



United Nations Entity for Gender Equality
and the Empowerment of Women

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A Practitioner's Guide to Gender Responsive Planning & Implementation



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UN Women

Foreword

The Prime Minister of India, Dr. Manmohan Singh in his opening remarks at the 57th National Development Council (NDC) meeting held on 27th December 2012, underlined the need to give special attention to gender inequality in India and admitted that despite several positive changes in the socio-economic status of women, numerous gaps remain. The positioning of this issue at the opening of the NDC meeting to discuss the 12th Five Year Plan clearly highlights not only the critical need but also the political imperative to address and mitigate gender inequality in India.

The 12th Five Year Plan resonates this commitment. The Plan document has made an effort to integrate, through a consultative process, women's voices, concerns and issues within its larger framework of 'Faster, Sustainable and Inclusive Growth'. What remains to be seen is how this vision is translated into action on the ground. To a large extent, this is contingent on the application of gender responsive approaches and strategies in planning & implementation processes by government stakeholders at various levels of governance.

This 'Practitioner's Guide to Gender Responsive Planning & implementation' comes at a time when extant interventions require a critical rethink and need to be infused with new knowledge and energies. It is a compendium of practices that have been selected from across the length and breadth of India and showcases gender mainstreaming approaches and strategies that have been tested both at the National and Sub-National level. The practical application, lucid representation and adaptive qualities of these methodologies provide the necessary blue print for new initiatives. The Guide can also assist government stakeholders realign on-going strategies/approaches to achieve desired impact. The objective of the Guide is to not only capture diverse experiences, but also develop individual and institutional capacities on gender purposive planning & implementation. We hope the lessons presented here will serve as a springboard for a vibrant and truly inclusive democracy.



Dr. Rebecca Reichmann Tavares
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The Planning Commission of India and UN Women co-organised a two-day consultation on 'Pooling Knowledge on Gender and Planning' on 6th and 7th September, 2011. The consultation was organised with the objective of sharing experiences of making planning more gender-responsive in India, at various levels of governance. This consultation created a learning space where those who have engaged in engendering national, state and district plans shared their experiences and discussed the challenges in such efforts for improving gender outcomes.

The 'Practitioner's Guide to Gender Responsive Planning & implementation' is an outcome of this consultation. It documents case studies of successful initiatives and offers a rich synthesis of experiences on gender responsive planning & implementation from across the country and across tiers of governance. This Guide is a collective endeavor of practitioners represented by the government, feminist researchers, civil society organizations and UN organisations. The process of drawing up and finalising this Guide involved close coordination with domain experts who peer reviewed and provided their keen insights. Changes and revisions were affected accordingly. A special thank is due to the resource team, Dr. Devaki Jain, Ms. Yamini Mishra, Dr. Pam Rajput, Ms. Meenakshi Kathel, Dr. Mridul Eapen, Ms. Hafiza Muzzafar, Ms. Ritu Mathur, Ms. Firoza Mehrotra, Ms. Rashmi Singh, Ms. Deepa Ahluwalia, Ms. Sarada Muraleedharan, Dr. Dinesh Agarwal, Dr. Prajapati Trivedi and Prof. Aasha Kapur Mehta for their patient inputs and reviews. The Guide also benefited from advice and suggestions from Ms. Vandana Jena, Ms. Srivastava, Ms. Navanita Sinha and Ms. Bhumika Jhamb.

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List of Abbreviations and Acronyms

ACA	Additional Central Assistance	MDGs	Millennium Development Goals
ADS	Area Development Society	MIS	Management Information System
AP	Annual Plans	MMR	Maternal Mortality Rate
BPL	Below Poverty Line	MNGOs	Mother NGOs
CAG	Comptroller and General	MoF	Ministry of Finance
CBNP	Community Based Nutrition Project	MTR	Mid-term Review
CDS	Centre for Development Studies	MWCD	Ministry of Women and Child Development
CDS	Community Development Society	NABARD	National Bank for Agriculture and Rural Development
CoS	Committee of Secretaries	NAWO	National Alliance for Women
CSOs	Civil Society Organisations	NCT	National Capital Territory
CSS	Centrally Sponsored Schemes	NCU	National Commission on Urbanization
DC	Deputy Commissioner	NDC	National Development Council
DCH	Deputy Chairperson	NGOs	Non-Government Organizations
DoE	Department of Expenditure	NHGs	Neighborhood Groups
DPC	District Planning Committee	NREGS	National Rural Employment Guarantee Scheme
DPR	Detailed Project Report	NWM	National Women's Machinery
DRC	District Resource Centre	OB	Outcome Budget
EAP	Externally Aided Project	OBC	Other Backward Classes
EFC	Expenditure Finance Committee	PAMD	Project Appraisal and Management Division
FA	Financial Adviser	PC	Planning Commission
FR	Feasibility Report	PG	Practitioner's Guide
FYP	Five Year Plan	PIB	Public Investment Board
GBC	Gender Budget Cell	PMD	Performance Management Division
GBS	Gender Budget Statement	PMES	Performance Monitoring and Evaluation System
GDP	Gross Domestic Product	PMU	Programme Management Unit
GoI	Government of India	PPS	Programmes, Projects and Schemes
GRB	Gender Responsive Budgeting	PRIs	<i>Panchayati Raj</i> Institutions
GRBIs	Gender Responsive Budgeting Initiatives	PWD	Public Works Department
GRC	Gender Resource Centre	RCE	Revised Cost Estimates
GS	<i>Gram Sabha</i>	RFD	Result Framework Document
HDR	Human Development Report	SC	Scheduled Caste
IMR	Infant Mortality Rate	SHG	Self Help Groups
IT	Information Technology	SI	Success Indicators
J&K	Jammu and Kashmir	SK	<i>Suvidha Kendra</i>
KPIs	Key Performance Indicators	SPB	State Planning Board
KRIs	Key Result Indicators	ST	Scheduled Tribe
KSRTC	Kerala State Road Transport Corporation	ToR	Terms of Reference
LSG	Local Self Government	UBSP	Urban Basic Services for the Poor
M&E	Monitoring and Evaluation		
MCD	Municipal Corporation of Delhi		

UID	Unique Identification
ULBs	Urban Local Bodies
UNDAF	United Nations Development Assistance Framework
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UNJPC	UN Joint Programme on Convergence
UT	Union Territory
VHAI	Voluntary Health Association of India
WGFE	Working Group of Feminist Economists

Executive Summary

Gender inequality continues unabated and new complexities are added in the face of changing social dynamics. This poses the twin dilemma of not only overcoming persisting biases but also responding appropriately to new emerging issues and concerns. The realm of public policy is seen as the leverage point wherein governments can initiate gender responsive measures within the larger framework of planning, budgeting & implementation. This however requires sustained efforts through a well-defined and developed strategy. The challenge is not so much about the lack of motivation or innovative strategies and efforts, but more centrally about addressing the existing knowledge and capacity gap. This is arguably one of the major hindrances towards achieving the desired outcomes and goals. Although there have been several successful initiatives, these efforts have by and large remained scattered. In other words, there is no common pool or repository of knowledge on gender responsive tools and methodologies for planning & implementation that can be used for cross-learning and replication.

This Practitioner's Guide was conceived with the intent to address this limitation. It brings together and synthesises several innovative and tested strategies on gender responsive planning & implementation from across the country. It is designed as a self-learning tool or a practitioner's reference book that provides a knowledge base of experiences which can be used as a reference for gender responsive planning & implementation initiatives. It draws extensively from inputs provided by a cross section of policy makers, feminist economists, representatives from civil society and women's organisations.

This Guide seeks to address two specific concerns:

- The absence of a knowledge base on gender responsive planning from across different tiers of governance and stakeholders, which impedes cross-learning and also limits the scope of replication.
- Lack of customized tools that can be used to build capacities of various stakeholders.

This Practitioner's Guide offers an easy-to-use template for government and non-government stakeholders to plan similar initiatives to mainstream gender into planning processes at different levels of governance and across sectors. The Guide is divided into three broad sections—(1) Planning and Budgeting; (2) Implementation Models; and (3) Accountability and Performance Monitoring Mechanisms; with various case studies clubbed under these categories for ease of presentation and understanding.

Each case study includes the process followed; stakeholders involved; and highlights achievements and challenges thereof. It also delineates steps on 'how' each initiative can be replicated and identifies the potential entry points that can be leveraged to create gender inclusive plans and accountability mechanisms. The Guide is not prescriptive by any standards. It offers a creative space to design the most suited strategy and response. The choice of the initiative and methodology will depend on several factors such as the objective, scope, identified priorities as well as the timing of the initiative.

The success of the same will depend also on crafting an effective capacity development strategy so as to build institutional capacities, in a manner that is sustainable and abet in attaining the desired outcomes.

Introduction

“Development planning is not simply a technocratic response to neutrally determined imperatives; it is also a process of struggle over concepts, meanings, priorities and practices which themselves arise out of competing world-views about the final goals of development. Nor are all the potential constituencies within the development process equally represented in this struggle. Just as ‘effective demand’ in the market place refers to claims backed by purchasing power, rather than those based on equity or need, so too ‘effective demand’ in the policy process is more likely to reflect claims based on political power rather than those based on equity or need.”

Naila Kabeer, *Reversed Realities in Development Thought*, p. 288

Planning is a systematic process of identifying priorities, developing strategies and based on this, outlining the necessary actions or interventions to achieve the planned goals and objectives. Good planning is insightful, comprehensive and strategic. It requires correctly defining problems and asking critical questions¹. It also includes time-bound measurable benchmarks that can be evaluated through well-defined criteria.

For planning to be effective and meaningful, it must necessarily factor-in and respond to the differential needs of different sections of the population. Planners across the world have increasingly begun to understand the value of inclusive planning. In this context, there has been a growing recognition that gender is a critical category of analysis and must not be overlooked by planners. Therefore, it is important that mainstream planning processes not only identify and address the needs of women, but also draw on their knowledge and recognize how women’s contributions have changed and shaped development.

The purpose of gender responsive planning is to ‘ensure gender-sensitive policy outcomes through a systematic and inclusive process. If gender policy has transformatory goals, then gender planning as a process will necessarily be a political one, involving consultation with and participation of different stakeholders’². It also entails a set of technical processes and procedures³ that are necessary to achieve gender equality outcomes through well-defined indicators to measure progress towards the same.

This Practitioner’s Guide (PG) attempts to collate and synthesize an array of rich and varied experiences on gender responsive planning from across the country. It documents pragmatic and successful experiences of engendered planning, budgeting & implementation, as well as accountability mechanisms across tiers of planning and governance. It showcases practices that can be replicated by state and district planning agencies; sectoral ministries/departments and Civil Society Organisations (CSOs) – both at the national and sub-national level. The experiences showcased, cover not only processes that led to inclusion of women’s concerns but also how women’s knowledge was used in the process. The objective of this Guide is to serve as a practitioner’s reference book on gender responsive planning & implementation.

This PG draws extensively from inputs provided by a cross section of policy makers, feminist economists, representatives from civil society and women’s organisations at a National Consultation entitled, ‘Pooling Knowledge on Gender and Planning’⁴ jointly organised by the Planning Commission (PC) of India and UN Women. This consultation created a learning space where those who have engaged in engendering national, state and district plans shared their experiences and discussed the challenges in such efforts for improving gender outcomes. In addition to this, this Guide incorporates relevant evidences emerging from other secondary sources.

Rationale and Objective

In India, the struggle to bring women’s voices and perspectives to the centrestage of planning has been a long-drawn one. Although many significant steps had been taken in the years preceding it, it was perhaps the Eleventh Five Year Plan, which brought to fore a new thinking on this issue. It charted an exemplary shift by acknowledging ‘women’s agency’ and recognising the value of women’s roles as well as the multifaceted exclusions and discriminations faced by them. There was an attempt to ‘move beyond empowerment and recognise women as agents of sustained socio-economic growth and change’⁵.

¹Planning Principles and Practices, 26 July 2012, by Todd Litman, Victoria Transport Policy Institute.

²Gender and Development: Concepts and Definitions, Prepared for the Department for International Development (DFID) for its gender mainstreaming intranet resource, Hazel Reeves and Sally Baden, BRIDGE, February 2000.

³ibid

⁴Organized on 6th and 7th September, 2011 at New Delhi, India.

⁵Eleventh Five Year Plan, 2007-12, Vol.- I, Inclusive Growth, Planning Commission Government of India.

Despite political will and sustained efforts in the form of progressive policy initiatives and a dedicated National Women's Machinery⁶ (NWM), an assessment of the present status of women in India reflects that women continue to lag behind on several important indicators⁷. This reflects a shortcoming in our planning processes that have been in place for more than sixty years now. A close scrutiny points not only towards several policy related systemic and procedural flaws but also towards knowledge and capacity gap of different stakeholders on gender responsive planning. This knowledge and capacity gap is detrimental to any planning initiative. The intent of the PG therefore, is not to delve into policy related or systemic gaps, but to create a knowledge base of experiences that can be used as a reference for gender responsive planning & implementation initiatives.

Through this Guide, we seek to address two specific concerns:

- Absence of a knowledge base on gender responsive planning from across different tiers of governance and stakeholders. This limits cross-learning and also impacts scope of replication of similar experiences.
- Lack of customized tools to inform systematic and focused trainings for building capacities of important stakeholders.

The PG endeavours to overcome the identified concerns by providing the necessary guidelines on gender responsive planning collated through lived experiences. It attempts to reconcile the schism between stated commitments and the lack of necessary strategies to attain these by bringing together a set of pragmatic and successful initiatives or models of engendered planning across various tiers of governance. The PG will also assist trainers develop capacities of government and non-government stakeholders that are central to this process.

The objective of the Guide is two fold:-

1. To showcase select experiences on gender responsive planning across the country.
2. To provide an easy-to-use template to enable government and non-government stakeholders mainstream gender in planning at different levels of governance and across sectors.

Structure

The Guide is divided into three sections. The following categorizations are being used only for the ease of presentation and are not meant to represent any water-tight compartments in the planning & implementation cycle. These are:

1. Planning and Budgeting
2. Implementation Models
3. Accountability and Performance Monitoring Mechanisms

In each section, various initiatives on gender responsive planning are presented as case studies, which include the process/methodology followed; stakeholders involved; and highlight achievements and challenges thereof. This is followed by a template that delineates steps on 'how' each initiative can be replicated. Also included in each section, is an outline of the planning or accountability process and the existing and potential entry points that can be leveraged to achieve gender responsive planning.

The steps are merely illustrative. The choice of initiative (to be replicated), and the consequent choice of stakeholders and the methodology will vary depending on various factors such as the purpose, timing of the initiative and priorities of the concerned agency. A well-planned capacity development strategy is also needed to ensure that this PG realizes its stated objectives.

⁶National Women's Machinery is the central policy coordinating unit inside the government. Its main function is to support government-wide mainstreaming of a gender-equality perspective in all policy areas (Beijing Platform for Action, 1995, para 201). In India, the National Women's Machinery comprises of Ministry of Women and Child Development (MWCD), National Mission on Empowerment of Women (NMEW), National Commission for Women (NCW) etc.

⁷Data on literacy rates, enrollment and drop-out rates in primary education, life expectancy, infant mortality and maternal mortality rates have shown a progressive trend. Also, India's performance in empowering women politically, is strong. In India, 10.7% of parliamentary seats are held by women, and 26.6% of adult women have reached a secondary or higher level of education compared to 50.4% of their male counterparts. The percentage growth in literacy during 2001-2011 for females is 49.10%, which is also encouraging. Despite notable progress in reducing some gender gaps especially in the context of female literacy and women's political participation, sprawling inequalities persist in their access to higher education, health care, physical and financial resources and opportunities in the political, economic, social and cultural spheres. As a result, India has a Gender Inequality Index (GII) value of 0.617, with a ranking of 129 out of 146 countries in the 2011. The Gender Inequality Index (GII) reflects gender-based inequalities in three dimensions – reproductive health, empowerment, and economic activity.

Section 1:
Planning and Budgeting

Section 1: *Planning and Budgeting*

This section showcases a range of initiatives that have successfully integrated women's experiences and knowledge in the formulation of plans. It explores the shift from using women as targets of schemes/programmes to using their knowledge to design plans, policies and programmes. It also includes examples of unique Gender Responsive Budgeting Initiatives (GRBIs), systematic and focused capacity building approaches, experiences with gender sub-plans etc. The objective is to showcase a set of effective practices across the board that can be used by State Planning Departments, Planning Boards and District Planning Agencies etc⁸.

Planning in India: An Overview

The Planning Commission (PC), the nodal agency for planning in India was set up by a resolution of the Government of India in March 1950. The Planning Commission is mandated with the responsibility of assessing all resources of the country, augmenting deficient resources, formulating plans for the most effective and balanced utilisation of resources and determining priorities⁹. The principal task of the Planning Commission is to formulate the Five Year Plans (FYP) and Annual Plans (AP) and to regularly evaluate the progress in their implementation. The PC recommends appropriate adjustments of policy and measures to achieve the objectives envisioned in the plan document. The Planning Commission also allocates plan funds to the ministries, decides the annual plan ceiling of the states, and has to be consulted compulsorily by the central ministries before starting any new plan scheme. A detailed list of the functions of the Planning Commission is provided in Annexure 1.

There are three distinctive components to the planning process:

- a. A Long Term Perspective Plan
- b. A Five Year Plan (FYP)
- c. Annual Plans (AP)

a. A Long-Term Perspective Plan

The objective of a long term perspective plan is to indicate the desired direction of economic activities that can serve as pointers for formulating operational targets that are part of the five year plan. The Perspective Planning Division¹⁰ of the Planning Commission drafts the long term perspective plan, which is formulated along two principal lines:-

1. The first part deals with the overall strategy and indicates the magnitude and types of resource mobilisation (including external financing) that will be required.
2. The second part is a detailed description of projected development in a number of key sectors of the economy.

Over the years (post-liberalization) there has been a gradual shift from perspective planning towards indicative planning and the need for this was clearly articulated in the Eighth Five Year Plan. Under indicative planning, the Planning Commission is concerned with the building of a long-term strategic vision of the future by deciding priorities of the nation and anticipating future trends and accordingly evolving integrated strategies for achieving the highest possible level of development of the country in keeping with internationally competitive standards¹¹. It works out sectoral targets and provides promotional stimulus to the economy to grow in the desired direction, in line with the government's development strategy.

Box 1:

Perspective Planning to Indicative Planning

"The Eighth Plan will have to undertake reexamination and reorientation of the role of the Government as well as the process of planning. It will have to work out the ways and means of involving people in the developmental task and social evolution. It will have to strengthen the people's participatory institutions. In keeping with these objectives, the process of planning will have to be reoriented so as to make planning largely indicative. This, in turn, will imply a somewhat changed role for the Planning Commission. The Planning Commission will have to concentrate on anticipating future trends and evolve integrated strategies for achieving the highest possible level of development of the country in keeping with the internationally competitive standards. In place of the resource allocation role which very largely characterised the working of the Planning Commission in the past, it will have to concentrate on optimal utilization of the limited available resources. This will call for the creation of a culture of high productivity and cost efficiency in the Government both at the Centre and the States and the Planning Commission will have to play the role of a change agent. At the same time, it must provide the broad blue-print for achieving the essential social

⁸It is recommended to refer to the 'Primer on Planning Processes in India' (UN Women Publication) while planning out initiatives of similar nature or while conducting capacity building trainings of stakeholders. The two documents can be read in conjunction.

⁹<http://planningcommission.nic.in/aboutus/history>

¹⁰The primary role of the Perspective Planning Division is to analyse, assess, estimate and make projections relating to quantitative dimension of medium term and long term development plans. The projection exercises ensure that the quantitative dimensions of the plans are consistent between sectors and between various macroeconomic aggregates. The Division is responsible for making the projection of economic growth and its sector-wise distribution, projection of levels of living, estimation of poverty ratios, projection of Governments' fiscal balance, assessment and estimation of external sector balance. The Division has a formal economic modeling unit for providing sectoral growth profiles of the economy under alternative assumptions. The various units are:- i. Macro-Economic Modeling; ii. Fiscal Balance and Fiscal Sustainability; iii. Agriculture; iv. Industries including Minerals, Infrastructure, Power & Transport; v. Social Sector; vi. External Sector Policy and Planning and WTO Issues; vii. Estimation and Measurement of Poverty & Inequality; viii. State Level Aggregation and Regional Disparity; ix. National Human Development Report; x. Financial Sector.

¹¹Eighth Five Year Plan (Vol-I), 1992-97, Planning Commission.

and economic objectives and indicate the directions in which the economy and the various sub-sectors should be moving. It should pin-point areas in which advance action should be taken to avoid serious bottlenecks. Planning must thus proceed from a vision of the society to be created, and through an appropriate mix of policy instruments influence the decisions of the various economic agencies to achieve the desired goals. In this sense, indicative planning is a more difficult exercise.⁹

Source: Eighth Five Year Plan (Vol-I), Objectives and Orientation, 1992-97, Planning Commission.

b. Five Year Plans

A five year plan provides a long term indicative perspective and indicative outlays. The Five Year Plan sets out the dimensions of economic development and growth in the country and postulates the macroeconomic features, such as aggregate resources, savings, investment, GDP growth, and other broader economic and social requirements. Thus, the Five Year Plan lays out a plan of investment and activities to steer the country's economy in the desired direction. Each Five Year Plan involves an appraisal of the past; a reformulation of basic national policies in the light of experience gained; and the drawing up of a guide map for action in the future. This blueprint for development, however, needs to be adaptable to take care of changing situations and priorities, which arise from time to time¹².

Box 2 presents schematically the process of formulating Five Year Plans also delineating the institutions, processes and systems that serve as relevant entry points to facilitate gender responsive planning objectives.

BOX 2

Five Year Plans: Entry Points for Gender Responsive Planning

Process

Approach to the Five Year Plan

It is a brief document that broadly outlines the goals to be achieved during the proposed five-year plan period. The Approach Paper is prepared after receiving comments of states and central ministries. After rounds of discussions and Union Cabinets' approval, it is placed before the National Development Council (NDC) for approval.



Steering Committees & Working Groups

Several working groups under designated steering committees are constituted by the PC and work with assistance from the relevant divisions of the PC. They are generally subject or area-specific. The primary task of the Steering Committee is to work out the detailed plan for each sector on the basis of the preliminary guidelines as indicated in the Approach Paper. The state governments are encouraged to have their own working groups, and the central working groups are also expected to interact informally with their state counterparts. The working group reports are assimilated by the steering committees that take a sectoral view of the problem.



Finalizing working groups and steering committee reports

The steering committee reports are discussed and finalised by the various divisions of the PC. These are then incorporated in the draft plan. The draft plan is first discussed by the entire Planning Commission and then by the Union Cabinet, before presenting it to the National Development Council.

Finalising the Plan:

The full PC and the Union Cabinet scrutinise this document before presenting to the NDC for final approval. Thereafter, it is endorsed and presented to both houses of the Parliament for information.

Entry Point

The Planning Commission invites inputs from civil society, therefore providing an opportunity to civil society to contribute to the Approach to the FYP. Women's groups and CSOs can also critique the Approach Paper and provide a gendered analysis of the same when the Approach Paper is put up for comments/suggestions.

The Ministry of Women and Child Development constitutes a Steering Committee under which several working groups and sub-groups specific to the subject areas identified by the Ministry are constituted. These groups comprise of representatives from CSOs, NGOs, UN organizations, researchers and feminist economists. Similarly, to engender other sectors of the Plan, relevant Steering Committees and Working groups ensure adequate representation from CSOs, Women's groups, MWCD, Feminist Economists etc.

The nodal division within the PC on gender issues is the Women and Child Development Division. While all the chapters of the FYP are being finalized, this division plays an important role in ensuring that all chapters of the Plan address gender concerns.

In particular, this division is responsible for finalizing the chapter on Women's agency and Child Rights.

Working Group of Feminist Economists (WGFE): Formally constituted by the PC, the WGFE reviews the steering committee reports to ensure that gender is reflected as a cross cutting theme across sectors. The WGFE shares its recommendations with the PC.

Note:

1. The National Development Council (NDC) was set up for the first time in 1951 with a view to bringing about a coordination of plans between the Central Ministers and the State Governments.
2. For the Twelfth Five Year Plan 30 Steering Committees and 134 Working Groups were set up.

c. Annual Plans (AP)

The FYP is divided into annual plans, which provide annual outlays based on availability of resources and past performance. The AP formulation process every year gives the PC an opportunity to assess the previous year's plan performance and suggest strategic modifications as required, keeping in view long term growth targets. Annual Plans are very important as they are the operational instruments of the Five Year Plans. They provide a detailed description of the allocation of resources between Centre and States and for different ministries in the Government of India. (Refer Annexure 2: Schedule for Annual Plan Exercise).

The Ministry of Finance (MoF) in consultation with the Planning Commission estimates the resource envelope available for the APs. This involves allocation of budgetary resources for public sector projects, programmes and schemes. The PC indicates to the State Governments and Central Ministries, the resource envelope and the short term objectives that should be kept in view while formulating the AP. The States and the Central Ministries are requested to furnish their plan proposals, which include the physical targets and corresponding financial outlays required. This has to be in tune with the overall framework of the FYP. In addition to this, the State Governments are also advised to furnish their estimates of financial resources including the proposals for mobilizing additional resources for their APs. Detailed guidelines are issued by the PC to the Central Ministries/Departments and to State Governments and UTs indicating priorities and programme thrust to be kept in view while formulating their plan proposals. The Annual Plan proposals and resource estimates submitted by the State Governments are discussed in detail during November-December in the Planning Commission. Similarly, in-depth discussions are held with the representatives of the State (Deputy Chairman and the State Chief Ministers/Lt. Governors regarding State Plans) and Central Ministries/Departments (Secretary, Planning Commission with the Secretaries of Central Ministries/Departments regarding the Central Plan) regarding their Annual Plan proposals. Several rounds of meetings with State Governments and Central Ministries are held before the plan size is finalised. The plan outlays arrived at in the meetings and as approved by the Commission, become the basis for budgetary provision for the Plan for the ensuing year. (Refer Annexure 3: State plan formulation and approval process). Box 3 presents schematically the process of formulating Annual Plans, also delineating the institutions, processes and systems that serve as relevant entry points that facilitate gender responsive planning objectives.

The Planning Commission also reviews the progress of the Plan each year in both financial and physical terms on the basis of the detailed information obtained from the Central Ministries and State Governments.

BOX 3

Annual Plans: Entry Points for Gender Responsive Planning

Process

Guidelines to State Planning and Finance Departments

PC issues guidelines for formulation of Annual Plans. The Finance Department assesses state resources. The various departments submit their respective scheme wise requirement of funds. The PC also seeks information (in requisite formats) from the departments regarding expenditure under State Plan Schemes, Centrally Sponsored Schemes etc. Department wise allocations are worked out and is approved by the State Governments and sent back to the departments for furnishing schematic details of outlays and targets. Refer Annexure 2, for schedule for the Annual Plan exercise and Annexure 3 for State Plans: Formulation and Approval Process.

Preparation of Annual Plans

The States and the Central Ministries are requested to furnish their Plan proposals, which include the physical targets and corresponding financial outlays required. At the State level, each department submits scheme wise details of outlays allocated to the department to the State Planning Department. The schematic details are analysed and compiled by the State Planning Department. The Draft Annual Plan document is prepared and copies sent to the PC. (Refer Annexure 3 State Plans: Formulation and Approval Process)

Finalising Annual Plans

Meetings are held with the representatives of the State (Deputy Chair and the State Chief Ministers/Lt. Governors for state plans) and Central Ministries/Departments (Secretary, Planning Commission with the Secretaries of Central Ministries/Departments for Central Plan) regarding their Annual Plan proposals. Also, meetings are held with the concerned Advisors and division of the PC to finalise the scheme wise allocations (Sectoral outlays).

Entry Point

List of Statements/Tables for Draft Annual State Plans

The Women Component in the State Plan Programmes: Financial Outlays (listed as Annexure VIII A in the guidelines sent by the Planning Commission to the States for preparation of State Plans)
Women Component in the State Plan Programmes: Physical Target and Achievements (listed as Annexure VIII B in the guidelines sent by the Planning Commission to the States for preparation of State Plans)

The institutional structure for planning at the state level varies from full-fledged State Planning Commissions/Boards with a number of members, to single member State Planning Commissions/Boards, to State Planning Departments. Few Boards have Gender Advisors such as Kerala or may have CSOs to provide relevant gender related inputs/suggestions.

The Women and Child Development Division examines the Plan proposal of various states relating to Women and Child Development sector and helps finalise the plan size. It also organises Working Group Discussions to review the implementation of policies and programmes related to the sector. Also, in the routine meetings towards finalizing Annual Plans, the Central Ministries/Departments and State administration meet with WCD Division and provide relevant inputs as requested by the Division. The WCD Division may also recommend/advice on the gender related component in sectoral plans.

Note:

- i. The National Development Council (NDC) was set up for the first time in 1951 with a view to bringing about a coordination of plans between the Central Ministers and the State Governments.
- ii. For the Twelfth Five Year Plan, 30 Steering Committees and 134 Working Groups were set up.

The Planning Commission is not merely an advisory body but it wields enormous power in the allocation of a substantial volume of financial resources to the states and between different departments of the Union government. Over the years, the PC has also emphasised the need for improving the planning process and developing the capacities of the State Governments.

This section documents six case studies that explore different approaches to engendering planning and budgeting at different levels of governance.

Case Studies

Sl. No.	Case Study	Location	Objective
1.A.	The Working Group of Feminist Economists (WGFE)	Planning Commission, GoI- Eleventh Five Year Plan (2007-12) ¹³	To ensure that the Eleventh Five Year Plan explicitly recognised 'women as important agents of economic growth and change' and to introduce gender as a theme cutting across sectors in each chapter of the Plan document.
1.B.	Engendering the Eleventh Five Year Plan 2007-12: A Civil Society Initiative Coordinated by the National Alliance of Women (NAWO)	Planning Commission, GoI - Eleventh Five Year Plan (2007-12)	To facilitate and ensure a participative space for involving the 'voices of women from diverse experiences' into the planning process.
1.C.	Kerala State Planning Board: Experiences of Engendering State Plans, 2007	State Government (Kerala)	To engender state plans through a systematic approach to Gender Responsive Budgeting (GRB).
1.D.	A participatory, bottom-up approach to Trainings in GRB: Jammu and Kashmir, 2009	State Government (Jammu and Kashmir)	To mainstream gender responsive planning and budgeting through participatory assessment of 'needs' from the field (Districts).
1.E.	Experience of Engendering State Plans through Human Development Reports (HDR): UNDP, 2004	State Governments (West Bengal, Maharashtra, Kerala, Nagaland, Rajasthan, M.P, Assam)	The objective was to (a) generate evidence on critical gender issues; (b) Capacity development of officials and elected representatives in Human Development and Gender and (c) Strengthening statistical systems (for better collation of sex disaggregated data).
1.F.	Engendering District Plans : Experience with Gender Sub Plans Planning Commission of India, UNDP and State Governments, 2009	Select Districts	To prepare separate gender sub-plans within the district plans of about 20 districts, fixing certain milestones to be achieved within a fixed time frame to reflect gender convergence and impact of women empowerment initiatives at the field level.

Case Study 1.A¹⁴

The Working Group of Feminist Economists (WGFE)

The Planning Commission of India set up a Working Group of Feminist Economists (WGFE) during the preparation of the Eleventh Five Year Plan, 2007-2012. The WGFE members with specialized knowledge on women in the economy and with strong connections to the women's movement in the country helped 'infuse knowledge that India's feminist economists had gathered, into the sectoral chapters of the Eleventh Five Year Plan (2007-2012)¹⁵.

Process

1. WGFE¹⁶ formally constituted by the PC (vide letter dated 29th March 2007).
2. The Terms of Reference (ToR) for the WGFE prepared by the PC and shared with the group Annexure 6:TORs.
3. As per the ToR, the WGFE members examined sectoral reports (infrastructure, industry, agriculture, education, environment and health etc) of working groups and steering committees for the Eleventh Five Year Plan with respect to their gender content as well as its inclusion of the *aam aurat*, the woman from the grassroots level. The WGFE made appropriate suggestions to ensure that gender concerns are addressed across each chapter.
4. The WGFE analysed the sectoral chapters, not only from a gender lens but also presented the lacunae in the design in reaching the stated objectives. They also emphasized the importance of gendered statistics as crucial to the inclusion of women in plans.
5. The WGFE then met Planning Commission members and presented facts and suggestions for inclusion in the draft chapters of the Plan document. Some of the inputs were reflected in the final chapters. Refer to Annexure 7: WGFE Inputs and Eleventh Five Year Plan.

Stakeholders

WGFE and Planning Commission of India.

Achievements

This initiative helped achieve three important milestones:-

- It convincingly argued for the moving away from the grouping of women into a sector called 'Women and Child' to looking at women as growth agents in the political economy of India¹⁷.
- It recognised women as drivers of the economy and agents of change.
- It was successful in ensuring that some specific suggestions on gender were incorporated in some chapters, which had earlier remained outside gender scrutiny. Refer Annexure 7: WGFE Inputs and Eleventh FYP.

Challenges:

- The process did not follow through with other important tasks as outlined in the ToR viz, suggesting norms/guidelines to ensure gender perspective while formulating programmes across sectors¹⁸.
- There was no effective follow up to monitor whether the suggestions/recommendations in each chapter were translated into programmatic or policy response within sectoral ministries and departments.
- An indicative costing or budgeting of the recommendations was missing.
- No impact assessments were commissioned to see how this intervention impacted lives of the *aam aurat*, the women at the grassroots level.

Scope of replication: Steps on How to?

Step 1: Identify the members

Identify scholars/researchers with specific knowledge based on own research, surveys, understanding of policy issues and the domain expertise (health, education, infrastructure etc.) suitably within the context of the state that is planning the initiative. Also, to identify the priority sectors and prepare a database of scholars, researchers and research studies.

¹³Although the WGFE was reconstituted by the PC for the 12th FYP as well, the case study is based on its work during the 11th FYP only.

¹⁴Based on a presentation made by member WGFE, Dr. Devaki Jain, in the consultation 'Pooling knowledge on Gender and Planning' 5th and 6th September 2011, organized by Planning Commission and UN Women and Engendering Public Policy, A Report on the work of the Working Group of Feminist Economists during the preparation of Eleventh Five Year Plan 2007-2012, Planning Commission Government of India, May 2010.

¹⁵Engendering Public Policy, A Report on the work of the Working Group of Feminist Economists during the preparation of Eleventh Five Year Plan 2007-2012, Planning Commission Government of India, May 2010.

¹⁶Economists Interested in Women's Issues Group (EIWIG) (2005), considered starting an economic policy watch as a way of developing a new lobby or voice from women economists. The Eleventh Plan was being designed and this loose network considered engaging with it in terms of knowledge-driven gendering of public policy.

¹⁷Engendering Public Policy, A Report on the work of the Working Group of Feminist Economists during the preparation of Eleventh Five Year Plan 2007-2012, Planning Commission Government of India, May 2010.

¹⁸See (Annexure 6:) Terms of Reference

Step 2: Constitute the group

Constitute a committee with representation of such scholars and researchers with formal status and well defined terms of reference (ToR). At this point it is important to hold consultations to enable the formation of the group, to delineate the objective and scope of the initiative and identify the process methodology.

Step 3: Prepare a timeline/calendar

It is important to prepare a timeline identifying major steps (meeting with department representatives, district officials etc.) and the time frame for each activity. This should also identify the nodal person responsible for each activity. Ideally, the State Planning Boards should play the nodal agency role. Also, the State Planning Boards should ensure that members have timely access to all sectoral chapters and reports.

Step 4: Focused one to one meetings with sectoral departments and other stakeholders

To facilitate understanding of the state/district (where the initiative is located) and various departments through data and statistics (if available, State Human Development Reports are a good starting point). To scrutinise the existing plans vis-a-vis available indicators and data and make appropriate suggestions.

Step 5: Costing of the recommendations: the budget questions

Where ever appropriate, to suggest an indicative 'budget' necessary to implement the suggestions/recommendations.

Step 6: Consolidation and presentation of recommendations

Based on the above, the Group is to prepare a critique of the existing approach and collate the recommendations/suggestions and present it to the apex body (State Planning Boards) for approval and inclusion in the plan document. This should ideally be vetted through the implementing agencies (line departments etc.).

Step 7: Dissemination of findings and monitoring results

The previous exercise should be followed by a state level dissemination workshop (to share the recommendations) with representation of all departments, district officials and civil society groups. It is ideal for the departments to endorse the recommendations and share the follow up action plan. Also, it is important to monitor which recommendations were adopted in the plan and whether they were implemented or not.

Case Study 1.B¹⁹

Engendering the Eleventh Five Year Plan, 2007-12: A Civil Society Initiative²⁰

The external impetus for this initiative was provided by the Beijing Platform for Action²¹. The conference helped understand how national development policies are informed by 'plans' and therefore the critical need to ensure that such plans also include women's voices and perspectives. The initiative provided the interface between policy formulation processes and the voices of women from diverse experiences. This initiative was supported by the Ministry of Women and Child Development, UNDP and UNIFEM (now UN Women).

NAWO helped coordinate the process from the Ninth Five Year Plan onward and it gradually gained recognition. This initiative helped the government to initiate dialogue and deliberate with women's groups and make a definite commitment to them on what it proposed to draw up as its national plan of action for women's development in India²².

Process

1. Establishing the structure for the Initiative

The structure that steered the process was inclusive and comprised:

- i. A think-tank that included a combination of people who made a conscious choice to join in. It had representation from women's organizations, activists, researchers and academicians working to engender the planning process and other policy initiatives. It included members with substantial experience and expertise.
- ii. Grassroots women and civil society representatives.

2. Developing the strategy and timely interventions

It was planned that the process of interface between the think tank and members of the Planning Commission (PC) should be initiated before the Approach Paper to the Eleventh Five Year Plan was finalized by the PC. Therefore, the members met with the representatives of the PC to discuss the need to include inputs from civil society into the Approach Paper. The PC requested for a detailed list of recommendations from the think tank members.

3. Engagement with stakeholders

On the one hand, this process mobilized stakeholders such as grassroots women and CSOs; on the other hand, it tried to create an active interface with policy makers at various levels such as officials of various ministries and departments of the Union Government and State government as well as with the PC.

4. Consultative process

A consultative process was followed to prepare a detailed list of recommendations. This entailed five Regional and two National level consultations. The objective was to ensure that voices of a cross-section of women be heard in the planning process. Recommendations from these consultations were consolidated.

5. Lobbying to ensure representation in the official process (working groups and steering committees)

Simultaneously, there was lobbying to ensure that the think tank members were part of various steering committees and working groups set up by the PC for sector specific inputs. Recommendations from the consultations were thus funneled through these members into the working group deliberations and reports.

6. Collation and presentation of a report

Sector specific analysis and detailed inputs were collated in the form of a report. These recommendations were presented to the PC. The civil society initiative thus found inroads into the official process.

Stakeholders

Grassroots women, civil society groups especially, NAWO, MWCD, PC, UNIFEM (now UN Women) and UNDP.

¹⁹Based on a presentation made by Dr. Pam Rajput, Vice President NAWO, in the consultation 'Pooling knowledge on Gender and Planning' on 5th and 6th September 2011, organized by the Planning Commission; and the document 'UN Women and Engendering the Eleventh Five Year Plan, 2007-12'; A Civil Society Initiative, NAWO, 2008.

²⁰The National Alliance of Women (NAWO) is a national network of women. It is an umbrella organization and affiliation or membership is open to all progressive minded women's groups and institutions, non-governmental organizations, women workers, women's unions, individuals and others who share the principles, objectives and values of NAWO, as defined in the NAWO vision. (www.nawoindia.org)

²¹The Fourth World UN Conference on Women, held in Beijing, China, 4th-15th September, 1995.

²²www.nawoindia.org

Achievements

- Although the PC had previously organized several consultations with various stakeholders and civil society groups, there was no systematic and methodical way to bring in the voices, needs, concerns and aspirations of grassroots women. The greatest achievement of this initiative is that it created a platform through which women could participate in the planning process in an organized and coordinated manner.
- Another unique feature of the civil society initiative was that it included a range of stakeholders. There was participation of not only intellectuals but also people from the grassroots. The process was consultative and inclusive. The think tank members found representation in the official process of planning -- by way of their membership in various working groups and steering committees set up by the PC for sector specific inputs.
- This initiative led the way for collectives to follow a similar process.
- The Twelfth Five Year Plan formulation process also brought in civil society voices.

Challenges

- A focused lobbying strategy is necessary to ensure that the recommendations are followed through by line ministries and departments. The need for a systematic follow up to see how much of what is recommended finds location in the plan and an analysis of how much was translated into action (programmatic and policy response). Important to ensure adequate budgets are committed for this as limited budget can be a constraint in this regard.
- The need to replicate this model at the state level to be able to influence state plans.

Scope of replication: Steps on How to?

1. Identify the location of the initiative (State or District); mobilize stakeholders especially women's groups and CSOs; define the structure, scope and methodology.
2. Timing of the activities planned is crucial to the success of the process. Prepare a timeline/calendar.
3. Lobby with the nodal agency responsible for planning to:
 - Acknowledge and recognize the merits of such a consultative and inclusive process
 - Prepare well defined TORs
 - Institutionalise the process
5. Plan out the consultations to ensure regional balance and prioritise the thematic focus areas (this may vary from state to state or district to district).
6. List out the recommendations in the form of a report and present it to the nodal agency and also sector specific departments.
7. Attempt a tentative costing of the recommendations.
8. Organise a dissemination workshop with representation from all stakeholders. Plan a strong lobbying strategy to ensure that the recommendations are followed through.
9. Prepare a list of indicators that will help track the action taken on the recommendations offered through this consultative process. This will also help assess the impact of the initiative.

Case Study 1.C²³

Kerala State Planning Board: Experiences of Engendering State Plans

Gender Responsive Budgeting (GRB) has emerged as an important tool for examining the government's commitment to gender equality. GRB as a tool enables us to assess how much of the budgetary resources flow to women and for what. In Kerala, a number of institutional structures and processes have been set up to undertake this exercise. Gender Responsive Budgeting Initiative (GRBI) of the Kerala State Planning Board (SPB)²⁴ together with the Gender Advisory Board²⁵ (GAB) is an attempt to engender state plans through a systematic approach to GRB.

Process

1. A study on GRB commissioned

A study on GRB was commissioned by the Department of Finance, Government of Kerala to the Centre for Development Studies (CDS) in 2007-08 to use the GRB methodology and estimate the flow of resources to women in the 2007-08 Kerala state budget²⁶.

2. Setting up institutional structures to further GRB

To sustain the exercise, the State Planning Board took up the task along with the Gender Advisory Board that was set up under the Social Welfare Department in 2008. One of the major tasks of the Gender Advisory Board was to implement GRBI undertaken for the period 2007-08 upto 2011-12.

3. Trainings in GRB methodology and tools

The first task was to organise training workshops for concerned department officers in GRB methodology and tools.

4. A relook at plan write ups: using checklists

The checklists (Annexure 8 and 9) developed by the Ministry of Women and Child Development for GRB were used to guide the process of GRB within line departments. The checklists were expected to help the government officers make their plan write ups gender sensitive. This strategy ensured that plans were sensitive in their content especially regarding schemes that were not wholly women specific. This helped build capacities of the officials to facilitate the understanding of 'what is to be done' and 'how it needs to be done'. Equal emphasis was laid on sex disaggregated data with regard to all schemes to estimate the differential flow of resources.

5. Sex disaggregated profile of public expenditure and preparation of Gender Budget Statement (GBS)

A sex-disaggregated profile of public expenditure was prepared. It was easy to identify and collate wholly women specific allocations. The challenge was to cull out flow of resources for schemes where both men and women are beneficiaries. The challenge was also to bring under the purview of GRB, the 'gender neutral' sectors such as transport, ports etc. Also, it was difficult to disaggregate the non-plan expenditures and to see how departments can plan schemes for women in a more holistic way. The methodology and format for the GBS was finalised and the allocations were reflected in the GBS.

Stakeholders

Kerala State Planning Board, Gender Advisory Board, Department of Finance and State Departments

Achievements

The uniqueness of the Kerala experience can be attributed to the following:

- It put in place a systematic approach to GRB in the state.
- One of the important strategies was training officials in the application of GRB tools (using checklists).
- All departments tried to develop special schemes for the benefit of women.

Challenges

- As most strategies were developed by 'motivated individuals', there is a possibility that the absence of these individuals may offset the process.

²³Inputs provided by Dr. Mridul Eapen, Former Member State Planning Board, Kerala.

²⁴Kerala SPB, which is structured as a planning set up in itself with a mandate for preparing five year and annual plans. There are technical divisions in the Board corresponding to all government departments and planning is carried out in these divisions together with the departments. Unlike Kerala, in most other states SPBs are expected to "guide" planning and this is done primarily in the Planning department with inputs from the various departments

²⁵A Gender Advisory Board (with a gender adviser) was also set up in the Social Welfare Department (SWD), one of its major tasks being to conduct, GRB together with the State Planning Board (SPB).

²⁶A report was submitted to the Department of Finance by Dr. Lekha Chakravarty who did the study titled "Analysis of the Kerala State Budget through a Gender Lens: 2007-08".

- The process of preparation of GB Statement in Kerala initiated in 2008-09 (with data for the previous year also), was quite comprehensive and well-intended²⁷. However, the GB Statement was not presented formally with the Budget documents each year. It is important that the GB statement is presented with the Budget documents.
- While both the Planning Board and the Gender Advisory Board (GAB) were involved in the preparation of the GB Statement, the Department of Finance was not. However, it undertook the nitty-gritty task of distributing the allocations by Head of Account in the different Demands for Grants. An active involvement of the Finance Department in the preparation of the GB Statement should be encouraged.

Scope of replication: Steps on How to?

1. Institutions/Structures to further GRB

- a. The most critical need for GRB is to identify a nodal agency that would develop the methodology and GRB strategy. This agency will also collate all the information on women specific expenditures from different departments of the government and prepare it for the Gender Budget Statement. The most likely location of such an agency are (a) Planning Department or Planning Board; (b) Finance Department; or (c) Social Welfare/Women and Child Development Department. Irrespective of where the location of the nodal agency is, it is important to have representation from Finance and Planning Departments.
- b. This agency/nodal department must have technical capacity on GRB.

2. Processes

- a. Political Commitment - Building political commitment is essential for GRB - like in Kerala where it was pushed forcefully by the Finance Minister and the State Planning Board. GRB was also endorsed by the State Women's Policy announced in 2008. Political commitment can be built through effective lobbying with important stakeholders such as legislators, departments of finance or planning.
- b. GRB Trainings - It is then important to orient key stakeholders on GRB – its rationale, objectives, methodology and tools.

3. Financial Data

There is a need to make the financial data more reliable and proximate the actual flow of resources women. This can be achieved through one to one interactions with ministries/departments and continuous field level monitoring. It is equally imperative to check that the flow of resources to women is not declining over time.

4. Gender Budget Statement (GBS)

Develop a suitable format through a consultative process to capture the quantum of allocations flowing towards women. This should ideally include qualitative information as well. Also prepare the format (call circulars, budget circulars) through which the nodal agency will seek information from departments to collate the GBS. Refer Annexure 10 for the format used by Kerala State Planning Board to seek information on GRB.

5. New Initiatives

GRB should not end up as a number crunching exercise; it is equally important to plan women specific projects in women unrelated sectors so as to visibilise them in all sectors of development; and to plan new initiatives in gender related sectors depending on women's priorities as perceived in that specific context.

6. Indicators

Indicators could be developed to monitor progress of departments in implementing GRB so as to monitor the changing response of the various departments to GRB; and to monitor progress of schemes being implemented.

7. Importance of plan write ups

There needs to be emphasis on the criticality of plan write-ups. The officials from all departments, representing both divisible and non-divisible sectors²⁸, should be provided with simple guidelines for making gender sensitive write-

²⁷A Gender Budget Statement with Parts A and B was submitted to the Department of Finance before the Annual Budget each year. In the Budget Speech of the Finance Minister every year, a specific section was provided enumerating the schemes for women and the total flow of resources to them (based on the data provided in the Statement) together with the percentage it formed of the total Plan Budgetary outlay. From a little over 5 per cent of the budget in 2008-09, the percentage went up to almost 10 per cent by 2011-12 (see Kerala Budgets from 2007-08 to 2011-12, Government of Kerala).

²⁸Non divisible sectors or mainstream sectors such as Highways, Defence, Power, Telecom, Transport, Industry, Commerce, Infrastructure etc. Public expenditure in such sectors is not directly beneficiary oriented and therefore does not lend to gender disaggregated beneficiary information. Whereas, in divisible sectors, such as Health, Education, Rural Development etc, public expenditure (to a great extent) is beneficiary oriented and the incidence of expenditure (depending upon availability of data) can be partitioned on the bases of sex, caste, religion, region etc.

ups for schemes. The check list for integrating gender/Gender Budgeting into new programmes, projects and schemes (PPS) and Checklist I and II for Gender Specific and Mainstream Sectors prepared by Ministry of Women and Child Development, Government of India are relevant in this context. Refer Annexure 8 and 9.

8. Gender Audits

Ensure that gender audits are integrated in the process. Encourage periodic audits of the GBS to point out methodological errors and irregularities.

BOX 4

GRB Trainings: Sector Specific Capacity Building The Kerala Experience

The Kerala experience of GRB capacity building strategy with sector specific focus²⁹ is a unique experiment. It had a well planned capacity building strategy that provided hands-on skills with a focus on a particular thematic area, in this case 'infrastructure'. "This workshop in a way was a turning point for GRB efforts since in the Plan discussions for 2010-11, Departments themselves prepared women specific schemes both for the divisible and non divisible sectors"³⁰. The Gender Advisory Board and the State Planning Board of Kerala conceptualized and organized this training programme for all departments of Kerala government. As mentioned, the theme of the training programme was 'Infrastructure'.

The MWCD checklist II (Annexure 9) for mainstream sectors was used for the training programme. Accordingly, it was decided that a major focus for women in the 2010-11 Budget will be women-friendly infrastructure across each department and using Checklist II it was demonstrated how in each sector women specific infrastructure schemes could be formulated.

Women too need infrastructure, not just roads, bridges, flyovers, deep port terminals etc but basic amenities when they travel or where they work and a safe/secure environment at home and in public places. Surveys of public offices in the districts of Kerala showed that a large number of public buildings did not have separate toilets for women. Also, for women who commute to work, basic facilities like rest rooms and toilets are important requirements at bus stations and boat jetties at ports but were absent.

Impact of the training : -

As a result of the training, a major scheme for women, 'Gender Friendly Infrastructure-both Physical and Social' was formulated. This scheme also covered sectors that are normally excluded from a GRB exercise³¹. These schemes were included in the 2010-11 Budget and announced by the Finance Minister in his Budget Speech under a separate section, "Need for a New Egalitarianism".

The uniqueness of this exercise lay in the fact that all departments tried to develop special schemes for the benefit of women around a common theme of 'Women Friendly Infrastructure' to create awareness about the presence of women in each department and the fact that women's needs for infrastructure are different. At the same time, it also represented an effort to consciously incorporate gender concerns even in 'general' projects, which impacted on both men and women, through improved plan write-ups on schemes³².

²⁹In this case, the focus was on gender specific infrastructure across departments.

³⁰Dr. Mridul Eapen, former Member, State Planning Board, Kerala.

³¹In this scheme, Kerala State Road Transport Corporation (KSRTC), Public Works Department (PWD), Police, Ports, Housing, as also Health, Social Welfare and IT sectors played a crucial role.

³²Dr. Mridul Eapen, Former Member, State Planning Board.

Case Study 1.D³³

A participatory, bottom-up approach to GRB Trainings Jammu and Kashmir

The Member Secretary, Jammu and Kashmir (J&K) State Commission for Women, initiated an innovative strategy to further GRB in the state through a systematic GRB capacity building effort. The J&K experience is unique as it showcases an effort to mainstream gender responsive planning and budgeting through participatory assessment of 'needs' from the field. This case study entails not only a systematic capacity building strategy but also an evidence based approach to trainings.

Process

1. In 2007, the State Commission for Women, Jammu and Kashmir received a communication from the National Commission for Women for introducing GRB in all departments of the state. A letter to this effect was circulated to all departments of the state with a request for introducing GRB in each department. This strategy failed as most departments felt that they had already initiated this process.
2. Workshops, consultations and trainings - The Member Secretary³⁴ of the State Commission for Women planned a more effective strategy. In 2008, the Ministry of Women and Child Development³⁵ was requested by the State Commission to sponsor workshops in the State. The objective of these trainings was to introduce the concept and the methodology of GRB. Three GRB programmes were subsequently sponsored through the State Commission.

Phase I

1. In 2009, a day-long GRB consultation was planned for the State Principal Secretary, Finance Commissioners and Secretary Departments. The objective was to ensure that the top officials of the state government were sensitized to the need for GRB in the state. This was an important move to ensure that the process got endorsement from the state machinery. In order to ascertain participation of senior officers, Member Secretary, State Commission for Women met with the Chief Secretary of the state with a request to issue a circular, making participation of top officials mandatory. The Chief Secretary inaugurated the day long deliberations and all senior officers attended the event.
2. The second workshop was organized for the Heads of Departments. This was inaugurated by the Minister of Finance, J&K.
3. The Third workshop was planned for the divisional officers and inaugurated by Minister of Social Welfare, J&K.

Phase II

1. The second phase focused on district level trainings. A total of eleven workshops were organized and the same were sponsored by MWCD. These workshops were planned systematically and involved extensive preliminary planning.
2. A number of field visits were made as a run up to the trainings in the districts. The objective of these visits was to collate information on women's needs and priorities, through group discussions and participatory needs assessments. The same were listed so that they could be highlighted in the GRB training programme in that particular district.
3. These evidence based training programmes presented a realistic assessment of needs and priorities. It also enabled a committed response from district officials. For example, women prioritized roads and street lights in *Ramban* District. This was highlighted in the GRB training programme and the Public Works Department (PWD) representative assured better roads and the Science and Technology representative promised solar run street lights within the next financial year.

Stakeholders

State Commission for Women and all departments, Government of Jammu and Kashmir.

Achievements

The uniqueness of this initiative was its evidence based approach to trainings. The beneficiary assessment from the field provided a realistic assessment of priorities that could be highlighted in the course of the trainings.

Challenges

- The entire focus was on capacity building.
- There has been no assessment to study the impact of these trainings.

³³Collated on the basis of information received from Ms. Hafiza Muzaffar, Former Secretary, J&K State Commission for Women.

³⁴Ms. Hafiza Muzaffar, Former Secretary, J&K State Commission for Women.

³⁵MWCD is the nodal Ministry for GRB, in Government of India.

- The initiative lacks understanding of the necessary structures and processes that need to be in place to further GRBI or to institutionalise the process.
- No study/research was commissioned to analyse the quantum of allocations flowing towards women/girls in different sectors. This is an important first step in any GRBI.

Scope of replication: Steps on How to?

1. Identify the stakeholders and develop a systematic capacity building strategy.
2. For district level trainings, conduct beneficiary assessments through semi-structured questionnaires or through focused group discussions. This exercise can be commissioned to academic institutions or district level NGOs. This will help highlight the major concerns as perceived by women in that district. The same can be discussed in the training programme. This will help district officials understand gender concerns and enable focused response from the nodal officials.
3. The training reports including the needs assessment and response from nodal agency representatives should be shared with senior officials of that department. This will help accountability and responsible action.
4. Design GRB training sessions in a manner that they reflect the priorities identified in the needs assessments.
5. Conduct impact assessment of GRB training.

Case Study 1.E³⁶

Experience of Engendering State Plans through Human Development Reports (HDR) : UNDP

The United Nations Development Programme (UNDP) has worked with planning departments of over 15 State Governments to prepare state Human Development Reports (HDRs) and district HDRs; and to mainstream human development in planning processes. UNDP supports this process in close partnership with the Planning Commission of India and the State Governments. Through this initiative on Engendering State Plans, there was a conscious effort to integrate gender within the approach and methodology of the planning processes at the state level, so that gender related concerns and issues were adequately reflected in the same. Most significantly, this initiative brought to fore the gender gaps in human development followed by various interventions. Some of the critical interventions were, (a) increased emphasis on gender budgeting at the State level; (b) focus on sex disaggregated data sets and institutionalising and strengthening statistical system that collate and maintained such information; (c) sensitisation of officials and elected representatives of PRIs on gender issues; and (d) focussed research on a range of gender challenges faced by different states. The initiative has positively impacted state plans and budgets by means of evidence base planning through improved statistical systems that capture and make available sex disaggregated data.

Process

1. Common components in all initiatives

The methodology varied from state to state based on the context and the nature of initiative planned. However, there were four important components that were common to each initiative.

These were:

- Generating evidence on critical gender issues.
- Capacity development of officials and elected representatives on Human Development and gender.
- Strengthening statistical systems.
- Gender Responsive Budgeting Initiatives.

A detailed matrix, for state specific gender related inputs, is annexed (Annexure 11).

2. Generating evidence on critical gender issues

- Generating sex disaggregated data: Non-availability of sex disaggregated data is a huge limitation in generating evidence on critical gender issues that could inform policy decisions and impact plans. In order to bridge this gap, work was initiated with Bureau/Directors of Economics in the State government with the objective of generating sex disaggregated data. Also, the process of preparing district Human Development Reports (HDRs) led to collation of existing and new sex disaggregated data. In Chhattisgarh, the focus was on collection of primary data and development of Village Index Cards and Urban Index Cards³⁷. In Nagaland, software was developed for collecting sex disaggregated data on birth and death from across the state.
- Research Studies with thematic focus: Research Studies with the objective of generating strong evidence base on gender issues in both traditional and non-traditional sectors were undertaken. In Chhattisgarh, the focus was on 'gender issues in urban planning'; in Nagaland, the focus was on 'women in national resource management'; in Punjab, research was commissioned on the declining sex ratio; and in Kerala, it was a 'study on suicides'. Annexure 12 provides a detailed list of state specific gender related research studies.

3. Capacity Development of officials and elected representatives in human development and gender

- Trainings

This was a very important component of the strategy. Officials, front line functionaries and elected representatives were trained in human development and gender; gender responsive budgeting etc. The objective was to develop skills and capacities that would facilitate the process of engendering planning.

- Institutional development

Concomitant to capacity building initiatives, the focus was also on institutional development. Gender Resource Cells were established in Odisha and West Bengal. In Assam and West Bengal, a Knowledge Hub on schemes, laws and acts relevant for women was created.

³⁶Based on inputs provided by Ms. Ritu Mathur, UNDP in the consultation 'Pooling Knowledge on Gender and Planning', 5th and 6th September, 2011.

³⁷Village index card/urban index card developed in Chattisgarh to capture essential sex disaggregated data for planning on human development indicators and monitoring Millennium Development Goals (MDGs)

- Strengthening statistical systems

Statistical systems help collate timely data from the field, which is key to human development analysis as tracking performance with regard to national and global development goals through appropriate database development and the availability of relevant data at appropriate levels of disaggregation (state, district and local level) are crucial elements in any analysis of human development parameters³⁸. The state statistical departments and agencies may require trainings, equipment and research support for this. This component focused on strengthening the state statistical systems through systematic data collection and reporting mechanism at the field level.

- Gender responsive budgeting

Some state governments undertook Gender Responsive Budgeting for select departments while others focused on trainings. For example, in West Bengal, a separate head for gender was created in existing schemes of the state government. Nagaland focused on developing capacities of the state officials on GRB.

Stakeholders

Planning Commission, state governments, Ministry of Statistics and Programme Implementation and UNDP

Achievements

- The initiative impacted state plans and budgets; for example, in West Bengal, a separate head for women specific schemes/programmes was created.
- A section on women has now become an integral part of state HDRs and annual economic surveys.
- Improved and systematic sex disaggregated data collection systems have been established in several states.
- This initiative helped generate strong evidence base on gender issues. However, how this information was used to inform policy making and planning needs to be assessed.
- Strengthened capacities of state officials in engendering planning and Gender Responsive Budgeting. An impact assessment of how these capacities were used needs to be conducted.

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Scope of replication: Steps on How to?

1. Identify objective of the initiative

The focus should be on building an evidence base on an acceptable development approach such as the human development approach. This will assist in identifying the key gender challenges within a state. This initiative needs to be dovetailed by strengthening statistical systems for ensuring the availability of sex-disaggregated data. Also, thematic studies can be commissioned for situational analysis within sectors. The choice of theme/sector should be made according to the need or concern of that specific state or district.

2. Identify stakeholders

The State Planning Boards/Department/Commission, State Statistical Division and Department of Women and Child Development, training institutions, district planners, researchers and academic institutions are important stakeholders.

3. Institutional structures and processes

Ensure that the institutional structures and processes (State Planning Departments, statistical systems etc.) necessary for the success of such initiative are in place. Strengthen these structures and processes before moving on to other secondary stakeholders.

4. Capacity building and trainings

Identify the training needs of stakeholders and plan systematic trainings. The state training institutes are important stakeholders in this.

5. Using this evidence base: focused strategy to impact planning

Since engendering planning involves a range of initiatives, a comprehensive strategy needs to be adopted. It is important to use this evidence base (that is generated through systematic collation of sex disaggregated information) to impact plans for better Human Development outcomes. Indicators can be developed to gauge the extent to which this information has impacted plans. This information can also be used for the purpose of gender audits within a given sector. It is imperative to construct in advance a well planned dissemination and advocacy strategy keeping in mind important stakeholders.

³⁸Evaluation of the National Human Development Report System, Case study India, UNDP Evaluation office.

Case Study 1.E³⁶

Formulation, Appraisal and Approval of New Plan Schemes: Exploring potential entry points to integrate a gender informed approach

The stage of formulation and appraisal of new plan schemes offers a huge opportunity to integrate gender concerns at the inception stage. This section explores the official procedure by which new plan schemes are formulated and approved by the competent authority and also offers suggestions on how an appropriate gender informed perspective at every stage will ensure a gender sensitive scheme at the outset.

Initiating a New Plan Scheme

The PC has to be consulted by the central ministries and departments before initiating any new plan scheme. The Project Appraisal and Management Division (PAMD)⁴³ of the PC is the nodal agency that undertakes appraisal of central sector projects and schemes in consultation with the subject divisions of the PC. After which, they are considered for investment approval/decision by the Public Investment Board (PIB) or Expenditure Finance Committee (EFC) depending upon the size and nature of project cost. The Department of Expenditure issues the requisite guidelines and formats necessary for formulation, appraisal and approval of government funded plan programmes/projects/schemes (PPS). Government issues comprehensive guidelines for formulation, appraisal and approval of all government funded plan schemes/projects including social sector projects costing Rs. 50 crore and above over a five year plan period⁴⁴.

Integrating a Gendered Perspective

It is imperative that these public sector projects/programmes/schemes are formulated and appraised from a gender lens at the inception stage. There are several stages in the process and at each stage, any new PPS can be analysed and appraised from a gendered perspective. As mentioned, several guidelines have been laid down and formats issued for formulation and appraisal of government funded plan schemes/projects covering all sectors and departments. The stages involved in the process, the responsible agency and relevant entry points are outlined in Box 5.

BOX 5

Formulation, appraisal and approval of new Plan scheme: Integrating a gendered perspective

Stage	Entry Point
<p>Conceptualisation of the PPS by the Ministry/ Department Responsibility: Ministry/Department proposing the scheme.</p>	<p>This is the inception stage. Annexure 8; checklist for integrating gender/gender budgeting into new PPS, can be used by the respective ministry/department. This will ensure that the scheme is gender responsive from the outset. The Gender Budget Cell of the respective ministry/department can be consulted for the same.</p>
<p>Preparation of Feasibility Reports (FR) Responsibility: Ministry/Department Approval: Planning Commission</p> <p>The project preparation commences with the preparation of a Feasibility Report (FR) by the respective Ministry/ Department. The project is then considered for 'in-principle' approval by the PC for inclusion in the plan based on the FR.</p> <p>The FR focuses on the analysis of the existing situation, nature and magnitude of the problems to be addressed, need and justification for the project in the context of national priorities, alternative strategies, initial environmental and social impact analysis, preliminary site investigations, stake holder commitment and risk factors.</p>	<p>The various components of the FR- situational analysis, nature and magnitude of the problem, social impact analyses etc should include a gendered perspective. The Ministry of Women and Child Development, gender experts, CSOs and UN Agencies may be consulted.</p>

⁴³PAMD provides a techno-economic appraisal of Central Sector/Centrally Sponsored schemes/projects costing Rs.50 Crore and above, and prepares Appraisal Notes in consultation with the Subject Division of the Planning Commission before these are considered by the Public Investment Board (PIB) Expenditure Finance Committee (EFC), Committee of Public Investment Board (CPIB) and Expanded Board of Railways (EBR), depending upon the nature and size of the proposal.

⁴⁴Refer O.M. No. 1(2) - PE.II/03 dated 7.5.2003 of Department of Expenditure regarding 'Guidelines for Formulation, Appraisal and Approval of Government funded plan schemes/projects'.

<p>In-principle approval of PC</p> <p>The ministry submits the FR to the PC for ‘in-principle’ approval, to enable the project/scheme to be included in the plan of the ministry/department.</p>	<p>The PC should include ‘gender analysis’ as an important criterion for in-principle approval of the FR. The WCD Division of the PC can be consulted.</p>
<p>Preparation of Detailed Project Report (DPR) Responsibility: Ministry/Department Approval: Planning Commission Guidelines issued by: Department of Expenditure, Ministry of Finance</p> <p>On receiving ‘in-principle’ approval by the PC, the ministry prepares the DPR for the project/scheme. Various stakeholders in the project continue to be associated in the preparation of the DPR. There is a provision to hire services of experts/professional bodies for preparation of the DPR, if considered necessary. The Financial Adviser to the Ministry/ Department is also associated with the process. The DPR addresses all issues related to the justification, financing & implementation of the project/scheme.</p>	<p>This is a very important stage. The guidelines on the generic structure of the DPR are at Annexure 15.</p> <p>Each component of the DPR can incorporate a gendered perspective to it. A gender expert with sector specific knowledge can be engaged to screen the DPR before finalizing it. Also, there is scope to include a separate sub-component in the guidelines on ‘gender impact’ on the lines of ‘environmental impact assessment’.</p> <p>Sex disaggregated information on the targeted beneficiaries can be provided. There is also scope for including the projected gender budget of the PPS as part of the component on project budget.</p>
<p>Preparation of the draft Expenditure Finance Committee (EFC)/Public Investment Board (PIB) memorandum Responsibility: Ministry/Department Approval: Planning Commission Guidelines issued by: Department of Expenditure (DoE), Ministry of Finance</p> <p>Simultaneously, the administrative ministry/ department also prepares the draft EFC/PIB memorandum. This has detailed information of the proposed PPS in a format issued by the DoE.</p>	<p>The EFC/PIB memorandum (Annexure 16) is a critical entry point to ensure that gender concerns are integrated in the PPS. Sex disaggregated information on targeted beneficiaries and the projected gender budget can be integrated within the EFC/PIB memorandum.</p>
<p>Inter-Ministerial consultations Responsibility: Ministry/Department Circulated to: DoE, PC and concerned Ministry/ Department.</p> <p>The final DPR along with the draft EFC/PIB memorandum is circulated to the Department of Expenditure, PC and any other concerned ministries for seeking comments before official level appraisal.</p>	<p>The Ministry of Women and Child Development and relevant division, National Mission on Empowerment of Women can be part of the Inter-Ministerial Consultations.</p>

After incorporating the comments received from respective Ministries and the PC, the EFC/PIB memorandum is finalized on the basis of the approved DPR. Thereafter, it is circulated to the Planning Commission, Department of Expenditure and other concerned Ministries/Agencies. EFC/PIB meeting is held and the minutes of the meeting are circulated to all relevant agencies. The EFC/PIB memorandum is subsequently submitted for the approval of the competent authority-Minister (respective ministry/department) and Finance Minister (for projects of Rs. 50 Crore and above but less than Rs. 100 Crore) and to the Cabinet/CCEA (for projects of Rs. 100 Crore and above). The financial limit of public investment/expenditure and the competent authority for approval is provided at Annexure 17.

Case Study 1.F³⁹

Engendering District Plans: Experience with Gender Sub Plans

A Committee of Secretaries (CoS) was set up at the Union level, for 'convergence and coordination for gender equality and fighting social evils' in 2008. Subsequently, sector specific Task Forces were set up for developing the strategy for Convergence and Coordination of Government Programmes/Schemes for gender equality and fighting social evils. The need for 'Gender Sub Plans' at the district level, was recommended by the CoS. Following this, the Planning Commission issued guidelines for Gender Sub Plans in 2009 (Annexure 13). Gender sub plans were subsequently rolled out in a phased manner in select districts.

Process

1. Decision to prepare Gender Sub-plans

In the last meeting of the Committee of Secretaries (CoS) for 'convergence and coordination for gender equality and fighting social evils', held on 5th June 2009, it was decided that the Planning Commission will have gender sub plans prepared as integral part of the district plans of about 20 districts fixing certain milestones to be achieved within a fixed time frame to reflect gender convergence and impact of women's empowerment initiatives at the field level.

2. Initial Phase

Formulation of gender sub plans was taken up in seven United Nations Development Assistance Framework (UNDAF) states⁴⁰ as part of the Government of India – UN Joint Programme on Convergence (GoI-UNJPC) being implemented by Planning Commission of India that aims to address the obstacles in effective and efficient implementation of governments' development plan and programmes.

3. The Ten Step framework

25 A ten step framework for formulating gender sub plans was prepared by the Planning Commission. This ten step framework provides the template outlining the necessary steps to facilitate developing gender sub plans as integral part of district plans in the district (Annexure 13).

4. Trainings

District level workshops were organized to train and to build capacities of the district officials and functionaries to use the ten step framework and to prepare gender sub plans in a simple format (Annexure 14).

Stakeholders

Planning Commission, UNDP, State Governments and District administration, line departments and District Planning Committees.

Achievements

- District officials and functionaries were sensitized and trained in preparing gender sub plans as part of district plans using the ten step framework (Annexure 13) and in the three part format given in Annexure 14.
- For 2011-12, gender sub plans were prepared for Udaipur in Rajasthan; gender sub plans for the year 2012-13 have been prepared for Korba in Chhattisgarh; Nalanda in Bihar; and Rajgarh in Madhya Pradesh. They are being prepared for the year 2012-13 in Hardoi, U.P.; Sundergarh, Odisha; and Udaipur, Rajasthan.

Challenges

- There is lack of understanding of gender issues and the need for women's participation in the planning process.
- Lack of sex disaggregated data is a huge constraint and limits analysis.
- There are several systemic barriers such as the shrinking of the resource envelope which is communicated very late to the district. This is a huge limitation.
- District plans are stand alone exercises and in many states, district plans may not be considered at the state level while preparing state plans.

³⁹Based on inputs provided by Ms. Firoza Mehrotra, in the consultation 'Pooling Knowledge on Gender and Planning', 5th and 6th September, 2011.

⁴⁰The United Nations Development Assistance Framework (UNDAF) - India has been developed as a framework for collaboration with the Government of India's development programmes. Seven States, Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan and Uttar Pradesh have been identified as the UNDAF priority states

- Most of the time gender sub plans are perceived as a standalone exercise. It is imperative that ‘Gender’ is integrated within the Manual on Integrated District Planning⁴¹ considering that gender is integral to the basic tenet of planning. The Manual on Integrated District Planning comprises a handbook for district planning that lays down the modalities and processes for preparation of a participative district plan, along with formats and checklists by which the processes can be documented and data provided for different planning units to undertake planning at their individual levels.
- Also, gender sub plans were initiated with the objective of fixing certain milestones to be achieved within a fixed time frame to reflect gender convergence and impact of women empowerment initiatives at the field level. The ten step framework and present format of the gender sub plan seems inadequate in design to be able to achieve the stated objective.
- There is a need for impact assessment studies to see how gender sub plans have realized the goals of convergence and women empowerment.
- There also seems to be a tremendous overlap between gender sub plans and GRB, which needs to be urgently addressed.

Scope of replication: Steps on How to?

1. Scope/location

Gender sub plans should be formulated in the context of district plans and be a part of the district planning process.

2. Facilitate trainings/sensitization of key functionaries

It is imperative that the trainings on gender sub plans should be integrated within the larger trainings on integrated district planning. Sensitisation of district functionaries (hands on training) is an important strategy to ensure that these plans are prepared and achieve the stated objective over time.

The ten step framework (Annexure 13) and the Format for gender sub plans (Annexure 14) can be used to train district officials and also to collate information on these plans.

3. Institutionalise the initiative

The process of gender sub plans needs to be endorsed and institutionalised by the state administration and District Planning Committees (DPCs)⁴².

4. Monitor implementation

The implementation of gender sub plans needs to be closely monitored. Keeping in mind the objectives of gender sub plans, it is important to fix milestones to be achieved within a fixed time frame. This should be part of plan implementation process.

⁴¹Manual on Integrated District Planning, Planning Commission of India contains a detailed description of the essential principles underlying participative district planning and sets out the steps to be taken at the state and national levels to facilitate participative district planning.

⁴²The 74th Constitutional Amendment Act mandated the establishment of the District Planning Committee (DPC) for consolidating plans prepared by *Panchayats* and municipalities in the district into the Draft District Plan. Also, in conformity with Article 243ZD, most of the states have enacted legislation for the constitution of the DPCs.

Section 2:
Implementation Models

Section 2: Implementation Models

A well designed implementation strategy is a prerequisite to ensure that development goals are achieved within the stipulated time frame and without cost overruns. A successful implementation strategy entails appropriate policy framework, planned activities and a commensurate budget. An efficient delivery channel or machinery is pivotal to effective implementation. Often, it is seen that the best meaning policies and programmes fail to achieve the desired objectives due to weak implementation mechanisms. This is mostly due to inadequate synergy or lack of convergence between various ministries and line departments resulting in effort duplication and sub-optimal utilization of government resources. There have been a number of evaluation studies that have pointed at colossal and cumbersome implementation structures, tedious processes and thinly spread resources as the major bottlenecks in way of effective implementation of development programmes. It is important that unnecessary duplication of objectives, duplication of implementation structures and thinly spread resources be avoided. This is possible only through efficient convergence efforts. Convergence initiatives will also result in constant interaction between various ministries/departments and help avoid wasteful duplication of efforts and result in efficient delivery of services. The following factors contribute towards poor implementation of major schemes and programmes:

- Multiplicity of schemes with overlapping objectives, targeting the same population.
- Multiplicity of implementation machineries for different PPS. There is a tendency to develop new implementation machinery for each scheme.

This lack of convergence also limits absorption and effective utilization of funds and remains as a major challenge in implementation of development programmes. This section explores a convergence initiative of the Delhi Government called 'Mission Convergence' designed to overcome the aforementioned limitations by way of a single window implementation model and enhanced efficiency in service delivery and also the *Kudumbashree* Mission that was conceptualized as an approach to poverty alleviation. The *Kudumbashree* Mission is a woman-oriented, community-based, State Poverty Eradication Mission of the Government of Kerala.

Sl. No.	Case Study	Location	Objective
2.A.	Mission Convergence and Gender Resource Centres (GRC), 2008	NCT of Delhi, Delhi Government	The objective is two-fold: 1. To increase access to services. 2. To increase efficiency in service delivery and budgetary allocations.
2.B.	The <i>Kudumbashree</i> Mission, 1998	Kerala, Government of Kerala	The Mission was conceptualized as an approach to poverty alleviation focusing on micro-finance and micro-enterprise development and community-based structures that are integrally linked to local self-government institutions.

Case Study 2.A⁴⁵

Samajik Suvidha Sangam: Mission Convergence

'Mission Convergence' was conceptualized in February 2008 and six months later, the programme was officially launched on 14th August, 2008. Mission Convergence was conceived as 'a programme to help the government realize its goals of poverty alleviation and inclusive growth. Mission Convergence aims to make Delhi a more inclusive city by integrating the existing social security schemes and delivering them through a unified structure in a decentralized manner with a parallel focus on empowering women through interventions in the areas of livelihood, health, non-formal education and legal literacy'⁴⁶.

Process

1. A Situational Analysis: Identifying Limitations in Service Delivery

The major limitations in service delivery system were identified. These were:

- Multiplicity of agencies and programmes;
- Gaps in targeting the beneficiaries, due to differing criteria for identifying 'beneficiaries' for schemes;
- Inaccurate poverty estimates and unrealistic budgetary allocations resulting in the exclusion of the most marginalized and;
- Weak monitoring systems.

2. Key Strategies Adopted for Convergence

The following key strategies were adopted for convergence:

- Identifying poor in a participatory manner using objective, easily verifiable (non-income) criteria.
- Unified delivery systems and single windows with focus on empowerment of women.
- Rationalization of procedures for schemes.
- Partnership with civil society.
- Leveraging technology to maintain database on most vulnerable and to track beneficiaries.
- Focus on empowering citizens, especially women, with information and skills.

3. Vulnerability Mapping

Identification of poor and other vulnerable population in the city was one of the initial and important activities of the mission. For vulnerability mapping, a methodology using a set of non-economic criteria to identify such communities was developed. The objective was to bring such communities under the umbrella of social security programmes of the state government. Observing that merely an income level for measuring poverty is not enough, the programme defined poverty through proxy indicators identified through area of residence, social and occupational groups. Surveys⁴⁷ were conducted to classify the population based on type of residence, disadvantaged status i.e. women and minorities, individual occupation and access to basic services. This mapping helped envision the structural setup of the inclusion programme. The aim was to ensure outreach of services to all areas of the city based on concentration of vulnerable persons.

The mission also realised that the homeless and destitute were among the most vulnerable. As they are heterogeneous, unorganised and voiceless, therefore, their identification was most crucial to be able to provide entitlements and organise services for their benefit. Therefore, a separate survey was carried out to identify such 'homeless' pockets of population. This homeless survey was carried out in the night so as to ensure that no one was missed out.

4. Setting Targets

The Mission was designed keeping in mind the following targets to be realised though a mixed approach and methodology:

- To get rid of the redundancies in efforts that arise through the existence of a multiplicity of initiatives and with implementing agents spread across departments.

⁴⁵Based on inputs provided by Ms. Rashmi Singh, former Executive Director, Mission Convergence in the consultation, Pooling Knowledge on Gender and Planning, 5th and 6th September, 2011 and *Samajik Suvidha Sangam* Mission Convergence, Documentation of Best Practices, one word.net, 2010.

⁴⁶<http://www.missionconvergence.org/about-us.html>

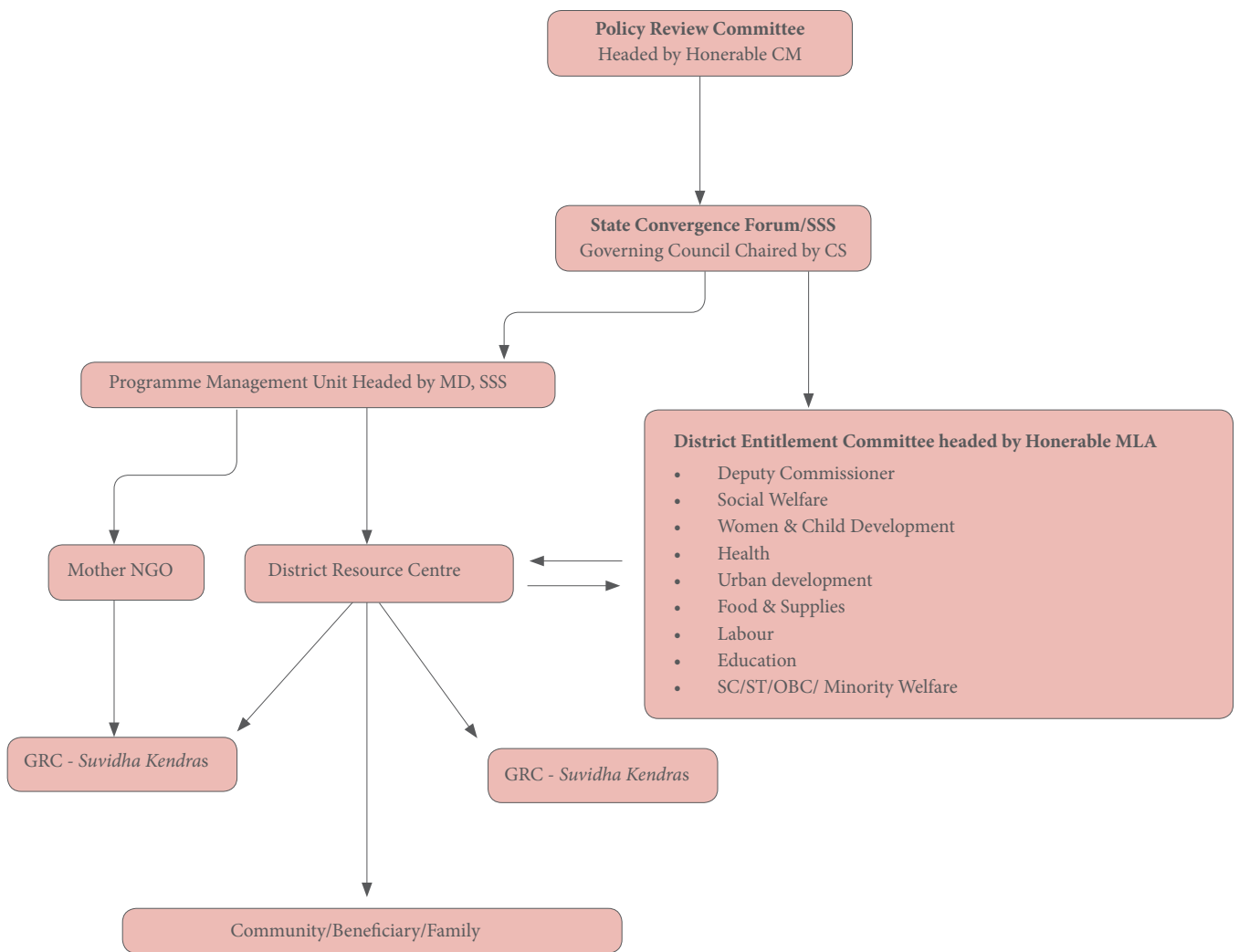
⁴⁷The Survey has been completed in three phases, covering approximately 12.64 lakh households residing in notified and non-notified slums and resettlement colonies falling under 'F', 'G' and 'H' categorization of colonies of the Municipal Corporation of Delhi (MCD). With an average of about 4.8 persons per household, the number of vulnerable persons came to over 5.74 lakh. Assessment of extent and nature of vulnerability among the surveyed population is based exclusively on vulnerability definition as adopted by the Mission. In addition, a separate survey also identified about 56,000 (55,955) homeless persons in Delhi.

- To decrease the distance between point of service delivery and beneficiaries.
- To eliminate the need for citizens (especially disadvantaged who don't have the capacity to do so) to approach various government offices, each with its own set of procedures.
- An interlinked system (single window) whereby the beneficiaries could access schemes and programmes.
- A computerized system of accurate tracking of beneficiaries.

5. Identifying Stakeholders and Schemes

Several government and non-government stakeholders and schemes were identified (refer Annexure 18). Almost 36 schemes are covered under this programme.

Figure 1:
Mission Convergence: Coordinating Mechanism

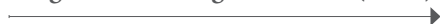


6. Setting up the coordinating Mechanism/Structures (also refer Annexure 19)

The functions of the various responsibility centres is listed under figure 2.

**Figure 2:
Functions of the Various Responsibility Centres**

Programme Management Unit (PMU)



The main responsibilities of the PMU are coordinating with various participating departments; facilitating coordination and management among different stakeholders; establishing systems and mechanisms for implementation; facilitating capacity building of stakeholders; and monitoring and evaluation.

PMU has a coordinating team at state level that plays an important role in the implementation of Mission Convergence. It has played the role of a catalyst in the implementation of Mission Convergence during all the phases, beginning from planning, establishing systems, implementation and evaluation.

Mother NGOs (MNGOs)



There are three nodal or 'mother' NGOs (MNGOs) that are dedicated to building capacities across stakeholders through advocacy and empowerment by informing disadvantaged populations of their entitlements and encouraging access to them. The main responsibility of MNGOs is database management. MIS reports are developed at the District Resource Centre (DRCs) and Gender Resource Centre (GRC) level and then aggregated and monitored at the MNGO level.

District Resource Centres (DRC) and District Mission Unit



DRCs are housed in the offices of the Deputy Commissioner. Through a single window (inter-sectoral) and an E-entitlement card platform, the DRC offers an avenue through which citizens can easily obtain information about welfare schemes and also access their corresponding entitlements. District level report is compiled and examined at this level to determine the level of success of the programme.

The Deputy Commissioner (DC) is the head of district level operations. This includes the District Mission Unit (DMU) and the District Resource Centres (DRCs), which work in correspondence and coordination respectively. The DC issues all necessary instructions to converging departments through the Principal Secretaries. The line/field staff of all the converging departments also directly report to respective DCs.

Gender Resource Centre (GRC) – *Suvidha Kendra*



Samajik Suvidha Sangam is an autonomous society at the state level that facilitates the Mission Convergence project. It is also the agency that coordinates between the Deputy Commissioner's office, nodal government agencies and involved NGOs. GRCs were established to directly support gender issues at the grassroots level. Under the Mission Convergence programme, a *Suvidha Kendra* was added to every GRC, each with an estimated outreach target of 10,000 to 15,000.

The GRC is an integrated women centric institutional structure. It serves as a first point of contact for the community. The role of GRC is to guide the community regarding their entitlements, to monitor the benefits flowing to the targeted populations, to facilitate synergy between various departments and to deliver schemes and programmes through a single window system. This is an integrated service delivery and facilitation platform that gears towards economic empowerment (basic vocational training at GRCs, advance vocational training, SHG Linkages); social empowerment (information dissemination, awareness generation, guidance on processes and approaches, counseling, awareness sessions); and legal empowerment (regular awareness sessions with lawyers on various issues concerning their day to day life, legal advice, counseling and free legal aid/action if required).

7. Accessing Entitlements

Beneficiaries can access entitlements by directly visiting the nearest GRC. There are 120 GRC-SKs that are spatially located in regions like slum clusters, rehabilitation colonies that house the most vulnerable and needy citizens; the DRCs are located in the District Commissioner's office. Each DRC coordinates with all the GRC-SKs located in the respective district and work closely with the DCs office. All centres operate under a single window model whereby the beneficiary can attain entitlements through one visit.

8. Common database and uniform application processes

There is convergence of information at one place and uniform application system (40 applications/forms were merged into one). There is a common IT solution for managing and monitoring convergence and to keep track of final delivery of entitlements and beneficiaries.

9. Electronic card-based system

It has been planned to include an easy-to-use electronic card-based system to avail cash entitlements. Cards will be integrated with the National Unique Identification (UID) programme which will link entitlements to biometric identities. This will ward off fraudulent practices and imposters.

Stakeholders

Citizens of Delhi NCT, Delhi Government- Department of Health and Family Welfare, Department of Education, Women and Child Development, Social Welfare, Food and Supplies, Labour Welfare, Urban Development, Revenue, SC/ST/OBC/Minority Welfare Department, Administrative Reforms, Information Technology and civil society organisations.

Achievements

- The Gender Resource Centre provided the hitherto missing outreach mechanism and redressal mechanism. It resulted in improved awareness about rights, entitlements and government programmes and schemes. One of the major achievements of the mission is a realistic and accurate estimate of target group for government's programmes. This also resulted in increased allocation and utilisation of budget across different schemes.
- Mission Convergence also provided CSOs and advocacy groups a platform to inform and influence policy design. The line departments used the GRC platform to reach out to the beneficiaries by way of a single window system.
- However, in the absence of impact assessment studies and evaluations, the efficiency of the initiative cannot be gauged.

Scope of replication: Steps on How to?

1. Identify limitations in service delivery systems

Identify the limitations in the service delivery systems. This research can be commissioned to academic institutions or civil society organizations.

2. Delineate thrust areas and objectives

Outline the major thrust areas and objectives of the unified service delivery model.

3. Identify stakeholders

Identify the stakeholders - government departments and civil society organizations.

4. Vulnerability Mapping

Identify the methodology (sample size, parameters to identify vulnerability etc.) and conduct the survey in a time bound manner. This survey can be outsourced.

5. Develop MIS Database

Ensure that there is a proper MIS including database of vulnerable/homeless population in place.

6. Identify schemes and simplify procedures

Identify and list schemes in consultation with line departments and CSOs. Simplify procedures (uniform applications, computerized data base etc.)

7. Design implementation arrangement and operational strategy

Plan the institutional arrangement and operational strategy for a single window delivery system. The physical infrastructures (single window) should be planned on the basis of spatial mapping of vulnerable populations. Establish the Gender Resource Centres in line with Suvidha Kendras (Mission Convergence) and outline the objectives of GRCs.

8. Establish monitoring mechanisms/standards

Prepare a baseline (number of participating departments, number of schemes, number of beneficiaries and budget utilization etc.) to be able to monitor and measure progress over time.

9. Conduct Pilot

This model can be piloted in one district and gradually upgraded to other districts in a phased manner.

Case Study 2.B⁴⁸

The Mission of *Kudumbashree*: Kerala

The State Poverty Eradication Mission-*Kudumbashree*⁴⁹, was formally launched by the Government of Kerala on May 18, 1998 and by March 2002 the entire state was brought under the *Kudumbashree* network. It was conceptualized as an approach to poverty alleviation focusing on micro-finance, micro-enterprise development and community based structures integrally linked to local self-government institutions. *Kudumbashree* is envisaged not only as a Mission, but also as a process, a project and a delivery mechanism for the poor⁵⁰, as it also plays the role of a nodal agency for implementation of special development and anti-poverty programmes of the government (both Union and State). The uniqueness of the Mission is that it not only integrates women's voices as a community⁵¹ in the planning process, but also offers a platform for the community to oversee implementation.

Process

1. The Genesis

A community-based participatory model as the approach to planning and implementing poverty reduction programmes, was first launched in the Alappuzha Municipality of Kerala in 1992. This was known as the Urban Basic Services for the Poor (UBSP) programme⁵². The objective was to implement, with people's participation, programmes for the health care of children, women and other members of the family; health education and awareness; provision of drinking water, low cost teo-pit latrines, smokeless chulhas, and low cost drainage; facilities for imparting training to upgrade skills; immunization for children; sanitation and personal hygiene facilities; assistance for children's education; shelter improvement; and creating self-employment opportunities for women. Community participation was the cornerstone of this programme⁵³.

This was eventually broad-based and the programme evolved through various phases and was formally launched as the State Poverty Eradication Mission-*Kudumbashree* on 18th May, 1998.

There are four distinct strands/models that informed the design of *Kudumbashree*:

- Urban Basis Services for the Poor (UBSP), Alappuzha – brought in the notion of community assessment of poverty through qualitative indices devised by the community itself. This community led Poverty Identification Format was developed as part of the Alappuzha UBSP.
- The Community Based Nutrition project (CBNP), Malappuram – The CBNP project tried to assimilate these experiences⁵⁴ and developed a woman based community structure for service delivery of government programs at the district level.
- A viable micro-finance model - In Kerala various forms of indigenous micro-finance practices have been in existence for a very long time. However, the concept of Self Help Groups (SHGs) was formally introduced in Kerala in the 1980s. Gradually, these indigenous micro-finance models were formalised through the SHG bank linkage programme by NABARD and in due course was established as a viable microfinance model.
- Decentralized Planning and Neighbourhood Groups (NHGs) - The 73rd and 74th constitutional amendments strengthened the *Panchayati Raj* Institutions (PRIs) and Urban Local Bodies (ULBs). The People's Plan Campaign⁵⁵ for decentralized governance created strong local self governments (*Panchayats* and Municipalities) in the state. Decentralized planning in the state operated mainly through *gram sabhas* (GS) and Neighbourhood Groups (NHGs).

Following this *Kudumbashree* was launched as a community based network that would work in close coordination with local self governments for poverty eradication and women's empowerment.

⁴⁸Based on inputs provided by Ms. Sarada Muraleedharan, Director *Kudumbashree* Mission, at the consultation, Pooling Knowledge on Gender and Planning, 5th and 6th September, 2011 and Annual Administrative Report, 2009-2010, *KUDUMBASHREE*, State Poverty Eradication Mission.

⁴⁹*Kudumbashree*, Malayalam word which means 'prosperity of the family'; is the name of the women oriented, community based, State Poverty Eradication Mission of Government of Kerala. Its Mission Statement is "to eradicate absolute poverty in ten years through concerted community action under the leadership of Local Self Governments, by facilitating organisation of the poor, combining self-help with demand led convergence of available services and resources to tackle the multiple dimensions and manifestations of poverty, holistically."

⁵⁰Annual Administrative Report, 2009-2010, *KUDUMBASHREE*, State Poverty Eradication Mission

⁵¹Under *Kudumbashree*, women are organized under a three-tier community based organization.

⁵²The Union Government formulated, during the Seventh Five Year Plan, the Urban Service Scheme (UBS) in 1986 – 87. This was done with the assistance of UNICEF. The objectives of UBS was the welfare of the urban poor, especially women and children who suffer the severity of the poverty most. The UBS Scheme was implemented in 168 selected towns, in 37 districts of the country. This scheme was implemented jointly by UNICEF, the Central Government and the State Government, with the co-operation of the concerned Municipalities. Based on the recommendations of the National Commission on Urbanization (NCU), the UBS programme was revised and introduced as Urban Basic Services for the Poor (UBSP) programme in 500 towns of the country during the Eighth Five Year Plan period, which commenced in the year 1992-93.

⁵³Community Governance of poverty eradication- The Kerala Experience envis.nic.in/sdnp/casestudy/cases/thekeralaexperience

⁵⁴www.kudumbashree.org

2. Identifying the poor

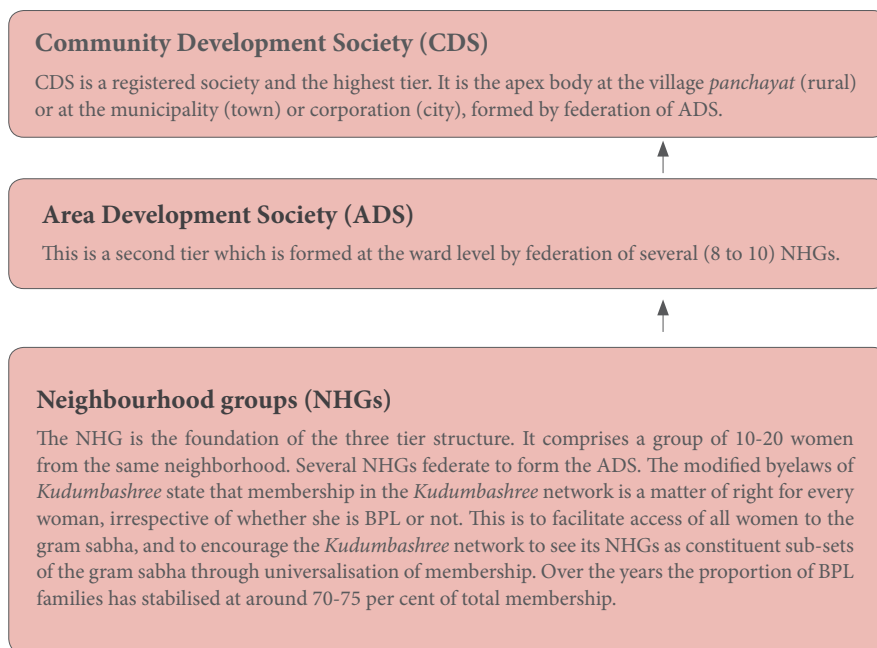
One of the prerequisites for the implementation of the poverty alleviation projects was an accurate identification of the poor and marginalized population. The Alappuzha model developed an innovative methodology to identify the poor using non-economic parameters or risk factors and developed a nine point index. For the urban areas, minor changes were made to the methodology by changing the risk factors to suit urban conditions. This methodology has since been incorporated into the policy framework of the State for the identification of the underprivileged⁵⁶. See Box 6 for information on the nine point index (for rural and urban areas) for identifying the poor using non-economic parameters or risk factors. As per the revised bylaws of *Kudumbashree*, the membership is not based on the nine point index and is a matter of right for every woman, irrespective of whether she is BPL or not. This is to facilitate access of all women to the gram sabha, and to encourage the *Kudumbashree* network to see its NHGs as constituent sub sets of the gram sabha through universalisation of membership. Over the years the proportion of BPL families has stabilised at around 70-75 per cent of total membership.

3. The Structure

Kudumbashree functions through a three-tiered structure with its apex tier, the Community Development Society (CDS) anchored in the local self governments-*panchayat* (rural) and Municipality (Urban). Each tier has well defined functions, membership, mandate and other rules⁵⁷. The three tier structure works in close association with both the urban and rural local governments through a network of community based organizations working with women⁵⁸.

Refer figure 3 for the three tier structure:

Figure 3: The Three Tier Structure



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An inclusive and representative model

The *Kudumbashree* model recognizes the risk of exclusion of Scheduled Castes (SCs) and Scheduled Tribes (STs) and other extremely vulnerable people. This is tackled by way of special provisions in the byelaw and the capacity building strategies. There are exclusive NHGs of SC and ST women, where their representation is not commensurate with proportion in the population. In the second and third tiers, their representation is proportionate to percentage of membership. Also, there is provision for reservation of CDS Chairperson and Vice-Chairperson positions for women belonging to SC/ST communities. Special NHGs for women with disabilities or for parents of children with special needs at the ward/ *panchayat*/ district level have been mandated.

This ensures an inclusive and representative model.

⁵⁵People's Plan Campaign, was launched by the Kerala Government in 1996 and was a remarkable experiment in decentralisation of powers to local governments with focus on local planning. The State Government also took the most significant decision to devolve 35 - 40% of the state plan funds to the local level plans.

⁵⁶Annual Administrative Report, 2009-2010, *KUDUMBASHREE*, State Poverty Eradication Mission

⁵⁷Refer Website for more details www.kudumbashree.org

⁵⁸ibid

4. Aim, Objectives and the Strategy⁵⁹

The aim of the mission is “to eradicate absolute poverty in ten years through concerted community action under the leadership of Local Self Governments, by facilitating organisation of the poor, combining self-help with demand led convergence of available services and resources to tackle the multiple dimensions and manifestations of poverty, holistically⁶⁰”. Refer Annexure 20 for detailed objectives.

The following strategy⁶¹ was developed to achieve the desired objectives:

- Create a strong network of neighbourhood groups across all wards of the state.
- Federate the network at the level of the *panchayat*.
- Increase the presence of the poor in the *gram sabhas*.
- Bring voice to women in the decentralized planning process
- Create spaces for poor women to interface with the local government through the anti-poverty sub plan, women’s component plan etc.
- Use micro-finance as the means of accessing affordable credit through formal financial institutions – NHGs would link up with banks directly, and the federated structure would become the facilitator and liaison with the bank.

5. Approach to planning

The three tier structure also plays a crucial role in the planning process by ensuring community participation at every stage of plan formulation. This is called a Community Development Action Plan.

- A standardised format for the CDS action plan is prepared at the state level. This format is based on the identified areas of activity for *Kudumbashree* e.g. micro-finance, farming, micro enterprise, NREGS etc. This format is shared with the NHGs.
- Discussions are held at NHG level to assess the need and to enter the details of demand as per the format. The same is shared with the ADS.
- These details are consolidated at the *panchayat/ward* level by the ADS and CDS to form the demand plan. The demand plan provides *panchayat/ward* with inputs regarding the consolidated needs of the community network in the identified areas.
- The CDS action plan is approved by the *panchayat/ward* and this brings in the ownership of the *panchayat/ward* regarding the identified demand. This is incorporated into the *panchayat’s* annual plan. It also helps the CDS leadership to articulate the demands better in the sectoral working groups that prepare *panchayat* plan projects. The demand plan becomes the annual target for the CDS. The CDS operationalizes the plan by accessing funds from the district and state missions and planning suitable interventions.

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Finalising the CDS Action Plan & implementation: An inclusive and representative model

The Evaluation Committee has a very important role in finalizing the CDS action plan. It ensures that the convergence and coordination efforts of different departments and developmental agencies of the government necessary for successful implementation of the plan are in place. The evaluation committee is chaired by the President of the Gram *Panchayat*. The Vice-President of the GP, Chairpersons of Standing Committees of the GP and LSG Secretary are members of this Committee. As the CDS plan is finalized, an activity calendar is prepared for the purpose of overseeing implementation. Several schemes of the government (Union and State) are implemented through *Kudumbashree* as it has been identified as the nodal agency for implementation of these programmes. The implementation of schemes through *Kudumbashree* is based on the extent to which the *panchayat* and official leadership engage the community network. These schemes are divided under three categories: Economic Development, Social Development and Women’s Empowerment.

6. The Resource envelope

The main source of finance is the allocation by the state government to the *Kudumbashree* mission. This amount, which is part of the plan budget of the local self government department, is used mainly for capacity building and strategic interventions in the areas of organisation, micro-finance, social development and livelihood support. Central and state funds for other schemes through LSGs and other departments are leveraged by the CDS with the support of the LSG leadership. The administrative expenses of *Kudumbashree*, both at the state and district level are carried out mostly through separate budgetary support from the state government. The women’s component plan for which 10 per cent of the plan outlay is earmarked and the anti-poverty sub plan⁶² of the LSGs as well as various sectoral plans are areas where the community network (CDS) makes claims

⁵⁹ibid

⁶⁰Mission Statement, *Kudumbashree*

⁶¹Annual Administrative Report, 2009-2010, *KUDUMBASHREE*, State Poverty Eradication Mission

⁶²The local government prepares the anti-poverty sub-plan. There is freedom and flexibility to plan projects as per local priorities. For this untied grant-in-aid is devolved. There are clear instructions with regards to the ratio of fund distribution between different activities. 40 per cent of the funds are for the productive sector (agriculture and allied activities, industries, self-employment etc) and not more than 30 per cent on infrastructure. At least, ten per cent of the funds have to be spent on projects and activities related to women empowerment and development.

for schemes and allocations through *gram sabhas* and through the sectoral working groups that prepare the plans. Funds from several centrally sponsored programmes/schemes also form part of the resource envelope.

7. Organisational Structure

The Kudumbashree programme of the Government of Kerala is under the department of Local Self Government as “*Kudumbashree* -The State Poverty Eradication Mission”. The Minister of Local Self Government is the Chairman of the Mission. There is a Governing Body and an Executive Committee. The Governing Body takes policy level decisions and reviews performance of the Mission on a regular basis. The decisions for scheme formulation and execution are taken by the Executive Committee. The Mission has a State Mission Office located at Thiruvananthapuram and 14 District Mission Teams located at the district headquarters. The organization structure of *Kudumbashree* and partnership with local government is available as Annexure 21.

8. Trainings and Capacity Building

The *Kudumbashree* programme decentralises training and engages a huge body of community based resource persons, including elected leaders, local officials, private entrepreneurs and youth so as to deepen trainings and provide local relevance. Trainings form part of the specific strategy and are tailored accordingly.

Training in areas related to strengthening women’s participation in administrative leadership, understanding programmes, opportunities and the nuances of local self government interface, rolling out campaigns for awareness or for capacity building, sensitising the populace to gender issues and resolution strategies, recognising collective responsibility and accountability, community management skills, appreciation of rights and citizenship are the hallmarks of the *Kudumbashree* training approach. The transaction methodology involves developing capacities of women from the network and other committed youth to come together as community based training groups, who take on the responsibility for training as their livelihood option. This has resulted in greater outreach, greater transaction quality and far more effective feedback.

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The Gender Self Learning Programme

An important capability initiative is the Gender Self Learning Programme which seeks to equip women of the NHG with an understanding of the gender dimensions of their socio-economic environment through facilitated discussions at the NHG level. Common modules with stories, poems, news clippings etc. developed by a team of district level gender resource persons on various dimensions of a particular theme – viz. women and work or women and mobility, are carried out throughout the neighbourhood groups. The Gender Self Learning Programme has played a significant role in the empowerment of poor women to meaningfully intervene in the social and developmental spaces opened up by democratic decentralisation in enhancing women’s agency.

9. E- Tools for Governance

There is an online MIS. Customized software was developed to capture the various activities of *Kudumbashree* at the NHG and CDS levels. This is an important planning and management tool. All the CDSs have internet connectivity. The MIS is supervised by the CDSs at the *panchayat* and municipal levels – so it also has the added advantage of engaging women in e-governance. A web portal (sreesakthi.org) for module development of the Gender Self Learning Programme is centrally managed by the *Kudumbashree* Mission. This portal also provides a platform for women from all corners of the state to engage in discussions on matters that are important to them, share experiences and to clarify doubts. This portal is used extensively by community based resource persons and CDS members of the network.

Stakeholders

Community members especially women, Department of Local Self Government, line ministries and departments of the State Government and Elected representatives.

Achievements

- Built around three critical components – micro credit, entrepreneurship and empowerment – the *Kudumbashree* initiative has succeeded in addressing the basic needs of the less privileged and marginalized women. Presently, there are around 38 lakh women in Kerala, organized into 2.05 lakh NHGs, 17600 ADS and 1061 CDSs covering over 96 per cent of all *panchayat* and municipal wards⁶³.

⁶³Based on presentation by *Kudumbashree*, Decentralised Governance and Gender Empowerment, by Ms.Sarada Muraleedharan, Director *Kudumbashree* Mission, in the consultation, Pooling Knowledge on Gender and Planning, 5th and 6th September, 2011.

- The participatory bottom up methodology of preparing and finalizing the community development plans is unique and offers opportunity for needs based planning and effective implementation of projects and programmes.
- One of the most significant achievements of this programme is the contribution towards women's participation in local governance processes, including movement into political leadership and making poor women the focus of livelihood interventions at the *panchayat* level. The concept of women as change agents is steadily developing in the state as a result of the activities of *Kudumbashree*. This has happened primarily on account of the comprehensive revision of the by-laws⁶⁴ of *Kudumbashree* and the institutionalisation of the election process to the community organisation. The new by-laws made the CDS more inclusive and representative, and clarified election procedures and LSG space vis à vis CDS. It also brought in role clarity and accountability to the system. Refer Box 7 for highlights of the modified by-laws that have facilitated this transformation. The detailed by-laws can be accessed at <http://www.kudumbashree.org/?q=bylaw>.

Challenges

- The common by-laws are only on the basis of an executive order, and not legal enactment, making them vulnerable to inappropriate adaptation.
- The biggest challenge facing *Kudumbashree* today is that of political ownership – the potential of women to rewrite the electoral dynamic on account of an empowerment that will demand addressing women's issues and claim space in development governance is something that political parties are not yet prepared to assimilate and is seen more as a threat to the establishment than as an opportunity for inclusion and social justice.

Scope of replication: Steps on How to?

1. Identify stakeholders and location

To identify the stakeholders and location of the initiative. The state department of Local Self Governance (*Panchayati Raj*) can take the lead coordinating role.

2. Developing project report

Important to prepare a comprehensive project report that delineates the objective, strategy, structure and modus operandi of the initiative. This should be a consultative process.

3. Vulnerability mapping

Defining and finalizing the methodology to identify vulnerable or marginalized communities. After the methodology is finalized and tested, to conduct surveys to identify the vulnerable households. This can be piloted in one district.

4. Community based networks

To organise the community networks anchored in the local self governments (as the three tier structure-NHGs, ADS and CDS - in *Kudumbashree*). Each tier should have well defined functions, membership, mandate and other rules. This will involve drafting common by-laws for the federation (membership, election rules, roles and responsibilities etc.). If similar structures already exist, the same should be strengthened and their scope of activities broadened to include the activities planned under the initiative. It is important to ensure that it is an inclusive and representative model. Provision can be made to ensure proportionate representation of the SC/ST communities, Minorities or other marginalized groups.

It is important to ensure that the members, especially office bearers, are adequately compensated for their time and efforts. Also, trainings need to be planned to build capacities of the members.

5. Linking networks with planning

To ensure that the communities participate in the planning process, it is imperative that these structures are linked to the planning process as well as implementation (execution) as citizen bodies. Strengthening the interface between the local bodies and the CBOs will strengthen both.

The level of decentralization- bottom up planning- in the state will either act as an enabling or inhibiting factor in this regard. For example, in Kerala this model was successful due to strong decentralized mechanisms in the state⁶⁵.

⁶⁴The CDS by-law was comprehensively amended by the Government vide G.O(MS)222/08/LSGD dated 8-8-2008.

⁶⁵The decentralisation experiment in Kerala and the transfer of powers to local governments came in two phases:-

1. In October 1995, the decision to transfer most of the development institutions to local governments along with staff was taken, and
2. In August 1996 the decision to transfer about a third of State Plan resources to local governments was announced and the People's Plan Campaign launched.

6. Identifying the resource envelope

The budgets for the administrative costs as well as devolution of funds under development schemes of the State and Union Government and funds for carrying out other activities/projects identified by the community need to be worked out in detail.

7. Accountability mechanisms

Strong accountability mechanisms should be built within the framework. The community should also play an active oversight role.

8. Computerized MIS

This is an important management tool. A computerized MIS will help capture the activities at all levels and maintain records of beneficiaries under each scheme/project.

Box 6

Identifying the Poor

The Nine Point Poverty Index

The Alappuzha Model

This methodology focused on the nature and causes of poverty. The objective was to use non-economic parameters or risk factors to identify the poor. This nine point poverty index was developed for the rural context.

The parameters combined to form the nine point poverty index:

1. Sub-standard house or hut.
2. No access to sanitary latrines.
3. No access to safe drinking water.
4. Family having at least one child below 5 years of age.
5. Family having at least one illiterate adult member.
6. Family getting barely two meals a day or less.
7. Family having alcoholics or drug addicts.
8. Family having one or no earning member.
9. Socially disadvantaged groups - SC/ST

Any family that satisfies at least four out of the nine points was treated as a 'risk family'. This was a simple and transparent methodology and brought under its purview the manifestations of deprivation. This offered a simple, non-technical and approximate measurement of poverty and causes.

The Urban Model⁶⁶

The nine-point index originally developed in 1992 and was more suited for rural areas. This criterion was further revised and new risk indicators were included to suit the urban context.

The revised risk indicators used in urban area are :

1. No land /less than 5 cents of land.
2. No house/dilapidated House.
3. No sanitary latrine.
4. No access to safe drinking water within 150 meters.
5. Women headed household/presence of a widow/divorcee/abandoned lady/unwed mother.
6. No regularly employed person in the family.
7. Socially disadvantaged groups (SC/ST).
8. Presence of mentally or physically challenged person / chronically ill member in the family.
9. Families without colour TV.

Any family that satisfies at least four out of the nine points was treated as a 'risk family'.

Source: 'A Study on Kudumbashree project, A Poverty Eradication Programme in Kerala, Performane, Impact and Lessons from other states', sponsored by Planning Commission of India, Jacob John, Kerala Development Society (KDS-Delhi) May 2009

BOX 7

Kudumbashree: Highlights of the Modified By-laws

1. Membership in the community network of women a matter of right – no BPL/APL distinction.
2. Autonomy of the community organisation from the panchayat - the standing committee chairperson no longer member of CDS.
3. Independence from and complementarity to the local government clarified. Clarity on roles and responsibilities of panchayat and CDS leadership.
4. Evaluation Committee of the CDS established. The role of panchayat shifted from internal control of CDS to external supervision and guidance through Evaluation committee - a convergence forum headed by the local government leadership.
5. Accountability framework incorporated through collective responsibility within the CDS.
6. Synchronisation of the ADS with the panchayat/ municipal wards and representation of all ADS in the CDS.
7. Attention to representation of vulnerable communities like SC, ST, disabled - special provisions to include marginalised families.
8. Institutionalisation of annual audit of NHG, ADS and CDS accounts (through community based audit teams)
9. Independent election process ensured. Fixed term of 3 years and rotation of leadership through common elections to the NHG, ADS and CDS – oversight by District Collector. Stringent provision against dislodging elected CDS chairperson.
10. Space of 'charge officer' (government official entrusted with management responsibility of CDS) moved to that of 'member secretary' of CDS. Clarity on meetings and proceedings of CDS.
11. CDS Action Plans (Micro Level Demand Plans).

Note: Detailed By-laws available at <http://www.kudumbashree.org/?q=bylaw>

Section 3:
Accountability and Performance Monitoring Mechanisms

Section 3: Accountability and Performance Monitoring Mechanisms

Administrative accountability is the obligation of public officials/office bearers to account for or take responsibility for their actions. This is achieved through a range of instruments or mechanisms. The aim of these instruments/mechanisms is to assure ‘the strictest compliance of administrative performance with the established rules of procedures and the correct use of public resources⁶⁷’.

Administrative accountability has a dual dimension- vertical and horizontal. In the vertical dimension, administrative accountability is a relationship that links subordinates with their superiors - political or administrative; whereas in the horizontal dimension, administrative accountability links the individual administrator and the public administration as a whole at two levels:-

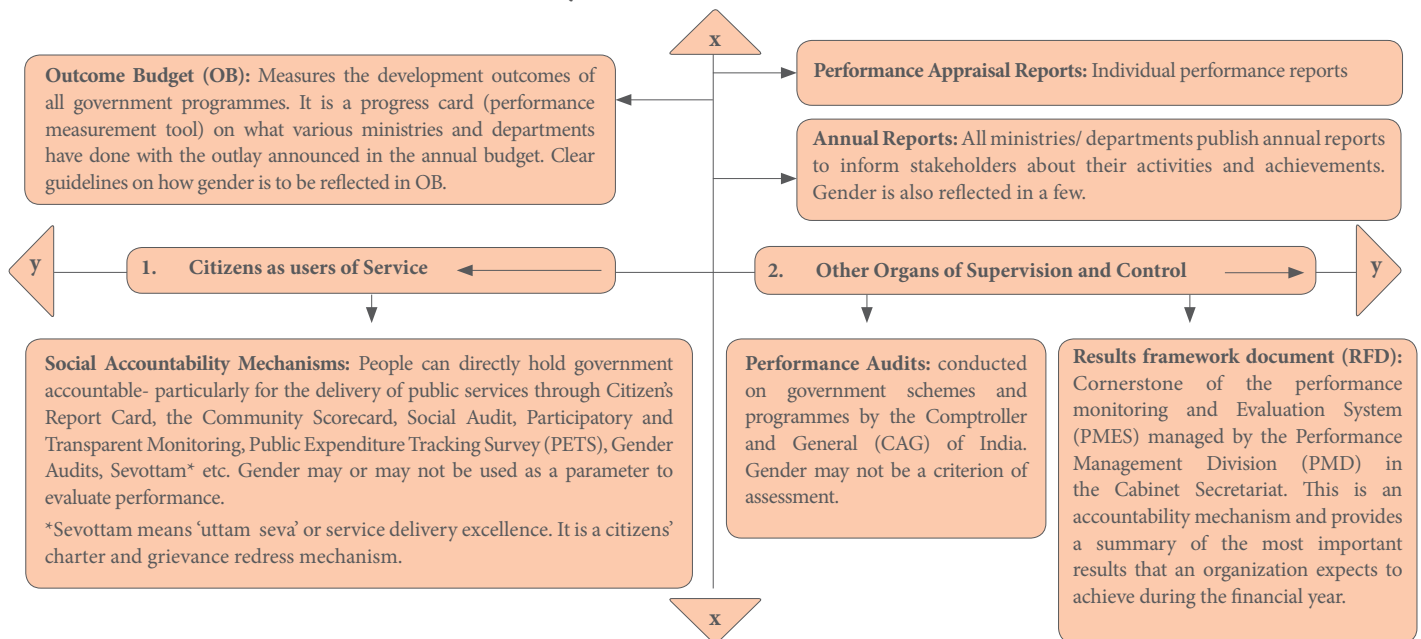
1. The citizen as user of the service,
2. With other external organs of supervision and control established to this purpose such as oversight bodies, audits, ombudsmen etc.

Performance monitoring and evaluations⁶⁸ provide the evidence base to gauge or measure the level of accountability with which public services are managed and delivered. It is a mechanism that ensures regular, ongoing evidence of efficiency, effectiveness, quality of service and service satisfaction. Therefore, it serves as an important public accountability tool.

Accountability Mechanisms: An Overview

As discussed, administrative accountability is enforced in a dual manner; the following diagram presents a horizontal and vertical reflection of the existing accountability mechanisms and a brief description of each. This section explores the existing accountability and performance monitoring mechanisms and the scope of including parameters and goal posts within those to be able to track and measure performance towards attaining gender equality and empowerment goals.

Figure 4
India: Administrative Accountability Mechanisms



X Axis: vertical dimension administrative accountability is a relationship that links subordinate/lower administrative positions with their superiors- political or administrative.

Y Axis: horizontal dimension, administrative accountability links the individual administrator and the public administration as a whole at two levels:-

- The citizen as user of the service,
- With other external organs of supervision and control established for the purpose of accountability such as oversight bodies, audits, ombudsmen etc.

⁶⁷ Accountability and Public Administration: Concepts, Dimension and Development, Antonio Bar Cendon, Prof of EIPA, The Netherlands.

⁶⁸ Monitoring and evaluation (M&E) is an integral component of programme planning & implementation. Monitoring is the systematic collection and analysis of information as a project progresses. It is aimed at improving the efficiency and effectiveness of a project or organisation. It is based on targets set and activities planned during the planning phases of work. It helps to keep the work on track, and can let management know when things are going wrong. If is an invaluable tool for good management, and it provides a useful base for evaluation. Evaluation is the comparison of actual project impacts against the agreed strategic plans. It looks at what you set out to do, at what you have accomplished, and how you accomplished it. It can be formative (taking place during the life of a project or organisation, with the intention of improving the strategy or way of functioning of the project or organisation). It can also be summative (drawing learnings from a completed project or an organisation that is no longer functioning).

Case Study

Sl. No.	Case Study	Location	Objective
3.A.	Listening to the Voices from the Field: Mid Term Appraisal of the Eleventh Five Year Plan, 2009	Planning Commission of India and 27 States	A participatory appraisal of the Eleventh FYP by eliciting responses and feedback from poor and marginalised social groups regarding delivery of different schemes specifically targeted to improve the quality of life. This was not a 'gender centric appraisal' but gender was a cross-cutting concern.
3.B.	Results - Framework Document (RFD), 2009	Ministries and Departments, Government of India and State Governments	It is a performance management tool designed to help government departments define, measure and monitor their progress against defined targets and indicators. This tool has huge potential and relevance to measure performance towards achieving gender equality and empowerment outcomes.

Case Study 3.A

Listening to the Voices from the Field⁶⁹Mid Term Appraisal of the Eleventh Five Year Plan

The Planning Commission of India took the initiative of bringing together civil society organisations to facilitate a mid-term appraisal of the Eleventh FYP. 'Listening to the Voices from the Field' was a unique initiative that enabled people at the grassroots to share their feedback on various social development schemes and programmes while suggesting ways to strengthen them. Several consultations were held across the country with the objective of reaching out and engaging with the intended beneficiaries at the grassroots and with civil society organizations, key groups from the Planning Commission, and UN agencies in order to appraise the performance of the social sector during this period.

Process

This was an initiative of the Planning Commission, supported by UN agencies, to listen to and take note of the views and perceptions of the actual beneficiaries (comprising women, the elderly, SC/ST, OBCs, minorities and rural artisans) regarding the various schemes and programmes of select ministries implemented by the Government of India during the Eleventh Plan period.

1. The objectives of the mid-term appraisal were:

- To seek feedback on delivery of programme/schemes from the users/ communities.
- To assess the community level participation in the central government programmes.
- To understand community perspectives on the gender responsiveness of programmes/schemes.
- To synthesise community feedback and recommendations to feed into national level Eleventh Plan Mid-term Review (MTR) processes.
- To provide recommendations for improving reach and effectiveness during remaining plan period.
- To identify gaps, challenges and opportunities to strengthen delivery of programmes.

2. Identifying stakeholders and the sectors to be reviewed

Four sectors – Health; women and child development; minorities' development and welfare; and handicraft and handloom -- were the focus of this review and appraisal. 27 states were covered.

3. The consultations

The state and regional-level consultations were conducted within a one month time frame. It comprised of five regional consultations⁷⁰ preceded by 27 state-level consultations in the east, north-east and west - organized by Voluntary Health Association of India (VHAI) and one each in the north and south regions-organized by NAWO.

- A national-level orientation programme was organized for the core team from UNIFEM, UNICEF, UNFPA, VHAI, NAWO and PC. The objective was to share with the coordinators, the concept and purpose of the initiative. This also included finalising process implementation guidelines, design of regional and state level workshops, sector specific checklists etc. The national level facilitators were identified, trained and briefed.
- This was followed by state level consultations in 27 states.

Participation of community members; representation from marginalised communities, and vulnerable groups was ensured. Community based CSOs working in these states on issues of health, women's development, minorities' development and handicrafts also participated. Five regional consultations were also held. Key observations regarding implementation and suggestions for improvements from the states were presented by civil society organizations.

- Preparation of Reports and Recommendations

The state level reports were compiled and the major observations and recommendations were assimilated and collated into a National Report. This was submitted to the PC.

Stakeholders

PC, National Alliance for Women (NAWO), VHAI, UNIFEM, UNFPA and UNICEF.

⁶⁹Listening to the Voices from the Field, Mid Term Appraisal of the Eleventh Five Year Plan (2007-2012), (Health, Women and Child Development, Minorities, Handicraft and Handlooms); Planning Commission VHAI, 2009. Also based on inputs provided by Prof. Pam Rajput, Vice President NAWO and Dr. Dinesh Agarwal, UNFPA.

⁷⁰Guwahati, Jaipur, Chandigarh, Bangalore and Bhubaneswar.

Achievements

This initiative used a participatory methodology to undertake a beneficiary assessment of the identified sectors. It provided a realistic assessment of various developmental schemes and programmes (of the select sectors). The final recommendations found place in the official mid-term appraisal of the Eleventh FYP.

Challenges

- The objective behind selecting the four sectors (health; women and child development; minorities' development; and welfare; and handicraft and handloom) and limiting the scope of the appraisal only to these, is not clear.
- Once the appraisal is officially endorsed and published, it is important to plan a systematic follow up to assess how the recommendations are finally followed through by line ministries/departments.
- The need for assessment studies to see what mid-course corrections were finally effected by the respective departments under review.

Scope of replication: Steps on How to?

1. Identify objective, scope, stakeholders and location

Identify the objective and scope, stakeholders and geographic location of the appraisal. This can be done in a consultative process with important stakeholders. State Planning Boards have a very important role.

2. Finalise Methodology and Data Collection Tools

A methodology workshop can be organised to develop the methodology and approach for the appraisal. Checklists can be developed accordingly.

A beneficiary assessment of schemes and programmes can be commissioned by way of surveys and focus group discussions using semi structured questionnaires. This will help in systematic assessment of beneficiary responses and in analysis.

3. Determine time frame

Plan out the time frame, number of workshops to be organised, design of the workshops etc. for a consultative and participatory process.

4. Consolidate recommendations

Compile the recommendations and share with nodal agency and line departments.

5. Develop sector specific indicators

Prepare relevant sector specific indicators to measure the extent to which the recommendations are endorsed.

6. Carry out an Impact Study

Plan an evaluation study to assess the impact of the initiative.

Case Study 3.B⁷¹

Results-Framework Document (RFD)

The Prime Minister approved a Performance Monitoring and Evaluation System (PMES) for government departments in 2009⁷². Under PMES, each department is required to prepare a Results-Framework Document (RFD), which provides a summary of the most important results that a department/ministry expects to achieve during the financial year. It is an instrument to improve government performance.

This is a performance management tool and the role of oversight is assigned to the Performance Management Division (PMD) within the Cabinet Secretariat. The PMD implements the PMES that is designed to help government departments plan, measure and monitor their progress against established targets and indicators. The guidelines for the RFD (this includes the format of RFD, the methodology for evaluation and RFD process and timelines) are issued by the PMD each year. Refer Annexure 22 for functions of the PMD.

Today, some eighty departments and eight hundred responsibility centres (subordinate offices, attached offices and autonomous bodies) under them are covered by the RFD policy of Government of India. In addition, ten states have also adopted RFD policy for state-level departments.

Process

1. Purpose of RFD

The RFD has two main purposes:

- To move the focus of the department from process-orientation to result-orientation, and
- To provide an objective and fair basis to evaluate department's overall performance at the end of the year.

2. Scope

The RFD seeks to address three basic questions:

- What are the ministry's/department's main objectives for the year?
- What actions are proposed by the ministry/department to achieve these objectives?
- How would someone know, at the end of the year, the degree of progress made in implementing these actions? That is, what are the relevant success indicators and their targets, which can be monitored?

3. Structure and methodology

The RFD is divided into six sections as listed below to be filled online by ministries/departments -

Section 1: Ministry's/department's vision, mission, objectives and functions.

Section 2: Inter se priorities among key objectives, success indicators and targets.

Section 3: Trend values of the success indicators.

Section 4: Description and definition of success indicators and proposed measurement methodology.

Section 5: Specific performance requirements from other departments that are critical for delivering agreed results.

Section 6: Outcome/impact of activities of department/ministry

4. Formats for each section

The RFD prepared by the ministry/department must conform to the format specified for each of the six sections of the document. Appropriate instructions/directions are issued by the PMD to guide the process. For example, refer Annexure 23, for the format for section 2 of the RFD. Guidelines and detailed formats for other sections which can be viewed at www.performance.gov.in (<http://performance.gov.in/PDF/RFD-Guidelines-2012-13.pdf>)

5. Assessment of results

At the end of the year, the PMD measures the achievements of the Ministry/Department and compares them with the targets and determines the composite score as per the assigned evaluation methodology. For more information on the methodology, refer to RFD Guidelines available at www.performance.gov.in.

⁷¹Based on inputs provided by Dr. Prajapati Trivedi, Secretary (Performance Management), Cabinet Secretariat, Government of India, Prof. Aasha Kapur Mehta, IIPA, and RFD guidelines on www.performance.gov.in.

⁷²Vide PMO I.D. No. 1331721/PMO/2009-Pol dated 11.9.2009.

6. An independent non-government assessment

There is a provision for an independent non-government assessment by a body of experts that vet the RFDs and also review achievement. This distinguished body of academicians, private sector experts, former Secretaries to Government, former PSU CMDs, etc. provides the quality control. Gender experts are also part of the assessment group.

Stakeholders

The citizens of India, the Performance Management Division (PMD) of the Cabinet Secretariat and line ministries and departments.

Achievements

- The RFD is an interesting and effective accountability mechanism to ensure a shift of focus from process to results.
- It also offers an objective, scientific and time bound basis to evaluate the overall performance of a Ministry or Department.

Steps on How to?

RFD is a neutral accountability tool. It helps departments achieve their goals and objectives. Therefore, if ministries/ departments are committed to gender equality, they can use a simple checklist to ensure that their RFDs integrate a gender perspective. They can use this tool as an effective instrument to reflect accountability towards gender equality and women's groups and CBOs can monitor this.

The following checklist can be borne in mind while preparing the RFD :

- a. Relevant ministry/department can indicate gender based parameters/objectives, actions, key performance indicators, success indicators (SIs) and their related weights in their RFDs (Refer Box 8).
- b. Once the gender based parameters are identified, the desired outputs and outcomes and the actions required to achieve them, must be outlined. Important to check availability of baseline sex disaggregated data and statistics.
- c. Many schemes may require collaboration between several departments. All the departments/ministries jointly responsible for achieving national goal related to gender should integrate plan, budget outlay and actions for the relevant schemes in RFD of respective departments/ministries with matching weightage.
- d. Each RFD also contains 'mandatory indicators' to promote certain objectives across all departments. For example, those related to the efficient functioning of the RFD system, E-Office implementation, ISO 9001 certification, etc. The success indicators and weights are predetermined and fixed for all RFDs. For gender to be incorporated, a specific department of GoI can initiate a request to PMD for adding identified specific gender based indicators, which cut across all departments.

RFDs: A Checklist for Integrating a Gendered Perspective

The instructions or steps to guide in furnishing details as per the RFD format and the relevant gender informed criteria that a ministry/department can use to integrate a gendered perspective in order to ensure accountability to gender equality is enumerated in the following matrix (Box 7). This is an illustrative checklist.

BOX 8

RFD: Integrating a gender informed perspective

RFD Section 2 Format: Steps/Instructions	Integrating a gender informed perspective
<p>Step 1 - (in column 1) Select key departmental objectives (objective 1, 2, 3, 4.....). Select the most important and relevant objectives that will be the focus of the ministry/department. The same should be ranked in descending order of priority (the most important will be objective 1). The Minister in-charge will decide the inter se priorities.</p> <p>Objectives can be of two types:</p> <p>(a) Outcome objectives address ends to achieved, and</p> <p>(b) Process objectives specify the means to achieve the objectives.</p>	<p>Is gender taken as a cross cutting objective in the RFD?</p> <p>Is there any gender specific outcome objective or process objective outlined in column 1?</p> <p>In the RFD format, can GRB be incorporated as a mandatory indicator⁷⁴?</p>
<p>Step 2 - (in column 2) Assign specific weights to these objectives. All weights, including the weight of mandatory indicators must add to 100.</p>	<p>If gender has been reflected as an objective, then what weight has been assigned to this objective,</p> <p>As objectives in the RFD are ranked in a descending order of priority according to the degree of significance, therefore the weight will reflect the priority to gender in that ministry/department.</p>
<p>Step 3 - (in column 3) Specify/outline the means (Actions) for achieving the departmental objectives. The associated policies, programs and projects represent the desired means or actions.</p>	<p>Are the associated policies gender sensitive and the programs/schemes and projects gender inclusive?</p> <p>Is there any gender specific programme or scheme (Actions) to achieve the stated objectives?</p>
<p>Step 4 - (in column 4) Specify success indicators and units. For each of the “action” (i.e. stated policy, programme, schemes and projects) specified in column 3, the department must specify one or more success indicators. They are also known as Key Performance Indicators (KPIs) or Key Result Indicators (KRIs)⁷⁵. These indicators should consider both qualitative and quantitative aspects of departmental performance.</p> <p>The detailed definitions of various success indicators and the proposed measurement methodology are explained in Section 4 of the RFD.</p>	<p>Are the key performance indicators or key result indicators sex disaggregated?</p> <p>For example, for a programme on adult literacy, if the KPIs are ‘increased literacy skill’ or more ‘employment opportunities’, it is imperative to ensure that indicators are sex, disaggregated for an accurate assessment of impacts or outcomes.</p> <p>Is there any gender specific key performance indicator?</p>
<p>Step 5 - (in column 5) Assign relative weights to KPI or KRI. The weight assigned to the objective needs to be divided between the different KRI reflected against the actions required to achieve the objective.</p>	<p>What are the weights assigned to gender specific KPI or KRI? Higher weights should be assigned for the same so as to incentivize such efforts.</p> <p>For example, for a programme such as adult literacy, higher weights could be assigned to ‘increased literacy skills in women.’</p> <p>Is availability of sex-disaggregated data a constraint?</p>
<p>Step 6 - (in column 6) Specify targets/criteria value for SIs⁷⁶. The next step is to choose a target for each success indicator. Targets are tools for driving performance improvements. For every success indicator and the corresponding target, the RFD must provide actual values for the past two years and also projected values for two years in the future.</p>	<p>Are the success indicators sex disaggregated?</p> <p>For budgetary targets, what are the targets, assigned to the gender budget of that particular programme/scheme?</p>

⁷³Objectives represent the developmental requirements to be achieved by the organisation in a particular sector by a selected set of policies and programmes over a specific period of time (short-medium-long).

⁷⁴Each RFD also contains ‘mandatory indicators’ to promote certain objectives across all departments. For example, these are related to the efficient functioning of the RFD system, E-Office implementation, ISO 9001 certification, etc. The success indicators and weights are predetermined and fixed for all RFDs.

⁷⁵A success indicator provides a means to evaluate progress in implementing the policy, programme, scheme or project. There could be more than one KPI/KRI.

Annexures

Annexure 1

Functions of the Planning Commission⁷⁷

The 1950 resolution setting up the Planning Commission outlined its functions as to:

- a. Make an assessment of the material, capital and human resources of the country, including technical personnel, and investigate the possibilities of augmenting such of these resources as are found to be deficient in relation to the nation's requirement;
- b. Formulate a Plan for the most effective and balanced utilisation of the country's resources;
- c. On a determination of priorities, define the stages in which the Plan should be carried out and propose the allocation of resources for the due completion of each stage;
- d. Indicate the factors, which are tending to retard economic development, and determine the conditions which, in view of the current social and political situation, should be established for the successful execution of the Plan;
- e. Determine the nature of the machinery, which will be necessary for securing the successful implementation of each stage of the Plan in all its aspects;
- f. Appraise, from time to time, the progress achieved in the execution of each stage of the Plan and recommend the adjustments of policy and measures that such appraisal may show to be necessary; and
- g. Make such interim or ancillary recommendations as appear to it to be appropriate, either for facilitating the discharge of the duties assigned to it, or on a consideration of prevailing economic conditions, current policies, measures and development programmes or on an examination of such specific problems as may be referred to it for advice by Central or State Governments.

⁷⁷ <http://planningcommission.nic.in/aboutus/history/index.php?about=funcbody.htm>

Annexure 2

Schedule for Annual Plan Exercise⁷⁸

Official level resource discussion	1 st to 25 th December
Last date for receipt of draft plan document from States/UTs	15 th January
Working Groups discussions	15 th January onwards
Deputy Chairperson, PC and Chief Minister level discussion	February onwards
Finalised Sectoral outlays and scheme of financing	Within 15 days of the above meeting

Annexure 3

State Plans: Formulation and Approval⁷⁹ Process

The Formulation of State Plans: FYP and AP

1. The PC issues guidelines to the States for the formulation of AP and FYP (Guidelines are also uploaded on the following link http://planningcommission.nic.in/plans/stateplan/index.php?state=b_othbody.htm)
2. According to the guidelines the Finance Department of the State make an assessment of the State resources.
3. Simultaneously, each line department plans scheme wise requirement of funds.
4. The Planning Department seeks information from each department regarding projected expenditure under State plan schemes, Centrally Sponsored Schemes (CSS), Externally Aided Projects (EAP), Additional Central Assistance (ACA) etc.
5. Department wise allocations are fixed and after approval by the State Government communicated to each department. Accordingly, the Departments furnish scheme wise details of outlays and physical targets.

Compilation

1. The Departments submits scheme wise details of the resource envelope allocated to the department.
2. The scheme wise details are scrutinized and compiled.
3. The draft annual plan document is prepared and shared with the PC.

Finalisation and Approval by PC

1. States prepare for the meetings of the State Chief Minister (CM) with the DCH PC for finalization of the size of State FYP/AP. The CMs speech highlights the major issues and challenges concerning the State Government.
2. Meetings are held with the Dy. Chairperson (DCH) PC towards finalization of State FYP and AP
3. Working group meetings of state department heads with the concerned advisors of the PC are also held in order to finalize scheme wise allocations
4. The State administration makes desired changes to sectoral allocations in view of discussions with the PC and in tune with the plan size finally approved by the PC.
5. The final plan with revised sectoral distribution of outlays is sent to the PC for approval.

Request for Additional Funds

1. State Government Departments approach the PC with request for additional funds throughout the year. This request can range from additional funds for existing plan schemes to any new scheme planned to be introduced (as per the CMs priority areas).
2. The Planning Section examines the demands and advises the departments accordingly.

Revision of Annual Plans

1. The Finance Department re-assesses the financial resources and accordingly the Planning Department re-allocates department wise revised estimates. This is communicated to each department. The approval of the State Government is obtained prior to this.
2. The revised estimates - sectoral distribution of revised outlays is sent to the PC for approval

Annexure 4

Women Component (WC) in the State Plan Programmes- Financial Outlays (Annexure VIII A in the PC) DRAFT ANNUAL STATE PLAN 2012-13 FINANCIAL OUTLAYS : PROPOSALS FOR WC

Sl.No.	Major Head/ Sub-head/	Schemes *	Eleventh Plan 2007-12 Projected Outlays (At 2006-07 Prices)		Eleventh Plan 2007-12 Actual Expenditure Under WC	Twelfth Five Year Plan Projected Outlay		Annual Plan 2012-13			Annual Plan (2013-14) Proposed		
			Total Outlay	of which flow to WC		Total Outlay	of which flow to WC	Approved Outlay	Anticipated Expenditure	Total Outlay	of which flow to WC	Total Outlay	of which flow to WC
0.	1.	2.	3.	4.	5.	6.	7.	8.	9..	10.	11.	12.	13.

Annexure 5

Women Component (WC) in the State Plan Programmes, Physical Targets and Achievements (Annexure VIII B as in the PC)
 DRAFT ANNUAL STATE PLAN 2012-13 - PHYSICAL TARGETS AND ACHIEVEMENTS : PROPOSALS FOR WC

Sl. No.	Major Head/ Sub-head/Schemes	Unit	Eleventh Plan (2007-12)		12th Five Year Plan (2012-17) Target	Annual Plan (2012-13)		Annual Plan 2013-14 Target
			Target	Actual Achievement		Target	Anticipated Achievement	
0.	1.	2.	3.	4.	5.	6.	7.	8.
								(Proposed)

Annexure 6

Terms of Reference of the Working Group of Feminist Economists (WGFE)

Terms of Reference of the Group will be as follows:

1. **To review** all sectoral Reports of Working Groups and Steering Committees for the Eleventh Plan with respect to their Gender Content and make suggestions regarding Gender issues, promoting Gender equality, etc. to be incorporated in the respective Sectoral Chapters of the Eleventh Plan.
2. **To examine** and make suggestions as to how the 'inclusive growth' approach envisaged for the Plan can be translated into sectoral plans with appropriate institutional arrangements and adequate financial allocations, so as to promote gender equality and growth with equity.
3. **To suggest** norms/guidelines to ensure gender perspective while formulating programmes across sectors.
4. **To identify** significant trends, emerging for women in the economy and to suggest policy measures that would integrate women into the growth agenda and process.
5. **To look** at the indicators that are being used to assess progress both sectorally as well as macro-economically and make suitable suggestions if they need any further improvisation or changes so as to ensure that status of gender equity and overall equality suitably reflected in these indicators.
6. **To look** at the present system of data collection with special reference to gender related data and identify gaps, if any, in the system and suggest ways to collect, disaggregate or tabulate such data.
7. Any other issues relating to gender that the Chairperson of the Committee may like to be considered by the Feminist Economists for the Eleventh Five Year Plan.

Annexure 7

WGFE Inputs and Eleventh Five Year Plan

Sector	WGFE Inputs	Achievements in the 11th FYP
Agriculture	<ul style="list-style-type: none"> Recognize that women are increasingly the main cultivators. Enhance women's land and infrastructure access. Skill training for women in farm technology maintenance. Group approach for supporting women farmers. 	<p>Recognizes that 85 per cent of farmers who are small and marginal are increasingly women and who find it difficult to access the inputs.</p> <p>1 "With the share of female workforce in agriculture increasing, and increased incidence of female-headed households (...) women's names should be recorded as cultivators in revenue records (...); the gender bias in institutions for information, credit, inputs, marketing should be corrected by gender-sensitizing the existing infrastructure providers; women's co-operatives and other forms of group effort should be promoted (...)."</p>
Industry	<ul style="list-style-type: none"> Globalization has induced feminization of indebtedness; increasing 'assetlessness', fall in real wages; decline in the conditions of work. Scheme designs should target women and recognize that it is more challenging for women to be successful in self-employment and requires capacity building, financial literacy, account keeping, etc. 	<p>5.15- Highlights the need to integrate social security cover sensitive to women's special needs. It stresses the need to ensure equal wages, adequate protection, toilets, crèches, feeding facilities in small units and every cluster.</p> <p>7.1.354- Recognizes that the vulnerabilities associated to the MSE sector especially affect women and children.</p> <p>7.1.355- Affirms that "women are mostly found in the unregistered sector (...) for meager wages.</p>
Employment	<ul style="list-style-type: none"> Attention to women's contribution to and conditions of employment in the unorganized non-agricultural sectors of industry and services. 53 per cent of all women non-agricultural workers are home-based in low or unpaid and in irregular employment and have less access to skills training. 	<p>4.46- Underlining the importance of target shares for women beneficiaries in the programs for 'Skill Development initiatives', 'New Initiatives at Social Security' & implementation of Acts regarding economic and social welfare of women.</p> <p>5.67- Promotion of inclusive growth for regions and social groups with "at least 30 per cent female beneficiaries in all schemes. A women's credit fund will be set up, women-friendly technologies with the appropriate training will be provided.</p>
Poverty Alleviation and Micro Finance	<ul style="list-style-type: none"> The household approach tends to mean that benefits reach men as the 'head of the household'. Giving more attention to the governance domain and drawing the links between macro-economic policies, schemes, delivery and local self-government, highlighting that women are using local self-government. Helping women use micro-finance for poverty alleviation and empowerment. 	<p>5.116- "Training programs for women will be redesigned to include technology, management and micro credit and to promote rise of women entrepreneurs. R&D institutions will be encouraged to develop women-friendly technologies for post-harvest handling and proceeding, especially for drudgery reduction and providing ease of operation. Most importantly, provision of utilities, basic amenities, and crèches for women staff workers will be made mandatory in the infrastructure projects.</p>

<p>Education</p>	<ul style="list-style-type: none"> • It is imperative for educational planning to pay specific attention to recruitment of female teachers –and form different social groups -- by improving their living and traveling facilities and up-grading teaching skills of potential teachers.” • Enrollment Ratio increase from 51.7 per cent to 75 per cent. • Improving the quality of teaching. • Opening of schools exclusively for girls to overcome gender disparity on access to education. 	<p>1.2.16- “(...) (iii) Aim towards major reduction in gender, social, and regional gaps in enrolments, dropouts and school retention (...) The GER in secondary education is targeted to increase from 52 per cent in 2004-05 to 75 per cent by 2011-12”.</p> <p>1.2.23- “Measures to be undertaken to overcome obstacles to girl’s education posed by factors such as poverty, domestic/sibling responsibilities, girl child labor, low preference to girls’ education, preference to marriage over education of girls etc., a girl Child Incentive Scheme was planned to be launched”.</p>
<p>Environment and Climate Change</p>	<ul style="list-style-type: none"> • Recognizing that women are the principal users of forests and that they are thus especially affected by forest degradation and the principal stakeholders in forest conservation. • Women should be an integral part of community-centered ecotourism given their extensive knowledge of biodiversity. This could also provide a new source of income for educated women in the villages. 	<p>3.33- Acknowledges women as the “principal stakeholders in natural resources use and management.” It affirms “the participation of women should be ensured in all community activities and the decisions should be based on their considered opinion.” community-based programs should therefore be gender-responsive.</p>
<p>Towards Women’s Agency and Child’s Rights</p>	<p>Making sure the schemes:</p> <ul style="list-style-type: none"> • Reach women the way they are intended to; and even if they reach women, ensure that they are transforming gender roles and constructs, not reinforcing gender stereotypes by adding up to women’s unpaid and reproductive work. • Strengthen the capacity of Gender Budget Cells (now in 43 ministries and departments) so that they conduct GRB as an annual accounting. 	<p>6.8- Gender Budget Cells were set up in 52 ministries and departments ... “the performance however has been far from satisfactory”.</p> <p>6.74- Gender Budgeting and Gender Outcome assessment will be encouraged in all ministries/ departments at central and state levels.</p>
<p>Health care, Family Welfare and Clean Living Conditions</p>	<ul style="list-style-type: none"> • Recognizing that besides themselves suffering from ill-health, women are severely affected by the morbidity and mortality within families as they not only have to cope with impoverishment caused by ill-health but also with additional burden of care. 	<p>3.14- “The strong links between poverty and ill-health need to be recognized. The onset of a long and expensive illness can drive the non-poor into poverty. Ill-health creates immense stress even among those who are financially secure. High health care costs can lead to entry into or exacerbation of poverty.”</p>
<p>Water and sanitation</p>	<ul style="list-style-type: none"> • Need to mention the long distances that are traveled by women in their daily search for water. • References to the need of nearby covered toilets that provide dignity to women. 	<p>5.1- acknowledges that “women and girls spend hours fetching water and that drudgery should be unnecessary.”</p> <p>5.2- recognizes that the lack of covered toilets imposes a severe hardship on women and girls.</p>

Annexure 8

Checklist for integrating gender/gender budgeting into new programmes, projects and schemes (PPS)

This checklist should be used for all new programmes, projects and schemes.

Participation	Response to questions
Has the PPS been developed in a participatory way involving all stakeholders, especially women? Women's involvement should not be tokenism but they should be encouraged to participate and contribute by creating an enabling environment. Their participation and contribution should be at all stages – planning, implementation, monitoring as well as participatory evaluation.	
I. Background and justification	
1. Is gender part of the context analysis of the PPS?	
2. Does this section include arguments for gender mainstreaming and gender equality?	
3. Are the data quoted in the background sex-disaggregated?	
4. Have the different needs and concerns of men and women, girls and boys been identified?	
5. Is the language of the PPS gender sensitive and does it avoid gender stereotypes?	
II. Goal / Objective:	
1. Does the goal or objective reflect the needs of women and men?	
2. Does it aim to meet practical gender needs (PGN) of women or strategic gender interests (SGI) (that will seek to change gender relations and address gender inequality and promote women's rights and control over her body and her life?)	
III. Target Group / Stakeholders:	
1. Are women and men both going to benefit from the PPS?	
2. Is there need for affirmative action (quotas or reservation) to ensure women are benefited?	
IV. Strategy and Activities:	
1. Is there a better, more women-friendly and yet cost-effective way of achieving the objectives? Can it be considered?	
2. Are the strategies and activities of the PPS gender sensitive?	
3. What are the constraints to women benefiting? Does the PPS address the constraints in order to reduce them?	
4. Have possible constraints on women benefiting been addressed? For example, are the activities planned for times when women are free from household chores?	
5. Will the PPS entail an additional burden on women? If so, what steps will the PPS take for men to share the burden of women's traditional roles?	
6. If technology is involved, is it women friendly and appropriate for women?	
7. Who will implement the PPS? Are they sufficiently gender sensitive? Do they need gender orientation? (e.g. health service providers, teachers, cooperative department staff should be sensitized if necessary)	
8. Do implementation mechanisms use existing networks or organisations of women (e.g. self help groups, mother's groups in Integrated Child Development Scheme (ICDS))?	

9. If there is an information / IEC component, will women be involved in developing it and field testing it to ensure its gender and cultural sensitivity, comprehensibility and efficacy?	
V. Budgeting for equality:	
1. Has sufficient budget been allotted for each of the components of the PPS?	
2. Has the PPS budgeted for gender training?	
3. Is the budget sufficiently disaggregated to ensure that gender concerns are adequately addressed?	
4. Has the PPS budgeted for monitoring?	
VI. Indicators for measuring outcomes and outputs:	
1. What are the indicators for measuring progress on outcomes and outputs? Are they sex-disaggregated and gender sensitive?	
2. Are the indicators SMART – specific, measurable, accurate, relevant and time-bound?	
3. Do the indicators measure progress in achieving strategic gender interests (SGNs) as well as practical gender needs (PGNs)?	
VII. Monitoring:	
1. Has the PPS built in participatory on-going monitoring, involving women? What is the frequency? And are the monitoring tools (formats, visit timings etc) women friendly?	
2. Does the monitoring strategy look at both content and process? Both are important.	
VIII. Evaluation:	
1. Has the PPS provision for a mid-term (after 2 or 3 years) and an end-term (if the PPS is for a fixed duration) evaluation? This is essential.	
2. Does the evaluation design allow for (a) the differential impact of the PPS on men and women to come out clearly; (b) women to be part of the evaluation team; and (c) perspectives and feedback from women beneficiaries to be obtained first-hand and not through male family members?	

Annexure 9

Checklist I and II

Checklist I for gender-specific expenditure

Conventionally, gender budget analysis, by way of identification of women-related expenditure, has been carried out for Ministries/Departments like Health and Family Welfare Rural Development, Human Resource Development, Urban Employment and Poverty Alleviation, Youth and Sports Affairs, Labour, Social Justice and Empowerment, Tribal Affairs, Drinking Water, Small Scale Industries and Agro and Rural Industries, Science and Technology, Non-Conventional Energy Sources, Textiles and Agriculture.

Suggested steps that may be undertaken by these various Ministries/Departments who are running programmes/schemes of a gender-specific nature i.e. where the targeted beneficiaries are primarily women are as follows:

Planning and Budgeting

1. List schemes and programmes which are gender - specific.
2. Briefly indicate activities undertaken under the programme for women.
3. Indicate expected output indicators like number of women beneficiaries, increase in employment of women, post-project increase in resources/income/skills etc.
4. Quantify allocation of resources in annual budget and physical targets thereof.
5. Assess adequacy of resource allocation in terms of population of targeted beneficiaries that need the concerned schematic intervention, the trends of past expenditure etc.
6. Performance audit.
7. Review actual performance - physical and financial - against the annual targets and identify constraints in achieving targets (like need for strengthening delivery infrastructure, capacity building etc.).
8. Carry out reality check - Evaluate programme intervention, incidence of benefit, identifying impact indicators like comparative status of women before and after the programme etc.
9. Compile a trend analysis of expenditure and output indicators and impact indicators.

66

Future planning and corrective action

1. Address constraints identified from steps above.
2. Establish requirement of resources in terms of population of targeted beneficiaries/magnitude of perceived problems like IMR, MMR, literacy ratio etc.
3. Review adequacy of resources available - financial and physical like trained person power, etc.
4. Plan for modification in policies and/or programmes/schemes based on results of review.

CHECKLIST II FOR MAINSTREAM SECTORS

Sectors like Defense, Power, Telecom, Communications, Transport, Industry, Commerce etc. may consider adopting the following checklist to determine the gender impact of their expenditure.

1. List all programmes entailing public expenditure with a brief description of activities entailed.
2. Identify target group of beneficiaries/users.
3. Establish whether users/beneficiaries are being categorised by sex (male/female) at present and if not to what extent would it be feasible.
4. Identify the possibility of undertaking special measures to facilitate access to services for women—either through affirmative action like quotas, priority lists etc. or through expansion of services that are women-specific like all-women police stations, women's special buses etc, or through delivering the services in a more gender-friendly way e.g. looking at opening hours, safety, etc.

5. Analyse the employment pattern in rendering of these services/programmes from a gender perspective and examining avenues to enhance women's recruitment.
6. Focus on special initiatives to promote participation of women either in employment force or as users.
7. Indicate the extent to which women are engaged in decision making processes at various levels within the sector and in the organizations and initiating action to correct gender biases and imbalances.

These exercises can be done by each Department of the State Government, to start with, for a few select programmes/schemes, which may be selected either in terms of their perceived gender impact, or the selection can be based on considerations of heaviest budget allocation. Based on the result of carrying out the above steps, the Gender Budgeting exercise may be institutionalised in the manner detailed in checklist I.

Annexure 10

Format used to collate information on GRB: Kerala

25.10.07

Dear

A number of schemes with various objectives (training or employment generating or welfare oriented) are currently operating for the benefit of women in a number of Departments besides the Social Welfare Department, which traditionally looks after women and child development. In order to achieve better outcomes through an integrated approach to the different schemes we are taking stock of all schemes in different departments that are (a) 100 per cent targeted for women; and (b) have a fixed allocation for women (could be 30 per cent or one third etc.).

We would be extremely grateful if you could list below Women's programmes which your Department is currently undertaking with a short statement on its objective. The information can be given in the following simple way:

A. Schemes that are 100 per cent for women

Name of Scheme	State Scheme	Central Scheme	Objective
1.			
2.			
etc.			

B. Schemes with a quota for women

Name of Scheme	Quota (in %)	State Scheme	Central Scheme	Objective
1.				
2.				
etc.				

It would help us immensely if this list could be sent to Chief, Social Services Division, State Planning Board, Trivandrum 695 004, by November 30, 2007.

Annexure 11

UNDP-Planning Commission Partnership on Human Development

Increased Focus on Gender: State Specific Inputs⁸⁰

	Gender Related Activities					Impact
	Published Rules and Schemes	Gender Training/Courses	Gender Budget Analysis	Research on Gender	Workshop/Lectures	
Assam	*		*			Capacity enhancement of PRIs and Officials
Chhattisgarh		*		*		16000 PRIs and DES officials trained
Gujarat					*	Gender Resource Centre established by the State Govt.
Himachal Pradesh		*		*		Capacity enhancement of PRIs and Officials
Karnataka		*				43000 PRI and SDMC members trained
Kerala			*	*	*	The findings of reports is a potential input into future planning and budgeting
Madhya Pradesh		*		*		Capacity of PRIs and officials in five districts enhanced
Maharashtra				*		Dialogue initiated on the gender sensitivity of all state and district level schemes
Nagaland		*	*	*	*	Constitution of task force on engendering state and district plans and formation of gender budgeting cell in the Planning Department

Odisha		*	*		*	Formation of gender cell in W & CD is continuing with gender sensitization and gender budgeting
Punjab			*		*	Findings of report led to action plan on arresting negative sex ratio and four departments initiated gender budgeting
Rajasthan		*	*			Tailormade training program is used and gender plans developed in two districts.
Tamil Nadu				*	*	Gender Impact Assessment Studies provides key insight for planning
West Bengal	*		*			Findings of gender budget analysis suggest policy guidelines in order to earmark adequate amount of outlays for women.

Annexure 12

State-specific Gender-related Research Studies⁸¹

State	Name of Publication/ Reports
Assam	1. Impact Assessment of Women Oriented Schemes
	2. Compendium of Schemes available under State and Central Government
	3. Gender Budget Analysis (R)
Chhattisgarh	4. Manual and Handbook on Gender Budgeting and Audit in Chhattisgarh
	5. Problems of Poor Women in Chhattisgarh
Himachal Pradesh	6. Gender Empowerment and Declining Sex Ratio
Kerala	7. Gender Sensitivity of Elected Women Representatives and Women Component Plan in Kerala
	8. Introduction to Gender Budgeting: A Gender Sensitive Analysis of Kerala Budget 2008-09
Madhya Pradesh	9. Thematic Report on Gender Budgeting (R)
	10. Impact Assessment of Selected Women Oriented Schemes in Selected Departments in Madhya Pradesh: Identifying the Impact of SHGs in Madhya Pradesh
	11. Status of Livelihood Sectors for Women and Analysing areas of potentials for improving physical quality of life per se standard of living in Madhya Pradesh
	12. Study for identification and listing of roles and responsibilities of women and men in all aspects of water supply sanitation and consequently their respective stakes in provision, operation, services, sustainability and efficiency of selected slums.
Maharashtra	13. Review and Classification of Schemes at State and District level from gender perspective
Nagaland	14. Role of Women in Natural Resource Management
	15. Gender Budget Analysis (R)
	16. Gender Budget Manual
Punjab	17. Gender Empowerment and Declining sex Ratio in Punjab
Rajasthan	18. Training Module on Gender
Tamil Nadu	19. Gender Impact Assessment Studies of Various Schemes
West Bengal	20. Gender Budget Analysis of West Bengal

Annexure 13

Guidelines: Gender Sub-Plans

Planning Commission (MLP Division)

Subject: Guidelines for Preparation of Gender Sub-Plans within the ambit of District Plans

Background

Planning Commission had issued guidelines for preparation of District Plans on August 25th, 2006 vide D.O. No. M-13011/1/2006-SP-Co. Subsequently, a Task Force was set up for the preparation of a Manual for Integrated District Planning. The Manual was released by the Prime Minister in January, 2009. The Manual gives the processes for preparing a participative district plan.

As per the decision taken by the Committee of Secretaries during its meeting held on 1.7.2008, Sectoral Task Forces had been set up for development of Plans for Convergence and Coordination of Government Programmes/Schemes for gender equality and fighting social evils. The Action Plans prepared by the Task Forces are also being monitored by a Committee of Secretaries. As per the decision taken in the last meeting of the Committee of Secretaries, held on June 5th, 2009, the Planning Commission is to have separate gender sub-plans prepared within the district plans of about 20 districts fixing certain milestones to be achieved within a fixed time frame to reflect gender convergence and impact of women empowerment initiatives at the field level.

These guidelines provide a framework for preparing gender sub-plans within the ambit of district plans.

Steps for Preparation of a Gender Sub-Plan

Step 1: Gender orientation and sensitisation of government and non-government stakeholders

One of the basic pre-requisites before any kind of gender budgeting exercise can be taken up and a Gender Sub-Plan prepared, is a clear understanding and appreciation of gender, gender equality and women's empowerment. Regular orientation on gender and gender issues needs to be provided for all relevant government and non-government stakeholders.

Step 2: An analysis of the situation of women and men and girls and boys (and the different sub-groups) in each sector

In the preparation of a district plan, one of the initial steps is to undertake a stock-taking exercise. To ensure gender based stock-taking, wherever possible data should be sex disaggregated. State Governments may consider institutionalising generation, collection and compilation of sex disaggregated and other gender relevant data.

Step 3: Spatial mapping

Women's empowerment requires adequate resource allocation in all areas including health, education, water sanitation and nutrition, sustained employment, access to credit and asset ownership, skills, research and design technology and political participation. Further, regional imbalances have to be corrected. For this, we need to know about the specific needs of women residing in particular villages and towns.

Spatial mapping of social infrastructure and access to the same and employment opportunities for women can highlight the resources available and overall gaps. This will help in pointing to the resources required taking into account the size of the population and norms for availability of facilities, so that universalization of basic social-economic infrastructure is achieved progressively, and interventions and allocations are more focused. The spatial maps can become the basis for regional plans and projections of funds required for women's empowerment. Mapping would also encourage the taking into account of regional imbalances within states and districts.

Step 4: An assessment of the extent to which the sector's policy addresses the gender issues and gaps described in the first step.

This step should include an assessment of the relevant legislation, policies, programmes and schemes. It includes an analysis of both the written policy as well as the implicit policy reflected in government activities. It should examine the extent to which the above meet the socio-economic and other rights and needs of women. Care must be taken to foster convergence of resources/schemes and avoid duplication.

Step 5: Envisioning and participation of stakeholders

Envisioning is a process of building up a set of accepted priorities for the district through a consultative back and forth process. The vision must have a strong grounding on facts built on the district base line data through the stock taking exercise. The envisioning process must involve all stakeholders. Following steps may be taken to ensure participation of women in envisioning and planning:

- Seek women's views in surveys, including through focus group discussions.
- Identify women community leadership and include in all committees formed under various sectors,
- Encourage elected women member networks to exert pressure and throw up leadership for plans with women's views embedded in them.
- Organize capacity building programmes on women's empowerment as a cross cutting theme so that development priorities identified by women are respected.
- Organize special capacity building for women belonging to traditionally muted and excluded groups.
- Organize separate meetings for women to identify issues that they might find uncomfortable to raise before a predominantly male audience.

Involvement of women in decision-making is seen as a key to success of Gender Planning initiatives. It is not enough to say that women's needs and concerns have been taken into account. Women have to be treated as equal partners in decision-making and implementation rather than only as beneficiaries. For this to be effective, there may be need for capacity building not only of elected women representatives but also of women members of Community-Based Organizations (CBOs) and Self Help Groups (SHGs) in order to ensure their active involvement in decision making and planning.

Step 6: Goal Setting and Milestones

As a part of the envisioning and planning process, goals need to be set for the major sectors. For example, if the number of girls who drop out of primary school are higher than the number of boys who drop out, the goal should be to reduce the drop-out rate to at least the level of that of the boys in the first instance and then ultimately to zero drop-out rate. This would be accompanied by the setting of a time-line - say two years to reach the first goal and say five years to reach the next. Similarly, goals could be set for diverse items such as water availability, formation of SHGs, institutional deliveries, provision of BPL cards to women-headed households, etc.

Step 7: Gender Appraisal for all new programmes and schemes:

All new Programmes, Projects and Schemes (PPS) for which funds are requested should be viewed through a gender lens. The suggested format for doing this is in Annex-1. Use of this format will encourage gender sensitivity and women's participation in all new PPS from the start. It will also ensure that the implementation modality of the PPS is gender-sensitive and that gender impact assessment is built into the design of the PPS. This can be done after the district plan is prepared but before individual programmes/projects/schemes are developed, appraised and approved, for implementation.

Step 8: Preparation of Gender Sub-Plan

The Gender Sub-Plans for each sector/department should be prepared in the proforma at Annex-2. This will facilitate review of schemes and public expenditure from a gender perspective and highlight the gender component of plans, expenditure and physical targets. The trend of the targeted expenditure, and male/female reach in terms of beneficiaries is indicative of the extent to which planning and allocation of funds is gender responsive. The exercise can, when first done, point to constraints such as non-availability of gender-relevant data.

The numbers in the financial section of the format in respect of targeted initiatives indicate if this scheme includes special actions to address gender imbalances, such as scholarships for girls. The columns in the physical section of the format reflect the actual achievements, irrespective of whether there is a special targeted action/initiative. Poor performance in respect of physical targets could indicate the need for targeted actions. Along with the physical targets, outcomes may also be specified, where possible.

Step 9: Monitoring whether the money was spent as planned, what was delivered and to whom

This involves checking both financial performance and the physical deliverables (disaggregated by sex). The format in Annex-2 may be used for this purpose.

Step 10: An assessment of the impact of the policy/programme/scheme and the extent to which the situation as assessed in the stock-taking exercise has been changed in the direction of greater gender equality.

Beyond monitoring who the money reaches, it is important to evaluate the impact of programmes and schemes of the government to see if they are meeting the objectives for which they were initiated. Impact analysis can be done through a range of different methods, including impact assessments, evaluations and field level surveys. Results of impact assessment of programmes from a gender perspective help in identifying barriers to women's access to public services/ expenditure. They may also identify that although women were accessed by the programme, it did not bring about the desired changes in their situation and lives. In some cases impact assessments may identify challenges, which require fundamental changes to initiatives. In other cases, only minor changes in design and modalities of implementation may be necessary.

Every year, each department of the Government should conduct an impact assessment of at least two schemes each. Findings of the studies should feed into future plans.

Annexure 14

Format for District Gender Sub-Plan

PART 1 - INTRODUCTION & CONTEXT: This section will provide an introduction and set the context by providing some key relevant gender related data and identification/analysis of the main gender issues faced by the district, relevant to your department.

PART 2 – TABLE OF GENDER SUB-PLAN: Information on financial and physical aspects in the prescribed performa below (Annexe A). For departments that have no beneficiary schemes (like PWD, transport), the performa need not be filled up. There should be one integrated table for all the departments.

PART 3 – WRITE UP ON GENDER SUB-PLAN: All departments, even those that do not have beneficiary oriented schemes will provide a write-up on the following 3 points –

1. What is being done for gender by the department? This will help the department take stock of what they have done already for gender.
2. What new thing(s) is being proposed in the present plan for gender, to address challenges - could be a new scheme or extension of a scheme, or quota for girls/women in a existing scheme or a study/evaluation etc.
3. What does any analyses/impact show and therefore what lessons can we learn for future, to further gender equity and women's empowerment? This will help the department to look at coordination and convergence issues and develop the next years plan / long term plans.

Annexure 15

Guidelines on the 'Generic Structure of the Detailed Project Report (DPR)⁸²

- 1. Context/background:** This section should provide a brief description of the sector/sub-sector, the national priority, strategy and policy framework as well as a brief description of the existing situation.
- 2. Problems to be addressed:** This section should elaborate the problems to be addressed through the project/scheme at the local/regional/national level, as the case may be. Evidence regarding the nature and magnitude of the problems should be presented, supported by baseline data/surveys/reports. Clear evidence should be made available regarding the nature and magnitude of the problems to be addressed.
- 3. Project Objectives:** This section should indicate the Development Objectives proposed to be achieved, ranked in order of importance. The deliverables/ outputs for each Development Objective should be spelt out clearly. This section should also provide a general description of the project.
- 4. Target beneficiaries:** There should be clear identification of target beneficiaries. Stakeholder analysis should be undertaken, including consultation with stakeholders at the time of project formulation. Options regarding cost sharing and beneficiary participation should be explored and incorporated in the project. Impact of the project on weaker sections of society, positive or negative, should be assessed and remedial steps suggested in case of adverse impact.
- 5. Project Strategy:** This section should present an analysis of alternative strategies available to achieve the Development Objectives. Reasons for selecting the proposed strategy should be brought forth. Involvement of NGOs should be considered. Basis for prioritization of locations should be indicated (where relevant). Options and opportunity for leveraging government funds through public-private partnership must be given priority and explored in depth.
- 6. Legal framework:** This sector should present the legal framework within which the project will be implemented and strengths and weakness of the legal framework in so far as its impacts on achievement of project objectives.
- 7. Environmental Impact Assessment:** Environmental impact assessment should be undertaken, wherever required and measures identified to mitigate adverse impact, if any. Issues relating to land acquisition, diversion of forest land, rehabilitation and resettlement should be addressed in this section.
- 8. On-going initiatives:** This section should provide a description of ongoing initiatives and the manner in which duplication will be avoided and synergy created through the proposed project.
- 9. Technology issues:** This section should elaborate on technology choices, if any, evaluation of options, as well as the basis for choice of technology for the proposed project.
- 10. Management arrangements:** Responsibilities of different agencies for project management & implementation should be elaborated. The organization structure at various levels as well as monitoring and coordination arrangements should be spelt out.
- 11. Means of finance and project budget:** This section should focus on means of finance, evaluation of options, project budget, cost estimates and phasing of expenditure. Options for cost sharing and cost recovery (user charges) should be considered and built into the total project cost. Infrastructure projects may be assessed on the basis of the cost of debt finance and the tenure of debt. Options for raising funds through private sector participation should also be considered and built into the project cost.
- 12. Time frame:** This section should indicate the proposed 'Zero' date for commencement and also provide a PERT/CPM chart, wherever relevant.
- 13. Risk analysis:** This section should focus on identification and assessment of project risks and how these are proposed to be mitigated. Risk analysis could include legal/contractual risks, environmental risks, revenue risks, project management risks, regulatory risks, etc.
- 14. Evaluation:** This section should focus on lessons learnt from evaluation of similar projects implemented in the past. Evaluation arrangements for the project, whether concurrent, mid-term or post-project should be spelt out. It may

⁸²Annexure 1, O.M. No. 1(2)- PF.II/03 dated 7.5.2003 of Department of Expenditure, Guidelines for Formulation, Appraisal and Approval of Government funded plan schemes/projects.

be noted that continuation of projects/schemes from one Plan period to another will not be permissible without an independent, in-depth evaluation being undertaken.

15. **Success criteria:** Success criteria to assess whether the Development Objectives have been achieved should be spelt out in measurable terms. Base-line data should be available against which success of the project will be assessed at the end of the project (Impact assessment). In this regard, it is essential that base-line surveys be undertaken in case of large, beneficiary-oriented projects. Success criteria for each Deliverable/Output of the project should also be specified in measurable terms to assess achievement against proximate goals.
16. **Financial and economic analysis:** Financial and economic analysis of the project may be undertaken where the financial returns are quantifiable. This analysis would generally be required for investment and infrastructure projects, but may not always be feasible for social sector projects where the benefits cannot be easily quantified.
17. **Sustainability:** Issues relating to sustainability, including stakeholder commitment, operation and maintenance of assets after project completion, and other related issues should be addressed in this section.

Note: Requirements of the EFC/PIB format may also be kept in view while preparing the DPR.

Annexure 16

Format for EFC/PIB Memorandum⁸³

1. Project identification

- 1.2. Title of the project/ scheme:
- 1.3. Name of the sponsoring agency (Ministry/ Department/ Autonomous Body/Central PSE):
- 1.4. Proposed duration of the project:
- 1.5. Total cost of the project over the proposed duration:

2. Project Status

- 2.1. Please indicate which category the project belongs to:
 - a. Continuing scheme from past Plan periods and included in current Plan period.
 - b. New Plan Scheme included in the current Plan period
 - c. New Plan scheme not included in the current Plan period
 - d. RCE proposal
- 2.2. If project pertains to category 2.1 (a), please summarise the benefits already accrued and expenditure already incurred along with an independent evaluation of the past performance of the project scheme.
- 2.3. If the project pertains to category 2.1 (c), please indicate steps initiated for obtaining approval of Full Planning Commission.

3. Justification for the project

- 3.1. The justification for taking up/ continuing the project or scheme may be provided.
- 3.2. The alternatives that have been considered before firming up the design of the project may be stated. (This should also include alternate modes of project delivery, e.g. outsourcing PPP etc. that have been considered).
- 3.4. Please state whether the project proposal has objectives and coverage which overlap with projects/ schemes being implemented by the same or another agency (Ministry/ Department/ State government). In cases of overlap, please state why the project scheme needs to be considered as a separate stand alone effort.

4. Project Objectives and targets

- 4.1. The objectives of the project may be mentioned. These objectives should flow from the project justification.
- 4.2. The expected date of project/ scheme completion may be stated. This should be realistic and supported with a chart indicating timelines for the important activities, with a critical path analysis, identifying the main constraints.
- 4.3. The specific targets proposed to be achieved of the project/ scheme may be mentioned. These targets should be necessary measurable. These should also be monitor-able, against baseline data. The baseline may be indicated.

5. Project design

- 5.1. Briefly explain the project design. This should include all components of the project.
- 5.2. In case the project or scheme is location specific, please state the basis for selection of such location.
- 5.3. if the project involves creation/ modification of structural and engineering assets or change in land use plans, disaster management concerns as brought out in OM no. 37(4)/PF-II/2003 dated 19-06-2009 should be assessed. A self-certification in this regard may be enclosed with the EFC memo.
- 5.4. In case of beneficiary oriented project/ scheme, the mechanism for identification of the beneficiary and the linkage of beneficiary identification with UID numbers may be indicated as advised in O.M. No. 1(3)/PF-II/2001 dated 09.08.2010.
- 5.5. Wherever possible, the mode of delivery should involve the *Panchayati Raj* Institutions and Urban Local Bodies. Where this is intended, the preparedness and the ability of the *panchayats* for executing the project may be indicated. If exceptions are to be made, the reasons may be explained.
- 5.6. In case the project involves land acquisition or environmental clearances, the specific requirements and the status in this regard may be indicated.

5.7. The legacy arrangements after the scheduled project duration may be mentioned. In case the project creates assets, arrangements for their maintenance and upkeep may be stated. (For example the project assets may be taken over and maintained by the State Government/ PRIs; ULBs).

5.7. Whether the guidelines of Bureau of Energy Efficiency and other related guidelines for energy efficient buildings etc. have been considered / complied with.

5.8. Whether the project is secured against natural/ man-made disasters like floods, cyclones, earthquakes, tsunamis etc.

6. Project/Scheme cost

6.1. Please provide the project cost estimate for its scheduled duration along with a break-up of year-wise, component-wise expenses segregated into non-recurring and recurring expenses. It may also be indicated whether land is needed, if so whether which agency is providing for it, and in case the cost of land is to be booked to the project, whether it has been included in the estimates.

6.2. Estimated expenditure on project administration (including expenses on consultants, etc.) may be separately indicated.

6.3. The basis of these cost estimates along with the reference dates for normative costing may be provided. The firmness of the estimate may be indicated along with the cost components that may vary, the factors that could cause the variation, and the extent of the expected variation.

6.4. In case the project/scheme involve payout of subsidy, the year wise expected outgo, up to the last year of payout, may be indicated.

6.5. In case the project/scheme intends to create capital assets, employ specialised manpower or involves other activities that necessitate a Recurring Cost of Capital Expenditure (RCCE) (e.g., maintenance and upkeep costs of assets, salary costs of manpower, etc.) over the lifetime of the asset, such expenditures, on an annual basis, may be indicated in the project proposal.

6.6. It may also be stated whether the agency which would be assigned this legacy responsibility has been consulted and has agreed to bear the continuing recurring expenditure. (e.g., the State governments may need to incur the maintenance and upkeep costs of assets created under Plan schemes.

6.7. The cost towards salary/fees/emoluments of the project human resources as being proposed should be indicated (procedure for seeking approval of the human resource requirements is however detailed at para-7 below).

6.8. The component of the costs mentioned at 6.1-6.7, that will be shared by the state governments may be indicated.

6.9. In the event of fund transfer being made to State governments, local bodies or other organisations, “grants for creation of capital assets” may be indicated separately.

7. Project Human Resources

7.1. Please indicate whether the nodal officer directly in charge of the project has been identified. Details about his status, past experience in executing similar projects and balance tenure left for steering the project may also be mentioned.

7.2. In case posts (permanent or temporary) are intended to be created, such proposal may be sent on file to Personnel Division of Department of Expenditure separately. Such proposals may be sent only after the overall project proposal is recommended by the appropriate appraisal body (SFC, EFC, etc.).

7.3. In case outsourcing of services or hiring of consultants is intended, brief details of the same may be indicated. It may also be certified that the relevant GFR provisions will be followed which engaging the agency/consultant.

7.4. In case additional manpower requirement, please indicate the phased requirement over the project timeline (i.e. year-wise break-up of the manpower requirement)

8. Project financing

8.1. The source of financing for the project may be indicated. In case of project already included in the FYP, the specific earmarking may be mentioned. In case of any deviations from this quantum, the sponsoring agency may indicate how the gap will be addressed.

8.2. The availability of funds in the budget of the present year and the requirements projected may be mentioned. In case of any deviations, please indicate how the gap will be addressed.

8.3. If external sources are intended, the sponsoring agency may indicate whether such funds have been tied up. In case firm commitment is not available, alternate plans for arranging funds may be indicated.

8.4. Whether the funding requirements have been fully tied up with Planning Commission may be indicated.

9. Project viability

- 9.1. In case of projects which have identified stream of financial returns, the financial internal rate of return may be calculated. The hurdle rate is considered at 12%.
- 9.2. In case of projects where financial returns are not readily quantifiable (typically social development projects), the economic rate of return may be estimated.

10. Project implementation and monitoring

- 10.1. The administrative structure for implementing the project may be stated. In case new structures/entities are by and large to be avoided. In case new structures are intended to be created for administering the scheme, the details of such structures and specific justification for the same may be provided. Such new structure should be proposed only if it has been established after due analysis, that existing structures cannot be levered for the proposed/additional work.
- 10.2. A flow chart for the intended fund flow mechanism may be indicated. Funds flows for all schemes/projects in states should ordinarily be through the State Government.
- 10.3. The monitoring framework for the project/ scheme may be indicated. The arrangements for audit of the project may also be stated.

11. Project/Scheme sensitivities

- 11.1. Any foreseeable constraints/ uncertainties which can affect the technical design, costing & implementation of the project may be indicated.
- 11.2. The likely impact of these constraints/ uncertainties on the project parameters may be stated. In particular, the sensitivity of the project cost, project schedule and project viability towards the possible constraints/ uncertainties may be mentioned.

12. Project period

- 12.1. The expected date of project completion may be stated. This should be realistic and supported with PERT chart of the important activities, with a critical path analysis, identifying the main constraints.
- 12.2. The project closure date should also be indicated beyond which further government support/ disbursement of funds will not be required.
- 12.3. A time line for the project deliverables (i.e. measurable deliverables phased year-wise) may be included.

13. Revised Cost Estimates (RCE) proposals

- 13.1. Details of physical progress achieved and expenditure incurred and commitment made so far may be given.
- 13.2. Date of latest approved, revised and proposed completion schedule of the project along with time overrun and reasons thereof may be elaborated.
- 13.3. Item-wise cost variance between approved (latest) cost and revised cost as proposed may be given.
- 13.4. Reasons of increase in cost may be given in the following manner
 - a. Price Escalation
 - b. Foreign Exchange variation
 - c. Statutory levies
 - d. Change in Scope
 - e. Addition/deletion
 - f. Under-estimation
 - g. Others (to be specified)
- 13.5. The underlying justification for increases in cost due to various factors may be explained.
- 13.6. Effect of revision in capital cost estimates on cost of production and profitability / viability with reference to earlier approved capital cost of the project
- 13.7. Report of Standing Committee to fix the responsibility for cost and time overrun along with action taken report on its recommendations may be appended with the EFC/PIB memo.

Annexure 17

Appraisal of Plan Schemes/Projects⁸⁴ : Financial Limits and Appraisal Forum

Financial limits of Plan scheme/project	Appraisal Forum
Upto Rs.5.00 Crores	Ministry/Department concerned, in normal course.
Above Rs. 5.00 Crores but less than Rs.25 Crores.	Standing Finance Committee of the Department concerned under the Chairmanship of Secretary with Financial Adviser and Joint Secretary/Director of the concerned Division as members with provision for inviting representatives of the Planning Commission, D/o Expenditure and any other Department that Secretary or Financial Adviser may suggest.
Rs. 25 Crores and above but less than Rs.100 Crores	Departmental Expenditure Finance Committee (EFC). Departmental EFC will be chaired by Secretary of the Administrative Department. It will include the Financial Adviser, as the Member Secretary, and the representatives of Planning Commission and D/o Expenditure as members.
Rs.100 Crores and above but less than Rs.200 Crores.	Main Expenditure Finance Committee (EFC). Main EFC will consist of Secretary (Expenditure) who will chair the meeting, Secretary (Planning Commission) and Secretary of the Administrative Department. FA will be the Secretary of this EFC.
Rs.200 Crores and beyond.	Public Investment Board (PIB)/Main EFC chaired by Secretary (Expenditure). Projects/schemes where financial returns are quantifiable will be considered by PIB, others by the EFC.

Annexure 18

Departments and Schemes Covered Under Mission Convergence

1. Social Welfare

Old Age Assistance, Unemployment Allowance to Disabled, Scholarship for the Disabled Students, Stipend to Physically Handicapped Students, Assistance to Physically Handicapped for Purchase of Aids and Appliances, provision of subsidized petrol/diesel for the disabled, National Family Benefit Scheme, Financial Assistance for the Socially and Physically Handicapped Persons.

2. Women and Child Development

Integrated Child Development Scheme (ICDS), Pension of Widows, Financial Assistance scheme for Widows for performing marriage of their daughters, Financial Assistance scheme for Widows for Marriage of orphan girls, Delhi Ladli Scheme.

3. Food and Supplies

Below Poverty Line ration cards, *Antyodaya Anna Yojana (AAY)*, and *Annapurna*.

4. Health

Mamta, *Shravan Shakti Abhiyan*, *Janani Suraksha Yojana*, Free Treatment in Private Hospital, Mobile Van Dispensaries for JJ Cluster, School Health Scheme, Delhi Arogya Nidhi, CATS/Ambulance

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5. Urban Development

Swaran Jayanti Shahri Rojgar Yojna, Urban Self Employment Programme (UNSEP), Development of Women and Children in Urban Area (DWCUA)

6. Labour Welfare

Rashtriya Swasthaya Bima Yojana, welfare schemes for construction workers' education, subsidy for school uniform, free transport facility of girls in rural areas, additional schooling facilities in the age group of 11-14 years & 14-17 years. Economically backward minority students, Sarva Shiksha Abhiyan, mid-day-meal programme, grant - in-aid to aided schools for uniform subsidy to girl students, grant-in-aid to aided school for text books to girl students, LBS scholarship to meritorious students.

7. Welfare for SC/ST/OBC/Minorities

Free supply of stationary to SC/ST/OBC/Min. students (class VI to XII), merit scholarship to SC/ST student (class VI to XII) and college professional, merit scholarship to OBC/Min (class VI to XII) and college professional, vocational and technical scholarship to SC/ST/OBC/Minorities, reimbursement of tuition fee in public school, free coaching for SC/ST/OBC/Minorities, Composite loan Scheme (GOI).

8. SC/ST/OBC/Minorities/Handicapped Financial & Development Corporation

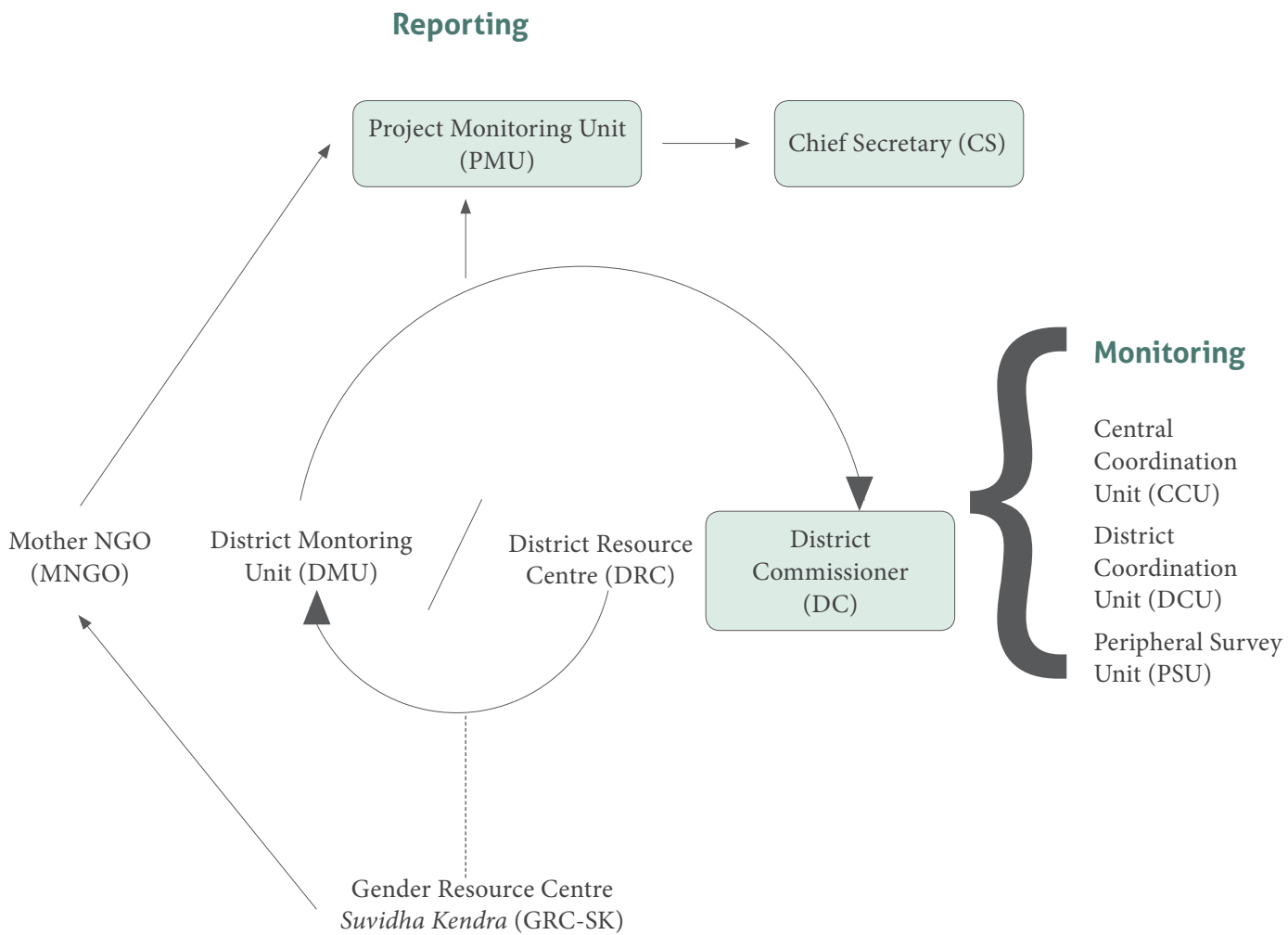
Education Development, Social Development and other Development, Education Loan, Vocational Training (GOI)

Source: <http://sss.delhigovt.nic.in/>

Annexure 19

Organisation Structure: Mission Convergence

Organisational Structure



Annexure 20

Kudumbashree: Aims and Objectives

The Aims and Objectives for which the mission was established are⁸⁵

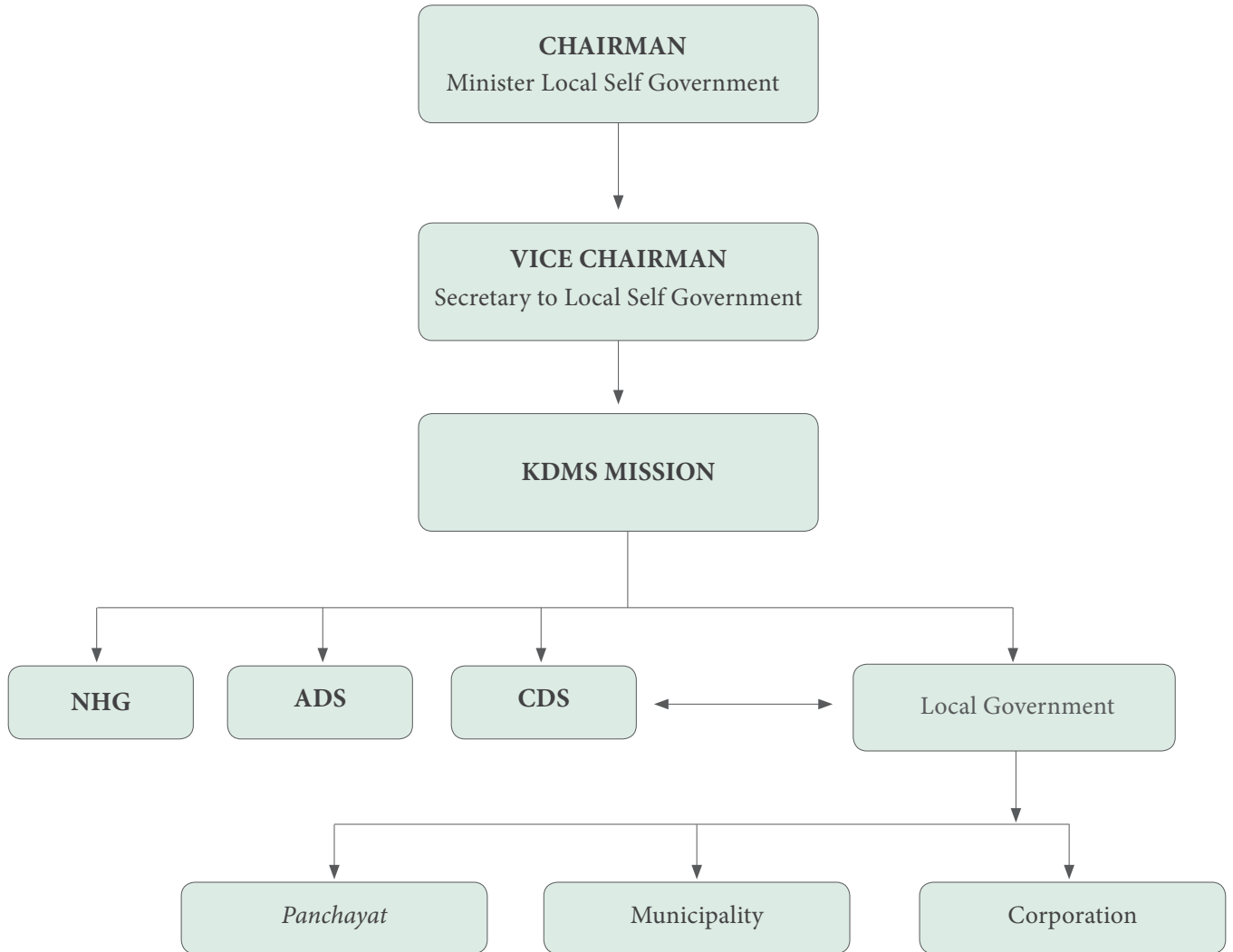
1. Facilitating self-identification of the poor families through a transparent risk index composed of socially accepted indicators of poverty through a participatory survey.
2. Empowering the women among the poor to improve their individual and collective capabilities by organising them into Neighbourhood Groups at the local level, Area Development Societies at the local government ward level and Community Development Societies at the local government level.
3. Encouraging thrift and investment through credit by developing CDSs to work, as “Informal Banks of the Poor”.
4. Improving incomes of the poor through upgradation of vocational and managerial skills and creation of opportunities for self-employment and wage employment.
5. Ensuring better health and nutrition for all poor families.
6. Ensuring access to basic amenities like safe drinking water, sanitary latrines, improved shelter and healthy living environment.
7. Ensuring zero drop-out in schools for all children belonging to the poor families.
8. Promoting functional literacy among the poor and supporting continuing education.
9. Enabling the poor to participate in the decentralisation process through the CDS, as a sub-system of the local governments.
10. Helping the poor to fight social evils like alcoholism, smoking and drug abuse, dowry, discrimination based on gender/religion, caste etc.
11. Providing a mechanism for convergence of all resources and services meant for alleviation of poverty in the State.
12. Collaborating with governmental and non-governmental institutions and agencies in all activities related to improving the quality of life of the poor.

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⁸⁵<http://www.kudumbashree.org/index.php?q=rules>

Annexure 21

Kudumbashree: Partnership with Local Government



Annexure 22

Functions of the Performance Management Division⁸⁶

1. Design a state-of-the-art performance management system in the Government after a comprehensive review of best practices internationally.
2. Document the approved performance evaluation and management methodology and update it from time to time or as required.
3. Create user-friendly guidelines and checklists for implementing the performance management system for various government departments.
4. Conduct (or organize through premier training institutions) briefing sessions and training programs for officers at various levels in the Government to ensure proper understanding of the performance management system (including guidelines and checklists).
5. Create and maintain a data base of relevant national and international benchmarks for various government agencies.
6. Organize meetings to discuss and design results-based management framework for departments and ministries.
7. Maintain records and library of relevant documents.
8. Prepare analytical notes and background papers to facilitate development of challenging targets.
9. Manage correspondence and communications with other stakeholders.
10. Produce a newsletter to keep stakeholders informed of the latest developments and future plans.
11. Create and maintain a website to promote transparency and effective dissemination of performance information.
12. Provide technical assistance to departments in order to improve the quality of performance (success) indicators and targets.
13. Develop and manage an advanced electronic (E-Government) system to generate reports for decision makers.
14. Organize an annual awards ceremony to declare results and discuss success stories and lessons learnt from best practices.
15. Create a knowledge sharing unit to disseminate good practices and advise state governments on the adoption of similar system at the state level.
16. Organize international conferences and workshops to learn from other successful efforts in this area around the world.

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⁸⁶<http://performance.gov.in/About-Us.html>

Annexure 23

RFD Format

Column 1	Column 2	Column 3	Column 4		Column 5	Column 6				
Objective	Weight	Actions	Success Indicator	Unit	Weight	Target/Criteria/value				
						Excellent	Very Good	Good	Fair	Poor
						100%	90%	80%	70%	60%
Objective 1		Action 1								
		Action 2								
		Action 3...								

Annexure 24

Inputs and Suggestions

Section 1: Planning and Budgeting		
	Case Study	Resource Person
1.A.	The Working Group of Feminist Economists (WGFE)	Dr. Devaki Jain and Ms. Yamini Mishra
1.B.	A Civil Society Initiative coordinated by the National Alliance of Women (NAWO)	Dr. Pam Rajput and Ms. Meenakshi Kathel
1.C.	Kerala State Planning Board : Experiences of Engendering State Plans	Dr. Mridul Eapen
1.D.	A participatory, bottom-up approach to Trainings in Gender Responsive Budgeting: Jammu & Kashmir	Ms. Hafiza Muzzafar
1.E.	Experience of Engendering State Plans through Human Development Reports (HDR) : UNDP	Ms. Ritu Mathur
1.F.	Engendering District Plans : Experience with Gender Sub plans	Ms. Firoza Mehrotra
Section 2: Implementation Models		
2.A.	Mission Convergence and Gender Resource Centres (GRCs)	Ms. Rashmi Singh and Ms. Deepa Ahluwalia
2.B.	The <i>Kudumbashree</i> Model	Ms. Sarada Muraleedharan
Section 3: Accountability Mechanisms		
3.A.	Listening to the Voices from the Field : Mid Term Appraisal of the Eleventh Five Year Plan	Dr. Pam Rajput and Dr. Dinesh Agarwal
3.B.	Results Framework Document (RFD)	Dr. Prajapati Trivedi and Prof. Aasha Kapur Mehta

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