



**Report on the Evaluation of  
Backward Regions Grant Fund (BRGF) in the State of  
Maharashtra**

**Submitted to**  
The Ministry of Panchayati Raj, Government of India

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# **Report on the Evaluation of Backward Regions Grant Fund (BRGF) in the State of Maharashtra**

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# *Executive Summary*

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## **Introduction**

Backward Regions Grant Fund (BRGF) Programme was launched in the Month of February 2007 to address the regional imbalances in development through providing financial assistance to meet the critical gaps in development and convergence of existing flagship programmes in India. It also aimed in the strengthening of the planning capacity of the Panchayati Raj Institutions (PRIs), reducing the overall backwardness of the region, poverty reduction, improved livelihood, facilitating participatory planning reflecting the local felt needs, implementation and monitoring. The BRGF programme has been discontinued in 2015-16. The Ministry of Panchayati Raj (MoPR), Government of India, New Delhi has assigned the responsibility for the evaluation of the BRGF programme in the 28 States to the Centre for Rural Management (CRM), Kottayam , Kerala. This is the exclusive report for the State of Maharashtra. Twelve districts are included in the scheme in Maharashtra.

## **Objectives**

The basic objectives of the evaluation of BRGF are

1. Assessment of whether the various BRGF schemes:
  - a) Strengthened Panchayat and Municipality level Governance with appropriate capacities built: and,
  - b) Facilitated participatory planning, decision making, implementation and monitoring that reflected local needs.
2. Assessment of professional support provided to local bodies towards BRGF planning, implementation and monitoring.
3. Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which were not being adequately addressed through existing inflows



4. Assessment of whether BRGF contributed to:

- a) The improvement in performance and delivery of critical functions assigned to Panchayats /Municipality and,
- b) Counter possible efficiency and equity losses owing to inadequate local capacity.

## **Methodology**

The methodology for conducting the assignment was the collection of data, interaction with the elected functionaries, discussions with officials of PRIs, implementing officers of the line departments, focus group discussions with stakeholders and physical verification of assets created under the scheme. Both primary and secondary data were collected.

## **Sample**

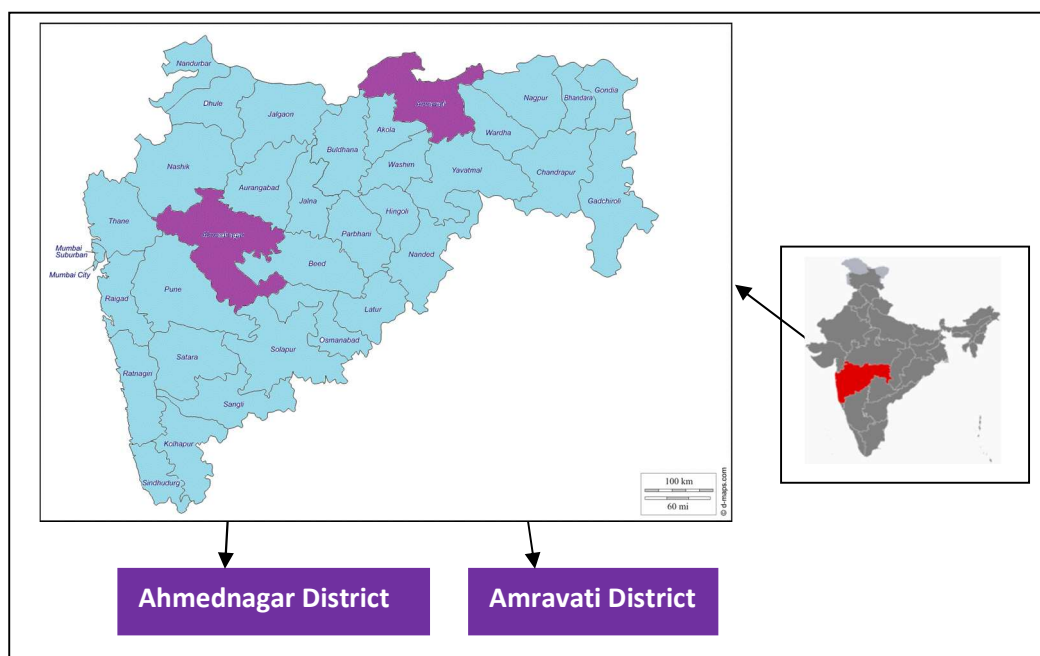
Maharashtra has 12 BRGF districts. As per the Terms of Reference (ToR) , two districts are selected for the states having 10-20 BRGF districts. Therefore, two districts (one best performing and one least performing district) are selected from the State of Maharashtra. From each district, three intermediate Panchayats / blocks were selected. A best performing Intermediate Panchayats / Block, a least performing one and a medium performing were selected. Two Urban Local Bodies (ULBs) from each district were also selected, randomly. Further, from each Intermediate Panchayat / Block, four Gram Panchayats were selected randomly for data collection. In each Gram Panchayat, five selected assets developed under BRGF, were physically verified and two stakeholders from each asset interviewed. One Focus Group Discussion (FGD) was conducted for each Panchayat / ULBs.

**Table No. E.1: Selected Districts, Blocks, Gram Panchayats and ULBs in Maharashtra**

District	Intermediate Panchayats/ Block	Name of Gram Panchayats Visited	Urban Local Bodies
1.Ahmednagar	1.Akole	1.Ghodsarwadi	1.Rahuri
		2.Vithe	2.Deolali Pravara
		3.Induri	
		4.Samserpur	
	2.Nagar	1.Pokhardi	
		2.Dehere	
		3.Nandgaon	
		4.Darewadi	
	3.Rahuri	1.Bramhani	
		2.Baragaon Nandur	
		3.Wambori	
		4.Satral	
2.Amaravati	1.Amaravati	1.Mahuli- Jhangir	1.Chandur Railway
		2.Anjangaon	2.Achalpur
		3.Walgaon	
		4.Wadgaon Jire	
	2.Chikhaldara	1.Vastapur	
		2.Samarkheda	
		3.Telkhava	
		4.Badampur	
	3.Bhatkuli	1.Nimbha	
		2.Wathodash	
		3.Waygoan	
		4.Sayat	

Source: Field Data

**Diagram E. 1: Selected Districts of Maharashtra**



## Tools

Separate questionnaires were prepared to collect BRGF data from:

- 1) State Headquarters
- 2) District Planning Committees (DPCs),
- 3) Zilla Parishads ,
- 4) Intermediate Panchayats,
- 5) Municipalities and Gram Panchayats.

In each Gram Panchayat, five selected assets developed under BRGF, were physically verified and two stakeholders from each asset interviewed. One FGD was conducted for each Panchayat / ULB.

**Table No. E.2: Details of Questionnaires Covered in the Study**

Sl. No	Category	Number
1.	State	1
2.	Zilla Parishads	2
3.	DPCs	2
4.	Intermediate Panchayats	6
5.	Municipalities	4
6.	Gram Panchayats	24
7.	Assets	140
8.	Stakeholders	280

**Source:** Field Data

### **Methodology for assessing the extent (on the scale of 0-10 for each state) to which objective of BRGF including the Implementation of Decentralized Planning**

As per the terms of reference for the study a composite BRGF Index is to be prepared. To arrive at a cumulative measure from the analysis of four parameters, an overall value was assigned to each parameter and the value assigned is 2.5. To arrive at this overall value,

questions from the PRI Schedules, Asset Schedules, Stakeholder Schedules and Community Schedules (FGD format) were assigned to each parameter. Questions were assigned to each parameter and classified therein as indicators, based on the specific aspect of the parameter that a question represented. Each question was then assigned a marking scale so as to analyze the performance of each PRI and Municipality (ULB).

Data from the field visits were used to mark the performance of every PRI and Municipality. However, the marks secured by a State for a particular parameter was calculated by dividing the marks obtained by that State for that parameter with the maximum marks that can be scored in that parameter and then multiplying the result with the overall value of 2.5. The overall score of a State was determined as the aggregate of the scores obtained in all the four parameters.

**Parameter 1:** Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows

Seven indicators are assessed and 27 questions are asked. Maximum and minimum marks that can be scored are 71 and 0, respectively. The State's score is calculated by dividing the marks obtained with the Maximum Mark (71) and then multiplying it with 2.5. The mark obtained for this parameter is 2.11 (Refer Table No. A1.1 in Annexure 1)

**Parameter 2:** Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision making implementation and monitoring that reflected local needs.

Six indicators are assessed and 19 questions are asked. Maximum and minimum marks that can be scored are 100 and 0 respectively. The score of a State is calculated by dividing the marks obtained with the Maximum Mark (100) and then multiplying the result with 2.5. The mark obtained for this parameter is 2.07 (Refer Table No. A1.2 in Annexure 1)

**Parameter 3:** Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF

Three indicators are assessed and nine questions are asked. The maximum and minimum marks that can be scored are 33 and 0, respectively. State's score is calculated by dividing the marks obtained with the Maximum Mark (33) and then multiplying the result with 2.5. The mark obtained for this parameter is 1.97 (Refer Table No. A1.3 in Annexure 1)

**Parameter 4:** Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and Municipalities and counter possible efficiency and equity losses an account of inadequate local capacity.

Six indicators are assessed and 21 questions are asked. Maximum marks and minimum marks that can be scored are 105 and 0, respectively. The score of a State is calculated by dividing the marks obtained with Maximum Mark (105) and then multiplying the result with 2.5. The mark obtained for this parameter is 1.81 (Refer Table No. A1.4 in Annexure 1)

### **Design of the Study**

In addition to the executive summary, there are four chapters in the report. Chapter 1 deals with introduction. The major findings are included in chapter 2. Chapter 3 elaborates calculation of performance index of BRGF whereas chapter 4 gives gaps, recommendations and conclusions.

### **Experience from the Field**

Two Districts were selected and from each district and three Panchayat Samitis and four Village Panchayats from each Panchayat Samiti had been selected for field level verification. The districts selected were i. Ahmednagar and 2.Amaravati.

## **Ahmednagar District**

The total allocation received by the district is Rs.190.32 crores and the expenditure incurred is Rs. 185.53 crores. Out of the total utilization, more than 50 per cent of the fund is utilized for infrastructure sector and 20 per cent of the fund is utilized for water supply. The total number of works completed under the scheme is 13435. In Ahmednagar three Panchayat Samitis are selected for field level verification and they are Ahmednagar, Akole and Rahuri. The total fund allocated to these Panchayat Samitis is Rs. 3898.07 lakhs. Four Gram Panchayats were randomly selected from each Intermediate Panchayat for field level verification. The total fund allocated to the 12 selected Gram Panchayats was Rs. 342.71 lakhs. The average fund allocated per Panchayat Samiti is Rs. 1299.36 lakhs and the average fund allocated per Gram Panchayat is Rs. 28.56 lakhs.

## **Amaravati District**

The total fund allocated to the district under BRGF is Rs. 130.29 crores and the expenditure is Rs. 124.94 crores. The total number of works completed under the scheme is 5874. The Panchayat Samitis selected were Amaravati, Chikhaldara and Bhatkuli. Total fund allocated to the selected Panchayat Samithis is Rs. 2184.16 lakhs. The total fund allocated to the 12 selected Gram Panchayats was Rs.243.14 lakhs. The average fund allocated per Panchayat Samiti is Rs. 728.05 lakhs and the average fund allocated per Gram Panchayat is Rs. 20.26 lakhs.

## **Major Findings**

### **1. Involvement of Grass Root Level Governments in Planning**

In Maharashtra the planning process under BRGF was entrusted only with the Gram Panchayats (GPs) and Urban Local Bodies (ULBs). Rallies, processions, torch processions , games with children, drum beating, wall writings, door to door campaigns and publication of vernacular notices were applied to communicate the message the of local level planning (micro planning) to the people. In all the 24 selected Gram

Panchayats and four ULBs the local community were mobilized and sensitized for the grassroots level planning. A baseline survey in all the grassroots level local governments was designed as part of the planning exercise which includes household survey, social mapping, seasonality analysis, resource mapping, sector wise stocktaking and gap analysis. All 24 selected Gram Panchayats and four ULBs had conducted the baseline survey. The Gram Sabhas and Ward Sabhas have been conducted for the identification of felt needs. . Out of the 28 selected cases, all except three had felt need identification exercise (89.28 %). The prioritization of projects was held at the local level in 96 per cent cases. An annual plan was prepared for each GP and ULB as per the financial allocation under the BRGF. After the preparation and official approval of the Action Plans by the GPs, it was submitted to the Panchayat Samitis at the block level for consolidation. All the 24 GPs had reported that their action plans were consolidated by the respective Panchayat Samitis. All the 24 GPs stated they had technical support from the Panchayat Samitis. No action plan of the GP was rejected or sent back for revision. All the action plans of the two selected ULBs were consolidated by the TSI whereas in the absence of the TSI the other two ULBs in Amaravati district was done by DRDA directly. The district plans of the Ahmed Nagar and Amravati , were officially approved by the High Power Committee (HPC). Out of the selected 28 GPs and ULBs, 20 GPs conducted Special Gram Sabhas for the approval of the working details of the BRGF implementation and no Special Ward Sabhas had held in any of the four selected ULBs. The grassroots planning exercise followed by the GPs and ULBs under BRGF is the same as what recommended in the Manual for Integrated District Planning (2009) by the erstwhile Planning Commission. (Refer Section 2.1)

## **2. District Plans**

One of the objectives of the scheme was to strengthen local governance including its planning capabilities. District has been identified and accepted as the sub state level planning unit under BRGF. The ‘Ahmednagar District Plan’ was more than an action plan , but it was only a constituent of district plan, a component of BRGF and many such



components had to come together to constitute the ‘District Plan’. The Amaravati ‘District Plan’ is only an action plan for BRGF. (Refer Section 2.2)

### **3. Institutional Structure**

The monitoring was effective and timely interventions were made from the state by a newly formed institutional structure of HPC. At the district level, there were Office of the District Collector (DC) and Zilla Parishad /District Rural Development Agency (ZP/DRDA). However, both had converged at the level of District Planning Committee (DPC). At the block level there are two institutional structures of the Panchayat Samitis and the Block Development Offices. But no institutional structure was designed for convergence at the block level. No institutional structure except, a team for social audit was constituted at the programme implementation level to support the Village Panchayats and ULBs. (Refer Section 2.3)

### **4. Administrative and Technical Capabilities**

All the major 13 steps on planning were followed by all the selected 24 Gram Panchayats and four ULBs. Most of the assets created are having good quality and utility of the assets also been rated as high by the local community. Large share of the assets are registered in the ‘asset register’ of the concerned agency and maintained properly. Majority of works are completed in record time. Training programmes attended by a team from the Gram Panchayats and the ULBs made instrumental in conducting social audit. (Refer Section 2.4)

### **5. Mitigation of Backwardness**

Though the funds received by the Panchayats are comparatively less, they have tried to mitigate the backwardness of the area with the available funds. The planning process and the involvement of the local community had been worked as an enabling platform to create assets which has the potential to mitigate the overall backwardness of the respective sectors and regions. The detailed analysis of the assets created under the

BRGF in the two districts has succeeded in achieving improved social and physical infrastructure in the respective domain. (Refer Section 2.5)

## **6. Convergence**

In the action plan, no convergence and synergistic mode was seen proposed. As a result, it was not applied in the implementation of projects. Lack of clarity among the stakeholders in applying the concept of convergence and synergistic mode with other schemes is noticed. Though details of convergence were not proposed in the action plan, a few of the ULBs and Gram Panchayats had made attempts to converge the projects with own fund, *Dalitvasti*, a State Sponsored Scheme (SSS) and Central Finance Commission (CFC) Grant. Out of the 28 selected implementing entities 11 had the experience of ‘convergence’ in 14 projects. (Refer Section 2.6)

## **7. Capacity Building under BRGF**

Separate allocation of funds, at the rate of Rs.1.00 core per BRGF district was earmarked under BRGF for capacity building of the stakeholders. The State Government appointed YASHADA as the nodal agency for capacity building programme for BRGF and the agency had imparted training to Elected Representatives of the three tiers of Panchayats and to the officials associated with PRIs. Though the State did not succeed to utilize the full amount allocated for the capacity building under BRGF, the capacity building and training (CB&T) was a successful venture in terms of the content, coverage and its value. However, in the case of ULBs it may be taken with a pinch of salt. (Refer Section 2.7)

## **8. Time Frame**

Majority of works in both the districts had been completed in record time. Out of the 140 assets verified in the State more than 70 per cent of the assets are completed within eight months. Among the districts more acclaim is given to Ahmednagar. The completion of building works took more time and the delay was suspected to be the complicity in the nature of works rather than the non availability of funds. (Refer Section 2.8)

## **9. Fund Flow**

The funds received under BRGF at the State level were transferred to DRDA / Zilla Parishad. Five percent funds were kept aside for data base management, monitoring, evaluation and office automation. One third party evaluation was conducted in the State. The balance 95 per cent was allocated to Panchayat Samitis and ULB's below five lakh population. The Panchayat Samitis had again re-allocated the amount to the Gram Panchayats based on population of general category, Scheduled Caste and Scheduled Tribes within the respective Panchayat Samitis. The fund flow is designed in such a way for meeting the time frame of each project activity. It was seen that the fund flow was an assured one and therefore no case of waiting for funds was registered and finally no implementing entities had to wait for funds. It is observed that while allocating and re-allocating the funds to the PRIs and ULBs, no subjective and political consideration was taken into account. (Refer Section 2.9)

## **10. Quality of Assets**

The field data from the two districts revealed that the assets created under the scheme has good quality. In Ahmednagar district, 70 per cent of the respondents made comments on the quality of their respective assets as 'good', 21.43 per cent as 'very good' and 7.14 per cent as 'best'. In Amaravati district, 94.29 per cent of the respondents had reported the status of the assets as 'good' and remaining as 'very good'. The implementation process had created an enabling environment which ensures participation, transparency and vigilance in the domain of public asset creation. (Refer Section 2.10)

## **11. Usage of Assets**

The local community / the stakeholders are capable to evaluate the present and potential usage of the assets created and the assets are measured in terms of economic and social value. In terms of usage, the assets created in Ahmednagar district have an edge over the assets in Amaravati district. In both the cases, majority of the assets have the high potential and which serves as capital assets. In Ahmednagar district 98.58 per cent of the

respondents have agreed that the assets are in full use and in Amaravati district 84.29 per cent of the respondents reported the utility the assets as in affirmative terms. However, the status of the assets created for the benefit of marginalized community, particularly for the tribal communities have to take with a pinch of salt. (Refer Section 2.11)

## **12. Capacity of PRIs to Maintain the Assets**

Generally, maintenance of assets is not the main concern of the agency that created the assets. As a result, public assets are kept in poor status of maintenance. This is not the case of the assets created by the PRIs and ULBs in the two selected districts of Maharashtra. All forms of assets need some form of maintenance in future. Detailed examination of the status of the assets created by the PRIs and ULBs in the selected districts revealed that majority of the assets are registered in the ‘asset register’ and maintained properly, though there are variations among the districts. It gives an impression that the Panchayats and ULBs are capable to maintain the assets created, subjected to enabling factors. (Refer Section 2.12)

## **13. Social Audit**

The training programme conducted by the YASHADA made an impact among the Panchayats and ULBs to institutionalize a system for conducting social audit. The social audit team of eight members could conduct the business in majority of Panchayats and ULBs. However, the system was not very effective in the ULBs whereas it was vibrant in Panchayats. The social audit was more effective in Ahmednagar district than compared to Amaravati district. (Refer Section 2.13)

## **An Assessment of the Extent to which the Objectives of BRGF have been fulfilled**

Here, an attempt has been made to quantify the extent to which the set objectives of the BRGF have been fulfilled. The Cumulative Performance Index is the summation of the following four parameters of the fulfilled objectives of BRGF according to the respective weightage for each parameter. They are (i) Assessment of whether BRGF helped to

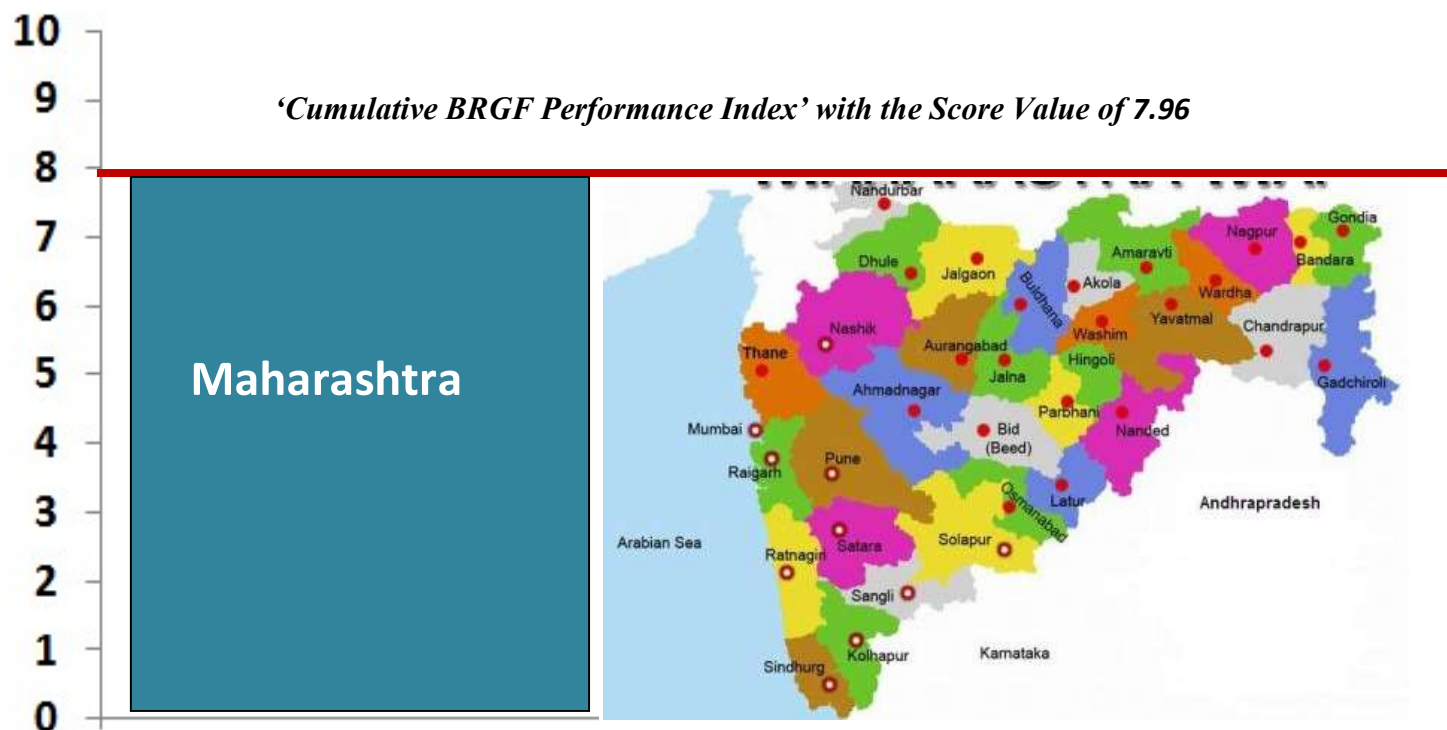
bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows,(ii) Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision making implementation and monitoring that reflected local needs,(iii) Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF, and (iv) Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and Municipalities and counter possible efficiency and equity losses an account of inadequate local capacity. As per the methodology adopted and its measurement the State of Maharashtra reaches the position in the ‘Cumulative BRGF Performance Index’ with the score value of 7.96 (on the scale of 0-10). It may be noted that score is near to the maximum value. The overall performance of Maharashtra is rated high.

**Table No.E.3: Consolidation Sheet to Assess the Extent of Fulfillment of the Objectives of BRGF**

SI No	Parameters	Weightage (Marks) Scored	Total Weightage (Marks)
1	Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows	2.11	2.5
2	Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision making implementation and monitoring that reflected local needs.	2.07	2.5
3	Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF	1.97	2.5
4	Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and municipalities and counter possible efficiency and equity losses an account of inadequate local capacity.	1.81	2.5
	<b>Aggregate Weightage Scored</b>	<b>7.96</b>	<b>10</b>

**Source:** Calculated from Table Nos. 3.1, 3.2, 3.3 and 3.4 to Table No. 3.4

Diagram E.2: Cumulative BRGF Performance Index'



Source: Table No. E.3

### Gaps and Recommendations

Sl No	Area	Gap	Recommendations
i	Extent of involvement of grassroots level local governments in planning	<ol style="list-style-type: none"> <li>1. All available participatory tools and techniques for the conduct of baseline survey did not materialize,</li> <li>2. The aim was to identify ward specific issues and problems for a detailed discussion.</li> <li>3. It was also in the original plan to have <i>Mahila Gram Sabhas</i> to discuss specific gender concerns across various issues in the local areas. As per records it was not seen convened.</li> <li>4. The process of felt need identification was streamlined only in a few cases and the discussions were based on</li> </ol>	<ol style="list-style-type: none"> <li>1. Attempts may be made to conduct baseline survey with customized and available participatory tools.</li> <li>2. Ward specific issues and problems may be identified</li> <li>3. <i>Mahila Gram Sabha</i> may be conducted.</li> <li>4. Attempts may be made for felt needs identification.</li> <li>5. Local wish lists may be replaced by felt needs identification lists.</li> <li>6. There may be an attempt for the preparation of district perspective plan by integrating all the annual</li> </ol>

		<p>baseline survey report. In majority of cases, it was a joint expression of 'local wish lists' rather than 'felt needs identification'. In many cases the people had expressed only their personal grievances.</p> <p>5. The initial attempt was to direct the GPs and ULBs for the preparation of three types of plans: (i) Vision Plan, (ii) Action Plan and (iii) Development Plan. The concepts of the plans were not clearly translated and operationalized at any level. It was rejected as a non practical entity by the local governments. Only an annual plan was prepared for each GP and ULB as per the financial allocation under the BRGF.</p> <p>6. No attempt was made to integrate all the annual plans at the district level.</p>	scheme based plans.
ii	The quality of district plans	<p>1. The district plan has not seriously considered the issue of convergence</p> <p>2. The total fund flow to the district from different sources is not identified.</p> <p>3. Lack of clarity and practical experience among the major actors in district plan</p> <p>4. Out of the two districts, one district has prepared only an annual action plan for BRGF rather than a district plan.</p>	<p>1. Convergence may be seriously considered.</p> <p>2. Resource envelope may be properly mapped.</p> <p>3. Capacity Building and Training (CB&amp;T) may be conducted on district plan.</p>
iii	Institutional structures and quality of programme management	<p>1. The frequency of the meetings of the High Power Committee (HPC) and the minutes of the HPC were not made available during the field work.</p> <p>2. District Planning Committees (DPCs) are late entry in the State. DPCs have reviewed the</p>	<p>1. Attempts may be made to conduct regular HPC meetings and the details of the meetings may be placed in the public domain in similar cases.</p> <p>2. District Planning Committees (DPCs) may be</p>



		<p>implementation of the BRGF but not frequently.</p> <p>3. At the district level there are multiple institutional structures (the office of the District Collector, the Office of the Zilla Parishad and the office of the District Rural Development Agency) the roles of which are not very clear in the domain of the governance of BRGF. The same situation was noticed at the block level where there are two institutional structures of Block Development Office and Panchayat Samitis. The structures are not properly integrated.</p> <p>4. Deficit of institutional structures for supporting the Gram Panchayat, the implementation entity of the BRGF.</p>	<p>strengthened.</p> <p>3. Role clarity and responsibility may be ensured among the major actors at the district and block levels.</p> <p>4. Institutional structures may be introduced for supporting the implementation entities of the BRGF (Gram Panchayats and ULBs) in similar cases</p>
iv	Administrative and technical capabilities of the agencies towards planning and executing various activities	<p>1. Long term development issues have not been worked out to a District Perspective Plan.</p> <p>2. The possibilities and opportunities of pooling of funds from other centrally and state sponsored schemes for convergence of projects have not been properly addressed.</p> <p>3. Maintenance of the assets created under the scheme is a variable to assess the administrative and technical capabilities of the Gram Panchayats and ULBs towards planning and executing various activities. Though majority of the assets are in good condition, a few are being ranked below average.</p>	<p>1. Long term development issues may be worked out and listed in to a District Perspective Plan</p> <p>2. All the available funds may be pooled in the envelope for convergence of schemes.</p> <p>3. Administrative and technical capabilities of the agencies towards planning and execution of the work may be developed.</p>

v	Mitigation of backwardness	<p>1. Though all the assets created under the BRGF has succeeded in achieving improved infrastructure, no major attention has been given to social sectors such as drinking water , health and education .It is more clear from the assets list of the Amaravati district where only three categories of assets are figured under BRGF. They are:-</p> <p>i. Roads (78%), ii. Anganwadi Buildings (15.66%) and iii. Panchayat Bhawans (6.34%).</p>	<p>1. The implementing entities may be properly guided to take up projects under social sectors such as drinking water, health and education.</p> <p>2. The Mitigation of backwardness may be properly explained with local context.</p>
vi	Convergence and synergistic mode	<p>1. Actual convergence and synergistic mode was not seen applied in the implementation of projects. Lack of clarity among the major actors in applying the concept of convergence and synergistic mode is observed. Some of the most potential schemes (SBM and MGNREGS) for implementing with the support of convergence and synergistic mode are not seen attempted in any of the selected implementing entities. Lack of support from the line departments is cited as one of the reasons for standalone projects.</p>	<p>1. The concept of convergence and synergistic mode may be explained in detail with practical and workable models.</p> <p>2. Line departments may be asked to support projects under convergence and synergistic mode.</p>
vii	Training component under Capacity Building	<p>1. The State did not succeed in utilizing the full amount allocated for the capacity building under BRGF.</p> <p>2. The ULBs had not properly utilized the provisions available for capacity building</p> <p>3. Among the two selected districts, wide variation in utilizing the provision for capacity building by the Gram Panchayats was seen. The case of Ahmednagar district is a success one in training under capacity</p>	<p>1. It may be suggested to have a clear policy on Training and Capacity Building (CB&amp;T) for every State by covering both the rural and urban local governments.</p> <p>2. The training component under capacity building may be reviewed by the High Power Committee (HPC) in future schemes</p> <p>3. The training component under capacity building may be placed under social audit .</p>

		building. While the performance of Amaravathi district is average.	
viii	Time taken in completion of activity / work	<p>1. Construction works such as Shopping Complex, Gram Panchayat Building and Anganwadi Building took more time.</p> <p>2. The delay is reported of the complicity in the works related to construction rather than non availability of funds</p> <p>3. Among the two districts, more cases of delay in the completion of the work is seen in Amarativati district.</p>	<p>1. There may be a special pathway analysis to time taken under the scheme.</p> <p>2. Intricacies of works under construction activities may be released.</p>
ix	Fund allocation	<p>1. The Gram Panchayats and ULBs are only the implementing entities of the BRGF. It is generally accepted as a positive aspect. However, since the implementing responsibility is exclusively vested with the grassroots tier of the PRIs generally small works are accommodated.</p> <p>2. There is a demand for getting a share under BRGF for the other two tiers (Intermediate and District )</p>	<p>1. Responsibility of monitoring and evaluation may be vested with the intermediate and District tiers of the PRIs.</p>
x	Quality of assets	<p>1. Within the sociopolitical and legal context the implementation of scheme has allowed ensuring quality in assets creation.</p> <p>2. Since the data from two districts revealed that the assets created under the scheme have good quality.</p>	<p>1. Provisions may be made to for quality management system.</p> <p>2. The service of the National Level Monitors (NLM) may be considered.</p>
xi	Usage of assets	<p>1. In terms of usage, the assets created in one selected district (Ahmednagar) have an edge over the assets in the other district (Amaravati).</p> <p>2. The status of the assets created for the benefit of the marginalized community, particularly for the tribal</p>	<p>1. Special attention may be given for the projects which address the marginalized communities.</p>

		community is registered as poor quality in terms of usage.	
xii	Capacity to maintain assets	<ol style="list-style-type: none"> <li>1. All forms of assets need maintenance. Dearth of resource is the major reason for poor maintenance of the assets.</li> <li>2. Deficit in capacity to maintain by the concerned agencies, shortage of technical personnel and over emphasis of political expediency over economic rationality is the other reasons.</li> </ol>	<ol style="list-style-type: none"> <li>1, Maintenance of assets may be considered as a step in the planning process.</li> <li>2. Separate allocation may be suggested for maintenance.</li> <li>3. The implementing entities may be properly trained to maintain the assets.</li> <li>4 Maintenance of assets may be a separate component under Capacity Building and Training (CB&amp;T).</li> </ol>
xiii	Social audit	<ol style="list-style-type: none"> <li>1. The social audit system is not very effective in ULBs.</li> <li>2. Among the two districts, the conduct of social audit is more effective in Ahmednagar than Amaravati.</li> </ol>	<ol style="list-style-type: none"> <li>1. Social Audit may be ensured as in the case of MGNREGS.</li> </ol>

## Conclusion

The major four objectives of BRGF are seen fulfilled in the implementation of the scheme in the State of Maharashtra. The parameters such as mitigation of backwardness, quality and utility of assets, capacity building etc. are fulfilled. The institutionalization of the DPC in the State is another contribution of BRGF. The assets under BRGF are created within the time limit. The capacity building and training (CB&T) under BRGF was a successful venture in terms of content, coverage and value. It has made a long standing impact in strengthening the local governments in general and Gram Panchayats in particular. It is being manifested in the governance of the 'Gram Panchayat Development Plan' (*Amcha Gaon Amcha Vikas: 2016-2017 to 2019-2020*). It also makes an impact in the urban governance. Therefore, the State has secured a score value of 7.96 in the Cumulative BRGF Performance Index. It may be noted that score is only less by 2.04 points from the maximum value. The overall performance of the State of Maharashtra in BRGF governance is rated good.

# CHAPTER 1

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## Introduction

Backward Regions Grant Fund (BRGF) Programme was launched in the Month of February 2007. It was designed to address the regional imbalances in development through providing financial assistance to meet the critical gaps in development and convergence of existing flagship programmes. It also aimed in the strengthening of the planning capacity of the Panchayati Raj Institutions (PRIs), reducing the overall backwardness of the region, poverty reduction, improved livelihood, facilitating participatory planning reflecting the local felt needs, implementation and monitoring . It was introduced by the Central Government during 2006-07, restructuring the item existed Rashtriya Sam Vikas Yojana (RSVY). The BRGF programme has been discontinued in 2015-16. The Ministry of Panchayati Raj (MoPR), Government of India, New Delhi has assigned the responsibility for the evaluation of the BRGF programme in the 28 States to the Centre for Rural Management (CRM), Kottayam , Kerala. This is the exclusive report for the State of Maharashtra.

In Maharashtra, the following 12 districts are included in the scheme and the districts are (i). Ahmednagar, (ii). Amaravati, (iii). Aurangabad, (iv). Bhandara, (v). Chandrapur,(vi) Dhule,(vii) Gadchiroli (viii). Gondia , (ix) Hingoli, (x). Nanded, (xi). Nandurbar, and (xii). Yavatmal. The district wise and year wise allocation of funds to the State of Maharashtra under BRGF is provided in Table No. 1. The year wise release of funds and the expenditure made are provided in Table No. 2 and Table No. 3, respectively.

**Table No.1: District Wise & Year Wise Allocation of Fund under BRGF (Rs. in crores)**

Sl No	Districts	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
1.	Ahmednagar	20.71	30.68	30.68	30.68	30.68	34.85	34.85	42.74	42.74
2.	Amaravati	17.31	24.13	24.13	24.13	24.13	26.98	26.98	33.09	33.09
3.	Aurangabad	16.93	23.37	23.37	23.37	23.37	26.08	26.08	31.99	31.99
4.	Bhandara	12.68	15.16	15.16	15.16	15.16	16.21	16.21	19.88	19.88
5.	Chandrapur	16.40	22.36	22.36	22.36	22.36	24.86	24.86	30.48	30.48
6.	Dhule	14.51	18.71	18.71	18.71	18.71	20.47	20.47	25.12	25.12
7.	Gadchiroli	16.20	22.02	22.02	22.02	22.02	24.44	24.44	29.99	29.99
8.	Gondia	13.31	16.40	16.40	16.40	16.40	17.69	17.69	21.68	21.68
9.	Hingoli	12.79	15.39	15.39	15.39	15.39	16.48	16.48	20.21	20.21
10.	Nanded	17.07	23.63	23.63	23.63	23.63	26.39	26.39	32.37	32.37
11.	Nandurbar	13.61	16.98	16.98	16.98	16.98	18.39	18.39	22.55	22.55
12.	Yavatmal	17.63	24.74	24.74	24.74	24.74	27.72	27.72	34.00	34.00
	<b>Total Development Fund</b>	<b>189.15</b>	<b>253.57</b>	<b>253.57</b>	<b>253.57</b>	<b>253.57</b>	<b>280.56</b>	<b>280.56</b>	<b>344.10</b>	<b>344.10</b>
	<b>Fund for Capacity Building</b>	<b>12</b>	<b>12</b>	<b>12</b>	<b>12</b>	<b>12</b>	<b>12</b>	<b>12</b>	<b>12</b>	<b>12</b>
	<b>Grand Total</b>	<b>201.15</b>	<b>265.57</b>	<b>265.57</b>	<b>265.57</b>	<b>265.57</b>	<b>292.56</b>	<b>292.56</b>	<b>356.10</b>	<b>356.10</b>

Source: Department of Panchayati Raj, Government of Maharashtra

**Table No.2: District Wise & Year Wise Release of Fund under BRGF (Rs. in Crores)**

Sl NO	Districts	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
1.	Ahmednagar	0	0.1	0	27.61	33.75	34.85	34.85	26.93	32.33
2.	Amaravati	0	0.1	0	21.72	26.54	15.87	28.05	19.28	25.71
3.	Aurangabad	0	0.1	0	21.03	25.71	26.08	20.54	27.53	25.33
4.	Bhandara	0	0.1	0	13.64	16.68	6.57	19.73	14.83	13.75
5.	Chandrapur	0	0.1	0	20.12	24.60	24.86	24.86	20.67	21.09
6.	Dhule	0	0.1	0	16.83	20.59	20.47	20.47	7.61	19.39
7.	Gadchiroli	0	0.1	0	19.81	24.23	14.66	24.44	22.38	21.82
8.	Gondia	0	0.1	0	14.76	18.04	17.69	17.69	18.93	0
9.	Hingoli	0	0.1	0	13.85	16.93	16.48	16.48	15.77	11.39
10.	Nanded	0	0.1	0	21.27	25.99	26.39	17.47	24.91	16.01
11.	Nandurbar	0	0.1	0	15.28	18.68	18.39	18.39	17.98	17.15
12.	Yavatmal	0	0.1	0	24.74	27.21	27.72	18.00	20.00	25.84
	<b>Total Development Fund</b>	<b>0</b>	<b>1.20</b>	<b>0</b>	<b>253.57</b>	<b>230.66</b>	<b>250.03</b>	<b>260.97</b>	<b>236.82</b>	<b>229.81</b>
	<b>Funds for Capacity Building</b>	<b>6.19</b>	<b>0</b>	<b>29.81</b>	<b>12.00</b>	<b>12.00</b>	<b>5.06</b>	<b>6.94</b>	<b>10.00</b>	<b>6.33</b>
	<b>Grand Total</b>	<b>6.19</b>	<b>1.20</b>	<b>29.81</b>	<b>265.57</b>	<b>242.66</b>	<b>255.09</b>	<b>267.91</b>	<b>246.82</b>	<b>236.14</b>

Source: Department of Panchayati Raj, Government of Maharashtra

**Table No.3: District Wise & Year Wise Expenditure Made under BRGF (Rs. in Crores)**

Sl No	Districts	2006-07	2007-08	2008-09	2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
1.	Ahmednagar	0	0.10	0	27.61	33.75	34.85	34.85	26.93	32.33
2.	Amaravati	0	0.10	0	21.72	26.54	15.87	28.05	19.28	2.34
3.	Aurangabad	0	0.10	0	21.03	25.71	26.08	20.54	27.53	25.33
4.	Bhandara	0	0.10	0	13.64	16.68	6.57	19.73	13.00	0
5.	Chandrapur	0	0.10	0	20.12	24.60	24.86	24.86	20.67	0.94
6.	Dhule	0	0.10	0	16.83	20.59	20.47	20.47	7.61	3.69
7.	Gadchiroli	0	0.10	0	19.81	24.23	14.66	24.44	22.36	0
8.	Gondia	0	0.10	0	14.76	18.04	17.69	17.69	18.93	0
9.	Hingoli	0	0.10	0	13.85	16.93	16.48	16.48	15.77	4.05
10.	Nanded	0	0.10	0	21.27	25.99	26.39	17.47	20.60	0
11.	Nandurbar	0	0.10	0	15.28	18.68	18.39	18.39	17.98	2.66
12.	Yavatmal	0	0.10	0	22.27	27.21	27.72	18.00	20.00	5.27
A.	<b>Total Development Fund</b>	<b>0</b>	<b>1.20</b>	<b>0</b>	<b>228.19</b>	<b>278.95</b>	<b>250.03</b>	<b>260.97</b>	<b>230.66</b>	<b>76.61</b>
B.	<b>Fund for Capacity Building</b>	<b>6.19</b>	<b>0</b>	<b>29.81</b>	<b>0</b>	<b>12.00</b>	<b>5.06</b>	<b>6.94</b>	<b>10.00</b>	<b>6.33</b>
	<b>Grand Total</b>	<b>6.19</b>	<b>1.20</b>	<b>29.81</b>	<b>228.19</b>	<b>290.95</b>	<b>255.09</b>	<b>267.91</b>	<b>240.66</b>	<b>82.94</b>

Source: Department of Panchayati Raj, Government of Maharashtra

The State was not able to reap the benefits of the scheme in the initial three years due to the non constitution of District Planning Committees (DPCs) as envisaged in article 243 ZD of the Constitution. Instead of District Planning Committees, DPDCs (District Planning and Development Committees) were functioning in the State. DPC's were constituted only in 2008 and High Power Committee (HPC) at the State level was constituted subsequently. Hence the State has lost an amount of Rs.360.00 Crores under the scheme for the first three years.

Maharashtra is one of the states which have issued a separate state level guideline for the scheme. The main highlights of the guidelines are the following.

- a) The Gram Panchayats and Municipal Councils are to prepare plans for overall development.



- b) The Block Panchayats are to scrutinize the Gram Panchayat plans, consolidate it and to prepare Block Plans.
- c) The DPCs are to consolidate the Municipal Council Plans and Block Plans and to prepare the District Plan.
- d) The District Rural Development Agencies (DRDAs) are to associate closely with the plan preparation.
- e) Technical Support Agencies (TSIs) are to assist the DPCs and DRDAs to formulate the plans
- f) DPCs are to prepare a vision document for 10 to 15 years in a participative manner and different stakeholders are to be consulted. The vision document is to be communicated to PRIs so that their plans could be in tune with the vision document.
- g) Five percent funds were kept aside for database management, monitoring, evaluation and office automation. (1 per cent for State HQ, 4 per cent for District/Intermediate/Gram Panchayats and ULBs). The balance 95 per cent to be allocated to Block Panchayats and ULB's below 5 lakh population.
- h) The following formula has been prescribed by the State for allocation of funds to GPs/ ULBs with less than 5 lakh population.
  - i. Rs.1 lakh each for every GPs/ ULBs to be allocated initially.
  - ii. Balance fund to be allocated on the following basis/weightage
 

Population of GP/ ULBs.	- 40 per cent
SC/ST Population	- 10 per cent
Backwardness of the GP/ ULBs	- 40 per cent
Performance incentives-	- 10 per cent

(Backwardness criteria to be prepared by the Planning Department and performance incentives to be specified by the Rural Development Department)
- i) The District Collectors are to prepare resource envelop of the District.
- j) The community level workers are to sensitize the common people and are to come out with solutions for various developmental issues and this has to be included in the wish list of activities.

k) The following targets were fixed for inspection of works.

Block Level - 100 per cent

District Level - 10 per cent

Division level - 2 per cent

State level - Random

Technical Support Institutions (TSIs) were shortlisted for the 12 BRGF Districts and wide sensitization was conducted in each Gram Sabhas.

## **Objectives**

The basic objectives of the evaluation of BRGF are

1. Assessment of whether the various BRGF schemes:
  - c) Strengthened Panchayat and Municipality level governance with appropriate capacities built: and,
  - d) Facilitated participatory planning, decision making, implementation and monitoring that reflected local needs.
2. Assessment of professional support provided to local bodies towards BRGF planning, implementation and monitoring.
3. Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which were not being adequately addressed through existing inflows
4. Assessment of whether BRGF contributed to:
  - c) The improvement in performance and delivery of critical functions assigned to Panchayats /Municipality and,
  - d) Counter possible efficiency and equity losses owing to inadequate local capacity.

## **Methodology**

The methodology for completing the assignment was collection of data, interaction with the elected functionaries, discussions with officials of PRIs, implementing officers of the

line departments, focus group discussions with beneficiaries and physical verification of assets created under the scheme. Both primary and secondary data were collected.

## Sample

Maharashtra has 12 BRGF districts. As per the Terms of Reference (ToR) two districts are selected for the states having 10-20 BRGF district. Therefore two districts (one best performing and one least performing district) are selected from the State of Maharashtra. From each district, three blocks were selected. A best performing Block, a least performing one and a medium performing block were selected. Two Urban Local Bodies (ULBs) from each district were also selected randomly. Further, from each Block, four Gram Panchayats were selected randomly for data collection. In each Gram Panchayat, five selected assets developed under BRGF, were physically verified and two stakeholders from each asset interviewed. One Focus Group Discussion (FGD) was conducted for each Panchayat /ULBs.

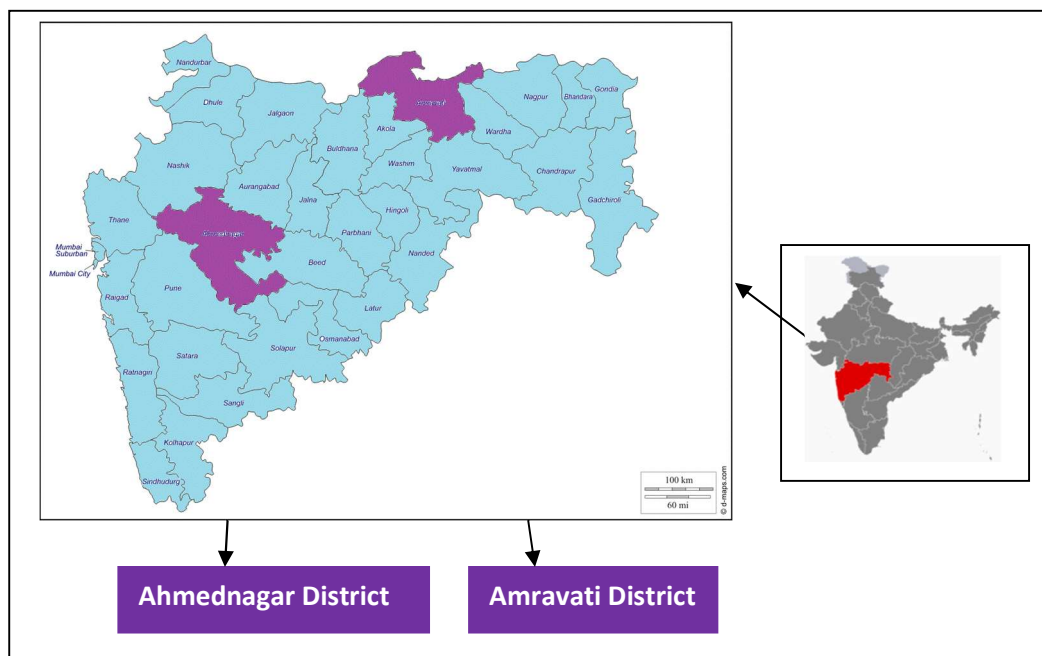
**Table No. 4: Selected Districts, Blocks, Gram Panchayats and ULBs in Maharashtra**

District	Panchayat Samiti (Block)	Name of Gram Panchayats Visited	Urban Local Bodies
1.Ahmednagar	1.Akole	1.Ghodsarwadi	1.2Rahuri
		2.Vithe	2.Deolali Pravara
		3.Induri	
		4.Samserpur	
	2.Nagar	5.Pokhardi	
		6.Dehere	
		7.Nandgaon	
		8.Darewadi	
	3.Rahuri	9.Bramhani	
		10.Baragaon Nandur	
		11.Wambori	
		12.Satral	

2.Amaravati	1.Amaravati	1.Mahuli- Jhangir	1.Chandur Railway
		2.Anjangaon	2.Achalpur
		3.Walgaon	
		4.Wadgaon Jire	
	2.Chikhaldara	5.Vastapur	
		6.Samarkheda	
		7.Telkhava	
		8.Badampur	
	3.Bhatkuli	9.Nimbha	
		10.Wathodash	
		11.Waygoan	
		12.Sayat	

Source: Field Data

**Diagram No.1: Selected Districts of Maharashtra**



Source: Field Data

## Tools

Separate questionnaires were prepared to collect BRGF data from:

- 1).State Headquarters
- 2) District Planning Committees (DPCs),

- 3) Zilla Parishads ,
- 4) Intermediate Panchayats,
- 5) Municipalities and Gram Panchayats.

In each Gram Panchayat, five selected assets developed under BRGF, were physically verified and two stakeholders from each asset interviewed. One FGD was conducted for each Panchayat /ULBs.

**Table No. 5: Details of Questionnaires Covered in the Study**

Sl. No	Category	Number
1.	State	1
2.	Zilla Parishads	2
3.	DPC	2
4.	Intermediate Panchayat	6
5.	Municipalities	4
6.	Gram Panchayats	24
7.	Assets	140
8.	Stakeholders	280

**Source:** Field Data

### **Methodology for Assessing the Extent (on the scale of 0-10 for each state) to which Objective of BRGF including the Implementation of Decentralized Planning**

Here, an attempt has been made to quantify the extent to which the set objectives of the BRGF have been fulfilled. As per the terms of reference for the study a composite BRGF index is to be prepared. To arrive at a cumulative measure from the analysis of four parameters, an overall value was assigned to each parameter and the value assigned is 2.5. To arrive at this overall value, questions from the PRI Schedule, Assets Schedule, Stakeholder Schedule and Community Schedule (FGD format) were assigned to each parameter. Questions were assigned to each parameter and classified therein as

indicators, based on the specific aspect of the parameter that a question represented. Each question was then assigned a mark scale so as to analyze the performance of each PRI and Municipality.

Data from the field visits were used to mark the performance of every PRI and Municipality. However, the marks secured by a State for a particular parameter was calculated by dividing the marks obtained by that State for that parameter with the maximum marks that can be scored in that parameter and then multiplying the result with the overall value of 2.5. (Refer Annexure 1 for detailed Methodology). The overall score of a State was determined as the aggregate of the scores obtained in all the four parameters.

## **(II) Experience from the Field**

At the first stage, as part of the evaluation, two districts were selected from among the 12 districts. Three Panchayat Samitis from each district and four Village Panchayats from each Panchayat Samiti had been selected for field level verification. The Districts selected were i. Ahmednagar and ii. Amaravati .

### **1. Ahmednagar District**

Ahmednagar is the largest district in the State with a total geographical area of 17048 sq kilometers. The total population of the district according to 2011 census is 45,43,159. The district has less urban population. The urban population in the State is 45.22 per cent while the urban population of Ahmednagar is only 20.09 per cent. The density of population in the district is 266/ sq.km, while the density of population of the State as a whole is 365. The literacy rate also is low (79.05) compared to the State (82.34). Work participation rate is 48.53 per cent while the state level work participation rate is only 43.99 per cent. The majority of the work force is engaged as cultivators and agriculture workers. Out of the total population 12.63 per cent belongs to Scheduled Caste and 8.33 per cent belongs to Scheduled Tribe.

### **(III) Implementation of BRGF**

Training has been imparted to the elected representatives and functionaries at all levels and ward level sensitization was conducted. The Action for Food Production (AFPRO) has been appointed as the Technical Support Institution (TSI) for the district and after obtaining the proposals from the Gram Sabhas a perspective plan was prepared.

The following lead sectors were identified for intervention.

1. Agriculture and allied sectors
2. Soil and water conservation
3. Rural infrastructure and energy
4. Drinking water and sanitation
5. Development of women and children
6. Social justice for SCs/STs and others
7. School education, and
8. Health / Medical facilities

The perspective plan proposed to construct godowns in the agriculture sector, construction and renovation of water harvesting structure in the soil and water conservation sector and repairing of rural roads and drainage in the infrastructure sector. Construction of Village Panchayat offices, improvement of local markets and installation of street lights were also given priority. Infrastructure for veterinary institutions, providing building to Anganawadis, improving infrastructure for educational institutions also were included in the list.

The allocations received by the district under BRGF are provided in Table No. 6. The funds received by Panchayat Samitis were re allocated to Village Panchayats. The year wise and category wise number of works undertaken and completed is provided in Table No.7.



**Table No. 6: Details of Funds Received and Expenditure under BRGF in Ahmednagar District**

Sl No.	Year	Receipt (Rs.in Crores )	Expenditure (Rs. in Crore)
1.	2009-10	30.68	30.68
2.	2010-11	30.68	30.68
3.	2011-12	34.85	34.85
4.	2012-13	34.85	34.85
5.	2013-14	26.93	26.93
6.	2014-15	32.33	27.54
	<b>Total</b>	<b>190.32</b>	<b>185.53</b>

**Note:** Discrepancy was observed in the data furnished by the Zilla Parishad, Ahmednagar

District and the data furnished by the Department of Panchayati Raj, Govt. of Maharashtra

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 7: Year Wise Category & Number Wise of Works Completed in Ahmednagar District**

Sl No	Category of Works	Number of Works					
		2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
1.	Roads	153	595	966	1084	1150	233
2.	Bridges /Culverts	109	29	24	28	23	17
3.	School Building /Additional Rooms	292	111	109	78	93	241
4.	Anganawadi Building	37	27	19	13	32	96
5.	Health Centre / Additional Infrastructure	39	2	7	4	5	20
6.	Panchayat Bhavans	41	38	44	36	40	79
7.	Graveyard/ Compound Wall etc.	91	300	502	470	419	611
8.	Solar Street Lights	57	27	195	300	93	91
9.	Infrastructure to Markets	21	19	21	17	15	27
10.	Water Conservation	40	12	7	14	11	9
11.	Water Supply	95	233	523	627	623	1142
12.	Public Toilets	-	39	85	70	93	114
13.	Garbage Disposal Facility	-	5	33	112	105	152
14.	Drainage	-	1	17	23	16	44
	<b>Total</b>	<b>975</b>	<b>1438</b>	<b>2552</b>	<b>2876</b>	<b>2718</b>	<b>2876</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

Variety of works according to the local needs was also under taken by the various Village Panchayats and assets were created. The investment made on some notable categories is provided in Table Nos. 8.i to 8.ix.

**Table No. 8.i : Investment in Health Sector under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1.	Buildings to Healthcare Unit	1	47.36
2.	Compound Walls to Healthcare	7	9.68
3.	Repair of Healthcare Centres	22	28.34
	<b>Total</b>	<b>30</b>	<b>85.38</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 8.ii: Investment in Sanitation under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1	Public Toilets	1197	282.86
2	Sewerage Treatment	7	4.69
3	Garbage Disposal	8	32.79
	<b>Total</b>	<b>1212</b>	<b>320.34</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 8.iii: Investment in Education under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1.	School Building/Rooms	81	230.98
2.	School Compound Walls	511	723.80
3.	Kitchen Sheds	3	5.05
4.	Toilet to Schools	3	1.38
5.	Furniture to Schools	6	1.40
6.	Repair of Schools	216	332.34
	<b>Total</b>	<b>820</b>	<b>1294.95</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 8.iv: Investment in Infrastructure under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1.	CC Roads	4078	5719.46
2.	Drainages	1487	1670.83
3.	Vented Crossway	2	4.32
4.	Street Lights	745	470.65
5.	Repairs to Roads	344	353.05
6.	Culverts	225	406.43
	<b>Total</b>	<b>6881</b>	<b>8624.74</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 8.v: Investment in Anganwadi under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1.	New Building for Anganwadi	58	163.72
2.	Compound wall to Anganwadi	76	77.20
3.	Repair of Anganawadi	45	278.07
	<b>Total</b>	<b>179</b>	<b>518.99</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 8.vi: Investment in Panchayat Bhavan under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1.	New Building to Panchayat Bhavan	177	402.48
2.	Store Room to Panchayats	9	15.92
3.	Compound Wall to Panchayats	52	117.23
4.	Repairs to Panchayat Bhavans	265	263.16
	<b>Total</b>	<b>503</b>	<b>798.79</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 8.vii: Investment in Cremation Grounds under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1	Cremation Ground and Shed	673	1295.19
	<b>Total</b>	<b>673</b>	<b>1295.19</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 8.viii: Investment in Water Supply under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1.	Construction of Wells	15	20.54
2.	Water Tanks	293	259.77
3.	Pipe Line	834	2395.40
4.	Public Tap	73	25.57
5.	Pump	206	139.99
6.	Bore wells	59	39.52
7.	Pump House	4	7.70
8.	Others(Open Well )	1	13.57
9.	Water Purification System	1	2.07
10.	Repairs to Water Supply	233	258.70
11.	Markets	32	80.64
12.	Community Hall	185	190.14
	<b>Total</b>	<b>1936</b>	<b>3433.61</b>

**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No. 8.ix: Investment in Water Conservation under BRGF, Ahmednagar District**

Sl No	Category of the Works	Number	Amount (Rs.in lakhs)
1.	Reservoir	16	314.57
2.	Rainwater Harvesting Tank	69	45.68
3.	Check Dam	1	0.13
	<b>Total</b>	<b>86</b>	<b>360.38</b>

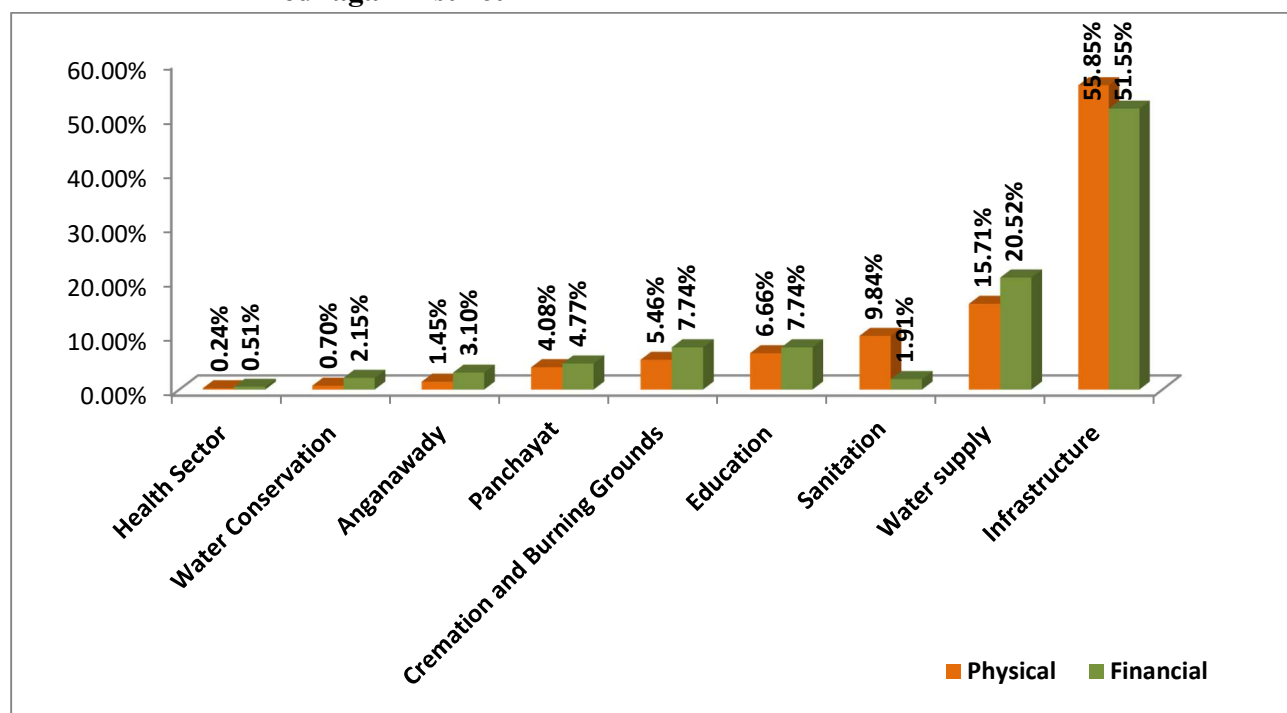
**Source:** Data Provided by the Zilla Parishad, Ahmednagar District

**Table No.9: Percentage Wise Investment on Notable Categories under BRGF in Ahmednagar District**

Sl No	Service Sector	Physical	Financial
1.	Health Sector	0.24%	0.51%
2.	Water Conservation	0.70%	2.15%
3.	Anganwadi	1.45%	3.10%
4.	Panchayat	4.08%	4.77%
5.	Cremation Grounds	5.46%	7.74%
6.	Education	6.66%	7.74%
7.	Sanitation	9.84%	1.91%
8.	Water Supply	15.71%	20.52%
9.	Infrastructure	55.85%	51.55%
	<b>Total</b>	<b>100%</b>	<b>100%</b>

**Source:** Table Nos. 8.i to 8.ix

**Diagram No.2: Percentage Wise Investment on Notable Categories under BRGF in Ahmednagar District**



**Source:** Table No. 9.

The Category wise number of works and the details of investment in important sectors prove that the scheme was useful for the district to fill the development gaps at the Gram Panchayat level

In Ahmednagar three Panchayat Samitis and from each Panchayat Samitis four Gram Panchayats each was selected for field level verification. The Panchayat Samitis selected were Ahmednagar, Akole and Rahuri. The year wise funds received by each Panchayat Samitis are provided in Table No.10

**Table No.10: Year Wise Funds Received by the 3 Selected Panchayat Samitis in Ahmednagar District (Rs in Lakhs)**

Sl No	Name of Panchayat Samitis	Amount Received					
		2009-10	2010-11	2011-12	2012-13	2013-14	2014-15
1	Akole	189.50	234.81	283.38	283.39	346.73	247.11
2	Nagar	227.97	183.78	204.79	208.02	254.54	133.19
3	Rahuri	169.96	162.28	205.21	205.99	259.97	97.45
	<b>Total</b>	<b>587.43</b>	<b>580.87</b>	<b>693.38</b>	<b>697.40</b>	<b>861.24</b>	<b>477.75</b>

**Source:** Data Provided by the Panchayat Samitis , Ahmednagar District

Block Resource Centres (BRCs) were established for functioning at the Panchayat Samiti level. One Accountant, Data Entry Operator, Social Mobilizer and an Engineer were appointed in these Resource Centres to provide assistance to Gram Panchayats. The block resource centres were equipped with a projector, laptop, computer, water cooler and SATCOM facility and these centres were functional till June 2006. In June 2006 the BRC's were dissolved. Apart from monitoring and providing technical support the only other functions of the Panchayat Samitis were consolidation of action plans and allocation of funds. The number of Gram Panchayats under each Panchayat Samiti selected is provided below

Akole - 79

Nagar - 105

Rahuri - 82

Four Gram Panchayats were randomly selected from each Panchayat Samite for field level verification. The Gram Panchayats selected, number of assets verified, number of stakeholders interviewed is provided in Table No.11.

**Table No.11: Details of Gram Panchayats Visited and Number of Works Undertaken, Ahmednagar District**

SI No	Blocks (Panchayat Samiti)	Names of Gram Panchayats Visited	Number of Works Undertaken	No of Assets Verified	No of Stakeholders Interviewed
1.	Akole	Ghodsarwadi	10	5	10
2.		Vithe	11	5	10
3.		Induri	11	5	10
4.		Samserpur	11	5	10
5.	Nagar	Pokhardi	12	5	10
6.		Dehere	8	5	10
7.		Nandgaon	8	5	10
8.		Darewadi	13	5	10
9.	Rahuri	Bramhani	21	5	10
10.		Baragaon Nandur	29	5	10
11.		Wambori	23	5	10
12.		Satral	21	5	10
	<b>Total</b>		<b>178</b>	<b>60</b>	<b>120</b>

**Source:** Field Survey & Data Provided by Data provided by the Gram Panchayats , Ahmednagar District

**Table: No.12: Funds Received by the Gram Panchayats from 2009-10 to 2014-15, Ahmednagar District**

SI No	Name of Panchayats	Population	Block (Panchayat Samiti)	Amount Received (Rs. In lakhs)	Amount Received per Head (Rs.)
1.	Ghodsarwadi	1024	Akole	111.48	1120
2.	Vithe	2548	Akole	10.22	401
3.	Samserpur	6018	Akole	21.26	353
4.	Induri	2054	Akole	NR	NR
5.	Pokhardi	4132	Nagar	15.00	363
6.	Dehere	5750	Nagar	13.11	228
7.	Nandgaon	2398	Nagar	10.36	432
8.	Darewadi	10860	Nagar	23.72	218
9.	Bramhani	9342	Rahuri	39.86	427
10.	Baragaon Nandur	8704	Rahuri	26.88	309
11.	Wambori	19213	Rahuri	44.55	232
12.	Satral	7078	Rahuri	26.27	371
	<b>Total</b>	<b>79121</b>		<b>342.71</b>	<b>4454</b>

NR : Not Reported

**Source:** Data Provided by the Gram Panchayats , Ahmednagar District

#### (IV) Amaravati District

The second district in Maharashtra selected for the evaluation of the scheme was Amaravati . Though Technical Support Institutions has provided much input to the perspective plan in Ahmednagar, no such technical assistance was provided by the TSI in Amaravati District. Centre for Development Studies and Activities has been selected as the Technical Support Institution for the District. The agency was paid two and a half lakh rupees. But the agency, instead of sensitizing the village community and obtaining proposals from the Gram Sabhas, called for proposals from the Gram Panchayats for the preparation of perspective plan. Hence the service of the TSI was terminated and instead of preparing perspective plan, action plans were prepared for every year by the Gram Panchayats and the same was consolidated and the district plans were prepared. It is seen that the elected representatives and functionaries of the Gram Panchayat who were trained in the first phase had subsequently sensitized the village community, conducted Gram Sabhas and obtained development proposals, prioritized it and prepared the action plan for each year. The funds received by Amaravati district from 2009-10 to 2014-15 are provided in Table No.13

**Table No.13: Funds Received by Amaravati District under BRGF**

Sl No	Year	Amount Received (Rs In Crores)	Expenditure (Rs. In Crores)
1.	2009-2010	22.92	22.92
2.	2010-2011	22.92	22.92
3.	2011-2012	25.63	25.63
4.	2012-2013	16.09	15.92
5.	2013-2014	18.31	17.94
6.	2014-2015	24.42	19.61
	<b>Total</b>	<b>130.29</b>	<b>124.94</b>

**Note:** Discrepancy was observed in the data furnished by the Zilla Parishad, Ahmednagar District and the data furnished by the Department of Panchayati Raj, Govt. of Maharashtra

**Source:** Data Provided by Zilla Parishad, Amaravati District

It is reported that as in case of other districts, funds were received by the District Rural Development Agencies and reallocated to the Intermediate Panchayats in Amaravati

District also. The major investments made in the district were on roads, drainages, anganwadi buildings and Panchayat Bhavans.

**Table No.14: Category Wise & Year Wise Number of Works Completed, Amaravati District**

Sl No	Category	2009-10	2010-11	2011-12	2012-13	2013-2014	2014-15
1.	Roads	322	458	627	819	773	578
2.	Anganwadi Building	46	79	119	171	209	81
3.	Panchayat Bhawan	29	49	21	12	77	93
4.	Drainage	223	312	274	117	293	92
	<b>Total</b>	<b>620</b>	<b>898</b>	<b>1041</b>	<b>1119</b>	<b>1352</b>	<b>844</b>

**Source:** Data Provided by Zilla Parishad, Amaravati District

Though variety of works has been undertaken by the Gram Panchayats in the district a consolidated list of all types works are not available at the District Panchayat. The main role of the District Panchayat was monitoring the scheme. In Amaravati also three Intermediate Panchayats were selected for field verification from among 14 Panchayat Samitis. The Panchayat Samitis selected were Amaravati , Chikhaldara and Bhatkuli. The year wise funds received by these three Panchayats Samitis are provided in Table 15.

**Table No.15: Funds Received by Selected Panchayat Samitis, Amaravati District (Rs. In lakhs)**

Sl No		2009-10	2010-11	2011-12	2012-13	2013-2014	2014-15
1.	Amaravati	99.73	142.44	165.98	105.69	119.76	162.02
2.	Chikladara	84.17	101.32	143.48	106.73	115.31	139.86
3.	Bhatkuli	100.74	121.14	142.00	91.93	103.22	138.64
	<b>Total</b>	<b>284.64</b>	<b>364.9</b>	<b>451.46</b>	<b>304.35</b>	<b>338.29</b>	<b>440.52</b>

**Source:** Data Provided by the Selected Panchayat Samitis of Amaravati District

As in the case of other Block, Resource Centres were established at Panchayat Samiti level and was providing technical support to the Gram Panchayats. The Panchayat Samitis for field verification was selected based on best performed, least performed and one from the PESA areas. The number of Gram Panchayats in the three Panchayats Samiti areas is provided below



Amaravati - 59

Chikhaldara - 53

Bhatkuli - 48

Four Gram Panchayats from each Panchayat Samiti were selected for field verification. The details of Gram Panchayats visited, number of works undertaken, number of assets verified and the number beneficiaries interviewed are provided in Table No. 16

**Table No. 16: Details of the Selected Gram Panchayats Visited and Assets Details, Amaravati District**

Sl No	Block (Panchayat Samiti)	Name of Gram Panchayats	Number of Works Undertaken	Number of Assets Verified	No of Sakeholders Interviewed
1.	Amaravati	Mahuli-Jhangir	6	5	10
2.		Anjangaon	7	5	10
3.		Walgaon	8	5	10
4.		Wadgaon Jire	5	5	10
5.	Chikhaldara	Vastapur	7	6	10
6.		Samarkheda	5	5	10
7.		Telkhava	5	5	10
8.		Badampur	4	4	10
9.	Bhatkuli	Nimbha	10	5	10
10.		Wathodash	8	5	10
11.		Waygoan	6	5	10
12.		Sayat	8	5	10
	<b>Total</b>		<b>79</b>	<b>60</b>	<b>120</b>

**Source:** Data Provided by the Selected Gram Panchayats , Amaravati District

The number of works undertaken by each Gram Panchayats is very limited. This is due to the shortage of funds provided. The funds received by each Gram Panchayats visited from 2009-10 to 2014-2015 are provided in Table No. 17

**Table No.17: Funds Received by each Gram Panchayats from 2009-10 to 2014-15,  
Amaravati District**

Sl No	Name of Gram Panchayat	Population	Block	Amount (Rs.in lakhs)
1.	Mahuli Jahangir	7025	Amaravati	27.00
2.	Anjangaon	7151	Amaravati	32.94
3.	Walgaon	14874	Amaravati	48.75
4.	Wadgaon Jire	449	Amaravati	7.27
5.	Vastapur	1869	Chikhaldara	13.15
6.	Samarkheda	1576	Chikhaldara	12.10
7.	Telkhava	2484	Chikhaldara	18.28
8.	Badampur	2191	Chikhaldara	13.59
9.	Nimbha	2785	Bhatkuli	2.55
10.	Wathodash	6224	Bhatkuli	33.88
11.	Waygoan	1824	Bhatkuli	16.31
12.	Sayat	2842	Bhatkuli	17.32
	<b>Total</b>	<b>51294</b>		<b>243.14</b>

**Source:** Data Provided by Gram Panchayats , Amaravati District

The four Gram Panchayats visited in Chikhaldara comes under PESA area. The important items of work commonly undertaken by the Gram Panchayats are Panchayat Bhawans Anganwadis concrete roads drainage, market, compound walls, school buildings etc. In addition to Intermediate Panchayats and Gram Panchayats selected for field visit, two Municipal Councils from each district also were selected for field level evaluation. The Municipal Councils visited are the following.

#### **Ahmednagar**

1. Rahuri
2. Deolai Pravava

#### **Amaravati**

1. Chandur Railway
2. Achalpur

The details of year wise funds provided with these Municipal Councils are provided in Table No. 18

**Table No.18: Year wise Funds Allocated to 4 Municipalities under BRGF Amaravati , District (Rs. in lakhs)**

Sl No	Year	Rahuri	Deolai Pravava	Chandur Railway	Achalpur
1.	2009-10	22.39	23.00	15.58	94.35
2.	2010-11	17.49	23.04	19.76	119.67
3.	2011-12	39.38	24.82	14.53	82.07
4.	2012-13	19.70	24.85	6.06	42.75
5.	2013-14	33.40	17.39	8.04	61.76
6.	2014-15	28.21	22.52	9.17	0
	<b>Total</b>	<b>160.57</b>	<b>135.62</b>	<b>73.14</b>	<b>400.60</b>

**Source:** Data Provided by Municipal Councils, Amaravati District

The general population of these Municipalities and the Scheduled Caste and Scheduled Tribe population are provided in Table No. 19

**Table No.19: Demographic Details of the Municipalities, Amaravati District**

Sl No	Name of Municipality	Total Population	SC Population	ST Population
1.	Rahuri	38,813	5838	2586
2.	Deolalipravava	30,997	4475	1405
3.	Chandur Railway	19,776	2788	734
4.	Achalpur	1,12,311	13,773	4069
	<b>Total</b>	<b>201897</b>	<b>26874</b>	<b>8794</b>

**Source:** Data Provided by Municipal Councils Amaravati , District

The category wise number of works under taken by each Municipal Councils is provided in Table 20.

**Table No.20: Category Wise Number of Projects undertaken by each Municipal Council, Amaravati District**

Sl No	Category	Rahuri	Deolai Pravava	Chandur Railway	Achalpur
1.	CC Road	1	2		56
2.	Drainage	-	-	4	6
3.	Compound Wall	2	-	-	1
4.	Ladys Gymnasium	1	-	-	-
5.	Community Hall Extension	-	1	-	-
6.	Water Tank	-	1	-	-
7.	Streetlight	-	1	-	-
8.	Pipeline Extension	-	1	-	-
9.	Weekly Market	-	1	-	-
	<b>Total</b>	<b>4</b>	<b>7</b>	<b>4</b>	<b>63</b>

**Source:** Data provided by Municipal Councils, Amaravati , District

Ward wise baseline survey was conducted in each Municipality and Ward Sabhas were convened. The developmental gaps were identified by the Ward Sabhas and priority of works also was fixed by the Ward Sabhas. The Municipal Council consolidated these proposals and formulated annual action plan. The annual action plan was submitted to the District Collector for approval. The District Planning Committees (DPCs) consolidated the plans and formulated the District Plan. Ward Sabhas were convened annually to conduct social audit also.

# CHAPTER 2

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## Major Findings

Here, an attempt has been made for a detailed discussion on 13 thematic areas. Since thematic areas are different in its objectives, methodology and data, separate attention for each one is accommodated.

### **2.1. Involvement of Grass Root Level Governments in Planning**

#### **2.1.1. Introduction**

In Maharashtra the planning process under BRGF was entrusted only with the Gram Panchayats (GPs) and Urban Local Bodies (ULBs) whereas the Panchayat Samite, Zilla Parishad, the Office of District Collector and DRDA had monitored the process. It had been designed in such a way that the GPs and ULBs completely anchors and owns the planning process. The block administration had provided technical support to the planning exercise.

#### **2.1.2. Objectives**

To evaluate the extent of involvement of grassroots level local governments in planning

#### **2.1.3. Methodology**

The Gram Panchayats and ULBs were recognized as the only implementing entities under BRGF. The major information on planning was collected from these institutions. Since decentralized planning is a multi level exercise attempts were made to contact all the major actors in the planning process. The members from different institutions / organizations which are directly or indirectly involved in the planning process were interviewed. All the available plan documents, reports, guidelines, orders, official letters, and other communications were seriously scanned. A critical assessment had been made to understand the real involvement of the Gram Panchayats and ULBs in the planning

process. A metrics was constructed to capture the qualitative and quantitative information from different stakeholders in the planning process.

#### **2.1.4. Presentation and Discussion of Data**

The following steps for planning were tracked in the selected districts.

##### **a. Sensitization of Local Community:**

In rural areas the local community was mobilized and sensitized at the village level by the Gram Panchayats whereas in urban areas it was conducted by the respective ULBs. The service of trained community workers / mobilizers and barefoot engineers were used for the purpose. Rallies, processions, torch processions , games with children, drum beating, wall writings, door to door campaigns and publication of vernacular notices were applied to communicate the message the of local level planning (micro planning) to the people . It was also worked as tool for mobilizing and bring them together for the next step of the planning exercise. In majority cases, it was reported that the Gram Sabhas and Ward Sabhas were the platforms as the case may be. In all the 24 selected Gram Panchayats and four ULBs, the local community were mobilized and sensitized for the grassroots level planning which is reported in the Table No.2.1.1 . In many Panchayats the claims were supported by the records of photographs and other materials. Of course, there were variations in the process among the Panchayats and ULBs.

##### **b. Baseline Survey:**

Since the planning exercise had been visualized as a participatory and evidence based, a whole range of customized participatory grassroots level planning tools and techniques were designed as per the modules developed by the nodal agency (YASHADA). A baseline survey in all the grassroots level local governments was designed as part of the planning exercise which includes household survey, social mapping, seasonality analysis, resource mapping, sector wise stocktaking and gap analysis .The village resource group had carried out the baseline survey with the support of elected representatives. In addition

to this, it was guided by the representatives of the TSI (the service of the TSI was only available in one of the two selected districts) and front line workers of the line departments in the local area. Though it was visualized all the available participatory tools and techniques for the conduct of baseline survey, it did not materialize as it was originally designed. However, a document was prepared in all the GPs and ULBs and which were placed as 'baseline survey report'. It had a minimum data base on the concerned local governments. The data on the baseline survey was consolidated at the GP and ULB level and placed before the respective Gram Sabhas and Ward Sabhas. It was also consolidated at the district level while preparing the perspective plan of the district under BRGF. During the field work, all 24 selected Gram Panchayats and four ULBs had placed their claim that they had conducted the baseline survey and validated their claims with the supporting documents (Table No.2.1.1).

**c. Felt Need Identification:**

Sub level units of Gram Sabhas (Ward Sabhas) were originally planned in all the GPs and ULBs for the identification of felt needs. The aim was to identify ward specific issues and problems for a detailed discussion. It was also in the original plan to have *Mahila Gram Sabhas* to discuss specific gender concerns across various issues in the local areas. But as per records in majority cases it was not convened. The Gram Sabhas and Ward Sabhas were properly notified much in advance for conducting the business of felt need identification. It was reported that in many cases the people had expressed their personal grievances, the status of the civic amenities and service delivery. The process of felt need identification was streamlined in a few cases and the discussions were based on baseline survey report. In majority cases, it was reported that it was a joint expression of 'local wish lists' rather than felt needs identification. Local officials were present in many of such meetings to document the proceedings. Out of the 28 selected cases, all except three had felt need identification exercise (89.28 %). In the three cases where the felt need identification was not conducted, the step and the process was supplemented by the baseline survey report (Table No.2.1.1).

#### **d. Prioritization of Projects:**

As per the survey data, the prioritization of projects was held at the local level in 96 per cent cases (Gram Sabhas and Ward Sabhas). Since the meetings of the Gram Sabhas and Ward Sabhas were held with proper planning and active participation of the local communities, the whole range of business were customized to certain extent. The supportive of the mentors (resource group), officials and elected representatives had helped in translating the wish lists /felt needs in to a format of project idea. The administrative and technical dimensions were provided by the functionaries of the GPs and ULBs. The project idea had been graduated in to actionable plans for a period of one year. In many cases the discussions and deliberations in the Gram Sabhas and Ward Sabhas had moved towards the prioritization of projects. Therefore, majority of GPs and ULBs had claimed that prioritization of projects was done at the grassroots level. In the process of prioritizing the projects, the role of the elected representatives, officials and local elites were minimized when it was placed in the public forum though it was an exclusive domain of a privileged class (Table No.2.1.1).

#### **e. Preparation of Annual Plan:**

As per the field data all the selected GPs and ULBs had prepared the Annual Plan (Table No.2.1.1). The initial attempt was to direct the GPs and ULBs for the preparation of three types of plans: (i) Vision Plan, (ii) Action Plan and (iii) Development Plan. The span of a vision plan was for a period of 5 to 20 years. It was visualized to cover all the development aspirations of the local community. The Action Plan was based on the collective and public action of the enlightened citizens. It was given more importance to plan for a positive change in the overall development of the area and community with the support of all available local resources including community contribution. The Development Plan was the response towards financial and technical capability of the GPs and ULBs. These concepts were not clearly translated at any level. Moreover, it was rejected as a non practical entity by the local governments. . Finally, in actual practice, an



annual plan was prepared for each GP and ULB as per the financial allocation under the BRGF. It may be a realistic approach towards ground realities in the State context (Table No.2.1.1).

**f. Consolidation of Action Plans of GPs:**

After the preparation and official approval of the Action Plans by the GPs, it was submitted to the Panchayat Samitis at the block level for consolidation. It reinforced the role of the Panchayat Samitis which had a peer group responsibility over the GPs. Moreover, it had helped to maintain a consolidated statement of projects at the block level. The purpose was to design a permanent institutional structure at the block level to integrate bottom –up plans. The GPs were provided technical support by the Panchayat Samitis which was also empowered to monitor the project implementation. All the 24 GPs had reported that their action plans were consolidated by the respective Panchayat Samitis. All the 24 GPs stated they had technical support from the Panchayat Samitis. No action plan of the GP was rejected or sent back for revision (Table No.2.1.1).

**g. Consolidation of Action Plans of GPs and ULBs**

The TSI had consolidated the action plans of the ULBs submitted to the CEO of the DRDA. All the action plans of the two selected ULBs were consolidated by the TSI whereas in the absence of the TSI the other two ULBs in Amaravati district was done by DRDA, directly. Again, at the district level all the action plans of the GPs and 4 ULBs in the district had been consolidated at the district level by the DRDA.

**h. Vetting of Plans**

Vetting of plans was a step between the consolidation of action plans and consolidation of annual plans. Apart from consolidating the action plans, DRDA was the authorized agency for vetting the plans. It was seen that all the 28 action plans of the selected GPs and ULBs were vetted by the two respective DRDAs. While vetting the plans, the financial and technical feasibility of the plans were seriously examined and the comments

were communicated to the concerned GPs and ULBs. However, as per available records no plan was rejected at the time of vetting (Table No.2.1.1).

#### **i. Consolidation of Annual Plans**

Another important assignment vested with the DRDA was the consolidation of annual plan. The consolidated annual plan had indicated the total amount of receipt, budgeted amount for expenditure on sector wise. The disaggregated figures for different local governments (PRIs and ULBs) were given in the annual plan. Finally, the annual plan was submitted to the CEO of the ZP. All the plan details of the 24 selected GPs and four ULBs details were seen included in the two respective district annual plan documents (Table No.2.1.1).

#### **j. Preparation of District Plans**

Preparation of the district plan was the responsibility of the CEO of the ZP. As per the directions, BRGF plan was considered as a part of the district plan .But no attempt was made to integrate all the documents at the district level. Though the document was known as the ‘District Plan’, in reality the document was only dealing BRGF and therefore it was to be classified as the ‘BRGF District Plan’. The details of the selected 28 GPs and ULBs were reflected in the respective District Plans. It is reported that all the 12 BRGF districts had prepared the district plans. Officially, the District Collector was the responsible authority to place the district plan document in the District Planning Committee (DPC).

#### **k. Recommendation and Approval of the District Plan**

The District Planning Committee (DPC) is the constitutional body which is empowered to prepare the district plan. In the BRGF context, it was seen that DPC had performed two assignments, one was the approval of the district plan and the second was the recommendation of it to the High Power Committee (HPC). In the case of Ahmed Nagar and Amaravati , the respective district plans were approved and recommended to the

High Power Committee .The same exercise had been completed to all other BRGF districts in the State.

### **l. Final Approval of District Plan**

All the District Plans had been forwarded to the High Power Committee for final approval .As per the working guideline for the preparation of the district perspective plans under BRGF, High Power Committee had to approve the district plans recommended by the DPC. It was seen that the district plans of the Ahmed Nagar and Amaravati , were officially approved by the High Power Committee, as in the case all other BRGF districts (Table No.2.1.1).

### **m. Special Gram Sabha for Implementation**

Out of the selected 28 GPs and ULBs, 20 GPs conducted Special Gram Sabhas for the approval of the working details of the BRGF implementation. It was experienced that no Special Ward Sabhas had held in any of the four selected ULBs. The meetings of the Special Gram Sabhas of the GPs were successful in mobilizing peoples' participation in the scheme implementation (Table No.2.1.1).

### **2.1.5. Conclusion**

The grassroots planning exercise followed by the GPs and ULBs under BRGF was the same as what recommended in the Manual for Integrated District Planning (2009) by the erstwhile Planning Commission. It was seen that the design was further improved to contextualize for the existing realities in the State of Maharashtra and also to ensure people's participation, evidence based and integrated approach in planning. It was a customized planning exercise. It was noticed that all the major steps were followed by all the selected Panchayats and ULBs. All the 28 grassroots level local governments had stated that the scheme had instrumental in improving their capacity in planning process. In the entire exercise, the central role was played by the Gram Panchayats /ULBs and Gram Sabhas /Ward Sabhas. A whole range of participatory tools for community

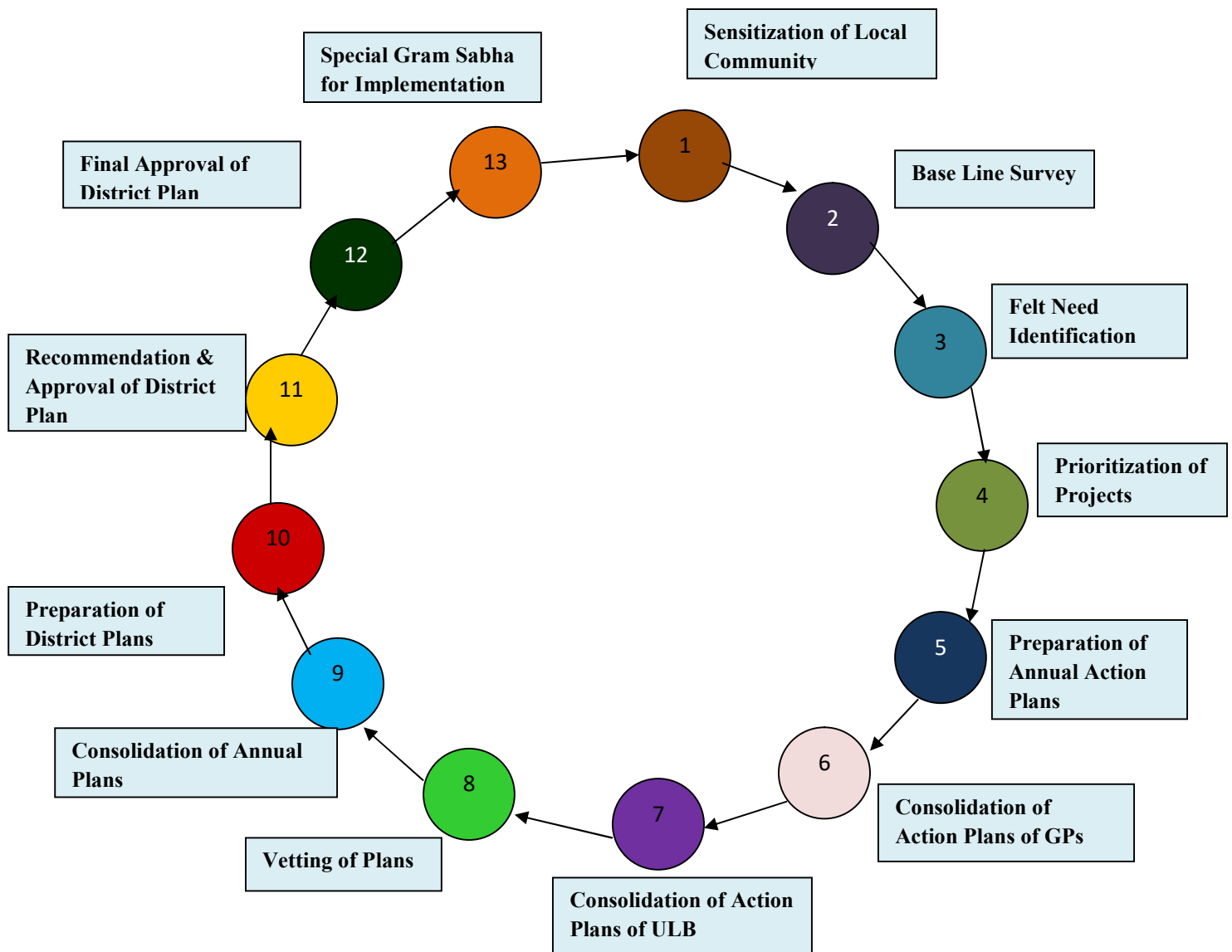
mobilization, collection and engagement of data and situation analysis were blended in the planning process. Investment of human and material resources in planning process was made on scientific basis and therefore it could sustain for a long period.

**Table No.2.1.1: Local Planning Process of the PRIs & ULB under BRGF in the Selected Two Districts (Ahmednagar & Amaravati)**

Sl No	Steps /Process	Level of Action	Agency	Number	Percentage
1.	Sensitization of Local Community	Grassroots	Gram Sabha & GPs /(Ward Sabhas &ULBs)	28	100
2.	Base Line Survey	GP /ULB	TSI with the support of Line Dept and GPs/(ULBs)	28	100
3.	Felt Need Identification	GP/ULB	Gram Sabha/(Ward Sabhas)	25	89.28
4.	Prioritization of Projects	GP/ULB	Gram Sabha /(Ward Sabhas)	27	96.43
5.	Preparation of Annual Action Plans	GP/ULB	GP/ULB	28	100
6.	Consolidation of Action Plans of GPs	Block /Panchayat Samiti	Block /Panchayat Samiti with the support of TSI	24	100
7.	Consolidation of Action Plans of ULB and GPs	District	TSI for the DRDA / DRDA	28	100
8.	Vetting of Plans	District	DRDA	28	100
9.	Consolidation of Annual Plans	District	DRDA	28	100
10.	Preparation of District Plans	District	CEO of ZP&DRDA	2	100
11.	Recommendation & Approval of District Plan	District	DPC	2	100
12.	Final Approval of District Plan	State	HPC	2	100
13.	Special Gram Sabha for Implementation	GP	Gram Sabha /GP	20	71.42

**Source:** Field Survey

**Diagram No.2.1.1: Steps for Planning**



**Source:** Table No.2.1.1. & Field Survey

## **2.2. District Plans**

### **2.2.1. Introduction:**

One of the objectives of the BRGF was to strengthen local governance. Promotion of ‘sustainable local development’ is one the major constitutional responsibilities of the Panchayats and ULBs. Therefore, District Planning Committees (DPCs) were made constitutional at the district level. ‘Planning’ is the perquisite for any form of sustainable development. District has been identified as the sub state level planning unit and ‘District Plan’ by facilitating participatory mode at the grassroots was visualized in all the BRGF Districts as per the guidelines of the scheme. As such, efforts were made towards capacity building of the major actors in the domain of the decision making process. Attempts were provided to enhance the capacity of the citizenry for the participation of the planning exercise. Provisions were also given to avail the expertise from the Technical Support Institutions (TSIs) for the planning process and the preparation of the District Plan.

### **2.2.2. Objective:**

To assess the quality of the ‘District Plans’ prepared in the selected BRGF districts. If the quality is not to the expected level, the shortcomings have to be listed and the reasons thereof may be explained. In this background, the expected and the actual role played by the TSIs has to be discussed.

### **2.2.3. Methodology:**

Questionnaire for covering DPC was administered in the two selected districts. Officials and Elected Representatives of the selected Panchayats and ULBs were interviewed to understand the participatory planning process, their respective roles, their capability for the assigned roles and the capacity building and training (CB&T) which had been undergone by them. Minutes of the Gram Sabha were scanned to see the role played by the local citizenry in identifying the felt needs, prioritizing the needs and visioning the

perspective for development. Minutes of the selected Panchayats and ULBs were scanned to observe how the Gram Sabha decisions were taken into consideration while preparing projects (projectizing) and action plans and allocating resources to various projects. The process of vetting and consolidating of the projects /action plans by the line departments / Intermediate Panchayats were examined. Minutes of the DPCs in the selected two districts were examined to understand the nature of proceedings of the approval mechanism followed by the DPCs. The Bench Mark Survey/ Action Plan/District Plan prepared by the two selected BRGF districts were critically examined to understand the quality of the document. Finally, the concerned members of the TSIs were contacted to understand their role in the entire exercise.

**Table No.2.2.1: Responses of the Panchayat Committees & Municipal Councils towards the Proposals by Gram Sabhas & Municipal Council for the Preparation of the District Plans /Annual Action Plans under BRGF in Ahmednagar District**

Responses of the Panchayat Committees towards the wish list /suggested proposals by Gram Sabhas from the Selected the Panchayats (N=12)				Responses of the Municipal Councils towards the wish list /suggested proposals by Ward Committees from the Selected the ULBs (N=2)			
Considered More than 50%	Overruled More than 50%	Not Clear	Total	Considered more than 50%	Overruled more than 50%	Not Clear	Total
8	3	1	12 (100%)	0	1	1	2 (100%)

**Source:** Field work from the Ahmednagar District, Maharashtra

**Table No.2.2.2: Responses of the Panchayat Committees & Municipal Councils towards the Proposals by Gram Sabhas & Municipal Council for the Preparation of the District Plans/ Annual Action Plans under BRGF in Amaravati District**

Responses of the Panchayat Committees towards the wish list /suggested proposals by Gram Sabhas from the Selected the Panchayats (N=12)				Responses of the Municipal Councils towards the wish list /suggested proposals by Ward Committees from the Selected the ULBs (N=2)			
Considered More than 50%	Overruled More than 50%	Not Clear	Total	Considered More than 50%	Overruled More than 50%	Not Clear	Total
6	3	3	12 (100%)	0	2	0	2 (100%)

**Source:** Field work from the Amaravati district, Maharashtra

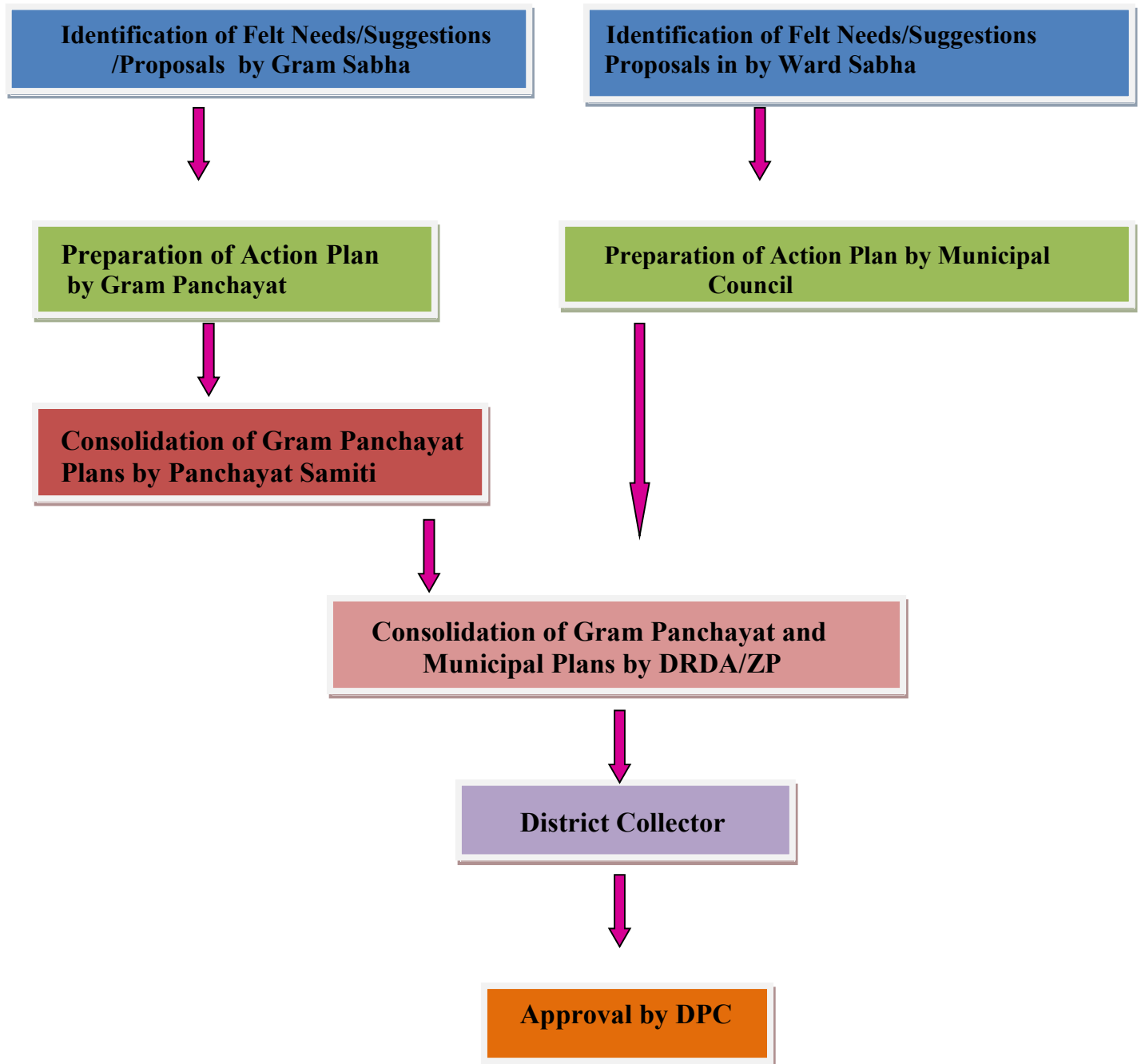
**Table No. 2.2.3: Infrastructure Details (Present Status, Demand and Proposed from BRGF), Identified in the Perspective Plan, Ahmednagar, District**

Sl No	Name of Infrastructure	Present Status	Demand	Proposed from BRGF
1.	Primary Schools (Number)	3058	450	241
2.	Veterinary Dispensaries (Number)	231	223	8
3.	Godown at Block Level (Number)	9	5	5
4.	Storage Bhandhara (Number)	753	585	41
5.	Construction of Roads (Length in km)	2846.02 km	14351.00	416.85
6.	CD Works (Number)		710	216
7.	Panchayat Bhawans (Number)	834	229	57
8.	Anganwadi Centres (Number)	2063	720	72
9.	Compared Wall to School Building (Number)	1317	2000	98
10.	Health Sub Center Buildings (Number)	555	28	6
11.	PHCs (Number)	96	3	0

**Source:** District Plan Ahmednagar District, Maharashtra



**Diagram No.2.2.1: Planning Process**



#### **2.2.4.i. Presentation of Data and Discussion**

It is realized that the process of the district plan has to be discussed before assessing its quality. Therefore, an attempt is made to explain the process of district plan. All the major steps for the preparation of the District Plan were visualized in the two selected districts. The capacity building exercise conducted among the functionaries of the Panchayats and ULBs by the State SIRD (YASHADA) was capable to translate the planning exercise in to the practical domain. The field visits and stakeholder interviews had revealed that the local citizenry are aware of the scheme details, to certain extent. Ward wise baseline survey was conducted in each Gram Panchayat and ULB. The awareness of the local citizenry had reflected the business of the Gram Sabha in shaping the baseline survey. All the selected 24 Gram Panchayats except three were kept the minutes of the Gram Sabha and the scanning of the proceedings had clearly indicated that the fund availability under the BRGF of each Gram Panchayats was communicated and it was reported in the respective Gram Sabhas. The developmental gaps were identified by the Gram Sabhas . The participation rate of the local citizenry was impressive in all the Gram Sabhas of the Panchayats in the initial years of the scheme, particularly in the first few years. The empirical evidences showed that roughly 8 per cent to 12 per cent of the eligible persons (voters) were registered in the Gram Sabhas, as participants. The minutes were the testimony to say that vibrant discussions were undertaken in some of the Gram Sabhas. The social engineering and local mobilization of the community may be the reasons for generating enthusiasm and good will towards the scheme, The State SIRD (YASHADA) had played a role in this direction. A long ‘wish list’ was identified in each of the Gram Sabha and it was difficult to cull out something to the classification under ‘felt needs’. As per the records, no prioritization of the felt needs and visioning for local development could take place in any of the Gram Sabhas. The minutes of the Gram Panchayats committee held immediately after the Gram Sabha had indicated that the proceedings of the Gram Sabha were placed before the Panchayat committee and held discussions on it. As per the minutes 14 Panchayat committees in both the districts had

prepared the action plans which consisted of majority of projects within the wish list /suggested proposals prepared by the Gram Sabha (Table Nos.2.2.1and 2.2.2). Six Panchayats had overruled majority of the suggested proposals of the Gram Sabhas and replaced it by the proposals suggested by the elected representatives of the Panchayats. In the remaining four Panchayats nothing could be clearly identified as the absence of the proper minutes. The discussion with the functionaries of the Panchayats felt that they could follow the steps of the participatory planning thanks to the capacity buildings and training exercise conducted under the BRGF. However, a strong resistance was noticed among the Elected Representatives to handover certain planning responsibilities / steps to the Gram Sabhas. Majority of them had the opinion that the selection of the projects, prioritization of the felt needs, visioning for local development and allocation of funds are the exclusive domain of the Panchayat Committee. According to them, Gram Sabha had nothing to do with these responsibilities of the Panchayat Committee. The inferences one can draw from this is that the circumvent of the Gram Sabha is not due to the lack of capacity of the functionaries of the Panchayat in planning but due to the confrontation between the two (Panchayat and Gram Sabha) in the planning process on the issue of sharing power.

In the case of four ULBs, the developmental gaps were identified and priority of works was fixed by the Ward Sabhas. According to the functionaries all the four ULBs had consolidated these proposals and formulated Annual Action Plans. However, only one of them had included majority of the projects suggested by the Ward Sabhas whereas three had opted majority of the projects recommended by the respective Councilors. Lack of proper records could not allow in one ULB any further probing in the direction (Table Nos2.2.1and 2.2.2). The Annual Action Plans of the Gram Panchayats were first submitted to the Panchayat Samithis and then to the DRDA /Zilla Panchayat for approval whereas the Annual Action Plans of the ULBs were submitted to the District Collector/DC for approval. The District Planning Committee has consolidated the Action

Plans of the all the Gram Panchayats and ULBs and formulated District Plan under BRGF.

#### **2.2.4.ii. Role of the Technical Support Institutions (TSIs)**

Technical Support Institutions (TSIs) were appointed in all the BRGF districts. All the TSIs were given directions by the department and their work had been regularly reviewed and periodically monitored by the Secretary, Government of Maharashtra. TSIAFPRO was the TSI in Ahmednagar District. The TSI had been carried out a SWOT analysis with the support of the line departments in the district. The academic input for the exercise was provided by the TSI. An orientation workshop for the exercise was conducted under the chairmanship of the CEO of the Zilla Parishad and it was followed by a group discussion. Finally, the strength, weakness, opportunities and threats for all the development sectors at the disaggregate level were analysed. In continuation to the SWOT analysis, the potential sectors and the existing gaps in each sector for project intervention were identified at the disaggregated level. When the State had issued a guideline for the preparation of District Plans, it was mentioned that project proposals had to originally identify and to prepare by the Gram Sabha. The infrastructure details existed in the district and the further demand for infrastructure were identified and listed by the district document (perspective plan) prepared by the TSI (Table No.2.2.3). Based on the perspective plan and the baseline survey, a 'three year action plan' for the district had been prepared by the TSI.

In Amaravati district, Centre for Development Studies and Activities had been appointed as the TSI. Though TSI had provided much input to the preparation of perspective plan in the first selected district of Ahmednagar, no such technical assistance was provided by the TSI in Amaravati district. The TSI had not conducted ward wise baseline survey for each Gram Panchayat and ULB. It was also alleged that instead of sensitizing the local citizenry and seeking proposals from the Gram Sabhas / Ward Sabhas, the TSI directly called for proposals from the Gram Panchayats and ULBs for the preparation of

perspective plan. Finally, the TSI was paid Rs.2.50 lakhs and the service was terminated. As a result, instead of preparing the perspective plan, the action plans were only prepared for every year by the Gram Panchayats and ULBs. The Action Plans were consolidated and the district plan was prepared.

#### **2.2.4. iii. Quality of the District Plans**

Here, an attempt has been made to assess the quality of the district plan prepared under the two selected BRGF districts.

##### **2.2.4. iii (a) Ahmednagar District Plan**

In the context of BRGF and its applicability in the local domain, the document prepared by the district of Ahmednagar may be considered as 'District Plan'. On the other side, there may be some amount of scholastic and practical fragility to recognize it as District Plan as per the well defined standard of the expression and the guidelines by the erstwhile Planning Commission. However, the document prepared by the Ahmednagar district could be stated that, it is a 'District Plan of BRGF' and it is on the right way moving towards a District Plan. The approach, process and steps are good enough for a district plan. The decentralized participatory people's approach followed in the exercise was the best suited one for the district plan. The development sector wise SWOT analysis with the support of line department, identification of growth potential along with critical gaps in locations and sectors, baseline survey at the disaggregate level, the felt need identification at the Gram Sabha / Ward Sabha, prioritization of proposals / works either by grassroots level local governments or by people's assembly (Ward Sabhas /Gram Sabhas), and preparation, approval and consolidation of annual plans and preparation of the perspective plan were the process followed in the exercise. This process and its sequence were also well accepted norms for a planning exercise. Since the entire exercise had been done with the leadership of the Panchayats and ULBs, the level of ownership was rated as high. The participation of local citizenry at different stages of the plan preparation worked as a mechanism to pressurize the Panchayats and ULBs for

proper implementation. It also created a space for local vigilance against maladministration. The assured flow of funds for the approved projects had contributed the efficacy of the planning process.

However, two deficiencies had been noticed in the exercise. The district plan had not seriously considered the issue of convergence. The total fund flows to the district from different sources (centrally sponsored schemes, state sponsored schemes, sector allocation, etc) were not identified. The 'District Plan' as the term envisages it has to cuddle all the sectors of the economy, society and ecology which did not ensue in the exercise. The 'Ahmednagar District Plan' was more than an action plan, but it was only a constituent of district plan, a component of BRGF and many such components had to come together to constitute the 'District Plan'. The above mentioned deficiencies were mainly due to the lack of clarity and practical experience among the major actors in the sector including TSI. There were other reasons also and some of them had been identified as dearth of time, resources and expertise.

#### **2.2.4. iii (b) Amaravati District Plan**

Along with other BRGF districts in the State, the district of Amaravati also had started the process to prepare the district plan. The TSI had been appointed and preparatory works were completed. However, the service of the TSI was terminated. As a result, the exercise could not properly materialize in the district. In the absence of the TSI, instead of perspective plan only an action plan could be prepared on early basis by the Panchayats and the ULBs. The same was consolidated at the district level for preparing the district plan. As per the field observation, important processes of the plan preparation could not take place in the district of Amaravati. Here, the question is how it could be considered as a plan document in the absence of important processes including perspective plan, baseline survey and identification of felt needs by the Gram Sabha /Ward Sabhas, critical gap identification on the developmental sectors and participation

of the local citizenry. In this context it is more comfortable to categorize the Amaravati 'District Plan' as only an action plan for BRGF.

### **2.2.5.Conclusion**

One of the objectives of the scheme was to strengthen local governance including its planning capabilities. District has been identified and accepted as the sub state level planning unit under BRGF. 'The District Plan' was visualized in all the BRGF districts as per the guidelines of the scheme. A citizen -participatory mode at the grassroots was suggested. Since local economic development and social justice is one the major constitutional responsibilities of the Panchayats and ULBs, attempts were made to protect the natural resources and the interest of the marginalized communities. As such efforts were made to take policy decisions towards capacity building of the major stakeholders within the Gram Panchayats and ULBs. The capacity building of the citizenry for the participation of the planning exercise was also another agenda. Therefore, the District Planning Committees (DPCs) were streamlined to prepare district plans. Along with other BRGF districts in the State, the districts of Ahmednagar and Amaravati also had started the process to prepare the district plans. Ahmednagar had a success story in the preparation of district plan which was supported by the TSI .The document prepared by the district of Ahmednagar may be considered as 'District Plan' whereas the Amaravati could prepare only an action plan for BRGF, instead of district plan. The absence of the support of the TSI may be cited as the reason for not having a district plan with Amaravati district.

## **2.3. Institutional Structure**

### **2.3.1.Introduction**

Strengthening the planning capacity of the Panchayati Raj Institutions (PRIs) is one among the major aims of the BRGF. Therefore, serious attempts were made to institutionalize the planning process at the grassroots. As a part of this exercise, more emphasis was given to Gram Sabhas / Ward Committees and District Planning

Committees (DPCs). Apart from the mandated institutions supported by the constitution, effective implementation of the scheme requires additional institutional support and it was realized. It is visualized not only to support the implementation process but to provide institutional structure to facilitate the decentralized planning process and finally to create an overall environment to strengthen the PRIs. In this context the institutional structure which had been created under the scheme has a great impact in the administrative structure at the sub state level. The guidelines of the scheme, directions, orders, and letters from the MoPR had envisaged the importance of institutional structure and institutional building process.

### **2.3.2.Objectives**

To review the institutional structure and quality of programme management including review systems at the state and district level, and adequacy of the monitoring mechanism

### **2.3.3. Methodology**

Data on institutional structure, quality of programme management, review systems and adequacy of the monitoring mechanism of the two selected districts were drawn from various sources. Since the institutional structures were designed at different levels from state to grassroots for different purposes, multifaceted techniques were applied. A few questions were purposely inbuilt in the survey format. Moreover, formal and informal interviews were used as a powerful tool for capturing the field data on the issue. While conducting the discussions, the set objective was placed in the focus. Therefore, the nature of the major share of data was qualitative rather than quantitative.

### **2.3.4.Presentation of Data and Discussion**

The following institutional structures were designed to ensure the quality of programme management.

#### **a.High Power Committee (HPC):**

At the state level, a High Power Committee (HPC) had been constituted under the Chairmanship of Chief Secretary of the Government of Maharashtra. The other members



were (i) Additional Chief Secretary (Health), (ii) Principal Secretary (Finance), (iii) Principal Secretary (Planning), (iv) Principal Secretary (WCD), (v) Principal Secretary (ADF) , (vi) SIO(NIC), (vi) Joint Secretary, (vii) Chief Executive Officers of Zilla Parishad & Executive Chairmen of District Rural Development Agencies (DRDAs) from all the 12 BRGF districts and (viii) Projector Directors of DRDA from all the 12 BRGF districts. The major role assigned to the HPC was to approve the district plans recommended by the DPCs. The receipt of funds from the Central Government and reallocation among districts was done by the HPC. In one of the meetings, it was the HPC who had recommended the DPC to terminate the services of TSI in Amaravati district which has not conducted the baseline survey by collecting primary data from the Gram Sabha level. The HPC also had recommended an independent evaluation of BRGF. The work of the all the TSIs of the BRGF districts were also reviewed by the HPC. It was reported that all important decisions were taken by the HPC. For example, a meeting of the HPC on 26 July 2011 had decided that micro planning module tested in four pilot blocks by YASHADA should be used while preparing the village plans in BRGF districts. It had also been decided that up to Rs. 10,000 per Gram Panchayat may be spent for micro planning activity from 5 per cent of development grant available with the districts. The frequency of the meetings of the HPC and the minutes of the HPC were not available during the field work. It was revealed that in number of cases the HPC had given approval to reallocate the resources as per the changes in priorities of the District Plans. But no changes in priorities of the District Plans of the Amaravati and Ahamednagar took place. Re-appropriation of resources was another domain of the HPC.

**b. District Planning Committees (DPCs):**

At the district level DPCs were entrusted with the duty of providing overall leadership to the decentralized planning process under the scheme. The DPCs have reviewed the implementation but not frequently. The DPCs were late entry in the State. The District Planning and Development Committees (DPDCs) were functioning in the State which was replaced by the DPCs in 2008, thanks to the persuasion of the MoPR and guidelines

of the BRGF. In the initial three years due to the non constitution of District Planning Committees (DPCs) the State had not get benefit from the scheme. DPCs were constituted only in 2008 and High Power Committee (HPC) at the State level was constituted subsequently. Hence the State had lost an amount of Rs.360.00 crores under the scheme for the first three years. Though the DPCs were expected to provide the overall leadership to the planning process and the development of the District Vision Document, it could not materialize due to various reasons. But in the both cases of Amaravati and Ahamednagar , setting of district priorities on the basis of consensus was done, partially. It was reported that at the initial stage of the scheme, a meeting at the district level were conducted to work out the district priorities for both districts with the support of the TSIs. Both districts had prepared the Potential Linked Credit Plan (PLCP) with the support of the NABARD.

**c. The Office of the District Collector (DCs):**

The District Collector is the Member Secretary of the DPC. The DCs were monitoring every aspect of the projects. Since the Urban Local Bodies are generally outside the domain of DRDAs, the implementation of the projects by ULBs were supervised and monitored by the DCs. The District Collector was one who accorded the administrative approval to all the works of ULBs .The work of the TSI was reviewed by the District Collectors. In both the districts, a document of District Resources Envelop was prepared. It was also available in the ‘White Book’ of the districts.

**e. District Programme Management Unit (DPMU)**

A District Programme Management Unit (DPMU) consisting of one District Training Coordinator, four other staff (one Engineer, one Community Mobilizer and one Data Entry Operator and one Accountant) was constituted in all the districts to coordinate the training programmes. It was the duty of the DPMU to send the monthly progress report to the CEO of Zilla Parishad and the SIRD. The DPMU was placed in the office of the DRDA. It was seen that both the selected districts the DPMUs were constituted and assigned functions were performed.

**e. The Zilla Parishad (ZPs) and District Rural Development Agencies (DRDAs):**

It is difficult to distinguish the role played by the Zilla Parishad and the District Rural Development Agency in the domain of BRGF. The DRDA was fixed as the authority to supervise and control the implementation of the sanctioned projects by the Panchayats. The TSI was under the direct control of the ZP/DRDA.

**f. The Panchayat Samitis (PS) and Block Development Offices (BDOs):**

The Block Development Offices and the Panchayat Samitis were consolidating the plans received from the Gram Panchayats and allocating funds. The engineering staff at the block is the technical wing to prepare estimate, supervise the implementation and preparing work bills. It is seen that the Block Development Officers had played a vital role in monitoring and implementation of the scheme at Gram Panchayat level.

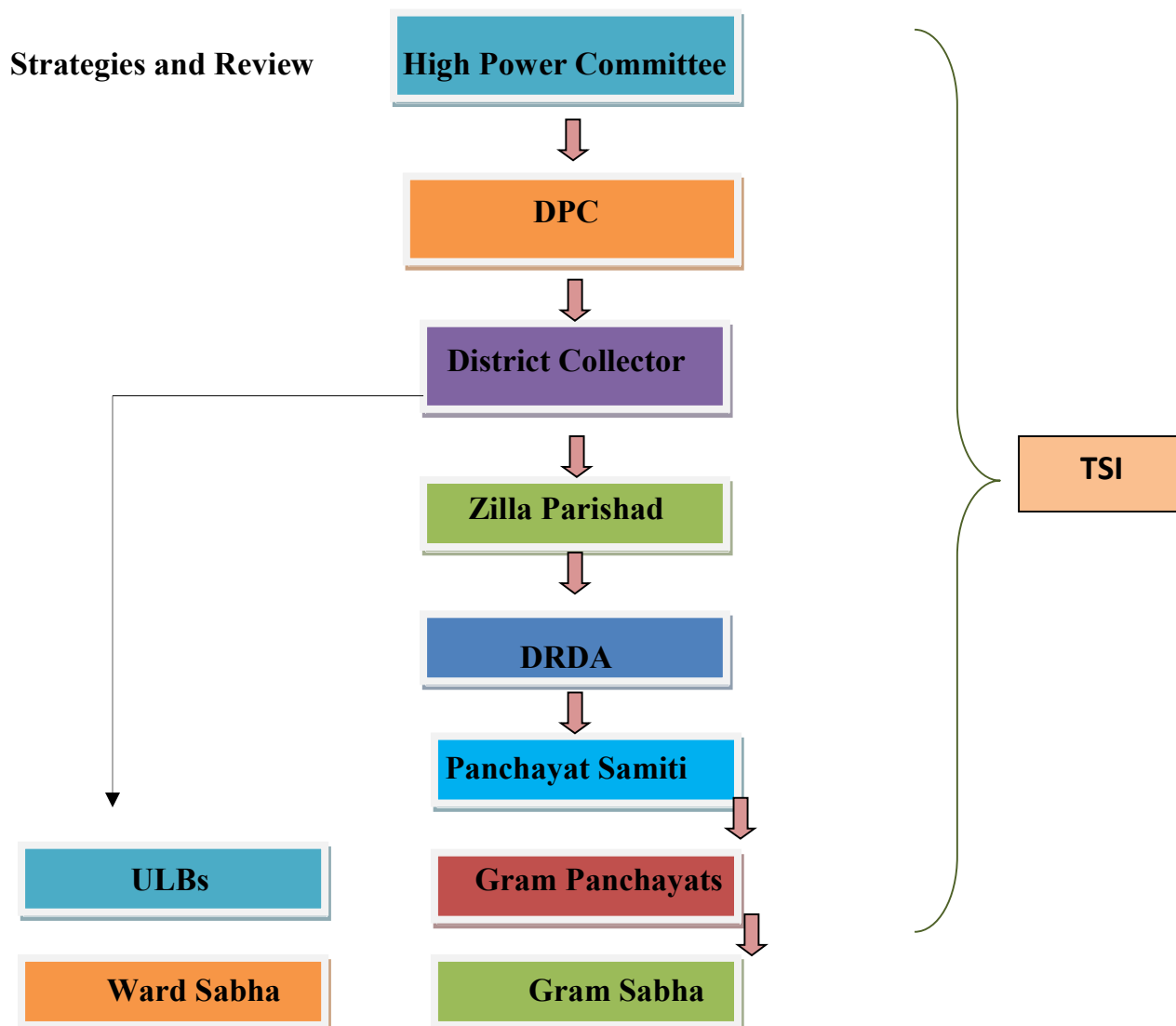
**g. Panchayat Samiti Programme Management Unit (PSPMU)**

A Programme Management Unit (PSPMU) at all the Panchayat Samitis were constituted. It consisted of one Engineer, one Community Mobilizer and one Data Entry Operator and one Accountant. The main assigned role of the unit was to coordinate the activities at the Gram Panchayat level. The unit was placed in the office of the respective Panchayat Samitis. It was seen that all the six selected Panchayat Samitis were constituted and coordinated the projects activities at the respective Gram Panchayats

**h. Social Audit:**

A team of eight members (including four women members and two SC/ST members) from each Panchayat /ULB were constituted for conducting social audit at the level of programme implementation. The team was selected by the Gram Sabha /Area Sabhas / Ward Committees as the case may be and the assignment of conducting social audit was given to the nearby Panchayats /ULBs. The team was officially not allowed to conduct the process of social audit in their own locality.

**Diagram No.2.3.1: Institutional Structure for Quality Programme Management**



**Source:** Information by the Formal and Informal Interviews during Field Work.

The institutional structure designed to maintain the quality of the implementation of the programme seemed quite effective. The institutional structure could review the progress and inadequacies of the scheme implementation at the state, district and block level. Lack of such institutional structure was visible at the grassroots level. However, the presence of an adequate monitoring mechanism is observed in the entire process.

### **2.3.5. Conclusion**

The monitoring was effective and timely interventions were made from the State by a newly formed institutional structure of HPC. At the district level, the institutional structure is not very clear, there were two multiple structures of the offices of the DC and ZP/DRDA. However, both had converged at the level of DPC. As in the case of district, at the block level there are two institutional structures of the Panchayat Samitis and the Block Development Offices. But no institutional structure was designed for convergence at the block level. No institutional structure except, a team for social audit was constituted at the programme implementation level, which may be one of the deficiencies in the institutional structure.

## **2.4 Administrative and Technical Capabilities of the Agencies towards Planning and Executing Various Activities**

### **2.4.1. Introduction**

Planning and executing of any activity mainly depends on the administrative and technical capabilities of the implementing entities. The administrative and technical capabilities of an organization have different dimensions in the new public management perspective. The capabilities of an organization have to be understood in the larger sociopolitical, legal and institutional context. If the organization is having an 'elected entity' the issue is more complex than an organization having only an official structure. In Maharashtra, the implementing responsibility of the BRGF had been given exclusively to the Gram Panchayats and ULBs. The organizations are largely governed by the respective Acts of the State. The powers, functions, responsibilities of the Acts exercise an important task in determining the administrative and technical capabilities of the agencies towards planning and executing the scheme. Since these organizations are largely political bodies with official structure, the capacity of the both the elected and

selected executives have to be analyzed. The training and capacity building (CB&T) exercise under the scheme had also designed as an inbuilt strategy in this context.

### **2.4.2. Objectives**

To assess the administrative and technical capabilities of the agencies towards planning and executing various activities

### **2.4.3. Methodology**

The first attempt in this direction was to understand whether the implementing entities have been encountered with any difficulties while executing the activities. All the available Elected Representatives and officials from the selected Panchayats and ULBs were contacted to assess their administrative and technical capabilities towards the planning and executing the activities. Therefore, two specific questions were attached in the ‘Schedule for Gram Panchayats /ULBs’. These questions have direct implications on the capabilities of the Elected Representatives and functionaries. The questions are (i) “whether, presently there is any elected functionary who has experience in the implementation of the BRGF?” and (ii) “whether, presently there is any official who has experience in the implementation of the BRGF?”. Since the infrastructure facilities available within the implementing entities have explicit impact in shaping the technical capabilities, it has been mapped out. The achievement rate of the prescribed norms in the guidelines was taken as an indicator of the administrative and technical capabilities of the agencies towards planning and executing various activities. For example, preparation of the ‘BRGF Action Plan’ is a mandatory requirement. The preparation of the same may be considered as one of the proxy variables to assertion the capabilities of the Panchayats /ULBs .The uploading of the ‘BRGF Action Plan’ in the *plan plus* software is another mandatory requirement. The affirmation of the same may be another proxy variable to validate the capabilities of the implementing entities.

#### **2.4.4. Presentation of Data and Discussion**

In the State of Maharashtra, the projects under BRGF were implemented exclusively by the Gram Panchayats and ULBs. No other agencies were involved in the process. The monitoring had been done by the Panchayat Samitis and Zilla Panchayats with the support of District Collector and DRDA. Therefore, the queries on the administrative and technical capabilities of the Panchayats and ULBs towards planning and executing various activities were focused on them.

(i) Planning: All the following major 13 steps on planning were followed by all the selected 24 Gram Panchayats and four ULBs while initiating the activities under the scheme and the planning steps are (i) sensitization of local community, (ii) baseline survey, (iii) felt needs identification, (iv) prioritization of projects, (v), preparation of annual plan, (vi) consolidation of action plan of GP, (vii) consolidation of action plan of ULBs and GPs, (viii) vetting of plans, (ix) consolidation of annual plans, (x) preparation of district plans, (xi) recommendation and approval of district plan, (xii) Final approval of district plan, (xiii) special Gram Sabha for plan implementation. The Block Development Offices and Panchayat Samitis were consolidating the plans received from the Gram Panchayats and allocating funds. The engineering staff at the block level had provided technical support to the planning process. They are supposed to prepare estimate, surprise the implementation and preparing work bills. It is seen that Block Development Officers has played a vital role in monitoring and implementation of the scheme at Gram Panchayat level. It is reported that the implementing entities have not been encountered with any serious difficulties while planning the activities. Moreover, it is seen that the planning exercise followed by the implementing entities was the same as what was recommended in the manual for Integrated District Planning (2009) by the erstwhile Planning Commission. The field evidences suggest that all the Gram Panchayats and ULBs could upload the planning data in the *pan plus* software. It is observed that planning exercise followed in the scheme implementation is one of the testimonies to validate the planning capability of the Gram Panchayats and ULBs. However, while

assessing the quality of the district plan it is felt that there are certain deficiencies. Long term development issues have not worked out in the district perspective plans. The possibilities and opportunities of pooling funds from other centrally and state sponsored schemes for convergences of projects have not been properly addressed.

(ii) Quality and usage of assets: Quality and usage of the assets created under the scheme is another area which may be taken as an indicator to assess the administrative and technical capabilities of the Gram Panchayats and ULBs towards planning and executing various activities. As per the perception of the stakeholders, the implementing entities have succeeded to create assets which have good quality. The utility of the assets also been rated as high by the local community. Only very negligible percentage of assets is being ranked as below average.

(iii) Capacity to maintain the assets: Poor maintenance of assets are the manifestations of the deficit in capacity by the concerned agencies, shortage of technically experienced personnel and poor planning of resources. While examining the status of the assets created, it is revealed that large share of the assets are registered in the 'asset register' of the concerned agency and maintained properly. It seems that the Gram Panchayats and ULBs are capable to maintain the assets. It may be taken as another dimension to appraise the administrative and technical capabilities of the concerned units.

(iv) Time taken for the implementation of the projects: There is a general assumption that implementation of projects by the Gram Panchayat and ULBs may take long span of time and it would result long delay in the completing the works. But that was not the case of the selected works under the scheme from the two districts. Majority of works are completed in record time which may be a marker to propose the capability index of the implementing agencies.

(v) Social Audit: The training programmes attended by a team from the Gram Panchayats and the ULBs made an impact to conduct social audit in their respective realms. It is observed that the institutional structure of social audit and the business of



conducting social audit is an indicator of institutional structure and the quality of programme management including review systems. It also shows the adequacy of monitoring mechanism.

#### **2.4.5. Conclusion**

Administrative and technical capabilities of the Gram Panchayats and ULBs have been examined within the perspective of new public management. The administrative and technical capabilities are defined and measured in terms of indicators such as planning, quality and usage of assets, capacity to maintain the assets, time taken for the implementation of the projects and social audit. The overall performance and particularly in the domain of annual plan was the response towards financial and technical capacity of the GPs and ULBs. The rate of performance in each indicator revealed that administrative and technical capabilities of the agencies towards planning and executing various projects under BRGF were commendable. The capabilities of the Gram Panchayats and ULBs have enhanced by the training and capacity building (CB&T) exercise.

### **2.5. Mitigation of Backwardness**

#### **2.5.1. Introduction**

It is really well recognized that improved means of social and physical infrastructure is the perquisite for reducing underdevelopment. As a corollary, underdevelopment is the manifestation of poor infrastructure. Therefore, attaining better social and physical assets is one of the main objectives of any developmental intervention and BRGF too was not an exception. As per the programme guidelines, the activities taken up in the annual plans are expected to be used as a strategy to reduce regional imbalance in development and to mitigate overall backwardness. Here, an attempt has been made to examine whether the assets have the potential to mitigate backwardness of the area and the development sector.

### **2.5.2. Objectives**

To assess whether the activities taken up in the annual plan by the Panchayats and ULBs helped in a mitigation of backwardness

### **2.5.3. Methodology**

As per the ToR of the study, it was suggested to cover five assets from each implementing entities (Gram Panchayats and ULBs). A total of 140 assets were verified from the selected Gram Panchayats / Municipalities from both the districts of Ahmednagar and Amaravati. While preparing the questionnaire for data collection, specific queries were attached in the format for different stakeholders to understand the potential of the assets. It was asked whether the asset is suggested by the community for critical gap filling or not. The physical verification of the assets and the focus group discussion held among the stakeholders of the assets was another source of information in this direction. The field investigators were trained to assess potentiality of the assets to mitigate the backwardness.

### **2.5.4. Presentation of Data and Discussion**

Since its inception, under BRGF in Ahmednagar district total 4181 roads and 230 culverts were constructed. In the district 924 primary schools were provided with additional class rooms / buildings. It is also seen that 224 Anganwadi buildings have been constructed and 278 Gram Panchayats were sheltered in new buildings. Facilities of 2393 graveyards have been improved and 763 solar street lights instated. The water logging was avoided in a number of villages through constructing 101 units of drainage (Table No.2.5.1). A total of 5874 projects initiated by Gram Panchayats and ULBs were completed in Amaravati District. As per the data, 3577 roads were improved, 705 Anganwadi centres, 1311 drainages and 281 Gram Panchayat Bhavans were constructed using BRGF fund (Table No. 2.5.1). Though the funds received by the Panchayats are comparatively less, they have tried to mitigate the backwardness of the area with the available funds.

**Table No. 2.5.1: Important Assets Created Under BRGF from the Inception of Scheme**

Important Assets Created in Ahmednagar District under BRGF			Important Assets Created in Amaravati District under BRGF		
Sl No.	Usage of Assets	Number	Sl No.	Usage of Assets	Number
1.	Roads	4181	1.	Roads	3577
2.	Bridges /Culverts	230	2.	Anganwadi Building	705
3.	School Building /Additional Rooms	924	3.	Panchayat Bhawan	281
4.	Anganawadi Building	224	4.	Drainage	1311
5.	Health Centre / Additional Infrastructure	77			
6.	Panchayat Bhavans	278			
7.	Graveyard/ Compound Wall etc.	2393			
8.	Solar Street Lights	763			
9.	Infrastructure to Markets	120			
10.	Water Conservation	93			
11.	Water Supply	3243			
12.	Public Toilets	401			
13.	Garbage Disposal Facility	407			
14.	Drainage	101			
	<b>Total</b>	<b>13435</b>			<b>5874</b>

**Source:** Data Furnished from District Administration of Ahmednagar and Amaravati

A total of 140 assets were verified from the selected Gram Panchayats / Municipalities. In Amaravati district among the verified assets, 42.86 per cent is CC roads and 25.71 per cent is CC drains whereas in Ahmednagar district the corresponding figure is 21.43 per cent and 17.14 per cent, respectively. The details of assets verified are given in Table No. 2.5.2

The villages in the BRGF districts were lagging in connectivity and each and the selected Gram Panchayats and ULBs have made attempt to improve their connectivity making use of the BRGF funds. They have also tried to fill some critical gaps existed in the villages.

For example, the Badanapur Gram Panchayat of Chikhaldara Block in Amaravati district, which comes under PESA has constructed a teachers quarters utilizing the BRGF fund. The Gram Panchayat is far away from the block and district headquarters and transportation facility is seems to be very difficult condition. Due to this, the teachers appointed to the village primary schools either used to avail leave or remain absent from the school. In order to overcome this, Panchayat had constructed housing facilities for the teachers and since then the attendance of teachers in the school was ensured. The asset could mitigate the educational backwardness of the area. Detailed observation of the all the 140 assets verified in both districts had different narratives on how they were instrumental in mitigating the under development in the respective project area.

**Table No.2.5.2: The Details of Assets Verified in the 24 Gram Panchayats and 4 Municipalities from Two Selected Districts of Maharashtra**

Sl No	Type of Asset	Ahmednagar District		Amaravati District	
		Number	Percentage	Number	Percentage
1	Anganwadi Building	01	1.43	03	4.29
2	CC Drain	12	17.14	18	25.71
3	CC Road	15	21.43	30	42.86
4	Community Hall	01	1.43	01	1.43
5	Compound Wall	10	14.29	07	10.00
6	Culvert		0.00	02	2.86
7	Gram Panchayat Bhawan	-	-	03	4.29
8	Meat Market	-	-	01	1.43
9	Store Room	-	-	01	1.43
10	Road Tarred	-	-	03	4.29
11	Teachers Quarters	-	-	01	1.43
12	Repair of PHC	01	1.43	-	-
13	Graveyard	03	4.29	-	-
14	Paving Block	06	8.57	-	-
15	Otta (Platform for Traders to Sit & to Take Rest in the Market)	01	1.43	-	-
16	Pipe Line	03	4.29	-	-
17	Water Tank	04	5.71	-	-
18	Shopping Centre	02	2.86	-	-
19	Retaining Wall	03	4.29	-	-
20	School Building	01	1.43	-	-
21	Street Light	01	1.43	-	-

22	Wire Fencing	01	1.43	-	-
23	Toilet	02	2.86	-	-
24	Ground Concreting	01	1.43	-	-
25	Gymnasium	01	1.43	-	-
26	Road Medaling	01	1.43	-	-
	<b>Total</b>	<b>70</b>	<b>100</b>	<b>70</b>	<b>100</b>

**Source:** Data Furnished from Asset Schedule

All the selected Gram Panchayats / Municipalities had formulated projects to bridge gaps identified in Ahmednagar district while 92.86 per cent of them had formulated projects to bridge gaps in Amaravati district (Table No. 2.5.3). Out of the two ULBs only one had projects to this direction.

**Table No.2.5.3: Details of Projects Formulated to Bridge Gaps**

Sl No	Parameters	Ahamednagar		Amaravati	
		GPs (N=12)	ULBs (N=2)	GPs (N=12)	ULBs (N=2)
1	Number of PRIs Prepared Plans to Bridge Gaps	12	2	12	1

**Source:** Gram Panchayat and ULB Schedule

### 2.5.5. Conclusion

Though the funds received by the Panchayats are comparatively less, they have tried to mitigate the backwardness of the area with the available funds. The verification of the social and physical infrastructure based assets revealed that they were created under a detailed planning process. The local community was actively participated in the process. As a result, the most appreciated assets were suggested and constructed. The planning process and the involvement of the local community had been worked as an enabling platform to create assets which had the potential to mitigate the overall backwardness of the respective sectors and regions. The detailed analysis of the all the assets created under BRGF in the two districts has succeeded in achieving improved social and physical infrastructure in the respective domain.

## 2.6. Convergence

### **2.6.1. Introduction**

As per the programme guidelines, convergence and synergistic mode with Central / State sector schemes are to be suggested to implement under BRGF. In other words, as the scheme stands for gap filling exercise, the standalone projects are seldom visualized by the programme guidelines. It is stated that, “Part untied funds are available for certain purpose and allow for a certain measure of convergence with other schemes. Examples are SGRY and funds from award of Central and State Finance Commission. These funds can be used for gap filling within limits”. Moreover, examples of how to converge different programmes are properly grafted in the ‘National Capacity Building Framework for Panchayati Raj Elected Representatives and Functionaries’. In this context, it is worthwhile to examine the activities being implemented under BRGF are in convergence and synergistic mode of operation.

### **2.6.2. Objectives**

To assess whether activities being implemented under BRGF are in convergence and synergistic mode with other Central /State sector schemes or are being implemented on standalone basis

### **2.6.3. Presentation and Discussion of Data**

Though details of convergence were not proposed in the action plan, a few of the ULBs and Gram Panchayats had made attempts to converge the projects with own fund, *Dalitvasti*, a State Sponsored Scheme and Central Finance Commission (CFC) grant. Out of the 28 selected implementing entities (Local Governments of GPs and ULBs) 11 had the experience of convergence in 14 projects (Table No.2.6.1). In Ahmednagar district there were four Gram Panchayats had opted for convergence in six cases (Table No.2.6.2). In Samsherpur GP there were three cases of convergence. It was noticed that idea of convergence needs some more clarity and support from the line departments. Convergence mode of operation was available only in certain areas of intervention such as 13<sup>th</sup> Finance Commission Grant, own fund, ZP Cess, State Sponsored Schemes (*Jansuvidha*). In Amaravati district there were only four Gram Panchayats which opted

for convergence in five works (Table No.2.6.3). In the case of ULBs, there was only one case to demonstrate the working of convergence mode in Ahmednagar district (Table No.2.6.4) whereas the corresponding number was two in the case from Amaravati district (Table No.2.6.5). The following are some of the cases of convergence.

1. In Achalpur Municipality (ULB) in Ahmed Nager district, a road from Lalpal Square to LAC Square having a length of 880 meters and width of 7.75 meters had been made improvements at the cost of Rs.68.00 lakhs. Out of the total amount, Rs.42.28 lakhs was allotted from BRGF and the balance amount was mobilized from own fund of the Municipality.
2. The Rahuri Municipal Council had constructed an additional hall and toilet complex at Keska Cultural Centre by making convergence between two sources; the BRGF and the 13<sup>th</sup> Finance Commission grant. The total amount of the work was Rs.39.22 lakhs out of which Rs.28.12 lakhs was from BRGF.
3. The Anjangaonbari Gram Panchayat of Amaravati Block in the district of Amaravati constructed a Gram Panchayat Bhavan which had a total estimated cost of Rs.15.58 lakhs. The project was converged with *Jansuvidha*, a State Sponsored Scheme and the expenditure from BRGF was only Rs.9.60 lakhs
4. Mahuli Jahagir Gram Panchayat also had made an attempt to converge BRGF fund with 13<sup>th</sup> Finance Commission grant in maintenance of the Gram Panchayat building project. The total cost of the project was Rs.18.73 lakhs and amount spent from BRGF was only Rs.4.73 lakhs.

Though the fund gap for a project was filled by another source, no ‘actual convergence mode’ was seen made. The scheme was most suitable for convergence with SBM fund and MGNREGS. None of the GPs and ULBs had attempted for this convergence and this may be noticed as one of the areas to be taken serious attention in the implementation of BRGF in the State.

**Table No. 2.6.1: Gram Panchayats and ULBs Attempted for Convergence and the Number**

**of Works**

SI No	No of GPs & ULBs Attempted for Convergence	No of GP/ULBs	No. of Works
1.	Number of Gram Panchayats Attempted Convergence in Ahmednagar District	4	6
2.	Number of Gram Panchayats Attempted Convergence in Amaravati District	4	5
3.	Number of ULBs Attempted Convergence in Ahmednagar District	1	1
4.	Number of ULBs Attempted Convergence in Amaravati District	2	2
	<b>Total</b>	<b>11</b>	<b>14</b>

**Source:** Data Furnished from Gram Panchayat & Municipality Schedule

**Table No. 2.6.2: Details of Gram Panchayats Attempted for Convergence in Ahmednagar District**

SI No	Name of the GP	Name of the Work	Sources of Fund under Convergence	Total Amount (Rs. in lakhs)	Amount from BRGF (Rs.in lakhs)	Amount from Other Sources (Rs.in lakhs)
<b>1</b>	Samsherpur	(i)Construction of Shopping Centre	BRGF with Own Fund	12.58	8.31	4.27 ( <i>Own Fund</i> )
		(ii)Paving Block in Grave Yard(for STs)	BRGF with 13 <sup>th</sup> Finance Commission & ZP Cess	0.81	0.55	0.21 (13 <sup>th</sup> Finance) & 0.05 (ZP Cess)
		(iii)Drainage in SCs Colony	BRGF with Own Fund	0.26	0.18	0.08 (Own Fund)
<b>2</b>	Satral	Paving Block in Grave Yard	BRGF with 13 <sup>th</sup> Finance Commission	0.91	0.60	0.31 (13 <sup>th</sup> Finance Commission)
<b>3</b>	Ghodsarwadi	Construction of Shopping Centre	BRGF with 13 <sup>th</sup> Finance Commission & Jansuvidha	1.25	0.80	0.31 (13 <sup>th</sup> Finance Commission & 0.14 ( <i>Jansuvidha</i> )
<b>4</b>	Wambori	Paving Block in Near Vittal Temple	BRGF with 13 <sup>th</sup> Finance Commission	1.19	0.74	0.45 (13 <sup>th</sup> Finance Commission)

**Source:** Data Furnished from Gram Panchayat & Municipality Schedule

**Table No.2.6.3: Details of Gram Panchayats Attempted for Convergence in**



### Amaravati District

Sl No	Name of the GP	Name of the Work	Convergence	Total Amount (Rs. in lakhs )	BRGF Amount (Rs. in lakhs)	Amount from Other Source (Rs. in lakhs)
1	Mahuli Jahagir	Maintenance of GP Building	BRGF with 13 <sup>th</sup> Finance Commission	14.00	4.73	9.27 (13 <sup>th</sup> Finance Commission)
2	Anjangoanbari	GP Building	BRHF with Jansuvidha	15.58	9.60	5.98 (Jansuvidha)
3	Waygoan	GP Building	BRGF with 13 <sup>th</sup> Finance Commission	7.49	4.50	2.99 (13 <sup>th</sup> Finance Commission)
4	Badhanapur	(i) Teachers Quarters	BRGF with 13 <sup>th</sup> Finance Commission	3.69	3.19	0.50 (13 <sup>th</sup> Finance Commission)
		(ii) Construction of Compound Walls in School	BRGF with 13 <sup>th</sup> Finance Commission	5.25	2.75	2.50 (13 <sup>th</sup> Finance Commission)

**Source:** Data Furnished from Gram Panchayat & Municipality Schedule

**Table No.2.6.4: Details of ULBs Attempted for Convergence in Ahmednagar District**

Sl No	Name of the Municipality	Name of the Work	Convergence	Total Amount (Rs. in lakhs )	BRGF Amount (Rs. in lakhs)	Amount from Other Sources (Rs. in lakhs)
1	Rahuri	Construction of Hall and Toilet on Cultural centre	13 <sup>th</sup> Finance Commission	39.22	28.12	11.10 (13 <sup>th</sup> Finance Commission)

**Source:** Data Furnished from Gram Panchayat & Municipality Schedule

**Table No.2.6.5. Details of ULBs Attempted for Convergence in Ahmednagar**

### District

Sl No	Name of the Municipality	Name of the Work	Convergence	Total Amount (Rs. in lakhs)	BRGF Amount (Rs. in lakhs)	Amount from Other Sources ( Rs. in lakhs )
1	Anchalpur	Construction of WBM & Tar Road from Lalpal Square to LIC square	Own Fund	68.00	42.28	25.72( <i>Own Fund</i> )
2	Chandur Railway	Construction of drain from <i>Jijamata</i> Colony to APMC	Own Fund	19.25	12.13	7.12( <i>Own Fund</i> )

**Source:** Data furnished from Gram Panchayat & Municipality Schedule

#### 2.6.5. Conclusion

No actual convergence and synergistic mode was seen applied in the implementation of projects. Lack of clarity among the stakeholders in operationalizing the concept of convergence and synergistic mode with other Central and State Sector schemes is observed. Poor support from the line departments had also acted as an impediment in this direction. However, ‘fund gap’ for a few projects was addressed by another comfortable source of finance. A few of the ULBs and Gram Panchayats have made attempts to fill the fund gap from own source revenue (OSR), State Sponsored Schemes and Central Finance Commission (CFC) grant. Therefore, these projects are not purely ‘stand alone projects’. It can be admitted as the first phase of attempt for moving towards convergence and synergistic mode. The SBM and MGNREGS are the most potential schemes for implementing with the support of convergence and synergistic mode where none of the GPs and ULBs had attempted.

#### **2.7. Capacity Building under BRGF**

### **2.7.1. Introduction**

The programme guidelines of the BRGF have a separate chapter on capacity building of the Panchayats and ULBs for planning and implementation. Moreover, a detailed framework for the capacity building is placed at the annexure of the same guidelines. Separate allocation of funds, at the rate of Rs. 1.00 crore per BRGF district was earmarked for capacity building of the stakeholders. In addition to this, funds were also earmarked for capacity building from the development grants. Various components of capacity building and the sources of funds were also described in the guidelines. The careful reading of the programme guidelines gives an impression that the capacity building of the all major actors has been recognized as a critical component of BRGF. Therefore, an attempt has been made to assess its effectiveness in the programme implementation.

### **2.7.2. Objective**

To assess the extent to which Elected Representatives (ERs) and Panchayat Functionaries (PFs) have been trained under the component 'Capacity Building' of the programme

### **2.7.3. Presentation and Discussion of Data**

Even before the commencement of BRGF scheme the Planning Department of Maharashtra has imparted training to the Elected Representatives (ERs) and Panchayat Functionaries (PFs) on micro level planning. Three major subjects (PRA Tools, Learning Tools and Interactive Exercises) were covered at the initial stage of the training.

#### **a. Ward Sabha and Mahila Sabha**

The State Government appointed YASHADA as the nodal agency for capacity building programme for BRGF and the agency was supposed to impart training to Elected Representatives of the three tiers of Panchayats and to the officials associated with PRIs. According to YASHADA the total number of Elected Representatives and officials to be trained were around 1.10 lakh out of which 1.04 lakh were from the Gram Panchayat level.

The YASHADA adopted a policy of imparting training to master trainers and training of target group in a decentralized manner, employing infrastructure facilities of local institutions especially Non Governmental Organizations (NGOs). YASHADA has developed training modules for induction course and foundation course. Reading materials were prepared and printed for the target groups. Initially 634 Master Trainers were trained in all the 12 BRGF districts. The details of which are furnished in Table No.2.7.1.

**Table No.2.7.1 : District Wise Details on Master Trainers Trained in BRGF Districts**

Sl No	Name of Districts	Number of Persons Trained
1.	Ahmednagar	43
2.	Aurangabad	63
3.	Amravati	35
4.	Bhandara	78
5.	Chandrapur	53
6.	Dhule	35
7.	Gadchiroli	83
8.	Gondia	53
9.	Hingoli	71
10.	Nanded	-
11.	Nandurbur	36
12.	Yavalmal	52
	<b>Total</b>	<b>602</b>

**Source :** Data Provided by YASHADA

During 2008-2009, the Foundation Course and Basic Functional Course were conducted and Elected Representatives of Zilla Parishads (218) Panchayat Samitis (442) and Gram Panchayats (18275) were trained, the details of which are provided in Table No.2.7.2

**Table No.2.7.2: Elected Representatives & Functionaries Trained 2008-2009**

Sl No	District	Officials of District & Block	Officials of GP level	Elected Representatives			
				Zilla Panchayat Members	Panchayat Samiti Members	Gram Panchayat Members	Total
1.	Ahmednagar	18	1011	2	41	2767	3839
2.	Aurangabad	102	67	31	33	515	748
3.	Amaravathi	57	30	30	17	174	308
4.	Bhandara	191	450	19	44	1954	2658
5.	Chandrapur	34	253	17	44	2981	3329
6.	Dhule	119	1270	0	6	2514	3909
7.	Gadchiroli	527	243	34	57	865	1726
8.	Gondia	8	45	26	52	1326	1457
9.	Hingoli	65	150	0	62	156	433
10.	Nanded	77	42	11	46	1733	1909
11.	Nandurbar	16	0	26	16	0	58
12.	Yavatmal	184	648	22	24	3290	4168
	<b>Total</b>	<b>1398</b>	<b>4209</b>	<b>218</b>	<b>442</b>	<b>18275</b>	<b>24542</b>

**Source:** Data Provided by YASHADA

The following capacity building activities were initiated by YASHADA in subsequent years

1. Foundation Course
2. Training Need Assessment and Development of Modules
3. Strengthening Functional Literacy Centres
4. Building ICT Skills for Gram Sevak
5. Formation of Network of PRIs for Experience Sharing
6. Satellite Based Training
7. Strengthening of Panchayat Samiti Level Extension and Resource Centres
8. Installation of Helpline

Year wise Achievements in Capacity Building are provided in Table No.2.7.3

**Table No.2.7.3: Year Wise Capacity Building Activities**

Year	Name of Activity	Duration	No of Participants	Number of Programmes
<b>2007-2008</b>	TOT to Master Trainers		634	
<b>2008-2009</b>	Foundation course & basic functional course to Elected Representatives & Officials		4542	
	Printing and circulating “ <i>Gram Yash Varta</i> ” News letter	Monthly		
	Training in ICT Skill to <i>Gram Sevaks</i>		4382	
	Production of Films		4	
	Telecasting of RD Ministers Speech through <i>SATCOM</i>	55 Locations	4000	
	Telecasting of Lectures on BRGF through <i>SATCOM</i>	8 Days	ERs	
	Printing of Reading Material		6000 copies	
<b>2009-2010</b>	Training on Village Level Micro Planning to Master Trainers	8 Days	634	9
	Foundation Course for Elected Representatives		59898	729
	Training in ICT Skills to <i>Gram Sevaks</i>	5 Days	4832	
	Installation of Helpline in <i>YASHADA</i>		1236 calls	
	Provided Guidelines to CEOs of BRGF Districts for Gram Sabha Level Campaign			
<b>2010-2011</b>	Induction Course for Master Trainers on BRGF	5 Days	504	
	Training to Elected Representatives and Functionaries (Foundation Course)		38472	835
	TOT for Functional Literacy Course			
	Constructions of Satellite Interactive Training Centres			
	Providing laptops, computer office tables and chair, fan etc for BRCs		169	
	Helpline		13816 calls	
	Certificate Course on Panchayati Raj to Elected	6 Months	71	2

	Representatives			
	Broadcasting of audio jingles and sports	1 Year		
<b>2011-2012</b>	Foundation Course for ERs and Functionaries		16673	608
	Basic Foundation Course		34541	803
	Refresher Course		2612	48
	Induction Course for Master Trainers	10 Days	504	-
	Training for Volunteers on Functional Literacy	-	1150	-
	Certificate Course on Panchayati Raj to Elected Representatives	6 Months	149	3
	Formation of network of Elected Representatives	-	126 Sarpanch	-
<b>2012-2013</b>	Foundation Course of Representatives and Functionaries	-	20422	-
	Basic Functional Course	-	9993	-
	Refresher Course	-	43897	-
	Induction Course for District Level Master Trainers	10 Days	504	
	Outreach Workshop for Representatives of Zilla Parishad	-	54	-
	Functional Literacy Programme for Representatives	-	10795	-
<b>2013-2014</b>	Foundation Course for Representatives & Functionaries	-	11032	-
	Basic Functional Course	-	8468	-
	Refresher Course	-	23799	
	Training for Project Management Staff	3 Days	419	-
	Outreach Workshop for Representatives	-	126	-
	Functional Literacy Programme “Visit to Beacon Panchayats”	-	14451	-
	Training for Data Entry Operators	-	141	-
<b>2015-2016</b>	Refresher Course	-	3870	-
	ICT Skill Training to GP Representatives and Officials	-	20338	-

**Source:** Data Provided by YASHADA

### **The following are the Subjects Trained**

- Capacity Building
- Micro Planning Concept
- Effective Service Delivery in Gram Panchayat - Concept and Road Map
- Functional Literacy for Elected Representatives
- IT Awareness Programme
- Integrated Watershed Management Programme
- Village Sanitation

In addition to the above activities toll free helpline for providing the information / clarification has been installed at YASHADA, Pune which was used by an average of 12000 persons per year. As per the official records 13816 persons were utilized the service of the toll free helpline.

As per the BRGF guidelines, each district was eligible to receive Rs. 1.00 crore per year for capacity building. As such the State was eligible to get Rs.96.00 crores for capacity building from 2007-2008 to 2014-2015. But the actual amount received for capacity building is Rs.79.70 crores only out of which Rs. 68.28 crores only was utilized by the State and Rs. 12.58 crores along interest were refunded to the Central Government during 2016-2017.

The year wise number of subjects trained and the number of participants from the selected Gram Panchayats and Municipalities are provided in Table No. 2.7.4. Elected Representatives and Officials of the Gram Panchayats from Ahmednagar district had received training on more subjects than their counterparts from the Amaravati district. The total number of participants (Elected Representatives and Officials) who attended the training programme was also high in Ahmednagar than the other selected district. Table No. 2.7.4 gives that both in terms of subjects covered and the number of participants under capacity building exercise for the training programme were poor in the four selected ULBs from the two districts. Nobody from the two ULBs from the Amaravati district had received any training under BRGF for a period of 10 years, from 2006-2007



to 2015-2016. According to the programme guidelines, there were provisions for introducing different components for capacity building by the Gram Panchayats and ULBs .They were (i) Received Technical Support for Conducting Baseline Survey.(ii) Appointed Additional Staff for BRGF,(iii) Appointed Volunteers for Community Mobilization,(iv) Appointed *Bare- Foot Engineers*,(v) Uploaded Action Plans in *Plan Plus*,(vi) Trained Community Level Person for Agriculture Extension and (vii) Gender Empowerment Community Leader/Volunteer. Majority of the Gram Panchayats had utilized some of the major components for capacity building. For example, provision for receiving technical support for conducting baseline survey was utilized by more than 90 per cent of Gram Panchayats whereas it was only 50 percent by the ULBs. In the case of the utilization of the provision for appointing additional staff for BRGF, only more than 50 per cent of the Gram Panchayats had positively responded. Only 10 Gram Panchayats from Ahmednagar had appointed Volunteers for community mobilization. As per the data, the *Bare- Foot Engineers* were appointed by the 62.50 per cent of the Gram Panchayats. All the Gram Panchayats except one had made the provision for uploading the action plan in the *Plan Plus* software. Though there were provisions for appointing trained community level person for agriculture extension and gender empowerment community leader/volunteer, no attempt were seen made by any of the selected Gram Panchayats. While analysing the components for capacity building two points have been noticed. One, ULBs had not properly utilized the available provisions for capacity building. Two, among the selected districts, wide variations in utilizing the provisions for capacity building by the Gram Panchayats were seen. More Gram Panchayats in Ahmednagar district had utilized the components for capacity building than their counterparts in Amaravati district.

A three tier capacity building structure had been constituted in both the selected districts (Diagram No2.7.1). There was a District Project Management Unit (DPMU) at the district level which consists of five personnel whereas at the block level the corresponding structure was known as Block Resource Centre (BRC) and the staff strength was four. The service of the *Bare Foot Engineers* had been utilized at the Gram

Panchayat level according to the work load under BRGF. All the selected six Panchayat Samitis had established the Block Resource Centres (BRCs) as part of the capacity building component under BRGF (Table No. 2.7.6).

**TableNo.2.7.4: Details of Training Received by Elected Representatives and Functionaries in Selected PRIs and ULBs from the Two Selected Districts**

Sl No	Year	Ahmednagar District				Amaravati District			
		PRIs		ULBs		PRIs		ULBs	
		No of Subjects	No of Participants	No of Subjects	No of Participants	No Subjects	No of Participants	No of Subjects	No of Participants
1	2006-07	-	-	-	-	-	-	-	-
2	2007-08	-	-	-	-	-	-	-	-
3	2008-09	2	37						
4	2009-10	5	135			3	83		
5	2010-11	6	183			5	108		
6	2011-12	6	183			5	108		
7	2012-13	6	183			4	112		
8	2013-14	6	183	1	1	5	109		
9	2014-15	7	183			6	108		
10	2015-16					2	36		
	Total	38	1087	1	1	30	664		

**Source:** Data Furnished by the PRIs / ULBs

**Table No.2.7.5: Components for Capacity Building in Selected Gram Panchayats & ULBs**

Sl No	Component for Capacity Building	Ahmed Nagar		Amaravati	
		Gram Panchayats (N=12)	ULBs (N=2)	Gram Panchayats (N=12)	ULBs (N=2)
1.	Received Technical Support for Conducting Baseline Survey	10	1	12	1
2.	Appointed Additional Staff for BRGF.	9	1	4	2
3.	Appointed Volunteers for Community Mobilization.	10	-	-	-
4.	Appointed <i>Bare- Foot Engineers</i>	10	-	5	-
5.	Uploaded Action Plans in <i>Plan Plus</i>	11	2	12	2
6.	Trained Community Level Person for Agriculture Extension	-	-	-	-
7.	Gender Empowerment Community Leader/Volunteer	-	-	-	-

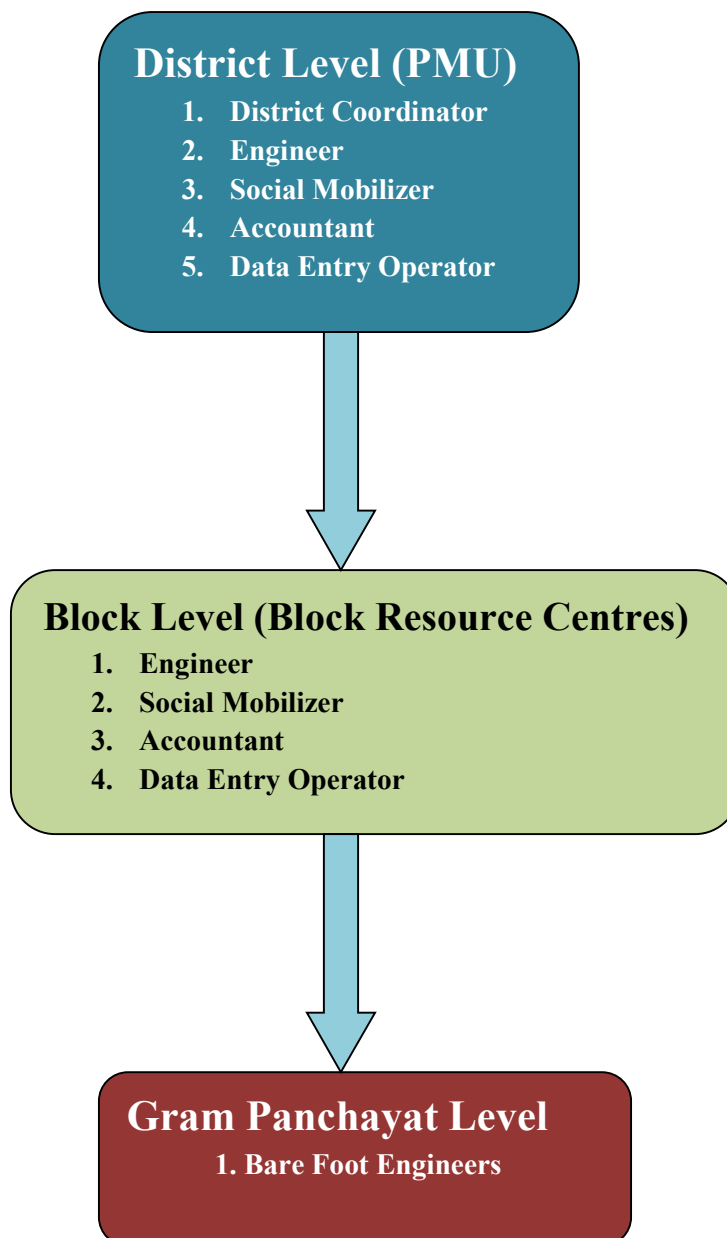
**Source:** Data Collected from the Gram Panchayats / ULBs

**Table No.2.7.6: Component (Block Resource Centre) for Capacity Building in Selected Intermediate Panchayats (Panchayat Samiti)**

Sl No	District	Block	Establishment of Block Resource Centre(BRC)
1.	Ahmednagar	1. Akole	Yes
		2. Nagar	Yes
		3. Rahuri	Yes
2.	Amaravati	1. Amaravati	Yes
		2. Chikladara	Yes
		3. Bhatkuli	Yes

**Source:** Data Collected from Six Selected Panchayat Samitis

**Diagram No.2.7.1: Capacity Building Structure**



#### **2.7.4. Conclusion**

It is seen that the programme guidelines has prominent provision for the capacity building of the all the major actors in the planning and implementation of the scheme. Separate allocation of funds, at the rate of Rs.1.00 core per BRGF district was earmarked under BRGF for capacity building of the stakeholders. In addition to this, funds were also earmarked for capacity building from the development grants. Provisions were also made to constitute structures with professional expertise to strengthen the planning and implementation capacity of the PRIs and ULBs. The Planning Department of Government of Maharashtra has imparted training to the Elected Representatives (ERs) and officials on micro level planning, even before the official commencement of BRGF scheme. The State Government appointed YASHADA as the nodal agency for capacity building programme for BRGF and the agency had imparted training to Elected Representatives of the three tiers of Panchayats and to the officials associated with PRIs. Though the State did not succeed to utilize the full amount allocated for the capacity building under BRGF, the capacity building and training (CB&T) was a successful venture in terms of the content, coverage and its value. This is very particular in the case of Elected Representatives and functionaries among the Gram Panchayats. However, in case of ULBs it may be taken with a pinch of salt. The overall success in the domain of the capacity building had been positively reflected in the effectiveness of programme implementation in the State.

### **2.8. Time Frame Taken to Implement the Project after Initial Funding**

#### **2.8.1. Introduction**

Decentralized participatory planning process with specific well defined steps was followed while preparing and implementing the projects under the BRGF. Generally, it is assumed that the planning process is a time consuming one and each step needs certain

protocol checklist. As it is observed, the final stage of implementation would consume more time span among the planning steps. Generally, the nature of release of development fund and the procedures relating its flow to the implementing agency is observed as one of the impediments for the speedy implementation of projects. In the context of the above observations of the time frame taken to implement the projects, it may be worthwhile to understand the case of projects under BRGF. The specific task placed here is to appraise the time taken in completion of an activity /work after initial funding was made to the PRIs and ULBs.

### **2.8.2. Objectives**

To assess the time taken in completion of an activity /work after initial funding was made to the implementing entities (IEs)

### **2.8.3. Methodology**

Specific questions were listed in the ‘asset schedule’ to find out the time taken in completion of an activity /work after initial funding was made to the implementing entities (IEs). While analyzing the data it had been classified in to six divisions based on the duration of time for the completion of the work such as (i) time taken less one month(ii) time taken more than one month and less than two months (iii) time taken more than two months and less than four months (iv) time taken more than four months and less than eight months (v) time taken more than eight months and less than one year, and (vi) time taken more than one year.

### **2.8.4. Presentation and Discussion of Data**

It is seen that the Gram Panchayats and Municipalities were informed much in advance on the yearly allocation of funds. Since the resource envelope is known to the implementing entities, it had succeeded to initiate the planning process and formulate the project activities much in advance. The preparation of annual action plan under BRGF had become a critical factor in the completion of the developmental works.

The time frame taken to complete the 140 assets verified in the two selected districts visited are provided in Table No.2.8.1. On assessment of time frame taken to complete the works it is seen that in Ahmednagar District, five works (7.14 per cent) had completed within very short time span of less than one month whereas not even a single work is in Amaravati District for such a claim (Table No.2.8.1). Again, in Ahmednagar only two works (2.86 per cent) had taken a long time span of more than one year to complete the work. In Amaravati District, 14 such works (20 per cent) were seen among the verified assets. However, in both the districts the highest percentage of works were from the category of works 'which had taken more than four months and less than eight months'. It is hovering at 40 per cent .CC roads and projects of drinking are completed within three to nine months (Table No. 2.8.1). There are exceptional cases in which it has taken more time but it was not due to the non availability of funds. The following detail gives the time taken in completion of certain activities / works after initial funding was made to the implementing entities (IEs).

(i) Construction of a road in Sayat Gram Panchayat of Bhatkuli block from Amaravati district was started on 4<sup>th</sup> November 2010. It was completed on 18<sup>th</sup> March .2011. Time taken in completion of the activity /work after initial funding was made to the implementing entities and the estimated time span is only four months

(ii) The construction of 247 meter CC drain with an estimated amount of Rs.3.00 lakhs was started on 6<sup>th</sup> October 2010 and completed on 20<sup>th</sup> January 2011 in Anjangaon Gram Panchayat of Amaravati district. It had completed with a short time span of four months.

(iii) The construction of CC drain at a length of 491.80 meter with an estimated cost of Rs.5.93 lakhs was started on 12<sup>th</sup> October 2013 and completed on 30<sup>th</sup> June 2014 in Mahuli Jahagir Gram Panchayat in Amaravati district .It took around seven months.

(iv) The construction of Anganawadi building with an estimated cost of Rs. 4.50 lakhs was started on 12<sup>th</sup> February 2011 and completed on 20<sup>th</sup> .June 2012. It was in Mahuli Jahagir Gram Panchayat in Amaravati district and took more than one year.

(v) The construction of Gram Panchayat building in Waygoan Gram Panchayat in Bhatkali block from Amaravati district was started on 5<sup>th</sup> August 2010 and completed on 28<sup>th</sup> February 2012. It had completed with a long span of one and a half year.

(vi) In Vithe Gram Panchayat of Akole block from Ahmednagar district, construction of a concrete water tank of 10000 liter with 20 meter pipe line was started on 3<sup>rd</sup> March 2015 and completed on 28<sup>th</sup> March 2015. It took less than one month.

(vii) A community hall having 1200 sq.feet area in the same Gram Panchayat from Ahmednagar district was completed within 6 months of commencement of the work.

(viii) It took one year to construct a shopping complex having 210 sq. meters and with an estimated cost of Rs.16.85 lakhs in Samserpur Gram Panchayat of Akole block from Ahmednagar district.

(ix) In Chandur Railway Municipality from Amaravati District the construction of drainage having 120 meters length and 1.8 meters width was started on 12<sup>th</sup> May 2010 and was completed on 5<sup>th</sup> April 2011.

It is noticed that undue delay in completion of the works undertaken are not observed in any of the implementing entities (Gram Panchayats and Municipalities). Among the activities / works it is seen that CC roads and drains were completed within three to nine months. Only in exceptional cases it had taken more time span. However, the completion of building (shopping complex, Gram Panchayat building and Anganawadi building) took more time. The delay was suspected of complicity in the works related to construction rather than the non availability of funds.

**Table No. 2.8.1: Time Frame Taken to Complete the Assets after Initial Funding**

SI No	Duration of Time for the completion of the Work	Ahmednagar District	Amaravati District
1	Less than One Month	05 (7.14%)	0 (0%)
2	More than One Month and Less than Two Months	15 (21.43%)	04 (5.71%)
3	More than Two Months and Less than Four Months	10 (14.29%)	09 (12.86%)
4	More than Four Months and Less than Eight Months	30 (42.86%)	28 (40.00%)
5	More than Eight Months and Less than One Year	08 (11.43%)	15 (21.43%)
6	More than One Year	02 (2.86%)	14 (20.00%)
	<b>Total</b>	<b>70 (100%)</b>	<b>70 (100%)</b>

**Source:** Data from Asset Schedule

### 2.8.5. Conclusion

Generally it was hypothesized that the implementing entities (Gram Panchayats and ULBs) may take long span of time to complete any activity /work and therefore undue delay in the completion of the work may be the result. However, undue delay in completion of the works undertaken by the Gram Panchayats and Municipalities in the two district selected was not recorded. Majority of works in both the districts had been completed in record time. Among the districts more acclaim is given to Ahmednagar . There are a few exceptional cases where the delay was not suspected of non availability of funds in time.

## **2.9. Fund Allocation**

### 2.9.1. Introduction

Generally, development schemes are supposed to implement the full spectrum of activity of a project within the time span of one financial year. The fund flow has to be designed in such a way for meeting the time frame of the project activity. The assured nature of fund flow may be one of the factors which determine the success of the scheme implementation. The fund flow is usually measured on a quarterly or half yearly basis.



There may be impediments to the flow of funds which in turn may affect the implementation process. In some cases due to various reasons the funds allotted of a particular activity in a financial year may not be adequate. As a result, the project activity has to wait for funds in subsequent years for completing the works. In this background, the fund flow under the BRGF has to be examined in detail.

### **2.9.2. Objective:**

To assess whether funds allocated under the plan by Zilla Panchayats for an activity in a particular financial year were adequate or they needed to wait for funds in subsequent years for completing the works

### **2.9.3. Methodology:**

While preparing the schedules, separate questions were included to collect the duration of the construction of each asset .The purpose was to see whether funds allocated under the plans for an activity in a particular financial year were adequate or not .Apart from the particular questions on this issue, there were additional queries to capture the qualitative data on the implementation process. Based on the duration of construction of assets two classification were made (1)Time taken less than one year and (2) Time taken more than one year .The reasons for the delay in implementation of works (more than one year ) were specifically taken.

### **2.9.4. Presentation of Data and Discussion of Data**

- 1) The funds received under BRGF at the State level were transferred to DRDA / Zilla Parishad (Diagram No.2.9.1). Five percent funds were kept aside for data base management, monitoring, evaluation and office automation. One third party evaluation had been conducted. (1 per cent for State Quarters, 4 per cent for District / Intermediate / Gram Panchayats and ULBs was allotted).. The balance 95 per cent was allocated to Panchayat Samitis and ULB's below 5 lakh population. The following formula had been prescribed by the State for the allocation of funds to GPs/ ULBs with less than 5 lakh population. Initially, Rs.1.00 lakh each for every GPs /

ULBs was allocated. The balance fund was allocated on the following basis / weightage

Population of GPs/ ULBs	- 40 per cent
SC/ST Population	- 10 per cent
Backwardness of the GPs/ ULBs	- 40 per cent
Performance Incentives-	- 10 per cent

The criteria of 'Backwardness' was constructed by the Planning Department whereas 'Performance Incentives' by the Rural Development Department).The District Collectors were prepared resource envelop of the respective districts.

Under the leadership of the Chief Executive Officer (CEO) of the Zilla Parishad who is also in charge of the DRDA had re-allocated the amount among the Municipalities and the Panchayat Samitis based on the population of the respective Local Governments. The Panchayat Samitis had again re-allocated the amount to the Gram Panchayats based on population of general category, Scheduled Castes and Scheduled Tribes within the respective Panchayat Samiti. It is observed that while allocating and re-allocating the funds to the PRIs and ULBs, no subjective and political considerations were taken into account. At the district level, a committee known as the *Niyamuk Mandal Committee* was formed to monitor the fund flow to the implementing entities. The Chairperson and the CEO of the Zilla Parishad was the ex -officio President and Secretary of the *Niyamuk Mandal Committee*, respectively. Moreover, Gram Panchayats and Municipalities have been aware of the extent of fund (resource envelope) they might receive in a financial year. It is reported that the size and volume of resource envelope has been communicated much in advance to the implementing entities. It resulted in designing the planning calendar of an activity and completing an activity in a particular financial year .As a result, a situation which needs to wait for funds in subsequent years for completing the works has not been seen. It is worthwhile to note that in Ahmednagar district out of the selected 70 works only two had been taken more than one year to complete the implementation process .In the case of Amaravati district the corresponding figure is 14

(Table No.2.9.1). The detail analysis of the individual cases which extended the implementation process beyond one year had revealed that construction related issues were the major cause for the delay. No implementing entity had made any complaint against either the inadequacy of funds or waiting for funds for completing the works.

**Table No.2.9.1 : Time Frame to Complete the Assets**

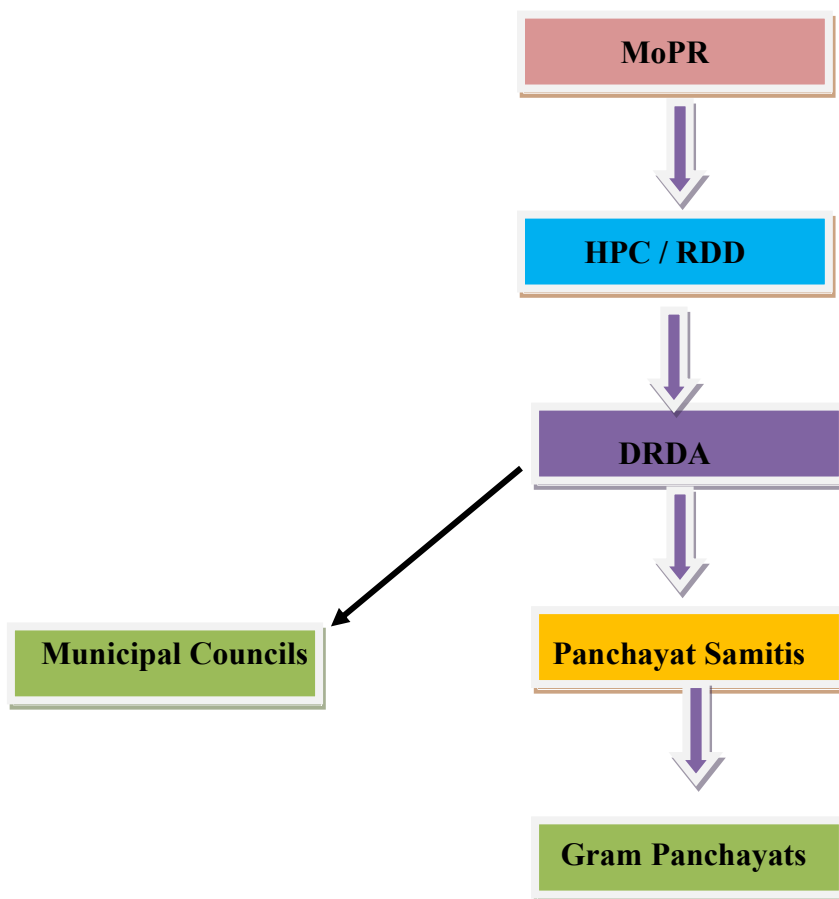
Sl No	During of Time for the Completion of Work	Ahmednagar District	Amaravati District
1	Less than one year	68 (97.14%)	56 (80.00%)
2	More than one year	2 (2.86%)	14 (20.00%)
	<b>Total</b>	<b>70(100%)</b>	<b>70 (100%)</b>

**Source:** Data from Asset Schedule

### **2.9.5. Conclusion**

All the major activities under the scheme are implemented within in a particular financial year. The fund flow is designed in such a way for meeting the time frame of each project activity. The assured nature of fund flow is one of the factors which have contributed to the success of the scheme implementation. The funds received under BRGF at the State level were transferred to DRDA / Zilla Parishad and was allocated to the respective Panchayat Samitis. Again the fund was reallocated to the Gram Panchayats. It was seen that the fund flow was an assured one and therefore no case of waiting for funds was registered and finally no implementing entities had to wait for funds.

**Diagram No.2.9.1: Flow of Funds**



## **2.10 Qualities of Assets**

### **2.10.1. Introduction**

The general assumption is that the quality of rural public infrastructure/assets often remains low. It is also generally understood to be ‘one of the most corruption ridden sectors in rural economy’. The assumptions and allegations can be extended to urban settings too. Lack of transparency in procurement procedures, lack of qualified local materials and contractors’ collusion among key players, corruption among officials including different stake holders, poor monitoring mechanism have been cited as major reasons. Anecdotally, public works are rife with corruption and claims of impropriety

exist throughout the implementation process which is resulted in the poor quality of asset creation . The poor quality of assets increases the governance deficit on the one side and reduces the capacity of the state to deliver public goods on the other. In the above backdrop, it is rewarding to assess the quality of the assets created under BRGF.

## **2.10. 2. Objectives**

(1)To assess the quality of various assets created under the BRGF

## **2.10.3. Methodology**

Different attempts were made to assess the quality of the assets created under the scheme. There was a specific question in the ‘asset schedule’ to assess the quality of the asset. (Refer question no. 23). Strict directions were given to the field investigators to locate the assets created under the scheme and verify its physical status and five options (i. best, ii. very good, iii. good, iv. poor and v. very poor) were given to mention. The field investigators were trained to keep a common understanding to make the quality assessment without individual preconceived notion. It was also supplemented by another attempt of assessing the quality of the asset by the local community /stakeholders. Provisions were made to capture the perception of the local community /stakeholders towards the quality of the assets. Since the local community /stakeholders are vested with local wisdom, they are the ‘best evaluators’ to comment the quality of the assets. Therefore, a specific question was grafted in the ‘community /stakeholders’ schedule’ to depict the actual quality assessment of the assets. As in the case of investigators, the local community /stakeholders were also allowed to mark the quality of the asset on a scale which has five choices. They are (i)‘best’, (ii) ‘very good’, (iii) ‘good’, (iv) ‘poor’ and (v) ‘very poor’. Five assets each from one implementing entities were selected. Total 70 assets (60 assets from Gram Panchayats and 10 assets from ULBs) were assessed from the each selected district. The appraisal is based on 140 assets under the scheme and the perception of 280 members of the local community. The opinion of the two members was received per asset.

#### 2.10.4. Presentation of Data and Discussion

In both districts the perception of the local community/stakeholders on the quality of the assets were reported in a scale of five points. In Ahmednagar district, 70 per cent of the respondents made comments on the quality of their respective assets as ‘good’. More than one fifth of the respondents classified the assets as ‘very good’ and 7.14 per cent as ‘best’. No asset had been marked as ‘very poor’ whereas two as ‘poor’ (Table No.2.10.1). In Amaravati district, 94.29 per cent of the respondents had reported the status of the assets as ‘good’ and remaining as ‘very good’. It is important to note that no other assets had been marked under other categories (Table No.2.10.1). Approximately, the same grading was done towards the status of the assets from the two districts by the investigators. The decentralized planning process, participation of the local community and the active involvement of the implementing entities are the major cited reasons which had contributed the quality of the assets created under the scheme .The proximity between the implementing entities and the local community also contributed to bring transparency in the implementing process .It also worked as a corollary to construct and keep the assets in good quality control.

**Table No.2.10.1: Quality of Selected Assets from the Two Districts as per the Perception of the Local Community/Stakeholders**

Sl No		Ahmednagar		Amaravati	
		Number	Percentage	Number	Percentage
1	Best	10	7.14	0	0
2	Very Good	30	21.43	08	5.71
3	Good	98	70.00	132	94.29
4	Poor	0	0	0	0
5	Very Poor	02	1.43	0	0
	<b>Total</b>	<b>140</b>	<b>100</b>	<b>140</b>	<b>100</b>

**Source:** Field Survey

### **2.10.5. Conclusion**

The field evidences suggest that the general hypothesis which often put in the picture that the quality of rural public infrastructure/assets remains low and asset creation under public domain to be ‘one of the most corruption ridden sectors in rural economy’ has been nullified. The field data from the two districts revealed that the assets created under the scheme have good quality .Within the sociopolitical and legal context the scheme implementation has allowed ensuring quality in asset creation with varying success. The implementation process had created an enabling environment which ensures participation and transparency. All the administrative perquisites which needed for local involvement and vigilance in the domain of public asset creation had been noticed in the implementation process. The success story offers details as to how it can be sustained and replicated in other environmental settings and domains.

## **2.11. Usage of Assets**

### **2.11.1. Introduction**

Assets are created under the scheme for long term tangible piece of property that a community owns and uses in its operation to bridge the existing development gaps ensuring quality of social life. Generally, it is not expected to be consumed or converted in to cash and therefore, in some case it is also referred as capital assets. The usage of the assets is measured in terms of economic and social values that an individual, local community and society owns and controls with the expectation of present value and future benefit. In the financial accounting an asset is an economic resource for potential growth whereas in the social accounting it is a community asset for well being. Under BRGF, different forms of assets are created by the assumption that it benefits the local community and therefore the assets are viewed on the perspective of its present and future utility.

### **2.11.2. Objective**

To assess the usage of the assets created for the purpose for which they are created

### **2.11.3. Methodology**

An attempt has been made to assess the utility of the assets created under the scheme. A question in the 'asset schedule' to assess the utility of the asset has been incorporated. (Question No. 24). Accordingly the field investigators had been trained to locate the assets created under the scheme and verify its present and future usage. Three options such as, 'fully used', 'partially used' and 'not at all used' were given to comment. While assessing the utility of the asset, the field investigators were trained to avoid own judgment. However, more emphasis had been given to the opinion and perception of the local community /stakeholders towards the utility of the asset. Space was given in the 'schedule' to capture the perception of the local community /stakeholders towards the utility of the assets. (Question No. 29). As in the case of investigators, the local community /stakeholders were allowed to mark the utility of the asset on a scale which has three options (fully used', 'partially used' and 'not at all used'). A sample was designed and accordingly five assets each from one implementing entity were selected. Total 70 assets (60 assets from Gram Panchayats and 10 from ULBs) were assessed from each district selected. The exercise was based on 140 assets and the perception of 280 stakeholders/ local community members (two members for each asset).

### **2.11.4. Presentation of Data and Discussion**

It is observed that two assets created in Deolali Pravara Municipality in Ahmednagar district are not used by the local community and not functional .The four street lights provided in a Scheduled Tribe habitation are not functional. Since the lights are not functional the work is not useful for the community. In Satral Gram Panchayat in Ahmednagar district a community urinal in a Scheduled Tribe colony is defunct. The beneficiaries are of opinion that the site selected for the construction was not proper.

Except two or three similar cases, all the assets are seen fully useful to the community. Earlier, there were no internal roads for connecting the habitations in most of the villages. In many of the villages there was water logging. As a result, the concreting of internal roads is seen as genuine and the drainages constructed had helped the community to get



rid of water logging. The local stakeholders have started keeping these roads clean and tidy. The following cases illustrate how the asset is made use of the local community.

(i) Chandur Railway Municipality situated in a plain area with a hill on one side was facing heavy water flows during rainy seasons. The Municipality invested the whole fund received under BRGF (Rs.74.50 lakhs) for drainage at a length of 310 meters and a width of 1.8 meters. The asset is beneficial for more than 2200 population and the beneficiaries are satisfied.

(ii) Under the scheme a meat market with 10 stalls was constructed by Walgaon Gram Panchayat which is seen maintained in good condition. The market fetches an amount of Rs.10000/- per month towards rent which is an example for capital asset.

(iii) Lack of infrastructure facilities such as local transport and teachers' quarter lead to irregular attendance of the teachers in the local school located at Badanpur, Gram Panchayat. The Panchayat had constructed quarters for teachers for addressing the issue.

(iv) Another asset created in a number of villages is the graveyard and pavilion. It was reported that the villagers were to erect temporary sheds for performing the last rituals (on the tenth day of the death of a person) by meeting the cost from own pockets. The asset is accepted as 'very useful' to the community.

(v) The Rahuri Municipality had constructed a women's gymnasium at a cost Rs.40.24 lakhs. The project is case of gender empowerment and the user group is extremely happy. At the time of visit 25 women were present in the gymnasium.

(vi) Samshedpur Gram Panchayat had constructed a shopping complex with an area of 210m<sup>2</sup> at a cost of Rs.16.85 lakhs. The asset fetches a monthly income of Rs.16000/- towards rent which is another example of capital asset. It is observed that all the above assets are seen useful and maintained by the local community

The opinion and perception of the local community/stakeholders on the quality of the assets were reported in a scale of three points, 'fully used' partly used and not at all used. In Ahmednagar district 98.58 per cent of the respondents have agreed that the assets are

in full use ('fully used'). No one has reported on the utility of the asset as 'partially used' whereas two respondents made a comment on an asset as 'not at all used' (Table No.2.11.1). In Amaravati district 84.29 per cent of the respondents reported the utility of the assets as 'fully used' and remaining commented as 'partially used' and 'not at all used' which works out to and 15 per cent and 0.71 per cent, respectively. Approximately, the same grading was done for the assets from the two districts by the investigators. The data on the 'usages of assets' 'gives an impression that the felt needs of the community was taken into consideration while implementing the scheme. And this may be one of the reasons of the high usage rate of the assets under BRGF.

**Table No.2.11.1: Perception of the Community Regarding the Usage of Assets Created**

Sl No	Usage of Assets	Ahmednagar Number of Persons		Amaravati Number of Persons	
		Number	Percentage	Number	Percentage
1	Fully Used	138	98.58	118	84.29
2	Partially Used	0	0	21	15.00
3	Not at all Used	02	1.43	01	0.71
	Total	140	100	140	100

**Source:** Data Furnished from the 'Local Community / Stakeholders Schedule'

### 2.11.5. Conclusion

The field evidences suggest that assets created under the scheme are long term physical piece of community property which bridge the existing development gaps in the selected areas of villages and urban settings guaranteeing quality of social life. The field data from the two districts revealed that greater part of the volume of the assets created under the scheme is in full use though there are variations among the districts. In terms of usage, the assets created in Ahmednagar district have an edge over the assets in Amaravati district. In both the cases, majority of the assets have the high potential and which serves as capital assets .However, the status of the assets created for the benefit of marginalized community, particularly for the tribal community have to take with a pinch of salt. The local community / the stakeholders are capable to evaluate the present and potential usage

of the assets created and the assets are measured in terms of economic and social values. Under BRGF, different forms of assets are created by the assumption that it benefits the local community. Their perception towards the utility of the assets has confirmed the above assumption. In terms of both the financial and social accounting, the verified assets are proved to be resources for local economic development and well being of the community.

## **2.12. Capacity of PRIs to Maintain the Assets**

### **2.12.1. Introduction**

The implementation of the scheme has directly and indirectly resulted in the creation of various forms assets since asset creation is a direct corollary of the BRGF. There is fragile and sturdy type of assets. However, all forms of assets need maintenance immediately or in course of time. The creation of the assets may be a top agenda of the PRIs and ULBs whereas maintenance of assets is not the main concern. A general tendency is seen that the enthusiasm for the creation assists may not be sustained in the maintenance of the assets. Creation of an asset may bring high degree of visibility and political mileage to those who implement it. Generally, the perception is that maintenance of the asset may not bring any additional political benefits to anyone. ‘No maintenance / poor maintenance of the assets may be due to other factors too. The capacity of the PRIs and ULBs is a determining factor in keeping the assets intact. The deficiency in the resource envelope and lack of technical personnel are also reasons for poor maintenance of the assets. Moreover, ‘the maintenance of the assets’ has not been internalized as a step in the planning process. In this context, it is worthwhile to notice how the assets created are being maintained. Here, an attempt is also made to see whether the PRIs and ULBs have the capacity to maintain the assets created.

### **2.12.2. Objectives**

(i) To assess the capacity of PRIs to maintain created assets

### **2.12.3. Methodology**

While making the physical verification of the prescribed number of assets, special attention is given to see whether the asset is intact. The status of the maintenance of the assets is asked to be collected from the community/stakeholders and the implementing entities.

### **2.12.4. Presentation of the Data and Discussion**

The projects under BRGF were undertaken only by Gram Panchayats and Municipal Councils in the State of Maharashtra. There were no other implementing entities. Therefore, the queries on the maintenance of the assets were concentrated on the implementing entities of the scheme. The first query in the regard was to know whether the implementing entities are keeping an 'Asset Register' to record the works/assets created under BRGF. Out of the total 140 assets verified from the two districts more than 50 per cent of the implementing entities have maintained an asset register and it is unevenly distributed among the districts (Table No.2.12.1). Among the 70 assets verified from each district, only 20 per cent assets are being registered in the 'asset register' of the implementing entities in the district of Amaravati whereas the corresponding situation in Ahmednagar is seen commendable which is worked at 80 per cent. The presence of the 'asset register' is seen more among ULBs than the PRIs. When 85 per cent of the assets has been recorded in the 'asset register' by the respective ULBs, the assets by the PRIs in the 'Asset Register' was only 44.17 per cent. Status of maintenance of assets verified under BRGF in both the districts was examined in detail.

In Ahmednagar district only six assets out of 70 (8.57 per cent) need immediate maintenance. However, it is reported that not even a single one was made any financial provision for keeping maintenance work due to dearth of resources (Table Nos. 2.12.2).

The situation in Amaravati District is different where 12 assets (17.14 per cent) need immediate maintenance and except three all other assets were made provisions for financial allocation to meet the maintenance cost (Table Nos. 2.12.3). Out of selected 12 Gram Panchayats in Amaravati District, 10 of them had demarcated separate amount for maintaining the assets created (Table Nos. 2.12.4). The two ULBs had also followed the suit both of them kept separate amount for maintenance (Table No.2.12.5).The major source of fund allocated for meeting the maintenance cost was from 14<sup>th</sup> Finance Commission. In a few cases, fund were taken from own source revenue (OSR) and local area development fund (Table Nos 2.12.4 and 2.12.5). The PRIs and ULBs uphold a feel of ownership of the assets created. As a result, majority of the implementing entities have find out some sources of income for meeting the maintenance cost. It is reported that the pressure from the community also played a role for the proper maintenance of the assets. It is noticed that the majority of the Elected Representatives of the implementing entities are aware of the current status of assets including location. A feel of ownership of the community and the Elected Representatives over the assets of the scheme is noticed. Since almost all the assets are seen maintained properly it can be assumed that the PRIs and ULBs are capable to maintain the assets created.

#### **2.12.5. Conclusion**

The scheme has succeeded to asset creation both in rural and urban areas by the implementing entities of the PRIs and ULBs. All forms of assets need maintenance. Generally, it is noticed that maintenance of assets is not the main concern of the agency that created the assets. As a result, public assets are kept in poor status of maintenance. The poor maintenance of the assets is often caused by number of reasons .The major reasons are listed as the deficit in capacity to maintain by the concerned agencies, lack of resources, shortage of technical personnel, and over emphasis of political expediency over economic rationality. However, the detailed examination of the status of the assets created by the PRIs and ULBs in the selected districts revealed that majority of the assets are registered in the ‘asset register’ and maintained properly, though there are variations

among the districts. It gives an impression that the PRIs and ULBs are capable to maintain the assets created subjected to enabling factors.

**Table No.2.12.1: Number of PRIs and ULBs Maintained Asset Register**

Sl. No	Name of the District	Total Number of Assets Verified	Total Number of Asset Register Maintained(N=70 for Each District)	Total Number of Assets Register Maintained by the PRIs(N=60 for Each District)	Total Number of Assets Register Maintained by the ULBs (N=10 for Each District)
1	Amaravati	70	14	4	10
2	Ahmednagar	70	56	49	7
	<b>Total</b>	<b>140</b>	<b>70</b>	<b>53</b>	<b>17</b>

**Source:** Field Survey

**Table No.2.12.2: Status of Maintenance of Assets verified under BRGF in Ahmednagar District**

Sl. No	Category of Assets	Number of Assets	Status(Assets Need Immediate Maintenance)	Status of Maintenance	Reasons
1	Anganwadi Building	01	0	NA	NA
2	CC Drain	12	0	NA	NA
3	CC Road	15	1	No	No Source of Revenue
4	Community Hall	01	0	NA	NA
5	Compound Wall	10	0	NA	NA
6	Repair PHC	01	0	NA	NA
7	Graveyard	03	0	NA	NA
8	Paving Block	06	0	NA	NA
9	Otta (Platform for Traders to Sit& Rest in the Market)	01	0	NA	NA
10	Pipe Line	03	1	No	No Source of Revenue
11	Water tank	04	1	No	No Source of Revenue
12	Shopping Centre	02	0	NA	NA
13	Retaining Wall	03	0	NA	NA
14	School building	01	0	NA	NA
15	Street Light	01	1	No	No Source of Revenue
	Wire Fencing	01	1	No	No Source of Revenue

	Toilet	02	1	No	No Source of Revenue
	Ground Concreting	01	0	NA	NA
	Gymnasium	01	0	NA	NA
	Road Medaling	01	0	NA	NA
	<b>Total</b>	<b>70</b>	<b>6</b>		

**Source:** Field Survey

**Table No.2.12.3: Status of Maintenance of Assets Verified under BRGF, Amaravathi District**

Sl. No	Category of Assets	Number of Assets	Status(Assets Need Immediate Maintenance)	Status of Maintenance	Reasons
1	Anganwadi Building	03	0	NA	NA
2	CC Drain	18	2	Yes	Rs. 2.00 lakh each spent for maintenance of two drains
3	CC Road	30	3	Yes-1 No-2	Rs. 0.50 lakhs is demarked for maintenance of one road and no fund for two road
4	Community Hall	01	1	Yes	Rs. 5.00 lakh for maintenance from CFC
5	Compound Wall	07	3	Yes-3	(i) Rs. 2.50 lakh , (ii)Rs.0.50 lakh and (iii)Rs. 1.00 lakh for maintenance
6	Culvert	02	0	NA	NA
7	Gram Panchayat Bhawan	03	1	Yes	Maintenance has been done (Rs. 2.99 lakh from 14 <sup>th</sup> Finance Commission)
8	Meat Market	01	0	NA	NA
9	Store Room	01	0	NA	NA
10	Road Tarred	03	1	No	No Source of Revenue
11	Teachers Quarters	01	1	Yes	Rs. 0.50 lakh is demarked for maintenance
	<b>Total</b>	<b>70</b>	<b>12</b>		

**Source:** Field Survey

**Table No.2.12.4: Details on the Source of Fund Status for Maintenance of Assets Verified from the Gram Panchayat under BRGF in Amaravati District**

Sl No	Name of Gram Panchyats	Name of the Assets	Source of Funds for Maintenance	Amount Demarcated for Maintaining the Assets created (Rs. in lakhs)
1	Mahuli Jahagir	Construction of Anganwady	14 <sup>th</sup> Finance Commission	0.50
2	Wadgaon Jire	CC Road-Bhanudas House to Bharuvai House	Own Fund	0.50
3	Walgaon	Meat Market	14 <sup>th</sup> Finance Commission	1.00
4	Somwarkheda	Community Hall for ST	14 <sup>th</sup> Finance Commission & Own Fund	2.00
5	Badanpur	Teachers Quarters	14 <sup>th</sup> Finance Commission	0.50
6	Badanpur	Construction of Compound wall in School	14 <sup>th</sup> Finance Commission	2.50
7	Telkhar	Compound wall for Grave yard	14 <sup>th</sup> Finance Commission	5.00
8	Vastrapur	CC Road-Sheik Kaloom House to Sheik Kapoor House	MLA Fund	1.00
9	Waygaon	Construction GP Building	14 <sup>th</sup> Finance Commission	2.99
10	Waygaon	Compound Wall of GP Building	14 <sup>th</sup> Finance Commission	1.00

**Source:** Field Survey

**Table No.2.12.5: Detail of Source of Fund Status for Maintenance of Assets Verified from ULBs under BRGF in Amaravati District Municipality**

Sl No	Name of the ULBs	Name of the Asset	Source of Fund for Maintenance	Amount of Funds for Maintenance(in Rs)
1	Anchalpur	Construction of Drain from Vidhar Mill to Amaravathi Road	Own Fund	2.00
2	Anchalpur	Construction of CC Drain from Sdhartha High School to New Development Area	Own Fund	2.00

**Source:** Field Survey



## **2.13.Social Audit**

### **2.13.1. Introduction**

Social audit has been recognized as a mechanism for effective monitoring by the stakeholders under BRGF. It is seen that other inbuilt procedures and systems for monitoring are also designed which are the audit of works, review by the committees at different levels and scheduled for the inspection of works. The local fund audit, or audit by a panel of Chartered Accountants or the Accountant General of the State along with Action Taken Reports (ATR) are the essential requirements to release further installment of funds. However, social audit is very significant since it involves the public action of the local citizenry. The quality and utility of the assets should be effectively assessed in the stakeholders' perspective and in many cases which may be possible only under the framework of social audit. Therefore, the guidelines of the BRGF had highlighted the importance of social audit and vigilance at the grass root level. Social audit has been recommended at the Gram or Ward Sabhas in the rural areas and Area Sabhas and Ward Committees in urban areas. It also suggested that notice boards shall be displayed at worksites indicating names of the schemes and sources of funds to enable the local people to know about the schemes. Panchayats are also directed to display public boards with all the details of the scheme (dates of approval and expected commencements /completion). A separate booklet on verification of works was also suggested in the programme guidelines.

### **2.13.2. Objective:**

To assess the extent to which social audit has been conducted and its effectiveness as a monitoring system

### **2.13.3. Methodology:**

While evaluating the efficiency of the programme, special empirical attention had been made to understand the status of the social audit developed by the Panchayats and the ULBs. By keeping this in the background, a few questions were designed and included in

the questionnaire addressed to the programme implementing agencies. There were questions on social audit in each of the questionnaire of different tiers of the Panchayats and ULBs. The stakeholders' knowledge and role in the social audit process were probed in detail by addressing a set of queries, such as, whether social audit had been conducted on the concerned work under BRGF?, and If 'yes', the general comments on the conduct of social audit was also asked. In addition to this, special enquiry was made whether social audit had been discussed in the Gram / Ward Sabhas in the rural areas and Area Sabhas / Ward Committees in urban areas. The minutes of these committees were seriously scanned to suggest the empirical evidences of the conduct of social audit process. The minutes of selected Panchayats and ULBs were also subjected to the same process.

#### **2.13.4. Presentation of Data and Discussion**

The data from the State Training Institute, YASHADA had revealed that 'Social Audit' was one of the core subjects introduced since the inception of the training under the capacity building programme of BRGF. The discussion with the state level officials revealed that a team of eight members (including four women members and two SC/ST members) from each Panchayat /ULB were constituted for conducting social audit at the level of programme implementation. The team was selected by the Gram Sabha /Area Sabhas / Ward Committees as the case may be and the assignment of conducting social audit was given to the nearby Panchayats /ULBs.

##### **2.13.4.1 Amaravati District**

In Amaravati district, while verifying 70 works / assets, 140 stakeholders (two stakeholders per work/asset) were interviewed and specially asked a few questions on social audit, (i) 'Are you aware of social audit? And whether Social Audit was conducted in the specific work/ asset?. Mixed responses were given by the stakeholders of the 14 Panchayats whereas uniform response by two ULBs. More than half of the stakeholders (57.14%) of the Panchayats had opined that social audit was conducted. Among the remaining, 29.29 per cent were given negative answer and 13.57 per cent had reported

that they were ‘not aware’ on social audit (Table No.2.13.1). The responses of the questionnaires administered in the respective Panchayats and ULBs were in consensus with the responses of the stakeholders. All the selected Panchayats had reported that social audit was conducted whereas none of the ULBs had made such a claim ((Table No.2.13.2). The issue of social audit was one of the items had placed in the FGDs conducted in each Panchayat and ULB to capture the ground realities on the conduct of social audit. The total effect of the feeling of the FGDs were also reinforced the claims of the respective Panchayats and ULBs. The available minutes of the Gram / Ward Sabhas of the Panchayats had validated the rural stakeholders’ and the community view and the claim of the Panchayats . But no reference was seen on the conduct of social audit in the available minutes of the Area Sabhas / Ward Committees of the ULBs.

**Table No.2.13.1: Response on the Conduct of Social Audit by Stakeholders/ Community, Amaravati district**

Responses from the Stakeholders of the verified Assets of the Panchayats (N=120)				Responses from the Stakeholders of the verified Assets of the ULBs (N=20)			
Yes	No	Not Aware	Total	Yes	No	Not Aware	Total
80 (57.14%)	41 (29.29%)	19 (13.57%)	120 (100%)	-	20 (100%)	-	20 (100%)

**Source:** Field work from the Amaravati district, Maharashtra

**Table No.2.13.2: Whether Social Audit was Conducted by the Panchayats /ULBs under BRGF?, Amaravati district**

Responses from the Selected the Panchayats (N=12)				Responses from the Selected ULBs (N=2)			
Yes	No	Not Aware	Total	Yes	No	Not Aware	Total
12	0	0	12 (100%)		2	-	2 (100%)

**Source:** Field work from the Amaravati district, Maharashtra

#### **2.13.4.2 Ahmednagar District**

As in the case of Amaravati district, 140 stakeholders were contacted in Ahmednagar District. They were the stakeholders of the 70 works /assets (two stakeholders from each work/ asset). All of them (100%) were aware of the process of the social audit and the

same percentage of them has reported that they had participated the Gram Sabha in which social audit was one of the items in the agenda note. The stakeholders from the selected urban areas had also opined the same views towards their participation in the Area Sabhas / Ward Committees of the ULBs (Table No.2.13.3). All the 12 selected Panchayats and two ULBs had reported that social audit was conducted under the scheme (Table No.2.13.4). The FGDs in each Panchayat and ULB were supported the above mentioned data. A section of the local community had only a faded memory on the conduct of social audit. The records of the Gram Sabhas of the Panchayats and Ward Sabhas of the ULBs had validated the information generated from the stakeholders and the official claims of the local governments.

**Table No.2.13.3: Response on the Conduct of Social Audit by Stakeholders/ Community, Ahmednagar district**

Responses from the Stakeholders of the verified Assets of the Panchayats (N=120)				Responses from the Stakeholders of the verified Assets of the ULBs (N=20)			
Yes	No	Not Aware	Total	Yes	No	Not Aware	Total
120 (100%)	0	0	120 (100%)	20(100%)	0	0	20 (100%)

**Source:** Field work from the Ahmednagar district, Maharashtra

**Table No.2.13.4: Whether Social Audit was conducted by the Panchayats /ULBs under BRGF?, Ahmednagar district**

Responses from the Selected the Panchayats (N=12)				Responses from the Selected ULBs (N=2)			
Yes	No	Not Aware	Total	Yes	No	Not Aware	Total
12	0	0	12 (100%)	2 (100%)		-	2 (100%)

**Source:** Field work from the Ahmednagar district, Maharashtra

The data on social audit were collected from six different sources, such as (i) state training institute (YASHADA), (ii) selected Panchayats and ULBs, (iii) stakeholders, (iv) minutes of the Gram Sabha and Ward Sabhas, (v) FGDs, and (vi) minutes of the respective committees of the Panchayats and ULBs. The varied perception, understanding and involvement of the stakeholders on the conduct social audit had been reflected in

their responses. It could not be treated as a test to know whether social audit had been conducted. For example, the queries on social audit may be not affirmative, if an interviewed stakeholder had not attended the Gram Sabha and Ward Sabhas where the social audit had been conducted. Here, an attempt had been made to validate any statement which had some amount of fragile in nature. When the data had been crosschecked it was noticed that there was no ambiguity rather than it was well corroborated with each other. All these had clearly revealed that social audit had been conducted in the both the selected districts. But the periodicity of social audit could not be effectively assessed. However, the conduct of social audit can be correlated to the programme implementation and its result.

#### **2.13.5. Conclusion**

The training programme conducted by the YASHADA made an impact among the Panchayats and ULBs to institutionalize a system for conducting social audit. The social audit team of eight members could conduct the business in majority of Panchayats and ULBs. However, the system was not very effective in the ULBs whereas it was vibrant in Panchayats. There were differences in the conduct of social audit among the districts and within the districts. The social audit was more effective in Ahmednagar than compared to Amaravati. This institution and the provision are more vibrant in the Gram Panchayat than the ULBs. However, the conduct of the social audit had become one of the tools for monitoring system and it made an impact in the programme implementation in the State

## CHAPTER 3

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### Calculation of Performance Index

As per the terms of reference for the study a Composite BRGF Index is to be prepared. To arrive at a cumulative measure from the analysis of four parameters, an overall value was assigned to each parameter and the value assigned is 2.5. To arrive at this overall value, questions from the PRI Schedule, Assets Schedule, Stakeholder Schedule and Community Schedule (FGD format) were assigned to each parameter. Questions were assigned to each parameter and classified therein as indicators, based on the specific aspect of the parameter that a question represented. Each question was then assigned a marking scale so as to analyze the performance of each PRI and Municipality (Refer Annexure 1 for detailed methodology).

Data from the field visits were used to mark the performance of every PRI and Municipality. However, the marks secured by a State for a particular parameter was calculated by dividing the marks obtained by that State for that parameter with the maximum marks that can be scored in that parameter and then multiplying the result with the overall value of 2.5. The overall score of a State was determined as the aggregate of the scores obtained in all the four parameters.

#### **An Assessment of the Extent to which the Objectives of BRGF have been fulfilled**

Calculation to Assess the Extent on the Scale of 0-10 for the State of Maharashtra to which objectives of BRGF (including implementation of decentralized planning) have been fulfilled.

**Table No.3.1: Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which were not being adequately addressed through existing inflows (Refer Table No A1.1 in Annexure for detailed methodology for calculation)**

S. No.	Variable	Status of the State	Marks Scored	Maximum Marks
1.	<b>Percentage of PRIs &amp; Municipalities where felt needs was identified in the Gram Sabha.</b>  75-100%-5 Marks ✓ 50-74% -4 Marks 25-49% -3 Marks 10-24% -2 Marks 1-10% -1 Mark Nil -0 Mark	25/28*100=89.29	5	5
2.	<b>Percentage of PRIs &amp; Municipalities where schemes were prioritized in the Gram Sabhas/Ward Sabhas .</b>  75-100%-5 Marks ✓ 50-74% -4 Marks 25-49% -3 Marks 10-24% -2 Marks 1-10% -1 Mark Nil -0 Mark	27/28*100=96.43	5	5
3.	<b>Percentage of PRIs &amp; Municipalities where plans were prepared to bridge the gaps identified.</b> 75-100%-5 Marks ✓ 50-74% -4 Marks 25-49% -3 Marks 10-24% -2 Marks 1-10% -1 Mark Nil -0 Mark	24/28*100=85.71	5	5
4.	<b>Percentage of PRIs &amp; Municipalities where plans were prepared to meet the Millennium Development Goals(MGDs)</b> 75-100%-5 Marks 50-74% -4 Marks ✓ 25-49% -3 Marks 10-24% -2 Marks 1-10% -1 Mark Nil -0 Mark	14/28*100=50	4	5

<b>5.</b>	<b>Percentage of works completed in relation to works initiated.</b> 75-100%-5 Marks✓ 50-74% -4 Marks 25-49% -3 Marks 10-24% -2 Marks 1-10% -1 Mark Nil -0 Mark	315/354*100=88.98	<b>5</b>	<b>5</b>
<b>6.</b>	<b>Percentage of works abandoned</b> Nil(o) - 5 Marks ✓ Below 1% - 4 Marks 2-3% - 3 Marks 4-5% - 2 Marks 5-10% - 1 Mark Above 10%- 0 Mark	0/354*100=0	<b>5</b>	<b>5</b>
<b>7.</b>	<b>Percentage of projects under SCP/TSP in relation to total projects.</b> Nil- 0 Mark 0 to 5%- 1 Mark 5-10%- 2 Marks 10-20%- 3 Marks 20-25%- 4 Marks Above 25%- 5 Marks✓	142/354*100=40.11	<b>5</b>	<b>5</b>
<b>8.</b>	<b>Percentage of projects under WCP (exclusively )for women</b> Nil- 0 Mark 1 to 5%- 1 Mark ✓ 6-10%- 2 Marks 11-20%- 3 Marks 21-25% - 4 Marks Above 25%- 5 Marks	4/354*100=1.13	<b>1</b>	<b>5</b>
<b>9.</b>	<b>Percentage of utility of assets verified.</b> Fully Utilized – 75-100%- 5 Marks ✓ 50-74% - 4 Marks 25-49% - 3 Marks 10-24% - 2 Marks 1-10% - 1 Mark Nil - 0 Mark	256/280*100=91.42	<b>5</b>	<b>5</b>



<b>10.</b>	<b>Percentage of good quality of Assets.</b> Nil- 0 Mark 1-5%- 1 Mark 6-10%- 2 Marks 11-15%- 3 Marks 16-20%- 4 Marks More than 20%- 5 Marks ✓	138/140*100=98.57	<b>5</b>	<b>5</b>
<b>11.</b>	<b>Percentage of projects converged with other funds.</b> Nil - 0 Mark 1-5%- 1 Mark 6-20%- 2 Marks ✓ 21-30%- 3 Marks 31-50%- 4 Marks More than 50% -5 Marks	15/140*100=10.71	<b>2</b>	<b>5</b>
<b>12.</b>	<b>Connectivity projects (Roads and Culverts)</b> Yes- 1 Mark ✓ No- 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>13.</b>	<b>Anganwadi Projects</b> Yes- 1 Mark ✓ No- 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>14.</b>	<b>Streetlight Projects</b> Yes- 1 Mark ✓ No- 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>15.</b>	<b>School Building Projects</b> Yes-1 Mark ✓ No- 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>16.</b>	<b>Drinking Water Projects</b> Yes- 1 Mark ✓ No - 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>17.</b>	<b>Heath Centre Projects</b> Yes-1 Mark ✓ No- 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>18.</b>	<b>PDS Projects</b> Yes- 1 Mark No- 0 Mark ✓	No	-	<b>1</b>
<b>19.</b>	<b>Panchayat Bhavan Projects</b> Yes- 1 Mark ✓ No- 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>20.</b>	<b>Drainage Project</b> Yes-1 Mark ✓ No- 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>21.</b>	<b>Market related Projects</b> Yes-1 Mark ✓ No- 0 Mark	Yes	<b>1</b>	<b>1</b>
<b>22.</b>	<b>Irrigation Projects</b>	Yes		

	Yes-1Mark ✓ No- 0 Mark		1	1
23.	<b>Community Purpose Projects</b> Yes-1Mark ✓ No-0Mark	Yes	1	1
24.	<b>Fisheries Projects</b> Yes-1Mark No-0 Mark ✓	No	-	1
25.	<b>Garbage Disposal Projects</b> Yes-1 Mark No- 0 Mark ✓	No	-	1
26.	<b>Toilet Projects</b> Yes-1Mark ✓ No-0Mark	Yes	1	1
27.	<b>Hostel Projects</b> Yes-1 Mark✓ No-0 Mark	Yes	1	1
	<b>Total</b>		<b>60</b>	<b>71</b>

**Source:** Annexure 2 (Data was computed by using the different set of questionnaire /checklists interviewed and canvassed during the field work in the selected districts of Maharashtra.)

**The State of Maharashtra has scored 60 marks out of 71. The overall value provided for this parameter is 2.5. The State's score is calculated by dividing the Marks Obtained (60) with the Maximum Mark (71) and then multiplying it with 2.5.**

**Marks Scored = 60**

**Maximum Marks = 71**

**Overall Value (Weightage ) =2.5**

**Calculation =** 
$$\frac{\text{Marks Scored}}{\text{Maximum Marks}} \times \text{Weightage}$$

$$= 60/71 * 2.5 = \underline{\underline{2.11}}$$

**Table No.3.2: Calculation Sheet for the assessment of whether the various BRGF schemes:**

- a) Strengthened Panchayat and Municipality level Governance with appropriate Capacity Building: and,
- b) Facilitated Participatory Planning, Decision Making, Implementation and Monitoring that reflected Local Needs. (Refer Table No A1.2 in Annexure for detailed methodology for calculation)

S. No.	Variable	Status of the State	Marks Scored	Maximum Marks
1.	<b>Years in which capacity building conducted</b> <i>1 Year - 1 Mark</i> <i>2 Years- 2 Marks</i> <i>3 Years- 3 Marks</i> <i>4 years - 4 Marks</i> <i>5 Years- 5 Marks</i> <i>6 Years- 6 Marks</i> <i>7 Years- 7 Marks ✓</i> <i>8 Years- 8 Marks</i> <i>9 Years- 9 Marks</i>	7	7	9
2.	<b>Number of Subjects Trained.</b> <i>No Subject Trained- 0 Mark</i> <i>Only One Subject- 1 Mark</i> <i>02-03 Subject s - 2 Marks</i> <i>04-05 Subjects - 3 Marks</i> <i>05-07 Subjects - 4 Marks ✓</i> <i>08-10 Subject 5 Marks</i> <i>&gt;10 Subject 6 Marks</i>	4	4	6
3.	<b>Percentage of GPS &amp;ULBs where felt needs identified in the Gram Sabhas / Ward Sabhas.</b> <i>75-100 %- 5 Marks ✓</i> <i>25-49 % - 3 Marks</i> <i>10-24 % - 2 Marks</i> <i>01-10 % 1 Mark</i> <i>Nil - 0 Mark</i>	25/28*100=89.28	5	5
4.	<b>Percentage of Project Selection/ Project Location /Stake holders /Beneficiary Selection were made in the Gram Sabha /Ward Sabha .</b> <i>75-100 %- 5 Marks ✓</i> <i>50-74 % 4 Marks</i> <i>25-49 % - 3 Marks</i> <i>10-24 % - 2 Marks</i>	25/28*100=89.28	5	5

	01-10 % - 1 Mark Nil - 0 Mark			
5.	<b>Percentage of GPs&amp;ULBs where schemes were Prioritized by the Gram Sabha / Ward Sabha</b>  75-100%- 5 Marks ✓ 50-74 % - 4 Marks 25-49 % - 3 Marks 10-24 % - 2 Marks 01-10 % - 1 Mark Nil - 0 Mark	27/28*100=96.42	5	5
6.	<b>Percentage of GPs &amp;ULBs where Action Plans were Approved by Gram Sabha/Ward Sabha</b>  75-100 %- 5 Marks ✓ 50-74 % - 4 Marks 25-49 % - 3 Marks 10-24 % - 2 Marks 01-10 % - 1 Mark Nil - 0 Mark	28/28*100=100	5	5
7.	<b>Percentage of GPs&amp;ULBs where Social Audit was conducted in the Gram Sabha/ Ward Sabhas</b>  75-100 %- 5 Marks ✓ 50-74 % - 4 Marks 25-49 % - 3 Marks 10-24 % - 2 Marks 01-10 % - 1 Mark Nil - 0 Mark	26/28*100=92.86	5	5
8.	<b>Percentage of GPs &amp;ULBs have convened Sub Gram Sabhas such as Ward Sabhas/ Mahila Sabhas</b>  75-100 %- 5 Mark 50-74 % - 4 Mark ✓ 25-49 % - 3 Mark 10-24 % - 2 Mark 01-10 % - 1 Mark Nil - 0 Mark	19/28*100=67.85	4	5
9.	<b>Percentage GPs &amp;ULBs have conducted Baseline Survey</b>  75-100 %- 5 Marks ✓ 50-74 %- 4 Marks 25-49 %- 3 Marks 10-24 %- 2 Marks	27/28*100=96.42	5	5

	01-10 %- 1 Mark Nil- 0 Mark			
10.	<b>Percentage of GPs&amp; ULBs have consolidated the Baseline Surveys.</b> 75-100 %- 5 Marks ✓ 50-74 %- 4 Marks 25-49 %- 3 Marks 10-24 %- 2 Marks 01-10 %- 1Mark Nil- 0 Mark	25/28*100=89.28	5	5
11.	<b>Percentage of PRIs &amp;ULBS that have prepared Projects to Bridge Gaps identified.</b> 75-100%- 5 Marks ✓ 50-74%- 4 Marks 25-49%- 3 Marks 10-24%- 2 Marks 1-10%- 1 Mark Nil- 0 Mark	24/28*100=85.71	5	5
12.	<b>Percentage of PRIs &amp;ULBs have Prepared Plans relating to Millennium Development Goals.</b> 75-100 %- 5Marks 50-74 %- 4Marks ✓ 25-49 %- 3Marks 10-24 % 2Marks 01-10 %- 1Mark Nil- 0 Mark	14/28*100=50	4	5
13.	<b>Percentage of GPs &amp;LBS having appointed Volunteers for Community Mobilization.</b> 75-100 %- 5 Marks 50-74 %- 4 Marks 25-49 %- 3 Marks ✓ 10-24 %- 2 Marks 01-10 % - 1 Mark Nil- 0 Mark	10/28*100=35.71	3	5
14.	<b>Percentage of PRIs &amp;ULBs maintaining an Asset Register</b> 75-100 %- 5 Marks ✓ 50-74 %- 4 Marks 25-49 %- 3 Marks 10-24 %- 2 Marks 01-10 %- 1 Mark Nil- 0 Mark	23/28*100=82.14	5	5
15.	<b>Percentage of people who suggested works In the Gram Sabha/Ward Sabha (Out of 280 Stakeholders /Community Members interviewed )</b>	260/280*100=92.85	5	5

	75-100 % - 5 Marks ✓ 50-74 % - 4 Marks 25-49 % - 3 Marks 10-24 % - 2 Marks 01-10 % - 1 Mark Nil - 0 Mark			
16.	<b>Percentage of Stakeholders/Community Members who have participated in Plan Preparation(Out of 280 Stakeholders /Community Members interviewed )</b> >25 % - 5Marks 10-25 % - 4 Marks 05-09 % - 3 Marks ✓ 02-04 % - 2 Marks 01 % - 1 Mark Nil - 0 Mark	25/280*100=8.92	3	5
17.	<b>Percentage of works completed within two months. (out of the 140 Verified Assets/Works)</b> Nil 0 Mark 01-10 % - 1 Mark 11-20 % - 2 Marks ✓ 21-30 % - 3 Marks 31-50 % - 4 Marks >50 % - 5 Marks	17/140*100=12.14	2	5
18.	<b>Percentage of works completed between 2 Months and 8 Months. . (out of the 140 Verified Assets/Works)</b> Nil 0 Mark 1-10%-- 1 Mark 11-20%- 2 Marks 21-30%- 3 Marks 31-50%- 4 Marks > 50%- 5 Marks ✓	77/140*100=55	5	5
19.	<b>Percentage of works completed between 8 months and a year</b> 100% - 5 Marks 80-99%- 4 Marks 60-78%- 3 Marks 50-59%- 2 Marks 25-50%- 1 Mark < 25%- 0 Mark ✓	23/140*100=16.42	0	5
	<b>Total</b>		<b>82</b>	<b>100</b>

**Source:** Annexure 2 (Data was computed by using the different set of questionnaire /checklists interviewed and canvassed during the field work in the selected district of Maharashtra.)

The State of Maharashtra has scored 82 marks out of 100. The overall value provided for this parameter is 2.5. The State's score is calculated by dividing the Marks Obtained (82) with the Maximum Mark (100) and then multiplying it with 2.5.

Marks Scored =82

Maximum Marks =100

Overall Value (Weightage ) =2.5

Calculation = 
$$\frac{\text{Marks Scored}}{\text{Maximum Marks}} \times \text{Weightage}$$

$$=82/100 \times 2.5 = \underline{\underline{2.07}}$$

**Table No.3.3. Calculation Sheet for the Assessment of Professional Support Provided to Local Bodies towards Planning, Implementation and Monitoring under BRGF (Refer Table No A1.3 in Annexure for detailed methodology for calculation)**

Sl. No.	Variables	Status of the State	Marks Scored	Maximum Marks
1..	<b>Whether Technical Support Institutions (TSIs) were appointed?</b>  <i>For all the Districts – 5Marks</i> <i>For 99% to 75 % Districts – 4Marks</i> <i>For 75 % Districts – 3Marks</i> <i>For 50% Districts – 2Marks ✓</i> <i>For 25% Districts – 1Mark</i> <i>No 0Mark</i>	1 District only  $1/2 * 100 = 50$	2	5
2..	<b>Percentage of PRIs &amp; ULBs had received Technical Support for conducting Baseline Survey.</b>  <i>75 – 100 % - 5Marks ✓</i> <i>50 – 74 %- 4Marks</i> <i>25 – 49 %- 3Marks</i> <i>10 – 24 %- 2Marks</i> <i>01 – 09 % - 1Mark</i> <i>Nil 0Mark</i>	$24/28 * 100 = 85.71$	5	5
3.	<b>Percentage of PRIs &amp; ULBs which had Appointed Additional Staff for BRGF.</b>  <i>75 – 100 % - 5Marks</i> <i>50 – 74 %- 4Marks ✓</i> <i>25 – 49 %- 3Marks</i> <i>10 – 24 %- 2Marks</i> <i>01 – 09 % - 1Mark</i> <i>Nil 0Mark</i>	$16/28 * 100 = 57.14$	4	5
4.	<b>Percentage of PRIs had Appointed Volunteers for Community Mobilization.</b>  <i>75 – 100 % - 5Marks</i> <i>50 – 74 %- 4Marks</i> <i>25 – 49 %- 3Marks ✓</i> <i>10 – 24 %- 2Marks</i> <i>01 – 09 % - 1Mark</i>	$10/28 * 100 = 35.71$	3	5



	<i>Nil</i> <i>0Mark</i>			
<b>5.</b>	<b>Percentage of PRIs had Appointed Bare- Foot Engineers.</b>  75 – 100 %- <i>5Marks</i> 50 – 74 %- <i>4Marks ✓</i> 25 – 49 %- <i>3Marks</i> 10 – 24 %- <i>2Marks</i> 01 – 09 %- <i>1Mark</i> <i>Nil</i> <i>0Mark</i>	15/28*100=53.57	<b>4</b>	<b>5</b>
<b>6.</b>	<b>Percentage of PRIs had uploaded their Action Plans in <i>Plan Plus</i>.</b>  75 – 100 %- <i>5Marks ✓</i> 50 – 74 %- <i>4Marks</i> 25 – 49 %- <i>3Marks</i> 10 – 24 %- <i>2Marks</i> 01 – 09 %- <i>1Mark</i> <i>Nil</i> <i>0Mark</i>	27/28*100=96.42	<b>5</b>	<b>5</b>
<b>7.</b>	<b>Whether Block Resource Centres (BRCs) established?</b>  <i>Yes – 1Mark ✓</i> <i>No – 0Mark</i>	Yes	<b>1</b>	<b>1</b>
<b>8.</b>	<b>Whether Intermediate Panchayats Provided Technical Support to Gram Panchayats.</b>  <i>Yes – 1Mark ✓</i> <i>No-- 0Mark</i>	Yes	<b>1</b>	<b>1</b>
<b>9.</b>	<b>Whether Zilla Parishad provided Technical Support to PRIs</b>  <i>Yes – 1Mark ✓</i> <i>No – 0Mark</i>	Yes	<b>1</b>	<b>1</b>
	<b>Total</b>		<b>26</b>	<b>33</b>

**Source:** Annexure 2 (Data was computed by using the different set of questionnaire /checklists interviewed and canvassed during the field work in the selected district of *Maharashtra.*)

The State of Maharashtra has scored 26 marks out of 33. The overall value provided for this parameter is 2.5. The State's score is calculated by dividing the Marks Obtained (26) with the Maximum Mark (33) and then multiplying it with 2.5.

**Marks Scored** = 26

**Minimum Marks** = 33

**Overall Value (Weightage)** = 2.5

**Calculation =** 
$$\frac{\text{Marks Scored}}{\text{Minimum Marks}} \times \text{Weightage}$$

$$= 26/33 \times 2.5 = \underline{\underline{1.97}}$$

**Table No.3.4: Calculation sheet for the Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats & Municipalities and counter possible efficiency and equity losses on account of inadequate local capacity (Refer Table No A1.4 in Annexure for detailed methodology for calculation)**

Sl.No	Variables	Position of the state	Marks Scored	Maximum Marks
<b>1</b>	<b>Percentage of PRIs and Municipalities where felt needs were identified in the Gram Sabha</b> 75 -100 % -5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	25/28*100=89.29	<b>5</b>	<b>5</b>
<b>2</b>	<b>Percentage of PRIs where action plan was approved in the Gram sabha</b> 75 -100 % -5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	28/28*100=100	<b>5</b>	<b>5</b>
<b>3</b>	<b>Percentage of PRIs where prioritization of schemes done in Gram Sabha</b> 75 -100 % -5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	27/28*100=96.43	<b>5</b>	<b>5</b>
<b>4</b>	<b>Percentage of PRI s having conducted baseline survey for the preparation of BRGF plan</b> 75 -100 % -5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	27/28*100=96.43	<b>5</b>	<b>5</b>
<b>5</b>	<b>Percentage of PRI s where conducted baseline survey has been considered</b> 75 -100 % -5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	25/28*100=89.29	<b>5</b>	<b>5</b>
<b>6</b>	<b>Percentage of PRIs which have prepared plans</b>	24/28*100=85.71		

	<b>to bridge the gaps identified</b> 75 -100 % -5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark		5	5
7	<b>Percentage of PRIs which have made plans relating to millennium development goals</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks✓ 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	14/28*100=50	4	5
8	<b>Percentage of Gram Panchayats which have maintained asset register.</b> 75 -100 %- 5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	23/28*100=82.14	5	5
9	<b>Record Keeping</b> Very Good/Good. 75 -100 % -5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	28/28*100=100	5	5
10	<b>Percentage of PRIs having improved in their planning capacity as a result of BRGF.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks✓ 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	15/28*100=53.57	4	5
11	<b>Percentage Drinking Water Projects.</b> 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	7/28*100=25	3	5
12	<b>Percentage of Streetlight Projects.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks	2/28*100=7.14	1	5

	10 – 24 – 2 Marks 1 – 10 % - 1 Mark✓ Nil – 0 Mark			
13	<b>Percentage of Drainage Projects.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks✓ 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	18/28*100=64.29	4	5
14	<b>Percentage Panchayat Bhawan Projects.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	7/28*100=25	3	5
15	<b>Percentage of Garbage Disposal Projects.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	0	0	5
16	<b>Percentage of Public Toilet / Toilet Projects.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark✓ Nil – 0 Mark	2/28*100=7.14	1	5
17	<b>Percentage of Health Projects.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks✓ 1 – 10 % - 1 Mark Nil – 0 Mark	5/28*100=17.86	2	5
18	<b>Percentage of projects for Anganwadis, Women and Child Welfare.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	7/28*100=25	3	5
19	<b>Percentage of Burial Projects.</b> 75 -100 % -5 Marks 50 – 74 – 4 Marks	8/28*100=28.57	3	5

	25 – 49 – 3 Marks✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark			
20	<b>Percentage of projects for Roads</b> 75 -100 %- 5 Marks✓ 50 – 74 – 4 Marks 25 – 49 – 3 Marks 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	25/28*100=89.29	5	5
21	<b>Percentage of School Projects for school building</b> 75 -100 %- 5 Marks 50 – 74 – 4 Marks 25 – 49 – 3 Marks✓ 10 – 24 – 2 Marks 1 – 10 % - 1 Mark Nil – 0 Mark	12/28*100=42.86	3	5
<b>Total</b>			<b>76</b>	<b>105</b>

**Source:** Annexure 2 (Data was computed by using the different set of questionnaire /checklists interviewed and canvassed during the field work in the selected district of Maharashtra.)

**The State of Maharashtra has scored 76 marks out of 105. The overall value provided for this parameter is 2.5. The State's score is calculated by dividing the Marks Obtained (76) with the Maximum Mark (105) and then multiplying it with 2.5.**

**Marks scored = 76**

**Maximum mark =105**

**Overall Value (Weightage) = 2.5**

**Marks Scored**

**Calculation = \_\_\_\_\_ X Weightage**

**Maximum Marks**

**=76/105\*2.5 = 1.81**

## Cumulative BRGF Performance Index

The Cumulative Performance Index is the summation of the following four parameters of the fulfilled objectives of BRGF according to the respective weightage for each parameter. They are (i) Assessment of whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows, (ii) Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and facilitated participatory planning, decision making implementation and monitoring that reflected local needs, (iii) Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF, and (iv) Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and Municipalities and counter possible efficiency and equity losses on account of inadequate local capacity. As per the methodology adopted and its measurement the State of Maharashtra reaches the position in the 'Cumulative BRGF Performance Index' with the score value of 7.96 (on the scale of 0-10).

**Table No. 3.5: Cumulative Performance Index**

Sl No	Parameters	Weightage(Marks) Scored	Total Weightage(Marks)
1	Assessment of Whether BRGF helped to bridge critical gaps in local infrastructure and other development requirements which are not being adequately addressed through existing inflows	2.11	2.5
2	Assessment of whether the BRGF schemes strengthened Panchayat and Municipality level governance with appropriate capacity building and	2.07	2.5

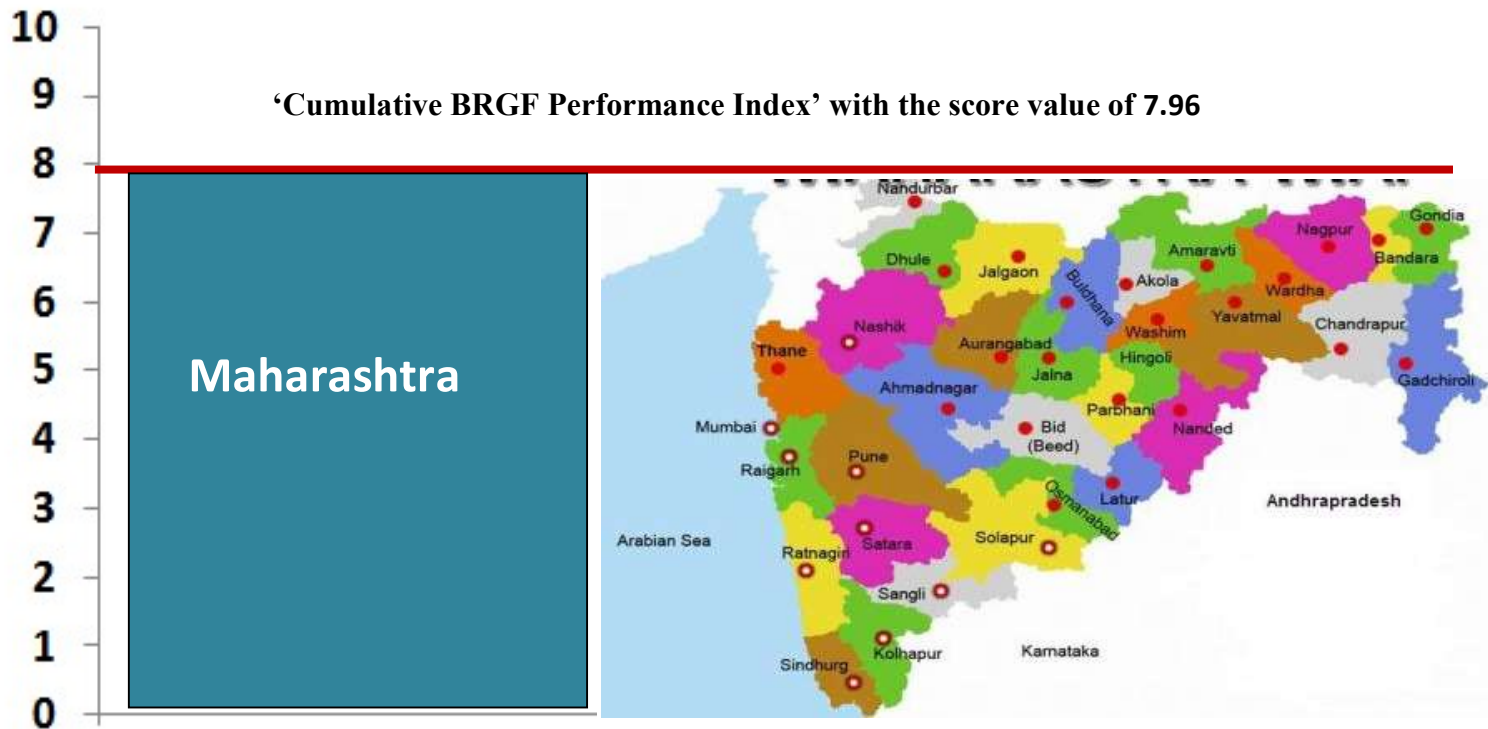
	facilitated participatory planning, decision making implementation and monitoring that reflected local needs.		
3	Assessment of professional support provided to local bodies towards, planning, implementation and monitoring under BRGF	1.97	2.5
4	Assessment of the improvement in performance and delivery of critical functions assigned to Panchayats and municipalities and counter possible efficiency and equity losses an account of inadequate local capacity.	1.81	2.5
	Aggregate Weightage Scored	7.96	10

Source: Calculated from Table No. 3.1 to Table No. 3.4

**Aggregate Weightage Scored out of Total Weightage of 10 is 7.96**



**Diagram No.3.1: Cumulative BRGF Performance Index'**



Source: Table No. 3.5

# CHAPTER 4

## Gaps, Recommendations and Conclusions

This chapter deals with gaps, recommendations and conclusion

### Gaps and Recommendations

Sl No	Area	Gap	Recommendations
i	Extent of involvement of grassroots level local governments in planning	<p>1. All available participatory tools and techniques for the conduct of baseline survey did not materialize,</p> <p>2. The aim was to identify ward specific issues and problems for a detailed discussion.</p> <p>3. It was also in the original plan to have <i>Mahila Gram Sabhas</i> to discuss specific gender concerns across various issues in the local areas. As per records it was not seen convened.</p> <p>4. The process of felt need identification was streamlined only in a few cases and the discussions were based on baseline survey report. In majority of cases, it was a joint expression of 'local wish lists' rather than 'felt needs identification'. In many cases the people had expressed only their personal grievances.</p> <p>5. The initial attempt was to direct the GPs and ULBs for the preparation of three types of plans: (i) Vision Plan, (ii) Action Plan and (iii) Development Plan. The concepts of the plans were not clearly translated and operationalized at any level. It was rejected as a non practical</p>	<p>1. Attempts may be made to conduct baseline survey with customized and available participatory tools.</p> <p>2. Ward specific issues and problems may be identified</p> <p>3. <i>Mahila Gram Sabha</i> may be conducted.</p> <p>4. Attempts may be made for felt needs identification.</p> <p>5. Local wish lists may be replaced by felt needs identification lists.</p> <p>6. There may be an attempt for the preparation district perspective plan by integrating all the annual scheme based plans .</p>

		<p>entity by the local governments. Only an annual plan was prepared for each GP and ULB as per the financial allocation under the BRGF.</p> <p>6. No attempt was made to integrate all the annual plans at the district level.</p>	
ii	The quality of district plans	<p>1.The district plan has not seriously considered the issue of convergence</p> <p>2. The total fund flow to the district from different sources is not identified.</p> <p>3.Lack of clarity and practical experience among the major actors in district plan</p> <p>4. Out of the two districts, one district has prepared only an annual action plan for BRGF rather than a district plan.</p>	<p>1. Convergence may be seriously considered.</p> <p>2. Resource envelope may be properly mapped.</p> <p>3. Capacity building and training (CB&amp;T) may be conducted on district plan.</p>
iii	Institutional structures and quality of programme management	<p>1. The frequency of the meetings of the High Power Committee (HPC) and the minutes of the HPC were not made available during the field work.</p> <p>2. District Planning Committees (DPCs) are late entry in the State. DPCs have reviewed the implementation of the BRGF but not frequently.</p> <p>3.At the district level there are multiple institutional structures(the office of the District Collector ,the Office of the Zilla Parishad and the office of the District Rural Development Agency) the roles of which are not very clear in the domain of the governance of BRGF .The same situation was noticed at the block level where there are two institutional structures of Block Development Office and</p>	<p>1. Attempts may be made to conduct regular HPC meetings and the details of the meetings may be placed in the public domain in similar cases.</p> <p>2. District Planning Committees (DPCs) may be strengthened.</p> <p>3. Role clarity and responsibility may be ensured among the major actors at the district and block levels.</p> <p>4. Institutional structures may be introduced for supporting the implementation entities of the BRGF (Gram Panchayats and ULBs) in similar cases</p>

		<p>Panchayat Samitis .The structures are not properly integrated .</p> <p>4. Deficit of institutional structures for supporting the Gram Panchayat, the implementation entity of the BRGF.</p>	
iv	Administrative and technical capabilities of the agencies towards planning and executing various activities	<p>1. Long term development issues have not been worked out to a District Perspective Plan.</p> <p>2. The possibilities and opportunities of pooling of funds from other centrally and state sponsored schemes for convergence of projects have not been properly addressed.</p> <p>3. Maintenance of the assets created under the scheme is a variable to assess the administrative and technical capabilities of the Gram Panchayats and ULBs towards planning and executing various activities. Though majority of the assets are in good condition, a few are being ranked below average.</p>	<p>1. Long term development issues may be worked out and listed in to a District Perspective Plan</p> <p>2. All the available funds may be pooled in the envelope for convergence of schemes.</p> <p>3. Administrative and technical capabilities of the agencies towards planning and execution of the work may be developed.</p>
v	Mitigation of backwardness	<p>1. Though all the assets created under the BRGF has succeeded in achieving improved infrastructure, no major attention has been given to social sectors such as drinking water , health and education .It is more clear from the assets list of the Amaravati district where only three categories of assets are figured under BRGF. They are:- i. Roads (78%), ii. Anganwadi Buildings (15.66%) and iii. Panchayat Bhawans (6.34%).</p>	<p>1. The implementing entities may be properly guided to take up projects under social sectors such as drinking water, health and education.</p> <p>2. The Mitigation of backwardness may be properly explained with local context.</p>
vi	Convergence and synergistic mode	<p>1. Actual convergence and synergistic mode was not seen applied in the implementation of</p>	<p>1. The concept of convergence and synergistic mode may be</p>

		<p>projects. Lack of clarity among the major actors in applying the concept of convergence and synergistic mode is observed. Some of the most potential schemes (SBM and MGNREGS) for implementing with the support of convergence and synergistic mode are not seen attempted in any of the selected implementing entities. Lack of support from the line departments is cited as one of the reasons for standalone projects.</p>	<p>explained in detail with practical and workable models.</p> <p>2. Line departments may be asked to support projects under convergence and synergistic mode.</p>
vii	Training component under Capacity Building	<p>1. The state did not succeed in utilizing the full amount allocated for the capacity building under BRGF.</p> <p>2. The ULBs had not properly utilized the provisions available for capacity building</p> <p>3. Among the two selected districts, wide variation in utilizing the provision for capacity building by the Gram Panchayats was seen. The case of Ahmednagar district is a success one in training under capacity building. While the performance of Amaravathi district is average.</p>	<p>1. It may be suggested to have a clear policy on Training and Capacity Building (CB&amp;T) for every State by covering both the rural and urban local governments.</p> <p>2. The training component under capacity building may be reviewed by the High Power Committee (HPC) in future schemes</p> <p>3. The training component under capacity building may be placed under social audit</p>
viii	Time taken in completion of activity / work	<p>1. Construction works such as Shopping Complex, Gram Panchayat Building and Anganwadi Building took more time.</p> <p>2. The delay is reported of the complicity in the works related to construction rather than non availability of funds</p> <p>3. Among the two districts, more cases of delay in the completion of the work is seen in Amarativati district.</p>	<p>1. There may be a special pathway analysis to time taken under the scheme.</p> <p>2. Intricacies of works under construction activities may be released.</p>

ix	Fund allocation	<p>1. The Gram Panchayats and ULBs are only the implementing entities of the BRGF. It is generally accepted as a positive aspect. However, since the implementing responsibility is exclusively vested with the grassroots tier of the PRIs generally small works are accommodated.</p> <p>2. There is a demand for getting a share under BRGF for the other two tiers (Intermediate and District )</p>	<p>1. Responsibility of monitoring and evaluation may be vested with the Intermediate and District tiers of the PRIs.</p>
x	Quality of assets	<p>1. Within the sociopolitical and legal context the implementation of scheme has allowed ensuring quality in assets creation.</p> <p>2. Since the data from two districts revealed that the assets created under the scheme have good quality.</p>	<p>1. Provisions may be made to for quality management system.</p> <p>2. The service of the National Level Monitors (NLM) may be considered.</p>
xi	Usage of assets	<p>1. In terms of usage, the assets created in one selected district (Ahmednagar) have an edge over the assets in the other district (Amaravati).</p> <p>2. The status of the assets created for the benefit of the marginalized community, particularly for the tribal community is registered as poor quality in terms of usage.</p>	<p>1. Special attention may be given for the projects which address the marginalized communities.</p>
xii	Capacity to maintain assets	<p>1. All forms of assets need maintenance. Dearth of resource is the major reason for poor maintenance of the assets.</p> <p>2. Deficit in capacity to maintain by the concerned agencies, shortage of technical personnel and over emphasis of political expediency over economic rationality is the other reasons.</p>	<p>1, Maintenance of assets may be considered as a step in the planning process.</p> <p>2. Separate allocation may be suggested for maintenance.</p> <p>3. The implementing entities may be properly trained to maintain the assets.</p> <p>4 Maintenance of assets may be a separate component under</p>

			Capacity Building and Training (CB&T).
xiii	Social audit	1. The social audit system is not very effective in ULBs. 2. Among the two districts, the conduct of social audit is more effective in Ahmednagar than Amaravati.	1. Social Audit may be ensured as in the case of MGNREGS.

## Conclusion

The major four objectives of BRGF are seen fulfilled in the implementation of the scheme in the State of Maharashtra. The parameters such as mitigation of backwardness, quality and utility of assets, capacity building etc. are fulfilled. The institutionalization of the DPC in the State is another contribution of BRGF. The assets under BRGF are created within the time limit. The capacity building and training (CB&T) under BRGF was a successful venture in terms of content, coverage and value. It has made a long standing impact in strengthening the local governments in general and Gram Panchayats in particular. It is being manifested in the governance of the 'Gram Panchayat Development Plan' (*Amcha Gaon Amcha Vikas*: 2016-2017 to 2019-2020). It also makes an impact in the urban governance. Therefore the state has secured a score value of 7.96 in the Cumulative BRGF Performance Index. It may be noted that score is only less by 2.04 points from the maximum value. The overall performance of the State of Maharashtra in BRGF governance is rated good.

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## **Centre for Rural Management**



The Centre for Rural Management is an autonomous multifaceted research organisation located at Perumpaikadu village, Kottayam, Kerala. Established in 1990 under the Charitable Societies Act, the Centre has been concentrating on research, project evaluation, training, consultancy and social action. The Centre has been assigned projects by Ford Foundation, Institute of Development Studies (Sussex, U.K), Department of Planning (Lakshadweep Administration), Government of Kerala, Ministry of Rural Development, Ministry of Panchayati Raj (Govt. of India), Rajiv Gandhi Foundation, CEVA, India Eco Development Project-Periyar Tiger Reserve, CapDecK, and Arghyam among others. The Centre has published a number of manuscripts. The Director of the Centre, Dr. Jos Chathukulam, is a researcher and national level consultant in Panchayati Raj and Local Level Planning. A Board of Directors representing both academic and activist streams manages the Centre. Dr. M S John, Senior Professor, Central University of Kerala, Kasargod is the Chairman. CRM works jointly with other think tanks and civil society groups as well as universities, research institutions and Panchayats. The Centre for Rural Management has established an e-group which is known as Decentralization Watch [decwatch@googlegroups.com](mailto:decwatch@googlegroups.com)

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