districts in the country to get a community radio station set up by UNICEF. Lalitlokvani, a joint initiative of a local NGO Sai Jyoti Gramudyog Seva Sansthan and UNICEF is situated just 22 km from Lalitpur in Alapur village of Birdha block. The 15 km range transmission will take in its fold 60 villages covering approximately one lakh people.

15.4.2 National Community Radio Station Policy Guidelines

MoIB came out with policy guidelines for setting up community radio stations in India in 2002 which specify the way in which a license can be obtained, and who is eligible to obtain a license. It also explains in detail what kind of programmes and content may be broadcast through the community radio and what type of content is disallowed in order to maintain peace and harmony. Some of the highlights of these policy guidelines are given in Annexure 3.

15.4.3 Need for Community Radio Stations in Uttar Pradesh

CRS is a mid-media and a cost effective strategy with high coverage and high reach per cost ratio. Additionally, the strategy is livelihood centric and helps in community mobilization because of the involvement and ownership of rural/tribal communities in developing and broadcasting programmes. It is an appropriate strategy for the interiors which are difficult to reach through mass media. Community radio stations are also broadcast in local dialects making them more engaging. The high multiplier impacts of CRS are given in Figure 22.

Figure 22: Multiplier Impacts of CRS
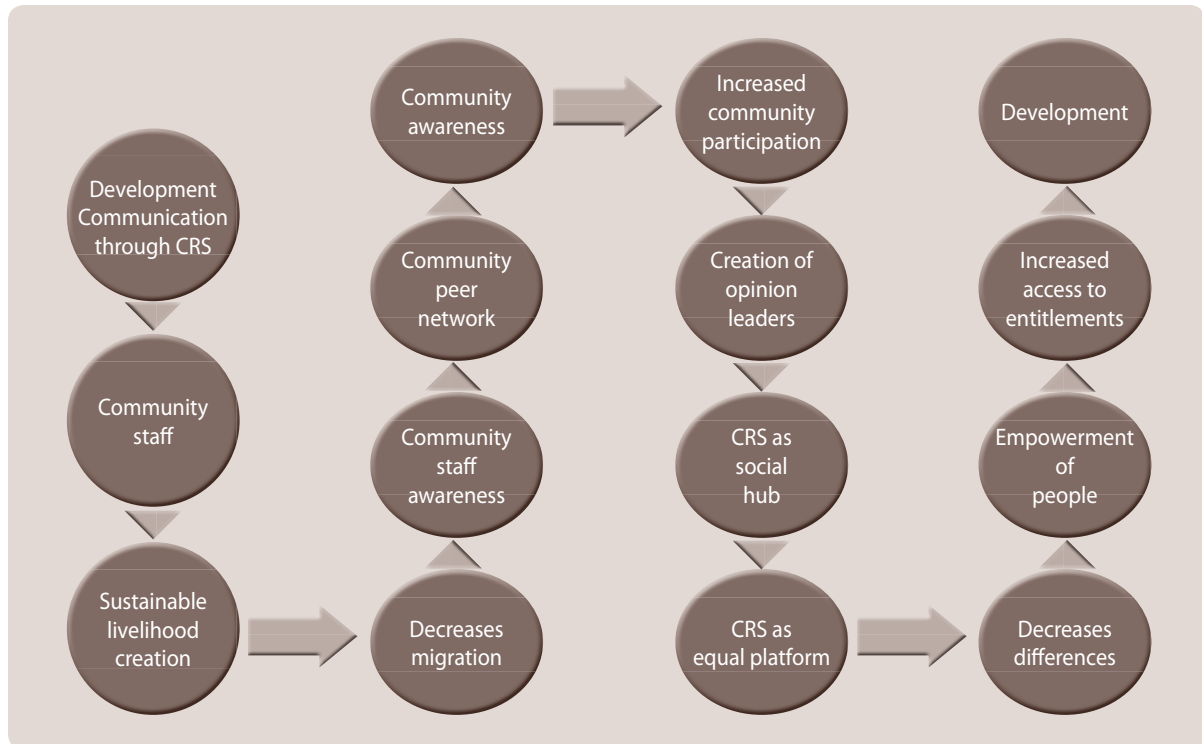
15.4.4 Spectrum of Community Radio Programmes

The community radio programme menu is seen to be wide, covering:

- Marketing of SHGs and their products.

- Tie ups with fairs for making announcements so that SHGs and other producers can know where to sell their products.

- Announcing rates of different products in different markets so that SHGs and producers know the rates and are not cheated when selling their products.

- School visits and getting children acquainted with the radio station and its philosophy.

- Each class in the school can visit the radio station on rotation and prepare a programme to be broadcast.

- Opinion leaders' including ERs' talks on developmental issues.

- World news/state news with local contexts and in the local language. The station will provide a window between the world and rural/tribal communities.

- Government announcements of programmes, schemes, events, PDS days, and training.

- Significant local news with developmental content.

- Community announcements.

- Corporate announcements.

- Expert talks/discussions.

- FAQs about relevant themes.

- Commercial advertisements (5 minutes per hour of broadcasting according to the policy guidelines).

15.4.5 Community Radio Plan Components

15.4.5.1 Identifying Locations for CRS

Precise locations for CRS will depend on several factors including:

- Should be connected by road.

- Should have access to electricity.

- Should be in the vicinity of a town.

- Available land (if locating CRS in any planned/existing PRI building is not possible).

15.4.5.2 Technology Selection

The national policy guidelines define appropriate technology as:

- A 50W transmitter along with a 30m pole with a coverage radius of approximately 10km.

15.4.5.3 Estimating Physical Infrastructure and Costs

The cost of setting up and running a community radio station will include the costs of physical infrastructure, the requisite equipment, and recurring costs.

15.4.5.4 Estimating Human Resources and Costs

The community radio station will eventually be run and organized by people of the community but to begin with the manpower required is:

- Overall-in-charge of the CRS who will supervise and coordinate with PRIT/SIRD as well.

- Broadcaster (1) who will receive training from PRIT/SIRD.

- Programme staff (2) who will go out into the community to raise awareness and record community programmes if need be.

- One accountant.

Community volunteers are estimated at 40 per month based on the programme mix and scaling up levels. The sustainable livelihood component has been integrated into the strategy and this means that community persons who participate in programmes will be paid on a per day basis. Each radio station can provide livelihood for 480 people per annum if there is no repetition of people. For 20 radio stations 9,600 people can get some source of income (equipment costs, physical infrastructure costs, human resource costs and recurring costs for CRS are given in Annexures 4, 5, 6, and 7 respectively).

15.4.5.5 Developing Programme Content Mix

The community radio station will identify programmes and broadcasts that are relevant to the context and needs of the community that they cover. An appropriate mix of programmes will be created so that it gives holistic exposure to the community.

15.4.5.5.1 Government Use

- Department announcements, schemes, etc.

- Training programmes and future programmes.

- Election results.

- Disaster warnings.

15.4.5.5.2 Development Programmes

- Proactive disclosures—Sarpanchs and heads of Panchayats can talk about what work is being done in their Panchayats and what is being planned.

- Panel discussions/expert talks—Scholars can be called to talk and discuss issues that are of relevance to the community so that the people get different perspectives.

- Awareness generation programmes—The radio can be effectively used for behaviour change communication by raising awareness about various habits and patterns.

15.4.5.5.3 Community Programmes

- Cultural programmes—Programmes of the community, by the community, and for the community; local cultural programmes can also be added which will not only serve as entertainment but also as a means of preserving the local culture.

- Local business announcements—Local small time businesses and farmers can use the radio as a platform to market their products.

- Tie up with schools—The aim is to increase affinity towards such communication means. Radio should become a place where people are comfortable in communicating their opinions. It should become a part of their culture and break the culture of silence.

- SHG tie ups—Local self-help groups can use this platform to promote their products and also bring in transparency at the SHG level by announcing their monthly inflow and outflow of money.

15.4.5.6 Setting Programme Mix and Scaling up Plan

At the end of the first year, CRS should be recording for four hours per day. The kind of programmes that they will broadcast include:

- Jingles.

- Panel discussions.

- Audio dramas.

- Folk songs.

- Local stories.

- Announcements of government initiatives, schemes, programmes, and legislations (IEC/BCC).

- Procedures on how to avail of benefits.

- Government announcements on election results, impending disasters, and relief measures.

- Government officials' speeches and announcements.

- Social announcements of local events like birthdays or festivals.

- Corporate sponsored public interest advertisements.

- Advertisements for local businesses (at subsidized rates).

Eventually the radio stations will scale up and increase their broadcasting hours. For this a radio station will have to make an inventory of songs, dramas, and other programmes to broadcast right at the beginning.

15.4.6 Revenue Models and Cash Flows

The plan proposes to make CRS not just socially viable but also economically viable so that they do not always run on government subsidy. The planned sources of revenue include:

- Government announcements.

- Corporate sponsorships.

- Radio distribution subsidy.

- PRD subsidy.

15.4.7 Estimating Radio Distribution Costs

The point of this initiative is that everyone should be able to hear the programmes and participate in them. But radios are not available in most households (Census: radios available in 21.2 per cent households). Therefore the plan proposes distributing radios to a certain percentage of the households in the proposed coverage area. Radios can also be strategically placed in Gram Panchayat offices and households of ERs of all Panchayats, if they do not have radios.

Anything given free of cost loses value. Therefore, radios will be distributed at subsidized rates of Rs 250 per set so that the households feel ownership over the radio sets.

The CRS will be the nodal agency for distributing the radios. These sets will be branded and painted so that they cannot be sold in the open market. The households will only have to bear the cost of batteries at the most.

15.4.8 Major Action Points for State PRD

The main steps to be taken up by the state PRD for CRS will include:

- Fine-tune its strategy, coverage, reach, and budget.

- Finalize the PPP plan.

- Advertise for CSOs to enter into partnership for implementing programmes.

- Select private partners.

- Allocate land.

- Construct buildings (if convergence is not possible).

- Sign contracts with the CSOs after weighing the options.

- Licensing for the CRS in the name of CSOs (this process can be speeded up by the government by talking to the central ministry as it is going to set up many CRS at a time).

- Start functioning.

- Distributing radios to households which will be completed in a maximum period of two years.

- Scaling up period for CRS when broadcasting hours will slowly increase.

- The CRS becomes economically viable.

- Subsidy from PRD ends.

15.5 Strategy 2: Mobile Van Plan

15.5.1 Need for Mobile Vans

Mobile vans are a mid-media pinpointed strategy for difficult-to-reach areas. It provides reasonable coverage for the cost incurred and has provenance in India.

15.5.2 Coverage Area

This strategy will be carried out in coordination with CSOs identified in every district; these will be identified by the state PRD. The assumptions on which the mobile van plan has been made are:

- Vehicles of appropriate specifications will be taken on rent by CSOs and PRIT will reimburse them at the end of the month.

- The CSOs identified in each pilot district will take over the facilitation and coordination of the mobile van once it enters the CSO area.

- A facilitator from CSO will accompany the mobile van while it travels in the respective district.

- Some CSOs will be identified for creating an inventory.

- The mobile vans will cover at least two Gram Panchayats a day.

- They will take the signature of the Sarpanch of every Gram Panchayat that they visit to show that they visited such a GP in the specific block and district.

- They will visit each village every quarter, that is, every four months.

- They will work continuously for an average of 22 days at a stretch in a month; the remaining days will be used for various purposes such as documentation, repairs, and reporting.

- Therefore in a month, one mobile van will cover 2 GPs x 22 days = 44 GPs.

- Depending on the number of mobile vans deployed, a significant area can be covered in a short time.

15.5.3 Activities of the Van

The possible programmes that the mobile van teams will conduct in order to generate awareness are:

- Screening documentaries.

- Edutainment videos.

- Street plays.

- Songs.

- Question and answer sessions.

- IEC material distribution.

15.5.4 Physical Infrastructure Requirement

The mobile vans will have the following human and physical infrastructure with them to cater to the information needs of the community:

- SUV kind of van capable of travelling in all types of terrain.

- Musical instruments.

- Technical equipment:

    – Laptop

    – Projector

    – Projector screen

    – Speakers

    – Microphone

    – Video camera

    – Electricals:

        • Battery

        • Chargers

        • Extra wires

        • Extension cords

        • Plugs

Apart from these, the mobile vans will also carry an inventory of the material that they plan to screen (movies, songs, and also IEC material like posters and flip charts).

Market research will give an idea of the costs of the mobile van strategy. Approximately the costs will be around Rs. 13 lakh per annum.

15.5.5 Human Resource Requirements

The human resources required for mobile vans are:

- Drivers (1).

- Facilitator (1).

- Outreach workers (2).

Details of the estimated costs of human resources have been provided in Annexure 8 while recurring costs for the mobile van strategy are provided in Annexure 9.

15.5.5 Major Action Steps for the State PRD

The major points of action for the state comprise of:

- Identifying which areas to cover under the 50 per cent coverage plan.
- Identifying CSOs to partner with for implementing the mobile van strategy.
- Planning a schedule for the mobile vans to gain the most coverage in the pilot project area.
- Estimating infrastructure costs for implementing the programme.
- Estimating the human resources required to accompany the mobile vans.
- Estimating the total human resource costs for manning the mobile vans.

15.6 Strategy 3: Indoor-Outdoor Media Plan

15.6.1 Coverage Area

The indoor-outdoor media plan coverage area will be in pilot districts identified by the state PRD. This plan is meant to increase the information that is disseminated to the community through various indoor-outdoor communication means.

15.6.2 Wall Paintings

Wall paintings are a simple, low cost way of spreading information through traditional local forms. Wall paintings will act as a constant reinforcement within the community. Being done by members of the community, a sense of ownership will develop.

Organizing wall paintings on particular themes can be delegated to CSOs who can decide on their own means of carrying out the strategy, be it identifying artisans and getting the paintings done or making wall paintings a community event where everyone participates after a discussion facilitated by the CSO resource person. PRIT/SIRD will reimburse the costs of the material required for wall paintings each year.

15.6.3 Newsletter

NCBF suggests the implementation of a Panchayati Raj newsletter in the state. This has been initiated in states like Tamil Nadu and Andhra Pradesh where it has become a commercial activity.

The features of the newsletter are:

- In simple Hindi so it can be understood by all.
- To be circulated widely to all PR stakeholders.
- To be printed on a regular basis.
- Nominal cost may be charged at a later stage.

15.6.4 Helpline

The helpline is an initiative aimed at providing support to ERs, community members, and functionaries, which goes beyond training; it is also suggested by NCBF.

A helpline is meant to help ERs and others in their daily activities by answering their queries. This has been implemented in states like Odisha, Kerala, Bihar, and Tamil Nadu.

Characteristics of the helpline:

- Single integrated helpline for PR stakeholders.
- Entertaining queries as well as complaints.
- It should be publicized widely.
- Should be integrated online with a website.

15.6.5 Plan Components—Action Points for the State PRD and PRIT

The components of this strategy are:

- Setting up a helpline with team to man it for 12 hours.
- Publicizing it widely.
- Setting up a team for designing, writing, and editing the newsletter.
- Setting up a printing team for the newsletter.
- Setting up a circulation plan.
- Partnering with CSOs who work closely with the community.
- Planning the wall painting campaign schedule for each year.
- Deciding themes and designs for wall paintings.
- Identifying locations where the paintings can be done.
- Taking permissions from Panchayats to carry out the activity.
- Estimating the material costs of the wall painting campaign.
- Estimating the number of artisans required to carry out the activity.
- Estimating the costs of hiring artisans.
- Identifying appropriate local artisans in every area for carrying out the wall painting activities.

15.6.6 Flip Chart Display

Flip chart displays will talk about various topics relevant to each area. They will be contextualized in terms of content as well as language as this medium is important in media dark areas. For example, flip charts can depict the provisions of various schemes or the powers of the Gram Sabha under the PR Act in a simple language, which is more pictorial in nature in order to reach out to those who are illiterate.

This major action points for the state PRD are:

- Designing flip charts appropriate to each area together with partner CSOs.
- Estimating the printing and human resource costs of coming out with flip charts.
- Identifying partners to print the flip chart displays.
- Printing and distributing flip charts through mobile vans as well as post offices.
- Researching the impact of flip chart displays.

15.6.7 Posters

Posters are a self-explanatory pictorial IEC material with minimal written content to explain various themes with respect to PR that will be put up in all Panchayat offices and even at common meeting points in the community like the community hall and water tank. They can serve as a trigger for discussions in the community.

The components of this plan are:

* Designing posters appropriate in terms of language and content in different areas of the state through partner CSOs and other identified NGOs.

* Estimating costs of printing and distributing the posters.

* Printing the posters through identified partners.

* Distributing the material through mobile vans as well as post offices.

Both the posters as well as flip chart displays can be distributed through CSOs during training sessions for Panchayati Raj ERs. Another way is through post offices. The postal network is one of the largest networks at our disposal that is currently underutilized as people have started using other media to communicate over long distances. This large infrastructure along with its manpower can be used effectively to reach out to communities in most locations across the state. The state can and should exploit this underutilized infrastructure.

15.7 Strategy 4: Mass Media Plan

Mass media like radio and television are proposed to be used in areas where electricity and infrastructure are available. According to the 2001 Census, 17.2 per cent of the households had television sets and 26.4 per cent of the households had transistors and radios; 15.4 per cent of the households had electricity.

Households and villages that have the required assets can be reached very easily through government channels like Aakashvani on radio and Doordarshan on television. Spots and expert talks should be aired through television and mainstream radio on subjects like:

* Gram Sabha: roles, frequency, quorums, responsibilities.

* Gram Panchayat meeting: role, frequency, quorum.

* Rights and responsibilities of ERs.

* Role of the Sarpanch.

* Special programmes for women representatives.

* Planning at the village level.

* About various schemes like NREGS, NRHM, SSA, and TSC, etc.

The frequency of these programmes can be increased slowly depending on the viewership and listenership of the programmes and available resources. But the aim of these programmes is to increase the impact by constantly repeating information so that it not only gets absorbed but is also used when needed.

15.8 Implementation Structure and Systems

It is proposed that there be a team at PRIT to oversee and manage capacity development strategies. The team will oversee DC initiatives. Under this, editorial teams will be hired on a contract basis for each of the initiatives within the DC strategy.

15.8.1 Monitoring and Evaluation Systems

An overall monitoring and evaluation system has been proposed in the Knowledge Management Strategy.

15.8.2 Public Private Partnership Systems

PPPs use the strengths of stakeholders—the efficiency of the private parties and the resources and obligations of the government towards the people—to deliver services better; these partners retain their own weaknesses.

An ideal partnership is where it is a win-win situation for all the parties involved so that the risks are also distributed among the stakeholders. There are various PPP models that have evolved over the years and are being implemented today:

- Build-Operate-Transfer (BOT)
- Build-Own-Operate-Transfer (BOOT)
- Build-Own-Operate-Maintain (BOOM)
- Buy-Build-Operate (BBO)

For the purpose of this communication strategy the state can follow the Buy-Build-Operate (BBO) model. This model involves transfer of a public asset to a private or quasi-public entity under contract that the asset is to be upgraded and operated for a specified period of time. Public control is exercised through the contract at the time of transfer.

It is proposed that PRIT/SIRD identify appropriate CSOs with whom to get into partnerships for the purpose of this strategy. Some of the basic criteria to be kept in mind while identifying CSOs are:

- Three years experience of working closely with the community.
- They should have a yearly budget that shows their capability to handle the requisite budget.
- They should have adequate infrastructure as required for implementing a strategy.
- Preferably (but not compulsorily) have some experience of development communication.

15.9 Infrastructure Allocation/Convergence

It is proposed that the state allocate land to CSOs for the setting up of CRS. This land will be identified by DRDAs where the CRS are proposed. It is also proposed that the state bear the cost of setting up the physical infrastructure for the CRS as the equipment costs will be recovered. The alternative option for allocating and constructing infrastructure for CRS is through a convergence of schemes. CRS infrastructure can be set up through convergence with the following schemes:

- Bharat Nirman Rajiv Gandhi Sewa Kendra wherein village knowledge resource centres are set up at Panchayats and block levels and which can be used for the CRS and other village level CB&T activities.
- The Block Resource Centre that is to be established under BRGF.
- Instead of building new structures, unused buildings can be renovated to house radio stations.
- Construction can be converged with NREGS.

16. Holistic Development Strategy for Elected Women Representatives

16.1 Current Situation and the Need

A triangulation of consensus opinion, previous researches, and the perception of the CA-CDS team shows significant disparities among male and female ERs. These disparities arise due to a complex set of multi-layered realities and comprise of:

- Individual—low education, inexperience, low awareness levels, low confidence levels, and low self-esteem.

- Family—economic constraints, household responsibilities/chores, family interference.

- Community—social customs and traditions.

With the emergence of 50 per cent EWRs in the state who are affected by these realities, a strong strategy and programme are needed to strengthen EWRs as a foundation for a stronger, inclusive, and democratically functioning PR in the state.

NCBF plans for functional literacy and sectoral function training programmes for all ERs in general. In the spirit of NCBF, this strategy takes this forward in terms of envisaging holistic development specifically for women as it is found that they require something more than functional literacy. As the reality is multi-layered and inter-related in a complex manner, a holistic development strategy and programme for developing EWRs is needed.

16.2 Supporting Arguments for the Strategy

16.2.1 Economic Involvement of Women

Contrary to common perceptions, a large percentage of women in India work. National data collection agencies accept the fact that there is a serious underestimation of women's contribution as workers. However, there are far fewer women in the paid workforce than there are men. In urban India, women have an impressive number in the workforce. As an example,in the software industry 30 per cent of the workforce is female. They are at par with their male counterparts in terms of wages and positions at the workplace.

In rural India, agriculture and allied industrial sectors employ 89.5 per cent of the total female labour. In overall farm production, women's average contribution is estimated between 55 to 66 per cent of the total labour. Women constitute 51 per cent of the total number employed in forest-based small-scale enterprises.

Women are mostly engaged in the unorganized sector where there rights are not recognized. This issue has been recognized in recent years and is being addressed by CSOs.

In most Indian families women do not own any property in their own names, and do not get a share of their parental property. Due to weak enforcement of laws protecting them, women continue to have little access to land and property. In fact, some of the laws discriminate against women when it comes to land and property rights.

Women are said to be more preferred as:
• Women PRI members are less corrupt as compared to their male counterparts.
• For the first one or two years, women PRI members act as per the directions of their male relatives (in most cases husbands), but after that they generally act independently.
• Women PRI members are more sincere than their male counterparts.
• Party-based political involvement is less in the case of women PRI members.
• In contrast to male PRI members, women PRI members take more interest in the economic empowerment of women through formation of SHGs.

(Source: Odisha Human Development Report 2006, Chapter 6: The Gender Question)

16.3 Objective of the Strategy

The objective of the strategy is to develop EWRs holistically so that they are able to perform their functions effectively as well as to enhance the process of their self-development.

16.4 Proposed Strategy

The features of the holistic development strategy are:

- It will be free of cost for participants.

- Will cover all women representatives of the three tiers.

- Will be carried out at the village level.

- Responsibility of Village Education Committee and Sarpanch to organize regular sessions at suitable times and places that are convenient for the people of all the communities.

- The sessions will not be for more than two hours per day so that they are not time constraining for women.

- The sessions will preferably be carried out in the afternoon or evening so that they are convenient for women to attend.

- Livelihood for community people in the form of village volunteers who:
    - Are graduates/12th/10th pass in the village and can read and write comfortably
    - Stay in the community/village.
    - Will be given training to conduct sessions.

16.5 Components of the Strategy

The strategy covers all EWRs and because they require something more than literacy, the following components have been envisaged in the proposed strategy:

- Functional literacy

- Leadership

- Gender sensitization

- Involvement of men

This strategy addresses issues beyond PR that include literacy and gender. Therefore collaboration with the Education Department and also with the Women and Child Development Department is desirable. These two departments can fund the initiative and PRD can support it in terms of training and if need be share part of the costs.

16.5.1 Functional Literacy

In India, achievement of functional literacy implies '(i) self-reliance in 3 Rs, (ii) awareness of the causes of deprivation and the ability to move towards amelioration of their condition by participating in the process of development, (iii) acquiring skills to improve economic status and general well being, and (iv) imbibing values such as national integration, conservation of environment, women's equality, observance of small family norms.'

For Panchayati Raj, functional literacy means those set of skills that enable ERs to perform their roles better, furthers their productivity, contributes to the development of the community, and more importantly enables self-development. This means the skills to read, write, and understand Panchayat documents, procedures, and processes.

16.5.2 Gender Sensitization

The sensitization component will involve sensitizing women specifically about gender concepts and beginning a process that enables them to overcome their inhibitions and biases based on gender conditioning.

This component will help women ERs understand how gender is just a social construct, decided and influenced by society and therefore, it is subject to change as it always has with time. They need to be motivated to see beyond the roles set for them by others and begin visualizing their own role in the community.

16.5.3 Leadership Skills

Women, because of years of conditioning have been made to live submissive lives in rural areas. As ERs their leadership skills are important. Leadership skills like decision-making, self-confidence, being able to control a group, assertiveness, and the ability to motivate others are important to be able to govern a community and take decisions for the entire community. Therefore these soft skills have to be imparted to EWRs so that they become more productive and effective leaders.

16.5.4 Involvement of Men

In a male dominated society, development of women cannot happen without the involvement of men. Hence, it is proposed that there be separate sessions for male ERs during the training on gender sensitization and functional literacy. Men also need to be made aware of the importance of women in society and their role in decision-making.

States like Kerala have conducted sensitization programmes for entire families of EWRs which is a good move as it helps them understand what the EWRs are expected to do and they can adjust appropriately to their new role. This should be extended to all the states to ensure that EWRs receive family support.

16.6 Operational Features

For the purpose of the strategy, village volunteers will undergo ToT as well as induction training regarding PRIs so that they understand the context within which the strategy is being implemented. They will also be

oriented specifically with regard to gender and be sensitized so that they can enable the process that helps women come out of their conditioning.

Since village volunteers have local contextual understanding they can make the intervention more relevant for PRI members. School teachers or anganwadi workers can also be used for this purpose by paying them certain incentives of around Rs 300–500 to conduct sessions. They will also have contextual local understanding and so be effective. It is proposed that the chosen people be given induction training so that they are able to conduct training for all the components of the strategy.

The monitoring and evaluation system of the strategy has been explained in the Knowledge Management Strategy.

16.7 Session Plan

The functional literacy component, for both men and women together, will comprise of 46 sessions, as it is a skill acquisition component.

The gender sensitization component will comprise of 20 sessions for women and 20 sessions for men held separately as this is a sensitive topic and needs to be dealt with carefully. In these sessions the participants will be made aware of gender issues and their implications. Leadership skills sessions can be more practical and therefore there will be a gap between each session. There will be ten sessions to inculcate basic leadership values and skills that can act as a starting point for EWRs.

16.7 Strategy Budget

The budget for the strategy will include remunerations for village volunteers conducting the required sessions for the representatives. Trainers will be paid according to the sessions that they conduct.

The budget will include the cost of a training kit which will include costs for:

- Bag
- Training manual
- CDs (movies, learning sessions)
- Foldable blackboard
- Notepad
- Stationery

17. Empowering Engagement Process Strategy (Between Panchayati Raj Executives and Elected Representatives)

17.1 The Concept

PEOs and PRIs are two streams of human resources for managing Panchayati Raj in the state. While PEOs are representatives of the state government, PRIs are representatives of the people. They come from diverse backgrounds, live different realities to a significant extent, and have different lenses to view the world. Convergence of both their views provides holistic developmental and democratic processes while ensuring good governance.

Healthy engagement of the two through facilitating and empowering processes is a prerequisite to democratic, inclusive, and transparent PRIs. An empowering process between the two streams is also the most direct and cost effective way for PRI-CB&T.

17.2 Current Situation

Unless appropriate engagement processes with roles of PEOs as mentors/guides/facilitators are structured, recognized, and appropriate capacities built, appropriate democratic functioning of PRIs may not happen in the spirit of 73rd Constitutional Amendment.

The strategic need for strengthening the engagement processes between the two streams is thus argued based on:

- Lack of any systematic capacity development of PEOs to play required roles meaningfully and undertake engagement processes productively and get used to the new and different role of facilitators (as against their earlier role of being decision-makers).

17.3 Theoretical Foundations and Provenance

Mentoring/facilitating/escorting is an empowering process for informal transmission of knowledge, social capital, and psychosocial support which is perceived to be relevant by recipients for progressing in their work and bringing about transformational changes. It involves sustained informal communication which is usually face to face over a long period of time in work and non-work situations.

Coaching primarily deals with skill development while mentoring is a holistic process of shaping attitudes but both overlap to a varying extent in practice.

Mentors' roles can be wide ranging and may include those of being a cheerleader, coach, confidant, counselor, developer of talent, role model, teacher, and helper. In the context of PRIs his/her role as the treasurer of government information and knowledge is also important. The mentoring intervention includes:

- Information treasury and dispensing—providing adequate contextual knowledge and information to PRIs.

- Accompaniment—journeying together.

- Sowing—generating ideas.

- Catalyzing—accelerating processes of team building of Panchayats.

- Showing—role model.

- Harvesting—bringing the newly accrued knowledge to the level of consciousness.

Mentoring has a wide provenance in developed countries in the corporate sector and it is also applied to a significant extent in the developmental sector, for example:

- The State of New York successfully intervened to reduce school dropouts in 1980.

- Spain employed mentoring to reduce disparities between men and women and in enhancing access to jobs.

- Greece has been utilizing mentoring processes since ancient times in politics, arts, and philosophy.

- Many interventions are reported to be successful in the corporate sector all over the world in developing talent, nurturing human development and potential, identifying opinion leaders and fast track executives, and imbibing cultural aspects and values among new recruits.

17.4 The Strategy

The strategy involves strengthening capacities of PEOs to facilitate positive engagement processes occurring at the level of the Panchayats through playing roles of mentors and coaches.

17.5 Objective

The objective of the strategy is to develop capacities of ERs, especially skill building and attitude shaping.

The strategy also aims at sensitizing PEOs towards the newly elected PR representatives and to help PEOs de-learn their role as decision-makers in order to give ERs the constitutionally mandated space.

17.6 Components of the Strategy

The components of the strategy include:

- Capacity development of PEOs to play roles of mentors and coaches.

- Frameworks for optimal processes within Panchayats.

- Ethical guidelines for interventions of PEOs.

- De-learning of their role as decision-makers by PEOs.

17.7 Operationalizing the Components

17.7.1 Capacity Development of PEOs to Play Roles of Mentors and Coaches

PEOs' capacity will be developed through a cadre of master mentors, which is planned to be developed for supporting ERs as well. The thematic areas for developing capacities include sensitivity training, concept of self and roles, group dynamics and team building, and role playing (mentor, coach, information treasurer and dispenser, contextual knowledge provider, and counselor).

The state should develop a module for these. It is believed that a minimum of 15 days of training will be required to develop mentoring skills among PEOs. The training is visualized to be that of skill building and attitude sharing and should have strong experiential learning tools and interventions.

17.7.2 Frameworks for Optimal Engagement Processes within Panchayats

A framework for positive engagement processes will be developed by the state/SIRD/PRIT. The framework may include processes like:

- Providing information (various schemes and programmes, roles and responsibilities, statutory and mandatory requirements of PRIs).

- Providing knowledge (how the state government works, contextual knowledge building especially in emerging areas like global warming, rights based approaches, pro-poor policies of the GoI and state government).

- Skill building— Providing options, alternatives, iterating pros and cons, facilitating consensus decision-making, and managing the Standing Committees.

- Attitude shaping—Optimal role playing, facilitating team building, making debates and discussions inclusive especially for ST/SC/women ERs, facilitating enhancement of transparency and proactive disclosures.

- Becoming role models.

17.7.3 Ethical Guidelines for Interventions of PEOs

Ethical boundaries apply in interventions made by PEOs as ERs are peoples' representatives, and the strategic intervention is only for developing their capacities; it stops short of influencing them in any way.

The state will have to develop ethical guidelines for facilitating positive empowering engagement processes.

17.8 Work Plan

The state should plan to cover 100 per cent of the target group from the first year onwards. There should be total coverage of PEOs at all levels (Gram Panchayats, Block Panchayats, and District Panchayats). The suggested batch size is a maximum of 20 participants for such mentoring training.

18. ROLE MODEL DEVELOPMENT STRATEGY

18.1 Current Situation

Currently no system for identifying role model Panchayats is in place unlike in other states where the Nirmal Gaon awards are given to GPs based on the sanitation criteria. But even these kinds of awards are:

- Ad-hoc.

- Limited to Panchayats only.

- Non-continuous.

- Output based and not process/outcome based.

18.2 The Need

Soft skills and values are best demonstrated. The PR sector needs to encourage and develop role models as role model institutions and individuals have great positive change inducing impacts.

It should develop role models of:

PRI Institutions

- Provide a benchmark for other PRIs.

- Motivate PRIs to achieve the benchmark and better it.

- Provide a strong demonstration impact through exposure visits and as learning sites.

- Provide incentives to rewarded PRIs for better performance.

- Strengthen the spirit of healthy competition.

- Act as demonstration sites during exposure visits.

Role models of ERs/EWRs/mentors/trainers

- Provide inspiration to others in the constituency.

- Make learning more meaningful through dialogues with peers (especially skills like leadership, communication, and values are best learnt and percolated through demonstration and not through classroom sessions).

- Motivate the rewarded individuals to perform better.

- Role model ERs/EWRs can be used as resource persons during training sessions.

Significant learning in human societies has and will continue to occur through imitating role models and creating positive spirals. Rewards—intangible and tangible—are recognized as motivators for better performance.

18.3 Objective of the Strategy

The objective of the strategy is strengthening performance oriented processes and outcomes within PRIs and their stakeholders through recognition, rewarding, and publicizing/ dissemination of role models.

18.4 Components of the Strategy

The strategy comprises of:

18.4.1 Selection System

For selecting role models every year from among:

- Gram Panchayats

- ERs

- EWRs

- Trainers

- Mentors

18.4.2 Awards System

Comprising tangible rewards (cash incentives, enhanced subsidies) and intangible rewards (certificates of honour, appreciation, acknowledgements).

18.4.3 Demonstration System

Making role models visible and using them as a means of learning for all PRI stakeholders through:

- Yearly awards functions.

- Dissemination of awards and honours through various means at the disposal of the state PRD.

- Making model PRIs demonstration/learning/exposure visit sites.

- Making individual role models facilitators and resources for training delivery and creating awareness and as resources in all PRI-CB&T strategies.

18.5 The Plan

Each year a specified number of PRIs and individuals resources will be identified and short listed as per the specified criteria. All such PRIs and individuals will be encouraged to apply for the awards through public advertisements and as per application formats. An expert committee will finally select the awardees.

The criteria and number of awards as well as incentives associated with the awards may vary. Other departments and schemes may also contribute with funds and other contributions related to their schemes and programmes.

18.6 Operationalization

The starting point for operationalizing the strategy is given in Table 23.

Table 23: Awards and Awardees' Details

Categories of Awardees	Number of Awards	Cash Prizes	Total Cost
PRIs—Gram Panchayats	25	1,50,000	37,50,000
ERs	20	21,000	4,20,000
EWRs	20	21,000	4,20,000
Resources —Trainers/Mentors, etc.	20	15,000	3,00,000
Total Award Costs	50 institutional awards+60 individual awards		48,90,000
Costs of Yearly Function/Advertisements/Awardees Selection			10,00,000
Total Costs			58,90,000

The total costs for the first year come to Rs 58.90 lakh. The total funds for awards may be decided and the number of awards and cash incentives may be broken up based on this figure.

A sample list of criteria is given in Table 24 which may be fine-tuned before implementation.

Table 24: Sample List of Criteria for Role Model Awards

Award	Criteria
Model Gram Panchayat	• 100 per cent Gram Sabhas take place • 100 per cent quorum is maintained in all the meetings • Community participation in decision-making • 100 per cent SCs are set up • 100 per cent members of the SCs are aware of their membership • At least 70 per cent of the SCs are functioning • 100 per cent of the Gram Panchayat meetings take place with all members • 60 per cent of the community is aware of the schemes and benefits
Model ERs and EWRs	• Convenes and attends 100 per cent Gram Panchayat and Gram Sabha meetings each year • Maintains records and proceedings of all meetings • Attends at least 100 per cent Panchayat Samiti meetings • Carries out planning for the Panchayat democratically • Supports the social audit process • Proactively discloses all details of the Panchayat in the Gram Sabha and public locations regarding finances, meetings, schemes, etc. • Selects beneficiaries according to terms and conditions of the schemes and programmes • Takes initiative and implements schemes for the benefit of the community
Model Trainer	• Among the top 5 scorers in the feedback received from participants • Top 5 trainers who receive positive feedback from partner NGOs • Top 5 scores for differences in pre-training and post-training evaluation of participants' knowledge and attitude • Initiated an innovative practice that improved training sessions/methods in his/her area
Model Mentor	• Reported incidents of increase in Gram Sabha, Gram Panchayat and SC meetings in his/her area • Increase in regularity of meetings and Sabhas • Reported increase in documentation and regularization of procedures of PRIs • Reported increase in participation in Gram Sabhas and presence of members in meetings

19. Peer Network Development Strategy

19.1 Background

Never doubt that a small group of thoughtful, committed citizens can change the world. In fact, it is the only thing that ever has.

Margaret Mead

The number of ERs at all the three PRI tiers comes to more than 30 lakh all over India. Collectivization of all these ERs at the state level will change the way of functioning of PRIs and fulfill Mahatma Gandhi's dream of 'Gram Swaraj'.

19.2 What is a Peer Network: Definition

As per the Wikipedia, definitions of peer and network are:

Peer: A peer is a person who belongs to the same social group as another person or group. The social group may be based on age, sex, occupation, socio-economic status, and other factors.

Network: A network is a social structure made up of individuals (or organizations) called 'nodes', which are tied (connected) by one or more specific types of interdependency, such as friendship, kinship, common interest, financial exchange, dislike, or relationships of beliefs, knowledge or prestige.

19.3 Need for a Peer Network

To share acquired knowledge and experience among peers (ERs at all the three PRI levels) for capacity development and replication of best practices for the development of PRIs.

19.4 Benefits of a Peer Network

- Exchange of knowledge and best practices: Such networks will help to share best practices, knowledge, and experience of each peer, which will help to optimize the use of resources and doing best planning for development.

- Replication of best practices: Best solutions to certain problems can be identified and replicated with minimum effort and support of past experience of ERs.

- Strengthening of interpersonal communication: Members of different districts, blocks, and villages can get a chance to meet regularly during meetings which will strengthen social relationships and interpersonal communication skills.

19.5 Peer Network Development Strategy for PRIs

In context of developing PRIs, the following peer network development strategy is suggested.

23.1.1 Model of a Peer Network

The peer network model is given in Figure 23.

Figure 23: Peer Network Model
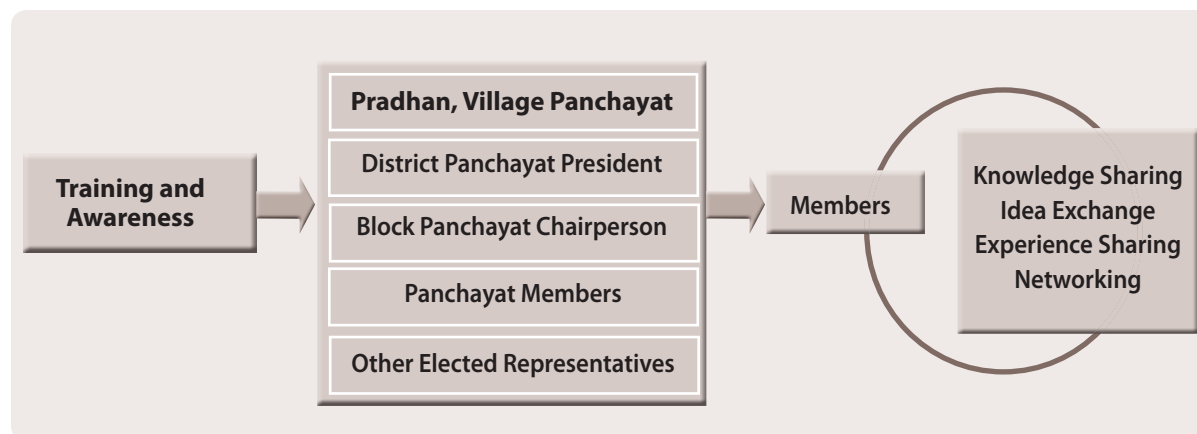
The model given in Figure 23 explains that the peer network will be a network of ERs like Sarpanchs, Panchayat Samiti chairpersons, Zilla Panchayat presidents, ward members, Zilla Panchayat members, and Block Panchayat members.

19.5.2 Process of Peer Network Development

Peer networks are proposed to be developed through membership. Formal networks will be established and sessions will be taken by member representatives of the network during the CD training sessions. Once the entire session is complete, interested ERs may be called upon to become members of the network.

19.5.3 Capacity Development

To create awareness about the peer network among ERs one session on peer network development should be included in each training as per NCBF. The session will cover the following topics:

- Basics of peer network: Definition of peer, definition of network.

- Needs and benefits of a peer network: With example of best practices or model peer networks.

- Role of a peer network: Knowledge sharing, ideas sharing, experience sharing.

- The working of a peer network: Example of newsletters, ICT applications, regular meetings.

19.6 Functioning of the Peer Network

19.6.1 Structure

The peer network is proposed to be a state level structure with supporting structures at the district level. Heads of these structures may be chosen through elections or by selection after appropriate guidelines are laid down for these procedures.

19.6.2 Activities

In this network members will share their knowledge, ideas, and experiences. Sharing can be done through:

- Regular meetings at state and district levels.

- Quarterly publication of newsletters in local languages.

- Annual general meetings.

- Solution exchange like web application for knowledge exchange.

- Exposure visits to model Panchayats across the country.

Strong peer networks may have an active role in the state level decision-making structures where they can act as the voice of ERs.

19.6.3 Funding

Although NCBF has made provisions of Rs 2 lakh as start up cost for ER peer networks, regular funds are required to make this network sustainable. This fund can be generated through:

Membership fees: The network can charge nominal fees for membership and generate funds.

Subscription to the newsletter: If any state level network is publishing any newsletter then some surplus amount can be generated from its subscription and through advertisements in it.

Government funds: More funds can be generated or channelized from various central or state government schemes, if such permission is granted or provisions are made by the government.

External funds from donor agencies: Funds can also be generated from donor agencies supporting local governance reforms and the development of PRIs.

Similar networks may be replicated for Panchayat support functionaries. This is not suggested here as they are already part of a forum where they can meet their counterparts from other sections of the state and exchange views. This opportunity is not there for ERs.

20. Contributory Partnerships Strategy

20.1 Current Scenario

The state PRD has contracted SPAs for implementing training in selected districts. At present there are four SPAs contracted for 55 districts for training GP Pradhans and members.

In terms of numbers, UP has a strong presence of NGOs with the number of registered of NGOs with the state Planning Department touching 4.2 lakh. CAPART had created a database of 2,000 NGOs while another survey had estimated 32 networks of NGOs working in the state. All NGOs working in the rural development sector have strong links with PRIs their stakeholders. However, it is believed that there are very few good NGOs. As stated earlier the experiences of both the state government and NGOs working together have been mixed.

Careful and transparent selection of CSOs, timely payments and approvals, etc. as the experiences of SIFPSA and UNICEF suggest, alleviate most of the issues of quality and timely delivery from CSOs. These experiences should be deployed to expand civil society's involvement in PRI-CB&T.

20.2 The Need

The capacity development strategies suggested in this Report go beyond training and require working more closely with various stakeholders at all levels of PRIs and their CB&T. Therefore, this requires a bridge which will be a supply delivery chain or soft infrastructure for the state for CB&T of ERs and support functionaries.

The node that will deliver capacity development will be strong and comprise of resources in terms of individuals as well as institutional resources. The node will be able to carry out various functions required under capacity development like training, mentoring, documentation, monitoring and evaluation, and so on at various levels.

20.3 Objective of the Strategy

The objective of the contributory partnerships strategy is:

* To enable efficient and timely delivery of capacity development in the state.

* To develop the capacities of capacity developers.

20.4 Components of the Strategy

The components of the strategy are:

20.4.1 Partnerships

The fulcrum of this strategy is partnership with a variety of entities. The strategies recommended in this Report require working closely with the community, working at different levels—policy, grassroots, project

and programme—and require varied skills and knowledge levels. This therefore calls for an equally versatile set of organizations/institutions in partnership with whom these strategies will be implemented.

Based on the type of exchange, partners can be funders, infrastructure givers, catalysts, givers of ideas, givers/connectors of contacts (helping in building networks), initiators, or catalysts for the programme/ project (see Table 25).

Table 25: Partnership Matrix for CB&T Delivery in Uttar Pradesh

Partnership Type	Roles/Function	Possible Entities for Partnership
Delivery Partners	Delivering services to end users	CSOs, mobile van teams, folk performance teams, government departments
Project Partners	Task based functions	Individuals (experts/students/academicians), research institutions
Support Partners	Providing support to a particular programme/ project—think tanks, technical support, etc.	CSOs, academic institutions, individual experts, government departments
Functional Partners	Taken on for specific functions within a programme like M&E, training, and design	CSOs, academic institutions, individuals (experts/ students)
Programme Partners	Partners for the entire programme	CSOs, academic institutions, government departments

The partnerships can be long or short-term depending on the need. For example, short-term partnerships may be with university students who may be taken on internships for short-term research projects; they may be reimbursed travel costs during the course of the research. Fellowships can be given to national and international students for research projects in the area of Panchayati Raj.

Technical education boards, colleges, and universities can run short-term (1, 3, or 6 months) certificate courses in collaboration with the state PRD for training freshers, government officials, support functionaries, as well as resource persons themselves. These will be self-sufficient programmes.

20.4.2 Capacity Development of Partners

The partners so chosen will undergo training and capacity development as well in order to be able to perform their roles and functions better. They will be given orientation training about PR and its institutions and their basic roles appropriate to the tasks for which they have been chosen.

The resources in the entire capacity development strategy will also undergo continuing education wherein they will regularly take up compulsory courses to update their knowledge and skills every year.

The programmes envisaged for resource persons are:

- Fellowship programmes: The state PRD/PRIT/CB&T-PMU/SIRD can institute fellowships for those who want to conduct research studies in the field of PRI-CB&T and related subjects.

- Symposiums/workshops: The state can send resource persons to training programmes/workshops within the state or in any other part of India or even outside the country.

- Master's programmes: The state PRD/PRIT/SIRD can collaborate with a university or distance programme universities like IGNOU for designing and running master's programmes in PR and other relevant subjects.

- Professional advancement courses: These will form a bulk of the programmes that will be taken up by capacity developers. These may be developed by PRIT/CB&T-PMU either through internal resources or by hiring external experts. These are planned to be a week to a month long short-term courses on various subjects like:

    – Training

    – M&E

    – Documentation and report writing

    – Decentralization

    – Rights and governance

    – Communication

    – Developmental issues

    – IT and development

    – Best practices in PR

These are the broad thematic areas under which programmes can be designed on various sub-topics keeping in mind the audience for which they are meant. The audience may comprise of:

- CSO members.

- DRPs and MRPs.

- State level resource persons.

- State PRD agencies for training state level resource persons.

- Mentors.

- Folk performance teams.

- Mobile van teams.

- CRS teams.

- PEOs.

20.4.3 Contracting Mechanism

MoPR has brought out a reference guide for outsourcing for PRI-CB&T by states/UTs. The state may refer to this while getting into partnerships with CSOs. Qualitative experiences suggest that stringent selection procedures may prevent unpleasantness at a later stage for both the partners. The partners selected after the procedures are completed will then enter into a written contract with PRIT/CB&T-PMU and work accordingly. The contract will clearly spell out the roles and responsibilities of the parties involved and will be fair to both the parties.

20.4.4 Monitoring and Evaluation Mechanism

The partners so chosen at various levels for the strategies have to be monitored and evaluated at regular intervals to understand whether they are performing their roles and functions appropriately. They will need to be evaluated in order to know the challenges that they face as well as to know what impact they are having on the community.

20.5 Operationalization

All the partners will be chosen by PRIT based on appropriate criteria. The selection criteria have been detailed out in each of the strategies wherever necessary. But some of the general criteria to be kept in mind while choosing capacity delivery partners are:

- Should have 3–5 years experience of working in the region.

- Should know the local community.

- Are going to be present for the entire programme and will not leave it half way.

Once the partners are selected, training will be given to them by PRIT/CB&T-PMU. The district CB&T team will coordinate with the chosen partners for the remaining issues from payment to M&E. The CB&T team for every district has been envisaged to look into and oversee all matters with regard to capacity delivery.

20.6 Strategy Budget

The lumpsum budget or budget norms for implementing the various strategies through partnerships have been provided in the respective sections in the Report. The state PRD should prepare detailed budgets for each strategy beyond what is provided in this Report.

21. Knowledge Management Strategy

21.1 Introduction

Knowledge is the sum total of information, contextual understanding, and wisdom. Knowledge Management (KM) is the process of capturing, transmitting, storing, and disseminating this. While human networks are appropriate mediums to store and transmit contextual understanding/tacit knowledge and wisdom, IT based platforms, and computer networks are appropriate mediums to store and transmit data and information.

The KM strategy focuses on the storage and transmission of data and information through computer networks.

Another equally or perhaps more important component of storage and transfer of knowledge, contexts, and wisdom through an organic network of human resources (ERs,EWRs,CSOs, resource persons, and trainers) is dealt with in other strategies of creating role models, on the job training, and developing peer networks.

21.2 Current Situation

Significant information exists within various PRI constituencies and more will be generated through the implementation of the proposed CA-CDS strategy. At present there is no systematic storage or transmission mechanism for this information.

Adults learn through experience/knowledge and information sharing. While it is true that people always learn and the scope of learning is ever present in any situation, unfocused and unstructured sharing of real life experiences, learning, knowledge and information, the learning curve costs and time are far too high to be acceptable for the PR sector.

Implementation of the proposed 11 strategies together is expected to strengthen human networks comprising of:

- Supply chain resources including trainers, mentors, SPAs, CSOs, researchers, M&E professionals, community radio operators, IEC/BCC mobile van operators, convergence strategy, state PRD officials, etc.

- Team members of nodal institutions including PRIT, SIRD, RIRDs, DIRDs, and other training institutions, etc.

- ERs at various levels through recommended ER peer network development.

- Village communities through DC and other strategies.

The KM strategy thus focuses on the more deterministic information and knowledge bits, is IT driven, and

deals with real time exchanges among all the stakeholders.

21.3 Objective

The objective of the KM strategy is to reduce the divide due to information and knowledge among PRI stakeholders by providing universal access to these. The applied KM strategy will inter-alia:

• Reduce the information and knowledge differentials that exists among PRI stakeholders.

• Make dispersal of knowledge uniform.

• Strengthen efforts towards reducing power differentials due to gender.

• Enable instant access and analysis of a vast amount of information which is not possible otherwise.

21.4 Short-term Limitations of the KM Strategy

With the given differentials and access available to information and knowledge, expected weak functional literacy of ERs, and a weak ICT infrastructure the percolation due to the KM strategy may be uneven in the short-term with very less utilization rates. Any strategy will take its own time to percolate uniformly across the strata of stakeholders and change most of the time starts with opinion leaders/change agents and then spreads and this will hold more true in the case of the KM strategy.

There are examples of countries like China where the ICT revolution has broken traditional bottlenecks and enabled tremendous scale ups. It is also argued that India has more mobiles than individual toilets. Thus, the pace of percolation of social technology tools is argued to be much faster than one realizes.

21.5 KM Components

KM is visualized as a:

• A vortal/knowledge gateway with web-enabled dual language information transfer.

• Monitoring, Evaluation, and Learning System (MEALS).

• Protocols for:

  – Data acceptability

  – Data compatibility

  – Information disclosure

  – Data safety and security

The KM model is highlighted in Figure 24.

Figure 24: The Knowledge Management Model
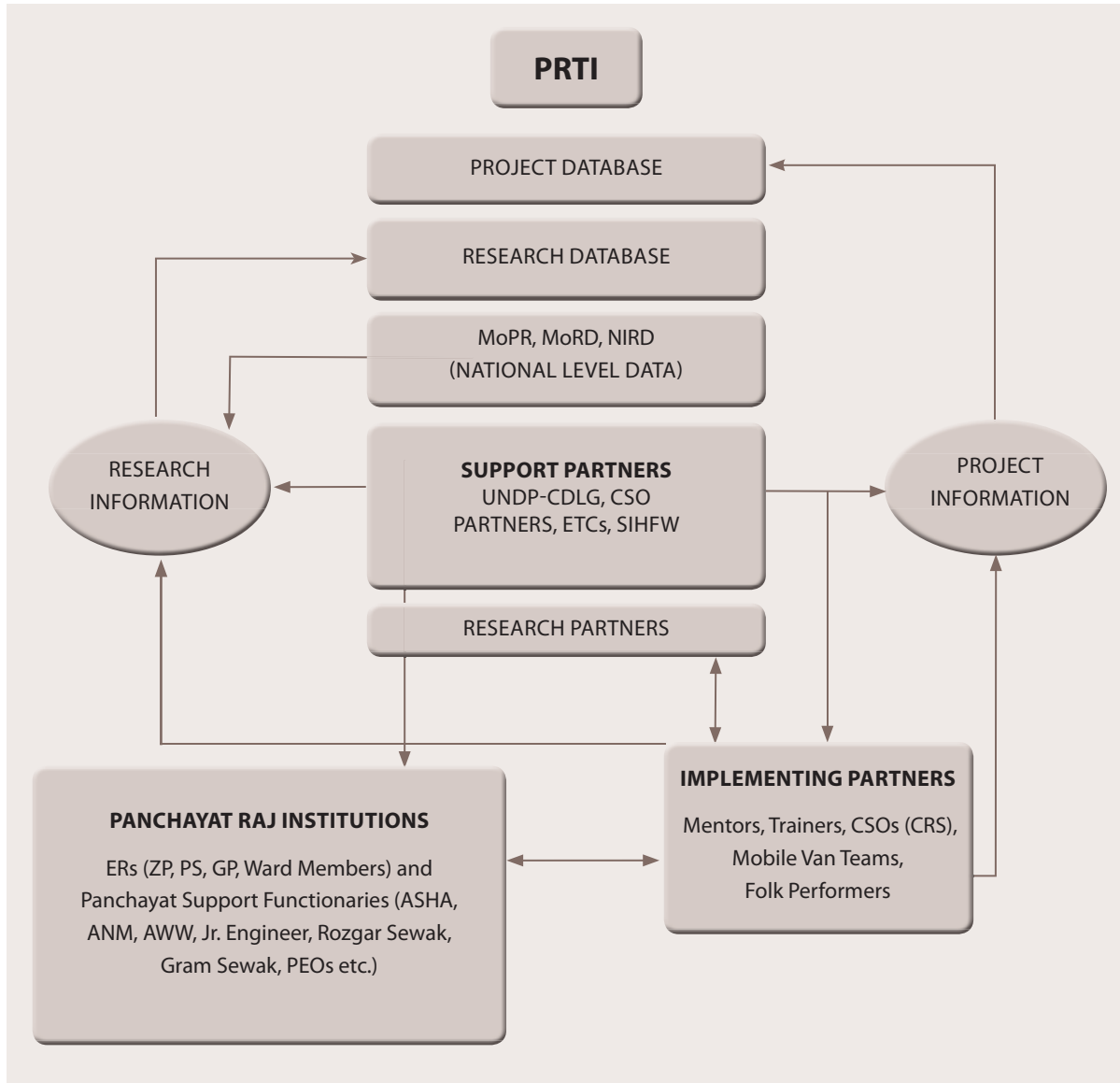
21.0.1 Knowledge Gateway/Vortal

The vortal is visualized as having the following features:

Communities of practice: These are web-enabled communities of people who have worked together over a period of time. Here we may have many CoPs for the components of PR-CD in order to share best practices and latest updated knowledge.

Chat rooms: Chat rooms encourage real time communication/dialogues among people and help in sharing information quickly.

M&E information sharing: The strategy will also involve sharing publicly all the reports that come in from various projects like community radio stations, mobile vans, folk performance teams, mentors and trainers, and CSOs. Access to information will be universal except in cases where:

- Confidentiality is involved.

- Sensitive information is involved.

- Any information which the state PRD/SIRD/PRIT/CB&T-PMU editorial board thinks should be withheld in larger public interest.

- Announcements/upcoming events—All training programmes/workshops, exposure visits, and events planned are publicized through the vortal.

The type of information which may be uploaded includes:

- Statistics—Overall and with appropriate break up, for example:

Physical progress reporting—Coverage under various strategies and plans, actual, deviations.

Financial progress reporting—Sources and resources.

- Documentation of each training/event.

- Reports of each training/event.

- Database of all ERs, trainers, mentors, CSO partners, and other resources envisaged under all the strategies.

- Organization structure of PRD, SIRD, PRIT/CB&T-PMU and databases of all contacts.

- RTI inquiries and status.

Training depository—This is a powerful feature of the gateway wherein all bits of knowledge are stored for referral by the stakeholders. These may include:

- Training modules.

- Guidelines/protocols for developing/planning/conducting—Training modules, case studies, experimental learning tools, exposure visits, research, ethical guidelines, evaluation of training, documentation of training, on the job mentoring/training, functional literacy modules, and specialized modules on gender, disaster management, referral material for all the modules, links of relevant websites.

- Best practices—Next/best practices, learning derived and critical success factors.

- Experiences sharing platform.

Social Networking Features

Blogs, Facebook, Twitter, Wikipedia, and YouTube have created excellent platforms for sharing which may be used for uploading films, information, and exchanges among interested people. AMR-APARD in Andhra Pradesh has used such platforms for sharing training aids.

AMR-APARD has also piloted M-training through mobiles. Most of the ERs and PEOs are perceived to have their own mobiles with a significant number of them having storage and film screening features. Daily short SMS' comprising of IEC in PRIs can be sent to lakhs of people very quickly at low costs through

the available software. Thus, using hand-held devices is an important feature of today's ICT/IT revolution. There is consensus that hand-held devices will be used more and more providing seamless communication through integrating radio, TV, broadband, computers, etc.

21.0.2 Monitoring, Evaluation, and Learning System (MEALS)

Monitoring, evaluation, and learning are a continuum of the M&E function and in practice are often attempted in a suboptimal manner as separate exercises. The strategy visualizes the spectrum with all its components as highlighted in Figure 25.

Figure 25: The Monitoring, Evaluation, and Learning System (MEALS)
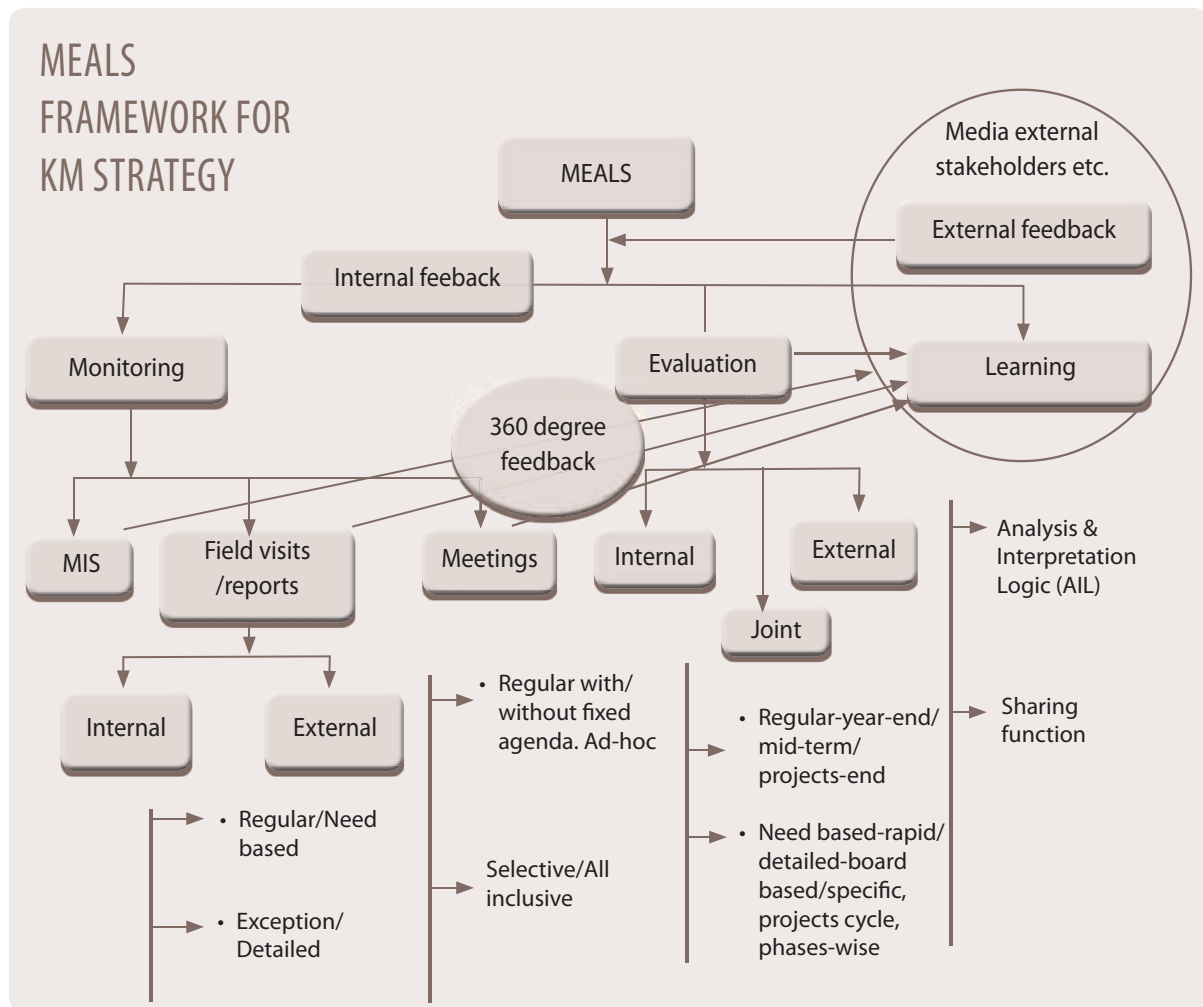
Detailed M&E systems need to be developed based on the model given in Figure 25 by the state as part of the KM strategy to ensure concurrent learning and feeding into implementation of PRI-CB&T. The essential components of such a MEAL system will comprise of:

• Monitoring and evaluation strategy.

• Result chain indicating relationships among specified input-process-output-outcome and impact indicators.

- Monitoring and evaluation plans with ToRs, specifications, thrust areas, resource estimates, and corresponding budgets.

- A comprehensive real time MIS.

- Capturing, compiling, aggregating, and keeping field records in instantly retrievable and analyzable information bundles.

- User driven—users define and get what they want, at the time that they want it, in the place they want it, and in bundles that they want.

Table 26: The M&E Framework

Strategy	Monitoring Mechanism	Output Indicators	Outcome Indicators	Evaluation Mechanism	Impact Evaluation Mechanism	Feedback Loop
Training	• Trainers' reports • SPAs reports to PRIT/SIRD • Feedback forms	• No. of training • No. of training batches conducted • No. of trainers developed • No. of participants in every training • No. of women in training • No. of ST participants in training	• Pre- and post-training evaluation tests	Evaluation every year	External Evaluation every 3 years	- SPAs/CSOs to training team at PRIT - SPAs/CSOs to trainers
Community Radio Station	• Monthly reports to partner coordinators	• No. of radios distributed • No. of hours broadcast per day • No. of programmes in different categories • Inventory size • Listenership in the community • Revenue generated in a year	• Radio distribution in community • No. of radios in working condition • Listenership of women in comparison to men • Recall rates of programmes • Participation of SC, ST, women, youth, children, and elders, • Participation of ERs in CRS, especially women • Utilization by local business persons and SHGs for marketing • Utilization by schools and children • Frequency of usage by the government department			Managers (CB&T strategies)-PRIT to partner coordinators who give feedback to CSOs

Strategy	Monitoring Mechanism	Output Indicators	Outcome Indicators	Evaluation Mechanism	Impact Evaluation Mechanism	Feedback Loop
Mobile Van	• Monthly reports to CSO partners who send them to the CB&T coordination & M&E section, PRIT		• Recall rates among people about MV programmes • Community awareness levels about Panchayati Raj provisions • Participation rates in Gram Sabha and Gram Panchayat meetings			
Folk Performance Teams	• Monthly reports to CSO partners who send them to the CB&T coordination & M&E section, PRIT	• Themes covered by each team • No. of GPs visited four times • No. of media used in each GP	• Recall rates in community regarding folk performances, themes discussed • Increased awareness levels in community regarding the themes covered by the teams • Increased participation of community members in village meetings	Annual assessment by CSO partners		
Mass Media Plan	• Reports by CSO partners who send them to the CB&T coordination & M&E section, PRIT	• Listenership and viewership of broadcast programmes • No. of calls received in response to programmes	• Increased awareness levels among listeners • Regularization of Gram Sabhas • Increased participation in Gram Sabhas • Regular Panchayat meetings • Presence of all members in Panchayat meetings • Increased women's participation	Annual assessment by CSO partners		
Indoor-Outdoor Media Plan	• Reports by CSOs to the CB&T coordination & M&E section, PRIT	• No. of calls received on the helpline • No. of material given to each Panchayat • No. of IEC material put up in publicly visible spots in each Panchayat • Community participation in wall painting campaigns	• Increase in the newsletter's readership • Increase in queries and complaints from ERs and the community • The state of posters and flip chart displays • Level of awareness among the communities where such campaigns have been done • Regularization of meetings in communities	Annual assessment by CSO partners		CB&T coordination and M&E section, PRIT to CSO partners

Strategy	Monitoring Mechanism	Output Indicators	Outcome Indicators	Evaluation Mechanism	Impact Evaluation Mechanism	Feedback Loop
Role Model Development	• No. of nominations received by the selection panel	• Increased nominations for each category of awards • Increased number of beacon Panchayats created in the state	• No. of role models used in training sessions • Increasing number of nominations every year			CB&T coordination and M&E section, PRIT to selection panel

25.5.1 Protocols

The Public Domain Km Strategy And Model Will Require Adequate Guidelines/Protocols For Ensuring:

• Data Acceptability—Acceptability Of The Data Based On Its Provenance, Authenticity, Riders/Limitations, If Any, Observing The Copyright Act, Acknowledging Authors, Intellectual Property Rights, Etc.

• Data Safety—Backup, Firewalls, Protections Against Breakdowns, Parallel Servers, Etc.

• Data Accessibility—Defining The Access Domain For All Users To Access Information, Editing, Uploading/Posting, Etc.

22. RESEARCH STRATEGY

22.1 Objective of Research

Research in Uttar Pradesh for PRI-CB&T is aimed at:

- Directing the strategies, policies, programmes, and interventions as per the need and realities of PR and its stakeholders.

- Providing provenance of the effectiveness or otherwise of the state PRI-CB&T strategies, policies, programmes, and interventions.

- Making the external knowledge applications state specific.

22.2 Strategic Framework

A strategic framework comprising a 3-pronged research approach of action research, operational research, and formative research is outlined in Table 27. The strategic framework differentiates between the different types of researches needed for PRI-CB&T and assists in allocating financial resources in a top down manner.

Table 27: Research Strategies in PRI-CB&T

	Action Research	Operational Research	Formative Research
Purpose	Improving ongoing interventions	Improving strategies	Creating new knowledge and directions
Indicative Time Span	1–3 months	4–6 months	8–12 months
Team Strength	Small team of 1–3 members	Medium size teams of 4–10 members	Large size teams of 10–25 members
Geographical Footprint/ Canvas	Micro interventions	Components of PRI-CB&T at the state level	Multi-state/country level
Cost Aspects	Incremental costs in ongoing implementation	Costs between Rs 2–10 lakh	Costs beyond Rs 25 lakh

An indicative menu of researches, which need be carried out in the state is highlighted in Table 28. PRIT/ CB&T-PMU needs to detail out the menu, decide priorities, and implement them through suggested outsourcing systems.

Table 28: Indicative Menu of Researches

	Action Research	Operational Research	Formative Research
Legal Studies		• Identifying revisions in existing state acts/laws for due cognizance of the state PR Act • Clarifying rules and regulations for precise roles of PRIs	• Divergence among spirit of constitutional reforms and the state PR acts

	Action Research	**Operational Research**	**Formative Research**
Social Science	• Outcome/impact evaluation of select/each micro intervention (on the job training, CRS, folk performances, etc.) • FAQs for stakeholders on various thematic areas	• Outcome and impact studies of each strategy • KABP (Knowledge, Skills, Attitudes, Behaviour) of EWRs • KABP of SCs/STs • Functional literacy baseline for ERs • Parallel structures of line departments and the impact of PRI Standing Committees	• Linkage of poverty and gender to power dynamics in PRIs • Effects of gender, caste, and class among ERs in PRIs on effective functioning of Panchayats
Management Science	• Case studies of role models • Level of computer literacy among ERs	• Devolution mapping and bottlenecks • Business model and ICT/E-governance for Panchayats • TNA	• HR and infrastructure norms for effective functioning of Panchayats
Psychology and Human Behaviour		• Self-esteem/confidence among EWRs/STs/SCs and other ERs of PR • Leadership traits among ERs and EWRs and strategies for enhancing them	
Governance	• Impact of training on governance in PRIs	• Issues, constraints, challenges, and opportunities for strengthening Gram Sabhas, Standing Committees, etc. • E-governance	• Degree of convergence and strategies for enhancing the same for PR • Impact of tenures of ERs on the functioning of PR

22.3 HR and Infrastructure for Research

PRIT/CB&T-PMU needs to have one research specialist, details for which are provided in the proposed organization structure along with details of remuneration, job description, and job specification. Research in PRI-CB&T is planned to be carried out through outsourcing.

23. CONVERGENCE STRATEGY

23.1 Convergence: Concept and Definition

23.1.1 Concept

The dictionary meaning of convergence is 'The act of moving toward union or uniformity'

According to Wikipedia 'Convergence is the approach toward a definite value, a definite point, a common view or opinion, or toward a fixed or equilibrium state'.

23.1.2 Operating Definition of Convergence

In the context of PRI-CB&T, convergence is defined as formulating policies, developing systems and structures, and undertaking projects/activities to create links/synergies among stakeholders, especially government departments in their efforts at CD of PRIs and their stakeholders in the state.

Thus defined, convergence is a multi-pronged, multi-layered approach towards tapping synergies and achieving scale of economies and enhancing implementation efficiencies.

23.2 Objectives

In the current set up where training is attempted by different departments, independently targeting the same target audience (ERs, EWRs, and support functionaries), PRI-CB&T and other department training exists non-optimally. This leads to the following issues of:

- Creating 'training noise'—Treating different themes and sectoral training as standalone and separate themes creates duplication, gaps, over/under utilization in training, etc. The training noise reduces the overall effectiveness of the training and may create 'mindsets' which operate against the acceptability of training due to differing standards of training, methodologies, and trainers.

- Higher costs—Higher costs result due to non-achievement of scale of economies, creation of parallel training delivery structures in terms of CSOs and trainers, and duplication of training infrastructure, which is normally underutilized.

The objectives of convergence thus comprise of:

- Reducing training noise.

- Achieving cost effectiveness in training.

23.3 Convergence Model

The concept of convergence is given in Figure 26.

Figure 26: Convergence Model for PRI-CB&T
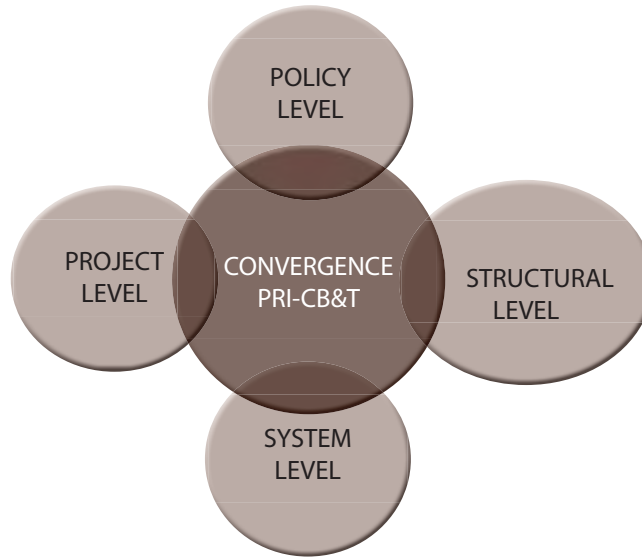
23.4 Convergence at the Policy Level

23.4.1 Current Status at the Policy Level

The current status of convergence at the policy level is given in Table 29

Table 29: Current Status of Convergence at the Policy Level

Level of Inquiry	Current state	Impact of non convergence
Policy level	• Funds for training are sprinkled across several ministries/ departments and programmes including CSS. • Each department prepares its own training plan by and large in isolation.	• PRI members not targeted properly. • Non-uniform training approach. • Duplicating logistics and infrastructure for training.

23.4.2 Proposed Actions for Convergence at the Policy Level

23.4.2.1 Pooled funding for CD

The central government spends around Rs 75,000 crore in implementing CSS. According to NCBF's recommendations, instead of assigning separate funds for training to MoPR, 1 per cent of the public expenditures on all CSS should be placed in a non-lapsable fund by the central government exclusively for implementing NCBF.

This would in particular apply to seven of the eight flagship programmes, which fall within the 29 matters identified in the Eleventh Schedule for devolution from state governments to Panchayats.

The government launched a time bound plan under Bharat Nirman in 2005 for implementation during the four-year period, 2005–09. The objective of the Bharat Nirman Programme is to impart a sense of urgency in creating rural infrastructure by setting time bound goals under various schemes which form a part of the Bharat Nirman Programme. The programme imposes a responsibility on the state to create these facilities in a transparent and accountable manner.

The eight flagship programmes are:

- **MGNREGS**—Mahatma Gandhi National Rural Employment Guarantee Scheme.

- **NRHM**—National Rural Health Mission.

- **ICDS**—Integrated Child Development Services.

- **SSA**—Sarva Shiksha Abhiyan.

- **MDM**—Mid-day Meal.

- **TSC**—Total Sanitation Campaign.

- **NSAP**—National Social Assistance Programme.

- **BRGF**—Backward Regions Grant Fund.

Thus 1 per cent of public expenditure on these programmes should be allocated as a non-lapsable fund to the states for CB&T.

This recommendation has not been implemented yet and will go a long way in strengthening PRI-CB&T. MoPR should implement this NCBF recommendation in a time bound manner in consultation with all the concerned ministries.

Pooled funding should be created at the national as well as the state levels. Pooled funding may not mean physical transfer of funds to one entity/department (though that is a good alternative too) but planning holistically taking into account all the soft support budgets across various departments, CSS, and state funded schemes (including creating awareness, community mobilization, training, and IEC/BCC).

At the state level, PRD may be made the nodal agency for training in rural areas as it is responsible for delivering decentralized governance at the state level. This will ensure holistic focus on training based on the roles that different people have to perform.

23.5 Convergence at the Structural Level

23.5.1 Current Status at the Structural Level

Table 30 gives the current status of convergence at the structural level.

Table 30: Current Status of Convergence at the Structural Level

Level of Inquiry	Current status	Impact of non-convergence
Structural level	• Parallel structures of line departments (creating Rogi Kalyan Samitis or (Village Health Committees) under NRHM by the Department of Health consisting of a few traditional ERs and support functionaries. • Implementation of the programmes in a stand-alone manner through creation of parallel village/block/district level bodies. • Separate programme implementation and funds for CD, community mobilization, and awareness/IEC/BCC. • Institutes such as NRHM and all the CSS in Uttar Pradesh have their own CB&T programmes and allocated budgets.	• Duplication in training efforts. • Training programmes undermining the constitutional roles/mandates of PRI members. • Dual roles and different needs of PRI-ERs not taken into account. • Creating 'training noise'. • Training with fragmented understanding of developmental processes for PRI-ERs and rural citizens. • Weakening of effective functioning of PRIs as inclusive, strong, and transparent bodies of democracy.

23.5.2 Proposed Actions for Convergence at the Structural Level

The following options are suggested for convergence at the structural level:

23.5.2.1 Removal/integration of parallel structures

- To make village level SCs all inclusive for all GoI/state programmes and doing away completely with parallel line departmental/mission level structures and systems with suitable modifications in the membership of SCs.

- To integrate both the structures through systemic interventions and linking them with departmental committees functioning under/as sub-committees of SCs of PRIs.

23.5.1.2 State level CB&T Planning and Coordination Committee

To form a state level CB&T planning and coordination committee concerning all line departments under the aegis of Chief Secretary or Principal Secretary-Planning and Coordination Department with the Member-Secretary's role being played by the Principal Secretary-PRD. The ToR for the committee will be developing long-term strategic plans, detailing/approving converged yearly operational plans, allocating budgets, and providing effective governance to CD.

Capacity building data of the state from various departments should be compiled and presented as background material to the convergence committee. This data may comprise of, but not be limited to:

- Training calendars

- Training material

- Training budget

- Training coverage

- Training infrastructure

- Resource persons' database

23.5.2.3 Convergence with line departments

Almost all the departments specified in the devolution (form, function, and functionaries) to PRIs, design and implement 'soft' interventions along with their programme implementation. These 'soft' interventions comprise of training and CD, community mobilization, and awareness/IEC/BCC. Most of the national and state programmes have defined budget lines and provisions for these areas.

A significant number of these interventions are directed at people living in rural areas and will include the newly elected PRI-ERs.

PRI-ERs have a dual role in such schemes:

- As recipients/entitlement holders of such schemes.

- As decision-makers to decide among conflicting priorities for rural citizens and implementing the schemes for other beneficiaries.

Convergence among different departments implementing CB&T and soft interventions targeted at rural

citizens, especially at ERs of PRIs is thus needed to reduce the 'training noise' and for enhancing the overall effectiveness of CB&T.

23.6 Convergence at the Institutional Level

This measure includes creating coordinating mechanisms among different independent training institutes to ensure ongoing coordination, communication, and integration of common thematic areas for training delivery in rural areas.

Some of the major stakeholders with differing coverage and reach are:

SIRD

UP-SIRD is a part of RDD and is headed by a Director General, a senior IAS officer who usually holds multiple charges. It has a major constraint of not being able to develop its own reserve funds as it is not a separate legal entity with its own constitution and byelaws.

UP-SIRD is probably the largest training institution in India in the PRI-CB&T sector in terms of infrastructure and HR team. It functions through a large geographical footprint of 17 RIRDs and 33 DIRDs.

PRIT

PRIT's building is under construction with a significant part of the work already completed, and a minimal nodal team of seven persons approved by a high powered committee. There does not seem to be a clear vision or roles charted out among the proposed PRIT and SIRD at present; neither is there a clear operational plan.

Other Training Institutions

There are many other training institutes in UP which though not focused on ERs do provide training to rural functionaries (which also comprise ERs). These include SIFPSA, Training Institute of the Planning Department, Bankers Institute for Rural Development Training,Research Institute of the Finance Department, SIHFW, Sakshar Bharat Mission, NIC training centres, vocational training centres established by various departments, the Animal Husbandry Training Institute, Nehru Yuva Kendras, forestry training institutes, Krushi Prashikshan Kendra, Neda Training Institute of the Energy Department, and farmers' field schools. With their focus on different target groups and thematic areas, specific mandates, and workloads their involvement in PRI-CB&T can be through the convergence of:

- Common training plan and calendars.

- Sharing of resources—CSOs and faculties.

- Integrating sectoral training as a precursor to PR holistic view.

- Sharing and learning from each other through research, innovation, and ICT piloting.

23.7 Convergence at the System Level

23.7.1 Current Status at the System Level

The current status of convergence at the system level is given in Table 31.

Table 31: Current Status of Convergence at the System Level

Level of Inquiry	Current state	Impact of non-convergence
System level	Separate planning for training by different departments. Separate training design for different programmes. Separate M&E systems.	• Duplication of training efforts. • Fragmented and ineffective approach to training.

23.7.2 Proposed Actions for Convergence at the System Level

23.7.2.1 Integrated planning for the entire state

The annual CD training plan should be planned by the committee, which includes all the departments' representatives as suggested earlier with a Member-Secretary and the nodal role being played by the state PRD.

23.7.2.2 Common M&E system

There should be a common M&E system for all departments to give uniformity to the process. This suggestion when implemented will generate significant benefits as all training, outputs, and outcomes will become comparable triggering further improvement.

23.7.2.3 Common training design system

There should be a common training design system between different departments including:

- An integrated training calendar considering focus areas of all the departments and the CB needs of PRI members. This will save the participants' significant time and also save time in planning separate exercises.

- Integrated training modules considering focus areas of all the departments and the CB needs of PRI members.

- ToTs by PRD to trainers from other departments.

23.8 Conclusion

Convergence is usually perceived and it probably is difficult to achieve due to rigid departmental boundaries and dedicated standalone budget allocations for schemes. At times, the benefits of convergence, which are mostly intangible, are not easy to perceive.

A properly designed and implemented convergence strategy will however yield benefits that are greater than the costs incurred on it. A convergence strategy with the twin objectives of 'reducing training noise' and 'enhancing training effectiveness' is suggested. Convergence is visualized as a contributory and collaborative partnership process and existing potential at all levels (policy, strategy, institutional, and systems) should be attempted by the state PRD. The state PRD has a nodal role to play in this strategy as the department deals with decision-makers more holistically.

24. On the Job Training Strategy

24.1 Current Scenario of Training in the State

The current mode of PRI training in the state is 'in immersion'. In this type of training, participants are trained in a specific controlled environment. The focus of the training is on imparting knowledge. To effectively build the capacities of participants there is a need to focus more on skill building, which can be achieved through on the job training.

The state/PRD/PRIT should not directly implement strategies for on the job training and role models considering the sensitivity and ethical issues involved. The state can constitute a committee for these.

24.2 On the Job Training: Concept and Definition

On the job training happens in a work situation. In this type of training facilitators/mentors intervene in work situations.

On the job training will supplement the in immersion training and will help in building functional skills of the participants to perform their duties effectively and will also develop their problem solving abilities.

24.2.1 Operational Definition of On the Job Training

It is a process of facilitation by mentors to PRI members in work situations.

24.3 Objectives of On the Job Training

In on the job training mentors will facilitate the target groups:

- To enhance skill building.

- To reduce power/gender differentials.

- To empower people to claim their spaces.

24.4 Focus of on the Job Training

On the job training interventions will start immediately after the results of the Panchayat elections are declared.

Gram Panchayat Level

- First and second meetings of Gram Sabhas.

- First and second meetings of Gram Panchayats (including the meeting in which Standing Committees are formed).

- First and second meetings of Standing Committees.

Kshetra Panchayat Level

- First and second meetings of Kshetra Panchayats (including the meeting in which Standing Committees are formed).

- First and second meetings of Standing Committees.

Zilla Parishad Level

- First and second meetings of Zilla Parishads (including the meeting in which Standing Committees are formed).

- First and second meetings of Standing Committees.

Standing Committee Meetings

At all the three levels seven SCs will be constituted according to the state Panchayati Raj Act. At the district and block levels, the following are mandated:

- General Administration Committee
- Health and Education Committee
- Cooperative Committee
- Women, Children, and Social Welfare Committee
- Communication and Works Committee
- Industries and Agriculture Committee
- Forests and Environment Committee

At the village level the following committees will be formed:

- General Administration Committee
- Development Committee
- Women, Children, and Social Welfare Committee
- Village Defense Committee
- Health, Education, and Environment Committee
- Government Estate Committee
- Infrastructure Committee

Out of the seven SCs' meetings, mentors as per their convenience, will facilitate the first two meetings of any of the seven committees.

24.5 Roles of a Mentor

- Facilitation of the meeting.

- Observations as per the learning points prescribed in the menu.

- Intervening as per the need.

- Giving ideas for solutions.

- Providing suggestions and information.

- Asking questions and providing examples.

- Encouraging experience sharing among team members.

- Reframing and clarifying questions within the group.

- Conflict management as per the need.

- Recording and documentation.

24.6 Criteria for Selecting Mentors

Mentors should be selected from various disciplines and backgrounds including retired government officials, professionals from industries, former ERs, members of NGOs/CBOs, and academicians. This will build a knowledge pool which will be able to intervene at different PRI levels.

The mentors involved in on the job training should have very keen observation and facilitation skills as the interventions are not pre-designed like classroom training. So mentors have to decide the methodology on the spot as per the situation and the group mix.

24.6.1 Educational Qualifications

A mentor should have a master's degree preferably in social sciences/humanities/psychology/behavioural sciences/rural development from a reputed institute/university.

24.6.2 Experience

He/she should have at least five years experience of working in the developmental sector in rural areas preferably with PRIs.

24.6.3 Knowledge

- Overview of the 3-tier PRI system and their functions.

24.6.4 Skills

Facilitation skills: Facilitation will be the most important skill for mentors as their primary role will be as facilitators. Facilitators assist a group in accomplishing its objectives by diagnosing how well the group is functioning as a problem-solving or decision-making entity and intervening to alter the group's operating behaviour.

Facilitators are not always subject experts. They attempt to draw on the existing knowledge of the participants and then facilitate access to training where gaps in knowledge are identified. They establish existing knowledge, build on it, and keep it relevant. Such persons will take on leading roles and take a group through an agenda designed to transmit a body of knowledge or a set of skills.

Group work: A mentor should be able to watch the group and its individuals in light of group dynamics. He should be able to observe patterns of communication and coordination, patterns of influence and dominance, roles and relationships, and the level of group effectiveness during the process.

Conflict management: A mentor should demonstrate and observe different modes of managing conflicts such as collaboration, negotiating, and compromising to deal with the conflicts arising within the group.

Communication skills: A mentor should have strong interpersonal communication and listening skills to draw conversations in the direction of the prescribed agenda, to balance participation, and to draw out key observations from the process.

Recording skills: A mentor needs to be precise and accurate while recording the observations made by the participants which will give an idea of the skill levels of the participants to deal with work situations. Effective recording followed by evaluation and documentation will make the training more effective and also open up more avenues to work upon while planning further training.

24.7 Coverage of On the Job Training

The state may decide on the coverage of on the job training on a pilot basis and then scale it up as per the requirements. Ideally, the strategy envisages a mentor per block each covering 40 meetings per year at all the three levels within the state, adding up to 10,240 interventions per year.

24.8 Menus of Learning Points

Tables 32 to 36 give the different menus of learning points.

Table 32: Menu 1—Types of Meetings at all the Three Levels and the Points of Discussion in Each Meeting

Types of meetings	Points of discussion
Gram Sabha	• Preparing, approving, and inspecting plans for all round development of Panchayats. • Preparing a plan and budget for the next year in the February meeting. • Assessing the progress of work undertaken in the June meeting.
Gram Panchayat	• Information and discussion on the letters sent and received by the Gram Panchayat. • Appraisal of the development work of the Panchayat and discussion on the decisions taken in the Gram Sabha. • Discussions on reports of various SCs. • Discussion on Panchayat income and expenditure and tax imposition.
Kshetra Panchayat	• Appraisal of the progress of works relating to primary education, health, and social institution in the Kshetra Panchayat area. • Auditing the income-expenditure of last year and preparing plans and budgets for the next year. • Discussion on various steps taken.
Zilla Parishad	• Preparing and approving developmental plans and budgets. • Orders for working of these plans and appraisal of their progress. • Discussion on Kshetra Panchayat development work in the district.

Table 33: Menu 2—Learning Points: Gram Sabha

No.	Person to be present in the meeting	Specific learning points (to be facilitated by the Panchayat Secretary)	Common learning points (to be facilitated by both the Panchayat Secretary and Mentor)	Soft skills (to be facilitated by the Mentor)
1.	Sarpanch of Gram Panchayat and Up- Sarpanch	• Preparing the agenda • Conducting the meeting Conflict resolution	• To suggest and approve developmental projects to be implemented by the Gram Panchayat • To select beneficiaries of poverty alleviation programmes	• Communication skills • Interpersonal skills • Conflict management skills • Team building skills • Leadership skills
2.	Panchayat Secretary	Recording the proceedings		
3.	Block Development Officer	• Conducting the Gram Sabha as per permission and instructions issued by the government	• To approve the budget of the Gram Panchayat • To collect necessary information from the Gram Panchayat for the awareness of the public	
4.	All citizens residing in that Gram Panchayat	• Procedure of Gram Sabha		

Table 34: Menu 3—Learning Points: Gram Panchayat

No.	Person to be present in the meeting	Specific learning points (to be facilitated by the Panchayat Secretary)	Common learning points (to be facilitated by both the Panchayat Secretary and Mentor)	Soft skills (to be facilitated by the Mentor)
1.	Sarpanch and Up- Sarpanch	• Preparing the agenda • Conducting the meeting • Conflict resolution	• To evaluate the progress of work executed by the Gram Panchayat • To evaluate previous income and expenditure of the Gram Panchayat along with the budget provision • To constitute SCs prescribed by rules and discuss their proceedings • To discuss any subject of importance out of the agenda desired by a majority	• Communication skills • Interpersonal skills • Conflict management skills • Team building skills • Leadership skills
2.	Panchayat Secretary	• Recording the proceedings		
3.	All ward members	• Procedure of the Gram Panchayat		

Table 35: Menu 4—Learning Points: Kshetra Panchayat

No.	Person to be present in the meeting	Specific learning points (to be facilitated by the Panchayat Secretary)	Common Learning points (to be facilitated by both by the Panchayat Secretary and mentor)	Soft skills (to be facilitated by the Mentor)
1.	Chairperson and Deputy Chairperson of the Kshetra Panchayat	• Preparing the agenda • Conducting the meeting • Conflict resolution	• To discuss and resolve the objections received from the members with respect to the previous meeting	• Communication skills • Interpersonal skills • Conflict management skills • Team building skills • Leadership skills
2.	Block Development Officer or his/her representative	• Recording the proceedings * Preparing the agenda	• To plan development programmes in the block related to community development • To discuss and evaluate the progress of development work and receipt and expenditure of Kshetra Panchayat	
3.	Chief Executive Officer or his/her representative	• Recording the proceedings • Preparing the agenda	• To constitute SCs prescribed by the rules and discuss their proceedings	
4.	All Sarpanchs of the block	• Procedure of the Gram Panchayat	• To inspect the work executed by the Gram Panchayat under jurisdiction	
5.	MLA and MP of that area	• Procedure of the Gram Panchayat		

Table 36: Menu 5—Learning Points: Zilla Parishad

No.	Person to be present in the meeting	Specific learning points (to be facilitated by the Panchayat Secretary)	Common learning points (to be facilitated by both the Panchayat Secretary and mentor)	Soft skills (to be facilitated by the Mentor)
1.	Zilla Parishad President	• Preparing the agenda • Conducting the meeting • Conflict resolution	• To prepare plans, undertake schemes or adopt measures for development of the district	• Communication skills
2.	Chief Executive Officer or his/her representative	• Recording the proceedings	• To discuss and approve grants to Kshetra Panchayats or Gram Panchayats within the district	• Interpersonal skills
3.	Zilla Parishad members representing their Zilla Parishad constituency	• Procedure of the Zilla Parishad	• To constitute SCs prescribed by the rules and discuss their proceedings	• Conflict management skills
4.	Kshetra Panchayat chairpersons	• Procedure of the Zilla Parishad	• To coordinate and integrate development plans and schemes prepared by a Samiti in the district	• Team building skills
5.	MLA and MP of that area	• Procedure of the Zilla Parishad		• Leadership skills

25. System Requirements for Uttar Pradesh

Systems are standardized ways/methods/procedures/protocols/guidelines of doing repetitive tasks. Systems capacity is the capacity of the PRI-CB&T sector due to systems.

As proposed, PRIT is yet to be operational so all the systems will have to be new. PRIT's system requirements are different from those of a typical government department. As technical bodies, PRIT and SIRD need significant frameworks/protocols/guides and varied databases to direct the host of PRI-CB&T efforts over time; they also need administrative systems, which can be corporatized to ensure meritocracy and result orientedness.

This is important for ensuring a result-oriented climate, decentralized decision-making, and a collegial climate necessary for a capacity building institute like PRIT. Even SIRD which operates as a government department of the state RDD has governmental systems.

All the required systems need to be specified and developed with full-fledged systems/operating manuals to guide all concerned designation holders in their work/tasks.

Table 37 outlines the key technical systems/frameworks, which will need further detailing.

Table 37: PRI-CB&T Systems: Indicative Technical Systems

S. No.	Systems	Current Situation	Need For The System	Key Contents Of System Manual/ Protocol/ Guideline
1	Training Need Assessment	TNA is being carried out for the first time scientifically through the CDLG Project. However, it is not clear whether the outcome will be a TNA report or also a framework/guide for doing TNA.	The training needs to be identified based on a field study as well as a detailed duty/task list (state PR Act and rules and regulations) and deducing knowledge/ skills/attitudes (KSA) needed to carry out the tasks. A precise protocol for TNA will make training sharper and effective with a proper KSA mix.	• Definition of training, capacity development, individual and institutional capacities. • KSA mix derivation methodology for all categories of stakeholders based on duty/function lists. • Field research protocol with types of data, sampling design guidelines, tools for qualitative and quantitative data collection. • Ethical guidelines for conducting research. • Requirements of the research team.

S. No.	Systems	Current Situation	Need For The System	Key Contents Of System Manual/ Protocol/ Guideline
2	Training Module Design	Only recently a design of core curricula is being done with a scientific approach. Till now all modules were designed based on trainers' experience, some expert inputs, and some group discussions.	A training module needs to be scientifically designed based on adult learning principles with adequate experiential learning aids, guides for trainers, reference material for participants, basic audio-visual aids, etc. along with an evaluation method.	• Principles of module design (entry behaviour, exit behaviour, KSA mix). • Pre- and post-test guidelines. • Developing learning points and sub-learning points. • Deciding depth and width of coverage of all learning points. • Attaching time spans to the learning points. • Developing a methodology mix (structured classroom sessions, experiential learning tools—games, role plays, films, case studies, experience sharing sessions, panel discussions, exposure visits, etc.). • Deciding the training environment (physical, training equipment, etc.). • Developing learning aids and handouts, identifying reference material/resources. • Identifying trainers /facilitators' qualities. • Developing trainers' manual. • Developing participants' manual.
3	Training Documentation, Evaluation, and Reporting	Currently sketchy training reports are generated on the training conducted. Qualitative aspects of training outcomes are not captured as there is no pre- or post-test. Participants' evaluation of training is scarce. It is difficult to modify module designs based on field feedback and test the efficacy of training. M&E is non-existent/weak and documentation of training not useful for analysis. Some prescriptions for reporting however exist with SPA contracts.	We cannot manage what we do not measure. With an increased number of training as planned for 100 per cent qualitative and quantitative coverage (as per NCBF) of PRIs: • Sound system of documentation/ reporting to ensure propriety in a public domain project). • Evaluation to make training interventions more effective with real time feedback in design.	• Developing and selecting outcome indicators. • Developing pre- and post-tests. • Process evaluation guidelines and protocol. • Participants' evaluation protocol. • Trainers' evaluation protocol. • Training reporting protocol.

S. No.	Systems	Current Situation	Need For The System	Key Contents Of System Manual/ Protocol/ Guideline
4	On the Job Training Interventions	At present there is no structured facilitated external intervention for ERs for on the job training. This strategy is proposed and will require system/ protocol to implement.	On the job training is different from structured in immersion training. The interventions are more dynamic and skill-based and occur in work situations. The role of external resources is that of facilitators/mentors rather than that of trainers.	• Roles of mentor and facilitator. • Types of interventions. • Timings and duration of interventions. • Reporting guidelines.
5	Exposure Visits' Reporting And Evaluation	Almost no exposure visits are planned presently. No evaluation or documentation system exists for exposure visits.	Adults learn based on experiences rather than dry knowledge inputs in structured classroom situations. Demonstrations, experience sharing during exposure visits make the training intervention much more effective.	• Identifying criteria for exposure visits/ beacon Panchayats/work sites. • Identifying learning points. • Group compositions for exposure visits. • Timings for exposure visits and duration. • Planned interactions during exposure visits. • Participants' evaluation. • Facilitators' evaluation. • Feedback from ERs of beacon Panchayats.
6	Identification, Selection, Training, and Evaluation System for Mentors	At present trainers are selected for structured classroom training based on predetermined criteria, trained and deployed for training of ERs. It is perceived that ToTs have focused relatively less on training and communication skills and more on domain knowledge.	The state will need mentors/facilitators for training interventions like on the job training, exposure visits, etc. This is a different skill set than that of a trainer. The state will need to develop a cadre of mentors and identify, select, develop, and monitor mentors like trainers.	• Qualities of mentor/facilitator. • Group dynamics theories and frameworks. • Roles of mentors. • Types of interventions by mentors/ facilitators. • Ethical guidelines for mentoring. • Mentors' evaluation guidelines.
7	Convergence Guidelines	The state does not have a systematic convergence strategy at present, which is proposed.	Convergence is contributory partnership formation for mutual gains. The PRI-CB&T will need civil society resources, local infrastructure for training. These form the minimum focus of convergence. At a broader level the integration of training plans and training budgets can also be planned with higher returns to the state PRD.	• Convergence potential at policy, strategy, programme, sharing of resources, pooled funding levels. • Frameworks for convergence with identified line departments (NRHM, Sakshar Bharat Mission, Disaster mitigation, E-governance, other relevant projects, etc.). • Coordination and communication arrangements (structures and systems) for convergence.

S. No.	Systems	Current Situation	Need For The System	Key Contents Of System Manual/ Protocol/ Guideline
8	Research Management System	The state does not have a research management system.	Research as a forward-looking component ushers in an envisioned future at an accelerated pace and makes ongoing PRI-CB&T more effective. A broad research strategy is developed for the state, which may be detailed out further and fine-tuned. The strategy will require systems/protocols for implementation.	• Research framework for PRI-CB&T in the state. • Integrating action research with ongoing PRI-CB&T interventions. • Guidelines for qualitative research. • Guidelines for quantitative research. • Ethical guidelines for research.
9	Operational Planning/Micro-Planning For Training	The state has a sound micro-plan at present for 100 per cent quantitative coverage of all ERs through initial training interventions. The provision of resources for trainers is done based on availability of resources. The planning is done manually at present and when it requires re-planning, is likely to be time and effort-consuming.	The state needs to develop a tailor made application software for optimizing need and resource based planning for micro-planning as well as to save time in planning and re-planning.	• The application software should take as inputs body incorporate-wise (GP/KP/ZP) ERs at various levels, with functional literacy data, gender, etc. and estimate the number of batches (based on NCBF time limits of training, optimal batch size, yearly calendar with list of holidays/Sundays, etc.) and allocate training, estimate the number of trainers required, etc.
10	Database Management System	Significant amount of data is needed for PRI-CB&T all of which is available but not when needed at one place. There is no IT application for database management at present for PRI-CB&T (SIRD has a weak IT infrastructure with less focus on ERs and PRIT is not yet operational).	Using appropriate information will make PRI-CB&T sharper and result oriented. PRD needs to create a sound database management system.	• The database may include: – Master data for ERs—name, address, position, gender, education, etc. – Master data for trainers/mentors—name, address, education, training conducted, assessments. – Master data for implementing/partner CSOs—name, address, officials, type of intervention contracted for, contract performance, etc. – Training database— Calendar, coverage, place, etc. – PRD/PRIT/SIRD database—administration, faculty, HR, etc. – Research database. – Experiential tools inventory database. – Training modules and manuals. – Training reporting, documentation, and evaluation database.

S. No.	Systems	Current Situation	Need For The System	Key Contents Of System Manual/ Protocol/ Guideline
11	Management Information System	Some formats have been designed for reporting on various ongoing interventions. These are reported manually by all concerned. The retrieval of old information, macro analysis, etc. is difficult to carry out.	PRI-CB&T requires a well-designed overall MIS for various interventions envisaged under the proposed strategies and package of services.	MIS should lay down a field record keeping system, reporting system, and MIS should be IT driven to enable need based retrieval and macro analysis.
12	Procurement System	The state has defined systems for procurement and all MoUs/ contracts get vetted by the Law Department, which may take its own time. Procurement workloads will go up manifold with greater involvement of civil society and partners in PRI-CB&T.	Procurement in a government set up is a sensitive and time-consuming task often incurring delays. It is suggested that the reference guide for outsourcing developed by MoPR be approved by the state Law Department with due modifications and this may be used by PRIT/PRD to outsource, removing the need for getting each contract vetted by the state Law Department.	• Procedures for single source bidding, selective bidding, open competitive bidding. • Evaluation criteria for expression of interest, technical proposals, financial proposals, marking system, etc. • Bidding formats and instructions. • Preparing bid documents conducting bid meetings, etc.
13	CONTRACT MANAGEMENT SYSTEM	The state has defined systems for contracting of trainers, etc. but will need well-defined guides for contracting various types of resources proposed.	PRI-CB&T will require working with civil society organizations. Varied partnerships, PPPs, varied types of contracts may be a menu of options required. Fair contracting practices and systems will be needed to ensure adequate resources PRIT/PRD may develop this and get it approved from the Law Department.	• Types of contracts (lump sum, at actual, varying price/quantity, call down contracts, retainerships, etc.) • Payment terms—milestone based, time based, mixed. • Standard conditions of contracts. • General conditions of contracts.

26. Major Implementation Activities and Timeframe

While a detailed implementation plan will need to be developed by the state based on all the recommendations, a broad implementation plan is given here for consideration by the state. The plan captures the essence of progress in holistic capacity development in PRI-CB&T.

It is estimated that implementation of all the recommendations may take three years. Given below is the time period for implementing various strategic recommendations for PRI-CB&T in Uttar Pradesh.

Immediate
(0–6 months)

- Establish CB&T-PMU with a team.

- Develop five year action plan based on the strategies suggested in this Report along with budgetary requirements.

- Develop an understanding with SIRD about the nature of its involvement, long-term partnership, and the support required from PRD.

- Identify more SPAs, at least one per district, and more than one for large districts.

- Depute district CB&T teams.

- Develop a database of resource people and training venues.

- Establish training repository/vortal.

- Compile data of training activities by other departments/schemes/programmes.

- Establish a CB&T convergence committee and work out a convergence plan.

- Develop DPR for PRIT.

Short-term
(6 months—1.5 years)

- Develop all training manuals.

- Develop training manuals for resource people.

- Develop a cadre of resource people and master resource people.

- Carry out a systematic TNA.

- Establish PRIT and make it functional by merging CB&T-PMU with PRIT.

- Implement mass media and mid-media campaigns.

- Identify SPAs for implementing CB strategies other than training.

- Implement the strategy for 'empowering engagement process between PEOs and ERs'.

- Implement the on the job training strategy.

- Implement the role model development strategy.

- Establish a Panchayat helpline.

- Develop and detail out all suggested systems.

- Exposure visits for different categories of ERs and support functionaries as well as for resource people.

Medium-term
(1.5 years—3 years)

- Establish community radio stations.

- Establish mobile vans for training and communication.

- Implement the holistic development strategy for EWRs.

- Implement the peer network development strategy.

- Exposure visits for different categories of ERs and support functionaries as well as for resource people.

Research, knowledge management, and partnership processes are ongoing strategies across the timeline.

ANNEXURES 1

INDICATIVE LIST OF DOCUMENTS REFERRED TO FOR THE PRI CA-CDS EXERCISE: UTTAR PRADESH

No.	Name of Document	Source/Author
1	National Capacity Building Framework	MoPR Website
2	Guidelines of Backward Region Grant Fund	MoPR Website
3	Guidelines of MNREGA	MoPR Website
4	Guidelines of SSA	MoPR Website
5	Guidelines of SGSY	MoPR Website
6	Guidelines of PMGSY	MoPR Website
7	Guidelines of RGSY	MoPR Website
8	Guidelines of IAY	MoPR Website
9	Making Spaces: Women's Participation in Local Politics	Unnati
10	Draft Model Panchayat and Gram Swaraj Act	MoPR Website
11	Status of Panchayat Report: State Profile: Uttar Pradesh	MoPR Website
12	A Report on the Success and Failure of SHG's in India—Impediments and Paradigm of Success	Planning Commission
13	Evaluation of Socio-economic Development in Small Areas	Indian Society for Agricultural Statistics & Planning Commission
14	Uttar Pradesh Panchayati Raj Act 1947	UP-PRD Website
15	Baxi Report on Nyaya Panchayats	
16	Establishment of Nyaya Panchayat in Uttar Pradesh and other States in India and its Progress	http://www.articlesbase.com/national-state-local-articles/establishment-of-nyaya-panchayat-in-uttar-pradesh-and-other-states-in-india-and-its-progress-1275274.html
17	Evolving methodology for Participatory Micro-Planning	Planning Commission through ISS
18	Executive Summary for Evaluation of Social Sector Programmes	
19	National e-Governance Plan—Capacity Building Proposal, Uttar Pradesh	GoUP Website
20	Sharing Best Practices in Rural Development: Case Studies of few success stories in Rajasthan and UP	Socio-Economic Research Unit, Planning Commission
21	Uttar Pradesh State Development Report	Planning Commission
22	ASCI Assessment Report	
23	PRD Budgets & Annual Plans 2009–10 & 2010–11	PRD Website
24	RD Budgets & Annual Plans 2009–10 & 2010–11	RD Website
25	UP State Health Report	
26	Online magazines and newspapers in Uttar Pradesh	Jagran varshiki, Uttar Pradesh, ToI, Swatantra Bharat, Rashtriya Sahara
27	Health Status—MMR, IMR, Life Expectancy at Birth, etc.	National Family Health Survey-II (2005–06)
28	State Wise Sex Ratio	Census
29	State Wise Literacy Rates	Census
30	State Wise Population Figures	Census
31	Status of MDGs in India	
32	Details of SIRD & UPAAM	http://www.upacademy.org/, www.upsird.org
33	Uttar Pradesh Profile Information	http://upgov.nic.in/
34	Study on Participation of Women in Panchayati Raj Institutions	Stud Home Comm Sci, 3(1): 29-38 (2009) by Shashi Kaul & Shradha Sahni

No.	Name of Document	Source/Author
35	Status and Functioning of DPCs in India	Society for Participatory Research in Asia (PRIA)
36	Other Country Decentralization Experiences: Ghana	National Council for Applied Economics Research
37	Progress of Rural Decentralization in India	http://www.thefreelibrary.com/progress+of+rural+decentralisation+in+India.-a0204551067">Progress of Rural Decentralisation in India.
38	Citizens' Participation in ULBs—Policy Implications for Central Finance Commission	Policy Paper—Finance Commission (LogoLink Research Project on ReCitE)
39	Local Government, Effectiveness and Human Rights: India	By Harihar Bhattacharya (The International Council on Human Rights Policy-Researchers' Workshop, Geneva, February 2004)
40	Local Self Government Institutions—Devolution of Funds—Introduction of Bill System—Declaration of Implementing officers as DDOs—Orders issued	Finance Department, Government of Kerala
41	Decentralization in India: Poverty, Politics and Panchayati Raj	By Craig Johnson, Working paper for Overseas Development Institute
42	Evaluation of the International Development Research Centre's Experience with the Devolution of International Secretariats	Prepared for IDRC (International Development Research Centre) by Jim Armstrong & Alexa Khan
43	An Index of Devolution for Assessing Environment for Panchayati Raj Institutions in the States	By NCAER for MoPR
44	State Wise Status of Devolution to Panchayati Raj Institutions (Fact Sheet)	Round Table Conference, Kolkata (July 2004) MoPR
45	A conclave of eight	Frontline (Volume 17, Issue 18, September 02–15, 2000)
46	How Does Social Capital Enhancing Institutional Design Foster Political Decentralization in Bangladesh & West Bengal	Mohammad Shaiful Islam to Central European University, Dept. of Public Policy
47	Shift to (De) Centralization Creates Contradiction in Policy of Managing Commons	By Purabi Bose at 11th IASCP Binnial Conference
48	Role and Experience of Local Government in Bangladesh	Democratic Decentralization of Natural Resources
49	Democratic Decentralization of Natural Resources: Institutionalizing Popular Participation	Jesse C Ribot, World Resources Institute
50	Decentralization and Poverty Reduction: Africa & Asia Experiences	UN-Dept. of Economic and Social Affairs
51	Proceedings of the Exploratory Workshop on Activity Mapping & Functional Assignment, HP	GTZ for the PRD, Himachal Pradesh
52	Devolution in Sri Lanka	Lanka Academic Network
53	Devolution is no panacea for Sri Lanka's ethnic ills	By Ajit Randeniya
54	Comparative analysis of Activity Mapping in HP	GTZ for the PRD, Himachal Pradesh
55	Fiscal Decentralization in India Helps Programme Delivery	Shankari Murali via UNDP Solution Exchange for the Decentralization Community
56	Fiscal Decentralization to Rural Local Governments in India	M. Govinda Rao, National Institute of Public Finance and Policy
57	Why Decentralize Power in A Democracy?	Larry Diamond in Conference on Fiscal and Administrative Decentralisation, Baghdad, 2004
58	Overview of Rural Decentralization in India: Volume 1	for World Bank, Volume 1, September 2000
59	Economic Inefficiency of Devolution	By Andres Rodrigues-Pose & Adala Bwire (2003, London School of Economics)

ANNEXURE 2:

LIST OF PEOPLE MET FOR THE PEI CA-CDS EXERCISE: UTTAR PRADESH

No.	Date	Time	Name of Person Met	Designation	Organization
1	10/01	10.30 am	A.C. Pandey	Director-BRGF	PRD-Lucknow
2	10/01	11.00 am	Gaurav Misra	State Coordinator	UNDP-CDLG Lucknow
3	10/01	11.00 am	T. Sudhir Raj	TSO	UNDP-CDLG
4	10/01	11.00 am	Aradhana Singh	TSO	UNDP-CDLG
5	10/01	11.00 am	Bhawani Shankar	TSO	UNDP-CDLG
6	10/01	4.00 pm	D. S. Shrivastava	Special Secretary	State PRD
7	11/01	11.30 am	L. M. Joshi	Additional Director	SIRD
8	11/01	12.00 pm	Mr. Jagan Mathew (IAS)	Director General	SIRD
9	11/01	1.00 pm	Ashok Kumar	Assistant Director—Soil Conservation	SIRD
10	11/01	1.00 pm	R.C. Chauhan		SIRD
11	11/01	1.00 pm	S.C. Sharma		SIRD
12	11/01	1.00 pm	Mr. Alok	Research Officer	SIRD
13	11/01	1.00 pm	Himang Sharma		SIRD
14	11/01	1.00 pm	Navin Avashti	Officer under government funded project	SIRD
15	11/01	1.00 pm	Dr. Shukran Singh		SIRD
16	11/01	3.00 pm	Dr. O. P. Pandey	Joint Director	SIRD
17	11/01	4.30 pm	Dr. Santosh Kumar	Assistant Director	SIRD
18	11/01	4.30 pm	Dr. Sukhan Singh	Assistant Director	SIRD
19	11/01	4.30 pm	Dr. Vardhani	Assistant Director	SIRD
20	11/01	5.30 pm	B.D. Chaudhary	Documentation Officer	SIRD
21	11/01	6.00 pm	Pramod Chandra	Drawing & Disbursement Officer	SIRD
22	12/01		Santosh Kumar	Director, NRHM and Director, SIFPSPA	State Innovations in Family Planning Services Project Agency (SIFPSPA)
23	12/01		Ms. Savita Chauhan	Deputy General Manager (private sector)	State Innovations in Family Planning Services Project Agency (SIFPSPA)
24	12/01		Sanjoy Sengupta	Deputy General Manager (District Action Plan & Training)	State Innovations in Family Planning Services Project Agency (SIFPSPA)
25	12/01		Rieta Banerjee	Deputy General Manager (Training Division)	State Innovations in Family Planning Services Project Agency (SIFPSPA)
26	12/01		Akhilesh Gautam	Social Policy, Planning, Monitoring and Evaluation Specialist	UNICEF, Uttar Pradesh
27	13/01		Himanshu Singh	Special Secretary	Planning Department
28	13/01		Ajay Swarup Shrivastava	Joint Director	Planning Department
29	13/01		Mridula Singh	Additional Director	Planning Department

No.	Date	Time	Name of Person Met	Designation	Organization
30	13/01		Manjeet Singh Saluja	State Project Officer,Capacity Development for District Planning Project	UNDP, Joint Convergence Cell, Planning Department
31	13/01		Rita Singh	Assistant Programme Officer (Planning)	Planning Department
32	13/01		Ramakant	Deputy Director	Department of Social Welfare
33	17/01	11.00 am	K. Ram Mohan Rao, IAS	State Project Director	UP Education for All Project Board
34	17/01		Sanjay Mohan	Director (Literacy)	
35	17/01		D. V. Sharma	Additional Project Director	Sarva Shiksha Abhiyan (SSA)
36	17/01		O. P. Gupta	Statistical Assistant	Sarva Shiksha Abhiyan (SSA)
37	17/01		V. K. Pandey	Senior Professional	Sarva Shiksha Abhiyan (SSA)
38	17/01		Anu Rathi	Senior Professional	Sarva Shiksha Abhiyan (SSA)
39	17/01	12.30 pm	Ramesh Menon	Mainstreaming Unit	Uttar Pradesh State AIDS Control Society (UPSACS)
40	17/01	12.30 pm	Sangita	Mainstreaming Unit	Uttar Pradesh State AIDS Control Society (UPSACS)
41	17/01	1.40 pm	Sohan Bir	Regional Representative & Member Convener (Uttar Pradesh & Uttarakhand)	CAPART
42	17/01		Poonam Shrivastava	Young Professional	CAPART
43	17/01		Nutan Singh	Young Professional	CAPART
44	17/01		Anshul Shrivasthava	Young Professional	CAPART
45	17/01	3.00 pm	Jagannath	Joint Director	Training Division, Planning Department
46	17/01		Kamal Singh	Deputy Director	Training Division, Planning Department
47	17/01	4.30 pm	Ratnesh Singh	Assistant Director	Uttar Pradesh Academy of Administration &Management (UPAAM)
48	18/01	11.00 am	Sudhan Chandra Chandola	Joint Director	Panchayati Raj Department
49	18/01		Prashant	Consultant	NIC-MoPR
50	18/01	12.45 pm	Pravina Chaudhary	DPRO (Head Office)	Panchayati Raj Department
51	18/01	1.45 pm	Mithilesh Kumar Bhatt	Resident Engineer	Construction & Design Services, Uttar Pradesh Jal Nigam
52	18/01			Senior Resident Engineer	Construction & Design Services, Uttar Pradesh Jal Nigam
53	18/01	4.30 pm	Ramesh Rai	Mukhya Vitta Lekhadhikari	Panchayati Raj Department
54	18/01	5.15 pm	Girish Chandra Rajak	Deputy Director & OSD-II	Panchayati Raj Department

No.	Date	Time	Name of Person Met	Designation	Organization
55			Manjeet Singh Saluja	State Project Officer	UNDP – Capacity Development for District Planning Project, Lucknow
56			Prof. A.K. Singh	Director	Giri Institute of Development Services
Field Visit—JHANSI/JHALON					
57	13/01	12:30 pm	G.P. Gautam	PD-DRDA	G.P. Gautam
58	13/01	1:20 pm	V.K. Singh	Apar Mukhya Adhikari (AMA)	V.K. Singh
59	13/01	2:10 pm	Ram Avatar Dvivedi	ADO	Ram Avatar Dvivedi
60	13/01	2:10 pm	Hari Prasad Yadav	Sarpanch Pati	Hari Prasad Yadav
61	13/01	4.30 pm	J. Selva Kumari (IAS)	Chief Development Officer	J. Selva Kumari (IAS)
62	15/01	11.30 am	Deepak Saxena	Technical Director	NIC, DM compound, Jhansi
63	15/01	12 pm	Mamta Jain	Director	Vikas Dhara (CSO)
64	15/01	1.30 pm	Smt. Vandana Pathak	President	ZP, Jhansi
65	15/01	2.30 pm	R. K. Trivedi	District Economics and Statistics Officer	Jhansi
67	15/01	3.30 pm	Manohar Lal	Asst. Economics and Statistics Officer	Jhansi
68	15/01	8 pm	Dr. Manoj Kumar Kushva	Ex- President ZP	ZP, Jhansi
69	16/01	10 am	Dr. Ramesh Kumar	DTO	DIRD, Bihodpura Orai, Dist. Jhalon
70	17/01	9 am	Ramakant Tripathi	Senior Instructor	DIRD, Orai, Jhalon
71	17/01	10 am	Rampal Singh	ADPRO	PRD, Orai, Jhalon
72	17/01	1 pm	Shyam Charan	AMA	ZP, Orai, Jhalon
73	17/01	2 pm	Tikaram Ravat	DDO	Vikas Bhavan, Orai
74	17/01	3 pm	Shree Babusingh	Asst. ESO	Vikas Bhavan, Orai
75	17/01	4.30 pm	Shishupal Singh	President	ZP, Jhalon,

List of Consultations/FGDs

12/01 Consultations with CSOs

- Ms. Shalini—Sahbhagi Shikshan Kendra

- Mr. Manish Kumar Singh—Uttar Pradesh Voluntary Action Network (UPVAN)

- Paani

- Mr. Awanesh Kalik—Project Manager & Head PRI Division, Agriculture Finance Corporation Ltd. (AFCL)

13/01 Consultations with SPAs

- Mr. Gopesh Tiwari—Regional Head (UP), IF&FS

- Mr. Pratim Kumar Basu—Project Manager, PRI Training Project, IL&FS

- Mr. Manish Singh Chauhan—Senior Associate, Institute of Enterprise Science, Engineering & Management (IESEM)

- Mr. Som Trivedi—Project Manager, Datamation Consultants Pvt. Ltd.

- Dr. V.K. Singh—National Secretary, National Association for Voluntary Initiative & Co-operation (NAVIC)

13/01 Consultations with Elected Representatives

- Jhaganu Nirala—Pradhan, Sathawara GP, Gosaiganj Block, Lucknow District

- Mohan—Pradhan, Churahiya GP

- Sajiwan Lal—Pradhan, Mohari Khurd GP

- Mahesh Kumar—Pradhan, Kasimpura Biruha GP

- Ramesh Kumar—Pradhan, Kabirpur GP

- Mansingh Verma—Pramukh, Gosaiganj Block

- Chandra Kishore Verma—ADO, Gosaiganj Block

13/01 Consultations with RIRD, Chirgaon, Jhansi

- Sachindranath Verma—Principal

- Anand Saxena—Accounts Officer

- Lalita Mishra—Field Assistant

- Bhagirath Jaiswal—Extension Training Officer

- Vijay Pratap Singh—Extension Training Officer

14/01 - Focus Group Discussion, Dagarvaha Village, Block Babina, District Jhansi

- Mr. Phoolchand—ADO, Babina

- T.N. Agarwal—Secretary, Dagarvaha

- T. Sudhir Raj—CDLG facilitator

- Durjansingh Rajak—Pradhan, Dagarvaha

- Premchand Yadav—ER

- Bhodraj Varma—ER

- Rahishchand Yadav—ER

- Khedani Chadamilal—ER

- Jagatsingh Yadav—Ex. Pradhan

- Gayaprasad Yadav—villager

- Jagdishsingh Yadav—villager

- Ravi Banska—villager

- Gyanalal Rajek—villager

- Hajarilal Ahirvar—PDS shop owner

14/01 Focus Group Discussion, Rajapur Village, Block Babina, District Jhansi

- T.N. Agarwal—Secretary GP
- Mr. Phoolchand—ADO, Babina
- T. Sudhir Raj—CDLG facilitator
- Navalsingh Yadav—Pradhan
- Vinod Yadav—Member GP
- Dinesh Gupta—Member BDC
- Badri Prasad Yadav—Ex. Pradhan GP
- Surajbhan Singh—Siksha Mitra
- Sanjeet Kumar Yadav—villager
- Matadin Yadav—villager
- Bhagawansingh Yadav—villager
- Prabhudayal Yadav—villager
- Mahesh Agarwal—villager
- Ratilal Varma
- Mahendrasinh Yadav
- Munnilal Bhargav
- Virendra Singh
- Ashok Banska
- Shivkumar Pandey
- Lattu Ahirwar
- Rajendra Gupta
- Pradeep Pandey
- Uday Singh
- Hanumant Singh
- Ramswarup Banska
- Siroman Parihar
- Sahab Singh

14/01 Focus Group Discussion, Baidora Village, Block Babina, District Jhansi

- Mr. Phoolchand—ADO, Babina
- T.N. Agarwal—Secretary, Baidora

- T. Sudhir Raj—CDLG facilitator
- Mrs. Sumitradevi—Pradhan
- Harbhajan Narvariya—Member
- Virsingh Narvariya—Ex. Pradhan
- Feransinh Narvariya—Ex. Pradhan
- Lakshmansingh Chauhan—Ex. Sarpanch, Nyay Panchayat
- Umashankar Samadiya—Ex BDC
- Lakhanlal Narvariya—villager
- Ayodhya Narvariya
- Harikishan Rajput
- Gaurav Nikhara
- Shelendra Kumar Nikhara
- Pramod Kumar Rajput
- Gurudaksh Sesa
- Mahesh Rajput
- Rameshwar Prasad
- Ashish Nikhara
- Ramesh Kumar Rajek
- Ramakanti Nikhara—AWW
- Saroj Banska—villager

16/01: Group Discussion, Jagatpura Bujurg, Block Dakor, District Jhalon

- Rampal Sinh— ADPRO
- Gangaram Sahu—ADO, Dakor
- T. Sudhir Raj—CDLG facilitator
- Indrapal Sinh—Pradhan
- Jagaram Harijan—Member GP
- Prahlad Harijan—Ex. Member GP
- Komal Kishor Gurjar—villager
- Jagjyot sinh Gurjar
- Baburaja Gurjar
- Jagdamba Prasad Srivastava
- Mohit Gurjar
- Rajendra Harijan
- Ram Prakash Singh

- Jitendrasinh Gurjar
- Rameshwar Dayal
- Jashmantsinh Gurjar
- Ashish Gurjar
- Surendra Pratap Gurjar
- Sivendra Pratap Gurjar

People met during visit in April 2011

No.	Name of the Official	Designation	Organization	Date and Time
CHANDAULI DISTRICT				
1	Mr. Vikas Bhavan, Kala Area	Chief Development Officer	Chandauli District	4 April/12 to 12:30 pm
2	Mr.Jitendra Nath Ram	Apar Mukhya Adhikari	Chandauli Zilla Panchayat	4 April/1:30 to 2 :15 pm
3	Mr. Sujitkumar Mishra	Accountant	ZP Chandauli	4 April/1:30 to 2:15 pm
JAUNPUR DISTRICT				
4	Ashokkumar Shrivastava	DPRO	Jaunpur District, Vikas Bhavan	5 April/11:30 to 12 pm
5	Dineshchandra Shrivastava	Sr.Clerk	DPRO Office, Vikas Bhavan, Jaunpur	5 April/12:15 to 1:15 pm
6	Udayshankar Singh	AMA	ZP, Janupur	11 April/5:30 to 6:15 pm
AZAMGARH DISTRICT				
7	Mr. C.L.Singh	CDO, Vikas Bhavan	Azamgarh District	5 April/3:00 to 3:30 pm
MIRZAPUR DISTRICT				
8	Mr. B. Ram	CDO, Vikas Bhavan	Mirzapur District	6 April/4:40 to 5:00 pm
9	Mr. Harshrupsingh Verma	AMA, ZP	ZP, Mirzapur District	6 April/1:15 to 2:00 pm
SONBHADRA DISTRICT				
10	Mr. Hakim Singh	Project Director	Vikas Bhavan, Robertsganj, Sonbhadra	8 April/12:00 to 12:45 pm
11	Mr. Ram Avtar Singh Yadav	District Panchayati Raj Officer	Vikas Bhavan, Robertsganj	8 April/2:00 to 2:20 pm
12	Mr. Rajeev Kumar Shrivastava	District Economics and Statistic Officer	Vikas Bhavan, Robertsganj	8 April/ 12:55 to 1:45 pm
13	Mr. Anil Maurya	Sr. Clerk	CDO office, Vikas Bhavan, Robertsganj	8 April/11:15 to 11:45 a.m.
FARRUKHABAD District				
14	Chandra Prakash Tripathi	CDO	CDO office, Vikas Bhavan, Fatehgarh, Farrukhabad	11 April/12 to 12:20 pm
15	Jyotikumar Dikshit	AMA	AMA Office, Fatehgarh	11 April/12:30 to 1:30 pm
15	Yashwant Sinha	District Economics and Statistic Officer	Vikas Bhawan, Fatehgarh, Farrukhabad	11 April/12:45 to 12:55 pm

Retired Government Officials

- Gayatri Prasad Pandey, Rtrd. AMA-Jaunpur,
- Suklaja, Retrd. ADPRO, Sonbhadra,

ANNEXURE 3:

POLICY GUIDELINES FOR SETTING UP A COMMUNITY RADIO STATION, 2002

The guidelines are available on the following website:

http://mib.nic.in/writereaddata/html_en_files/crs/CRBGUIDELINES041206.pdf

Some of the highlights of the guidelines are:

- Eligibility criteria for an institution, which is either a community based organization (including CSOs) or an educational institution, wanting to set up a community radio station according to the guidelines are as follows:

  – It should be explicitly constituted as a 'non-profit' organization and should have a proven record of at least three years of service to the local community.

  – The CRS to be operated by it should be designed to serve a specific well-defined local community.

  – It should have an ownership and management structure that is reflective of the community that the CRS seeks to serve.

  – Programmes for broadcast should be relevant to the educational, developmental, social and cultural needs of the community.

  – It must be a Legal Entity, i.e., it should be registered (under the Registration of Societies Act or any other such Act relevant to the purpose).

  – The following shall not be eligible to run a CRS:

    - Individuals;

    - Political parties and their affiliate organizations (including students, women, trade unions and such other wings affiliated to these parties).

    - Organizations operating with a motive to earn profit;

    - Organizations expressly banned by the Union and State Governments.

- The Grant of Permission Agreement is valid for 5 years and is non-transferable.

- An applicant or organization will not be granted more than one permission agreement at one or more places.

- Regarding content regulation & monitoring:

  – The programmes should be of immediate relevance to the community with emphasis on developmental, agricultural, health, educational, environmental, social welfare, community development and cultural programmes. It should reflect the special interests and needs of the local community.

– At least 50% of content shall be generated with the participation of the local community, for which the station has been set up.

– Programmes should preferably be in the local language and dialect(s).

– The Permission Holder shall have to adhere to the provisions of the Programme and Advertising Code as prescribed for All India Radio.

– The Permission Holder shall preserve all programmes broadcast by the CRS for three months from the date of broadcast.

– The Permission Holder shall not broadcast any programmes, which relate to news and current affairs and are otherwise political in nature.

– The Permission Holder shall ensure that nothing is included in the programmes broadcast which:

  • Offends against good taste or decency;

  • Contains criticism of friendly countries;

  • Contains attack on religions or communities or visuals or words contemptuous of religious groups or which either promote or result in promoting communal discontent or disharmony;

  • Contains anything obscene, defamatory, deliberate, false and suggestive innuendoes and half truths;

  • Is likely to encourage or incite violence or contains anything against maintenance of law and order or which promote anti-national attitudes;

  • Contains anything amounting to contempt of court or anything affecting the integrity of the nation;

  • Contains aspersions against the dignity of the President/Vice-President or the judiciary;

  • Criticises, maligns or slanders any individual in person or certain groups, segments of social, public and moral life of the country;

  • Encourages superstition or blind belief;

  • Denigrates women;

  • Denigrates children;

  • May present/depict/suggest as desirable the use of drugs including alcohol, narcotics and tobacco or any stereotype, incite, vilify or perpetuate hatred against or attempt to demean any person or group on the basis of ethnicity, nationality, race, gender, sexual preference, religion, age or physical or mental disability.

• The Permission Holder shall ensure that due care is taken with respect to religious programmes with a view to avoid:

  – Exploitation of religious susceptibilities; and

  – Committing offence to the religious views and beliefs of those belonging to a particular religion or religious denomination.

– Transmission of sponsored programmes is prohibited except those sponsored by the Central and state government and other organizations broadcasting public interest information.

– Transmission of local events and business, advertisements is allowed for only 5 minutes per 1 hour of broadcasting.

• The revenue obtained from the advertisements shall be utilized for the operational expenses and capital expenditure of the radio station. After meeting all the financial expenses of the radio station, the surplus may be ploughed into the primary activity of the CSO with prior written permission from the Ministry of Information and Broadcasting.

The Permission Holder is required to preserve recording of programmes broadcast during the previous three months failing which Permission Agreement is liable to be revoked.

ANNEXURE 4:

CRS EQUIPMENT COSTS

Equipment Costs for One Community Radio Station*		
References:http://mib.nic.in/ShowContent.aspx?uid1=2&uid2=3&uid3=0&uid4=0&uid5=0&uid6=0&uid7=0		
Equipment	**Qty.**	**Cost (Rs)**
Transmitter equipment		
50 /100 watt VHF FM transmitter	1 set	
Dummy load	1	
Low power VHF antenna	1	5,00,000
RF cable (RG-213)	40 mtr.	
1 KVA online uninterrupted power supply system (UPS)with maintenance free batteries for 30 min. backup	1	
30 mtr pole/guyed mast	1	
Studio equipment		
Analog transmission-cum-recording stereo console	1	
Semi-professional grade rack mountable CD player	2	
Phone-in-programme console	1	
Stereo monitoring amplifiers	1	
Studio monitoring head phone	2	
Omni-directional microphones with table stands (condenser type)	2	
Uni-directional microphone (condenser type)	2	
Semi-professional stereo cassette player and recorder	1	
On air lamp with relay	1	
Misc. cable and connectors	1 set	
Loud speakers (matched pair)	1 set	7,00,000
Emergency lights	1 set	
Quartz clocks	1 set	
Patch cords (mono)	3 sets	
19" equipment rack (half)	1	
Misc. Furniture	LS	
Radio logger equipment	1 set	
Installation, testing,commissioning	1 time	
Hardware and software training	1 time	
Consultancy charges	1 time	
Desktop computers (1 for in-charge + 2 for the editors+1 for the accountant+ 1 for recording room+1 for broadcasting room+1 in the reception area)	7	1,40,000
Printer (with scanning and photocopying facility) in the office room	1	7,000
Wi-fi router for office room	1	3,000
Digital camera	1	7,000
Video camera	1	13,000

Equipment Costs for One Community Radio Station*		
Air conditioners (1 in broadcasting room and 1 in recording room)	2	44,000
Recording instruments	2	14,000
Telephone instruments (2 in the office room and 1 in the reception)	3	2,100
UPS system	1	3,000
Generator	1 set	60,000
LCD Projector	1	40,000
Television	1	20,000
DTH connectivity for television channels	1	1,600
Total cost per CRS		15,54,700
Total Cost for 20 CRS		3,10,94,000
Total cost for 50 CRS		7,77,35,000
Radio sets (Price Rs. 250 per radio set) to be distributed to 50 per cent of the total households in the districts covered by CRS		72,500
Total equipment costs		

ANNEXURE 5:

CRS PHYSICAL INFRASTRUCTURE COSTS

Infrastructure Costs				
Facility	**Description**	**Unit**	**Approximate Area (in sq ft)**	**Construction Cost (Rs)**
Recording room	Sound proof room with air conditioner, recording equipment, microphones, etc. with capacity to accommodate 5–7 people, workstation for the technical operator	1	144	1,44,000
Broadcasting room	Sound proof room with air conditioner, audio equipment, with capacity to accommodate 5–7 people and a work station for the broadcaster	1	144	1,44,000
Office room	Workstations for 3 people—1 in-charge, 2 editors with 2 computers with Internet connectivity, printer, fan, tube light, etc.	1	100	1,00,000
Reception area	1 workstation for R&D person with computer, fans, lights, etc.	1	150	1,50,000
Waiting/meeting room	Capacity for seating 10—15 people, arrangements, white board, tables, lights, fans, etc.	1	300	3,00,000
Store room	Capacity to store musical instruments, electrical and electronic equipment, stationery, etc. with lighting	1	64	64,000
Pantry	With a microwave oven, utensils, refrigerator, wash basin, lighting, etc.	1	64	64,000
Wash room	Separate washrooms for men and women; wash basin, faucet, water connection, Indian style commode	2	72	72,000
Super built up area	Passage area, open spaces—10 per cent of the total area	1	128.5	1,28,500
Total carpet area			1,166.5	1,166,500
Total land requirement (considering the open space surrounding the building)	Assumption is that land will be provided free. No cost towards land procurement has been factored here		2,856	
Construction cost				1,166,550
Other Associated Costs				
Boundary wall and gate	Boundary wall surrounding the premises and a main gate			50, 000
Open space development	Ground leveling, developing a garden etc.(approx. 1 per cent of the total construction cost)			11,665
Water storage tanks	Underground tank for water storage (approx. 2 per cent of the total construction cost)			23,330

Infrastructure Costs					
Facility	**Description**	**Unit**	**Approximate Area (in sq ft)**	**Construction Cost (Rs)**	
Electric wiring for entire premises	Approx. 1 per cent of the total construction cost			11,665	
Termite treatment	Approx. 0.5 per cent of the total construction cost			5,832.5	
Water proofing treatment	Approx. 0.5 per cent of the total construction cost			5,832.5	
Paint	Approx. 2 per cent of the total construction cost			23,330	
Water pipeline network for entire premise	Water pipeline from nearest main line and extended till the building (approx. 0.5 per cent of the total construction cost)			5,832.5	
Sewerage connection or soak pit and internal sewerage system	Sewerage connection to be connected to the main area sewerage line or separate soak pit system for the entire premise. Internal sewerage system(approx. 0.5 per cent of the total construction cost)			5,832.5	
Total of associated cost				93,320	
Construction cost				1,166,550	
Total construction cost				**12,59,870**	

ANNEXURE 6:

CRS HUMAN RESOURCE COSTS

Positions	Monthly Remuneration (Rs)	Units	Total Monthly Remuneration (Rs)	Total Annual Remuneration (Rs)
Overall in-charge	12,000	1	12,000	1,44,000
Broadcaster	8,000	1	8,000	96,000
Programme staff	4,000	2	8,000	96,000
Accountant	6,000	1	6,000	72,000
Total cost			34,000	4,08,000

ANNEXURE 7:

CRS RECURRING COSTS

Fixed Recurring Costs

Head	Description	Monthly Costs (Rs)	Annual Costs (Rs)
Power	Power (electricity) bill payments	3,000	36,000
Water	Water procurement costs if required and water taxes/charges	500	6,000
Equipment maintenance	Maintenance cost of the electronic and electrical equipment	1,200	14,400
Infrastructure maintenance	Will include any repairs, replacements, additional procurement for furniture, civil works etc.	1,000	12,000
Stationery & consumables	Will include all stationery items, printing stationery, consumables, cartridges, toners, CDs/DVDs, etc.	1,000	12,000
Telephone costs	Telephone bills	1,500	18,000
Internet connectivity	Internet connectivity charges	1,000	12,000
Conveyance cost	Petrol allowance for two wheelers for programme staff and for other staff	2,000	24,000
Housekeeping	Contract for complete housekeeping function for the premises	500	6,000
Newspapers & magazines	Daily newspapers and relevant magazines	300	3,600
Postage & courier		300	3,600
Meeting costs	Costs towards refreshments for meetings	1,500	18,000
Hospitality	Includes costs towards hospitality offered to guests, visitors, consultants, external faculties, etc.	1,500	18,000
Rental of DTH connectivity for TV		200	2,400
Performance cost	Honorarium given to the performers from the community (considering payment of Rs 100 per participant per day from the community)	4,000	48,000
Total human resource cost	Salaries for staff members	34,000	4,08,000
Total Fixed Recurring Costs		53,500	6,42,000

ANNEXURE 8

MOBILE VAN COSTS

Human Resource cost per Mobile Van

Position	Monthly remuneration (Rs)	Unit	Total monthly remuneration (Rs)	Total yearly remuneration (Rs)
Facilitator	8,000	1	8,000	96,000
Outreach worker	6,000	2	12,000	1,44,000
Driver	3,000	1	3,000	36,000
Total	17,000	4	23,000	2,76,000

ANNEXURE 9
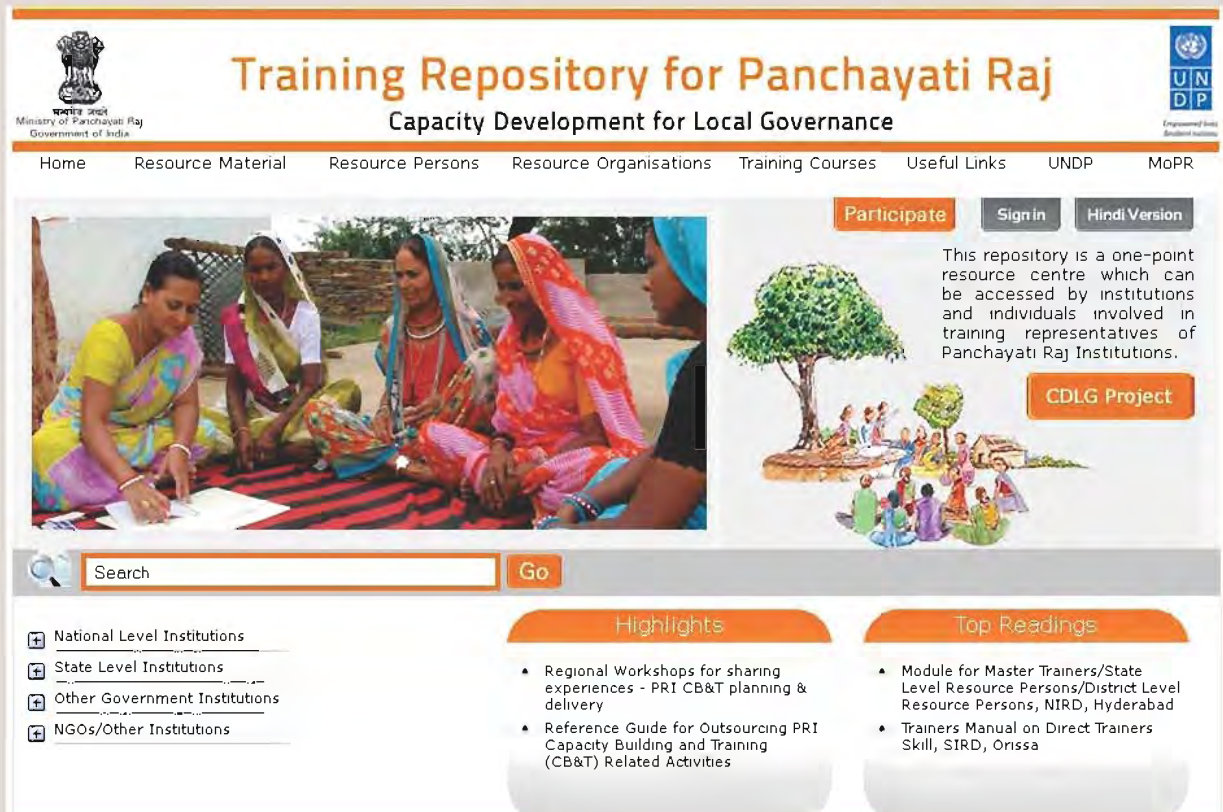
MOBILE VAN RECURRING COSTS

Mobile Van Recurring Costs			
Item	Description	Monthly costs (Rs)	Yearly costs (Rs)
Rental costs	Renting the mobile van with full equipment	80,000	9,60,000
Petrol cost	Considering 50 km of travel by a van everyday and diesel price Rs 38 per litre, the mileage 8 km/litre	5,320	63,840
Lodging and boarding	Rs 200 per day per person for total 4 people	17,600	2,11,200
Human resource cost	1 facilitator, 2 outreach workers and 1 driver	23,000	2,76,000
Total cost		1,25,920	15,11,040

TRAINING REPOSITORY FOR PANCHAYATI RAJ
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