



# **BACHELOR OF ARTS (HONOURS) IN POLITICAL SCIENCE**

**SEMESTER-IV**

**Core-IX: Public Policy and Administration in India**

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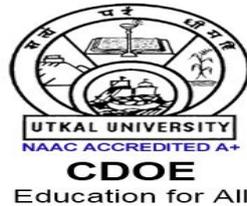
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The University started functioning on 27 November 1943, at Ravenshaw College, Cuttack. It originated as an affiliating and examining body but shifted to its present campus spread over 400 acres of land at Vani Vihar in Bhubaneswar, in 1962.

A number of Postgraduate Departments and other centres were established in the University campus. There are presently more than two hundred general affiliated colleges under the University. It has eleven autonomous colleges under its jurisdiction, twenty-eight constituent postgraduate departments, 2 constituent law colleges and a Directorate of Distance & Continuing Education. It boasts of a centre for Population Studies, a School of Women's Studies, an Academic Staff College, a pre-school and a high school. The University also offers a number of self-financing courses.

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**DIRECTOR**

## Core-IX: Public Policy and Administration in India

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**BLOCK- 1 PUBLIC POLICY**

Unit-1: Public Policy: Meaning, Definition

Unit-2: Public Policy: Types

Unit-3: Public Policy: Characteristics and models

Unit-4: Public Policy Process in India

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## **UNIT-1 PUBLIC POLICY: MEANING AND DEFINITION**

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### **Structure**

- 1.1 Objectives
- 1.2 Introduction
- 1.3 Concept of Public Policy
- 1.4 Definition of the Term Public Policy
- 1.5 Meaning of Public Policy
- 1.6 Summary
- 1.7 Key Terms
- 1.8 Self Assessment Questions
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### **1.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Explain the meaning of public policy
- Distinguish between policy, decision and goal
- Throw light on the characteristics and nature of public policy

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### **1.2 INTRODUCTION**

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'Public Policy', as an academic pursuit emerged in the early 1950s and since then it has been acquiring new dimensions, and is now attempting to acquire the status of a discipline. As a study of products of government, policy forms a significant component in several social science disciplines like political science, public administration, economics and management. So rapid is the academic growth of public policy that many researchers, teachers and public administrators now feel that it is becoming increasingly complex. The disciplines associated with public policy cut right across the old academic lines of demarcation. Indeed, it is this interdisciplinary quality, which makes the field of public policy interesting and thought-provoking. Public policies are as old as governments. Whatever be the form, oligarchy, monarchy, aristocracy, tyranny, democracy, etc. – whenever and wherever governments have existed, public policies have been formulated and implemented. To cope with the varied problems and demands

of the people the government has to make many policies, these policies are called public policies. This lesson tries to explain the meaning and nature of public policy. It will highlight the different components of a policy and distinguish between policy, decision and goal. An attempt will be made to bring out the

relationship between politics and policy, and importance and characteristics of public policy will also be discussed.

### **1.3 CONCEPT OF PUBLIC POLICY**

As an ordinary person, the term "politics" has always been perceived with a specific motive and purpose of government, be it education, health, energy, etc. However, what is worth emphasizing is its relation to the public, that is, to people in general. From the beginning, political science was dominated by political science, which focused on the values. That needed to be translated into the programs and activities of the governments of the time. We will have to wait until the 1960s for the disciplines of public administration and management to become one of the fundamental lines of research, both as a discipline and as a practice. Policymakers used to focus on the success or failure of a policy based on its impact on the section it was aimed at. It was subsequently established that intergovernmental and intra-governmental mechanisms are equally important, especially when it comes to public policy. Therefore, an interdisciplinary approach has been agreed with the multidisciplinary axes of public policy.

'Public Policy', as an academic pursuit emerged in the early 1950s and since then it has been acquiring new dimensions, and is now attempting to acquire the status of a discipline. As a study of products of government, policy forms a significant component in several social science disciplines like political science, public administration, economics and management. So rapid is the academic growth of public policy that many researchers, teachers and public administrators now feel that it is becoming increasingly complex. The disciplines associated with public policy cut right across the old academic lines of demarcation. Indeed, it is this interdisciplinary quality, which makes the field of public policy interesting and thought-provoking. Public policies are as old as governments. Whatever be the form, oligarchy, monarchy, aristocracy, tyranny, democracy, etc. – whenever and wherever governments have existed, public policies have been formulated and implemented.

### **1.4 DEFINATION OF THE TERM PUBLIC POLICY**

To understand the concept of public policy, we need to be clear about what we mean by the adjective "public". In the social sciences, society is extremely difficult to describe and define because of its vastness and the difficulty of contextualizing it. The word public has several meanings. It comes from the Latin word publicus (also poplicus). It is related to the English word "populus" or (population). In general,

public means a mass population ("people"). Here it means government. Public policy, therefore, simply means government policy formulated in a political context. Public order is a matter of common interest. They concern civil or public affairs, official or state affairs. One way of defining what is public is to distinguish between the public sphere and the private sphere. Publicity has become a necessity as smaller associations with a limited role have been recognized as private and coordinate their activities and establish order. Rainey (1997) argues that the distinction between public and private can be made in relation to organizations. The public-private dichotomy involves three factors:

- Interests affected (whether benefits or losses are communal or restricted to Individuals);
- Access to facilities, resources, information, and
- Agency (whether a person or organization acts for an individual or for the community as a whole).

The major task of public policies is to give expression to this public or general interest.

There are several studies in relation to the public policy and several scholars have attempted to describe public policy from dissimilar angles. Before explaining the meaning of public policy, let us first go through some of its definitions.

Robert Eyestone conditions public policy as “the relationship of government unit to its environment.”

Thomas R. Dye says that “public policy is whatever government chooses to do or not to do”. Richard Rose says that “public policy is not a decision; it is a course or pattern of activity.”

In Carl J. Friedrich’s opinion “public policy is a proposed course of action of a person, group, or government within a given environment providing opportunities and obstacles which the policy was proposed to utilize and overcome in an effort to reach a goal or realize an objective or purpose.”

From these definitions, it is clear that public policies are governmental decisions, and are actually the result of activities which the government undertakes in pursuance of certain goals and objectives. It can also be said that public policy formulation and implementation involves a well-planned pattern or course of activity. It requires a thoroughly close-knit relation and interaction flanked by the significant governmental agencies viz., the political executive, legislature, bureaucracy and judiciary. The following points will create the nature of public policy more clearly in your minds:

- Public policies are goal oriented. Public policies are formulated and implemented in order to attain the objectives which the government has in view for the ultimate benefit of the masses in general. These policies clearly spell out the programmes of government.
- Public policy is the outcome of the government’s communal actions. It means that it is a pattern

or course of activity or the governmental officials and actors in a communal sense than being termed as their discrete and segregated decisions.

- Public policy is what the government actually decides or chooses to do. It is the relationship of the government units to the specific field of political environment in a given administrative system. It can take a diversity of shapes like law, ordinances, court decisions, executive orders, decisions, etc.
- Public policy is positive in the sense that it depicts the concern of the government and involves its action to a scrupulous problem on which the policy is made. It has the sanction of law and authority behind it. Negatively, it involves decisions through the governmental officials concerning not taking any action on a scrupulous issue.

### **1.5 MEANING OF PUBLIC POLICY**

Public policy is the principled guide to action taken by the administrative executive branches of the state with regard to a class of issues, in a manner consistent with law and institutional customs.

Public policy in the broad term refers to the policy (plan of what to do) that is formulated and implemented for the benefit of the public. If read in light of the narrow view of public policy then it relates to plan of action to be pursued by the Government (because Public is also used as a synonym for Government in many places).

There is no unanimity on the definition of public policy. However, public policy can be described as the overall framework within which the actions of the government are undertaken to achieve its goals. It is a purposive and consistent course of action devised in response to a perceived problem of a constituency, formulated by a specific political process, and adopted, implemented, and enforced by a public agency.

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## **1.6 SUMMARY**

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It is clear that public policies are the activities that the government undertakes in order to pursue certain established goals and objectives.

Public policy provides guidance to governments and accountability links to citizens. Decision making is clouded by values, rather than based purely on objective data.

In this lesson, we discussed the meaning and importance of public policy and the difference between a public policy, a goal and a decision. An attempt was also made to explain the relationship between public policy and politics.

The lesson also highlighted the different types of public policy, the stages involved in public policy process and the various characteristics of public policy.

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## 1.7 KEY TERMS

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**Public Policy:** Public policy is a course of action that guides a range of related actions in a given field. It is a decision made by government either to act, or not to act in order to resolve a problem.

**Transparency:** Thirdly, clear cut policies are needed to ensure transparency about the government's intentions, actions and priorities. People should know who is getting what and to put up their objections if there are some serious equity issues in allocation of resources.

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## 1.8 SELF ASSESSMENT QUESTION

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1. What is public policy?
2. Distinguish between a policy and a goal.
3. Highlight the different characteristics of public policy-making.
4. What are the major features of public policy-making?
5. Highlight the nature of public policy.

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## 1.9 REFERENCE

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## **UNIT-2: PUBLIC POLICY: TYPES**

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### **Structure**

- 2.1 Objectives
- 2.2 Introduction
- 2.3 Nature of Public Policy
- 2.4 Types of Public Policy
- 2.5 Relationship between politics and public policy
- 2.6 Summary
- 2.7 Key Terms
- 2.8 Self-Assessment Questions
- 2.9 References

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### **2.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Discuss the different types of policy
- Discuss the relationship between politics and policy
- Describe the importance of public policy

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### **2.2 INTRODUCTION**

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Running a state requires leadership and action, which is the minimum expectation of politics. Originally, politics was not seen separately from governance issues. It wasn't until after World War II that people became interested in it. Both political scientists and public administration wanted to question the reasons for the success or failure of the various government programs and plans. In search of her, they saw public policy as an opportunity to actualize their appreciation for it. At the same time, Western countries wanted to increase their influence in the new developing countries in order to revitalize economies badly hit by the mega-war. As a result, a group of American scholars led by Harold Lasswell and others began promoting the "discipline" of political science. The success or failure of a government depends largely on the outcome of public policies.

The study of public policy is very significant for the interaction between the public policy and its context is very profound and untreated. Different experiences in the area of public policy in different nations can be attributed to this mutual effect. Also, this explains why not all nations have the same public policies.

Even if they adhere to the same policies, their priorities would differ. Thus, the nature of policy varies from country to country depending on the demands of its economy, social and cultural values, availability of resources, constitutional ideals, as well as pressure from political parties, interest groups, trade unions, cultural and religious associations, etc. For instance, in India, our emphasis has been on the issue of growth and modernization, eliminating poverty, developing agriculture, and social justice.

The study of public policy is a relatively new field of inquiry. This study involves a multidisciplinary perspective and applied dimension. According to William Dunn (1981), policy analysis is an applied social science discipline which uses multi-disciplinary methods of inquiry and argument to produce and transform policy relevant information that may be used in political settings to resolve public policy problems. Michael E. Kraft and Scott R. Furlong Concept (2010) have categorized policy analysis into three approaches – scientific, professional and political. The objectives of scientific, professional and political approaches are to search for truth and build theory about policy actions and effects; analyze policy alternatives for solving public problems; and advocate and support preferred policies respectively.

### **2.3 NATURE OF PUBLIC POLICY**

In this segment, we would like to argue that public policies are governmental decisions, and are actually the result of activities which the government undertakes in pursuance of certain goals and objectives. Thus the following points will make the nature of public policy:

- ***Public Policies are goal oriented:*** This means that public policies are formulated and implemented in order to attain the objectives which the government has in view for the betterment of the public.
- ***Public policy is the outcome of the government's collective actions:*** It means that it is a pattern or course of activity or the governmental officials and actors in a collective sense than being termed as their discrete and segregated decisions.
- ***Public policy is what the government actually decides or chooses to do:*** It is the relationship of the government units to the specific field of political environment in a given administrative system. It can take a variety of forms like law, ordinances, court decisions, executive orders, decisions, etc.
- ***Public policy may be positive or negative:*** It is positive in the sense that it depicts the concern of the government and involves its action to a particular problem on which the policy is made. Negatively, it involves a decision by the governmental officials regarding not taking any action on a particular issue.

## 2.4 TYPES OF PUBLIC POLICIES

Having explained the features of public policy-making, we will now explain: the dissimilar types of public policy. There are several types of public policy which are explained below:

- **Substantive Public Policy:** These are the policies concerned with the general welfare and development of the society like provision of education and employment opportunities, economic stabilisation, law and order enforcement, anti-pollution laws, etc. are its examples. It does not cater to any particular or privileged section of society and have to be formulated dynamically keeping in mind the goals and characteristics of the constitution and directive principles of state policy as well as the current and moral claims of society.
- **Regulatory Public Policy:** These policies are concerned with regulation of trade, business, safety measures, public utilities, etc. performed by independent organisations working on behalf of the government like LIC, RBI, SEBI, State Electricity Boards, etc. Policies pertaining to these services and organisations rendering these services are known as regulatory policies.
- **Distributive Public Policy:** These are the policies meant for specific segments of society especially the needy ones. Public assistance and welfare programmes, adult education programme, food relief, social insurance, vaccination camps, public distribution systems, etc. are all examples of such policy.
- **Redistributive Public Policy:** These policies are concerned with rearrangement of policies concerned with bringing basic social and economic changes. Certain assets and benefits are divided disproportionately amongst certain segments of society and so those need to be redistributed so it reaches where it is needed and does not lie about surplus somewhere else.
- **Capitalisation Public Policy:** These policies are related to financial subsidies given by the Centre to state and local governments and central and state business undertakings, etc. and is not directly linked to public welfare as the others listed above. It does contribute but indirectly. It is basically infrastructural and development policies for government business organisations to keep functioning properly.
- **Constituent Public Policy:** It is the policies relating to constituting new institutions/mechanisms for public welfare.
- **Technical Public Policy:** It relates to the policies framed for arrangement of procedures, rules and framework which a system shall provide for discharge of action by various agencies on the field.

## 2.5 RELATIONSHIP BETWEEN POLITICS AND PUBLIC POLICY

Policy-making process is a part of politics and political action. According to Gabriel Almond, political system is a set of interactions having structures, each of which performs its functions in order to keep it like an on-going concern; it is a set of processes that routinely converts inputs into outputs. Almond classifies inputs of political system into generic functional categories like political socialisation and recruitment, interest aggregation, interest articulation and political communication.

Output activities are those which are carried on by a political system in response to demands or stresses placed upon the system in the form of inputs. Outputs can take the form of governmental policies, programmes, decisions, etc.

Another model on politics-policy relationship is the Feedback or the 'Black Box Model' coined by David Easton. According to this model, the remaining demands which have not been included in the decisions and policies will again be fed back through the same process for the purpose of its conversion into decisions. These two models establish the relationship between politics and policies in a political system.

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## 2.6 SUMMARY

The study of public policy is a relatively new field of inquiry in public administration. Various approaches have been developed for its study. Each approach studies public policy from a different perspective and this enables a comprehensive study of public policy from various dimensions. In this module, four approaches have been discussed: group approach, rational choice approach, incremental approach and policy networks approach. Group approach presupposes that political life is interaction and struggle among diverse societal groups; and politics is characterized by controversy and conflict due to the activity of interest groups. Public policy is the result of negotiations, bargaining and compromises resulting from competition between diverse groups.

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## 2.7 KEY TERMS

- **Decision-Making:** Policy-making is a species of decision-making because it lets us use decision-making models for dealing with policy-making.
- **Non-programmed Decisions:** Herbert Simon makes a clear distinction between programmed and non-programmed decisions. Non-programmed decisions are new, novel and unstructured. No readymade methods are available for taking these decisions; each issue is dealt with separately. Proper training in development of innovative capacity is required for such decisions.

- **Programmed Decisions:** These decisions are repetitive and routine in nature and for such decisions definite procedures can be worked out. Each decision need not be dealt with separately. In such type of decisions, habits, skills and knowledge about the problem is important. Mathematical models and computer can help the decision makers to arrive at rational decisions as far as these decisions are concerned.

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## 2.8 SELF ASSESSMENT QUESTION

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1. Bring out the difference between a decision and a public policy.
2. Bring out the relationship between public policy and politics.
3. What are the different types of public policy?
4. What are the main reasons for formulation of policy?
5. Discuss the importance of public policy.

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## 2.9 REFERENCE

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## **UNIT-3: PUBLIC POLICY: CHARACTERISTICS AND MODELS**

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### **Structure**

- 3.1 Objectives
- 3.2 Introduction
- 3.3 Characteristics of Public Policy
- 3.4 Models of Public Policy
- 3.5 Summary
- 3.6 Key Terms
- 3.7 Self-Assessment Questions
- 3.8 References

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### **3.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Know the Characteristics Public Policy
- Understand the Eastonian model for policy analysis
- Discuss the rationality model for policy-making
- Highlight the institutional approach which helps defining and shaping public policies
- Describe Lindblom's incremental approach to policy-making

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### **3.2 INTRODUCTION**

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The idea of models and frames that structure and provide a discourse of analysis came into use in the 1970s and 1980s. They were thought of as modes of organising problems, giving them a form and coherence. A model involves the notion of constructing a boundary around reality, which is shared or held in common by a group of scholars or a theorist. When we study public policy we must be aware of how different models of analysis define and discuss problems and how these clashes shift around. In this lesson, we shall examine certain models and theoretical frameworks that analysts employ. A few of these models and approaches will be discussed in the subsequent sections.

### **3.3 CHARACTERISTICS OF PUBLIC POLICY-MAKING**

- The meaning and nature of public policy will become clearer through throwing light on dissimilar features of public policy. Some of the major features of public policy-making are:
- **Public Policy-making is a Very Intricate Process:** Policy-making involves several components, which are interconnected through communication and feedback loops and which interact in dissimilar methods. Some parts of the process are explicit and directly observable, but several others proceed through hidden channels that the officials themselves are often only partly aware of. These hidden procedures are very hard, and often impossible to observe. Therefore, guidelines are often shaped through a series of single decisions that result in a policy without any one of the decision makers being aware of that process.
- **It is a Dynamic Process:** Policy-making is a process that is a continuing activity taking place within a structure; for sustenance, it requires a continuing input of possessions and motivation. It is a dynamic process, which changes with time, the sequences of its sub-processes and stages vary internally and with respect to each other.
- **Policy-making Comprises Several Components:** The complexity of public policy-making as we know is a significant feature of policy-making. Public policy formulation often involves a great diversity of substructures. The identity of these substructures and the degree of their involvement in policy-making, vary because of dissimilar issues, circumstances and societal values.
- **Policy Structure creates Dissimilar Contributions:** This feature suggests that every sub-structure creates a dissimilar, and sometimes unique, contribution to public policy. What sort of contribution sub-structures create, depends in part on their formal and informal features which vary from society to society.
- **Decision-Making:** Policy-making is a species of decision-making because it lets us use decision-making models for dealing with policy-making.
- **Lays down Major Guidelines:** Public policy, in most cases, lays down general directives, rather than detailed instructions, on the main lines of action to be followed. After main lines of action have been decided on, detailed sub-policies that translate the general theory into more concrete conditions are usually needed to execute it.
- **Results in Action:** Decision-making can result in action, in changes in the decision-making itself, or both or neither. The policies of most socially important decision-making, such as most public policy-making are planned to result in action. Also policies directed at the policy-making tools itself such as efficiency drives in government are action oriented.
- **Directed at the Future:** Policy-making is directed at the future. This is one of its most significant features since it introduces the ever-present elements of uncertainty and doubtful prediction that

establish the basic tone of almost all policy-making.

- **Actual policy:** Actual policy-making tends to formulate policies in vague and elastic conditions; because the future is so uncertain. It permits policy makers to adjust their policy according to emerging facts and enables them to guard against unforeseen circumstances.
- **Mainly Formulated through Governmental Organs:** Public policy is also directed, in part, at private persons and non-governmental structures, as when it calls for a law prohibiting a certain type of behaviour or appeals to citizens to engage in private saving. But public policy, in most cases, is primarily directed at governmental organs, and only intermediately and secondarily at other factors.
- **Aims at Achieving what is in the Public Interest:** Though hard it might be to discover out what the “public interest” may correctly refer to, the term nevertheless conveys the thought of a “general” orientation and seems so to be significant and important. Furthermore, there is good evidence that the image of “public interest” powers the public policy-making process and is so at least, as conceived through the several public policy-making units, a “real” phenomenon, and a significant operational tool for the study of policy-making.
- **Use of Best Possible Means:** In abstract terminology, public policy-making aims at achieving the maximum net benefit. Benefits and costs take in part the form of realized values and impaired values, respectively, and cannot in most cases be expressed in commensurable units. Often, quantitative techniques can so not be used in this area of public policy-making but neither the qualitative significance of maximum net benefits as an aim nor the necessity to think broadly in relation to the alternative public policies in conditions of benefits and costs is so reduced.
- **Involvement of Several Bodies/Agencies:** Industrial workers, voters, intellectuals, legislators, bureaucrats, political parties, political executives, judiciary etc. are the several organs that participate in public policy-making and can power the policy process to a great extent.

### 3.4 MODELS OF PUBLIC POLICY

The idea of models and frames that structure and provide a discourse of analysis came into use in the 1970s and 1980s. They were thought of as modes of organizing problems, giving them a form and coherence. A model involves the notion of constructing a boundary around reality, which is shared or held in common by a group of scholars or a theorist. When we study public policy, we must be aware of how different models of analysis define and discuss problems and how these clashes shift around. In this lesson, we shall examine certain models and theoretical frameworks that analysts employ. A few of these models and approaches will be discussed in the subsequent sections.

**The Institutional Model** focuses on the traditional organization of government and narrates the functions & departmental arrangements. This model considers constitutional provisions and law. A policy is not a public policy until it is adopted and implemented by governmental institution. According to Elite-Mass Model a policy making elite act in an environment feature by apathy and information distortion. Policy flows downward from the elite to the mass. Public Policy may be treated as the values and preferences of a governing elite. Mass sentiments are manipulated by elite. The Elite Mass Model is based on importance of elite and interaction between masses & elite.

**Group Model** gives importance on interest & pressure group. According to this model public policy results from a process of forces and pressures by different groups. Agencies may be captured by interest & pressure groups. Groups are the bridge between the peoples and the government. The entire system assumes a latent group supports the rules of the game, overlapping group membership & check-balances on group's competition.

**The Systems Model** relies on information theory concepts like input, output and feedback. This model sees the policy process as cyclical. Public Policy is treated as the response of the political system to forces brought to bear on it from the outside environment. System model puts emphasis on environment. Forces come to the political system from environment as demand and support. Demands are brought ton it by persons and group in response to environmental conditions. Support is given by citizens by obeying laws and paying taxes. The Political System is a group of interrelated structures and processes. Outputs of a political system are decisions and actions of public policy.

The policy-making process has been regarded by David Easton as a 'black box', which converts the demands of the society into policies. While analysing political systems David Easton argues that the political system is that part of the society, which is engaged in the authoritative allocation of values.

Inputs are seen as the physical, social, economic and political products of the environment. They are received into the political system in the form of both demands and supports. Demands are the claims made on the political system by individuals and groups to alter some aspect of the environment. Demands occur when individual or groups, in response to environmental conditions, act to effect public policy. The environment is any condition or event defined as external to the boundaries of the political system.

The supports of a political system consist of the rules, laws and customs that provide a basis for the existence of a political community and the authorities. The support is rendered when individuals or groups accept the decisions or laws. Supports are the symbolic or material inputs of the psychological and material resources of the system). At the heart of the political system are the institutions and personnel for policy-making. These include the chief executive, legislators, judges and bureaucrats.

In the system's version, they translate inputs into outputs. Outputs, then, are the authoritative value allocations of the political system, and these allocations constitute public policy or policies. The systems theory portrays public policy as an output of the political system. Feedback depicted in the figure means that the public policies may have an impact on the environment of the political system and in turn may be influenced by the same. Public policies may generate new demands or new supports or may withdraw the old ones.

**Streams and Windows Model** proposes three streams which are always ongoing on same time and place. A policy window opens after converge of three streams and leads to a new policy. The problem stream is based on people's and policy-makers' attention on a specific problem, defines the problem and calls for a new policy approach. Classification of the problem is important. Governmental Agenda is formed in the political stream. Alternatives are considered and decisions are taken in the policy stream. Rational argument and persuasion developed the Consensus. Any one stream may change on its own but all three streams must converge for a policy decision.

**The Rational Model** tries to make over all the alternatives, take into account their consequences and select the best. This model put emphasis upon accuracy of feedback and weighing of values. This model's aim is to develop the content of public policy. In this model there is gap between planning and implementation. It ignores role of people, entrepreneurs and leadership. The model of Public Sector Strategic Planning is an attempt to combine the incremental and rational approaches. It tries to reconcile the daily demands with wide range future strategies. It tries to place the organization in a favourable position to cope with the political environment. It blends rational analysis with economic and political analysis. This model is based on participation and tolerance.

**Institutional Approach** In a democratic society, a state is a web of government structures and institutions. The state performs any functions. It strives to adjudicate between conflicting social and economic interests. The positive state is regarded as the guardian of all sections of the community. It does not defend the predominance of any particular class or section. Ideally speaking, it has to protect the economic interests of all by accommodating and reconciling them. No organization has ever been able to succeed in its objectives across his whole range of public policies; and policy issues tend to be resolved in ways generally compatible with the preferences of the majority of the public. Public policy is formulated, implemented and enforced by the governmental institutions. A policy does not take the shape of public policy unless it is adopted and implemented by the governmental institutions. Three important characteristics of public policies related to the government are:

Legality and legitimacy of public policies is due to government

Public policies are applicable to all the citizens in the state

Coercive element is involved in public policies

As there is close relationship between the public policies and the governmental institutions some social scientists also focused on the functioning of government structures and institutions. This institutional approach has become one of the themes of public policy analysis and it studies the interactions of institutions created by the government, legislature and the constitution e.g., Members of Parliament, Prime Minister or Cabinet, etc. The influence exercised by all these institutions goes a long way in shaping the public policy.

Traditionally, the institutional approach focused just on the study of structures and institutions of government and did not devote attention to the linkages between these governmental institutions and the public policies. But now it has within its ambit the impact of these institutions on the content of public policy and the decision-making.

For example, this approach suggests that the government institutions may be structured in such a way that they facilitate certain policy outcomes. This may give advantage to certain sections of society and could disfavor certain other sections. Generally, institutions and rules are not neutral in their impact. They tend to favour/disfavour certain interests in society i.e., some sections may enjoy more power under one set of arrangements in comparison to others.

**The Neo-Institutional Model** is an attempt to classify public policies into four areas by the probability of government force, immediate and the object of government. This model is relating policy to the different branches of government and behaviours.

**Lindblom's Incremental Approach** As a response to the traditional rational model of decision making, Lindblom presented his incremental approach to policy-making. In 1959, Lindblom published an article titled "Art of Muddling Through" which became quite famous in the field of public policy. Lindblom mentions that rational decision making is not possible for 'complex policy questions. He propounded the concept of 'successive limited comparisons' or 'branch decision making'.

By incrementalism, Lindblom means building up step by step in small degrees from the current situation. This was in contrast to the 'root' approach advocated by other policy analysts which meant starting anew every time. He mentions the constraints of time, intelligence and cost in the making of rational decision making. He favours 'successive limited comparisons and this process led to 'bounded rationality'.

The incremental approach (branch method) of decision-making involves a process of "continually building out from the current situation, step-by-step and by small degree". In contrast, the 'root' approach,

as favoured by the policy analysts, was to start from "fundamentals anew each time, building on the past only as experience embodied in a theory, and always prepared to start from the ground up."

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### 3.5 SUMMARY

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In public policy, models constitute frameworks through which the problems faced and processes involved in the making of public policies are analysed. There are now two public policy approaches each with its own methods and emphases. The first is labeled as 'Policy Analysis'; the second, 'Political Public Policy'.

From a policy analysis perspective, Putt and Springer argue that the function of policy research is to facilitate public policy process by providing accurate and useful decision-related information. The skills required to produce information, which is technically sound and useful lie at the heart of the policy research process, regardless of the specific methodology employed. Attempting to bring modern science and technology to bear on societal problems, policy analysis searches for good methods and techniques that help the policy-maker to choose the most advantageous action.

There is another approach (Lynn) that emphasizes on political interaction from which policy is derived. Here, it is rather more difficult to separate public policy from the political process and sometimes it becomes difficult to analyse whether a particular study is one of public policy or politics. Public policy is seen to be different from the traditional model of public administration. Public policy is, therefore, more 'political' than 'public administration'. It is an effort to apply the methods of political analysis to policy areas (for example health, education, and environment), but has concerns with processes inside the bureaucracy, so it is more related to public administration. The policy analysts use statistical methods and models of input-output analysis. However, the political public policy theorists are more interested with the outcomes of public policy. Whatever may be, both public policy and policy analysis remain useful in bringing attention to what governments do, in contrast to the public administration concern with how they operate, and in applying empirical methods to aid policy-making. Public policy-making, as distinct from its study, now seems to be a mixture of these perspectives, and managerialism or public management combines them.

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### 3.6 KEY TERMS

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**Black Box:** It is a model of system analysis popularised by David Easton (1965). Black box denotes the processes, whereby the processing of inputs takes place to produce outputs/outcomes. It applies the logic of cybernetics, propounded by Norbert Wiener to understand political processes and behaviour. The cybernetics is the science of control systems theory -- via feedback relationship. Positivist assumes and

believes that there is a definable cause and effect relationship between supports, demands, and outputs. However, critics argue that it is too mechanical and rigid.

**Bounded Rationality:** The concept appears in Herbert Simon's book, *Administrative Behavior*. According to Simon, human behaviour is neither totally rational nor totally non-rational. It has its limits. Hence, decisions are never the 'best possible' outcomes in choice behaviours on the part of decision-makers, but are only solutions that 'satisfy'.

**Meta Policy-making:** A meta policy is 'policy about policies', that is, decisions regarding who will make the policies, how, what authority and responsibility would be prescribed at each stage etc.

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### 3.7 SELF ASSESSMENT QUESTION

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1. What is intra-societal and extra-societal environment?
2. How systems model is useful in the study of public policy?
3. Why political policy-makers should be rational?
4. Highlight the stages of rational policy-making.
5. What are the features of incremental decision-making?
6. What are the nine steps of Hogwood and Gunn model?

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## **UNIT-4: PUBLIC POLICY PROCESS IN INDIA**

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### **Structure**

- 4.1 Objectives
- 4.2 Introduction
- 4.3 Policy-Making in India
- 4.4 Basis of Policy Making
- 4.5 Stages of Public Policy Process in India
- 4.6 Summary
- 4.7 Key Terms
- 4.8 Self-Assessment Questions
- 4.9 References

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### **4.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Explain the policy-making process in different types of political systems
- Discuss the nature of state and the system of governance
- Highlight the contextual setting of policy-making in India
- Discuss the role of ethics, values and culture in policy-making

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### **4.2 INTRODUCTION**

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Public policy-making in democratic countries is a complex process which has a number of not only governmental agencies and actor but also non-governmental agencies and actors playing an important role. Unless and until the policies formulated are executed in a fair, impartial, and effective way, howsoever good the policy intents may be the outcomes can never be achieved. The Indian Constitution, modelled on the British parliamentary system, has entrusted the basic responsibility of executing the policies approved by the legislature, and overseen by the judiciary, to the executive. The key role of governance and management of the country's affairs vests with the executive, to whom all successes and failures of the same are attributed. The political executive is essentially akin to the board of directors in

a large cooperation, with functionaries, i.e. the permanent executive manning implementation positions at all levels. It is a vast machine with complicated internal structure.

#### 4.3 POLICY-MAKING IN INDIA

- One of the essential functions of government is policy-formation. In the words of Dr. Appleby, the essence of public administration is policy-making. Without policy, government and administration are rudderless. Policy is prior to every action. It is pre-requisite to all management.
- It is the policy which sets the task for administration. It provides the framework within which all actions for the accomplishment of an objective are to be activated. Policy is in fact planning for action; it is getting ready for setting the sails to reach the desired destination.
- Ever since Wilson wrote his essay on “The Study of Administration” published in 1887, politics-administration dichotomy school of thought tended to regard policy as outside the scope of administration.
- In the words of Wilson, “*The field of administration is a field of business. It is removed from the hurry and strife of politics.*” Wilson was followed by Goodnow and as late as 1926, L. D. White drew a distinction between administration and politics.
- It is now being increasingly realized that politics-administration dichotomy cannot work and that administration cannot be completely divorced from policy-making. Luther Gulick was one of the first advocates of this view.
- To quote Dr. Appleby:
- “*Administrators are continually laying down rules for the future, and administrators are continually determining what the law is, what it means in terms of action, what the rights of parties are with respect both to transactions in process and transactions in prospect... ..*”
- *Administrators also participate in another way in the making of policy for the future; they formulate recommendations for legislation, and this is a part of the function of policy-making.*”
- Public officials are associated with policy-formation in three important ways:
- First, they have to supply facts, data, and criticism as to the workability of policy to the ministers or to the legislature if the initiative for policy-making comes from them. The members of the legislature or the ministers are amateurs who have risen to positions because of the popular will and not because of administrative talent and as such, they have to give due weight to the suggestions of the officials.
- Second, in many cases the initiative for policy or legislation emanates from the administration. This is because of the fact that it is the administration which is in constant touch with the

general public and is in a better position to understand the difficulties that arise in the execution of legislation.

- It has, therefore, to make suggestions and formulate proposals for removing those difficulties and in the process, it may have to, if need be, ask for amendments in the existing law or even for more laws. In such cases, policy proposals emanate from the administration and legislature only puts its seal of approval on them.
- Third, on account of lack of time and knowledge, the legislature passes skeleton Acts and leaves the details to the administration. It is here that administration is most supreme in policy-making.
- In order to execute these Acts, the administration frames rules, regulations and bye-laws which are a major contribution to policy-making. It may, therefore, be said that there are two main types of policy-political policy and administrative policy.
- Political policy is the policy made by the government. It is the general policy set out by the Parliament and political executive in pursuance of the promises made at the time of election by the party in power. Administrative policy is the form in which the minister, administrator or Board carries the will of the government into effect.
- In the words of Dr. M. P. Sharma, “...*administrative policy is largely concerned with the determination and establishment of appropriate machinery and procedure for the implementation of legislative policies, setting the time-table or work programme of activities for guidance of its own staff through rules, regulations or orders, and taking precedent-making decisions on specific novel issues which may arise in the course of day-to-day administration.*”

#### **4.4 BASIS OF POLICY-MAKING**

Policy, from whatever source – legislature or administration – it may emanate, must be based on factual data and accurate information. To the legislature, it is the administration which supplies the necessary information but wherefrom the administration obtains that information?

Broadly speaking, there are four ways through which administration collects the necessary information:

**Internal Sources:** Every department is a centre to which flow periodic reports, returns, statements, accounts and various other materials from various field establishments. These reports and other material are recorded by the department for future use whenever the need arises.

Some departments employ special agencies for the collection of data in certain special fields. Several Ministries in India have made special arrangements and established special machinery for the collection of statistics and data helpful for policy-making.

The Central Statistical Organisation, the National Sample Survey, the Bureau of Public Enterprises, Directorate of Industrial Statistics and various other organisations are working for the collection of information and statistics. The data so collected is properly processed, organized and interpreted to reveal certain facts essential for policy-making.

**External Sources:** To supplement the internal data which may be insufficient, the administration takes to collecting information from external sources. It establishes contacts with private bodies, unions, associations, chambers, etc., in order to get a true picture of facts.

Internal information is likely to be biased and hence inaccurate and unreliable because it travels through the official channels and the agency reporting it may not like to reveal all that is fact. In our country, the government does consult and tries to know the essence of public opinion through various labour unions, chambers of commerce, and other professional associations.

Before the Five Year Plan is actually approved; the draft outline is thrown open for discussion to various bodies all over the country. The suggestions received are duly considered and incorporated, where approved, in working out the final plan.

**Special Investigations:** Special investigations may be conducted by the appointment of Commissions and Committees of enquiry for finding facts in respect of a particular matter of field. Such investigations are very useful for policy-making as they provide the maximum thought in a particular field. Examples of such Commissions/Committees are numerous both in our country and abroad.

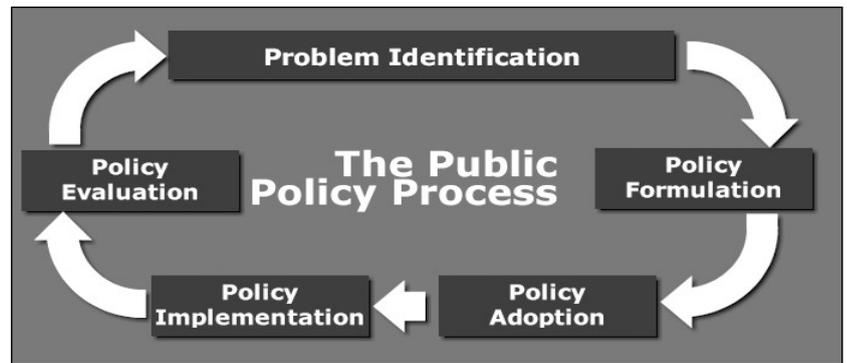
The Royal Commissions appointed from time to time in England, the Hoover Commission, in U.S.A., the Central Pay Commissions, the Universities Radhakrishnan Commission, the Local Finance Enquiry Commission, the Secondary Education Commission, the Press Commission, the Taxation Commission, the Monopolies Commission, the Administrative Reforms Commission, etc., in India are the examples of special investigating bodies.

**Research and Study:** Research and studies may be organized by the Government and non-official agencies to discover certain facts and views. The Geological, Botanical, Zoological Surveys of India, the Council of Scientific and Industrial Research, various laboratories devoted to research in building techniques, drugs, food, technology, electro-chemicals, metallurgy, mining, salt, etc., the Atomic Energy Commission, the Oil and Natural Gas Commission, etc., are some of the examples of institutions engaged in research.

Every modern government, anxious as it is to make improvements, has to depend on these research bodies for the mine of information and facts they supply. Every new policy must take cognizance of the new research and material provided by these bodies.

#### 4.5 STAGES OF PUBLIC POLICY

A brief highlight on the various stages of public policy will clarify the actual process of public policy in India.



This diagram illustrates the cyclical and iterative nature of the public policy process. The public policy process is the manner in which public policy is formed, implemented and evaluated.

**Problem Identification:** It is really the starting point in this process, and will set the tone for the remainder of the cycle. The first step in solving any problem is identifying and accurately defining it. Identifying the problem may appear to be simple. In order to achieve successful public policy, the problem must be clearly defined and understood at an appropriate scale.

**Policy Formulation:** In policy formation, solutions to problems are shaped and argued. This phase is characterized by intense negotiation between parties. Leaders, bureaus and other factions must fight for their own needs and desires, often in opposition to one another. Concerns might include budgetary issues, personal or political constraints, or the protection of certain existing programs. Public policies are therefore formed far more by the act of bargaining than by any other means. Policy formation continues even after initial legislation is passed, arising whenever amendments are suggested or the original legislation is reauthorized.

**Policy Adoption:** The adoption of the policy is an important formality, representing a governing entity's commitment to enforcing the policy's tenets. Much like policy formulation, policy implementation is also an iterative process and may involve many stakeholders across agencies and governing bodies.

**Policy Implementation:** This phase puts policies into action. Responsibility passes from policy makers to policy implementers, and the policies themselves may again develop further while this happens.

Whether a policy succeeds can often be traced back to this phase; a well-written policy with a poor implementation can end in failure.

**Policy evaluation:** It is an important perspective-building exercise to assess successes and failures of the policy that will inform the development of subsequent policies. Evaluation can be either quantitative or qualitative in nature, addressing progress toward tangible goals as well as intended and unintended social, economic, and environmental outcomes as a result of the policy's implementation. Policy makers conduct evaluations to determine if the policies they create are effective in achieving their goals. When determining this, they must consider:

How to evaluate outcomes effectively

How to measure the outcomes

How to navigate between the efficiency of a policy and its effectiveness (the former is often easier to measure than the latter)

Evaluation may occur either during implementation or after the policy in question is finished.

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## 4.6 SUMMARY

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Every system operates in a given environment, and has a contextual setting in accordance with which different policy issues and problems at hand are translated into action, implemented, and evaluated.

The nature of State, the type of polity, the role of various governmental and non-governmental agencies and actors, role of culture, ethics, and values, etc. have a bearing on the formulation and implementation of policies.

In other words, all these variables and forces are components of the contextual set-up of the policy-making process. In this lesson, the discussion has been focused primarily on all these aspects.

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## 4.7 KEY TERMS

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**Demagogy:** It is a method of political rule which involves appealing to people's emotions rather than using rational arguments.

**Ineluctable:** Something that nobody can escape from.

**Ideology:** The "way of life" of people reflected in terms of their political system, economic order, social goals, and moral values. It is the means by which the basic values held by a party, class, or group is articulated.

**Individualism:** The political, economic, and social concept that places primary emphasis on the worth, freedom, and well-being of the individual rather than on those of the group, society or nation. The concept of individualism may be contrasted with that of collectivism, which describes those systems in which primary emphasis is placed on the rights and welfare of the group.

**Judicial Review:** The power of the courts to examine the legality and constitutionality of administrative acts of officials and also the executive orders and the legislative enactments.

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## 4.8 SELF ASSESSMENT QUESTION

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1. What are the ways through which administration collects the necessary information in policy- making?
2. What are the various stages of public policy?
3. Highlight the external influences on policy-making.
4. What are the various organs that participate in policy-making?
5. Examine the contextual setting of policy-making in India.

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**BLOCK-2 DECENTRALIZATION, BUDGET AND SOCIAL WELFARE**  
**ADMINISTRATION**

Unit-5: Decentralization: Meaning, significance, types

Unit-6: Decentralization: Major approaches to decentralization.

Unit-7: Rural Local Self Governance

Unit-8: Urban Local Self Governance

Unit-9: Concept and Significance of Budget

Unit-10: Budget cycle in India, Types of Budgeting

Unit-11: Concept and Approaches of Social Welfare.

Unit-12: Social Welfare Policies: (a) Education: Right to Education, (b) Health:

National Health Mission, (c) Food: Right to Food Security, (d) Employment:

MNREGA Global Justice

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## **UNIT-5: DECENTRALIZATION: MEANING, SIGNIFICANCE, TYPES**

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### **Structure**

- 5.1 Objectives
- 5.2 Introduction
- 5.3 Meaning of Decentralization
- 5.4 Significances of Decentralization
- 5.5 Features of decentralization
- 5.6 Types of Decentralization
- 5.7 Advantages and Disadvantages of Decentralization
- 5.8 Summary
- 5.9 Key Terms
- 5.10 Self-Assessment Questions
- 5.11 References

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### **5.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Discuss the evolution of decentralization in India
- Explain the meaning significance and features of decentralization
- Discuss the contribution of decentralization
- Know the types and aspects of decentralization

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### **5.2 INTRODUCTION**

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The dawn of 21<sup>st</sup> century is marked by decentralized governance both as a strategy and philosophy of bringing about reforms and changes in democracies. These changes led to such virtues of transparency, responsiveness and accountability and ensure good governance. Today decentralization and democracy are the most significant themes in the development discourse. In the present context of rapid social change and development activities, debureaucratization and decentralization have been found to be much more appropriate to deal with contemporary trends of globalization, liberalization and privatization. In this scenario an attempt is made in this lesson to discuss conceptual aspects and the significance of democratic decentralization as an institutional mechanism to govern rural and urban areas of the society.

### **5.3 MEANING OF DECENTRALIZATION**

Federal government has two tiers of government. A vast country like India cannot be run only through these two tiers. Federal Power sharing in India needs another tier of government, below that of the state government. This is the rationale for decentralization of power which resulted in a third tier of government called local government. Decentralization has often been put forward as a remedy against the concentration of power and as a means of ensuring that the needs and expectations of the common citizen are respected. When power is taken away from central and state government and given to local government, it is called decentralization. It is also called third tier of the government.

The basic idea behind decentralization is that there are a large number of problems and issues which are best settled at the local level. People have better knowledge of problems in their localities. People have better ideas on where to spend money and how to manage things more efficiently. At the local level, it is possible for the people to directly participate in decision making. This helps to inculcate a habit of democratic participation. Local government is the best way to realize the important principle of democracy, namely local self govt.

The State governments are required to share some powers and revenue with local government bodies. The nature of sharing however varies from state to state. Rural Local Government is popularly known as the Panchayati Raj. It consists of *Zilla Parishad*, *Panchayat Samiti* and *Gram Panchayats*.

There is a gram panchayat in each village or group of villages. It is a council of several ward members called *panch* and a president called *Sarpanch*. It works under the overall supervision of *Gram Sabha*.

A few gram panchayats are grouped together to form a *Panchayat Samiti* also known as a Block or *Mandal*. The members of this body are elected by all the members of the *Panchayats* in that area. All the *Panchayat Samitis* or *Mandals* in a district constitute a body of elected members to form the *Zilla Parishad*. The political head of *Zilla Parishad* is called the Chairperson.

Urban Local Government or *Nagar Palika* comprises the Municipalities or Municipal Committees in towns and Municipal Corporations in big cities. The political head of Municipal committees is the Municipal Chairperson and the chairperson of Municipal Corporation is called a Mayor.

The term 'decentralization' is being used interchangeably with terms like deconcentration, devolution and delegation.

**Deconcentration:** It implies the transfer of authority in geographical term; from headquarter administration to field administration. For instance, the district collector in Andhra Pradesh has been made head of every development department at the district level. Deconcentration involves the

redistribution of administrative responsibilities. And in deconcentration, accountability is upward. That is, the district collector is accountable to the headquarter administration.

**Delegation:** Another form of decentralisation is the delegation of decision-making and management authority for specific functions to organisations that are not under the direct control of Central Government ministries. Often the organisation, to which development functions are delegated, have semi-independent authority to perform their responsibilities and may not even, be located within the regular government structure. Public corporation and regional development authorities have been used extensively in developing Countries to execute development schemes.

**Devolution:** Devolution has political and legal connotation, it implies transfer of authority from Central/State government to local governments (for instance the Panchayati Raj institutions). In devolution, the accountability is upward and downward—upward to the Central/State governments and downward to the local people who elect them.

If deconcentration and delegation have administrative connotations, devolution has political and legal, then decentralization covers all aspects—political, legal/administrative. It is the decentralized mode of policy and programme implementation which can involve people in the development process. It is this process whereby centralization is reversed, so that power of decision-making is shifted from central, political and administrative bodies to a multitude of quasi-autonomous bodies, concerned with the formulation and application of policy in particular regions and in answer to local requirements.

#### **5.4 SIGNIFICANCE FOR DECENTRALIZATION**

It has been proved in the past that the centrally controlled national planning has severe limitations. The central planning systems have been unable to provide for equitable distribution of the benefits of economic growth among regions and groups within developing countries. It was realized that development, being a complex and uncertain process, cannot be planned and controlled from the centre. The decision-makers at the centre would not be able to understand the needs of heterogeneous regions and groups.

When functions and authority are being transferred to the local levels, or to the persons concerned with the problems and needs, they take more interest in the work. It is the sense of participation in development planning and management that encourages them.

The central government official's knowledge of local problems and needs also can be increased. They become more sensitive to various problems at the local level when they are being reassigned to local levels. When there is closer contact between government officials and the local population, better

information can be obtained. And with better information, more realistic and effective plans for projects and programmes can be formulated.

In central planning and management, there is over-concentration of power, authority and resources at the Centre. Thus, red-tape and highly structured procedures are its inevitable characteristics. The developing countries have to achieve developmental goals within a target period. It is decentralization which can cut through red-tape and highly structured procedures.

Decentralization can also provide a structure through which activities at various central government ministries and agencies involved in development could be coordinated more effectively with each other and with those of local leaders and non-governmental organisations within various regions.

Decentralisation would lead to creation of alternative means of decision-making. Thereby, the local elites, who are unsympathetic to national development policies and insensitive to the needs of the poorer groups in rural communities, would not be able to have control over development activities.

Development Administration is basically oriented towards speedy socio-economic transformation. Hence, all throughout the developing world there is universal concern now to design new forms of administration to match the needs of development. Decentralization has been looked at as a singularly useful mode of administration to deliver the public services from convenient local centres close to the clients' locality. Bringing administration to the doorstep of the citizen and establishing a direct relationship between the client and the administration have been the driving force behind decentralization in most of the developing countries.

The urge for decentralization has come from many sources. Firstly, it has been prompted by the need to deliver the basic public goods like food, housing water from local units of administration as soon as possible. Secondly, most people in the developing countries live in rural areas which are away from the national capital located in distant urban area. Administration has to penetrate the rural areas and link these up with the nation as a whole. Thirdly, in many countries sociological diversities manifest themselves in ethnic, linguistic and religious differences. Administration needs to be decentralized in response to regional diversities. Fourthly, regional and local resources can be utilized for area development purposes, only if administration would move out to the regions and localities. Decentralization, therefore, facilitates local planning and development with the help of local resources. Fifthly, decentralization has its own value in political and administrative terms. Politically, local participation in development activities, with intensive responses paves the way for meaningful articulation of local demands. Planning thus becomes much more realistic and receives ready political support. From the administrative point of view, local capability to govern local areas increases through

sustained participation in local decision-making. Decentralization is expected to release local energies and enlists local support for development activities. In the process, the local community can steadily attain political and administrative maturity.

## **5.5 FEATURES OF DECENTRALIZATION**

From the above discussion, it is clear that the major characteristic of a decentralized structure is that decision-making is done at the lower level. It can also be said that some decentralization characterizes all organizations, but there cannot be absolute decentralization, for if the Central Government should delegate all its authority to the states, its status as Central Government, its position will be eliminated, and there would, again, be no Central Government. Centralization and decentralization are, therefore, tendencies; they are qualities like “hot and cold”. It has been stated by the scholars that the degree of decentralization of authority in an organization is greater when:

- The number of decisions made by the lower down management hierarchy is greater. For instance, in India political decentralization will be greater if the number of decisions made by the local bodies (being the third layer of Government) is greater.
- The more important decisions are made by the lower down management hierarchy. For example, the greater the sum of development expenditure that can be approved by the *Panchayat Samiti* in a system of Rural Local Government without consulting the State Government, the greater the degree of decentralization in this field.
- More functions are affected by decisions made at lower level. Thus, organizations (discussing in terms of administrative decentralization) which allow only operational decisions to be made at separate branches are less decentralized than those which also permit financial and personnel decisions at branch level.
- There is less checking required on the decision. Decentralization is greater when no check at all is to be made; less when superiors have to be informed of the decision after it has been made; still less if superiors have to be consulted before the decision is made. The fewer people to be consulted, and the lower they are on the managerial hierarchy, the greater the degree of decentralization.
- Ernest Dale has further identified the following characteristics as mark of decentralization in a large corporation.
- The administrative unit that usually covers the company organization as a whole as all its plants are broken down into smaller administrative units either on a geographical or product basis. For instance, Indian Railways have been broken down into administrative units on a geographical basis.

- Provision is made for effective utilization of a centralized staff of specialists to aid the decentralized operations.
- The chief executive may be provided a series of general staff.
- Control system is designed in such a way so as to ensure that chief executive can see how well the delegated authority and responsibility are exercised.

## **5.6 TYPES OF DECENTRALIZATION**

Types of decentralization include political, economic, administrative, and fiscal, decentralization. Drawing distinctions between these various concepts is useful for highlighting the many dimensions to successful decentralization and the need for coordination among them:

### **1. Political or Democratic Decentralization**

Political decentralization transfers policy and legislative powers from central governments to autonomous, lower-level assemblies, and local councils that have been democratically elected by their constituencies. To be effective, it requires regular elections, clearly defined jurisdictions and powers, and the appropriate legal, political and functional space. It involves the transfer of administrative, fiscal, and political power through the citizens or their elected representatives. It gives citizens, or their representatives, more influence in the formulation and implementation of policies through democratization. This concept implies that the selection of representatives from local electoral jurisdictions that allows citizens to know better their political representatives. Example: Free election to vote the representative of the country.

### **2. Administrative Decentralization**

Administrative decentralization places planning and implementation responsibilities in the hands of locally situated civil servants and these local civil servants under the jurisdiction of elected local governments. To be effective, it requires ability to make independent staffing decisions and ability to negotiate conditions of service (though the center may retain a useful role in training). It seeks to redistribute authority, responsibility and financial resources among different levels of government. It has four forms:

#### **Deconcentration**

- It is the weakest and inexpensive form of decentralization used frequently in unitary states
- Here different levels of central government redistributes authority, financial and management responsibilities

- It uses administrative means to function properly. Thus, it is also called as administrative decentralization
- This form of decentralization is mostly seen in developing countries

### **Delegation**

- It is more extensive form of decentralization with semi-autonomous units.
- Delegation is the transfer of managerial responsibility.
- Through delegation central governments transfer responsibility for decision-making and administration to semi-autonomous organizations not wholly controlled by the central government, but ultimately accountable to it
- It is common form of decentralization which involves delegation of authorities and responsibilities.

### **Devolution**

- It is an administrative type of decentralization and has the most common understanding of decentralization
- Here the lower level units are legally constituted as separate governance bodies. Such transfer of authority are considered as devolution
- Quasi-autonomous units of local government with corporate status has authority for decision-making, finance, and management
- It is usually transferred to municipalities that elect their own mayors and councils, raise their own revenues, and have independent authority to make investment decisions.
- Privatization
- Privatization refers to the transfer of ownership from the government institutions to the private firms/institutions.
- Privatization is the transfer of governmental function to private ownership.

## **3. Fiscal Decentralization**

Fiscal decentralization accords substantial revenue and expenditure autonomy to local governments, including the power to levy taxes and user charges. To be effective, it requires linking pleasure of spending with pain of revenue generation, increasing revenue autonomy, building capacity to analyze data for budget decisions and establishing proper fiduciary controls. Financial responsibility is a core component of decentralization. Adequate revenues are

necessary to carry out decentralized functions. Thus it is either raised or transferred through the central government.

Fiscal decentralization takes many forms:

- User charges for self-financing or cost recovery
- Co-financing or co-production arrangements through which the users participate in providing services and infrastructure through monetary or labor contributions
- Local revenues are expanded through property or sales taxes, or indirect charges
- General revenues from taxes that are collected by the central government are shifted to local governments for general or specific uses
- Municipal borrowing authorization and loan guarantees for mobilization of either national or local government resources.

#### **4. Economic or Market Decentralization**

- It is the most complete forms of decentralization from a government's perspective
- It includes privatization and deregulation
- Responsibility for functions is shifted from the public to the private sector
- It allows functions that had been primarily or exclusively the responsibility of government to be carried out by businesses, community groups, cooperatives, private voluntary associations, and other non-government organizations
- Example: Electricity or broadcasting provided by various and competing companies.

### **5.7 ADVANTAGES AND DISADVANTAGES OF DECENTRALIZATION**

#### **Advantages of Decentralization**

- Local delivery is speedier – centralised bureaucracies are slimmed down or even eliminated.
- Revenues are raised in ways that suit local circumstances and encourage local prosperity.
- Economic development is fostered when infrastructure and other support mechanisms are planned in a way that meets local circumstances.
- Local control of policy is more popular than remote central control. It reinvigorates citizens' support for the political system.
- Local leaders are more accountable than national leaders, and transparency is greater. This enhances representative governance.
- Engagement is improved, with local leaders better able to consult and collaborate with citizens, and improved access for those citizens to decision takers.

- New people are brought into the government process, whether as elected or appointed officials. They bring new thinking and innovation.
- The development of local leaders provides a resource for national leadership.
- Minorities and diversity are more easily recognised. This helps diffuse autonomist or secessionist tendencies.
- Burden-sharing helps the nation's governance – there is less work for central Governments and Parliaments, who are better able to concentrate on their national duties.

### **Disadvantages of Decentralization**

- There is a short-term danger of overlap, confusion, ambiguity and high transaction costs during the implementation of decentralization – this can cause longer term disillusionment with the process.
- Poor quality among local leaders or local officials can lead to incompetent delivery of services.
- This in turn can lead to disillusionment among citizens, not just about decentralization but about the wider system of government and its responsiveness to their needs.
- In any case, weak levels of understanding of the decentralized system result in weak levels of engagement and therefore disenchantment.
- Efficiencies of scale can be lost, leading to increased costs.
- The loss of central control may result in a fall in cross-national standards and problems for national policy coordination.
- Resistance to the redistributive function of the State may be increased, with richer regions being unwilling to subsidise poorer regions.
- Central institutions may be undermined, and respect for them may diminish.
- Bickering and blame sharing between different levels of government may grow.
- Pressure for secession from some regions may grow.
- Decentralized structures may be “captured” by local elites with the potential for corruption, patronage and nepotism that this brings.

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## **5.8 SUMMARY**

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A discussion on different organizational patterns under democratic decentralization leads us to a few broad conclusions. These conclusions can be used as guidelines in devising or improvising the organizational structures for development. The following parameters are suggested to judge the effectiveness and suitability of an administrative structure for rural development.

One of the most important parameters in institutional arrangement in the modern times is to build the system on the foundations of decentralized power. A report by one of U.N. agencies stated that “It is generally recognized that too great a concentration of problems upon the central guidance cluster causes delay, increases costs, reduces efficiency, limits initiative, discourages innovation and causes the cluster itself to become a bottle-neck in the process of development.” Further, overcentralisation leaves the various government units, without the authority that is necessary for efficiency and innovation. Eventually, a centralized form of administration must move more and more towards decentralization and delegation of authority.

The discussion on various aspects to decentralization suggests that the decentralization of power should be more political than administrative. The transfer of authority to the lower levels of administrative units cannot be considered as real decentralization of power. Such decentralization might facilitate flexibility and quick decision-making but cannot qualitatively alter the nature of a system nor can ensure public participation. This should inevitably ensure supremacy of political institutions over administrative institutions. This leads to another vital question namely what attitude the national elite in power adopts towards decentralization. The political elite who are committed to decentralization alone would part with their power and create a participative system in which the energies and talents of the people can be harnessed for the developmental purposes. However, the experience of the developing countries indicates that decentralization of power is possible in a system which is stable and led by an ideologically committed leadership.

In addition, the decision-making centres should be very close to the people. This can be achieved only through well-organised local institutions located close to the people. It can be proposed here that the nearer the organization is to the people, the more is the effectiveness of the organization to tackle the problems. All the developmental efforts should be concentrated on a unit which is accessible to all the people. This type of arrangement would not only avoid multiple contact points but help them in understanding the development process. This would also add to their political awareness which is an important variable for development.

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## 5.9 KEY TERMS

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***Decentralization:*** Transfer of planning, decision-making or administrative authority from the central governments to its field organizations, local administrative units, semiautonomous organizations, local governments and nongovernmental organizations.

**Democratic Decentralization:** It is an extension of the democratic principle aims at widening the area of the people's participation, authority and autonomy through devolution of powers to people's representative organizations from the top level to the lowest levels in three dimensions of political decision-making, financial control and administrative management. It stands for people's right to initiate their own projects for local well-being and the power to execute and operate them in an autonomous manner.

**Administrative:** The right to freedom of implementing projects. It involves the right of the administrative personnel particularly at the lower levels to do associate planning for administrative efficiency.

**Democratic Centralism:** It seeks to combine democracy with centralism. It is centripetal. There is transfer of authority to the extent of complete surrender and concentration to the top levels from the popular levels.

**Equitable distribution:** When benefits of economic growth are distributed among region and various group in an impartial manner.

**Heterogeneous:** Composed of diverse elements such as in India, existence of groups based on caste, language, religion etc.

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## 5.10 SELF ASSESSMENT QUESTION

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1. What is meant by decentralization?
2. Why is decentralization necessary?
3. What is meant by political decentralization?
4. What is meant by administrative decentralization?
5. "People's participation is the hallmark of democratic decentralization." Explain.
6. Highlight the demerits of decentralization.
7. Highlight the features of decentralization.
8. What is the significance for decentralization?

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## 5.11 REFERENCE

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## **UNIT-6: DECENTRALIZATION: MAJOR APPROACHES TO DECENTRALIZATION**

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### **Structure**

- 6.1 Objectives
- 6.2 Introduction
- 6.3 Meaning of Decentralization
- 6.4 Approaches to Decentralization
- 6.5 Summary
- 6.6 Key Terms
- 6.7 Self-Assessment Questions
- 6.8 References

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### **6.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Know about the concept of Decentralization
- Analyze the various Approaches to Decentralization

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### **6.2 INTRODUCTION**

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Decentralization is increasingly recognized internationally as essential for good governance. Done well, it leads to greater participation, greater efficiency and greater diversity. Local empowerment is thus a fundamental building block of a successful representative political system.

Decentralization denotes dispersal of authority among a number of individual or unit; it implies the establishment of relatively autonomous field and regional offices and delegations of decision-making powers and functions to them. The inherent implication of decentralization is that conditions and circumstances and needs and aspirations of people vary in different areas. Therefore, it requires decentralized administrative system which could cater to needs and aspirations of people of area specific. Scholars defined the term decentralization in different and an account of some of those definition is given in the para given below. According to Allen,

“decentralization refers to the systematic effort to delegate to the lowest levels all authority except that which can only be exercised at central points.”

Decentralization is different from delegation. Delegation means entrusting part of one’s work to others. This principle favoured for skill producing and confidence creating attributes. The subordinates who are asked to do the work delegated to them gain experience through this method. Decentralization, on the other hand, is much broader concept. It is “transfer of planning, decision making or administrative authority from the central government to its field organizations, local administrations units, semi-autonomous and local governments or NGOs”

### **6.3 MEANING OF DECENTRALIZATION**

Two types of change in governmental organization are sometimes wrongly described as decentralization. The first simply involves moving government offices away from the capital city or other prosperous areas to the less wealthy parts of the country. That helps spread prosperity and may be highly desirable – certainly in the many countries of the world where too much wealth is concentrated in the capital city. But it is not decentralization. The second is a transfer of responsibility for delivery of services from central government to local government but without central government relinquishing effective control over the way local government delivers those services. This may be desirable in improving efficiency of service delivery. Again it is not true decentralization. True decentralization requires a shift in power. It means central government giving up power, and the decentralized authorities gaining power. These decentralized authorities then have real responsibility, and real local accountability, for the services that they control. It is a fundamental change in the way a nation State is governed.

L.D. White defined the decentralization as the process of transfer of administrative power from a higher to a lower level of organization.

Koontz and Wehrich defined it as “Decentralization is the tendency to disperse decision making authority in an organized structure. It is fundamental aspect of delegation; to the extent the authority is not delegated, it is centralized”. The essence of Decentralization is delegation of power.

Henry Fayol states that “everything that goes to increase the role of subordinate is decentralization and everything that goes to reduce it is centralization”.

Decentralization is a twin process of *deconcentration* and *devolution*. In deconcentration, a superior officer lessens his workload by delegating some of his functions to his subordinate so that administration functions efficiently and effectively. Devolution, which also implies dispersal of authority, is a process

wherein power is transferred from one organ of government to another by means of legislations or constitution.

According to Mohit Bhattacharya, Contemporary thinking on decentralization can be looked at from three angles. First, it is thought of as a means to spiritual enrichment and growth of individual, both as a worker and citizen. Decentralization offers opportunity to participate in decision making. For an individual, it is an aid to the growth and development of personality.

Secondly decentralization has instrumental value as a means to improving organizational performance. Organizational functions can be better performed through decentralized decision making centre which provides the access to local information and data and creates the conditions for local popular support to administrative action and thus enhances its efficiency. Thirdly, the current thinking, very importantly, reflects a paradigmatic shift in public Administration. The bureaucratic model which has so long dominated the field seems inadequate to explain the contemporary Politico-administrative situations, centralization of authority and bureaucratic way of decision making are its essential features. However, latest thinking on decentralization veers around power equalization and participation. Organization theory and political science, which did not meet very often in the past, have now almost come together in explaining the concept of decentralization concertedly.

Decentralization can be defined as the organizational structure. In such a structure, the top management of a firm entrusts the middle and lower-level management with the responsibility to take decisions pertaining to the firm's daily operations.

To elaborate, they are responsible for planning, crafting suitable strategies and taking necessary decisions to boost the proficiency at each level and in turn, optimizing the overall productivity of the company.

Owing to its numerous benefits and positive influence on the company's performance, business owners tend to prioritize the structure of power delegation. Resultantly, they can make the most of the time and opportunity to focus on the major concerns of their business and also to plan its expansion.

In the era of globalisation, where the entire world is connected and turned into a small village, decentralisation is a development process facilitating development ideas that are pro-poor, pro- nature and protects the regional characteristics in the development process. This process will help in bringing out the voice of the depressed, poorest of the poor and make decisions that are democratic and also help in the representation of the local communities in the decision making process.

#### **6.4 APPROACHES TO DECENTRALIZATION**

Different approaches to the concept have been defined in different ways by Fesler. Following classification, the approaches can be grouped into four categories; the doctrinal, the political, the administrative and the dual role.

The doctrinal approach seeks to transform decentralization as an end in itself through a process of romantic idealization. The Gandhian concept of concentric circle of power distribution and the idealization of village community in *Panchayat Raj* have reduced decentralization almost to a dogma and as an article of faith. Instead of treating decentralization as a means to the achievement of some end values, such idealization tends to elevate it to the status of a hardened doctrine.

The political approach underscores the essentially political character of decentralization. Initiatives to decentralize, and willingness to pass on powers and functions to decentralize units, and to allow these units to actually operate within a framework of autonomy, are politically determined. Creation of field units of government, away from central headquarters, exemplify, deconcentration. Decentralization in the shape of devolution to local self-government bodies marks an attempt to set up autonomous governments at the level of the locality. Field units of government like district administration are the long arms of the central government. To create and maintain local government is thus a major political commitment. In the absence of such commitment, devolution to sub-national government, including self-governing bodies, will remain more in law than in practice. This leads to what Fesler has called “illusory decentralization”. Both Panchayat Raj and municipal government in Indian represent to a considerable extent this sort of façade devolution.

The administrative approach to decentralization is motivated by efficiency criterion. Enhancement of administrative rationality becomes necessary. When field administrative units are set up through a process of deconcentration, the measure is considered appropriate for field level decision making and prompt problem solving. In this process, administrative units might come up at many levels between the locality and the central headquarters. With more and more demand for specialized functions, multiplicity of functional departments would appear at the field level. The administrative situation gradually presents a picture of polarization between general area-based administrative demands and specific function centered claims of particular functional departments. Currently, district administration in India is faced with this problem of area function duality. Decentralization in administrative terms may not therefore always guarantee clarity of authority and orderliness of operations. To promote such operational principles, conscious attempts are

needed to readjust from time to time the conflicting claims of area and functions in de-concentrated field administration.

Finally, the dual role approach, as Fesler puts it, is a kind a rehearsal of the area function dichotomy in a new setting. Decentralization is placed within a larger context of development and change, as distinguished from maintenance of *status quo*. Conceived in administrative terms, the dual-role approach seeks to highlight the conflict in field administration between tradition and change. Most field administrative systems were evolved in an earlier era mainly to maintain the established order, to collect revenue and to keep things from going wrong. Almost all the developing countries that have inherited the colonial field system are seeking to bring about speedy social and economic change. The functions of field administration have changed radically as a consequence. To quote Fesler, *“The intent is to change established ways to doing things so as to carry economic and social development forward rapidly. This differs with the status quo orientation of a field system geared to maintenance of the established order and may conflict with the personal orientation to field generalists so chosen and trained as to identify themselves with the classes, families, and other groups who constitute the establishment.”*

Resolution of conflict between two different orientations in field administration calls for adaptation of decentralization to changing circumstances. The theme is not unfamiliar to Indian administration in general and to district administration in particular.

In Political science and Public Administration decentralization has been discussed basically from the view point of arrangement of Government. James W. Fasler has grouped the different approaches to decentralization into four categories. These are: the doctrinal, the political, the administrative and the dual role.

### **Doctrinal approach**

Doctrine Approach seeks to treat decentralization as an end in itself instead of treating it as a means to achieve organizational efficiency and effectiveness. This approach lays stress on the empowerment of local community – the city, town, or village. In India, the Panchayati Raj supposedly embodies an ancient tradition of local autonomy. The essence of this approach is people empowerment by granting them decision making and functional authority. Thus, this approach instead of treating decentralization as a means to the achievement of some end– values, considers it as an end in itself.

### **Political Approach**

Political Approach believes that decentralization occurs in a political setting. The will to create decentralized units and granting them necessary authority for their autonomous functioning is politically decided. Decentralization in the shape of devolution to local self-governing bodies is an attempt to set upon autonomous government at the level of locality. To create and maintain local government is, thus, a major political commitment. In the absence of such commitment, it will merely remain in law than in

actual practice. Fesler pointed out “illusory decentralization. For example, in India although devolution of power to local bodies have been granted formally but these bodies are not given funds, functions and functionaries essential to operate as an autonomous institution and are strongly controlled or influenced by respective state Governments.

### **Administrative Approach**

Administrative Approach is based on the principle of efficiency and effectiveness. When field administrative units are set- up through a process of decentralization, the measure is suitable for field level decision making and for redressal of grievances. In this process, many administrative units might come up between the local administration and the Central Headquarters. With more and more demand for specialized functions in view of growing complexity of administration, a number of functional departments would appear at the field level. The administration faces a problem of general area based administrative demands and specific function centered claims of particular functional departments. Currently, district administration in India is faced with these problems of area function duality. To resolve this problem and to promote such operational principles conscious attempts are needed to re-adjust from time-to-time conflicting claims of area and function in deconcentrated field administration.

### **Dual Role Approach**

The dual approach seeks to highlight the conflict in field administration between tradition and change. The basic conflict, according to Fesler, is between the traditional function of maintenance of law and order, and advancement of socio - economic development. Most field administration system developed in an era when the basic purpose of administration was to maintain status quo. The main function of administration was to maintain law and order and collection of revenue. However, the changed concept of welfare state requires rapid socio- economic development. It demands cooperation and participation of people in administration and delegation of function by field generalist to their subordinates and increased coordination among different administrative units. Thus, there is urgent need to change the system into decentralized, participative and innovative one. There has been a radical change in the functions of field administration. To quote Fesler, "The intent is to change established ways of doing things so as to carry economic and social. Development forward rapidly. This contrasts with the status quo orientation of a field system geared to maintenance of the established order and may conflict with the personal orientation of field generalists so chosen and trained as to identify themselves with the classes, families, and other groups who constitute the 'establishment'."

The resolution of conflict between two different orientations in the field administration calls for adaptations of decentralization to changing circumstances. The four approaches of W. Fasler address

different issues and challenges in the realization of decentralization. The doctrinal approach treats decentralization as an end in itself. The political approach highlights political character of decentralization. The administrative approach is based on efficiency, effectiveness and rationality. Finally, the reorientation of roles from status quo to change orientation is the crux of dual role approach.

### **Bottom-up Approach to Decentralization**

Decentralisation and institutionalised participation have tended to occupy different conceptual spheres in development theory. This paper seeks to redress this by exploring the possibility of a 'bottom-up' approach to decentralisation. In examining whether decentralisation strategies can be a means to enhance people's participation in development, the author takes both a theoretical and a practical approach. Firstly, some of the theoretical issues of decentralisation, participation local institution building is explored. Subsequently, a unique example of people- centred development, the People's Planning Campaign in Kerala, South India, is provided. It is concluded that both theories of decentralisation need to be expanded and that theoretical considerations need to be moderated by practical concerns.

### **Approaches to Decentralization in Developing Countries**

How can decentralisation in its various forms be achieved without compromising expenditure control or accountability for achieving performance? Decentralisation in developing countries is viewed as a critical mechanism for aligning public expenditures with local priorities, for improving management incentives and for improving accountability to users close to the point of service delivery. However, many governments have been reluctant to decentralise for fear that it would lead to loss of expenditure control. This paper from the MEFMI/DFID workshop on Good Practice in Public Expenditure Management reviews the literature on this issue particularly in the contexts of aid and decentralisation. The example of Ethiopia is used to illustrate the practical issues arising when decentralisation is implemented.

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## **6.5 SUMMARY**

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The process of decentralising powers to the lower levels of governance had been going on since the pre-Independence days. The motives, assumptions and political-administrative compulsions have, however, differed from age to age. Since Independence, India has been experimenting with decentralisation and development. The establishment of Panchayati Raj institutions, on the recommendations of the Balwant Rai Mehta Committee (1957), was a landmark in the history of decentralised development. For a variety of reasons, the Panchayati Raj institutions could not play the desired role and in most states the institutions languished for want of political production and administrative and financial support. Reports of commissions and committees and many research studies have pointed out the danger of continued neglect

of the grassroots institutions, both for the health of Indian democracy and for bringing about meaningful local development with active popular participation. The Constitutional amendments - 73rd (for Panchayati Raj) and 74' (for Municipal Bodies) - have since been enacted, granting Constitutional status to local government. The 'decentralisation debate' has assumed considerable significance in recent times for various reasons as discussed in this Unit. There is the need to deepen democracy. People at the grass roots level need to be "empowered". And, above all, participatory development is possible, and becomes a reality only with decentralisation. In this Unit all-attempt was made to discuss the approaches, types of decentralisation, evolution of the system of decentralisation in India. It also highlighted the recent trends, and functioning of institutions of decentralisation in India and factors impeding decentralisation.

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## 6.6 KEY TERMS

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**Democratic Centralism:** It seeks to combine democracy with centralism. It is centripetal. There is transfer of authority to the extent of complete surrender and concentration to the top levels from the popular levels.

**Equitable distribution:** When benefits of economic growth are distributed among region and various group in an impartial manner.

**Heterogeneous:** Composed of diverse elements such as in India, existence of groups based on caste, language, religion etc.

**Top down communication:** When there is communication from the top level to the down level.

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## 6.7 SELF ASSESSMENT QUESTION

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1. Define Decentralization. Discuss Various Approaches to Decentralization.
2. Examine the relative Advantages and Disadvantages of Decentralization.
3. Discuss the factors Impeding Decentralization.

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## UNIT-7: RURAL LOCAL SELF GOVERNANCE

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### Structure

- 7.1 Objectives
- 7.2 Introduction
- 7.3 Concept of democratic decentralization
- 7.4 Evolution of Rural Local Self Government in India
- 7.5 Impact of the Meheta Committee Recommendation
- 7.6 B. R. Meheta three tire Panchayat Raj System
- 7.7 Panchayat Raj, the 73th constitutional amendment act and Biju Pattanaik
- 7.8 Summary
- 7.9 Key Terms
- 7.10 Self-Assessment Questions
- 7.11 References

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### 7.1 OBJECTIVE

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After going through the subject contents of this Unit you will be able to Know

- Explain the historical background of local self-government in India
- Describe the evolution of *Panchayati Raj* in India

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### 7.2 INTRODUCTION

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Local government in India falls mainly under two categories: rural self-government and urban self-government. Local in rural areas is enabled by the Panchayat system of governance involving Panchayati Raj Institutions (PRIs). There are about 3 million elected representatives in Panchayati Raj Institutions (PRIs), about one third of them women, and there are more than 640,000 village panchayats, about 6000 intermediate bodies and 500 district level bodies. Panchayats cover about 99.6% of India's rural population. The powers and functions of PRIs vary from state to state. The Panchayat system exists in all states except Nagaland, Meghalaya and Mizoram. Panchayat system is provided for all states having a population more than 2 million. Function of the panchayat include, planning and implementation of schemes for economic development and social justice relating to the 29 subjects in the indicative list.

Decentralization has been major instrument for the extension of the democratic process at the grass root level and to involve the local communities in decision making in matters concerning their basic civic and other needs. Right from the beginning in 19<sup>th</sup> century the local-self- government institutions (*panchayats* and municipalities) in rural and urban areas have remained the main instruments of democratic decentralization in India. The panchayat in rural India and municipalities in urban India are defined in the constitution as institutions of local-self- government. The popular saying '*panch-pradhan*' of from the ancient times connotes that the panchayat had deep roots in the Indian culture. After the 73<sup>rd</sup> Amendment to the Indian Constitution, *Panchayati Raj* system has come to occupy a pivotal place in the Indian democratic system. With this land mark amendment, the local governments have become the third-tier in federal system after the union and the states. However even after more than a decade of passing of the historic constitutional amendment of 1992, the local governments have not been made effective in many states. Their function varies from state to state and in many States, devolution of functions, functionaries and funds to the local government has not taken place as envisaged in Part-IX and IXA of the Constitution. On the other hand, considerable progress has been made in the member states of European Union in effective decentralization of powers and functions to the communities at the local level. In fact, unlike in India there are no separate local level institutions are regional and area based covering both – urban and rural communities.

### **7.3 CONCEPT OF LOCAL SELF-GOVERNMENT**

Local government is that part of the state government in federal countries, dealing mainly with local affairs, administered by authorities, subordinate to the state government. The local authorities may be elected independently of the state authority by qualified residents. Alternatively, they may consist of partly elected and partly nominated or wholly nominated members. Normally, the state government has no jurisdiction within the local area in respect of matters administered by the local authority. Thus, the local authority derives its power from a portion of the same electorate from which the state authority derives its powers. However, the local authorities are the creatures of the state legislature. They cannot do many things without the explicit sanction of the state government.

### **7.4 EVOLUTION OF PANCHAYATS IN INDIA**

In 1936, Odisha was declared a Separate Province. The Orissa Gram Panchayats Act, which was passed in 1948 following Independence. It was a significant step in the decentralization process. Anchal Sasan was established during Sri Naba Krushna Choudhury's tenure as chief minister, and Anchal Fund was established in

accordance with the Orissa Estates Abolition Act of 1951. Villagers play a visible role in the operation of systems related to public health, education, agriculture, cottage industries, etc., the Anchal Sasan Act (1955) sought to grant full authority to Anchal. It's a local authority that was at a higher level than the Gram Panchayat. The Anchal Sasan was designed to be a body corporate having fund raising out of land revenue, Fees, tolls, Cesses and taxes. Besides provision for education fund was made to finance educational programmes of Sasan. The institutions of Anchal Sabha and Anchal Adhikari were made and it had its own cadre of officers to be paid out of Anchal Fund. Because the Anchal Sasan Act was not put into effect, Odisha was not able to play a leading role in the democratic decentralization process before the Balwantrao Mehta Committee.

Gram Panchayats' futures were in the hands of Departments in the 1950s and the early 1960s. It was governed by the Board of Revenue and the Revenue Department until 1956. In order to allow an I.A.S cadre official to become Director of Panchayats in the rank of Joint Secretary and later revealed to the status of Additional Secretary, the post of Superintendent of Panchayat was abolished. The Board of Revenue was given auditing authority in place of the Registrar. The Panchayats came under the Department of Agriculture and Community Development in 1956 and then moved to the Political and Services Department which was under the Chief Minister. In December, 1959 it was placed under the Department of Planning and Coordination with a Secretary to head the Department.

The recommendations of the Balwantrao Mehta Committee led to the Panchayat Raj Scheme's initial adoption in Rajasthan on October 2, 1959. The Committee was established in 1956 to examine the operation of the Community Development programs and recommend fixes for any flaws. The Committee is otherwise known as committee on Democratic Decentralization.

The Mehta Committee submitted its report in 1957 and came to a conclusion that "We will never be able to evoke local interest and excite local initiative in the field of development unless we create representative and democratic institutions and invest them with adequate power and appropriate finances". The Committee's definition of "democratic decentralization" was expanded to include more people's involvement in local development. It suggested giving local units of government more authority instead of the federal government and the states.

It also recommended for three-tier system of rural administration, namely, the Gram Panchayats at the base (i.e. at the village level), the Zilla Parishad at the top (i.e. in the district level), and the Panchayat Samiti in the middle (i.e. at the Block level). This system is popularly known as Panchayati Raj. As written earlier, Rajasthan was the first State in India which adopted this new scheme on 2<sup>nd</sup> October, 1959. Odisha worked out this scheme

on the 26<sup>th</sup> January, 1961. Almost all the States in India adopted this system. Thus, the recommendation of the Mehta Committee brought about a political and social revolution in rural India.

### **7.5 IMPACT OF THE MEHETA COMMITTEE RECOMMENDATION**

The State implemented the Mehta committee suggestions. Acts for the Zilla Parishad and Panchayat Samiti were passed. A new Department of Community Development and Panchayati Raj was established in July 1962 under the leadership of the newly appointed, Chief Minister Shri Bijayananda Patnaik. Its jurisdiction included the Panchayats, Samitis, Parishads, and erstwhile District Boards. After being divided, the Panchayati Raj Commissioner, who also in charge of Community Development, was given control of the Panchayati Raj. Additionally, two director positions from the IAS cadre were created. After that, the Secretary continued as the head of the Departments and the position of Commissioner was eliminated.

Thus, the three-tier Panchayati Raj system introduced in Odisha that took few years to get stabilized.

### **7.6 B.R. METHA'S THREE-TIER PANCHAYAT RAJ SYSTEM**

#### **Gram Panchayat**

The village ward members who constituted the Panchayat are led by the Sarpanch. The members are elected by the voters of the Village. In addition, there is a provision for two women and one member of each Scheduled Caste and Scheduled Tribe, should nominated if they not have sufficient representation. There a provision of Naib-Sarpanch to assist the sarpanch. Panchayt secretary is there to carry out the decision of the Gram panchayat. The Panchayat is responsible to the Gram Sabha, which is the collective body of the villages.

Maintenance of roads, wells, schools, cremation and burial grounds, sanitary conditions, public health, street lighting, libraries, reading rooms, and community centers are among the Village Panchayat's primary responsibilities. Additionally, the Panchayat maintains record of births and deaths. It takes the required steps to promote cottage industries, cooperative societies, agriculture, and animal husbandry, among other things. The village Panchayat can also arbitrate small conflicts between local residents.

#### **Panchayat Samiti the Block Level Bodies:**

The block serves as the middle layer in the three-tier scheme and is where development activity is concentrated. There is no consistence regarding the composition of panchayat samiti in different states. It consists of Ex-

Officio, associate, and co-opted members. The Panchayat Samiti is made up of: (a) roughly 20 members chosen by all the Panchayats in the Block; (b) two female members, one member from the S.C. and one from the S.T. to be nominated; if they are not adequately represented. The sarpanchs of the panchayat is the Ex-Officio members. The MLA and MP are also members. A Chairman chosen by the Samiti's members leads the Panchayat Samiti. The B.D.O. will serve as Executive Officers for the Samiti and will be in charge of all operations.

The Chairman would be given executive control over the Samiti, and it will be his responsibility to have the Executive Officer of the Samiti carry out the decision of the Samiti. The Chairman of the Samiti is responsible for calling the meeting of the Samiti, chairing it, and having the authority to oversee and inspect all work done by the Samiti. The non-official member of the Samiti will elect the vice chairman from among them.

### **Functions:**

Planning, carrying out, and supervising the Block's development plans, schemes, and projects pertaining to community development.

Management oversight and the expansion of elementary education inside the Block.

Supervisory authority over the Gram Panchayats within the Block shall be exercised in accordance with the manner and at the degree provided by law.

Managing any trusts, endowments, or other institutions that may be entrusted to them by any currently in effect law or by the government.

Monitoring the application of the legislation governing vaccinations and the registration of births and deaths.

The Gram Panchayats' budgets must be submitted to the Samiti, for approval.

### **Zilla Parishad**

In three-tier systems, the Zilla Parishad sits at the top and is regarded as the state's highest developmental organization. From State to State, the Zilla Parishad is structured differently. The members of zilla parishad varied between forty to sixty. Nevertheless, it is composed of the elected members known as member zilla parishad from the different zone of the district. The MLAs and MPs and the chairperson of the urban local body of the district are ex-officio members. The district's medical officers, District Collectors, veterinary, agricultural, educational, engineering, public works, and public health officers, among others. Being a developmental organization, its primary duty is to supervise within its domains. In some states, it approves Panchayat Samitis

budgets and offers the government the necessary guidance about the execution of programs and construction projects. In addition, it deals with the upkeep of elementary education, hospitals, dispensaries, and other facilities.

### **7.7 PANCHAYATI RAJ SYSTEM AFTER 73<sup>RD</sup> AMENDMENT**

Panchayats have been the backbone of the Indian villages since the beginning of recorded history. In 1946, Gandhi had aptly remarked that the Indian independence must begin at the bottom and every village ought to be a Republic or a Panchayat with powers. His dream got translated into reality with the introduction of the three-tier Panchayati Raj system to ensure people's participation in rural reconstruction.

The passage of the Constitution (73<sup>rd</sup> Amendment) Act, 1992 (or simply the Panchayati Raj Act) marks a new era in the federal democratic set up of the country. It provided the much needed constitutional sanction to the Panchayati Raj Institutions (PRIs) for functioning as an organic and

integral part of the nation's democratic process. It came into force with effect from April 24, 1993 and did not apply to the Schedule V areas of the nine states, Schedule VI Areas of the North-East

and the District of Darjeeling in West Bengal as well as J&K.

The 73<sup>rd</sup> constitutional amendment bill has introduced in Parliament in September 1991 for strengthening the PRIs in the country. The bill passed as 73<sup>rd</sup> Constitutional Amendment Act, 1992 by the Parliament that notified by the central government through official Gazette on April 20, 1993 as it got ratification by the state legislatures and assented by the President of India. After notification, the PRIs now have constitutional legitimacy. The 73<sup>rd</sup> Constitutional Amendment Act, inserted part IX into the Constitution and added new articles from 243 to 243-0 (16 Articles) dealing with the PRIs. The main provisions and features of 73<sup>rd</sup> Amendment Act are as follows:

The Panchayati Raj Act was needed in order to streamline the functioning of the PRIs, which were marked by long delays in holding of Panchayat elections, frequent suspension / super session / dissolution of the Panchayat bodies, lack of functional and financial autonomy, inadequate representation of marginalized and weaker sections and meager, occasional and tied Government grants. This crippled the functioning of Panchayats and did not allow them to function as institutions of local Self-Government as had been envisaged in the Constitution.

#### **Features of 73<sup>rd</sup> Amendment of the Constitution**

The Act has five main features:

A 3-tier system of Panchayati Raj for all States having population of over 20 lakh;

Panchayat elections regularly every 5 years;

Reservation of seats for Scheduled Castes, Scheduled Tribes and women (not less than one-third of seats);

Appointment of State Finance Commission to make recommendations as regards the financial powers of the Panchayats and

Constitution of District Planning Committees to prepare development plans for the district as a whole.

Thus, the Panchayats have been endowed with such powers and authority as may be necessary to function as institutions of self-government and social justice. Providing real functional autonomy at the village level is at the core of the amendment Act.

### **Achievements**

As a result of the enactment of the Act, 2,32,278 *Panchayats* at village level; 6,022 Panchayats at intermediate level and 535 Panchayats at district level have been constituted in the country. These Panchayats are being manned by about 29.2 lakh elected representatives of Panchayats at all levels. This is the broadest representative base that exists in any country of the world – developed or under-developed.

### **STRUCTURE OF THE PANCHAYATS**

In spite of the fact that the essential structure of the PRIs is indistinguishable over the conditions of India, it is portrayed by means of various classifications in various states. Panchayats in each state has its own attributes and even race strategies to these establishments are at fluctuation from area to area.

A District Panchayat or *Zilla Parishad* is established for every region. Every district has one *Zilla Parishad*. Likewise Block Panchayats or Panchayat Samitis are established for the said area.

A Block might have a few towns under its jurisdiction; on the other hand Gram Panchayats are not inexorably end with every town. Contingent upon the measure of populace (in actuality, number of voters) a *Gram* is characterized under the law with a particular geological zone, which might comprise of a solitary town or a group of connecting towns.

***Panchayati Raj* Institute has the following bodies under it:**

## **Zilla Panchayat**

Every Panchayat under a *Zilla Parishad* chooses one/two/three individuals directly (contingent upon number of voters inside of it). Presidents of all the Block Panchayats are likewise ex-officio individuals from the *Zilla Parishad*. In a few expresses the Member of Legislative Assembly (MLA) and Member of Parliament (MP) of the local body electorate are additionally ex-officio individuals.

## **Block Panchayat or Panchayat Samiti**

Every Gram Panchayat under a Block Panchayat chooses one/two/three individuals specifically to the Block Panchayat. Gram Pradhans are ex-officio individuals from the Block Panchayats.

## **Gram Panchayat**

A Gram as characterized under the Act (which means a town or a bunch of towns) is separated into at least five voting demographics (again relying upon the quantity of voters the Gram is having). From each of these voting demographics one part is chosen. Body of these chose individuals is known as the Gram Panchayat. Size of the Gram Panchayats fluctuates generally from state to state. In states like West Bengal, Kerala and so on a Gram Panchayat as around 20000 individuals on an average, while in numerous different states it is around 3000 as it were.

## **Gram Sabha**

In a large portion of the states, every voting public of the individuals from the Gram Panchayat is known as the *Gram Sabha* and every one of the voters of the same body electorate are individuals from this body. In any case, in a few expresses this is called Ward Sabha/Palli Sabha and so on. In West Bengal it is called *Gram Sansad* (town parliament). *Gram Sabha* in West Bengal has an alternate importance. Here every one of the voters of the Gram Panchayat overall constitute the *Gram Sabha*.

Under the Constitution there can be just three levels of the Panchayat. The *Gram Sabha* is not a level of the *Panchayati Raj* framework. It doesn't have any official capacity and works as a suggesting body as it were.

*Gram Sabhas* hold gatherings ordinarily 2 to 4 times each year; however they can meet as and when important. In a few states dates of these gatherings are altered (Madhya Pradesh, Gujarat and so on) while in others dates are settled by the Gram Panchayats. Issues to be talked about in the gatherings can be far reaching yet the crucial motivation ought to include: Annual Action Plan and Budget, Annual Accounts and Annual report of the GP, choice of recipients for various social administration programs (*Pradhan Mantri*

*Awas Yojana*, various Pension Schemes to name a few), recognizable proof of plans for planning of Annual Plan for advancement programs (e.g. MGNREGA) of Gram Panchayat, thought of the Audit reports, investigations of Gram Panchayat's execution and so forth.

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## 7.8 SUMMARY

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The concept of local self-government is known to Indian since ancient times. During the Vedic age, there existed village assemblies known as 'Sabha' and 'Samiti'. Gradually cities and Towns came into prominence. They also enjoyed greater level of autonomy in administration as witnessed during the Mauryan and Gupta period. The system of local self- government in its modern sense was revived during the British period. In a democratic country power is decentralized and shared at different levels. Apart from the Central and State Government, the administration at the local level is handled by the local government in urban as well as rural areas. The local Self-Government ensures effective people's participation and ensures overall development. These small units of government enable people to feel a sense of responsibility and understand values of democracy. In India the Local Self-government is broadly classified into two categories that is Rural and Urban. The Urban local bodies include Municipal Corporations, Municipal Councils and Nagar Panchayat. The rural local bodies in corporate Zilla Parishad, Panchayat Samiti and Gram Panchayat.

The concept of *panchayati raj* is not a recent one in India. There have been traces wherein the said system has been found working effectively in administration of the small units of the countries, like the villages. This concept has been acknowledged by various Constitutional framers and keeping in mind the Constituent Assembly's intent in mind, this has been given a Constitutional status under Part IX by the virtue of the Seventy Third Amendment. Even after two decades of the working of the *panchayati raj* in India constitutionally, there have been various issues in its effective functioning.

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## 7.9 KEY TERMS

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**Local government:** Local government is the system of electing representatives to be responsible for the administration of public services and facilities in a particular area.

**Panchayati Raj:** Panchayati Raj is the basic unit of administration in a system of governance. The Constitutional (73<sup>rd</sup> Amendment) Act 1992 came into force in India on 24 April 1993 to provide constitutional status to the Panchayati Raj institutions.

**Chola dynasty:** The Chola dynasty was one of the longest-ruling dynasties in the history of southern India. The earliest datable references to this Tamil dynasty are in inscriptions from the 3rd century BCE left by Ashoka, of the Maurya Empire (Ashoka Major Rock Edict No.13).

**Zila Panchayat:** The zila parishad is the top tier of the raj panchayat system and represents an entire district. They work directly with the state government, but they are not part of the state government.

**Gram Panchayat:** A gram panchayat is the only grassroots-level of *panchayati raj* formalised local self-governance system in India at the village or small-town level, and has a sarpanch as its elected head.

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## 7.10 SELF ASSESSMENT QUESTION

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1. What are the functions and responsibilities of urban local bodies?
2. Highlight the features of City Council.
3. Write a short note on PESA Act, 1996.
4. What are Gram Panchayat and Gram Sabha?
5. Explain the salient features of the Constitutional (74<sup>th</sup> Amendment) Act 1992 with regard to ULBs.

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## 7.11 REFERENCE

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## **UNIT-8: URBAN LOCAL SELF GOVERNANCE**

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### **Structure**

- 8.1 Objectives
- 8.2 Introduction
- 8.3 Evolution of urban Government
- 8.4 Concept and Need ULG
- 8.5 Impact of 74th Constitutional Amendment
- 8.6 Type of Urban Governance in India
- 8.7 Summary
- 8.8 Key Terms
- 8.9 Self-Assessment Questions
- 8.10 References

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### **8.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- The Evolution of urban Government
- The Concept and Need ULB
- The impact of 74<sup>th</sup> constitutional amendment
- The types of urban local government

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### **8.2 INTRODUCTION**

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Only a small portion of the democratic decentralization philosophy has been put into effect throughout the years. It is acknowledged that India's development attempts did not take equity and the plight of the poor into consideration. Therefore, it is necessary to focus development efforts on the underprivileged and those at the base of the problem. Significant steps toward decentralized governance in India have been made with the 73rd and 74th Constitutional Amendment Acts. In contrast to the 74th Constitutional Amendment Act, which refers to reforming urban local bodies, the 73rd Constitutional Amendment Act relates to reforming

rural local bodies. Both urban and rural local bodies now enjoy constitutional recognition as a result of these amendments.

### **8.3 EVOLUTION OF URBAN GOVERNANCE IN INDIA**

In India, municipal government was first established in 1687 with the formation of the Madras Municipal Corporation. In the years that followed, in 1726, the Calcutta Municipal Corporation and the Bombay Municipal Corporation were established. The Improvements in Towns Act, which was passed by the Government of India in 1850 and created a system of councils with administrative authority, was responsible for this. The system of city municipalities was subsequently established by Lord Mayo's Resolution of 1870, which also called for the appointment of an elected president to serve as its head. The foundation and organization of municipal government in India were established by Lord Ripon's Resolution of Local Self-Government in 1882. It established a two-tier system of government in order to decentralize functions and boost governance effectiveness. The Government of India Act of 1919, which was based on the 1918 Montague-Chelmsford Report, established the "Dyarchy" system, in which the power-sharing arrangements between the state and local organizations varied but followed the same organizational pattern. Municipal Councils became elected bodies by the District Municipalities Act of 1920, which also gave them the authority to create their own budgets. The Government of India Act of 1935 gave the state or provincial government greater control over local governance and brought it under their jurisdiction.

### **8.4 CONCEPT AND NEED OF URBAN GOVERNANCE**

Urban governance is formed from the idea of governance in regard to urban regions to represent how the many public service delivery constituents are organized to improve the welfare of inhabitant. How well the institutions adhere to the values of sustainability, decentralization, efficiency, equity, participation, transparency, accountability, civic engagement and citizenship, and security can only be evaluated relative to one another and to some extent subjectively. In order to guarantee service delivery, it is necessary to strengthen these parts of city management on a regular basis. This is seen to be doable by employing tactics of capacity building, involvement, and enabling.

The definition and procedure of urban or city government are essentially those that apply to governance in general, i.e., the idea that a large number of actors are involved in the city governance process is key to the concept of city governance. However, efforts to improve governance may arise not only as a result of urbanization pressures but also from growing financial constraints and fragmented responsibilities. As a

result, many cities are now realizing that only a collaborative effort can improve a city and its competitiveness, allowing the cities to find the beneficial loops.

In this context, city governance refers to a network of systems of governance rather than government, in which all sectors (public, private, and other social organizations) and geographies (cities, regional, and national) participate in the making of decisions in order to create an effective and efficiently managed city as well as to promote the city on a global scale. This viewpoint has significant consequences for city strategists, planners, business owners, and real estate investors since, once adopted, it involves all of them in a complicated and interconnected decision-making process that can influence and alter the destiny of their city. In fact, this knowledge is causing the formation of new networks that provide new forums for discussion and debate on how to improve city governance and what resources are necessary to do it.

### **8.5 IMPACT OF 74<sup>th</sup> CONSTITUTIONAL AMENDMENT ACT**

The 1992 Act provided for the Twelfth Schedule which listed the functions of urban local bodies, along with their planning, regulation and development powers. It made provision for ward committees in areas exceeding 300,000 and the specification of the powers and responsibilities of municipal units and the ward committees. There is a requirement made therein for the holding of timely periodical elections and for the reconstitution of a municipal government within six months. Sources of municipal finance and their periodic review by a statutorily constituted State Finance Commission were also provided by the Act, which also made it obligatory for the Central Finance Commission to recommend steps to support state resources for the assistance of municipal governments. The Act also provided for reservation of one-third of the seats for women and scheduled castes in municipal bodies. State Governments were to adopt the 74th Constitutional Amendment Act with reference to their respective municipal bodies to affect its purpose within their jurisdictions.

#### **Role of Panchayati Raj Institutions and Urban Local Bodies in 73<sup>rd</sup> and 74<sup>th</sup> Amendment Act**

In order to impart certainty, continuity and strength to the Panchayat Raj Institutions (PRIs) and Urban Local Bodies (ULBs), the 73<sup>rd</sup> and 74<sup>th</sup> Amendments have come into force in 1993. These amendments of the Constitution of India provided for empowerment of Panchayats and Nagarapalikas by way of reserving 33% seats for women; and for the citizens belonging to the Scheduled Castes and the Scheduled Tribes in proportion to their population. Articles 243G & 243W and 11th & 2 Schedules of the Constitution indicate the subjects to be devolved to the *Panchayats* and *Nagarapalikas* respectively. While the Eleventh Schedule

of Constitution deals with evolution of functions to different tiers of Panchayats in respect to twenty nine subjects including education — primary and secondary schools, Article 243W of the Constitution of India, specifies the powers, authority and responsibilities with respect to Municipalities. The 18 major functions to be performed by Municipalities are mentioned in Article 243 W of the Constitution of India.

### **Salient Features of the Constitutional (74<sup>th</sup> Amendment) Act, 1992**

Salient features of the Constitutional (74<sup>th</sup> Amendment) Act, 1992 with regard to ULBs are summarised as below:

- **Continuity:** Constitution Amendment Act (CAA) has ensured continuity of the municipalities with five years duration for an elected municipality and re-election of municipalities before the expiry of the five-year term or within six months of their dissolution.
- **Three-tier System:** A uniform structure of three tiers i.e., municipal corporations for large urban areas, municipal councils for small urban areas and *nagar panchayats* for transitional areas has been provided. The constitution and composition of the municipalities have been left to the wisdom of the state, subject to all seats being filled by elected persons from the respective municipal constituencies.
- **Reservation of Seats:** In every municipality, reservation of seats for the Scheduled Castes/Scheduled Tribes (SCS/STs) has been provided in the CAA on the basis of proportional representation. Such seats may be allotted by rotation to different constituencies in a municipality and not less than one-third of the seats so reserved are further reserved for woman belonging to the SCs/STs. And also, not less than one-third of the total number of seats in a municipality is reserved for women and such seats may be allotted by rotation by different constituencies in a municipality.
- **Power, Authority and Functions:** The CAA has provided for states to endow municipal powers and authority to enable them to function as institutions of self-governance. The municipal functions envisaged under Article 243W are of development nature. The performance of functions and implementation of schemes including those in relation to matters delegated through the Twelfth Schedule may be entrusted to the ULBs.
- **Constitution of Ward Committees:** The CAA makes it mandatory to constitute ward committees in municipalities with a population of over 3 lakh with representation of women, SCs/STs and citizens' groups. The major objective of constituting the ward committees is to bring governance closer to the people and enhance their participation in local affairs including those listed in the Twelfth Schedule.

- **Constitution of District Planning Committees:** The CAA provides for the constitution of the DPCs with representation of elected local representatives to effect spatial and economic development by integrating rural and urban plans at the district level.
- **State Finance Commission:** The CAA mandates the constitution of a State Finance Commission (SFC) every five years to strengthen the financial domain of the ULBs. The Commission reviews the financial position of the urban bodies, their revenue and capital account requirements, recommends devolution of taxes, charges, fees, toll, duties, shared revenues, inter-government transfer and grants from the state to the municipalities and suggests measures for the mobilization of municipal resources.
- **State Election Commission:** The CAA provides for the constitution of a State Election Commission (SEC) every five-year to regulate municipal elections. It is a progressive step towards ensuring democratic process at the local level. The SEC has a mandate to oversee, direct and control the preparation of electoral rolls and conduct elections of municipalities. The SEC will also ensure that elections to municipalities dissolved by the state government are held within six months.

## URBAN LOCAL BODIES

The urban population of India has increased in recent years at rapid rates. In 1961 about 79 million persons lived in urban areas of the country; by 1991, their number had increased to over 217 million, registering an increase of over 250 per cent in the last three decades. Almost all population projections indicate that India will enter the 21<sup>st</sup> century with an urban population of about 300 million, which will further increase to over 400 million in the year 2011 and 553 million in the year 2021. The trends of urbanization in India are presented in Table 5.1. The municipal governance in India was first introduced in Madras in 1688. The Madras Municipal Corporation was the first municipal body in the Commonwealth outside the UK. The Bombay and Calcutta Corporations were established in 1726.

Census Year	Total population (in million)	Urban Population (million)	Percentage of Urban Population to total population	Decadal Urban Growth Rate(%)	Annual Compound Growth Rate	
					Total	Urban
1951	361.08	62.44	17.29	-	-	-
1961	439.23	78.93	17.97	26.41	1.98	2.37
1971	548.15	109.11	19.91	38.24	2.24	3.29
1981	683.32	159.46	23.34	46.15	2.23	3.87
1991	846.30	217.61	25.71	36.47	2.16	3.16
2001	1048.15	296.97	28.33	36.47	2.16	3.16
2011*	1298.15	405.26	31.22	36.47	2.16	3.16
2021*	1607.77	553.04	34.40	36.47	2.16	3.16

**Source:** NIUA Urban Statistics-Handbook 2000, National Institute of Urban Affairs, New Delhi, January

The urban local bodies look after the affairs of the development of urban areas. According to Census of India, 1991, there were 3255 Urban Local Bodies (ULBs) in the country; classified into four major categories of municipal corporations, municipalities (municipal council, municipal board, municipal committee), town area committee and notified area committees. The municipal corporations and municipalities were fully representative bodies, while the notified area committees and town committees were either fully or partially nominated bodies.

Based on the 74<sup>th</sup> Constitution Amendment Act, there are now only three types of ULBs:

(i) Municipal Corporation (*Nagar Nigam*) (ii) Municipality (*Nagar Palika*) (iii) City Council (Nagar Panchayat). According to the Act, there needs to be a City Council for areas in transition from rural to urban, a Municipality for small urban areas and a Municipal Corporation for large urban areas. The functions and powers of ULBs vary from state to state. Now, there are three kinds of Urban Local Bodies in India

(i) Municipal Corporation (ii) Municipal Councils and

(iii) Nagar Panchayats, demarcated on the basis of population, revenue generation, area and economic importance as follows:

- ***Municipal Corporation:*** For a larger urban area with a population exceeding 50,000 and generating annual revenue exceeding ` 2 crores for the local administration and which has been declared to be a municipal area.
- ***Municipal Council:*** For a smaller urban area (urban) with population exceeding 5000 and generating annual revenue exceeding ` 20 lakh for local administration.
- ***Nagar Panchayat:*** For a Transitional Area with a population exceeding 2,000 and generating the revenue of ` 5,00,000 for local administration.

Most states have amended their municipal laws in conformity with the Constitution Amendment Act (CAA). However, variations are found in the definition of small and large urban areas, as well as in transitional areas. States like Tamil Nadu has used the income criteria, some using only population, and others sing additional criteria such as density and percentage of non-agricultural employment. The amended Municipal Act of Andhra Pradesh provide for all three types of municipal bodies, viz.; Nagar Panchayats;

Municipalities and Municipal Corporations. In addition to population criteria, the Andhra Act also follows density of population, percentage of employment in non-agricultural activities, etc.

## **8.6 URBAN LOCAL BODIES: TYPES AND FUNCTIONS**

The first municipal mechanism created during British rule was the Municipal Corporation introduced in Madras (Chennai today) in 1688, which was followed by municipal corporations in Bombay (Mumbai today) and Calcutta (Kolkata today) by 1762. Subsequently, Lord Mayo's

Resolution of 1870 called for the introduction of an elected President in the municipalities. The current form and structure of municipal bodies is based on Lord Ripon's Resolution on local self-

government adopted in 1882. Since then the structure of municipal bodies has essentially remained the same, even though the urban areas multiplied along with their increasingly complex problems.

Statutory provision for creating a municipal unit was available in two forms. First, by statute that provides for the establishment of a municipal authority, as for instance in the form taken in the case of the Bombay Municipal Corporation Act in 1888, the City of Nagpur Corporation Act of 1948 and the Delhi Municipal Corporation Act of 1957. The other route was through statutory provision empowering State Government creation. The Bombay Provincial Municipal Corporations Act of 1949 and the Gujarat Municipalities Act of 1964 are both examples of the latter. Generally, these statutes confer significant control and supervisory powers on the state government. In this context, it can be said they were creation of state government.

Municipal election provisions in different states were not uniform. In some, arrangements for election are made by the state government; while in others Municipal Commissioners (executive officers) make the arrangements. Prior to the passage of the 1992 Act, urban local government was defined generally by the Municipal Corporations, Municipal Councils, Town Area Committees and Notified Area Committees. In this context, the structure and composition of municipalities varied considerably, with wide differences in definition and structure between states. Hence, the 1992 Act attempted to instill some uniformity in the constitution of the municipal bodies by classifying them as Municipal Corporations for large urban areas, Municipal Councils for smaller urban areas and what are termed Nagar Panchayats, suburban government bodies.

Municipal governments in India have been in existence for many years. The first municipal corporation was created by a Royal Charter in Madras in 1688. In the present form and structure, the municipal bodies owe their existence to what is known as the Lord Ripon's Resolution adopted on May 18, 1882. According to

Census of India, 1991, there are 3255 urban local bodies (ULBs) in the country, classified into four major categories of municipal corporations. Municipalities (municipal council, municipal board, municipal committee), town area committee and notified area committees. The municipal corporations and municipalities are fully representative bodies, while the notified area committees and town area committees are either fully or partially nominated bodies. As per the Constitution (74<sup>th</sup>) Amendment Act of 1992 (CAA), the latter two categories of towns are to be designated as municipalities or Nagar Panchayats with elected bodies. Until the amendments in state municipal legislations, which were mostly made in 1994, municipal authorities were organized on the basis of the 'ultra virus' principle and the state governments were free to extend or control the functional sphere through executive decisions without an amendment to the legislative provisions.

### **Municipal Corporation (Nagar Nigam)**

This model is also known as the Commissioner system taking its name from the role of the city administrator who is generally a state-appointed officer. In such a system, the Mayor in the Municipal Corporation is usually chosen through indirect election by the councillors from among themselves for a term of one year, which is renewable. The Mayor generally lacks executive authority. This is due to the British roots of the system that remain from the time when the administrator was the representative of the colonial power, not to the fact that it operates under a council-manager whereby the executive would be accountable to the elected representatives. In this context, the indirect election of the Mayor combined with his short one-year tenure renders the role little more than that of a figurehead. Councillors act by committee, the most powerful being the Standing Committee with its role of the steering committee exercising executive, supervisory, financial and personnel powers. It is composed of elected members varying in number between seven and sixteen through a system of proportional representation of councillors.

The executive arm of the corporation is the Municipal Commissioner, who is the Chief Executive Officer and head of the executive arm of the Municipal Corporation. All executive powers are vested in the Municipal Commissioner.

Although the Municipal Corporation is the legislative body that lays down policies for the governance of the city, it is the Commissioner who is responsible for the execution of the policies.

The Commissioner is appointed for a fixed term as defined by state statute. The Commissioner's term in office can be extended or reduced. The powers of the Commissioner are those provided by statute and those

delegated by the Corporation or the Standing Committee. This is the closest that India has come to the council-manager system, with the critical difference of accountability of the manager to the elected government, and the fact that the power of the unelected executive arm of government is thus taking its favour.

Municipal Corporations are established in cities with population greater than 1 million. The Municipal Corporations function under the provisions of the Corporation Act 1835, the Corporations are elected directly by the people. Elected members serve a term of 5 years. Municipal Corporations provide necessary community services such as health care, educational centres etc. It also interacts directly with the state governments; the head of the Corporation is the Mayor. The principal executive officer is the Municipal Commissioner (an IAS officer). The sources of income of Municipal Corporation are from (i) taxes on property, water, markets, entertainment. (ii) taxes on vehicles, and (iii) grants from the state government.

### **Functions of the Municipal Corporations**

The important functions of the municipal corporations are planning and management, providing health services, establishment of primary health centres and primary schools, supply of drinking water, sanitation, and construction/repair of roads, street lighting, establishment of cooperative societies, and establishment of youth organizations, water management and waste disposal, social services, social welfare, technical training, poverty alleviation and electrification, providing fire records of birth and death.

### **Municipality Nagar Palika**

Some of the important features of municipality are as follows:

- A municipality administers an urban area of population 2,00,000 or less
- Municipalities interact with the state government through the Directorate of Municipalities or the District Collector
- Members of Municipalities are elected for a period of five years
- The head of the Municipality is the President elected by and from the members
- The state government also appoints a Chief Officer and other officers such as Health Inspector, Sanitation Inspector, etc. to assist the President
- Their sources of income and functions are similar to that of Municipal Corporations

### **City Council (Nagar Panchayat)**

Some of the features of City Council are as follows:

- City Council administer urban areas having population greater than 30,000 and less than 100,000
- However, as an exception, all previous Town Area Committees (more than 5000 less than 20,000) have been reclassified as City Councils
- City Councils have a Chairman and ward members
- Ward members included elected members (minimum 10) and nominated members (minimum 3)

## **FUNCTIONS OF URBAN LOCAL BODIES**

18 functions and responsibilities ensured to the ULBs under the 12<sup>th</sup> Schedule of the Constitution are as follows:

- Urban Planning including town planning Urban Development Authority
- Regulation of land use and construction of buildings.
- Planning for economic and social development
- Roads and Bridges
- Water supply for domestic, industrial and commercial purposes
- Public health, sanitation conservancy and solid waste management
- Fire Services
- Urban forestry, protection of the environment and promotion of ecological aspects
- Safeguarding the interests of weaker sections of society, including the handicapped and mentally retarded
- Slum improvement and up gradation
- Urban poverty alleviation
- Provision of urban amenities and facilities such as parks, gardens and playgrounds
- Promotion of cultural, educational and aesthetic aspects
- Burials and burial grounds, cremations, cremation grounds and electric crematoriums
- Cattle ponds and preventions of cruelty to animals
- Vital statistics including registration of births and deaths
- Public amenities including street lighting, parking lots, bus stops and public convenience
- Regulation of slaughterhouses and tanneries

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## 8.7 SUMMARY

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73<sup>rd</sup> and 74<sup>th</sup> Constitutional Amendments were passed by Parliament in December, 1992. Through these amendments local self-governance was introduced in rural and urban India. The Acts came into force as the Constitution (73<sup>rd</sup> Amendment) Act, 1992 on April 24, 1993 and the Constitution (74<sup>th</sup> Amendment) Act, 1992 on June 1, 1993. These amendments added two new parts to the Constitution, namely, 73<sup>rd</sup> Amendment added Part IX titled “The Panchayats” and 74<sup>th</sup> Amendment added Part IXA titled “The Municipalities”. The Local bodies–‘Panchayats’ and ‘Municipalities’ came under Part IX and IXA of the Constitution after 43 years of India becoming a republic.

virtue of the Seventy Third Amendment. Even after two decades of the working of the *panchayati raj* in India constitutionally, there have been various issues in its effective functioning.

The panchayat in rural India and municipalities in urban India are defined in the constitution as institutions of local-self-government. The popular saying of ‘*panch-pardhan*’ from the ancient times connotes that the panchayat had deep roots in the Indian culture, after the 73<sup>rd</sup> Amendment to the Indian Constitution; Panchayat Raj System has come to occupy a pivotal place in the Indian democratic system. With this landmark amendment, the local governments have become the third-tier in federal system after the union and the states. Village-level democracy became a real prospect for India in 1992 with the 73<sup>rd</sup> amendment to the Constitution, which mandated that resources, responsibility and decision-making be devolved from central government to the lowest unit of the governance, the Gram Sabha or the Village Assembly. A three-tier structure of local self-government was envisaged under this amendment. Based on the 74<sup>th</sup> Constitution Amendment Act, there are now only three types of ULBs:

- Municipal Corporation (Nagar Nigam)
- Municipality (Nagar Palika)
- City Council (Nagar Panchayat). The functions and powers of ULBs vary from state to state

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## 8.8 KEY TERMS

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**Urban Local Bodies:** Urban local bodies come under municipalities. Urban local bodies mean towns, cities, metropolitan areas. Urban local bodies’ governance has 3 tier structure; i.e. Municipal corporation, Municipal councils and Nagar panchayats.

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## 8.9 SELF ASSESSMENT QUESTION

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1. Describe the types of urban local bodies in India after 74<sup>th</sup> Constitutional Amendment.
2. Discuss the functions of Municipal Corporation (Nagar Nigam).
3. Discuss the role of Panchayati Raj Institutions and Urban Local Bodies in 73<sup>rd</sup> and 74<sup>th</sup> Amendment Act.
4. Discuss the issues in implementation of the Panchayati Raj Act.
5. Describe Panchayati Raj System during British Period.

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## 8.10 REFERENCE

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## **UNIT-9: CONCEPT AND SIGNIFINACE OF BUDGET**

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### **Structure**

- 9.1 Objectives
- 9.2 Introduction
- 9.3 Meaning of Budget
- 9.4 Objectives of Government Budget
- 9.5 Basic Types of Budgets
- 9.6 Components of Budget
- 9.7 Functions of budget
- 9.8 Principles of budgeting
- 9.9 Budgetary system in India
- 9.10 Summary
- 9.11 Key Terms
- 9.12 Self-Assessment Questions
- 9.13 References

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### **9.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Understand the meaning, characteristics, significance and functions of budget
- Explain the components, types and approaches of budget
- Describe the principles of budgeting

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### **9.2 INTRODUCTION**

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A single item of public expenditure or that of public revenue cannot be judged in isolation. Whereas public expenditure is designed to promote welfare, the taxes impose costs on the tax payers. The welfare and costs, utility and disutility of government financial transactions, need to be balanced. The demands for expenditure have to be balanced against the available resources. A budget is, therefore, a financial plan for rationing scarce resources amongst various demands for expenditure. Over the last few decades, however, budgets have become extremely complex and pervasive. According to Gladstone, “they are no longer affairs

of arithmetic but in a thousand ways go to the root of prosperity of individuals, the relations of classes and strength of kingdoms”. Thus the concerns of budget makers are not just financial, that is, producing a balance between expenditure and revenues; rather these are economic, political, social and administrative in nature.

### **9.3 MEANING OF BUDGET**

The word ‘budget’ has been borrowed from the English word "Bowgette" which traces its origin from the French word “Bougette”. Word “Bougette” has arrived from the word, ‘Bouge’ which means a leather bag. Planning process of assessing revenue and expenditure is termed as Budget. In simple words, budget is an estimate of income and expenditure for a definite duration. In economics, budget is a systematic list of revenue and expenditure or we can say it’s a plan for the

income and expenditure. In micro economics, budget is an important idea under which commodities and their business is classified.

Budget is an estimate of income and expenditure for a set period of time in India's case it is of a year. It is the detailed implementation plan of the fiscal policy of the State in hard figures and facts and activities to be pursued for executing and implementing the same for socio-economic development of a country by the executive. It is defined as a series of goals with price tags attached. Where a line item is detailed and a price/cost is mentioned next to it.

A budget is a statement containing a forecast of revenues and expenditures for a period of time, usually a year it is a comprehensive plan of action designed to achieve the policy objectives set by the government for the coming year. A budget is a plan and a budget document is a reflection of what the government expects to do in future. While any plan need not be a budget, a budget has to be necessarily a plan. It shows detailed allocation of resources and proposed taxation or other measures for their realisation. More specifically, a budget contains information about:

- Plans, programmes, projects, schemes and activities—current as well as new proposals for the coming year;
- Resource position and income from different sources, including tax and non-tax revenues;
- Actual receipts and expenditure for the previous year; and

Economic, statistical and accounting data regarding financial and physical performance of the various agencies and organs of the government.

The process of budgets fulfills important functions in the economy of the nation. They act as a means to carry out several objectives of the public organization. Some of the important roles of budget in the national economy are:

- Prioritization of the allocation of the public resources
- Achieving policy goals through prudent financial planning
- Establishing accountability regarding the usage of the tax payers money
- Financial controls also ensure compliance to rules and increase in efficiency

A budget is, however, not a balance sheet (exhibiting total assets and liabilities) of the government on a particular date but refers only to information explained above. It is a financial blueprint for action and is, therefore, of great advantage to government departments, legislatures and citizens.

According to Talyer, "*Budget is a financial plan of government for a definite period*".

According to Rene Stourm, "*A budget is a document containing a preliminary approved plan of public revenues and expenditure.*"

Budget is most important information document of the government. One part of the government's budget is similar to company's annual report. This part presents the overall picture of the financial performance of the government. The second part of the budget presents government's financial plans for the period up to its next budget.

Under Article 112 of the Indian Constitution, a statement of estimated receipts and expenditure of the government of Indian has to be laid before parliament in respect of every financial year which runs from 1<sup>st</sup> April to 31<sup>st</sup> March. This annual financial statement is titled as the budget of the central government.

The Government performs two important functions by making budget every year:

- The Government estimates the expected expenditures for developmental works in different sectors of the economy e.g. Industry, Manufacturing, Education, Health, Transport, etc.
- To meet the expenditures for the coming financial year, the Government tries to work out the sources of revenue (i.e. by imposing new taxes or increasing or decreasing the previous rates of taxations, or to remove or impose subsidy on any commodity).
- In other words, the Governments decide about the expenditure to be incurred on which commodities primarily and how the money is going to be arranged for these expenditures. The details of such

income and expenditures statements are known as 'Budget'. Each budget is made for a specified duration.

#### 9.4 OBJECTIVES OF GOVERNMENT BUDGET

1. **Economic Growth** – A country's overall economic growth depends on savings and investment. Therefore, budgetary policies are put in place to provide adequate resources to various public sectors. The government is taking steps to increase the rate of savings and investments made in the economy.
2. **Resource reallocation** – Through the budget, the government tries to distribute resources and wealth equitably. They encouraged small industries like “Khadi” to thrive by allowing preferential loans and tax breaks on raw materials needed for production. Governments can
3. also impose heavy taxes on the production of harmful products such as cigarettes and alcohol to discourage their production.
4. **Income redistribution** – To narrow the income gap between the rich and the poor, several budget plans are introduced by the government. Financial instruments such as subsidies, taxes, etc. Used effectively to achieve this goal.
5. **Financial stability** – The budget mainly focuses on reducing price fluctuations in the market. Policies such as deficit budgets during deflationary periods and surplus budgets during inflationary periods have been successful in bringing stability in the economy.
6. **Reduce economic inequality** – The government strives to bring economic equality to society. They do this by imposing taxes on the wealthy sections of society and spending them for the welfare of the economically weaker section of the community.
7. **Financing public enterprises** – Some public industries were established for the social welfare of the public. The annual budget provides financial support for these businesses to grow. This goal organically strengthens the economic structure of a country.
8. **Address regional disparities** – One of the main goals of the government budget is to reduce social inequality. They achieved this by setting up manufacturing facilities in the economically weaker section of the society and also by producing goods and delivering them directly.

#### 9.5 BASIC TYPES OF BUDGETS

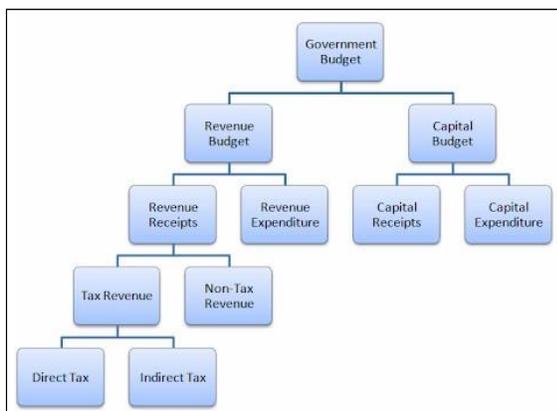
Primarily the budget is divided into 3 types.

1. **Balanced Budget-** Government's budget is assumed to be balanced where anticipated expenditure is equal to the expected recipients in a financial year. It brings economic stability in a country by cutting down wasteful expenses. This can be expressed symbolically like,  $\text{Balanced Budget} = (\text{Assumed collected revenues} = \text{Assumed expenditure})$
2. **Surplus Budget-** A surplus budget occurs when the estimated revenues exceed the expected expenditure. In this case, imposed taxes surpass the expenses. It means that the Government is taking more money under its control which leads to fall in prices.
3. **Deficit Budget-** A budget is in deficit if the expenditure of the government is higher than that revenue generated in a fiscal year. Symbolically,  $\text{Deficit budget} = \text{estimated expenditure} > \text{estimated revenues}$ .
4. **Revenue Budget:** The Revenue Budget includes government revenues and expenditures. There are two types of revenue: tax revenue and non-tax revenue. Revenue expenditure is the cost incurred for the day-to-day operations of the government and for various services provided to the people. If revenue expenditure exceeds revenue, the government will have a revenue shortfall.
5. **Capital Budget:** The Capital Budget includes the government's capital receipts and payments. Loans from the public, foreign governments and the RBI constitute a significant portion of the government's capital inflows. Capital costs are the costs of developing machinery, equipment, factories, medical facilities, education, etc. A budget deficit occurs when total government spending exceeds total revenue.
6. **Zero Based Budget (ZBB):** The basic purpose of ZBB is phasing out of programmes/ activities, which do not have relevance anymore. ZBB is done to overhaul the functioning of the government departments and PSUs so that productivity can be increased and wastage can be minimized. Scarce government resources can be deployed efficiently. Therefore, Zero Based Budgeting is followed for rationalization of expenditure. The concept of zero-based budgeting was introduced in the 1970s. As the name suggests, in the process every budgeting cycle starts from scratch. Unlike the earlier systems, where only incremental changes were made in the allocation, under zero-based budgeting every activity is evaluated each time a budget is made and only if it is established that the activity is necessary, funds are allocated to it.
7. There are two primary reasons for adopting this type of Budget in India.
8. The continuous revenue deficit in the budget of the country.
9. Poor implementation of the Performance Budget.

10. In the zero-based budget, neither expenses incurred during the previous financial years are not considered nor the expenditure of last financial year used for the coming years.
11. Under Zero based budgets, every activity is decided based on Zero basis i.e. the previous expenditures are not considered. This budget is also known as ‘Sun Set Budget’ which means the finance department has to present the zero based budget before the end of the financial year.
12. Peter Pyre is known as the father of ‘Zero Based Budgeting’ who presented this sort of budget in 1970. This system of budgeting was first used in the Georgia State of USA by its Governor Jimmy Carter. Later in 1979, The National Budget of America adopted this strategy.
13. In India, the Zero Based Budgeting was introduced by the mainstream Research organization, Council of Scientific and Industrial Research and the Central Government adopted the same in 1987-88.

## 9.6 COMPONENTS OF BUDGET

The main components or parts of budget are explained below



1. **Revenue Budget:** The Revenue Budget shows the current receipts of the government and the expenditure that can be met from these receipts. This financial statement includes the revenue receipts of the government i.e. revenue collected by way of taxes and other receipts. It also contains the items of expenditure met from such revenue.
  - a. **Revenue Receipts:** These are the incomes which are received by the government from all sources in its ordinary course of governance. These receipts do not create a liability or lead to a reduction in assets. Revenue receipts are further classified as tax revenue and non-tax revenue.

**i. Tax Revenue:** Tax revenue consists of the income received from different taxes and other duties levied by the government. It is a major source of public revenue. Every citizen, by law is bound to pay them and non-payment is punishable. Taxes are of two types, viz., Direct Taxes and Indirect Taxes.

Direct taxes are those taxes which have to be paid by the person on whom they are levied. Its burden cannot be shifted to someone else. e.g. Income tax, property tax, corporation tax, estate duty, etc. are direct taxes. There is no direct benefit to the tax payer.

Indirect taxes are those taxes which are levied on commodities and services and affect the income of a person through their consumption expenditure. Here the burden can be shifted to some other person, e.g., Custom duties, sales tax, services tax, excise duties, etc. are indirect taxes.

**ii. Non-Tax Revenue:** Apart from taxes, governments also receive revenue from other non-tax sources. The non-tax sources of public revenue are as follows:

**Fees:** The government provides variety of services for which fees have to be paid  
e.g. fees paid for registration of property, births, deaths, etc.

**Fines and penalties:** Fines and penalties are imposed by the government for not following (violating) the rules and regulations.

**Profits from public sector enterprises:** Many enterprises are owned and managed by the government. The profits received from them is an important source of non-tax revenue. For example, in India, the Indian Railways, Oil and Natural Gas Commission, Air India, Indian Airlines, etc. are owned by the Government of India. The profit generated by them is a source of revenue to the government.

**Gifts and grants:** Gifts and grants are received by the government when there are natural calamities like earthquake, floods, famines, etc. Citizens of the country, foreign governments and international organisations like the UNICEF, UNESCO, etc. donate during times of natural calamities.

**Special assessment duty:** It is a type of levy imposed by the government on the people for getting some special benefit. For example, in a particular locality, if roads are improved, property prices will rise. The property owners in that locality will benefit due to the appreciation in the value of property. Therefore the government imposes a levy on them which is known as special assessment duties.

**b. Revenue Expenditure:** Revenue expenditure is the expenditure incurred for the routine, usual and

normal day to day running of government departments and provision of various services to citizens. It consists of all those expenditures of the government which do not result in creation of physical or financial assets. It relates to those expenses incurred for the normal functioning of the government departments and various services, interest payments on debt incurred by the government, and grants given to state governments and other parties (even though some of the grants may be meant for creation of assets).

It includes both development and non-development expenditure of the Central government. Usually expenditures that do not result in the creations of assets are considered revenue expenditure. In general revenue expenditure includes following:

- Expenditure by the government on consumption of goods and services.
- Expenditure on agricultural and industrial development, scientific research, education, health and social services.
- Expenditure on defence and civil administration.
- Expenditure on exports and external affairs.
- Grants given to State governments even if some of them may be used for creation of assets.
- Payment of interest on loans taken in the previous year.
- Expenditure on subsidies.

2. **Capital Budget:** The capital budget is an account of the assets as well as liabilities of the central government, which takes into consideration changes in capital. It consists of capital receipts and capital expenditure of the government. This shows the capital requirements of the government and the pattern of their financing. This part of the budget includes receipts and expenditure on capital account projected for the next financial year. Capital budget consists of capital receipts and capital expenditure.

a. **Capital Receipts:** Receipts which create a liability or result in a reduction in assets are called capital receipts. They are obtained by the government by raising funds through borrowings, recovery of loans and disposing of assets.

The main items of capital receipts (income) are:

- Loans raised by the government from the public through the sale of bonds and securities. They are called market loans.
- Borrowings by government from RBI and other financial institutions through the sale of Treasury bills.

- Loans and aids received from foreign countries and other international Organisations like International Monetary Fund (IMF), World Bank, etc.
- Receipts from small saving schemes like the National saving scheme, Providentfund, etc.
- Recoveries of loans granted to state and union territory governments and other parties.

**b. Capital Expenditure:** Any projected expenditure which is incurred for creating asset with a long life is capital expenditure. This includes expenditure on the acquisition of land, building, machinery, equipment, investment in shares, and loans and advances by the central government to state and union territory governments, PSUs and other parties. Capital expenditure is also categorized as plan and non-plan in the budget documents. Plan capital expenditure, like its revenue counterpart, relates to central plan and central assistance for state and union territory plans. Non-plan capital expenditure covers various general, social and economic services provided by the government. Thus, expenditure on land, machines, equipment, irrigation projects, oil exploration and expenditure by way of investment in long term physical or financial assets are capital expenditure.

## 9.7 FUNCTIONS OF BUDGET

A budget is a powerful instrument in the hands of government. It has manifold objectives. Some of these are as follows:

1. **Accountability:** In the early phase, legislative control and accountability were the primary functions of the government budget. This arose from the legislature's desire to control (impose, amend and approve) tax proposals and spending. The executive was accountable to the legislature for spending within limits approved by the latter, under several heads of expenditure and only for approved purposes. Similar accountability was to exist within the executive on the part of each subordinate authority to the one immediately above in the hierarchy of delegation. Accountability continues to be an important function of the government budget even today owing to its usefulness in budget execution and plan implementation.
2. **Management:** Budgeting is an executive or managerial function. As an effective tool of management, budgeting involves planning, coordination, control, evaluation, reporting and review. Many of the budgetary innovations such as:
  - Functional classification
  - Performance measurement through norms and standards
  - Accounting classification to correspond to functional classification

- Costing and performance audit and use of quantitative techniques have become important aids to management. Various budgetary systems like performance budgeting and zero base budgeting are specifically management-oriented systems.

3. **Control:** Control essentially implies a hierarchy of responsibility, embracing the entire range of executive agencies, for the money collected and expenditure within the framework of overall accountability to the legislature. In a democracy, control assumes new dimensions and gives rise to exceedingly difficult problems. The basic concern in a truly representative government is to bring about suitable modifications in the design and operation of the financial system so as to ensure executive responsibility to the legislature which is the law-making, revenue determining and fund-granting authority.

Legislative control would mean that the legislature can meaningfully, and not merely formally, participate in the formulation of broad policies and programmes, their scrutiny, approval and implementation through the annual budget. It also means that the legislature can effectively relate performance and achievement of the executive to the objectives and policies as laid down by it.

Members of the legislature are not always adequately acquainted with the complexities of financial administration, nor can they always understand the enormity of the vast scale of operations and therefore the level of funds required.

Various devices are, therefore, used to assist legislatures in exercising their legitimate powers over the executive. Statutory audit also examines the accounts and other relevant records to ensure that the moneys granted by the legislature are spent strictly in accordance with law. Also, audit tries to ensure that the government obtains value for the tax-payers' money and that the norms of economy, efficiency and effectiveness are observed.

4. **Planning:** Budgeting provides a plan of action for the next financial year. Planning, however, involves the determination of long term and short term objectives, determination of quantified targets, and fixation of priorities.

Planning also spans a whole range of government policies keeping the time factor and inter-relationships between policies in view. Planning envisages broad policy choices. At the level of projects and programmes, the choice is between alternative courses of action so as to optimise the resource utilisation. The goals of public sector, viz, optimal allocation of resources, stabilisation of economic activity, an equitable distribution of income, and the promotion of economic growth are all pursued in an organisational context.

In the short-run, achievement of these goals has to be co-ordinated by means of administrative and legal instruments among which budget policy and procedure are the most important. Planning in the budget process reflects political pressures as well as financial pressures and financial analysis.

## 9.8 PRINCIPLES OF BUDGETING

There are a few principles followed in budget preparation exercise. These are as follows:

1. **Principle of Annuity:** This implies that a budget is prepared every year on annual basis. One year is considered ideal period for budget because it's an optimum period for which the legislature can afford to give financial authority to the executive. Further, executive also needs this much time to implement the budget proposals effectively. Further, a year corresponds with the customary measures of human estimates. Annuity in budget formation is a widespread phenomenon. In some countries of OECD, yearly budgets are now framed within a multi-year framework.
2. **Rule of Lapse:** Principle of Annuity also implies that the money left unspent in a year must also lapse to the public treasury and government should not be able to spend it unless it is re-sanctioned in next year's budget. This is called Rule of Lapse and is useful as an effective tool of financial control.
3. **Fiscal Discipline:** Budget should be balanced and should be able to display congruence between the income and expenditure. This is known as Fiscal Discipline and it adheres to the Keynesian School of Thought. Fiscal discipline helps to eliminate fiscal deficits and offset fiscal surplus.
4. **Inclusiveness:** Budget should be comprehensive and inclusive of diverse budget estimates. An inclusive budget includes all government revenue and expenditures and helps evaluating the much required trade-offs between different policy options.
5. **Accuracy:** Budget figures are essentially predictions of the amount of money to be generated in the forthcoming year and its expenditure. The Finance Ministry is accountable for its formulation with the help of the data and material from the various departments. These estimates need to be accurate and precise. The preciseness is dependent real and credible input data, information and unbiased information.
6. **Transparency and Accountability:** Budget transparency and accountability are two of the eight basic indicators of good governance as propounded by United Nations. Budget transparency implies

that government gives out all data regarding budget. These two traits of budget also involve ethics on the part of the Government. For the sake of clarity and transparency, the revenue and capital portion of the budget are kept separate.

## **9.9 BUDGETARY SYSTEM IN INDIAN FINANCIAL ADMINISTRATION**

The annual financial statement or the statement of estimated receipts and expenditure of the government of India pertaining to each financial year is known as the budget. The budget is presented to Lok Sabha in two parts namely, the railway budget that deals with railway finance and the general budget that provides an overall financial position of the Government of India, excluding the railways.

There are certain procedures laid down by the Indian Constitution relating to the government budget. These include the following procedures:

- The President shall in respect of every financial year, cause to be laid before both the houses of Parliament a statement of the estimated receipts and expenditure of the Government of India for that year. The budget is presented by the Finance Minister, generally by the end of February every year.
- The statement indicates the receipts and payments of the government in three parts in which the accounts are kept Consolidated Fund, Contingency Fund and Public Account.
- The estimates of expenditure indicate the following:

Amount of money needed to meet the expenditure charged on the Consolidated Fund of India

Amount of money required to meet other expenditure to be met out of the Consolidated Fund of India.

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## **9.10 SUMMARY**

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Budget is an Annual Financial Statement of yearly estimated receipts and expenditures of the government in respect of every financial year. Budgeting is the process of estimating the availability of resources and then allocating them to various activities according to a pre-determined priority. Budgets act as instruments of control and act as a benchmark to evaluate the progress of various departments.

There is a constitutional requirement in India (Article 112) to present before the Parliament a statement of estimated receipts and expenditures of the government in respect of every financial year which runs from 1 April to 31 March.

This 'Annual Financial Statement' constitutes the main budget document. Further, the budget must distinguish expenditure on the revenue account from other expenditures. Therefore, the budget comprises of the Revenue Budget and the Capital Budget.

The budget is not merely a statement of receipts and expenditures. Since Independence, with the launching of the Five-Year Plans, it has also become a significant national policy statement.

The budget, it has been argued, reflects and shapes, and is, in turn, shaped by the country's economic life.

Along with the budget, three policy statements are mandated by the Fiscal Responsibility and Budget Management Act, 2003 (FRBMA).

The Medium-term Fiscal Policy Statement sets a three-year rolling target for specific fiscal indicators and examines whether revenue expenditure can be financed through revenue receipts on a sustainable basis and how productively capital receipts including market borrowings are being utilized.

The Fiscal Policy Strategy Statement sets the priorities of the government in the fiscal area, examining current policies and justifying any deviation in important fiscal measures. The Macroeconomic Framework Statement assesses the prospects of the economy with respect to the GDP growth rate, fiscal balance of the central government and external balance.

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## 9.11 KEY TERMS

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**Budget:** Budget is an estimate of income and expenditure for a definite duration. In economics, budget is a systematic list of revenue and expenditure or we can say it's a plan for the income and expenditure.

**Revenue Budget:** The Revenue Budget shows the current receipts of the government and the expenditure that can be met from these receipts.

**Revenue Expenditure:** Revenue expenditure is the expenditure incurred for the routine, usual and normal day to day running of government departments and provision of various services to citizens.

**Capital Budget:** The Capital Budget is an account of the assets as well as liabilities of the central government, which takes into consideration changes in capital.

**Performance Budget:** A performance budget reflects the goal/objectives of the organization and spells out its performance targets.

**Zero Based Budget (ZBB):** Zero base budget concepts involve a complete reexamination of ongoing programmes to assess their continued utility instead of following the method of incremental approach to budgeting.

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## 9.12 SELF ASSESSMENT QUESTION

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1. Highlight the important roles of budget in the national economy.
2. Why does the Government work out a budget every year?
3. What are the basic characteristics of government budgeting?
4. What is a revenue receipt? Explain its types.
5. Discuss capital receipts and capital expenditure.
6. Highlight merits and demerits of balanced budget.
7. Discuss the principles of budgeting.

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## 9.13 REFERENCE

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## **UNIT-10: BUDGET CYCLE IN INDIA, TYPES OF BUDGETING**

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### **Structure**

- 10.1 Objectives
- 10.2 Introduction
- 10.3 Meaning of Budget Cycle
- 10.4 Budgetary Cycle in India
- 10.5 Different Types of Budgeting
- 10.6 Summary
- 10.7 Key Terms
- 10.8 Self-Assessment Questions
- 10.9 References

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### **10.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Understand the concept of budget cycle
- Discuss the rationale for the financial year
- Identify the various dimensions of practical budget making
- Describe budget cycle

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### **10.2 INTRODUCTION**

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Public budgeting systems, which are devices for selecting societal ends and means, consist of numerous participants and various processes that bring the participants into interaction. To provide for responsible government, budgeting is geared to a cycle. The cycle allows the system to absorb and respond to new information and, therefore, allows government to be held accountable for its actions. Although existing budget systems may be less than perfect in guaranteeing adherence to this principle of responsibility, the

argument stands that periodicity contributes to achieving and maintaining limited government. The budget cycle consists of four phases: (1) preparation and submission, (2) approval, (3) execution and (4) audit and evaluation.

### **10.3 MEANING OF BUDGET CYCLE**

The budget cycle refers to the life of a budget from creation to evaluation. Although small businesses might not use the term “budget cycle,” they use the process when they painstakingly work through the steps required to build and implement a budget. The budgeting process progresses in stages as plans are made, funds are allocated and new information leads to revisions. The four segments of the budget cycle — preparation and submission, approval, execution and audit and evaluation — provide the framework for creating one of the most important tools a business needs to succeed.

The budget cycle is common to government agencies that are required to use transparent budgeting processes, but the concept is easily adapted to the needs of businesses. The budget cycle promotes due diligence and accountability since research, past performance and financial projections feed the process and decisions are documented at each stage. The clearly defined segments of the budget cycle encourage a careful process that allows for input and revision as you work to build the budget that works best for your business. The budget cycle usually begins in advance of the company’s accounting period and ends well after that period ends.

In India, the Union Budget is prepared by the Department of Economic Affairs of Ministry of Finance. Earlier the budget was presented in two categories i.e. Railway budget and General budget. The Government of India has decided to advance the presentation date of the Union Budget by a month from February to January with an objective get all allocations at different tiers disseminated to budget-holders, before the financial year begins on April 1.

After the decision, Union Budget 2017-18 was the first Budget presented on February 1, 2017 instead of February 28. The decision became a subject of national debate with many politicians, economic experts and fiscal policy experts weighing pros and cons on the topic.

The second in the row was the Union Budget 2018-19 which was presented on February 1, 2018. This unit will help you understand the step by step process of preparation of the Union Budget of India.

According to Article 112 of the Indian Constitution, the President is responsible for presenting the budget to the Lok Sabha. The annual financial statement takes into account a period of one financial year. According to Article 77 (3), the Union Finance Minister has been made responsible by the President to prepare the budget also called as the annual financial statement and pilot it through the parliament. Budget embodies the estimated receipts and expenditure of the Government of India for one financial year. The financial year commences on 1<sup>st</sup> April each year.

#### **10.4 BUDGETARY CYCLE**

In order to allow time for the executive and legislative processes to go through, budgeting is geared to a cycle. The process of approval is very significant in a responsible form of government. The cycle consists of four phases:

1. Preparation and submission;
2. Approval;
3. Execution; and
4. Audit

At any given point of time, several cycles would be in operation and would be overlapping. 'Nevertheless, various segments of a cycle have different operational life.

**1. Budget Preparation in India:** Budget preparation formally begins on the receipt of a circular from the Ministry of Finance sometime during September/October, that is, about six months before the budget presentation. The circular prescribes the time- schedule for sending final estimates separately for plan and non-plan, and the guidelines to be followed in the examination of budget estimates to be prepared by the department concerned the general rule is that the person who spends money should also prepare the budget estimates. Budget proposals normally contain the following information: Accounts classification

- Budget estimates of the current year
- Revised estimates of the current year
- Actuals for the previous year; and Indian Budget System Proposed estimates for the next financial year (which is the budget proper).

Budget estimates normally involve:

- Standing charges or committed expenditure on the existing level of service. This can easily be provided for in the budget, as it is more or less based on a projection of the existing trends.

- New expenditure which may be due to :
  - expansion of programmes involving expenditure in addition to an existing service or facility; and
  - new service for which provision has not been previously included in the grants can be estimated with reference to progress made and the likely expenditure during the next financial year, budget provision for (b) (i) and (ii) cannot be made unless the scheme relating to it is finally approved.

The budget estimates prepared by the ministries/departments according to budget and accounts classification are scrutinized by the Financial Advisors concerned. The plan items of the Central Budget are finalized in consultation with the Planning Commission and are based on the Annual Plan.

- Parliamentary Approval: The estimates of expenditure prepared by ministries/departments are transmitted to the Ministry of Finance by December where these are scrutinized, modified where necessary and consolidated. The estimates of revenue are also prepared by the Finance Ministry and thus the budget is finalised. The budget is presented to the Parliament generally on the last working day of February. In the first stage, there is a general discussion on the broad economic and fiscal policies of the government as reflected in the budget and the Finance Minister's speech. This lasts about 20-25 hours.
- In the second stage, there is a detailed discussion on the demands for grants, usually in respect of specific ministries or departments. Each demand for grant is voted separately. At this stage members of parliament may move motions of various kinds. Generally, these are policy cuts, economy cuts, and token cuts. The policy cut motion seeks to reduce the demand to rupee one and is indicative of the disapproval of general or specific policy underlying the service to which the demand pertains. The motion for economy cut is to reduce the proposed expenditure by a specified amount. A token cut in a demand is moved to reduce it by a nominal amount say Rs. 100 and may be used as an occasion to ventilate a specific grievance. Since it is never possible to accommodate a detailed discussion on each demand for grant separately, the demands that cannot be so discussed are clubbed together and put to the vote of the Parliament at the end of the period allotted for discussion. The members who propose a reduction of grant bring three kinds of cut motions which are either withdrawn or dropped because their passing will be

tantamount to a vote of no confidence in the government. Still, to attract the attention of the government, the cut motions are moved to bring moral pressure on the executive.

- **Cut Motions**

Token Cut Motion: It expresses a specific grievance that is within the sphere of responsibility of the government. It states that the amount of the demand will be reduced by Rs 100. On the 26th day, the Speaker puts all the remaining demands to vote and disposes of them whether they have been discussed by the members or not. This is called 'Guillotine closer'.

- Policy Cut Motion shows disapproval of the policy underlying a demand. It states that the amount of the demand will be reduced to Re 1.
- Economy Cut Motion asks for the economy in the proposed expenditure. It states that the amount of the demand be reduced by a specified amount by which may be either a lump-sum reduction or omission or reduction of an item in the demand.
- Article 113 and 114 provide for the presentation of various kinds of demands for grants by the Parliament. Some of them are:
  - **Vote on Credit:** It is granted for meeting an unexpected demand upon the resources of India when on account of the magnitude or the indefinite character of the service, the demand cannot be stated with the details ordinarily given in a budget. Hence, it is like a blank cheque given to the Executive by the Lok Sabha.
- **Vote on Accounts:** Vote on Account is a grant in advance to enable the government to carry on until the voting of demands for grants and the passing of the Appropriation Bill and Finance Bill.
- **Vote on Exceptional Grants:** It is granted for a special purpose and forms no part of the current service of any financial year.
- **Supplementary Grants:** It is granted when the amount authorized by the Parliament through the appropriation act for a particular service for the current financial year is found to be insufficient for that year.
- **Excess Grants:** It is granted when money has been spent on any service during a financial year

in excess of the amount granted for that service in the budget for that year. It is voted by the Lok Sabha after the financial year.

- **Token Grants:** It is granted when funds to meet the proposed expenditure on a new service can be made available by reappropriation. Demand for the grant of a token sum (of Re 1) is submitted to the vote of the Lok Sabha and if assented, funds are made available.

Though the budget is presented before both Houses of Parliament, the demands for grants are submitted only to the lower house. Demands for grants, are the executive's requisitions for sanction to spend, and only the lower house can have a say in the matter. While the legislature can object to a demand for grant, reject it or reduce it, it cannot increase the same. It may also be mentioned here that since no demand for a grant can be made except on the recommendations of the President or the Governor (in the case of State), private members cannot propose any fresh items of expenditure. If this were allowed it would necessitate revision of receipts and consequently the budget and sometimes may lead to improper appropriation of public funds. Even after the demands for grants have been voted by the Parliament, the executive cannot draw the money and spend it. According to the Constitutional provisions, after the demands for grants are voted by the Lok Sabha, Parliament's approval to the withdrawal from the Consolidated Fund of the amount so voted and of the amount required to meet the expenditure charged on the Consolidated Fund is sought through the Appropriation Bill. The Appropriation Bill after it receives the assent of the President becomes the Appropriation Act. Thus, without the enactment of an Appropriation Act, no amount can be withdrawn from the Consolidated Fund.

Since the financial year of the government is from 1st April to 31st March, it follows that no expenditure can be incurred by the government after 31st March unless the -- Appropriation Act have passed by the close of the financial year. This is generally not possible as the process of discussion of the budget usually goes on up to the end of April or the first week of May. Thus, in order to enable the government to carry on its normal activities from 1st April till such time as the Appropriation Bill is enacted, a Vote on Account is obtained from Parliament through an Appropriation (Vote on Account) Bill.

The proposals of government for levy of new taxes, modification of the existing tax structure or continuance of the existing tax structure beyond the period approved by Parliament are submitted to Parliament through the Finance Bill. The members can utilise the occasion of discussion on the

Finance Bill to criticise government policies, more specifically the proposals regarding the taxation and tax laws. In certain cases, taxation proposals take effect immediately. Since, however, passing of the Finance Bill may entail a time lag, a mechanism under which the taxation proposals take effect immediately pending the pressing of the Finance Bill exists in the form of Provisional Collection of Tax Act, 1931, which empowers the government to collect taxes for a period of 75 days till the Finance Bill is passed and comes into effect.

The budget of the Central Government is not merely a statement of receipts and expenditure. Since Independence, with the launching of five-year plans, it has also become a significant statement of government policy. The budget reflects and shapes, and is in turn shaped by, the country's economic life. A background of the economic trends in the country during the current year enables a better appreciation of the mobilization of resources and their allocation as reflected in the budget. A document, Economic Survey, is prepared by the government and circulated to the members of Parliament a couple of days before the budget is presented. The Survey analyses the trends in agricultural and industrial production, money supply, prices, imports and exports and other relevant economic factors having a bearing on the budget.

- **Parliament Control over Finance**

- The Finance Bill and the Appropriation Bill are presented, debated, and passed according to a set of rules.
- The executive, which makes requests, receives grants from the Parliament, which is sovereign. These demands can include requests for grants, supplementary grants, additional grants, and so forth.
- Other than those for the Consolidated Fund of India, expenditure estimates are provided to the Lok Sabha in the form of grant demands.
- The Lok Sabha has the authority to accept or reject any demand, or to accept a demand with a reduction in the sum demanded. Following the completion of the general debate on the budget, the Lok Sabha receives requests for grants from various ministries.
- Previously, the finance minister introduced all demands; however, they are now formally introduced by the ministers of the relevant departments. These demands are not forwarded to the Rajya Sabha, despite the fact that a general budget debate takes place there as well.
- The Constitution states that the Parliament may issue a grant to cover an unanticipated

demand on the nation's resources where the demand cannot be articulated with the specifics normally provided in the yearly financial statement due to the scale or indefinite nature of the service.

Passing such a grant again necessitates the passage of an Appropriation Act. It is designed to serve a specific purpose, such as addressing wartime requirements

- **Execution of the Budget:** The execution of the budget is the responsibility of the executive government. The procedures for execution of the budget depend on the distribution and delegation of powers to the various operating levels. As soon as the Appropriation Act is passed, the Ministry of Finance advises spending Ministries/ Departments about their respective allocation of funds. The controlling officers in each ministry department then allocate and advise the various disbursing officers. The expenditure is monitored to ensure that the amounts placed at the disposal of the spending authorities are not exceeded without additional funds being obtained in time.
- The Budget's execution begins when the finance and appropriation bill is passed. The executive department is given permission to begin collecting funds and spending it on approved projects.
- This is the duty of the Ministry of Finance and Revenue Department. Various ministries have been given authority to draw and spend the necessary funds.
- The Secretary of the Ministry serves as the principal accounting authority in this regard.
- The accounts of the various ministries are compiled in accordance with the established procedures. The Comptroller and Auditor General of India audits these accounts.

Thus, the financial system broadly consists of the following levels:

- a) controlling officers; normally the head of the ministry/department acts as the controlling officer;
- b) a system of competent authorities who issue financial sanction;
- c) a system of drawing and disbursing officers; and
- d) a system of payments, receipts and accounts.

The Department of Revenue in the Ministry of Finance is in overall control and supervision over the machinery charged with the collection of direct and indirect taxes. Such control is exercised through the Central Board of Direct Taxes and the Central Board of Indirect Taxes. These Boards exercise supervision and control over the various operational levels which implement different taxation laws. The Reserve Bank of India is the central banker of the government. The Nationalized Banks and the network of treasuries are also performing the service of collection (receipts) and disbursement of funds.

- **Audit:** The executive spends public funds as authorized by the legislature. In order to ensure accountability of the executive to the legislature, public expenditure has to be audited by an independent agency. The Constitution provides for the position of the Comptroller and Auditor General of India to perform this function. It is his/ her duty to ensure that the funds allocated to various agencies of the government have been made available in accordance with law; that the expenditure incurred has the sanction of the competent authority; that rules, orders & procedures governing such expenditure have been duly observed; that value for money spent has been obtained and that records of all such transactions are maintained, compiled and submitted to the competent authority. This is the last stage in completing the budgetary cycle.
  
- **Budget in India (Article- 112)**
  1. Government budgeting is an annual financial statement of income (receipts) and spending (expenditure) of the government for a particular financial year.
  2. The financial year starts from 1st April and ends on 31st March.
  3. The government budget is a quantitative expression of a plan of action for a specific time span, as well as a tool for planning, execution, and evaluation of the plan of action.
  4. It is also a method for determining the most efficient use of a country's total resources. Budget can be made for an individual, a group of people, a business, a government, or just about anything else that generates and spends money.
  5. Government budgeting is an essential element in the planning and analysing all the financial matters of a nation.
  6. The Union Budget of a year is referred to as the Annual Financial Statement (AFS) under

Article 112 of the Indian Constitution. It is the government's projected budget revenues and expenditures for a given fiscal year.

7. The government budget gets approvals through a consultative process involving the Ministry of Finance, NITI Aayog, and other ministries.
8. The Budget Division of the Department of Economic affairs under the Ministry of Finance is the nodal body for preparing the budget.

## 10.5 DIFFERENT TYPES OF BUDGETING

### 1. Balanced Budget and Unbalanced Budget:

**Balanced Budget:** A balanced budget is a situation, in which estimated revenue of the government during the year is equal to its anticipated expenditure. The government's estimated Revenue = Government's proposed Expenditure.

**Unbalanced Budget:** The budget in which income & expenditure are not equal to each other is known as Unbalanced Budget. Unbalanced budget is of two types: (i) Surplus Budget and (ii) Deficit Budget

- **Surplus Budget:** The budget is a surplus budget when the estimated revenues of the year are greater than anticipated expenditures. The government expected revenue > Government proposed Expenditure. The surplus budget shows the financial soundness of the government. When there is too much inflation, the government can adopt the policy of surplus budget as it will reduce aggregate demand.
- **Deficit Budget:** Deficit budget is one where the estimated government expenditure is more than expected revenue. Government's estimated Revenue is less than Government's proposed Expenditure. If over a period of time expenditure exceeds revenue, the budget is said to be unbalanced. Such deficit amount is generally covered through public borrowings or withdrawing resources from the accumulated reserve surplus. A way a deficit budget is a liability of the government as it creates a burden of debt or it reduces the stock of reserves of the government. In developing countries like India, where huge resources are needed for the purpose of economic growth and development it is not possible to raise such resources through taxation, deficit budgeting is the only option. In Underdeveloped countries, deficit

budget is used for financing planned development and in advanced countries, it is used as stability tool to control business and economic fluctuations.

## **2. Short-term budget**

Purpose: A short-term budget is designed to help a business or individual plan for short-term expenses and manage funds in a shorter time span. This can be anywhere from a week to a few months.

## **3. Fixed budget**

Purpose: The purpose of a fixed budget is to control costs when income and expenses aren't expected to change in the short-term. The fixed budget has the advantage of providing a simple picture of fixed expenses and incomes. A fixed budget can be used for everyday expense and income tracking when you're not expecting any changes in either.

## **4. Cash budget**

The purpose of a cash budget is to plan for cash inflow and outflow for a specific period of time, usually in the short-term. A cash budget has the advantage of focusing solely on cash inflows/outflows for a more specific financial picture. You can use a cash budget when you're expecting a larger volume in cash inflow or outflow.

## **5. Flexible budget**

The purpose of a flexible budget is to plan for different levels of activity in expenses or incomes in the short or long-term. A flexible budget brings more flexibility to the budgeting process, planning for varying activity levels in the company or individual's financial picture. A flexible budget is generally used when you're expecting different volumes for income and expenses. For example, if a business is going through an expansion phase or an individual is switching jobs and reducing debt.

## **6. Functional or operation budget**

An operation or functional budget applies to one specific operation of a business and is part of the master budget. The advantage of a functional budget is that it only applies to a specific

department, operation or function of a business instead of the business as a whole. This is a good option for when you're overhauling a specific department or function of the business or you need a better picture of what that specific function/department is costing the business.

#### **7. Master budget**

The purpose of the master budget is to encompass smaller operation budgets and provide a larger picture of individual expenses and incomes. Provides a generalized picture of expenses as a whole. Businesses can utilize a master budget to plan for general expenses and identify costs at a glance.

#### **8. Performance budget**

The purpose budget is designed to analyze the performance of a specific aspect of a business and determine whether the cost is worth the output. A performance budget has the advantage of being focused on a specific aspect of a business and can help determine if what's being put in is creating an ROI. Performance budgets can be used to identify costly methods of production and determine if certain functions are creating an ROI.

#### **9. Static budget**

The purpose of a static budget is to account for static expenses that won't change. Static budgets allow for a focused look at fixed expenses that remain constant despite fluctuations in sales volume and revenue. Can be used for static expenses. For example, a shoe factory might use a static budget to account for warehousing expenses on an annual basis.

#### **10. Labor budget**

Tracking the cost of labor in relation to revenue. Part of the master budget, the labor budget focuses solely on labor for a more specific view of an individual expense. Businesses can use labor budgets to track general labor costs or plan for upcoming reductions or increases in labor needs. For example, a retail store might use a labor budget to plan for the busy holiday season.

Seven priorities of the budget 'Saptarishi' are inclusive *development, reaching the last mile, infrastructure and investment, unleashing the potential, green growth, youth power and financial sector.*

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## 10.6 SUMMARY

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The budgetary process under the Constitution follows the procedure laid down in Articles 112 to 117. The budget shows receipts and payments under three parts in which government accounts are kept; these are Consolidated Fund, Contingency Fund and Public Account. The budget comprises Revenue Budget and Capital Budget. The budget estimates of expenditure which are to be voted by the Lok Sabha are submitted in the form of Demands for Grants. Generally, one Demand for Grant is presented in respect of each ministry or department.

The budgeted expenditure is also classified as plan and non-plan. Bulk of the expenditure represents standing charges or committed expenditure and is non-plan. A large part of the plan expenditure incurred by the Central Government is through / public sector enterprises.

These are the four stages in the budgetary cycle viz.: preparation, approval, execution of the budget and audit. Preparation of The budget usually begins on the receipt of a circular from the Ministry of Finance during September/October. It contains information relating to the budget estimates of the current year, revised estimates, actuals for the previous year and the proposed budget estimates for the next financial year.

The budget is presented to the Parliament on the last working day of February. A general discussion is followed by a detailed discussion on each demand for grant. The Parliament may reduce or reject but may not increase any budgetary provision which is subject to its vote. After the Parliament has voted the demand for grants, an Appropriation Act has to be passed by it to enable the government to withdraw money from the Consolidated Fund of India. The executive spends the money in accordance with the powers delegated to the operational levels. Finally, the expenditure is audited by the Statutory Audit to ensure that the public funds have been used as authorised and that rules and regulations have been observed.

The budget documents are fascinating. These documents are not just numbers. Scrutinising them, one can understand the intention of the government, its priorities, its policies, and its allocation of financial resources, among different regions, sectors, industries which create a

sea change in the lives of the people affected by it. Budget numbers express an enormous volume of information. One trained in budget analysis can discover the government's expressed as well as hidden priorities. They may be interested in rural development by creating employment opportunities, or providing elementary education to children, drinking water facilities to the villages, or health services in remote areas

or whether their focus is on urban development with creation of industries, satellite towns, improvement in facilities or it wants to provide optimum resources to both.

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## 10.7 KEY TERMS

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**Budget Cycle:** The budget cycle refers to the life of a budget from creation to evaluation.

**Financial Year:** The financial year is the period between 1 April and 31 March in which you earn an income. Assessment year is the following year in which this income is assessed and taxed.

**Audit:** An audit is a systematic and independent examination of books, accounts, statutory records, documents and vouchers of an organization to ascertain how far the financial statements as well as non-financial disclosures present a true and fair view of the concern.

**Supplementary Grant:** If original estimates in budget are insufficient to carry on any activity, additional funds are sought by the government from the Parliament in the course of the financial year through supplementary grants.

**Vote-on-Account:** Even though the financial year starts on 1<sup>st</sup> April, the budget takes some time to be passed. So, to meet the expenditure that will be incurred in the first few months of financial year till the budget is passed, the Parliament/legislature is required to pass vote on account which is an advance grant.

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## 10.8 SELF ASSESSMENT QUESTION

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1. How is government expenditure classified in the budget?
2. Distinguish between revenue and capital budget.
3. State the phases of the budgetary cycle.
4. What are the functions of a budget year?
5. Explain the various types of bill.
6. Describe the provisions related to supplementary, additional and excess grants as specified in Art. 115.
7. Discuss the issues that may arise due to advancement of Union Budget Presentation date.

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## 10.9 REFERENCE

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## **UNIT-11: CONCEPT AND APPROACHES OF SOCIAL WELFARE**

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### **Structure**

- 11.1 Objectives
- 11.2 Introduction
- 11.3 Concept of Social Welfare
- 11.4 Approaches to Social Welfare
- 11.5 Social Welfare Policies
- 11.6 Summary
- 11.7 Key Terms
- 11.8 Self-Assessment Questions
- 11.9 References

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### **11.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Understand the concept and importance of social welfare;
- Evaluate the different Social Welfare policies of the Government;
- Assess the main policies and legislation relating to women and children in India.
- Analyse the various Approaches to Social Welfare.

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### **11.2 INTRODUCTION**

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Social Welfare programmes refer to one of several government programmes designed to protect the public from economic risk and livelihood insecurity. The most common types of

programmes provide benefits to the elderly or retired, the sick or disabled, dependents, mothers, the unemployed, people with work-related injuries, and family members.

The earliest modern welfare law was enacted in Germany in 1880s. Similar programs have been introduced in other countries, and the trend is towards more comprehensive coverage, both in terms of eligibility requirements and the types of risks covered.

A minimum level of protection is now recognized as one of the government's general responsibilities with respect to specific risks, and it is widely accepted that public responsibility extends to all people who, for whatever reason, are unable to take care of themselves. In this regard Consensus has been reached in several countries. In this view, social welfare is given and received on the basis of rights rather than needs.

The main characteristics of a benefit or protection programme are the risks protected, the population served, eligibility criteria, benefit levels, type of financing, and administrative procedures. All of these criteria can vary widely in practice.

In particular, eligibility criteria often include "time bars" that require program participation or coverage for a specific period of time. Funding is usually provided by the government, which collects contributions from the general fund or a combination of both from the insured, the employer, or both.

### **11.3 CONCEPT OF SOCIAL WELFARE**

The Social Welfare system is a network of programs created to support citizens at different stages of life. This system usually results from a government or organization's efforts to ensure social welfare. This is a continuous process towards the specific needs of society.

- Social welfare is described as “an organized system of social services and institutions designed to assist individuals and groups in achieving a satisfactory standard of living and health” (Friedlander, 1980).
- Social welfare refers to the totality of organized activities by public and voluntary organizations aimed at preventing, mitigating, or contributing to the solution of specific social problems.

For Haywood, social welfare promotes the economic well-being of individuals by meeting their basic needs for a healthy life.

Heywood gives the following reasons for strengthening social systems:

1) By giving all citizens a "stake" in society and guaranteeing them at least some basic social support; promote social cohesion and national unity.

2) Increase freedom in the sense of protecting people from poverty and creating conditions in which

they can develop and realize their potential.

3) Ensure prosperity by counteracting the effects of social hardship and helping those who cannot help themselves.

4) It acts as a redistributive mechanism that promotes equality and increases a sense of social responsibility (Heywood, 2005).

#### **11.4 APPROACHES TO SOCIAL WELFARE**

- It is difficult to define social welfare universally as services and practices of helping people differ from society to society. For whom welfare is meant? This question can be answered in mainly two different ways. Welfare might be seen as being for people who are poor in need. Welfare might be considered as the right of every citizen.
- The Residual and the Institutional are two different approaches to define social welfare and addressing social welfare issues, such as poverty, hunger and health problems.

Approach implies a structured institutional response or a framework for policy. Each developed and developing country has its own approach and system of social welfare policies and programmes. Their welfare system reflects, by and large, the values and beliefs about how people's welfare can best be advanced. We may broadly classify the social welfare approaches as follows:

1. Family-centric approach,
2. Residual perspective,
3. Mixed-economy approach, and
4. Institutional approach.

##### **Family-centric Approach**

This is probably the oldest approach in which families play an active role in the provision of social care. Strong family ties are usually an important source of social capital. For example, the whole family plays an important role in caring for children, the elderly, and the disabled.

In both India and developed countries like the United Kingdom, the family structure is still seen as strong, and some social needs that are met elsewhere through government programs are still met by families. In many Asian countries, joint families remain a pillar of economic security, especially for unemployed children and elderly family members.

Policy analysts therefore view the family as a key point of intervention. This approach is based on conventional wisdom and sound sociological theory. Strong family ties are thought to be a source of lasting social support. Political analysts therefore view the family as a point of intervention for the state to meet welfare needs and curb social evils. However, the family approach has some limitations.

One of these is the almost complete abolition of the extended family system, especially in urban areas. Second, gender roles in the family are not taken into account. Third, there are economic and spatial issues that limit Universalist reliance on family approaches.

#### **Residual Perspective**

Needy or poor --Literal meaning: "leftover" or "remaining" only cannot survive without social assistance provided by the government to help them when no help is available from family, friends, or relatives.

Services are tested by means. Means testing assesses whether an individual or family is eligible for government assistance or social assistance and whether the individual or family has the means to refuse certain types of assistance.

Social welfare is a safety net (a system of helping people with serious problems, not another form of assistance) because it only applies to people who cannot cope otherwise. This approach responds to needs as they arise. The state intervenes only when the problem is so obvious that individuals are unable to help themselves and requires immediate action.

It sees the poor as incompetent and responsible for their poor circumstances. The remaining approaches consider the provision of social benefits by the state as a last resort. It is based on the idea that people can solve their own problems. Those in need can find help through family, the market (especially insurance companies), or non-governmental organizations. The government will only intervene if people in need cannot solve their problems. In this connection, public offerings are made only to the remains of the poor.

Sick people, unemployed people, religious people, and other people in need. The remaining approaches have only been adopted by a small number of countries.

It has many limitations. The most important of these is the means test or aptitude test. In a federal system, where the plan is designed for residents of a particular state or "territory," meeting the residency requirement becomes an issue for beneficiaries. The remaining approaches also do not address issues such as housing shortages.

This approach provides very limited benefits to those in need and discourages even eligible recipients from caring for them.

#### **Mixed-Economy Approach**

In some countries, including England and Germany, a mixed-economy approach has been adopted in some areas of social welfare. For example, the German Social Insurance System has provided a very successful forum for cooperation between government, social administrators, banks, insurance firms, and individual entrepreneurs. In such a system insurance benefits, linked to individual earnings, cover the bulk of material needs. In this model, public and private sectors come together in managing welfare policies in a more efficient manner than in a bureaucracy-centric operation. However, a major limitation of this approach is that public- private partnerships do not operate in many countries in the best possible manner.

#### **Institutional Approach**

It is a normative approach, It is based on the belief that social welfare can best be promoted through collective action and the pooling of resources. Welfare is provided, according to this approach, for the population as a whole, in the same way as public services like roads or schools might be. It may also be described as a fully saturated model. For example, instead of restricting public health coverage to specific social groups belonging to the weaker sections the coverage of the programme is made universal in this model. The institutional approach appears to be elegant, but many people would not extend support to this approach and pool their resources, just as the way they do for community works. In practice, the institutional approach to social welfare, therefore, lacks adequate public support, except in the spheres of education and health

- In an institutional system, welfare is not just for the poor: it is for everyone.
- It is Universal; Welfare is provided for the population as a whole, in the same way as public services like roads or schools might be. It focuses on giving each person equal opportunity to be supported, whatever their circumstances a
  - Social welfare institutional approach focuses on the organized system of providing services to the people to fulfill their needs.
  - Social Welfare is considered as a first line defense (it is the first or most important method to be used in dealing with the problems of society) of modern industrialized societies.
  - It is preventive; provision of services before waiting for a problem to occur. The government recognizes the need for variety of social services to maintain good standard of living.
  - No stigma attached; as all the people are entitled for the services. These services do not distinguish the need of one individual from another and it can be availed by anyone who wants it.
  - The States have special obligation to ensure the well-being of all and the people have the right to get (benefit of) these services.

It's a prescriptive approach. It is based on the belief that social welfare **is** best promoted through collective action and pooling of resources. Under this approach, welfare is guaranteed to the entire population, as are public services such as roads and schools. This can also be called a fully saturated model.

For example, rather than restricting public health care to specific vulnerable social groups, this model universalizes the reach of programs. Although the institutional approach seems elegant, many people do not support this approach and are not willing to share resources as they would in a community effort.

In practice, therefore, with the exception of the fields of education and health, institutional approaches to social welfare lack sufficient public support. In an institutional system, welfare is not just for the poor, but for everyone.

This is Universal. Welfare, like public services such as roads and schools, is guaranteed to the entire population. The focus is on giving everyone an equal opportunity to receive support, regardless of their

circumstances.

Institutional approaches to social welfare focus on organized systems that provide services that meet people's needs. Social welfare is considered the first line of defense (the first or most important way of dealing with social problems) in modern industrial societies.

It has a preventive effect. We provide Service before you wait for a problem to occur. Governments recognize the need for a variety of social services to maintain a good standard of living.

Everyone has the right to benefit. These services do not differentiate between one person's needs and another's needs, and are available to anyone who wants them. States have a special obligation to ensure the well-being of all people, and people have a right to access these services.

## **11.5 SOCIAL WELFARE POLICIES**

### **Welfare of Scheduled Castes and Scheduled Tribes (SCs & STs)**

The Constitution contains several provisions in the nature of safeguards for the Scheduled Castes and Scheduled Tribes. The following two Acts specifically aim at curbing (i) untouchability and (ii) atrocities against SCs and STs, and are, therefore, very important for their social uplift. The Protection of Civil Rights Act, 1955: This Act was enacted in pursuance of Article 17 of the Constitution of India under Fundamental Rights. The Act extends to the whole of India and is implemented by the state governments and union territories.

The Act and the Rules framed under it prescribe the scale of punishments for various categories of offences relating to the propagation or practice of untouchability in any form. The punishments invariably include a prison term and fine. Any person who justifies, whether on historical, philosophical, cultural or religious grounds or any other ground, the practice of untouchability in any form shall be considered as an offender. Repeaters of the offence shall get more stringent punishments.

- i. The Scheduled Castes and the Scheduled Tribes (prevention of Atrocities) Act, 1989, also called the PoA Act, came into force in 1990. This legislation aims at preventing commission of offences by persons other than scheduled castes and scheduled tribes against scheduled

castes and scheduled tribes. Comprehensive rules under this Act, inter-alia, provide norms for relief and rehabilitation of the victims from SCs & STs.

- ii. National Commission for Scheduled Castes and Scheduled Tribes: In addition to these two Acts, the National Commission for SCs and STs (NCSC) established in 1990 under Article 383 of the Constitution has been divided into two Commissions.

National Commission for Scheduled Tribe Castes and Scheduled Tribes under the 89<sup>th</sup> Constitution (Amendment) Act of 2003.

These two committees are responsible for monitoring the safeguards provided to SCs and STs, respectively. They also need to consider issues that affect their well-being. For the betterment of education of SC and ST students, there are schemes like pre-matric scholarships, National Overseas Scholarships, Babu Jagjivan Ram Chhatrawas Yojana, and Rajiv Gandhi National Fellowship. Hostels from KG to PG level are available in most states and UTs.

The core scheme is also supplemented by other grants so that the entire cost of SC/ST students is covered. Besides the National Scheduled Castes Financial Development Corporation and the National Safari Armchair Financial Development Corporation, the States and UTs also have Scheduled Caste Development Corporations.

There are also venture Capital Funds and Credit Enhancement Guarantee Schemes that provide financial assistance and seed capital to Scheduled Castes to set up businesses and other industrial ventures.

#### Welfare of Scheduled Tribes

The Ministry of Tribal Affairs was set up in 1999 after bifurcation of the Ministry of Social Justice and Empowerment with the objective of providing more focused approach on the integrated socio-economic development of the Scheduled Tribes (STs), the most underprivileged of the society, in a coordinated and planned manner. Scheduled Tribes live in contiguous areas unlike other

communities.

With a view to safeguarding the interests of Scheduled Tribes with regard to land alienation and other social factors, provisions of the “Fifth Schedule” and “Sixth Schedule” have been enshrined in the Constitution. The Fifth Schedule under Article 244 (1) of Constitution defines “Scheduled Areas” as such areas as the President may by Order declare to be Scheduled Areas after consultation with the Governor of the state. The Sixth Schedule under Article 244(2) of the Constitution relates to those areas in the states of Assam, Meghalaya, Tripura and Mizoram which are declared as “Tribal Areas” and provides for District Councils and /or Regional Councils for such Areas. With a view to later to the welfare of STs. These Councils have been conferred with wide ranging legislative, judicial and executive powers.

- **Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Act, 1989:**

As noted earlier, the purpose of this Act is to prevent commission of offences against scheduled castes and scheduled tribes. Its scope and operation in the case of STs are similar to that of the SCs.

- **National Commission for Scheduled Tribes (NCST):**

A separate Commission was created in 2004 by amending the Constitution. The main duties of the Commission are to investigate, monitor and evaluate all matters relating to the safeguards provided for the scheduled tribes; and to inquire into specific complaints with respect to the deprivation of the rights and safeguards of the Scheduled Tribes. In addition to this Commission, there is National Scheduled Tribes Finance and Development Corporation (set up in 2001) for accelerating the pace of economic development of scheduled tribes, and for providing financial assistance as grant for skill and entrepreneurial development of the target group. There is also one federation called Tribal Cooperative Marketing Development Federation of India Ltd. (set up in 1987) which is now engaged in the marketing of its development of tribal products (natural and organic products, handicrafts, etc.) for direct sale through its own outlets or sale through other shops.

Then there are schemes for the economic development of ST women and microcredit schemes to provide financial assistance for self-employment ventures/ activities by STs. There is also a

scheme for providing financial assistance to ST students for pursuing higher studies and for post-doctoral research programmes abroad. The Ministry of Tribal Affairs also provides adequate educational infrastructure for STs and several incentives including scholarships for education of ST students. By enacting the Forest Rights Act, 2006, the STs and other traditional forest dwellers are vested with forest rights and allowed occupation of forest land.

#### **Welfare of Other Backward Classes**

The Second Backward Classes Commission (commonly known as Mandal Commission), constituted under Article 340, submitted its Report in 1980. Based on this Report, the Government of India, in 1993, reserved 27 per cent of vacancies in civil posts and services under the Central Government, to be filled through direct recruitment in favour of the Other Backward Classes (OBCs). The facility of reservation to OBCs was later extended for admissions and employment in Central educational institutions also.

- National Backward Classes Finance and Development Corporation (NBCFDC)

The NBCFDC was set up in 1992 with the objective of promoting economic and developmental activities for the benefit of backward classes and to assist the poorer sections of these classes in skill development and self-employment ventures.

- Educational Empowerment

There are also schemes such as Pre- and Post-Matric Scholarships, National Fellowships and award of interest subsidy to OBC students. A central scheme for provision of hostels to students from De-notified tribes, who are not covered under SC, ST or OBC categories, to enable them to pursue secondary and higher education, has been in vogue.

#### **Welfare of Persons with Disabilities**

Articles 14 and 15 of the Constitution of India prohibit discrimination of persons on grounds of disabilities. They are also entitled to all the Rights guaranteed by the constitution. With a view to give focused attention to different policy issues and meaningful thrust to the activities aimed at welfare and empowerment of the persons with disabilities, a separate Department of Disability Affairs was carved out of the Ministry of Social Justice and Empowerment in 2012. This

Department now acts as a nodal agency for matters relating to disability and persons with disabilities besides enabling closer coordination among different stakeholders: related central ministries, state/UT governments, NGOs etc., in matters pertaining to disability. Thus, the Indian Constitution protects the interests of, persons suffering from certain disabilities.

Article 41 provides for Right to work, to education and to public assistance in case of unemployment, old age, sickness and disablement. Besides, the Eleventh and twelfth Schedules of the constitution, which pertain to the powers and responsibilities of the Panchayats and Municipalities respectively with respect to implementation of schemes for economic development and social justice, include welfare and safeguarding the interests of persons with disabilities among the other poor sections of the society. Several statutes enacted at the central level are aimed at the rehabilitation and welfare of persons with disabilities in general and those with specific categories of disabilities. The Department of Empowerment of Persons with Disabilities initiates legislation relating to the disabled and monitors all the central schemes meant for the disabled persons.

The Rehabilitation Council of India (RCI) is a statutory body and is the apex body of the Union Government to regulate training programmes and courses targeted at disabled, disadvantaged, and special education requirement communities. The Council is required to maintain the Central Rehabilitation Register which mainly documents details of all qualified professionals in this field.

### **Women and Child Development**

Women make up 48 percent of the country's population. Compared to men, they have many disadvantages in terms of literacy, Labour force participation, and income. From the First to the Fifth Five-Year Plans, the development of women and children has been treated as a "welfare" theme and has been linked to the welfare of disadvantaged groups such as the poor, the disabled, and the elderly. The Second to Fifth Plans continued this strategy, prioritizing women's education and measures to improve material and child health services. The Sixth Plan saw a shift in approach from women's 'welfare' to 'development', with particular emphasis on her three core areas of health, education and employment. The Seventh Plan focused on beneficiary-oriented programs and creation of skilled and unskilled employment through appropriate education and vocational training, and emphasized on improving their economic and social status. One of the objectives of

the Eighth Plan was to ensure that the benefits of development accrue to women so that they can function as equal partners and participants in the development process.

The 9th Plan focused on "promoting women's active participation" and formulated a "Women's Component Plan." Gender budgeting was introduced in 2007. Recognizing the critical importance of women and child development, in 2006 a Ministry dedicated to women and child development was established at the federal level. Its main mission is to promote the rights and interests of women and children and ensure their survival. Protection is given to promote their development and participation in a holistic way. It is also responsible for initiating legislation and implementing policies, as well as coordinating with other ministries to address the issue.

- **National Policy for Women**

The National Policy for Women, announced in 2018, is expected to guide government action on women's issues on a life-cycle continuum and encompasses a wide spectrum of issues from education, health, economic participation, decision-making, and violence against women to creation of an enabling environment.

#### **Welfare Measures for the Minorities**

Articles 29 and 30 of the Indian Constitution aim to "protect the interests of minorities and recognize their right to preserve their language and culture and to establish and manage educational institutions of their choice.". Sections 350 and 350 B provide for the right to file representations for redress of grievances.

Similarly, Articles 347 and 360A provide constitutional guarantees for the education and language matters of linguistic minorities. His six religious' communities - Muslims, Christians, Sikhs, Buddhists, Zoroastrians (Parsis) and Jains - have been declared minorities under the provisions of the National Commission for Minorities (NCM) Act, 1992.

The federal and state governments have taken several steps for the welfare of minorities. The Ministry of Minority Affairs was established in January 2006 to ensure a targeted approach to

minority issues and to play a central role in overall policy planning, coordination, evaluation, regulation and review of development programmes was established by the federal government.

### **Welfare Policies for children**

Policies and Programmes for the Welfare of Children (0-18 years) are an asset to the country's development. They need to be nurtured in a planned manner. The central as well as state governments have launched several programmes for their development. The Ministry of Women and Child Development has taken up several programmes and initiatives for child development. The Important ones are noted below.

- **National Policy for Children (2013)**

The Government of India adopted a new National Policy for Children (NPC) in April 2013. The NPC reaffirms the government's commitment to the realisation of the rights of children. It recognises childhood as an integral part of life with a value of its own. The NPC has identified survival, health, nutrition, education development, protection and participation as the undeniable rights of every child, and has also declared these as key priority areas that need to be given a good deal of attention by the governmental and non-governmental agencies. To deal with child abuse cases the Government has brought a special law "The Protection of Children from Sexual Offences Act, 2012. The Act provides for stringent punishment, which ranges from simple to rigorous imprisonment of varying periods. The National Commission for the Protection of Child Rights (NCPCR) and State Commissions for the Protection of Child Rights (SCPCRs) have been made the designated authority to monitor the implementation of the Act.

### **Holistic Development of the Child**

For holistic development of the child, the Ministry has been implementing the world's largest outreach programme of Integrated Child Development Services (ICDS) or Anganwadi services, which has been in existence since 1975, It provides a package of services comprising supplementary nutrition, immunization, health check-up, referral services, and pre-school non-formal education, with the objective of improving the nutritional and health status of children in the age group of 0 – 6 years. The major policy initiatives undertaken by the Ministry in the recent past include universalization of ICDS and, launching of a nutrition programme for adolescent

girls (11 – 18 years), establishment of the Commission for protection of Child Rights, and enactment of Protection of Women from Domestic Violence Act.

In addition to the above, the National Plan of Action for Children (N P A C) was introduced in 2016, which keys upon four priority areas: survival; health and nutrition; education and development; protection; and participation. The Ministry has also been making efforts for a more effective involvement of nongovernmental organisations in women and child welfare programmes.

#### **National Nutrition Policy**

The National Nutrition Policy was formulated in 1993, which was followed by the National Action Plan in 1995. The National Action Plan identified various sectors within government that need to take concerted action to combat malnutrition.

In promoting infant and young child feeding practices, emphasis is placed on proper nutrition and implementation of the IMS method. In addition, the Ministry of Women and Child Development has a Food and Nutrition Board that works on policy formulation, strategy development, and identifying innovative measures to improve the nutritional status of the population.

Comprehensive Adoption Reforms as per the Youth Justice Act, 2015 and the Adoption Rules of Notification, 2017, online registration with the Central Adoption Resource Authority (CARA) is mandatory for adopting a child from anywhere in India. The Central Information and Advice System for Adoption Resources 'CARINS' is CARA's only official portal for the legal adoption process. The 2015 Law punishes individuals or institutions that conduct illegal adoptions. The law provides for appropriate safeguards to ensure the well-being of children.

#### **Welfare of People in Distress**

People affected by the disasters such as flood, cyclone, earthquake, drought, landslide, major fire, major accidents, etc., need immediate rescue & can make legitimate claims on the state for rescue, relief as well as long-term rehabilitation assistance. The Disaster Management Act (2005) has provided the legal framework under which the National Disaster Response Fund (NDRF) and

State Disaster Response Fund (SDRF) have come into operation to meet rescue and relief expenditure of a notified disaster event. Relief includes items for survival such as food, water, health, medical assistance, clothing, shelter, etc. Relief and other services are provided on an ad hoc basis for a few weeks or months to enable the disaster victims to recover to a state of normalcy. The state government concerned has the primary responsibility for providing rescue and relief. The District Collector/ Magistrate is empowered to take emergency measures to deal with disaster situations. NGOs like Red Cross play important roles in the relief and rehabilitation process.

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## 11.6 SUMMARY

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The question 'what is social welfare' is aptly answered by Walter Friedlander. He says, "Social welfare is an organised system of social services and institutions designed to aid individuals and groups in attaining basic human requirements such as food, shelter, health, and education." Social welfare administration refers to the formulation and implementation of social policies related to the well-being of weaker and vulnerable citizens of society. Generally, it is the process of transforming social policy into social services. A body like a social welfare department helps in facilitating social administration.

In the words of Dunham, we can define social welfare administration as supporting and facilitating necessary or incidental activities to the giving of direct services by a social agency.

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## 11.7 KEY TERMS

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**Administration:** The word 'administration' has been derived from the Latin word 'ad' and 'ministrare' which means to serve.

**Social Administration:** Social administration is the study of development, structure and practices of social services.

**Social Service:** The term 'social service' is used to denote help given by a volunteer to an individual or group at the time of need. In simple words 'helping the helpless' is social service.

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## 11.8 SELF ASSESSMENT QUESTION

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1. What has been done by the Central Government for the welfare of women in India?
2. Define the concept of social welfare and discuss its significance.
3. Examine the different Approaches to Social Welfare.

4. Analyse the various Social Welfare Programmes and Policies of the Government of India.

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## **UNIT-12 SOCIAL WELFARE POLICIES: EDUCATION: RIGHT TO EDUCATION, HEALTH: NATIONAL HEALTH MISSION, FOOD: RIGHT TO FOOD SECURITY, EMPLOYMENT: MGNREGA**

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### **Structure**

- 12.1 Objectives
- 12.2 Introduction
- 12.3 Meaning of Social Welfare Policies
- 12.4 Right to Education
- 12.5 National Health Mission
- 12.6 Right to Food Security
- 12.7 Employment MGNREGA
- 12.8 Summary
- 12.9 Key Terms
- 12.10 Self-Assessment Questions
- 12.11 Reference

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### **12.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Understand the concept of the social welfare programmes
- Discuss social welfare policies related to Right to Education (RTE)
- Describe social welfare policies related to National Health Mission
- Describe social welfare policies related to Right to Food Security
- Discuss social welfare policies related to employment that is Mahatma Gandhi National Rural Employment Guarantee Act (MNREGA)

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## **12.2 INTRODUCTION**

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The Indian Constitution Article 38 mentions that the duty of the state is to secure a social order for the promotion of the welfare of the people by striving to minimize inequalities in income and social status. Based on these provisions it is clear that the state should promote a social order in which social, economic and political justice prevail. With this objective in view the government offers certain welfare schemes to marginalized sections of society.

## **12.3 SOCIAL WELFARE PROGRAMMES**

Social welfare programme, any of a variety of governmental programs designed to protect citizens from the economic risks and insecurities of life. The most common types of programs provide benefits to the elderly or retired, the sick or invalid, dependent survivors, mothers, the unemployed, the work-injured and families. Methods of financing and administration and the scope of coverage and benefits vary widely among countries.

The social welfare programmes legitimately should fall in the sub-area of social welfare administration. The main job of the social welfare administration is to identify and clarify the problems of particular territory and contribute possible solutions to the problems. But we must be aware of the fact that the success of social welfare ultimately depends on the adequacy of administrative apparatus prevailing in the country. The guiding principle of any good system of administration is, having the sense of fellow feeling, belongingness and entire well-being of the citizens.

The chief characteristics of a welfare or security program are the risks to be protected against, the population covered, eligibility criteria, levels of benefits, manner of financing, and administrative procedures. All these criteria are subject to wide variation in practice. In particular, eligibility criteria often include a “time-lock,” which requires participation in or coverage by a program for a specified time. Financing is generally accomplished by exacting contributions from covered persons, employers, or both, by the government out of general revenues, or by a combination of the two.

## **12.4 EDUCATION: RIGHT TO EDUCATION (RTE)**

‘**EDUCATION**’ – As the word defines education means to acquire knowledge, skills, values and beliefs in different aspects of our life. It is a process of learning and gaining knowledge.

Education is a fundamental human right and it helps to promote individual freedom and empowerment and propagates important development benefits. Education is an important means to make us into rational beings. Without Education people are like animals. Aristotle, the ancient Greek Political philosopher and father of Political Science rightly describe "Man is rational being". Through education there is possibility of well-being of the society. When people are educated, it is very easy to make them understand rationally what something really means. In this connection, the Constitutional safeguard provides special plans and programmes for educational development of the Scheduled Castes. The educational programmes of the Central/State governments include reservation of seats in educational institutions, pre and post matric scholarships, special book bank facility, construction of hostels for boys and girls hostels, overseas scholarship, pre-examination training facilities and running of Residential Schools for Scheduled Castes children.

Article 15(4) empowers state government to make reservation of seats of admission of Scheduled Castes in various educational and technical institutions. As per the Constitutional Provisions, 15 percent of seats are reserved for the Scheduled Castes candidates in educational and technical institutions to provide education to all the suppressed weaker sections. It also provides the relaxation in age and the minimum qualifying marks to get admission in to the educational institutions. It is the duty of the Social Welfare agencies to provide education to all the downtrodden, suppressed and depressed class like Scheduled Castes to improve their better living conditions.

The Constitution of India added the Article 21-A, The Right of Children to Free and Compulsory Education (RTE) Act, 2009, to provide free and compulsory education of all children between the ages of six to fourteen years. It came into effect on 1 April 2010; India became one of 135 countries to make education a fundamental right of every child. It means that all children have a right to full-time elementary education of satisfactory and equitable quality in a formal school which satisfies certain essential norms and standards.

The RTE act basically supports and encourages "free and compulsory" education. Here, free education means that none of the child is allowed to pay any fee or any kind of charges for completing and getting education except for the child whose parents are there who are capable of paying fees and affording all other kinds of expenses for their child related to studies, and compulsory education means that it is the duty of the government and concerning local authorities to check for proper attendance of the students, to ensure proper admission and also to take care for the fulfillment of fundamental education of every child.

### **Right to Education Compliance**

The Right to Education Act also provides for a non-admitted child to be admitted to an age- appropriate class. Financial responsibilities for child education under the Right to Education must be shared between the Central and State Governments. Norms and standard related to Pupil Teacher Ratios (PTRs), buildings and infrastructure, school-working days, teacher-working hours. Teachers must be rationally deployed to maintain a specified pupil-teacher ratio at schools. Additionally, teacher postings must have no rural-urban imbalance, and teachers are not allowed to be deployed for non-educational work, other than decennial census, elections to local authority, state legislatures and parliament, and disaster relief.

It provides for the appointment of appropriately trained teachers, i.e. teachers with the requisite entry and academic qualifications.

### **Salient Features of Right to Free and Compulsory Education Act, 2009**

The RTE Act provides for the following:

- Right of children to free and compulsory education till completion of elementary education in a neighbourhood school.
- It clarifies that ‘compulsory education’ means obligation of the appropriate government to provide free elementary education and ensure compulsory admission, attendance and completion of elementary education to every child in the six to fourteen age group. ‘Free’ means that no child shall be liable to pay any kind of fee or charges or expenses which may prevent him or her from pursuing and completing elementary education.
- It makes provisions for a non-admitted child to be admitted to an age appropriate class.
- It specifies the duties and responsibilities of appropriate Governments, local authority and parents in providing free and compulsory education, and sharing of financial and other responsibilities between the Central and State Governments.
- It lays down the norms and standards relating inter alia to Pupil Teacher Ratios (PTRs), buildings and infrastructure, school-working days, teacher-working hours.
- It provides for rational deployment of teachers by ensuring that the specified pupil teacher ratio is maintained for each school, rather than just as an average for the State or District or Block, thus ensuring that there is no urban-rural imbalance in teacher postings. It also provides for prohibition of deployment of teachers for non-educational work, other than decennial census, elections to local authority, state legislatures and parliament, and disaster relief.

- It provides for appointment of appropriately trained teachers, i.e. teachers with the requisite entry and academic qualifications.
- It prohibits (a) physical punishment and mental harassment; (b) screening procedures for admission of children; (c) capitation fee; (d) private tuition by teachers and (e) running of schools without recognition.
- It provides for development of curriculum in consonance with the values enshrined in the Constitution, and which would ensure the all-round development of the child, building on the child's knowledge, potentiality and talent and making the child free of fear, trauma and anxiety through a system of child friendly and child-centred learning.

The Right to Education act also prohibits:

- Physical punishment and mental harassment
- Screening procedures for admission of children
- Capitation fee
- Private tuition by teachers
- Running of schools without recognition

Curriculum must be developed in alignment with the values enshrined in the Constitution. Education curriculum must be designed to ensure the all-round development of the child, building on the child's knowledge, potentiality and talent and making the child free of fear, trauma and anxiety through a system of child-friendly and child-centred learning.

The RTE Act wants to form an education system in which every child should be allowed to get education freely and he or she should be free from any kind of fear regarding harassment, unequal treatment etc. This act wants to establish the system in which full knowledge regarding subject and moral values should be provided and none of the child could be remained deprived of their fundamental and the most basic rights.

All private schools are mandated to have a 25 percent reservation of seats for children, which must be reimbursed by the state as part of the public-private partnership plan. No child can be held back, expelled, or required to pass a board examination before completion of elementary education. School drop-outs can also access special training to come up to par with students of the same age. The Act necessitates the monitoring of all neighbourhoods, identifies children requiring education, and providing education.

Some steps that should be taken by the Government and local authorities and also by the parents for

increasing awareness regarding education are:

- In RTE “compulsory education” creates an important responsibility for the government as well as for the local authority to ensure admission of every child of the age 6-14 years.
- It is the responsibility of the parents to maintain proper attendance of their child.
- Fulfilling elementary education of each and every child falling under the age of 6-14 years.
- The government should try to maintain proper training facilities of the teachers.
- It should ensure a good elementary education that should be according to the norms.
- It is the responsibility of the local authorities that the child belonging to the weaker section of the society and anyone who is disabled should not be discriminated from the other students.

There are certain responsibilities of the school and the teachers too. These are:

- The teacher appointed should perform the norms the under sub-section (1) of section 23.
- A teacher should be regular and punctual towards his duty.
- It is the responsibility of the school to maintain proper discipline, to make compulsory the elementary education and try to take care that every child is being treated well or not and gaining proper knowledge.

According to the World Bank, education specialist for India, Sam Carlson, “The RTE Act is the first legislation in the world that puts the responsibility of ensuring enrolment, attendance and completion on the Government.” The government has budgeted ` 80,000 crore for the education sector in the Budget 2017-18. However, in comparison to our peers, India spends the least on education. Only 8 percent of schools in India are 'RTE-compliant'. This necessitates the intervention of civil society. NGOs like Save the Children are playing a critical role in ensuring the access to education for children and communities across India. Donate to NGO fundraising to participate in this mission.

## **12.5 HEALTH: NATIONAL HEALTH MISSION (NHM)**

Health is also a significant feature of Human beings. In earlier days people died of many kinds of diseases due to their ignorance. Therefore, taking care of health can help the individuals lead to healthy and sound life. Healthy body indicates the sound mind. If mind is sound a man can take any decision rationally. Therefore, right mind always takes right decision. So, it is the duty of Social Welfare agencies to make people aware of health so that they can look after themselves on their own.

The National Health Mission (NHM) envisages achievement of universal access to equitable, affordable & quality health care services that are accountable and responsive to people's needs. The National Health Mission (NHM) encompasses its two Sub-Missions, the National Rural Health Mission (NRHM) and the newly launched National Urban Health Mission (NUHM). The main programmatic components include Health System Strengthening in rural and urban areas- Reproductive-Maternal-Neonatal-Child and Adolescent Health (RMNCAH), and Communicable and Non-Communicable Diseases. The NHM envisages achievement of universal access to equitable, affordable & quality health care services that are accountable and responsive to people's needs.

***National Rural Health Mission (NRHM):*** National Rural Health Mission (NRHM) was launched in April 12, 2005 to address the health needs of the underserved rural population especially women, children and vulnerable sections of the society and to provide affordable, accessible and quality healthcare. NRHM seeks to provide accessible, affordable and quality healthcare to the rural population, especially the vulnerable groups. Under the NRHM, the Empowered Action Group (EAG) States as well as North Eastern States, Jammu and Kashmir and Himachal Pradesh have been given special focus. The thrust of the mission is on establishing a fully functional, community owned, decentralized health delivery system with inter-sectoral convergence at all levels, to ensure simultaneous action on a wide range of determinants of health such as water, sanitation, education, nutrition, social and gender equality.

***National Urban Health Mission (NUHM):*** The National Urban Health Mission, (NUHM) was launched in May 2013 and was subsumed with NRHM as a sub-Mission of the overarching National Health Mission. (NHM). NUHM seeks to improve the health status of the urban population particularly urban poor and other vulnerable sections by facilitating their access to quality primary healthcare. NUHM would cover all state capitals, district headquarters and other cities/towns with a population of 50,000 and above (as per census 2011) in a phased manner. Cities and towns with population below 50,000 will continue be covered under NRHM.

India's public healthcare situation particularly in rural regions and villages had been a major concern since independence. Hunger, malnutrition, and high mortality had plagued the nation for decades. In 2005, India's Infant Mortality Rate (IMR) stood at 58, well above the global average. The need for a focused initiative to tackle the health scenario led to the launch of NRHM by the Indian government to improve the widespread malnutrition scenario, to collect and study data relating to public health, and to manage the outbreak of endemics and curb the spread of diseases.

NHM focuses on decentralized health planning, service delivery, creating knowledge hubs within district hospitals, strengthening secondary level care at district hospitals, expanding outreach services, improving community processes and behavior change communication, human resources development, public health management, and health management information systems. NHM particularly focuses on equity: prioritizing the health of tribal populations, those in LWE and urban poor. A key outcome of NHM is to reduce Out of Pocket expenditures. Health outcomes, output and process indicators are monitored through large scale surveys conducted periodically with evaluations, use of HMIS data, and periodic reviews done.

The main aim is to create a fully functional, decentralized and community owned system with greater inter-sectoral coordination so that wider social determinant factors affecting health of people like water, sanitation, nutrition, gender and education are also equally addressed.

### **Major Initiatives under NRHM/NHM**

Major initiatives under NRHM/NHM are as follows:

- **ASHA:** ASHA is the first part of call in the community especially for marginalized sections of the population, with a focus on women and children.
- **Rogi Kalyan Samiti (Patient Welfare Committee)/Hospital Management Society:** It is a simple yet effective management structure. This committee is a registered society whose members act as trustees to manage the affairs of the hospital and is responsible for upkeep of the facilities and ensure provision of better facilities to the patients in the hospital. Financial assistance is provided to these Committees through untied fund to undertake activities for patient welfare.
- **The Untied Grants to Sub-Centres (SCs):** The SCs are far better equipped now with Blood Pressure measuring equipment, Hemoglobin (Hb) measuring equipment, stethoscope, weighing machine etc. This has facilitated provision of quality antenatal care and other healthcare services.
- **The Village Health Sanitation and Nutrition Committee (VHSNC):** It is an important tool of community empowerment and participation at the grassroots level to address issues of environmental and social determinants.
- **Healthcare service delivery:** Healthcare service delivery requires intensive human resource inputs. There has been an enormous shortage of human resources in the public healthcare sector in the country.
- **Janani Suraksha Yojana (JSY):** It aims to reduce maternal mortality among pregnant women by encouraging them to deliver in government health facilities.

- ***Janani Shishu Suraksha Karyakram (JSSK)***: Launched on 1<sup>st</sup> June, 2011, JSSK entitles all pregnant women delivering in public health institutions to absolutely free and no expense delivery, including caesarean section. The free entitlements include free drugs and consumables, free diagnostics, free diet during stay in the health institutions, free provision of blood, free transport from home to health institution, between health institutions in case of referrals and drop back home and exemption from all kinds of user charges.
- ***Facility Based Newborn Care***: A continuum of newborn care has been established with the launch of home based and facility based newborn care components ensuring that every newborn receives essential care right from the time of birth and first 48 hours at the health facility and then at home during the first 42 days of life.
- ***National Mobile Medical Units (NMMUs)***: To increase visibility, awareness and accountability, all Mobile Medical Units have been repositioned as “National Mobile Medical Unit Service” with universal colour and design.
- ***National Ambulance Services (NAS)***: As on date, 30 States/UTs have the facility where people can dial 108 or 102 telephone number for calling an ambulance. Dial 108 is predominantly an emergency response system, primarily designed to attend to patients of critical care, trauma and accident victims etc. Dial 102 services essentially consist of basic patient transport aimed to cater the needs of pregnant women and children though other categories are also taking benefit and are not excluded.
- ***Mainstreaming of AYUSH***: Mainstreaming of AYUSH has been taken up by allocating AYUSH facilities in 8365 PHCs, 1945 CHCs, 401 DHs, 4433 health facilities above SC but below block level and 582 health facilities other than CHC at or above block level but below district level.
- ***Mother and Child Tracking System (MCTS)***: Mother and Child Tracking System (MCTS) is a name based tracking system, launched by Ministry of Health & Family Welfare, Government of India as an innovative application of information technology directed towards improving the healthcare service delivery system and strengthening the monitoring mechanism.

## **New Initiatives**

These are as follows:

- ***India Newborn Action Plan (INAP)***: INAP was launched by Hon’ble Union Minister of Health and

Family Welfare, on 18<sup>th</sup> September, 2014 in New Delhi. It outlines a targeted strategy for accelerating the reduction of preventable newborn deaths and stillbirths in the country. INAP defines the latest evidence on effective interventions which will not only help in reducing the burden of stillbirths and neo-natal mortality, but also maternal deaths.

- ***Intensified Diarrhoea Control Fortnight (IDCF)***: IDCF was launched by Hon'ble Union Minister of Health and Family Welfare, on 28<sup>th</sup> July, 2014 in New Delhi. IDCF comprised of a set of activities implemented in an intensified manner from 28<sup>th</sup> July to 8<sup>th</sup> August 2014 to prevent deaths due to childhood diarrhoea across all districts of all States & UTs.
- ***Rashtriya Bal Swasthya Karyakram (RBSK)***: This initiative was launched in February, 2013 and provides for Child Health Screening and Early Intervention Services through early detection and management of 4 Ds i.e. Defects at birth, Diseases, Deficiencies, Development delays including disability.
- ***Rashtriya Kishor Swasthya Karyakram (RKSK)***: This initiative was launched in January, 2014 to reach out to 253 million adolescents in the country in their own spaces and introduces peer-led interventions at the community level, supported by augmentation of facility based services.
- ***Mother and Child Health Wings (MCH Wings)***: 100/50/30 bedded Maternal and Child Health (MCH) Wings have been sanctioned in public health facilities with high bed occupancy to cater to the increased demand for services.
- ***Free Drugs and Free Diagnostic Service***: Extremely high 'Out of Pocket' expenditure on healthcare due to high cost of drugs and diagnostics have proved to be a deterrent in provision of accessible and affordable healthcare for all.
- ***National Iron Plus Initiative***: It is another new initiative to prevent, control and treats iron deficiency Anemia comprehensively across all life stages, a grave public health challenge in India.
- ***Reproductive, Maternal, Newborn, Child and Adolescent Health services (RMNCH + A)***: A continuum of care approach has now been adopted under NHM with the articulation of strategic approach to Reproductive Maternal, Newborn, Child and Adolescent health (RMNCH + A) in India.
- ***Delivery Points (DPs)***: Health facilities that have a high demand for services and performance above a certain benchmark have been identified as "Delivery Points" with the objective of providing comprehensive reproductive, maternal, newborn, child and adolescent health services (RMNCH+A)

services at these facilities.

- **Universal Health Coverage (UHC):** Moving towards Universal Health Coverage (UHC) is a key goal of the 12<sup>th</sup> Plan. The National Health Mission is the primary vehicle to move towards UHC.
- **Mother and Child Tracking Facilitation Centre (MCTFC):** MCTFC has been operationalized from National Institute of Health and Family Welfare (NIHFW). It is being operated by 80 Helpdesk Agents (HAs). It will validate the data entered in MCTS in addition to guiding and helping both the beneficiaries and service providers with up to date information on Mother and Child care services through phone calls and Interactive Voice Response System (IVRS) on a regular basis.
- **Quality Assurance (QA):** The present strategy is shift in focus from fragmented approach of different quality systems to one comprehensive approach of Quality Assurance.
- **ASHA Certification:** A proposal for certification of ASHAs to enhance competency and professional credibility of ASHAs by knowledge and skill assessment has been approved recently. The certification of ASHAs would be done by National Institute of Open Schooling (NIOS).
- **NGO Guidelines:** Guidelines for NGO involvement under NHM during Twelfth Five Year Plan have been issued recently. The new guidelines envisage greater state ownership for NGO led programmes and are intended to provide a broad framework to the States to partner with NGOs and facilitate their participation in capacity building, support for community processes service delivery, develop innovations through research and documentation, advocacy and for supplementing capacities in key areas of the public health system to improve healthcare service delivery.

## **12.6 FOOD: RIGHT TO FOOD SECURITY**

The concept of right to food in India has moved from food for the nation to food for the people and in the recent years it is the food for the vulnerable. Right to food is a claim of individuals from the State for the fulfillment of their basic entitlement. The State as the highest institution of authority has to ensure that every citizen is adequately fed or nourished. It is a fact that everyone has the right to a standard of living where food plays a significant role. Recognizing children as a vulnerable group and protecting their rights are significant due to their fragile stage. These rights or legal principles spell out in human rights laws and legal institutions. While every individual and organization has certain obligations with regard to the rights of the child, it is the national as well as the international institutions that have to carry the primary obligation to

assure that children, like any other vulnerable group, live with dignity and get adequate food for their existence. Thus, there must be serious steps from the governments, civil society and private individuals at international, national and local levels to assure the well-being and security of the future generations by safeguarding their rights, especially the right to food.

Right to food also includes securities for the unemployed, the sick, the disabled, the widows, and the senior citizens. The main cause of hunger and malnutrition are not the lack of food but the inavailability of food. Thus, availability of food is necessary to satisfy the dietary needs of individuals and free them from adverse substances and thus make them acceptable within a given culture. Hence, it is not enough for food to be physically available but it should be adequate to satisfy the dietary needs. An important aspect of right to food includes accessibility. Accessibility of food relates to the distribution of resources and the ways in which the benefits of the process reach everybody without discrimination, especially the most vulnerable and marginalized sections of the society.

Access to food, which is sufficient, nutritionally adequate and safe, ensures individuals freedom from hunger. Access to food could be divided into two categories such as physical accessibility and economic accessibility.

- **Physical accessibility** of food means that people must have easy access to food. State and its agencies should give priority to a certain group of people who need food immediately. This includes people living in disaster prone areas and other disadvantaged groups, which are identified as deserving groups and in need of special attention.
- **Economic accessibility** implies that individuals or households should have economic capacity to purchase food, which is available. The financial cost of buying food grain should not be so high as to compromise other basic needs. Government should give proper attention to raising the level of income through special programmes to facilitate economic accessibility.

The first and foremost step required for realization of right to food is to increase the food grain production of the country. The Government is required to frame policies that enhance the spirit of the farmers. Though the first and the second five year plan focused in the increase in production of food grains making India self-sufficient, however in the subsequent year's attention of the Government shifted towards industrialisation.

To solve the problems of hunger, a multidimensional perspective is required. The realization of the right to food is dependent on various factors, namely:

- (a) The production of foodgrains in the Nation State
- (b) Export and import of foodgrain by the Nation State
- (c) Improving the marketing system to make food physically accessible
- (d) Eradication of poverty
- (e) A socialist approach in the distribution process
- (f) A sound hunger intervening legislation
- (g) Enhanced rate of food consumption amongst the population
- (h) The political will to eliminate hunger and enhance the household food security rather than create artificial national data of poverty eradication to showcase its progress to the world.
- (i) Redefining the concept of food security by encompassing within its ambit the nutritional security.
- (j) Encouraging public activism in influencing the Government policies

The right to food can only be ensured when these different dimensions are accepted under the delivery system as one approach by the Government.

The recent trend of the government is to give priority to the industry over foodgrain production. Thus, there has been no rise in the rate of growth in the agricultural production. The Government should formulate policies to support the creative spirit of the farmers to contribute to the increase in the food production of the country. With the growth of population if there is stagnation in the growth of agriculture production, the availability of foodgrains decrease. The decrease in availability of foodgrains leads to an increase in its prices. This makes food inaccessible to the poor. It is a violation of the right to food.

The current food crises are not confined to the boundaries of our Nation but a worldwide phenomenon. Presently around one billion population of the world are affected by it. If the food crises are not given utmost attention, hunger may become a permanent disaster. There is a possibility of severe food crises in immediate future if adequate attention of all the wings of the Government is not drawn towards sustainable development while preserving the agricultural lands.

In India the economic policy permits the agricultural lands to be declared as the special economic zones. This has made growth in agriculture stagnate while there is a constant growth in population of the country. The Apex Court has cautioned the Government against the mindless acquisition of fertile agricultural land that shall lead the Nation in serious food crisis. The large scale acquisition of agricultural land shall imperil

the access to food of the poor. Such policies have not only reduced the agricultural production but also exposed the poor farmers and their families to starvation and death as they lose their source of livelihood.

Below given are the policies and programmes that are raised by government of India.

1. **Food and Nutrition Security:** Nutrition Security is being addressed through the National cooked Mid-day Meal Programme, ICDS, Kishori Shakti Yojana, Nutrition programme for Adolescent Girls and Pradhan Mantri Gramodaya Yojana.
2. **Mid-Day Meal Programme:** The Mid-day Meal is the world's largest school feeding programme reaching out to about 12 crore children in over 12.65 lakh schools/EGS centres across the country. Mid-day Meal scheme is serving primary and upper primary schoolchildren in entire country. The programme aims at enhancing enrolment, retention and attendance and simultaneously improving nutritional levels among children studying in Government, Local Body and Government-aided primary and upper primary schools and the Centres run under Education Guarantee Scheme (EGS)/Alternative & Innovative Education

(AIE) and National Children Labour Project (NCLP) schools of all areas across the country.

MDM is also served in drought-affected areas during summer vacation also.

National Programme of Mid-day Meal in Schools (MDMS) is a flagship programme of the Government of India aiming at enhancing enrolment, retention and attendance and simultaneously improving nutritional levels among children studying in Government, Local Body and Government-aided primary and upper primary schools and the Centres run under Education Guarantee Scheme (EGS)/Alternative & Innovative Education (AIE) and National Children Labour Project (NCLP) schools of all areas across the country. MDM is also served in drought-affected areas during summer vacation also.

**National Food Security Act:** The National Food Security Act, 2013 was notified on 10<sup>th</sup> September, 2013 with the objective to provide for food and nutritional security in human life cycle approach, by ensuring access to adequate quantity of quality food at affordable prices to people to live a life with dignity.

The Act provides for coverage of up to 75% of the rural population and up to 50% of the urban population for receiving subsidized foodgrains under Targeted Public Distribution System (TPDS), thus covering about two-thirds of the population. The eligible persons will be entitled to receive 5 Kgs of foodgrains per person per month at subsidised prices of ₹ 3/2/1 per Kg for rice/wheat/coarse grains. The existing Antyodaya Anna

Yojana (AAY) households, which constitute the poorest of the poor, will continue to receive 35 Kgs of foodgrains per household per month.

The Act also has a special focus on the nutritional support to women and children. Besides meal to pregnant women and lactating mothers during pregnancy and six months after the child birth, such women will also be entitled to receive maternity benefit of not less than

₹ 6,000. Children up to 14 years of age will be entitled to nutritious meals as per the prescribed nutritional standards. In case of non-supply of entitled foodgrains or meals, the beneficiaries will receive food security allowance. The Act also contains provisions for setting up of grievance redressal mechanism at the District and State levels. Separate provisions have also been made in the Act for ensuring transparency and accountability.

**Salient features of the bill include:**

All Antyodaya Anna Yojana (AAY) or the poorest of the poor group, a priority group to receive 7 kg of subsidised foodgrains per person per month i.e. 35 kg of foodgrain/family/month. General households will be entitled to at least 3kg/person/month. Up to 75 percent of the rural and up to 50 percent of the urban population will be covered by the bill. Of these, at least 46 percent of the rural and 28 percent of the urban population will be designated as priority households. The rest will be designated as general households.

- Pregnant women and lactating mothers will be entitled to meals and maternity benefits of not less than ₹ 6000. It is however restricted to two children only.
- The eldest women of the household of age 18 years or above will be the head of the household for the purpose of issuing ration cards.
- All beneficiaries will have to pay ₹ 3/kg for rice, ₹ 2/kg for wheat, ₹ 1/kg for coarse grains. These prices can be revised after the first three years, up to the level of the minimum support price (assured price paid by the Centre to farmers at the time it buys grains from them).
- Food security allowance in case of non-supply of entitled food grains

The National Food Security Act, 2013 inter alia provides for payment of food security allowance to entitled persons by State Government in case of non-supply of entitled quantities of food grains, within such time and manner as may be prescribed by the Central Government. Accordingly, the Government has notified the Food Security Allowance Rules, 2015 on 21 January, 2015 to prescribe the norms and manner of this allowance. The rules have come into force on the date of their publication in the

Official Gazette, i.e., 21.01.2015. As per these rules, the amount of food security allowance admissible to entitled persons is determined by multiplying the difference between the 1.25 times the minimum support price of the relevant food grain for that marketing season and the prices specified in Schedule I to the Act, with the quantity of non-supply. The allowance is payable by the end of the third week of the month following the month in which the non-supply occurred. The notification has been circulated to all the States/Union Territories on 12.02.2015 for necessary action.

Government has also universalised Kishori Shakti Yojana to improve the nutritional and health status of girls in the 11 to 18 years age group. The Government has also launched the National Food Security Mission for ₹ 4882 crore.

3. ***Mahatma Gandhi National Rural Employment Guarantee Act:*** One of the long-standing demands of the right to food campaign (and of the labour movement in India) is a national "employment guarantee act". This demand was partially met in mid-2005 with the enactment of the Mahatma Gandhi National Rural Employment Guarantee Act (MNREGA, 2005). Under this Act, any adult willing to do casual labour at the minimum wage is entitled to employment on local public works within 15 days, subject to a limit of 100 days per household per year.
4. ***Public Distribution System:*** The Public Distribution System (PDS) plays an important role in the provision of food security. With a network of more than 4 lakh Fair Price Shops (FPS) claiming to distribute annually commodities worth more than ₹ 15,000 crore to about 16 crore families, the PDS in India is perhaps the largest distribution network of its type in the world.
5. ***Antyodaya Anna Yojana:*** AAY has been expanded to cover additional one crore households, representing a 67% increase in coverage. A National Sample Survey Exercise points towards the fact that about 5% of the total population in the country sleeps without two square meals a day. This section of the population can be called as "hungry". In order to make TPDS more focused and targeted towards this category of population, the "Antyodaya Anna Yojana" (AAY) was launched in December, 2000 for one crore poorest of the poor families. AAY contemplates identification of one crore poorest of the poor families from amongst the BPL families covered under TPDS within the States and providing them food grains at a highly subsidized rate of ₹ 2/ per kg. for wheat and ₹ 3/ per kg for rice. The States/UTs are required to bear the distribution cost, including margin to dealers and retailers as well as the transportation cost. Thus the entire food subsidy is being passed on to the consumers under the scheme.

## **12.7 EMPLOYMENT: MAHATMA GANDHI NATIONAL RURAEMPLOYMENT GUARANTEE ACT (MGNREGA)**

The National Rural Employment Guarantee Act, (NREGA) was notified on September 7, 2005. The Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), also known as Mahatma Gandhi National Rural Employment Guarantee Scheme (MNREGS) is Indian legislation enacted on August 25, 2005. The MGNREGA provides a legal guarantee for one hundred days of employment in every financial year to adult members of any rural household willing to do public work-related unskilled manual work at the statutory minimum wage. The Ministry of Rural Development (MRD), Govt. of India is monitoring the entire implementation of this scheme in association with state governments.

MGNREGA is considered as a pioneer among the welfare policies of the Govt. of India as it has actualized the ‘right to work’ (although limited to rural communities) which had been envisioned by Constitution makers and framed in Article 41 of the Indian Constitution. The focus of MGNREGA is ‘to foster conditions for inclusive growth ranging from basic wage security and recharging rural economy to a transformative empowerment process of democracy’ (MORD, 2008). Growth is called inclusive when it does not exclude weaker sections of the society (Mohan & Jahan, 2015). Strength of MGNREGA over earlier Acts lies in its ability to control corruption which had plagued the earlier schemes (Dreze *et al.* 2008). It has unlatched legal space for the poor by making it mandatory for the administrative set-up to deliver (Roy and Dey, 2009).

MGNREGA has the inherent ability to lend a ‘big push’ to the often drought ridden and distressed Indian rural economy.

The Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) – offering up to 100 days work each year to rural Indians – is the largest social protection programme in the world, in terms of the number of households covered.

### **Objective of the Act**

The objective of the Act is to enhance livelihood security in rural areas by providing at least 100 days of guaranteed wage employment in a financial year to every household whose adult members volunteer to do unskilled manual work.

### **MGNREGA Goals**

- Strong social safety net for the vulnerable groups by providing a fall-back employment source, when

other employment alternatives are scarce or inadequate.

- Growth engine for sustainable development of an agricultural economy. Through the process of providing employment on works that address causes of chronic poverty such as drought, deforestation and soil erosion, the Act seeks to strengthen the natural resource base of rural livelihood and create durable assets in rural areas. Effectively implemented, MGNREGA has the potential to transform the geography of poverty.
- Empowerment of rural poor through the processes of a rights-based Law.
- New ways of doing business, as a model of governance reform anchored on the principles of transparency and grass root democracy Thus, MGNREGA fosters conditions for inclusive growth ranging from basic wage security and recharging rural economy to a transformative empowerment process of democracy.

### **Salient Features of the Act**

Salient features of the Act are as follows:

- Adult members of a rural household, willing to do unskilled manual work, may apply for registration in writing or orally to the local *Gram Panchayat*.
- The *Gram Panchayat* after due verification will issue a Job Card. The Job Card will bear the photograph of all adult members of the household willing to work under MGNREGA and is free of cost.
- The Job Card should be issued within 15 days of application.
- A Job Card holder may submit a written application for employment to the *Gram Panchayat*, stating the time and duration for which work is sought. The minimum days of employment have to be at least fourteen.
- The *Gram Panchayat* will issue a dated receipt of the written application for employment, against which the guarantee of providing employment within 15 days operates.
- Employment will be given within 15 days of application for work, if it is not then daily unemployment allowance as per the Act, has to be paid liability of payment of unemployment allowance is of the States.
- Work should ordinarily be provided within 5 km radius of the village. In case work is provided beyond 5 km, extra wages of 10% are payable to meet additional transportation and living expenses.
- Wages are to be paid according to the Minimum Wages Act 1948 for agricultural labourers in the

State, unless the Centre notifies a wage rate which will not be less than ` 60/ per day. Equal wages will be provided to both men and women.

- Wages are to be paid according to piece rate or daily rate. Disbursement of wages has to be done on weekly basis and not beyond a fortnight in any case.
- At least one-third beneficiaries shall be women who have registered and requested work under the scheme.
- Work site facilities such as crèche, drinking water, shade have to be provided.
- The shelf of projects for a village will be recommended by the *gram sabha* and approved by the Zilla panchayat.
- At least 50% of works will be allotted to Gram Panchayats for execution.
- Permissible works predominantly include water and soil conservation, afforestation and land development works.
- A 60:40 wage and material ratio has to be maintained. No contractors and machinery is allowed.
- The Central Government bears the 100 percent wage cost of unskilled manual labour and 75 percent of the material cost including the wages of skilled and semi-skilled workers.
- Social Audit has to be done by the *Gram Sabha*.
- Grievance redressal mechanisms have to be put in place for ensuring a responsive implementation process.

All accounts and records relating to the Scheme should be available for public scrutiny.

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## 12.8 SUMMARY

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RTE Act is an essential step towards improving each child's accessibility to secondary and higher education. The Act also contains specific provisions for disadvantaged groups, such as child labourers, migrant children, children with special needs, or those who have a disadvantage owing to social, cultural, economical, geographical, linguistic, gender or any such factor. With the implementation of this Act, it is also expected that issues of school dropout, out-of-school children, quality of education and availability of trained teachers would be addressed in the short to medium term plans.

The enforcement of the Right to Education Act (External website that opens in a new window) brings the country closer to achieving the objectives and mission of the Millennium Development Goals (MDGs) and Education for All (EFA) and hence is a historic step taken by the Government of India.

The National Health Mission (NHM) encompasses its two Sub-Missions, the National Rural Health Mission (NRHM) and the newly launched National Urban Health Mission (NUHM). The main programmatic components include Health System Strengthening in rural and urban areas, Reproductive-Maternal-Neonatal-Child and Adolescent Health (RMNCH+A), and Communicable and Non-Communicable Diseases. The NHM envisages achievement of universal access to equitable, affordable & quality health care services that are accountable and responsive to people's needs.

Right to food also includes securities for the unemployed, the sick, the disabled, the widows, and the senior citizens. The main cause of hunger and malnutrition are not the lack of food but the inavailability of food. Thus, availability of food is necessary to satisfy the dietary needs of individuals and free them from adverse substances and thus make them acceptable within a given culture.

MGNREGA has emerged as the flagship program of the Govt. of India. MGNREGA is both an Act and a scheme that aims to provide livelihood security in the rural areas by guaranteeing a minimum of 100 days of employment in a financial year to every such rural household whose adult members willingly volunteer to do unskilled manual work (The Gazette of India, 2005). Earlier called as NREGA, it was later renamed as MGNREGA by amendment number 46 of 2006.

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## 12.9 KEY TERMS

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- **Education:** Education is the process of facilitating learning, or the acquisition of knowledge, skills, values, beliefs, and habits.
- **Right to Education (RTE):** The right to education has been recognized as a human right in a number of international conventions, including the International Covenant on Economic, Social and Cultural Rights which recognizes a right to free, compulsory primary education for all, an obligation to develop secondary education accessible to all, in particular by the progressive introduction of free secondary education, as well as an obligation to develop equitable access to higher education, ideally by the progressive introduction of free higher education.
- **National Health Mission (NHM):** National Health Mission was launched by the government of

India in 2013 subsuming the National Rural Health Mission and National Urban Health Mission. It was further extended in March 2018, to continue till March 2020.

- **Right to Food Security:** The right to food is a human right. It protects the right of all human beings to live in dignity, free from hunger, food insecurity and malnutrition.
- **Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA):** The Mahatma Gandhi National Rural Employment Guarantee Act (2005) aims to enhance livelihood security for all adults willing to perform unskilled manual labour in rural areas.

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## 12.10 SELF ASSESSMENT QUESTION

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1. Highlight some aspects which are prohibited in RTE.
2. Highlight the characteristics of a welfare or security programme.
3. What is social welfare programme?
4. What are the factors which are dependent on realization of the Right to Food?
5. What are the two categories related to the access to food?
6. Highlight the goals of MGNREGA.
7. Discuss the compliance related to RTE.
8. What are the salient features of Right to Free and Compulsory Education Act, 2009?
9. Describe the steps that should be taken by the Government and local authorities and also by the parents for increasing awareness regarding education along with the responsibilities of the school and the teachers.
10. Discuss the two sub-missions of the National Health Mission.
11. Explain any five initiatives taken under NRHM/NHM.
12. Describe the salient features of MGNREGA.

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**BLOCK-3 CITIZEN AND ADMINISTRATION INTERFACE**

Unit-13: Public Service Delivery System

Unit-14: Redressal of Public Grievances: RTI

Unit-15: Redressal of Public Grievances: Lokpal, Citizens' Charter

Unit-16: Concept of e-Governance

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## **UNIT-13: PUBLIC SERVICE DELIVERY SYSTEM**

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### **Structure**

13.1 Objectives

13.2 Introduction

13.3 Meaning of Public Service Delivery System

13.4 State of Public Service Delivery in India

13.5 Models for Improving Public Service Delivery

13.6 Importance of Accountability Mechanism in Public Services Delivery

13.7 Classification of Public Service

13.8 Characteristics of Public Services

13.9 Challenges of Implementing Public Service Delivery

13.10 Summary

13.11 Key Terms

13.12 Self-Assessment Questions

13.13 References

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### **13.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Understand the concept of public service and its characteristics
- Discuss the state of public service delivery in India
- Identify the models for improving public service delivery
- Describe the classification of public services
- Discuss the importance of accountability mechanism in public services delivery
- Explain reforming of public service delivery
- Discuss government initiatives and policy measures

- Understand concerns/challenges and critical success factors for public service delivery
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## **13.2 INTRODUCTION**

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The public service is very important in the provision of service to the citizens of any country. It is through the public service that government can manage its activities effectively and efficiently. Public service plays a vital role in delivering and distributing public services across a country. The major function of public service is to provide services; provide enabling environment for economic growth and prosperity for citizens as well as securing and strengthening democratic institutions. The history of human civilization has been dominated by the evolution of Governments' primary function from a reigning, controlling establishment to a more service-based entity. Gradually but steadily, public service delivery has been perceived as a fundamental function of the modern governments. Public services have evolved to be one of the instruments available to the governments for the implementation of developmental goals and objectives, and a pivot for growth of the economies, aiming at creating an appropriate environment conducive to all sectors of the economy performing optimally. It is this catalytic role of the public services that propelled the governments to seek continuously for better ways to deliver their services.

## **13.3 CONCEPT OF PUBLIC SERVICE**

A public service is associated with government and it is offered by administrative bodies to people living within its region and considered essential to modern life. The term is linked with a social agreement (usually expressed through democratic elections) that numerous services should be offered to all, irrespective of income. Even where public services are neither publicly provided nor publicly financed, for social and political reasons they are usually subject to directive going beyond that applying to most economic sectors. Public service is also subject taught in education curriculum of students in colleges and university such as the fire brigade, police, army, and paramedics. It is stated that the provision of public services for example, health care, education, sanitation and criminal justice is major duty of government. People care about public services and depend on them being delivered well. Public services offer the most common interface between people and the state, and their functioning shapes people's sense of trust in and expectations of government. At national level, public services support human welfare and economic growth.

Some political experts recognized the immense importance of Public services for moral reasons. Their universal provision should be guaranteed. They may be related with fundamental human rights (such as the right to water). The Volunteer Fire Dept. and Ambulance Corps are institutions with the mission of servicing

the community. A service is helping others with a particular need or want. In this regard, service ranges from a doctor curing an illness, to a repair person, to a food pantry. It has been emphasized by scholars that Public services need to be delivered with honesty, centred around citizens, and responsive to their requirements, particularly to the needs of the most vulnerable. Promoting greater transparency and allowing ordinary citizens to assess the quality, adequacy and effectiveness of elementary services, to voice their needs and preferences and to become involved in innovation offers an opportunity to enable better use of public funds, and improve service delivery (Ringold *et al*, 2013).

#### **13.4 STATE OF PUBLIC SERVICE DELIVERY IN INDIA**

Delivery of various public goods and services is one basic responsibility of the State. Though with expansion of the market many services are available in the private sector but some of the core services will continue to be delivered by the State only, because of nature of such services. Those include important regulatory services for maintaining order in the society by ensuring that adequate norms of public behavior are established through Acts and Rules, which everyone has to comply with (e.g. maintaining law and order, administration of justice etc.). This is also important

for protecting human rights as well as allowing everyone to enjoy certain freedoms and carrying on various social and economic functions for their earning and well-being. The basket of private

goods and services one receives depend on his or her exchange entitlement and, therefore, many people having inadequate income are not in a position to satisfy all their needs.

The State has a very important role to play in making available some essential public goods and services (henceforth to be called services only), which ensures certain minimum level of well-being to everyone in need of those. Financial and other resources under command of the State are always limited and, therefore, the services are to be delivered efficiently and effectively to ensure desired level of well-being to all the citizen and within as short time as possible. The society has various forms of discrimination and deprivations, which should be reduced and, therefore, the resources should be so allocated that there is justice and equity in the outcome of all public services. It is even more important to ensure that services are delivered effectively and efficiently for attaining desired outcome. So it is necessary to understand various aspects of delivery of public services. However, usual understanding success in delivering is through allocation as inputs and expenditure, with little assessment of output as to what extent that satisfies the service recipients and the outcome. Thus the focus is what the delivery system perceives what has been

delivered and not what the citizen receives in meeting their needs. Assessing that requires change in mind set in developing citizen-centric way of looking at things and to see the success through them and in terms of outcome leading to better well-being of the citizen.

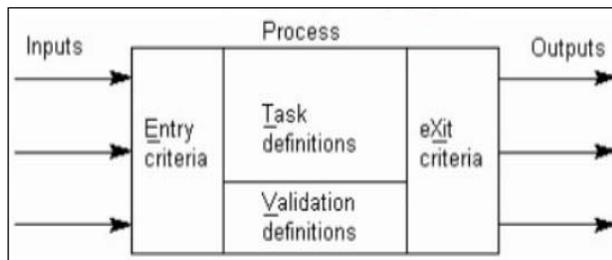
### 13.5 MODELS FOR IMPROVING PUBLIC SERVICE DELIVERY

Some of the useful models for improving public service delivery are:

- ETVX Model
- SEVOTTAM Model

#### ETVX Model

Delivery of public services is organized through assigning responsibilities of performing certain tasks to the bureaucracy and their ability to perform the tasks and motivation decides how efficiently the services will be delivered. Ensuring proper performance of any task can be analysed by the ETVX model used in



management to document the processes involved.

'E' stands for the entry criteria which must be satisfied before a set of tasks can be performed,

'T' is the set of tasks to be performed,

'V' stands for the verification and validation process to ensure that the tasks are performed correctly, and

'X' stands for the exit criteria or the outputs of the tasks.

Great service is not an accident. It comes from intention and attention to detail. There are four places where the quality can be specified and checked:

**Entry criteria** define what inputs are required and what quality these must be to achieve the exit criteria. The entry requirement is related to assigning responsibility on some agent and providing resources for doing the task. In public domain the task is assigned by the political executives as per their goal as to what the government will do for the citizen. Entry criteria should be communicated to supplier processes, to become their exit criteria. If supplier processes are sufficiently well controlled, then there is no need to check inputs.

**Task definitions** specify the actions within the process: Based on the entry criteria, the upper tier (Management wing) of the bureaucracy allocates various resources like authority, fund, and manpower (frontline employees or service providing wing) from whom the citizens receive the service.

**Validation definitions** identify test points within the process and define the tests and criteria for checking at these points. This enables problems to be caught close to their cause, reducing rework and scrap costs, and enabling problem causes to be addressed. In this phase there is need to validate whether the task has been performed satisfactorily. This is done by the reports generated by the field offices and feedback and complaints received from the citizens who receive the service. The task can be said to have been performed satisfactorily only if delivery of the service meets the set norms of performing the task. If it is found after validation that the same has not been done satisfactorily the lapses are to be rectified by enforcing necessary corrective measures. The same is done by using the authority of the management wing on the frontline service providers.

**Exit criteria** define what outputs are required and what quality these must be to meet the needs of customer processes. The task is performed properly the process ends and exit from the task gets completed. Exit criteria may be derived from the entry criteria of customer processes.

### **SEVOTTAM Model**

The Sevottam was designed by DARPG (Department of Administrative Reforms and Public Grievances) in 2006 as an assessment improvement framework for public service delivery. The Ministry of Personnel, Public Grievances and Pensions has taken steps to register Compliant Citizen's Charter and Grievance Redress Mechanism.

Sevottam literally is the combination of Hindi words 'SEWA + UTTAM', meaning *uttam sewa* i.e. excellence in services.

#### **Three Modules in Sevottam Framework**

The Sevottam framework has basically three modules. They are:

- ***Citizen Charter:*** Citizen Charter specifies and publishes the standards of service delivery. A charter is an explicit statement of what a public agency is ready to offer as its services, the rights and entitlements of the people with reference to these services and the remedies available to them should problems and disputes arise in these transactions. It is a mechanism for augmenting the accountability and transparency of the public agencies interfacing with the people.
- ***Public Grievance Mechanism:*** The Public Grievance Redress Mechanism that process complaints from citizens when standards in Citizen's Charter are not met in the service delivery. Once the grievance has been recorded and classified as to who is responsible for redressing the same all concerned have to act within the promised timeframe. It is equally important that preventive measures are taken to reduce the grievances so that there is less requirement of taking corrective steps.
- ***Service Delivery Capability:*** Capacity building for service delivery to bring improvements on a continuous basis. The three aspects of improving capability are to know the service recipients better in terms of their satisfaction level (which do not always come as complaint), improving attitude and skill of the employees and providing necessary infrastructure for performance.

### ***Objectives***

The key components of Sevottam are captured with the following objectives:

***Successful implementation of Citizen's Charters:*** It requires opening up a channel for receiving citizens' inputs into the way in which organizations determine service delivery requirements. Citizens' Charter publicly declares the information on citizens' entitlements; making citizens better informed and hence empowering them to demand better services.

***Service Delivery Preparedness and achievement of Results:*** An organization can have an excellent performance in service delivery only if it is managing the key inputs for goods service delivery well, and building its own capacity to continuously improve delivery. This shall include identification of services rendered, the service delivery process, and its control and delivery requirements.

***Sound Public Grievance Redress Mechanism:*** This requires a good grievance redress system operating in a manner that leaves the citizen more satisfied with how the organization responds to complaints/grievances, irrespective of the final decision.

Steps Involved in Service Delivery

There are seven basic steps for implementation of Sevottam. These are as under:

- Define all services which a department provides and identify clients
- Set standards and norms for each service
- Develop capability to meet the set standards
- Perform to achieve the standard
- Monitor performance against the set standards
- Evaluate the impact through an independent mechanism
- Continuous improvement based on monitoring and evaluation results.

Seven Steps to Sevottam Compliant Grievance Redress System

Seven Steps to Sevottam Compliant Grievance Redress System are as follows:

- Well-established system of receipt of grievances
- Convenient for all users and its wide publicity
- Timely acknowledgement
- Time norm for redress
- Communication of action taken on redress
- Platform for Appeal
- Analysis of grievance prone areas for making systemic improvements

An organization which meets Indian Standard 15700:2005 will be entitled for “Sevottam” certification, “Sevottam” being the Indian name for excellence in service delivery.

### **IS 15007:2005**

After implementing Sevottam across the country, DARPG demanded Bureau of Indian Standards (BIS) to create a standard that addresses the concerns of service delivery by government organizations. By doing that, India has become the first country to have a published standard for Public Service Delivery.

### **Elements of IS 15700:2005**

To fulfill the requirements of Quality Management System Sevottam, an Indian Standard 15700:2005 was created for certifying organizations. The IS 15700:2005 has certain citizen centric

features such as the Citizen’s Charter, Grievance Redress Mechanism, and nomination of an Ombudsman

etc.

The Indian Standard on Service Quality by Public Service Organization focuses mainly on the following three key elements:

1. Formulation of a realistic Citizen's Charter through a consultative process.
2. Identification of services rendered, Service delivery processes, their control and delivery requirements.
3. An effective process for complaint handling.

The DARPG has developed this model for benchmarking Excellence in Public Service Delivery and it provides the framework to organizations to assess and improve the quality of service delivery for the citizens.

#### *Sevottam Model in Detail*

Sevottam model provides a standard for providing public service delivery in a citizen centric administration. Those organisations adopting Sevottam model for service delivery need to comply the 7 steps and ensure the formulation of 3 modules. Indian Standard IS:15700:2005 formulates on basis of Sevottam.



- **Main Objective:** Improve the quality of public service delivery in the country.
- **Intermediate outcomes:** Intermediate outcomes are expected from compliance of conditions designed for each of these three components. These include Citizen Empowerment, Redress Satisfaction and Capacity Enhancement.

#### **Benefits of the Sevottam Model**

The framework enables implementing organizations to undertake a systematic, credible and authenticated self-assessment (or 'gap analysis') for citizen-centric service delivery. Using this analysis, practical

solutions are gradually and systematically incorporated into the organization's day-to-day routine thereby ensuring sustainable results.

There are four broad ways in which the Sevottam model can be used:

1. As a self-assessment tool by organizations already motivated to improve service delivery
2. As a requirement standard
3. As a benchmark assessment process to be established
4. As a rating model to recognize and reward organizations that are doing commendable work in service delivery

### ***Defects of Earlier Systems of Public Service Delivery***

#### **Drawbacks of Citizens Charter**

- Prepared without involvement of citizens/clients/stakeholders
- No relation with service delivery improvement
- Information about charter does not percolate down the line, hence not implemented

#### **Drawbacks in earlier Public Grievance Redress Mechanism**

- Not in place in many organizations
- Grievances not taken as feedback for improvement of services
- Employees not trained for improvement of tasks assigned

#### **Defects in earlier Public Delivery Standards**

- Not prescribed or not met due to inadequate infrastructure
- Non-involvement, de-motivation and lack of training of employees at the cutting edge level
- Lack of proper planning for optimum utilization of resources

### **13.6 IMPORTANCE OF ACCOUNTABILITY MECHANISM IN PUBLIC SERVICES DELIVERY**

The quality of service delivered depends on motivation, skill, responsiveness and understanding of what has to be delivered by the frontline providers along with availability of all resources required for delivery of services. However, satisfactory quality of services cannot be ensured by merely providing all those unless the accountability mechanism is strong and operative. Or, speaking in a different way even if all the essential conditions of better delivery of services is met by each of the actors referred to above there is no guarantee that services will be actually delivered unless the accountability mechanism functions well. There has to be continuous interactions among the actors mentioned before to check every step in the process

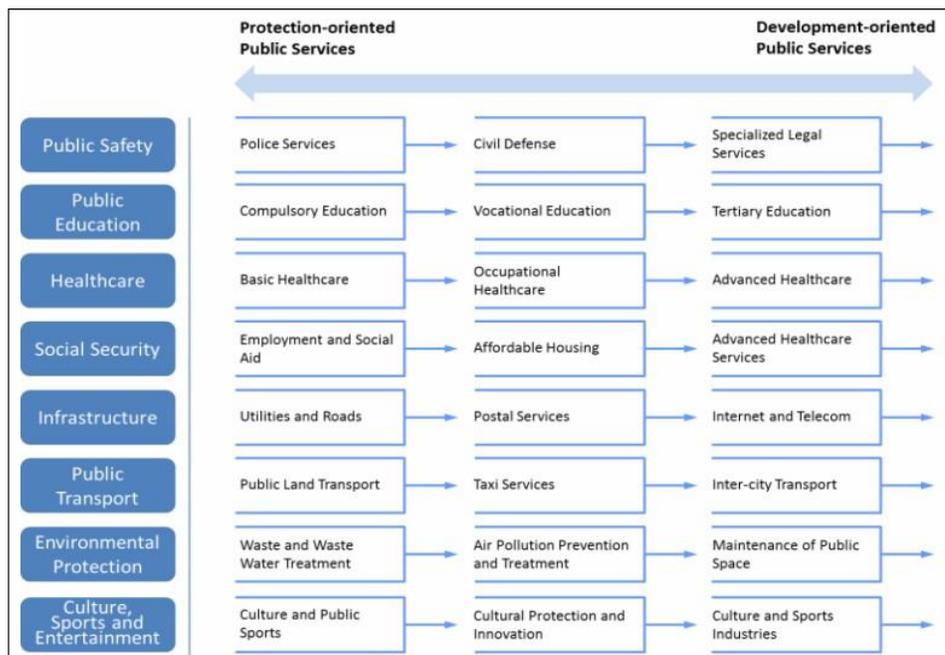
of service delivery as may be understood by the ETVX model as well as the model presented above through the diagrams. Thus, delivery of services is not the sole function of the service provider whom the citizen meets and interacts but all the players narrated above including the citizen themselves have to be engaged with the governance functions by mobilizing their client power to make services work efficiently.

However, establishing accountability relationship is not always easy and in real life there could be many forms of deviations which make the relationship weak or even nonfunctional (e.g. the organization provider may not have any real control on the service provider because of political interference or trade union movement, the client power may be kept suppressed because of physical threat compelling the citizen not to make any complaint and level of awareness of the citizen and their empowerment in developing required voice mechanism may be absent in practice etc.).

### 13.7 CLASSIFICATION OF PUBLIC SERVICES

Public services encompass a wide span of services, delivered at both the local and national level. There are different measures for classifying public services.

Frost & Sullivan categorizes the major public services into eight groups, each of which comprises both protection- and development-oriented public services as shown in the



Aiming at protecting citizens' fundamental human rights i.e. survival and development, protection-oriented public services are also considered as the "minimum requirements" for public services at specific social and economic development stages. Development-oriented public services, on the other hand refer to the public services falling beyond the boundary of the protection-oriented public services.

### **13.8 CHARACTERISTICS OF PUBLIC SERVICES**

Public service is unique in many respects in contrast to the private services, which the citizen consumes from the market. Competitiveness in the market ensures efficiency of delivery of private services. The relationship between the private service provider and the service recipient is also straight forward and mostly there are just two actors. The client receives the service, judges the quality and assesses if the payment which is being made is justified. In case the same is not acceptable the client may decide to stop the transaction. Such direct accountability and easy enforcement in case the service standard does not meet the expectation of the client is not possible in public services. Also, client does not directly pay for the services in respect of all free public goods (e.g. free education, health care, birth registration, receiving voter identity card, Mid-Day Meal etc.) or pay at much subsidized rate (e.g. PDS, fees in government colleges, receiving other subsidized products from public sector etc.). The services being provided may be free to the citizen but not to the government (in fact cost of production and delivery of services in government is generally costlier, and there is a general trend for going for private partnership in reducing cost of delivery). Since clients do not pay directly they are not in a position to judge whether the service they are receiving is worth the cost being incurred by the government (out of tax paid by them). In case of private service snapping the relationship leads to loss of business and earning of the service provider and he has motivation to satisfy the client by maintaining quality of services. In public sector remuneration or motivation for financial gain is delinked from level of satisfaction by the clients. Rather there could be possibility of rent seeking leading to extra income without losing regular remuneration. Dissatisfaction expressed by the clients can get corrected generally through the long route of accountability. The processes involved knowledge of what services were to be delivered, what has been delivered, reasons for failure and prompt action at every level of the accountability chain which involves meeting many other conditions making the accountability mechanism complex and quite ineffective.

Services which are delivered are of many types with varying attributes which have important bearing on functioning of the accountability mechanism and in ensuring quality of those services. Some of the services may be mostly delivery of goods which can be easily standardized helping the client to judge easily and

express their grievance (e.g. food grains delivered in a ration shop, delivery of school uniform etc.). However, without a proper grievance redress system such effort becomes futile. In some cases though goods are delivered but it may be difficult for the citizen to

check the standard (e.g. medicines, water for drinking for which quality in terms of bacteria/arsenic content is difficult to judge). That makes raising question on the material quality

quite difficult. But delivery of many public services has little or no component of transfer of tangible goods whose physical parameters can be judged but the same consists of intangible services judging whose quality may have elements of perception making it difficult to set the standard and assessing service quality difficult objectively. However, quality of access, time taken to deliver, associated easiness or harassment, ambience in which service is delivered, payment of hidden cost (bribe) and attitude and behaviour of the service provider etc. become more relevant.

The services may be classified as transaction intensive and non-transaction intensive depending on the type of transactions necessary between the service provider and the client. In transaction intensive services there could be high element of discretion as to how the transaction will proceed to result in some output. A doctor examining a patient is transaction intensive requiring continuous interaction between the doctor and the patient for investigating the reason behind illness. Such process is both transaction intensive and discretionary (the doctor at a BPHC may not agree to conduct a delivery apprehending obstructed labour and may refer the patient to a hospital having facility for conducting caesarian delivery) making it difficult to standardize the services the doctor will deliver. Same is the case for teaching because teaching requires regular assessment of learning level of the student to plan teaching for further learning and there is lot of discretion as to how the lessons will be taught. Some of the services are transaction intensive but there is no discretion left with the service provider. For example, SHG group drawing money from their group savings is transaction intensive but not discretionary (it becomes discretionary in deciding the credit limit the group will enjoy).

Some of the services may be non-transaction intensive but discretionary. For example setting the eligibility criteria for recruitment against a post or designing the examination type for recruitment is discretionary but does not require prior transactions with the applicants (client). While transaction intensive services make standardization of services difficult the discretionary services weakens the accountability mechanism as to why certain services were not delivered or the way the same were delivered. Services which are neither transaction intensive nor discretionary are easier to monitor and making the services work becomes easier.

The matrix below shows the classification of services in the said two dimensions. Some of the services may be difficult to classify in a clear compartment because of its complexity but the analysis helps to appreciate the role played by different actors and how the relationships of accountability will take shape for deciding on the service quality.

<b>Services</b>	<b>Non-discretionary</b>	<b>Discretionary</b>
Non-transaction Intensive	Issuing ticket, Supply of water/electricity to existing consume	Awareness generation campaign, Setting eligibility criteria for job
Transaction Intensive	Vaccination, Issuing photo identity card	Treating patients, handling a law & order situation

There are other attributes of the services which may influence the quality of services likely to be delivered. Some of the services may be universal in nature while others could be targeted (PDS, disability pension etc.). Self-targeting is a better way of deciding on the beneficiaries (e.g. MGNREGA) than to go by a prior list, which usually fails to the real beneficiaries and include ineligible persons through various manipulations. Also, as mentioned above the client power is usually weak for services targeted towards the poor and are not well implemented in general. Some of the services may be corruption prone because of the nature of services and such services may have unofficial presence of middlemen who do not feature in any of the government processes but may strongly influence the nature of delivery. Improving transparency of various steps involved in the delivery process is one way of reducing the risk of corruption. The same is enhanced through better engagement of the civil society in watching the associated government processes.

\*(PDS - Public Distribution System; MGNREGA - Mahatma Gandhi National Rural Employment Guarantee Act)

### **13.9 CONCERNS/CHALLENGES OF PUBLIC SERVICE DELIVERY**

Service delivery in India is a challenge and is marked with large and glaring inefficiencies. Nearly two decades of rapid economic growth, the uphill task facing policymakers at all levels – centre as well as states – is to ensure inclusion so that the gains from increased national income are shared by all every section of the society.

Some of the concerns related to public service delivery are:

Large disparities between the poor and non-poor in the country and it are the poor that suffer much more due to weak public service delivery.

The climate of 'identity politics', with citizens preferring to vote for politicians belonging to the same community, caste, or religion as them.

The share of elected politicians with criminal backgrounds has been rising and this can negatively impact economic growth.

- Politicians foresee electoral returns to providing assistance to citizens.
- Corruption has often been cited as the primary cause of governance deficit.
- The poor are not fully aware of the returns of health and education.
- In this age of social media we have Whatsapp rumours and fake news.
- There are administrative challenges associated with the use of ICT services.

There have been numerous studies on service delivery and one noteworthy nationally representative sample of over 3,000 government-run schools and 1,500 primary health centres across India found that on a typical working day, 25 percent of teachers in government schools and 40 percent of medical workers in government health clinics are absent from work. The study has merit and credibility and was conducted by various prestigious institutions and involved teams from Harvard University and the World Bank too. The above statistics and revelations are startling facts and highlight the plight of public service distribution in India.

It is very necessary that basic services such as health and education should be of high standards and be provided to all citizens specially where it is absolutely needed, since these are not only ends goals in themselves, but also play a critical role in enhancing individual capabilities to participate fully in the growth of the economy.

Central and state governments and its bureaucrats have recognized this as a priority area, but have shown a lack of imagination (like all their predecessors) in addressing the problem of service quality by focusing mostly on increasing spending and not enough on the question of increasing efficiency the resources allocated are spent.

The inefficiency and absence are based on direct physical observation as opposed to official records and this is a bare minimum estimate of the problem, because in many cases providers are present but don't actively work. Also, salaries account for over 90 percent of the non-plan budget in education; nearly half the resources allocated to education are potentially being wasted. Various Research articles have shown that average numbers are bad enough, but the state-level variation are even more troubling because poorer states have significantly higher levels of provider absence

in both health and education. For instance, over 70 percent of doctors in Bihar were found to be absent, and over 70 percent of teachers in Bihar and Jharkhand was not engaging in any teaching activity. Thus, the states that have the greatest need for improved health and education are also the ones where increased spending on its own is least likely to make a significant impact on outcomes. Since salaries are the largest component of spending, the rest of this article will focus on ways of improving incentives for the front-line service providers such as teachers and healthcare workers.

Proposed solutions which have been discussed so often and are very effective needs to be undertaken and deemed important for current discussion:

1. ***Bonus Payments linked with performance & contractual structure of employment:*** There is no incentive for performance and good work. One simple solution to this problem would be to make pay variable and link it to a portion of the salary to objective measures of performance. Misconception in some quarters is that government employees are not paid well enough, while the reality is that the average government teacher is paid three to ten times more than a typical teacher in a rural private school.

Proof of concept has shown results that small monetary bonus payments to teachers on the basis of the average improvement in student performance on independently administered tests led to large gains in student learning outcomes. This programme was over 10 times more cost effective in improving learning than simply expanding spending along existing patterns. It was also popular with teachers with over 85 percent of them being in favour of the idea of bonus payments on the basis of performance.

Another promising way of improving effectiveness of service delivery is to modify the contractual structure of employment to make job renewal subject to satisfactory performance as measured by both administrators and the community that is being served. A good example is the use of contract teacher and staff who are hired locally at the community level.

2. ***Direct distribution of largesse and empowerment of individuals:*** Recent initiatives have changed the focus and demonstrated the effectiveness of these initiatives. Biggest of such initiative is Unique Identity scheme known as Aadhaar, which can facilitate transfer of cash benefits directly to people who are in need and reducing multiple touch points. Pilot projects have shown that it has helped reduce cost drastically by cutting middleman, removing black marketers and corrupt practices of public distribution system, which includes bureaucrats and money-making middleman. However, schemes like above will take time to reach all masses and to disrupt well-established age-old system of corrupt practices.

Regarding empowerment of individuals, one response to the poor quality of public schools and clinics is the increasing prevalence of private schools and clinics even in backward parts of the country. A key feature of private providers is the much higher level of accountability of their employees.

In conclusion, the public distribution system is very important especially in:

- (a) Improving the quality of health and education for all.
- (b) Subsidy for fertilizers, seeds availability, storage and distribution of final agriculture product.
- (c) Subsidy on Household items like Sugar, wheat, gas and kerosene oil to targeted families.
- (d) Subsidy on transportation of goods like that on diesel.
- (e) Infrastructure support - which includes roads, bridges and dams.

These subsidies must reach the targeted mass efficiently and directly to reduce cost and leakage. Services to all Indians are critical components of ensuring 'inclusive growth'. While budgetary increases are definitely welcome, their effect will be magnified if accompanied by measures to improve the effectiveness of spending.

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## **13.10 SUMMARY**

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The public service is very important in the provision of service to the citizens of any country because it is through the public service that government can manage its activities effectively and efficiently. Public services mean the services provided by a government to its citizens, either directly or by financing private provision of such services. The State has a very important role to play in making available the essential public goods and services that ensure certain minimum level of well-being to everyone in need of those. To

improve the quality and quantity of services delivered to the citizens, governments resort to continuous improvements. Need for delivering the services efficiently and effectively to ensure desired level of well-being to all concerned and within as short time span.

The public service helps to put in place systems and processes that will help to deliver services to citizens. It is envisaged that by making core systems and processes more effective and by addressing specific delivery issues, we will have more capable government at all levels that is increasingly using transparency and accountability mechanisms to pursue delivery of service targets. As service delivery solutions are implemented and core system improvements and accountability mechanisms are used, governments will act more responsively to deliver improved performance in some areas of public administration and service delivery.

Any effective public service delivery mechanism must ultimately lead to good governance. Briefly put, it is the inter-relationship between the government functionaries and the citizens to whom the services of the government are addressed to, and the manner in which the services reach those for whom they were intended.

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### **13.11 KEY TERMS**

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**Public Service:** A public service is associated with government and it is offered by administrative bodies to people living within its region and considered essential to modern life.

**Sevottam Model:** Sevottam is an assessment - improvement model that has been developed with the objective of improving the quality of public service delivery in the country.

**ETVX Model:** ETVX stands for Entry-Task-Verification-eXit. IBM introduced the ETVX model during the 80's. In this model any process is broken down to multiple tasks which would be performed linearly.

**Reform:** Reform means the improvement or amendment of what is wrong, corrupt, unsatisfactory, etc.

**Performance-related Pay:** Performance-related pay or pay for performance, not to be confused with performance-related pay rise, is a salary or wages paid system based on positioning the individual, or team, on their pay band according to how well they perform.

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### 13.12 SELF ASSESSMENT QUESTION

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1. What are the attributes of public service in India?
2. What is public service?
3. Highlight three modules in Sevottam Framework.
4. What are the objectives of the key components of Sevottam?
5. Write down seven basic steps for implementation of Sevottam.
6. Draw diagram of mapping of public services.

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## **UNIT-14: REDRESSAL OF PUBLIC GRIEVANCES: RTI**

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### **Structure**

- 14.1 Objectives
- 14.2 Introduction
- 14.3 Public Grievances
- 14.4 Importance of Grievance Redressal Mechanism
- 14.5 Institutional Mechanism in India
- 14.6 Right to Information
- 14.7 Scope of Right to Information Act, 2005
- 14.8 Summary
- 14.9 Key Terms
- 14.10 Self-Assessment Questions
- 14.11 References

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### **14.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- Explain public grievances
- Discuss the problem of corruption in Indian administration
- Explain the machinery for the redressal of citizen's grievances
- Recognise the importance of redressal of public grievances in a democracy
- Identify and explain the various instruments of redressal of public grievances

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### **14.2 INTRODUCTION**

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In a democracy, the citizens make the government and hold it accountable. Government is operated by bureaucracy for whom the rules and regulations are more important than helping the citizens. Also, it tends

to keep things secret and department like electricity and water-supply, railways and telephones etc. exercise their own power. Citizens register many complaints against government machinery. The grievances of citizens against government machinery need to be heard and redressed otherwise, citizens will tend to withdraw their loyalty towards it. Hence, democracy sets up appropriate machineries for the redressal of citizen's grievances.

In the contemporary society, State plays an important role in the socioeconomic development. The success of democracy and development depends to a greater extent on the efficiency of the government machinery. However, in the exercise of administrative powers there is always a possibility of malpractices. This results in public grievances towards the administration. According to Chambers dictionary, grievance means a 'ground of complaint, a condition felt to be oppressive or wrongful'. In a democracy people should have the opportunities to ventilate their grievances and a system of redressal. In this lesson, we shall be discussing the nature of public grievances and the institutional arrangements for the redressal of the same.

### **14.3 PUBLIC GRIEVANCES**

The colonial history and the authoritarian orientation of Indian administration resulted in the negative attitude of citizens towards the administration. The gap between the performance of administration and the expectations of the people also created a negative image of administration. The democratic aspirations of the people and authoritarian attitude of administrators produced tensions between the two. The contradictions in the social situation have resulted in inequalities. There is discrimination in the treatment of citizens by administration. The social gap between the civil servant and the citizen whom he is expected to serve also is a cause for hostile relationship between the two. The well-educated urban middle class civil servant is expected to serve the poor and illiterate rural citizens. This creates a socio-psychological gap between them. Then, there are the chronic delays in getting things done, and innumerable rules and regulations that are not easily comprehensible to ordinary citizens. The cumulative effect of all these factors is the piling up of public grievances against administration.

Some of the common grievances against administration may be listed as under:

- **Corruption:** Demand and acceptance of bribery for doing or not doing things.
- **Favouritism:** Doing or not doing things for obliging people in power or people who matter.
- **Nepotism:** Helping the people of one's own kith or kin.
- **Discourtesy:** Use of abusive language or other types of misbehaviour.

- ***Neglect of Duty:*** Not doing things that the law requires.
- ***Discrimination:*** Ignoring poor and uninfluential citizens' genuine complaints.
- ***Delay:*** Not doing things at the appropriate time.
- ***Maladministration:*** Inefficiency in achieving the targets.
- ***Inadequate Redressal Machinery:*** Failure to attend to public complaints against administration

In addition to the above-mentioned common grievances there may be specific grievances relating to particular administrative departments/agencies. For example, people have many grievances against the police resorting to third degree methods like beating, torturing, wrongful confinement or harassment of suspects and witnesses. Fabrication of evidences, nexus between the police and the underworld are some other areas of public grievances against police administration. The grievances against agricultural administration may be mainly related to the quality and quantity of inputs and services provided to farmers. Though there may be many specific grievances against individual administrative agencies, corruption is the most common among them all. We shall be discussing the public grievances pertaining to corruption along with the machinery for the redressal of the same in the ensuing sections.

#### **14.4 IMPORTANCE OF REDRESSAL OF GRIEVANCES**

In a developing country like ours, Government has to perform many functions. The citizens depend on the services provided by various government agencies. To levy rice, wheat and sugar from a ration shop, a citizen has to have a ration card issued by the Government. To obtain a rationcard is not very difficult, but the quality of services is far from satisfactory. For most things in life, citizens depend on the services and facilities provided by government agencies.

It is a common experience that the citizens often face difficulties in dealing with government agencies. Too many rules and regulations are there, resulting in unnecessary delay. Trains or buses may not run on time. The banks, the hospitals, the police are often not co-operative.

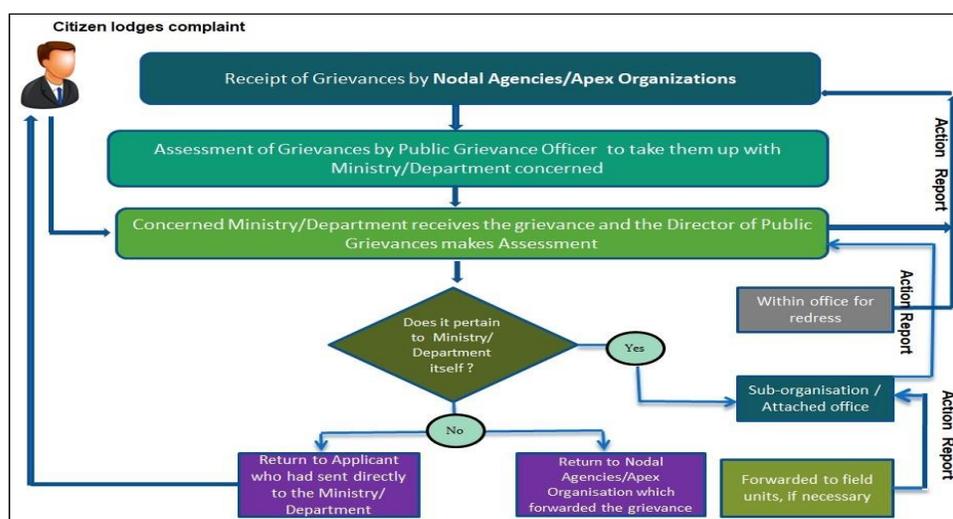
Delay or harassment and unhelpful attitude of government departments and agencies create a bad image of government. At the same time, it has to be accepted that government has to undertake many functions in the interest of the public. The difficulties the members of the public face in getting services, make the people unhappy and dissatisfied. The poor people suffer most. They badly need government support and services, but they are the ones who are often harassed and turned down. This is obviously bad for the healthy democracy. The average citizen wants sympathetic, courteous and helpful public administration. If there are

too many public grievances against the government agencies, corrective measures have to be taken to redress those grievances.

The Administrative Reforms Commission was set up by the Government of India in 1966. On the “Problems of Redress of Citizens’ Grievances”, the commission said the following:

*“When the citizen can establish the genuineness of his case, it is plainly the duty of the state to set right the wrong done to him. An institution for redress of grievances must be provided within the democratic system of government. It has to be an institution in which the average citizen will have faith and confidence and through which he will be able to secure quick and inexpensive justice”.*

## Redress Process Flow



The time limit for redress of grievance is Sixty (60) days. In case of delay an interim reply with reasons for delay is required to be given. In case of non-redress of a grievance within the prescribed time, the citizen may take up the matter with the Director of Public Grievances of the Ministry/Department concerned.

### 14.5 INSTRUMENTS OF REDRESSAL OF GRIEVANCES

To deal with administrative-corruption and to redress citizens’ grievances, simplification of rules and procedures has been suggested and carried on in practice. Besides these, new institutions have also been recommended and actually set up in many countries.

Created for the redressal of public grievances, the institution of “Ombudsman” is typically Scandinavian. The office of Ombudsman has been in existence in Sweden since 1809 and in Finland since 1919. Denmark introduced the system in 1955. Norway and New Zealand adopted it in 1962, and the United Kingdom appointed the Parliamentary Commissioner for Administration in 1967. Several countries in the world have since adopted the Ombudsman-like institution.

Ombudsman, a Swedish word, stands for an officer appointed by the legislature to handle complaints against administrative and judicial action. As an impartial investigator, the ombudsman makes investigations, gets at the facts objectively, and reports back to the legislature. The complainant has simply to write to the ombudsman appealing against an administrative decision. The ombudsman system has been popular because of its simple and speedy nature. It is a cheap method of handling appeals against administrative decisions.

When a citizen or consumer finds good and service defective he/she can take the shelter of Consumer Protection Act enacted in 1986. The Right to Information Act (RTI) has also been passed by the Parliament of our country to know what has happened in regard to his/her complaint.

In order to make public service delivery more efficient, the government built machinery for redress of public grievances in every Ministry/Department, by fixing time for disposal of public grievances. An online computerized Public Grievances Redressal and Monitoring System (PGRAMS) is also established. An independent authority to oversee the action regarding redressal of public grievances is one of the essential instruments in the process of addressing the complaints of the public.

Various instruments that are established as redressal mechanisms are:

- Establishment of grievance redressal machinery under citizens’ charter.
- Fixing time frames for grievance redressal.
- Establishment of an Institution of Ombudsman in the local level known as Lokpal and Lokayukta to oversee redressal of grievances.
- Monitoring of grievance redressal at the Head of the Department, Secretary and minister levels periodically using computerized monitoring system and placing the results before the public.
- Strengthening of Consumer Courts.
- Establishment of Call Centre and development of a web-enabled grievances disposal monitoring system.

- Involvement of civil society in the processing and tracking disposal of grievances.

#### **14.6 RIGHT TO INFORMATION**

Right to Information (RTI) is act of the Parliament of India to provide for setting out the practical regime of the right to information for citizens and replaces the erstwhile Freedom of information Act, 2002. Under the provisions of the Act, any citizen of India may request information from a "public authority" (a body of Government or "instrumentality of State") which is required to reply expeditiously or within thirty days. The Act also requires every public authority to computerise their records for wide dissemination and to proactively certain categories of information so that the citizens need minimum recourse to request for information formally. RTI is a powerful tool that strengthens democracy and promotes good governance by enhancing the citizen's ability to participate in the process.

The basic object of the Right to Information Act is to empower the citizens, promote transparency and accountability in the working of the Government and make our democracy work for the people in real sense. It helps to make the government more accountable to the governed (citizens). The RTI Act allows any Indian citizen to participate in governance by enabling her or him to seek information about Central and state government activities.

It is indeed useful in a country like India where government officials do not/ slow to respond to queries. It is a common practice to send information seeker from table to table till he is able to reach the correct person at work. RTI makes it easier and works within a specified time period to receive a written authentic reply to the requester.

RTI grants citizens legal right to access information held by their government and know about the functions of government. RTI gives right to know the reason behind any decision which is taken by the government. Over the last 6 years, the RTI has been used rapidly by ordinary citizens to demand information from the government.

“Improving Transparency and Accountability in government through effective implementation of the Right to Information Act” it is the centrally sponsored scheme which was launched in August 2010. It aims to contribute more transparent and accountable government and aimed to achieve the following output:

- RTI request is filed by the public. The component designed to achieve were: Awareness generation through mass media campaign
  - Simplification of process for filing of RTI requests

- Appeals to central government authorities which include a portal for the filing of RTI requests in GOI offices.
- Setting up of an institutional mechanism for collaborative working with CSOs and media.
- Consultation meeting of national RTI committee, RTI fellowship, etc.
- Speed disposal of RTI request an appeal, and improvement in quality: Online certificate course on RTI, knowledge management, etc.
- i. Setting up of RTI sells in central public authority make the process fast of receipt, monitoring, and disposal of RTI request/appeal
  - Improvement in record management.

RTI is a tool to fight against corruption. RTI empowers the people of India against administrative corruption, unresponsive attitude and irregularities. Every citizen of India is empowered to question, review, audit, assess and examine the government decisions and acts to ensure that decisions are taken in public interest.

Though this corruption can be exposed and also bring light to those officials who are not doing their duties. Particularly in India the RTI has been seen as part of the anti-corruption. People can check any misappropriation and ask information about project and plans.

Corruption is an evil which is eating the vitality of the administrative system in India resulting in various social, political and economic degradations. It is a fact that corruption is a crime that is done under the veil protection of administration and governance. But this Act somehow became the barrier of such corrupt barter system. RTI Act brings the two most important tools ‘transparency and accountability’ together for eradicating the evil that becomes hindrance to good governance. The Act envisages the harmonization of public interests with the right to information. However, there are some areas where the public interest demands some element of secrecy. Where it has been felt that certain area of governance have to be kept outside the purview of the RTI Act, the same have been exempted under the specific provisions envisaged under the Act. Thus, a harmonious balance has been tried between the two.

RTI thus became a tool for promoting participatory development, strengthening democratic governance and facilitating effective delivery of socio-economic services. In the knowledge society, in which we live today, acquisition of information and new knowledge and its application have intense and pervasive impact on processes of taking informed decisions, resulting in overall productivity gains. Therefore, in one word, the purpose of the Act is to promote openness, transparency and accountability in administration.

## **14.7 SCOPE OF RIGHT TO INFORMATION ACT, 2005**

The Act covers the whole of India except Jammu and Kashmir, where J&K Right to Information Act is in force. It covers all the constitutional authorities, including executive, legislature and judiciary; any institution or body established or constituted by an act of Parliament or a state legislature. It is also defined in the Act that bodies or authorities established or constituted by order or notification of appropriate government including bodies "owned, controlled or substantially financed" by government, or non-Government organizations "substantially financed, directly or indirectly by funds".

### **Private Bodies**

Private bodies are not within the Act's ambit directly. In a decision of Sarbjit Roy vs. Delhi Electricity Regulatory Commission, the Central Information Commission also reaffirmed that privatized public utility company's fall within the purview of RTI. As of 2014, private institutions and NGOs receiving over 95% of their infrastructure funds from the government come under the Act.

### **Political Parties**

The Central Information Commission (CIC) held that the political parties are public authorities and are answerable to citizens under the RTI Act. The CIC said that six national parties – Congress, BJP, NCP, CPI (M), CPI and BSP and BJD – have been substantially funded indirectly by the Central Government and have the character of public authorities under the RTI Act as they perform public functions. But in August 2013 the government introduced a 'Right to Information' (Amendment) Bill which would remove political parties from the scope of the law. Currently no parties are under the RTI Act and there has a case been filed for bringing all political parties under it.

### **Governance and Process of RTI**

The Right to Information in India is governed by two major bodies:

**Central Information Commission (CIC):** Chief Information commissioner who heads all the central departments and ministries with their own public Information officers (PIO)s. CICs are directly under the President of India.

**State Information Commissions:** State Public Information Officers or SPIOs head over all the state department and ministries. The SPIO office is directly under the corresponding State Governor.

State and Central Information Commissions are independent bodies and Central Information Commission has no jurisdiction over the State Information Commission.

A citizen who desires to seek some information from a public authority is required to send, along with the application (a Postal order or DD (Demand draft) or a banker's cheque) payable to the Accounts Officer of the public authority as fee prescribed for seeking information. If the person is from a disadvantaged community, he/she need not pay. The applicant may also be required to pay further fee towards the cost of providing the information, details of which shall be intimated to the applicant by the PIO as prescribed by the RTI ACT.

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## **14.8 SUMMARY**

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The interaction between citizen and administration in a democracy is a very complex process. The conflict in the society and the values of the society are reflected in this interaction. The effective machinery for the redressal of citizen's grievances makes the administration more human and civilized. In this lesson, an attempt was made to study the nature of public grievances with special reference to corruption and the existing machinery for the redressal.

The grievance of citizens against government machinery needs to be heard and redressed. Otherwise, citizens will withdraw their loyalty to the government. Hence, every democracy sets up appropriate machinery for the redressal of citizens' grievances. In India, a citizen can move the court to seek remedy for any wrong done against him by a public servant or a public agency in the course of discharge of public duty. This is called judicial remedy. Secondly, there are Parliamentary procedures to raise questions in Parliament, also there is a Parliamentary Committee called the Committee on Petitions. Thirdly, departmental as well as public enquiries can be instituted against public servants for their misconduct. Again complaint forums have been set up at different levels to deal with public complaints. The

Administrative Reforms Commission (1966) recommended the setting up of Lokpal and Lokayukta for dealing with complaints against the administrative acts of ministers or secretaries to government, both at the Centre and in the States. Although, no institution of Lokpal and Lokayukta has yet been established at the Centre, some States have appointed Lokayukta. There is a Central Vigilance Commission for several government departments and public sector undertakings to deal with increasing corruption. Thus, there are varied institutional devices to deal with redressal of public grievances.

The basic object of the Right to Information Act is to empower the citizens, promote transparency and accountability in the working of the Government and make our democracy work for the people in real sense. It helps to make the government more accountable to the governed (citizens). The RTI Act allows any Indian citizen to participate in governance by enabling her or him to seek information about Central and state government activities.

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## 14.9 KEY TERMS

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**Corruption:** Corruption is dishonest behavior by those in positions of power, such as managers or government officials.

**Grievance Redressal:** Grievance Redressal is a management- and governance-related process used commonly in India. While the term "Grievance Redressal" primarily covers the receipt and processing of complaints from citizens and consumers, a wider definition includes actions taken on any issue raised by them to avail services more effectively.

**Central Vigilance Commission:** Central Vigilance Commission is an apex Indian governmental body created in 1964 to address governmental corruption.

**Right to Information (RTI):** Right to Information is act of the Parliament of India to provide for setting out the practical regime of the right to information for citizens and replaces the erstwhile Freedom of information Act, 2002.

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## 14.10 SELF ASSESSMENT QUESTION

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1. Highlight some common grievances against administration.
2. What are the various instruments of redressal of public grievances?
3. What is judicial remedy?
4. What are the modes of corruption identified by Central Vigilance Commission?
5. What are the modes of corruption in public services

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## **UNIT-15: REDRESSAL OF PUBLIC GRIEVANCES: LOKPAL, CITIZENS' CHARTER**

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### **Structure**

- 15.1 Objectives
- 15.2 Introduction
- 15.3 Importance of Redressal of Grievances
- 15.4 Citizens Grievance Redressal Mechanisms
- 15.5 Lokpal
- 15.6 Citizen's Charter
- 15.7 Summary
- 15.8 Key Terms
- 15.9 Self-Assessment Questions
- 15.10 References

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### **15.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- The Importance of Redressal of Grievances
- The Lokpal
- The Citizen's Charter
- Identify and explain the various instruments of redressal of public grievances
- Explain the role of Lokpal and Lokayukta
- Understand the role and working of Central Vigilance Commission

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### **15.2 INTRODUCTION**

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Grievance Redressal Mechanism is an important cog in the wheel of any Government. Without efficient grievance redressal mechanisms, the Government and its administration can never be accountable and effective. In Democracy, citizens make the Government and hold them accountable. This concept came from

Sweden. It means an officer appointed by the Legislature to handle complaints against a service or administrative authority. In India Government has appointed Ombudsmen to resolve grievances. In a developing country like ours, Government has to perform many functions. The citizens depend on the services provided by various government agencies. To levy rice, wheat and sugar from a ration shop, a citizen has to have a ration card issued by the Government. To obtain a ration card is not very difficult, but the quality of services is far from satisfactory. For most things in life, citizens depend on the services and facilities provided by government agencies.

### **15.3 IMPORTANCE OF REDRESSAL OF GRIEVANCES**

In a democracy, the citizens make the government and hold it accountable. Government is operated by bureaucracy for whom the rules and regulations are more important than helping the citizens. Also, it tends to keep things secret and department like electricity and water- supply, railways and telephones etc. exercise their own power. Citizens register many complaints against government machinery. The grievances of citizens against government machinery need to be heard and redressed otherwise, citizens will tend to withdraw their loyalty towards it. Hence, democracy sets up appropriate machineries for the redressal of citizen's grievances. In the contemporary society, State plays an important role in the socioeconomic development. The success of democracy and development depends to a greater extent on the efficiency of the government machinery. However, in the exercise of administrative powers there is always a possibility of malpractices. This results in public grievances towards the administration. According to Chambers dictionary, grievance means a 'ground of complaint, a condition felt to be oppressive or wrongful'. In a democracy people should have the opportunities to ventilate their grievances and a system of redressal.

Grievance Redressal is a management- and governance-related process used commonly in India. While the term "Grievance Redressal" primarily covers the receipt and processing of complaints from citizens and consumers, a wider definition includes actions taken on any issue raised by them to avail services more effectively. Grievance Redressal is a management- and governance-related process used commonly in India. While the term "Grievance Redressal" primarily covers the receipt and processing of complaints from citizens and consumers, a wider definition includes actions taken on any issue raised by them to avail services more effectively.

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consumers, a wider definition includes actions taken on any issue raised by them to avail services more effectively.

#### **15.4 CITIZENS GRIEVANCE REDRESSAL MECHANISMS**

##### **E-Governance – To Address Public Grievances**

The current Government has been working on addressing the public grievances by utilising Information and Communications Technology (ICT).

**Right to Information Act (RTI)** – The RTI act was passed in 2005. It empowers the citizens to ask any questions to the Government, seeks information, obtains Government documents, and inspects Government works. This act is to not only empower citizens but also promote transparency and accountability in the functioning of Government.

**Citizens Charter** – The task of formulating and operationalizing Citizens Charter was undertaken by DARPG. The idea was to bring in transparency in public services and to correct things when they go wrong. The idea of Citizen Charter was first pioneered in the United Kingdom in 1991, with a focus on public services. However there have been many loopholes in the citizen's charter which needs to be fixed.

**Gram Sabha** – Conducted at village levels to address the grievances of village community members.

#### **15.5 LOKPAL AND LOKAYUKTA**

The Administrative Reforms Commission (ARC), which was constituted in 1966, gave priority to the problem of redressal of public grievances and submitted its first interim report on the 'Problems of redressal of Citizens Grievances'. The ARC recommended the creation of Ombudsman-type institution namely the Lokpal and Lokayukta. The Scandinavian institution of Ombudsman is the earliest institution for the redressal of public grievances, first established in Sweden in 1809. The Ombudsman institution is based on the principle of administrative accountability to parliament. The institution refers to an officer appointed by the legislature to handle complaints against administrative and judicial, action.

The machineries and procedures for handling public grievances have been found to be too distant or expensive and time-consuming. They have not been very successful to provide effective redressal of an individual citizens' grievance against government agencies and political leadership. Against this background, the Administrative Reforms Commission (ARC, 1966) made the following observation:

*“We are of the view that the special circumstances relating to our country can be fully met, by providing for two special institutions for the redressal of citizens’ grievances. There should be one authority for dealing with complaints against the administrative acts of ministers or secretaries to government both at the centre and in the states. There should be another authority in each state and the centre for dealing with complaints against the administrative acts of other officials. All these authorities should be independent of the executive as well as the legislature and judiciary”.* The ARC called the first authority the Lokpal and the second authority the Lokayukta.

The features of these institutions as given by ARC are:

- They should be demonstrably independent and impartial.
- Their investigations and proceedings should be conducted in private and should be uniform in character.
- Their appointment should as far as possible, be non-political.
- Their status should compare with the highest judicial functionary in the country.
- They should deal with matters in the discretionary field involving acts of injustice, corruption and favouritism.
- Their proceedings should not be subjected to judicial interference and they should have the maximum latitude and powers in obtaining information relevant to their duties.
- They should not look forward to any benefit or pecuniary advantage from the executive government.

Based on the recommendations of ARC, many attempts were made from 1968 onwards for the establishment of Lokpal at the Central level. The Government of India introduced bills for this purpose in the Parliament in 1968, 1977, 1985, 1990, 1998 and latest being in 2001. The Lokpal bill introduced in 1977 brought in the Prime Minister as well as members of Parliament under its purview. While the 1985 bill excluded the Prime Minister from the jurisdiction of Lokpal, the bill on Lokpal introduced in Parliament recently has brought in Prime Minister again under Lokpal's jurisdiction. Unfortunately, these bills could not be passed by Parliament.

In spite of several attempts the Lokpal Bill has again and again fallen through in Parliament. It appears that both the Congress; and non-Congress Governments have not been sincere and serious enough about the enactment of the Lokpal Bill despite their public pronouncements to that effect and promise to give to the people a clean administration, There are two fundamental issues involved. Firstly, there is clearly the hidden

unwillingness of political leadership to submit them for enquiry by an independent authority other than Parliament to which they are already responsible in a parliamentary democracy. Secondly, the functional jurisdiction of the proposed Lokpal is also debatable. Should the Lokpal take up the cases of corruption only or it should also be entrusted with the task of redressing citizens' grievances in respect of injustice caused by maladministration of officials? The citizen is interested in redressal of his little problems and individual grievances but the existing avenues do not provide him easy, speedy and cheap redressal. Hence, what is needed is an agency, independent of government control, to redress the common grievances of people.

### **LOKAYUKTA**

The Ombudsman established at the level of States in India is known as the Lokayukta. Many state governments have established the office of the Lokayukta and Up-Lokayukta. The office of the Lokayukta exists in Maharashtra (1971), Bihar (1973), Uttar Pradesh (1975), Madhya Pradesh (1981), Andhra Pradesh (1985), Himachal Pradesh (1985), Karnataka (1985), Assam (1986), Gujarat (1986), Punjab (1995), Delhi (1996) and Haryana (1996). Kerala is also in a process of establishing this office. Orissa was the first state to pass ombudsman legislation in 1970 and also the first to abolish the institution in 1993.

### **Appointment**

The appointment of the Lokayukta and Up-Lokayukta is made by the Governor who is the executive head in the states. The Lokayukta Acts provide that the Governor shall appoint Lokayukta/Up-Lokayukta in consultation with the Chief Justice of the High Court of the state and the leader of the opposition in the legislative assembly.

### **Terms and Conditions of Office**

The term of the Lokayukta and Up-Lokayukta has been fixed for five years. The Assam Act however prescribes an upper age limit of 68 years. The status prescribed for the Lokayukta is equal to that of the Chief Justice of a High Court or a judge of the Supreme Court of India and that of Up-Lokayukta to the judge of a High Court and in any other case to an additional secretary to the Government of India. With a view to ensure independence and impartiality, the Lokayukta/ Up-Lokayukta have been debarred from being a Member of Parliament or state legislatures and prohibited from keeping any connection with political parties. After relinquishing office they have been made ineligible to hold another office under their

respective state governments. All acts expressly prohibit the reappointment of the Lokayuktas. The Lokayukta and Up-Lokayukta can be removed from office by the Governor for misbehaviour or incapacity. The procedure prescribed for the removal of the Lokayukta is almost the same as provided for in the Constitution of India for the removal of judges of the High Court or the Supreme Court.

### **Jurisdiction**

The Lokayukta and Up-Lokayukta has been granted powers to investigate any action, which is taken by or with the general or specific approval of a minister or a secretary, or any other public servant. Thus, all administrative actions from the level of ministers to the lower levels are subjected to scrutiny by the Lokayukta and Up-Lokayukta. Certain other categories of officials like Chairman of Zila Parishad and other local bodies have also been included within the purview of the Lokayukta.

### **Procedure of Investigation**

After making preliminary investigation where the Lokayukta or Up-Lokayukta proposes to conduct investigation, he forwards a copy of the complaint to the officer and to the competent authority concerned. Any proceeding before the Lokayukta and Up-Lokayukta has to be conducted in private and the identity of the complainant or the person complained against is not to be disclosed at any stage of investigation.

The Seventh All-India Conference of Lokpals, Lok Ayuktas and Up-Lokayuktas held in Bangalore, in January 2003 stressed on the following:

- There is a need to bring out Lok Ayukta Act to bring uniformity and to make the institution independent of the political executive.
- If Parliament brought in a law, the appointment of Lok Ayuktas could be based on the recommendations of the Chief Justice of India in consultation with the Chief Justice of
- respective High Court. This will ensure tenure, protection of salary and emoluments and a sound procedure for their removal.
- The staff deputed to the Lokayukta should be given protection.
- Reports of the Lokayukta should be made binding on the government in so far it is related to the government servants.
- Lokayukta should bring out an annual report about their functioning and this should be made public; and

- Lokayukta should be made easily accessible to the public.

## **15.6 CITIZEN'S CHARTER**

The Citizen's/Client's Charter, is another tool for good governance. This is a written declaration by a Government department that highlights the standards of service delivery that it subscribes to, the availability of choice for consumers, avenues for grievances redressal and other related information.

Citizen's Charters were introduced in India in the 1990s as an attempt to address this very lacuna in the system. However, concerns have been expressed time and again regarding the effectiveness of this reform measure both as an information-sharing mechanism as well as a grievance redress solution. Though the last two decades have seen the introduction of the Right to Information Act and the Right to Public Services Act that make information sharing a legal requisite, the importance of Citizen's Charters cannot be undermined.

The idea of Citizens Charter often referred to as "Charterism" has intended to bring about cultural changes in public service organization. It emphasizes the use of market mechanism as administrative technique, which is a more flexible, cost conscious and decentralized style of public service management. It emphasizes upon consumer populist variant in which individual service users exert pressure on public service managers and professionals to raise standards through the exercise of informed choice.

Citizen's Charter foreshadows different governing functions for the state, (a) delivery of public services in a manner similar to the private market (b) an accompanying change in orientation towards customer satisfaction. (c) a concept of citizenship based on rights and duties. It provides the opportunity to put in place a market system within the public services sector in the guise of empowering citizens.

Though it is not enforceable in a Court of Law, the Citizen's/Client's Charter is intended to empower citizens and clients so that they can demand committed standards of service and avail

remedies in case of non-compliance by service provider organisations. The basic thrust of the Citizen's/Client's Charter is to render public services citizen centric by making them demand driven rather than supply driven.

The effort to usher in an era of Sushasan has begun on a very promising note. However, it is also important to understand that governance is an area where the citizen too has a specific role to play at every given point.

### **Citizen's Charter Initiative**

The United Kingdom pioneered the Citizen's Charter initiative in 1991 as a measure to refocus public services towards the needs and expectations of their users. This included adopting certain operating principles by those public service providers who planned to implement a Citizen's Charter; they included:

- Set standards of service
- Be open and transparent
- Consult and involve end-users
- Encourage access and the promotion of choice
- Treat all fairly
- Put things right when they go wrong
- Use resources effectively
- Innovate and improve
- Work with other providers

In India, the concept of Citizen's Charters was first introduced in 1994 when consumer rights activists drafted a charter for health service providers at a meeting of the Central Consumer Protection Council in Delhi.

It saw fruition as an initiative, when, in a state level conference of Chief Ministers held in May 1997, the "Action Plan for Effective and responsive Government at the Centre and the State Levels" was adopted, paving the way for the formulation of charters among ministries, departments and agencies that have significant public interaction.

The Department of Administrative Reforms and Public Grievances (DARPG) of the Government of India took on the task of coordinating, formulating and operationalizing Citizen's Charters.

The DARPG outlined the following six components for inclusion in charters drafted by public agencies.

### **Vision and Mission Statements**

- Details of business transacted by the organization
- Details of clients
- Details of services provided to each client group
- Details of grievance redress mechanisms and how to access them.
- Expectations from clients

The Citizen's Charter Handbook created by DPARG outlines the processes which clearly indicate a bottom-up approach involving all the staff of the department especially those who deal with citizen interfaces.

### **Benefits of Citizen Charter**

Benefits of Citizen Charter are given as following:

- It enhances accountability by providing citizens with a clear understanding of service delivery standards, including timetables, user fees for services, and options for grievance redress.
- It increases organizational effectiveness and performance by making a public commitment to adhere to measurable service delivery standards.
- It creates a way for both internal and external actors to objectively monitor service delivery performance.
- It creates a more professional and client-responsive environment for service delivery.
- It fosters improvements in staff morale.
- It decreases opportunities for corruption and graft by increasing transparency and educating citizens about their rights.
- It increases government revenues by ensuring that the money citizens pay for services goes into the government's coffers (and not into employees' pockets).

### **Way Forward**

There needs to be a two-pronged approach to ensure that every department of the government has a Citizen's Charter:

- Firstly, revision of existing Citizen's Charters to ensure that they meet with all the critical parameters.
- Secondly, a systematic consensus-based formulation of every Citizen's Charter that is practical and whose commitments are achievable as endorsed by those staff members who are at the cutting edge of citizen interface.

A well-defined Citizen's Charter backed by a committed department will not need any other crutch, such as new service delivery or grievance redress Bills and Acts, if a final and sincere effort can be made to ensure their formulation and implementation in the next two years. Otherwise, this programme should be laid to rest forever.

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## 15.7 SUMMARY

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Administrative Reforms Commission (1966) recommended the setting up of Lokpal and Lokayukta for dealing with complaints against the administrative acts of ministers or secretaries to government, both at the Centre and in the States. Although, no institution of Lokpal and Lokayukta has yet been established at the Centre, some States have appointed Lokayukta. There is a Central Vigilance Commission for several government departments and public sector undertakings to deal with increasing corruption. Thus, there are varied institutional devices to deal with redressal of public grievances.

The basic object of the Right to Information Act is to empower the citizens, promote transparency and accountability in the working of the Government and make our democracy work for the people in real sense. It helps to make the government more accountable to the governed (citizens). The RTI Act allows any Indian citizen to participate in governance by enabling her or him to seek information about Central and state government activities.

Citizen's Charters were introduced in India in the 1990s as an attempt to address this very lacuna in the system. However, concerns have been expressed time and again regarding the effectiveness of this reform measure both as an information-sharing mechanisms as well as a grievance redress solution. Though the last two decades have seen the introduction of the Right to Information Act and the Right to Public Services Act that make information sharing a legal requisite, the importance of Citizen's Charters cannot be undermined.

E-governance has a great role to play, that improves and supports all tasks performed by the government department and agencies, because it simplifies the task on the one hand and increases the quality of work on the other.

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## 15.8 KEY TERMS

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**Lokpal:** The word "Lokpal" is derived from the sanskrit word "loka" meaning people and "pala" meaning protector or caretaker. Together it means "protector of people". A Lokpal is an anti- corruption authority or ombudsman who represents the public interest.

**Lokayukta:** The Lokayukta is an anti-corruption ombudsman organization in the Indian states. Once appointed, Lokayukta cannot be dismissed nor transferred by the government, and can only be removed by passing an impeachment motion by the state assembly.

**Ombudsman:** An ombudsman, ombudsperson, ombud, or public advocate is an official who is charged with representing the interests of the public by investigating and addressing complaints of maladministration or a violation of rights.

**Citizen's Charters:** Citizen's Charter is a document which represents a systematic effort to focus on the commitment of the Organisation towards its Citizens in respects of Standard of Services, Information, Choice and Consultation, Non-discrimination and Accessibility, Grievance Redress, Courtesy and Value for Money.

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## 15.9 SELF ASSESSMENT QUESTION

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1. Why is redressal of public grievances very important for a democracy?
2. What is the role of Lokpal and Lokayukta?
3. What are the functions of Central Vigilance Commission?
4. What are the common grievances against administration?
5. Explain the role of the Central Vigilance Commission.
6. What are the recommendations of Administrative Reforms Commission on Lokpal and Lokayukta?
7. Explain the institution of Lokayukta.
8. How RTI is used as a tool to fight against corruption?

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## **UNIT-16: CONCEPT OF E-GOVERNANCE**

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### **Structure**

- 16.1 Objectives
- 16.2 Introduction
- 16.3 Concept of E -Governance
- 16.4 Defining E-Governance
- 16.5 Feature of E--Governance
- 16.6 Types of E-governance
- 16.7 E-Government Initiatives in India
- 16.8 Summary
- 16.9 Exercises
- 16.10 References

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### **16.1 OBJECTIVE**

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After going through the subject contents of this Unit you will be able to Know

- The co-operative structure between the government and the people and seek help and advice from the people and to make them aware of the problems of the people.
- The increase and encourage people's participation in governance process.
- The transparency and accountability in the government process

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### **16.2 INTRODUCTION**

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Traditionally, the interaction between citizen and government used to take place only in government offices, regardless of the intensity of the issue. Even to share a small piece of information among different departments of government, one has to go to the respective department office.

With the emerging of information and communication technologies, it is possible to share the information through online which is just a click away from us. It improves delivery of services to the citizen, business and employees. It also empowers citizens through access to knowledge and information and makes the working of government more efficient and effective.

E-Governance is understood as the use of Information and Communication Technology (ICT) at all the level of the Government in order to provide services to the citizens, interaction with business enterprises and communication and exchange of information between different agencies of the Government in a speedy, convenient efficient and transparent manner. The basic purpose of e-governance is to simplify processes for all, i.e. government, citizens, businesses, etc. at National, State and local levels.

E-governance has a great role to play, that improves and supports all tasks performed by the government department and agencies, because it simplifies the task on the one hand and increases the quality of work on the other.

Public redress of grievances as a cornerstone of 'Minimum Governance' is a key aspect of New India, 2022. Closely related to this is the growth of e-Governance through unique and cutting edge initiatives in India especially in the last few years.

### **16.3 CONCEPT OF E-GOVERNANCE**

The application of Information and communication technology (ICT) in the process of governing is called Electronics governance or E-governance.

E-governance rises to transparency, accountability, efficiency, effectiveness and inclusiveness in the governing process in term of reliable access to information within the government and between the State, National, Municipal and local level government citizens, business and empowers business through access and use of Information.

The main focus of electronic governance or E-governance is to provide transparent equitable and accountable service delivery to the citizens. The aim of E-governance facilitates and improve the quality of governance and ensure people's participation in the governing process through Electronics means like e-mail, Websites, SMS connectivity and others.

E-governance is not just about government websites or E-mail or financial transaction but “it will change how citizen relates to government as much as how citizen relates to each other”. It also refers to the utilization of IT in the democratic process of the countries such as election.

E-governance is about the use of ICT for steering the citizens and promoting public service. It includes a pragmatic application and usage of ICT for delivering efficient and cost-effective services, information and knowledge to the citizen being governed, thereby realizing the vast

potential of government to serve the citizen. It made co- relation between state and society, government and people, people to people, governance and society.

#### **16.4 DEFINING E - GOVERNANCE**

Although the term E - Governance has gained currency in recent years, there is no standard definition of this term. Different governments and organizations define this term to suit their own goals and objectives. Sometimes the term "E - Government is also used instead of "E - Governance". Some widely used definitions are listed below:

**According to the World Bank:** E - Government refers to the use by government agencies of information technologies. Such as Wide Area Networks, the internet and mobile computing that has the ability to transform relations with citizens, businesses and other arms of government. These technologies can serve a variety of different ends; better delivery of government services to citizens, improved interactions with business and industry, citizen empowerment through access to information, or more efficient government management. The resulting benefits can be less corruption, increased transparency, greater convenience, revenue growth and cost reductions ".

**UNESCO defines E - Governance as:** Governance refers to the exercise of political, economic and administrative authority in the management of a country's affairs, including citizen's articulation of their interests and exercise of their legal rights and obligations, e - governance may be understood as the performance of this governance via the electronic medium in order to facilitate an efficient, speedy and transparent process of disseminating information to the public and other agencies and for performing government administration activities

**The Council of Europe has taken E - governance to mean:** "The use of electronic technologies in three areas of public action."

Relations between the public authorities and civil society.

Functioning of the public authorities at all stages of the democratic process.

The provision of public services.

Basically, E - governance is generally understood as the use of information and communication technology (ICT) at all levels of the government in order to provide service to the citizens, interaction with business enterprises and communication and exchange of information between different agencies of the government in a speedy, convenient, efficient and transparent manner.

Dr. A.P.J Abdul Kalam, former President of India, has visualized E-governance in the Indian context to mean:

Transparent smart E- governance with seamless access, secure and authentic flow of information crossing the interdepartmental barrier and providing a fair and unbiased service to the citizen.

## **16.5 FEATURES OF E-GOVERNANCE**

E-Governance is a powerful means of public service in the present era. Some of its features are-

**De –Bureaucratization-**Due to E-Governance, the gap between the people and the government in all services is now narrowing and dependence of people on bureaucracy is reduced.

**E-Services-**we get services through the internet like G2C, G2B, and G2E etc.

**International Service-** The entire essential services of the citizen can be delivered through E-governance those who are living outside of their country for job purpose and for any other reasons.

**Share the view-** Through the means of E-Governance any one can share their views with the government on any bill or Act or decision taken by the government. It enhances right to express to the citizen

**Economic development-** E-Governance introduce various information like import- export, registration of company, investment situation etc. are available in the internet as a result time is saved.

**Reduce Inequality-** Equality is maintained all over the world, by using tools of E- governance where everyone can gather information and empower themselves and equality be maintained all over the world.

In this globalized world knowledge is power and means of E-governance empower us by providing relevant information at minimal cost, efforts and time.

## **16.6 TYPES OF E-GOVERNANCE**

E-Governance can be considered as the social inclusive policy for development of transparency and accountability of both people in society and administration. This policy involves providing the services to the people with collection of information through the institutional and communicational development.

It provides quality services in several ways. Those ways are also called as types of E- governance. These are mentioned below

- 1. G2C (Government to Citizen)**
- 2. G2G (Government to Government)**
- 3. G2B (Government to Business)**
- 4. G2E (Government to Employee)**

### **1. G2C (Government to Citizen)**

As people are the key concept of politics and government as well as governance, the government is compelled to connect with citizens through the transparent and accountable order. In this connection the government is responsible for promoting the social opportunities and public services in the field of-

**Transportation** (Registration of motor vehicles, Issue of driving licenses, Issue of plying permissions, Tax and fee collection through cash and bank challans and control of pollution etc.),

**Hospitals** (linking of various hospitals in different parts of the country to ensures better medical services to citizens),

**Education** (availability of the e-learning modules to the citizens, right to education),

**Online job** portal and various customer services.

It also ensures services such as issue of certificates, job cards, passport, ration cards, payments of bills and filing the taxes from the door step through e-governance platform. The main objectives of the G2C services are to ensure equitable distribution of information for all, acceptance of citizen's feedback, and improving welfare services.

### **2. G2G (Government to Government)**

G2G has been referring to raising the quality of the government process by cost cutting, managing performance, and making strategic connections within government.

- It enables government institutions to be more efficient and more effective by the use of IT tools such as-
- Live fingerprints scanning and verification,
- Electronic entry of reports and paperwork etc. The major key areas in this type of e-governance are
- E-Secretariat (all the valuable information regarding the function of the government are interlinking throughout the various departments),
- E-Police (police personnel records, criminal records etc), and
- E-Court (creating a database of all the previous cases, pending and ongoing cases) and Statewide Networks.

### 3. **G2B (Government to Business)**

G2B is mainly concerned with these things-

- E-taxation,
- Getting a license from the government etc.
- Secure Electronic Transactions.

It has included the policy of government with business. According to S.P Kumar, ‘the essentials for achievement of G2B services for secure and authentic transactions include: Standards for electronic transactions, a secure payment mechanism and Public key infrastructure’ (Kumar: 2011).

### 4. **G2E (Government to Employee)**

The G2E model refers to providing information and services from government to employee and employee to government as well. It involves training through-

- e-learning methods;
- Consolidating the employee and
- Share of knowledge among the employees.

It has also facilitated the employee to access information regarding pay and benefit policies and manage their profits through online.

## **16.7 E-GOVERNMENT INITIATIVES IN INDIA Sevottam and CPGRAMS**

The DARPG has developed a framework called ‘Sevottam’, which essentially means Excellence in Public Service. Under this scheme, every Government Department must have a Citizens’ Charter outlining the main services with service standards and timelines, a Public Grievance Redress Mechanism, and a system with assessment and improvement of public service delivery standards.

DARPG has put in place a Centralized Public Grievance Redress and Monitoring System (CPGRAMS) since 2007. It is a flagship initiative by the Government of India to address public grievances in a centralized, transparent, accountable and efficiency manner. Success of Sevottam depends on:

- High Level Commitment
  - Political
  - Administration
- Implementation of Framework
  - Citizens
  - Assessment Process
- Change Management
  - Mindset
  - Management Systems
- Stakeholder Involvement
  - Citizens
  - Government Staff

Experiences show that while CPGRAMS has made a good beginning, it needs to be substantially upscaled to emerge as a major avenue for posting and redress of public grievance. Likewise, data available in CPGRAMS needs to be more effectively used to identify the root causes and focus areas for reforms in top grievance receiving department.

The DARPG is also doing its part at being innovative by launching schemes such as the Public Grievances Call Centre, Twitter Seva and even a new version of CPGRAMS with additional features is slated for launched shortly.

### **Public Service Delivery Act**

The Government of India had proposed the Right of Citizens for Time Bound Delivery of Goods and Services and Redressal of their Grievances Bill, 2011 in the Lok Sabha.

The Bill provided for right to time bound delivery of goods and services to every citizen's charger, grievance redressal mechanism for non-compliance of Citizen's Charter and penalty on defaulting officer and compensation upto the same amount to the applicant. However, the Bill lapsed with the dissolution of the 15<sup>th</sup> Lok Sabha.

## **UMANG**

UMANG (Unified Mobile Application for New-age Governance) is envisaged to make e- Governance. The government has recently launched a Unified Mobile Application for New-age Governance (UMANG). It is developed by Ministry of Electronics and Information Technology (MeitY) and National e-Governance Division (NeGD) to drive Mobile Governance in India. UMANG provides a single platform for all Indian Citizens to access pan India e-Gov. services ranging from Central to Local Government bodies and other citizen centric services.

## **MyGov**

MyGov.in is a unique and cutting edge participatory governance initiative involving the common citizen at large, initiated by the Prime Minister in 2014. The platform is now an integral component in dissemination of information and seeking public opinion.

It is Government of India's innovative citizen engagement platform for direct citizen participation in governance by providing an avenue for channelizing their ideas, comments and creative suggestions to Central Ministries and associated organizations.

## **Other Citizen Centric Services**

It is heartening to note that several State Governments have used online platforms for citizens to register complaints. A few such initiatives include the Lokvani project in Uttar Pradesh. State Governments also initiated is the Jansunwai or e-Samvad Portal fully dedicated for grievance redress through e-Governance.

The Andhra Pradesh online portal 'aponline.com' is one of the most comprehensive State Government set-ups for an e-interface between the Government and citizens with an integrated grievance redress channel as part of its real-time governance initiative.

Also e-Pariharan has been launched in Kerala to facilitate online lodging of complaints.

### **Public Grievances beyond G2C**

Citizens may have far more number of grievances when they purchase some goods or avail some service, which comes within the ambit of consumer protection. The integrated Grievance Redressal Mechanism (INGRAM) is a portal launched by the Department of Consumer Affairs to create a platform to allow consumers to lodge complaints regarding consumer dissatisfaction.

### **Future Outlook**

There are a few fundamental principles which may need to be pursued. These include making services available to public in faceless, paperless and cashless mode; providing connectivity and digital identity to all; targeting benefits through Aadhaar enabled, Direct Benefits Transfer; simplifying forms and processes and providing e-platforms.

The Group of Secretaries in its report on Good Governance had observed that there is a need for capacity building of service delivery officers, knowledge updation, streamlining process, proper monitoring and attitudinal shift amongst Government staff towards more transparent and accountable governance. Awareness is also required among the public about their rights under the Right to Service Act.

Adoption of ICT has made significant strides at various levels in Government. Under eTaal which is a web portal disseminating electronic transactions of e-governance projects, over 30 billion transaction covering more than 3500 services have been undertaken in the calendar year 2017.

India must move to a regime where service standards are at par with the best in the world. All G2C services must move online, eliminating the need for the public to visit any office or interact with a Government functionary for service requirements. The Public services Delivery Act has already been enacted in 20 States and more States may need to follow suit.

In order to realize the vision of widespread dissemination and public citizens' awareness of their rights and opportunities for redress, initiatives such as *Jaago Grahak Jaago* must become mainstays. Further, under the CONFONET scheme, all consumer data should be computerized and networked to enable online dissemination of information and ensuring quicker disposal of cases.

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## 16.8 SUMMARY

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From the above discussion on E-Governance: Meaning, Objectives, Features, and Types, it can be stated that in this era of globalization, the role of E governance is significant. This is a blessing, especially to third world countries. As a result of the implementation of E- governance, all these countries have been able to maintain their development trend on par with the developed countries. Knowledge is power. E-governance empowers ourselves by providing relevant information at minimal time, cost and price.

E - Governance can increase the spread of decision-making process considerably. It can increase efficiency and productivity and go along the way to increase consumer satisfaction. It is however necessary to appreciate that E- governance does not come cheaply. It is capital as also running cost is also quite significant the government cannot possibly find enough resources within a reasonable period of time to undertake stupendous tasks in this area on its own. For which people should sometimes prepared to pay reasonable fees for getting prompt services of high standard.

E - Government presents some unique opportunities to move forward in the 21st century with government services that are of higher quality more cost effective and create partnership between citizens and their governments. These information systems are expected to be a tool to substantially increase the efficiency in delivery of public services and are required for managing the information sources desired for the purpose of decision making and formulation of public policy

To keep pace with changing trends, administrators should constantly have their capabilities through its training. Indeed, the success of administration lies in absorption, adaptation and acquisition of IT and IT - based technologies to compete globally.

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## 16.9 KEY TERMS

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***E-Governance:*** Electronic governance or e-governance is the application of information and communication technology (ICT) for delivering government services, exchange of information, communication transactions, integration of various stand-alone systems and services between government-to-citizen (G2C), government-to-business (G2B), government-to-government (G2G), government-to-employees (G2E) as well as back-office processes and interactions within the entire government framework.

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## 16.10 SELF ASSESSMENT QUESTION

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1. Explain the concept of E-governance. How it is different from E-government?
2. Is E-governance concerned only with citizens? What are the various components of E-governance?
3. How will you justify E-governance for a developing country keeping in mind the heavy cost involved in it?
4. What are the legal provisions related to E-governance?
5. What steps would you suggest to remedy the problems in the implementation of E-governance?

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**Block-4**

**CITIZEN'S PARTICIPATION IN DEVELOPMENT**

**Unit-17: Cooperative and Specialized Agencies**

**Unit-18: Citizen's Participation and People's Empowerment**

**Unit-19: Women Empowerment**

**Unit-20: Welfare Administration of Scheduled Castes and Scheduled Tribes**

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## UNIT-17: COOPERATIVE AND SPECIALIZED AGENCIES

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### Structure:

- 17.1 Introduction
- 17.2 Unit Objectives
- 17.3 Cooperative and Specialized Agencies
- 17.4 Summary
- 17.5 Key Terms
- 17.6 Questions and Exercises
- 17.7 Further Reading

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### 17.1 INTRODUCTION

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Decentralization affects governance, particularly political competition. It improves public accountability, and reduces political instability. It imposes incentive-compatible limits on government power but also threatens fiscal sustainability. It has also become easier than before because of technological changes and provides public services relatively more efficiently. Also, the lower levels of government have a much better ability to handle certain risks. Decentralization or devolution is also regarded as a way of diffusing political and social tensions and ensuring political and local cultural autonomy in a world of rampant separatists' movement and ethnic conflicts.

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### 17.2 UNIT OBJECTIVES

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After going through this unit, you will be able to:

- Assess the importance of cooperative and specialized agencies in India.
- Discuss the role of voluntary organizations in decentralized planning

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### 17.3 COOPERATIVE AND SPECIALIZED AGENCIES

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As the meaning of cooperation says 'each for all and all for each', a cooperative society is based on the principle that small savings from people is collected, through a society to raise funds and help the needy by giving them loans. A cooperative is quite different from a business organization because of one fundamental respect, i.e. even though they work on the principles of business; their motive is service to the people. Hence a cooperative is a socio-economic organization. The cooperative movement has bought

great benefits to the people.

A cooperative organization is a voluntary organization which is established by some people on the basis of cooperation and equality to safeguard their common interests. Some of the definitions by experts and scholars are as follows:

According to Prof. P.H. Calvert, '*Cooperation is a form of organization, wherein persons voluntarily associate together as human beings on the basis of equality for the promotion of economic interests of themselves.*'

According to International Labour Organization, '*A cooperative society is an association of persons usually of limited means who have voluntarily joined together to achieve a common economic end through the formation of democratically controlled business organization, making equitable contributions to the capital required and accepting a fair share of risks and benefits of the undertaking.*'

Hence, from the above definitions we can make out that cooperative organization is a kind of business organization which is formed voluntarily by the people in the same level, for the purpose of promoting their common interests.

#### *Kinds of cooperative organizations*

- Consumer cooperatives
- Credit cooperatives
- Producers' cooperatives
- Marketing cooperatives
- Housing cooperatives

#### **Characteristics of cooperative organizations**

- **Voluntary association:** It is a voluntary association of persons and no individual can be compelled to be a member of a cooperative organization.
- **Equality in voting rights:** The principle of "one person one vote" applies here as well and every member of the society has the right to cast his vote.
- **Service Motive:** The main intention is to give maximum help to the members.
  
- **Management is democratic:** The job of a manager is performed by the members in a democratic manner.
- **Cash trading:** Cooperative organizations prefer trading in cash because of lack of financial resources but there is no legal restriction as such.
- **Registration is compulsory:** No association can be called as "cooperative" if it is not registered under The Cooperative Societies Act, 1912 or under the State Cooperative Societies Act.
- **Separate legal Entity:** After registration the society legally becomes a cooperative society with reference to its members. It can:
  - o Hold assets
  - o Can sue other party
  - o Enter into a contract
  - o Can be sued by the other party

## **Benefits of cooperative organizations**

As cooperative organizations have a social motive, they have helped in various economic and social benefits of the country like equitable distribution of wealth and income, service to relatively the weaker sections of the society like farmers, etc. It provides protection to the consumers against monopolies and other forms of centralized combinations; it helps in increasing the purchasing power and wages of its members by providing good quality and cheap goods.

### *Co-operative Societies*

These are some co-operatives which can be bifurcated into centre and state level cooperatives.

### ***National level***

#### *Indian Farmers Fertilizer Co-operative Limited (IFFCO)*

During mid-sixties, the Co-operative sector in India was responsible for distribution of 70 per cent of fertilizers consumed in the country. This Sector had adequate infrastructure but was without production facilities of its own. So it depended on public/private sectors for supplies. To overcome this problem, a new cooperative society was introduced to cater to only the requirements of farmers. This was a unique venture as farmers created their own cooperative societies with a motive to safeguard their interests. This was called IFFCO and the cooperative societies registered with IFFCO from 1567 till date has gone from 57 to 39,874. Activities of promotion, distribution and sales are done by Marketing Control Office at New Delhi. Has also promoted institutions like:

- Indian Farm Forestry Development Cooperative Limited (IFFDC)
- Kisan Seva Trust
- Cooperative Rural Development Trust (CORDET)

### **National Cooperative Development Corporation-NCDC**

It helps in planning, promoting and financing programmes for production, processing, marketing, storage, supply of consumer goods and collection, processing, marketing, storage and export of minor forest produce through cooperatives, export and import of agricultural produce, food stuffs, certain other notified commodities

e.g. fertilizers, agricultural machinery, insecticides, lac, soap, textile, rubber, kerosene oil and many other things. It also engages itself into income generating stream of activities like poultry, sericulture, handloom, dairy, fishery, etc.

NCDC Act has been further amended which covers the area of operation of the Corporation to assist different types of cooperatives with a motive to expand its financial base as well. NCDC also finances projects in the rural industrial cooperative societies and for certain beneficial services in rural areas for example, irrigation, agro-insurance, agro-credit, rural sanitation, animal health, water conservation, microirrigation, etc.

NCDC has in-house technical and managerial capabilities in the areas of:

- Cooperation

- Financial Management
- Costing
- Organization & Methods
- Economic Analysis
- Management Information Systems/Feasibility Studies
- Civil Engineering
- Refrigeration and preservation
- Sugar, oilseeds, textiles, fruits, vegetables, food
- Dairy, poultry, livestock, fishery
- Handlooms technologies to help cooperatives to create projects and successfully implement them.

NCDC assistance is meant actually for institutional development of cooperatives and is not at all for only individual's benefit. NCDC helps and adds to the efforts of State Government. The State Governments recommend the project proposal of individual society to NCDC in the prescribed schematic format, which the society may also avail direct funding of projects under various schemes of assistance on fulfillment of the conditions which are stipulated. The proposal is examined in the concerned functional division of the institution and if needed it is sent for on the spot field appraisal. Thereafter, formal sanction of funds is informed to the Society or the concerned State Government. The release of funds directly depends on the progress of its implementation. The project is on reimbursement basis. The period of repayment of loan ranges from 3 to 8 years. The rate of interest also varies from time to time.

### **Activities Funded by NCDC**

Marketing, processing, cooperative storage, distribution of essential articles through cooperatives, industrial cooperatives, service cooperatives, agricultural services, district plan schemes, cooperatives for weaker sections, assistance for computerization, promotional and developmental programmes and consultancy services.

### **Few assisted Successful Cooperatives**

#### **Agricultural Inputs**

- The Regional Agro-Industrial Development Cooperative Ltd., Kannur, Kerala.

#### **Computerization**

- Jawahar Shetkari Sahakari Sakhar Karkhana Ltd., Shri Kallappana Awaede Naga Kolhapur, Maharashtra.
- Shetkari Sahakari Sangh Ltd., Old Palace, Kolhapur, Maharashtra.

#### **Fisheries**

- Kerala State Coop. Federation for Fisheries Development Ltd., Karuvankonam, Thiruvananthapuram, Kerala.
- Karanja Machhimar Vividh Karyakari Sahakari Sanstha Ltd., Karanja, Maharashtra

- Arnala Machhimar Vividh Karyakari Sahakari Sanstha Ltd., Arnala, Thane District, Maharashtra

### **Handlooms**

- Tamil Nadu Handloom Weavers' Coop. Society Ltd., Egmore, Chennai.

### **Spinning Mills**

- Shetkari Sahakari Soot Girni Ltd., Distt. Sholapur, Maharashtra.
- Gujarat State Coop. Cotton Fedn. Ltd. Ahmedabad.

### **Sugar Mills**

- The Shahabad Cooperative Sugar Mills Ltd., Kurukshetra, Haryana.

### **Cold Storage, Fruits & Vegetable**

- HOPCOMS, Lalbagh, Bangalore
- MAHAGRAPES, Pune, Maharashtra
- Lahoul Potato Growers Cooperative Marketing Society Ltd., Manali (LPS), Himachal Pradesh
- The Himachal Pradesh Cooperative Marketing and Consumers' Federation Ltd., (HIMFED), Shimla
- Regional Fruits and Vegetables Producers Coop. Society Ltd., (VEGCO), Thaliparamba, Kerala
- NAFED, New Delhi
- Rau Cooperative Cold Storage, Distt. Indore, Madhya Pradesh.
- Uttar 24 Parganas Krishi Samabya Himghar Samity Ltd., Distt. 24 Parganas, West Bengal.
- Mahua Cooperative Cold Storage Ltd. Distt-Vaishali, Bihar

### **The National Cooperative Housing Federation of India (NCHF)**

It is the nationwide organization of the Indian Cooperative Housing Movement. It was founded by the apex cooperative housing federations in the month of September, 1969. This was established so as to have an organization at the national level to assume the responsibility of developing, promoting and coordinating the activities of housing cooperatives in the country. Since then, NCHF has taken a number of measures for the organization and development of housing cooperatives throughout the country and has been able to promote 20 Apex Cooperative Housing Federations, raising their number from earlier 6 to 26. All these 20 federations are members of NCHF. There are about 30,000 cooperatives which are members of Apex Cooperative Housing Federations and are primary housing cooperatives. It helps the housing cooperatives on legal, management, financial and other professional matters apart from extending the academic support and other necessary help to its member federations for improving their financial, organizational and technical base. Also, it is undertaking research studies, organizing conferences, seminars, workshops, training programmes, etc. and bringing out various publications and providing guidance on various aspects of cooperative housing. It also provides guidance to housing cooperatives on general insurance for the covering their properties against various disasters at reasonable premium.

### **National Cooperative Dairy Federation of India Limited (NCDFI)**

It is centered at Anand (Gujarat), is the apex organization for the cooperative dairy sector. Its members encompasses of dairy cooperatives of States and the Union Territories. The main aim of NCDFI is to enhance the working of dairy cooperatives by coordination, networking and advocacy.

The main work of NCDFI includes:

- Coordinating sale of milk and milk products to its members, to the Ministry of Defence and also other para military organizations.
- Marketing of frozen semen doses produced by Animal Breeding Centre and Sabarmati Ashram Gaushala.

This cooperative federal society was established in the year 1970 as a national level apex organization. Now it has been reconstructed with its member apex co-operatives at the state levels through affiliation. The NCDFI as an organization thus, provides the basic institutional framework for better co-ordination, monitors and guides and also gives adequate direction to the state federations to ensure a stronger co-operative system of milk marketing in the country. The NCDFI is at the apex of all the state dairy federations throughout the country. It has been entrusted with the management of the NMG activities as well. For the facilitation of the operations of the NMG, there are four regional programming committees which have been established by the NCDFI, and have the rule of meeting periodically in their respective regions. These committees provide a platform for the participating federations to transact business and share each other's experiences in the management of milk procurement, handling and marketing. The activities of the four programming committees are coordinated by a central programming committee.

Even at the profit-sharing level, the distribution is made in proportion to the volume of business contributed by each member; therefore, bonuses etc. are determined from the value of the commodity supplied by the members. This in turn ensures that while the co-operative does business, it also makes its members quality conscious.

### *State level Cooperatives*

#### **COIRFED**

The Kerala State Co-operative Coir Marketing Federation (Coirfed) is engaged in the manufacture of coir and coir products. It offers sustenance to workers who are mostly women to sustain a living. Its member societies provide employment at a higher rate, better wages and better living conditions to the coir workers by eliminating middlemen. Presently there are 628 coir primaries which are affiliated to Coirfed.

Coirfed has a wide range of 47 showrooms with more than 100 retail outlets to sell the materials produced by the member societies of this organization. The job of taking the produce of the member societies is done by four regional offices and one central store. Coirfed has set up a number of factories with best possible infrastructure for the manufacturing of Coir fiber, rubberized coir products, rubber backed coir products, and PVC tufted mats and Pith briquette.

This organization has made great efforts to sell the materials to with the motive of serving a noble

cause of providing sustenance to around 4 lakh coir workers. Most of the workers are women. Approximately, around 20 Lakh people are supported by this industry.

Its range includes somewhere 80 odd varieties of coir like coir pith fungus, coir pith soil conditioner etc. The products of Coirfed are marketed under the following brands:

- Cocofert  Cocoplus
- Cocogeofabric  Dustout
- Deepsleep

It faces neck to neck competition with other natural fibers as well as synthetic materials. Presently, Coirfed is making efforts to expand and reach the goal of ecofriendly and bio-degradable Coir products through the help and assistance by all good citizens who have care for nature and of course mankind.

Coirfed is helping in implementing many of the schemes of the Government of Kerala like

- Distress purchase scheme  Fiber subsidy scheme,
- Price fluctuation fund,  Purchase price stabilization scheme etc.

### **Gujarat State Federation of Co-operative Sugar Factories Limited**

It was registered in 1960, at Ahmedabad, as facilitator of Sugar Co-operatives with the objective of coordinating the undertakings of diverse Co-operative Sugar factories and to provide technical support and guidance for the expansion, renovation and modernization of the existing units and to assist the units in programming funds from the financial institutions and government bodies. The federation encourages the research work for better quality of Sugarcane crop and helps in its good production. It also provides technical and professional training to the farmers to improve their field and acts as an important interface between Co-operative Sugar factories and the government bodies.

### **Kerala State Cooperative Bank**

During 1914, the Maharaja of Travancore, Moolam Thirunal Ramavarma, by his decree introduced the Travancore Cooperative Societies Regulation Act. According to this Act, it was regarded as the first cooperative society i.e. The Trivandrum Central Cooperative Bank which was listed in the year 1915. It was operative on 18<sup>th</sup> January 1916. It was converted into '**Travancore Central Cooperative Bank**' in 1943. In 1956 it became The Kerala State Cooperative Bank Ltd. It was brought under the control of the apex bank of the country i.e. Reserve Bank of India (RBI) on 1<sup>st</sup> March 1966. Presently, 14 District Cooperative Banks in the State and the **Government of Kerala** are its members. Under RBI, it is recognized as Scheduled State Cooperative Bank. At present it has also set an example for cooperative banking structure in the country.

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## 17.4 SUMMARY

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- The PESA Act, 1996 is regarded as a corrective legal measure to the 73<sup>rd</sup> Amendment (Panchayati Raj Act) in order to extend the provisions of the Panchayati Raj to the Scheduled and Tribal areas

that fall under the Schedule Five areas of the nine States.

- After the implementation of the 73<sup>rd</sup> Amendment Act, the following numbers of Panchayats were constituted:
  - o Village level- 2,32,378 panchayats
  - o Intermediate level- 6,022 panchayats
  - o District level- 535 panchayats.
- Mahatma Gandhi gave a new boost to voluntarism. He propagated national reconstruction on the basis of self-sufficient village.
- Gandhiji started his 'Voluntary Work' from 1922 to 1928 which entailed among others basic education, Charkha (spinning wheel), Khadi (hand woven cloth), Gramodyog (village industries), removal of untouchability etc.
- The Seventh Plan Document (1985-90) of the Planning Commission of India, while recognizing the role of VOs in rural development programmes, listed out eight criteria for identification of the voluntary organizations.
- The distinct characteristics of voluntary organizations which make them different from other organizations are: VOs are introduced by individuals or groups of individuals for the welfare and developmental activities for the downtrodden sections of the society.
- A cooperative organization is a voluntary organization, which is established by some people on the basis of cooperation and equality, to safeguard their common interests.
- The National Cooperative Housing Federation of India is the nationwide organization of the Indian Cooperative Housing Movement. It was founded by the apex cooperative housing federations in the month of September, 1969.

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## 17.5 KEY TERMS

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- **Constituent Assembly:** A body responsible for making the Constitution of a country. It is a set or an assembly of people that may even be in the form of a convention for the purpose of making the constitution of a country.
- **Voluntarism:** The principle of relying on action which is voluntary or without force. It is usually to refer the involvement of voluntary organizations with a motive of social welfare social welfare.

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## 17.6 QUESTIONS AND EXERCISES

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1. Write a brief note on the Community Development Planning phase.
2. What do you know about the Mayo Resolution of 1870?
3. Why is Lord Ripon regarded as the father of local self-government in India?
4. What are the criteria for identification of Voluntary Organizations?

5. What is the key role of Voluntary Organizations?

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## 17.7 FURTHER READING

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## **UNIT-18: CITIZEN'S PARTICIPATION AND PEOPLE'S EMPOWERMENT**

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### **Structure:**

18.1 Introduction

18.2 Unit Objectives

18.3 Citizen's Participation and People's Empowerment

18.3.1 Citizen and Administration

18.3.2 Citizen and Administration in India

18.3.3 Citizens' Grievances in the Various Spheres of Administration

18.4 Right to Information

18.5 Summary

18.6 Key Terms

18.7 Questions and Exercises

18.8 Further Reading

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### **18.1 INTRODUCTION**

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In this unit, we will discuss the concept of citizen participation in administration and development of the nation. Over the years, democracy has become delegative. People have left it for the elected representatives and officials to govern. Citizens are missing from governance and administration. Democracy has become more representative than participatory. Citizen participation in governance becomes most apparent during elections. Between elections, there are a few institutional channels of citizen participation in issues of governance.

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### **18.2 UNIT OBJECTIVES**

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After going through this unit, you will be able to:

- Discuss the various aspects of citizen's participation in the administration and development of India.
- Analyse the Citizen and Administration in India
- Examine the Citizens' Grievances in the Various Spheres of Administration
- Analyse the Right to Information

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### 18.3 CITIZEN'S PARTICIPATION AND PEOPLE'S EMPOWERMENT

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The concept of citizen participation in administration along with the need and desirability of participation of the masses in the political process of society has been widely proclaimed by many writers. Most of them proclaimed that citizen's involvement may be used both for support by an agency and as a control device by the lawmaker. Participation has both a broad as well as a narrow connotation. In a broad sense, it implies giving every citizen an opportunity to actively participate in constructive public work, besides the franchise, in a democracy. In a narrow sense, participation would refer to a specific action by which the citizen registers his involvement in public affairs to achieve a particular objective.

The process of participation may be direct or indirect and formal or informal in nature. It may also be political, social or administrative in nature. The effectiveness of mobilized or institutionalized citizen participation in public administration mainly depends on the following three factors:

- The degree of seriousness the participant body asserts itself
- Whether public administration delegates certain functions to that body
- Whether public administration consults the body

Citizen's participation in administration may take many forms. It refers to all those activities which show the citizen's involvement in the process of administration, that is, participation in public formulation and programme planning as well as implementation and evaluation of policies and programmes meant for development of particular target groups. In developing societies, the traditional definition of citizen's participation often becomes irrelevant due to the lack of time, initiatives and resources of the citizen who fails to show the necessary enthusiasm or cooperation towards governmental programme meant for his benefit. Therefore, in these countries, participatory activities by the citizens have to be solicited by the government. The state not only plays the key role in its attempts at socio-economic transformation and modernization, but also in promoting what is called institutional participation.

Citizen participation demands certain preconditions. Of these, perhaps, the most important are enlightened political leaders, conscientious civil servants and an informed and cooperative general public. Knowledge of mutual problems and difficulties on the part of both officials and citizens is a vital input for successful participation.

#### *Citizen and Administration*

The main aim of government in a civilized, and more specifically, in a democratic setup has been the happiness, contentment and general welfare of the people who are governed by it. In fact, the strength and tenure of a government depends upon the prosperity of the people, and the security and stability of democracy are determined by their satisfaction. In almost all political

systems, there has always been the crucial problem of the average citizen at the cutting edge of administration, being absolutely deprived of the services and treatment to which he is entitled. It is more or less known to all that one of the gravest problems in public administration is how to make the official at the bottom-most level of administrative hierarchy responsive, honest, sympathetic and courteous in his dealings with citizens and how to enforce such a responsible attitude on his part.

Mismanagement and corruption seem to have their roots in the colonial system of state and bureaucracy rather than their natural evolution through a process of the citizens' demands for 'accountability'. Efficient governance ensures that corruption is minimized, the views of minorities are taken into account and voices of the most vulnerable in the society are heard during decision-making. It is also responsive to the present and future needs of the society. Such governance is articulated by the United Nations Development Programme (UNDP) in terms of the following eight fundamental characteristics:

- Participatory  Consensus-oriented
- Accountable  Transparent
- Responsive  Effective and efficient
- Equitable and inclusive  Follows the rule of law

Citizen and administration are so closely related to each other that the existence of one without the other is almost inconceivable in a civilized society. This harmonious relationship depends upon the sincerity, earnestness and cooperation between the two. To quote Professor W.A. Robson—

'The achievement of good relations between the government and the public is a matter which does not by any means depend solely on the conduct of civil servants and politicians. It depends equally on the attitude of citizens, groups, corporations, associations of all kinds and, indeed of all unofficial bodies to public authorities. If we want public servants to behave well towards us, we must behave well towards them.'

Thus, with this definition, Robson tries to make clear that every citizen of the nation tends normally to assume that public administrators for their part will always behave in a better manner. However, whenever the civil servants and politicians are constantly held in low esteem, if criticism and abuse is poured continuously on them and loose and unconstructive allegations are made about their incompetence, laziness, dishonesty and indifference to the public interests, officials will fail to develop or display qualities of industry, integrity and public spirit.

On the contrary, if the relation between the citizens and administration is healthy, it may bring about the following changes:

- Encouragement  Accelerated development
- Supplement  Strength
- Respect  Goodwill
- Less chance of social unrest

### *Encouragement*

A good relationship between the citizens and administration encourage people's participation in the administrative process—a *sine qua non* for modernization and development.

### *Accelerated development*

Citizens and administration, with their healthy relationship, kindle the potential energy of citizens into kinetic energy to accelerate development.

### *Supplement*

A good understanding between an administration and citizens supplement the efforts of the government in conducting its affairs.

### *Strength*

A healthy link between administration and citizens strengthen the values of democracy in the minds and spirit of people.

### *Respect*

Citizens and administration, with their healthy relationship, enlist respect in the Constitution that is rooted in popular sovereignty.

### *Goodwill*

A good understanding between an administration and the citizens enhances the feeling of friendship and goodwill.

### *Less chance of social unrest*

With a healthy relationship between the citizens and administration, one can easily avoid social unrests such as violence, tension and other social upheavals, which have become the order of the day.

Thus, administration should never be viewed as something alienated from people and their needs. It should rather be regarded to be the means by which these needs are met. The administrator, who thinks of his organization as something apart from the society, is not likely to recognize significant problems of the citizens of that society.

The Administrative Reform Commission (ARC) has also observed in this context:

'If, in the prosperity of the people, lies the strength of a government, it is in their contentment that lies the security and stability of democracy'.

### *Citizen and Administration in India*

The degree and extent of citizen's participation in the administration of developing countries

like India is greatly conditioned by the basic nature and operational peculiarities of administration during the colonial period, when maintenance of law and order as well as revenue raising were the prime considerations of administration. The administrative functions were then, to a great extent, autonomous and unaccountable to the public. Citizen participation neither existed nor was solicited by the government. In the authoritarian and egalitarian political and administrative culture in which the colonial administration functioned, the benefits of administration accrued mostly to the upper and the privileged classes of society. In terms of the method of operation, administration was essentially coercive, procedural and formal.

After independence, with the adoption of the goals of a social welfare state, the key responsibility for rapid socio-economic progress and modernization was undertaken by the state which sought to implement them with the help of public bureaucracy. With the beginning of the process of planned development in India, the administrators and planners have repeatedly stressed the need to involve the masses and solicit their cooperation in the tremendous challenge of development administration. To shake free the energy of the masses that had hitherto been only passive recipients, the government sought to create an institutional infrastructure to promote popular participation. Panchayati Raj and Community Development Programmes were introduced mainly to solicit popular participation in the development administration of the government. The community development programme was a method of soliciting community participation to assist the government authorities in improving the social, economic and cultural life of people in the rural areas. Panchayati Raj was introduced to bring the concept of democratic decentralization and devolution of real power and responsibility to the local masses for development of rural areas. The needs for citizen participation in the plan formulation and implementation process have also been repeatedly stated in the objectives of India's Five Year Plans, the recurring theme of which is to bring about social, economic and political development of Indian masses with active participation and involvement of the masses themselves in the development programmes. However, with time, the entire scenario started degrading. A retired IAS officer of India, Mr. P.S. Appu, perceives that the All India Services in India functioned very well for two and a half decades after India's independence. The debasement and decline of civil services in India started around 1973–1974 at the centre. With the extra parliamentary mass movement in the politics of independent India along with the rising temperature of the increasing intensity of inter-party competition, simultaneously the bureaucratic degeneration in India began. It is pointed out that perhaps the most serious decline in administrative morale occurred during the National Emergency imposed by the then Prime Minister, Indira Gandhi, in 1975–1977, when she made a call for 'committed bureaucracy' to the ideology of the party in power, which, under the circumstances, seemed to undermine bureaucratic neutrality and commitment to constitutional values. Later, in the 1990s, politico-bureaucratic corruption and criminalization of the political process reached an alarming height. P.S. Appu described the entire situation in the following words:

'All over the country, chief ministers became prisoners in the hands of conflicting political parties and groups. To survive in office, they were obliged to placate numerous petty politicians. The new breed of ministers with tenuous tenures was ever on the lookout for pliable

bureaucrats. There was no shortage of unprincipled opportunists in the bureaucracy. Before long a large number of civil servants aligned themselves with particular ministers and became active collaborators leading to disastrous consequence.’

He, however, establishes his faith in the rejuvenation and retention of All India Services for three important reasons. First, even in their weakened state, the All India Services have offered some resistance to the arbitrary actions of cynical politicians. Second, the experience of the Gujarat Riots of 2002 reminds us the neutrality of the police force where the superintendents of police in Kutch, Bhavnagar, Banaskantha and Bharuch took firm action against the Hindu fanatics. Third, the president and the Supreme Court being distant authorities tend to allow millions of citizen to have the privileges defined under the constitution.

The problem of bureaucratic corruption today has become so pervasive and the failure of administrative vigilance so markedly prominent that only judicial activism on this front appears to solve the problems to some extent. The Government of India, in the year 1993, established a committee at the administrative level headed by the then Home Secretary, N.N. Vohra, to pick all in formation that was available regarding the actions and activities of crime syndicate organizations, which had developed links with and were being protected by government functionaries and political personalities. The report submitted in October 1993 stated the following:

‘CBI has reported that all over India crime syndicates have become a law unto themselves. Even in rural areas and smaller towns of India, highly strongest men have become the power of the day. Hired assassins have become a part of these organizations. The nexus between the criminal gangs, police, bureaucracy and politicians have emerged clearly in various parts of the country. The existing criminal justice system, which was essentially designed to deal with the individual offences/crimes, is unable to deal with the activities of the mafia: the provision of law in regard to economic offences is weak; there are insurmountable legal difficulties in attaching the property acquired through illegal activities.’

On the level of corruption, India was ranked 73rd by the Corruption Perception Index 2002 of Transparency International, Berlin. To quote N. Vittal, a former Central Vigilance Commissioner: ‘There is a close relationship between the bureaucracies, the political leadership, the citizens, the business communities and perhaps even the criminals ...Trying to eliminate corruption in one sector of bureaucracy alone is not going to be effective. After all, tackling corruption is like an epidemic. It is not possible to quarantine one section alone.’

Jayprakash Narayan, who led a massive anti-corruption and anti-authoritarian extra-parliamentary mass movement in the first half of the 1970s, describes politics as the river of corruption in India. He stated that—

‘The Herculean cleansing of the Augean stables of politics must take place at the source. A neo-feudal rent-seeking political and administrative class in India for transfers and postings

still survives the dismantling of the Permit-License Quota Raj even in the new millennium. It is an anachronism that must go.'

The naked publicization of bureaucratic corruption has resulted in a distressing decline of the public image of bureaucracy. The National Election Study (NES), 1996, conducted by the Centre for the Study of Developing Societies, has shown that the police and civil bureaucracy ranked at the lowest two positions in an index of popular trust in institutions. Out of a maximum score of 100, bureaucracy secured 27 and the police 28, trailing far behind the Election Commission of India and the judiciary.

Based on an extensive field survey, well-known authors Eldersveld, Jagannadham and Barnabas came out with the following research findings on citizen and administration relation:

'The attitude of Indian citizens towards their government and its administrative officials particularly, is a complex and paradoxical mosaic of support and hostility, of consensus and critique. From 75 per cent to 90 per cent view governmental job as prestigious, 90 per cent feel that health and community development programmes are worthwhile, and less than 50 per cent (20 per cent rural) are critical of the job performance of Central Government officials. On the other hand, the majority feel that 50 per cent or more of the officials are corrupt, large proportions (60 per cent urban and 32 per cent rural) say their dealings with officials are unsatisfactory, and the majority sense that their probabilities of gaining access to officials and being successful in processing their complaints with them are low. Over 50 per cent feel officials in certain agencies are not fair, that the citizen can do little by himself, and from 60 per cent to 75 per cent feel that political pulls are important in getting administration action.'

Other studies reveal various reasons for general mistrust and lack of faith of citizens in administration. The reasons for this are:

- corruption and unhelpful attitude of the bureaucrats
- inordinate delay in getting the wheels of the administrative machinery in motion
- citizen's ignorance about procedure and formal rule
- discrimination between the rich and the poor, the rich having easy access to administration, and the general tendency of officials to underplay the needs and interests of the poor

The National Commission to Review the Working of the Constitution (NCRWC) 2002 made a number of recommendations for administrative changes with a view to minimize corruption in its report. It recommends legally instituted accountability of public servants for their mala fide acts of omissions and commissions as well as their liability to pay damages. Again, it also suggests plugging the loopholes in anti-corruption laws like Benami Transactions (Prohibition) Act 1988, and the Prevention of Corruption Act 1988. Further, it proposes the establishment of Lokpals and Lokayuktas under the Constitution and State Legislation respectively. Besides, to ensure transparency in administration, the NCRWC report recommends the passing of a Right to Information Act. Under this Act, the government must assume a major responsibility and

mobilize skills to ensure flow of information to citizens.

### *Citizens' Grievances in the Various Spheres of Administration*

The scope of citizens' grievances has considerably been large. It is true that bureaucratic corruption is principally visible within the ambit of citizens' grievance against the executive organs of government. However, it does not mean that this is the only element constituting corruption. In widest connotation, corruption includes improper or selfish exercises of influence and power attached to a public office or the special position one holds in public life. But apart from corruption, there is incompetence, indifference and insensitiveness on the part of public servants that can also become grossly harmful to the citizens.

Grievances of citizens can be of two types:

- General grievances
- Individual grievances

#### *1. General grievances*

General grievances are normally against the governmental acts and policies and may be common to any or all sections of the community. Shortage of baby food, rise in prices, overcrowding in transport services and late running of trains are some examples of general public grievances, which may find expression in widespread disturbances occurring from time to time.

#### *2. Individual grievances*

Individual grievances are those which the citizen, as individuals, may have against the executive organs of government. It includes both power wielding political leadership and the permanent services on account of any act or omission on their part which affects the citizens individually.

Due to development of the rule of law and the evolution of large career service, a basic change has been brought about in the public view of integrity of public servants. Citizens now tend to believe that public officials should, by no means, use their official position to avail any kind of financial or other advantages for themselves, their friends and families. Citizens today expect public servants to be honest, diligent, responsive, fair and competent in the discharge of their duties. These are some of the qualities which the Madhya Pradesh Administrative Reforms Commission, in its report, has described as 'integrity and capacity in administration'.

Therefore, citizens' grievances and their root lies in the gap between peoples' expectation regarding public official's attitude on one hand, and public official's actual attitude and behaviour on the other. Today, one finds a great deal of alienation between citizens and administration. The dissatisfaction of citizens with the administrative machinery has largely grown in recent years. It is generally viewed that the administration has gradually failed to provide efficient and timely services.

Professor S.L. Goel, an expert in the subject of public administration, has discussed the nature of citizens' dissatisfaction in different sectors. In the initial phase of his study, he has

taken up the administration of electricity. Ex-Chief Engineer of Haryana, M.M. Goel, has pointed out the main grievances of citizens regarding electricity administration in his doctoral thesis. These are as follows:

- Corruption amongst all officials
  - Inordinate delay in transacting government business
  - Unhelpful attitude on the part of officials
  - Favouritism and nepotism in dealing with the public
  - Delays caused by faulty procedures
  - Lack of machinery for redressal of public grievances at the district level
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- Delays caused by the lack of inter-departmental and intra-departmental coordination
  - International delays
  - Delays caused by excessive workload on government officials

Again, S.L. Goel has explained the nature of public grievances in hospital administration. He has observed that the faith of people in the efficiency of the hospital system is decreasing because of the utter negligence and indifference on the part of hospital authorities against citizens. The patients also complain of the preferential treatment being given to VIPs and influential people. Some of the patients were of the view that big hospitals are meant only to serve the VIPs. Some patients have complained that preferential treatment is given to friends and relatives of the hospital staff. Patients have also complained against the lack of coordination between supportive services and medical services. Most of the patients have complained that either their X-ray reports or the laboratory reports were totally non-available. Some have complained against the non-availability of medicines as well. In addition, in tracing patient's report and also in referring them to other departments, an unnecessary delay is created.

Moreover, there are numerous grievances of citizens in the sphere of police administration. In this context, it would perhaps not be irrelevant if we quote the observation of the National Police Commission Report 1979, which states that 'in public estimate, the police appear as an agency more to implement and enforce the objectives of the government in power as distinct from enforcing law as such as an independent and impartial agency.' The NPC categorically states—'the police sub-culture should take into account the fundamental rights of the people, the supremacy of laws and not of executive fiat, and our constitutional goal towards a developed and egalitarian society.' The NCP was aware of the public brutality and its cancerous corruption.

After having a look at citizen grievances in all the fields, one can easily decipher the principal problems faced by citizens, best illustrated in Figure 4.1.



*Fig. 4.1 Problems Faced by Citizens*

Now, let us make an attempt to find out the basic problems faced by the personnel in administration. These are as follows:

- Promises by political elites to provide services without matching resources, resulting in the dilution of the standard of services.
- Political interference, resulting in low morale and motivation among employees.
- Crisis in leadership, leading to organizational anarchy.
- Posting, promotion and transfer based on influence and not on merit, leading to gross inefficiency and mediocrity.

Thus, from this discussion, you find that the design of an administrative system is a basic aid to the achievement of its primary goals. Administration can provide the means, whereby the

most effective use can be made of the knowledge and skills of the personnel engaged in different activities. The benefits of modern science and technology can reach citizens only if such services are properly planned and effectively implemented. An approach based on modern science and technology is an important factor in bringing about administrative efficiency.

Besides, adequate resources should also be there to significantly expand governmental activities to maintain proper coordination between citizens and administration. In hospital administration, for instance, problems emanate from a number of constraints on hospital authorities, for example, shortage of staff at all levels, lack of space for accommodating an increasing number of patients, shortage of funds, shortage of equipments and medicines as well as continuous political and administrative interference. In order to provide satisfactory hospitals services, the government must attend to the above mentioned constraints. However, citizens also cannot run away from the responsibilities that lie on their part. This means that the patients and their relatives must cooperate with the hospital authorities to make the best use of

available resources. In this way, not only will the citizen have a healthy relationship with the administration, the administration will run smoothly keeping in mind the citizens' welfare as well.

#### **18.4 RIGHT TO INFORMATION**

Information is the fundamental democratic right of any human being. Empowering the public with full information is the fundamental duty of the government. The people then become the nation's greatest asset in implementing policies and programmes of our democratic developing polity. The Right to Information is mainly made up of different rights and responsibilities, namely:

- Every person's RIGHT to request information from the government and even private bodies in some cases
- The DUTY of the government to make available the information that is demanded, except defined exceptions
- The DUTY of the government to disclose proactively the information that is of general public interest without the need for requests from citizens

##### *Status of Right to Information Act*

The Right to Information has not been mentioned specially anywhere in the Constitution of India, but it has been recognized by the Supreme Court long back and has been considered as a fundamental right for the proper functioning of democracy in the country. In India, the Supreme Court has acknowledged the right to information as a vital part of the right to freedom of expression and speech guaranteed by the Constitution of India under Article 19 as well as an essential part of life under Article 21.

The right to information shows the reality that all the information possessed by the government belongs to the general masses. In other words, all governmental information is not supposed to be hidden or withheld by the government. Rather, it should be held by the people as most of the information is generated by public money and by public servants. One can have access to avail information regarding government decision-making process, policies, decisions and actions.

The right to information is not always absolute. There is certain information that may be withheld for security purposes. Leaking of such information may harm the interests of the public, for instance, information about army forces at the time of war or information about national economic policies prior to their publication. In all these cases, it is valid for government officials to keep such information concealed.

##### *Utility of Right to Information*

Right to information can be used by the people to take initiatives in making sure that the government provides them with services they are entitled to and the rights and benefits that are their due as the citizens of India.

The right to information applies to the whole country, across all states and Union territories (except Jammu & Kashmir). One can easily avail information of any state on any topic from the government of that particular state. For instance:

- Parents can ask for details of grants made to government-aided schools to ensure that funds are being spent properly. They can check that admissions are not being secured through bribes or that funds meant for education are not being diverted for other purposes.
- People holding ration cards can check the stocks and sales registers held by ration card dealers and the food department to make sure that they are getting proper amounts of rations and that rations are not being siphoned-off in their name.
- Unemployed people can inquire about the criteria for procuring government jobs or the status of their applications and position in the wait list.
- Owners of small businesses can find out the basis on which licences, tax concessions or subsidies are granted by the government. They can also check whether the government is granting licences/concessions/subsidies on the basis of properly applied criteria.
- People can check the progress of their applications for government services.
- People can also get information on the number of deaths in government hospitals and question the shortfall of doctors and nurses, if any.
- People can obtain the daily attendance records of teachers in government schools.
- People can get information on the number of people being housed in local jails.
- People can find out the number of inspector visits in factories and other manufacturing units to check that they are not illegally releasing hazardous materials in the environment.

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## 18.5 SUMMARY

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- Empowering the public with complete information is the fundamental duty of the government.
- The right to information is not always absolute. There is certain information that may be withheld.
- The Right to Information Act came into force with effect from 12 October 2005.
- Public Information Officers have been appointed in both the Central and the State governments to provide information to those who require such information under the Act.
- Citizen and administration are so closely related to each other that the existence of one without the other is almost inconceivable in a civilized society.
- Jayprakash Narayan led a massive anti-corruption and anti-authoritarian extra-parliamentary

mass movement in the first half of the 1970s.

- Adequate resources are needed to significantly expand governmental activities to maintain proper coordination between citizens and administration.

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## 18.6 KEY TERMS

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- **Corruption:** Dishonest or illegal behaviour, especially of people in authority
- **Transparency International:** The global civil society organization leading the fight against corruption
- **RTI:** Right to Information Act, a law enacted by the Parliament of India giving access to government records

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## 18.7 QUESTIONS AND EXERCISES

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1. Enumerate the factors on which the effectiveness of the institutionalized citizen participation in public administration depends.
2. What are the general grievances of citizens against the government?
3. List the primary rights and responsibilities under the Right to Information (RTI).

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## 18.8 FURTHER READING

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## **UNIT-19: WOMEN EMPOWERMENT**

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### **Structure:**

19.1 Introduction

19.2 Unit Objectives

19.3 Women Empowerment

19.3.1 Economic Issues and Challenges Confronting Women

19.3.2 National Policy for the Empowerment of Women, 2001

19.3.3 Economic Empowerment of Women

19.3.4 Feminization of Labour Force

19.3.5 Development of Self-Help Groups in India

19.4 Summary

19.5 Key Terms

19.6 Questions and Exercises

19.7 Further Reading

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### **19.1 INTRODUCTION**

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The roles of both citizen and governance are undergoing an important revolution. Government is seen more as one of the stakeholders than a regulator, funder and service provider. Citizen governance is to be seen beyond new public management. It brings a fundamental change in the reform process for the development and sustainability of the nation. The new vision is to evolve public policy through joint efforts of public authorities and citizens working in harmony. Today, the reinvention of citizens is of crucial importance for public administrative practice.

When India achieved independence from foreign rule, people became the sovereign leaders of the country. It was 'we, the people of India' who gave unto themselves a constitution and provided space for the legislative, executive and judicial systems to function. As much as the Constitution is the creation of people, the basic constitutional values embodied in the Preamble, the fundamental rights and The Directive Principles of State Policy represent citizenship values.

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## 19.2 UNIT OBJECTIVES

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After going through this unit, you will be able to:

- Identify the legislative and executive measures for empowerment of women
- Analyse the constitutional and legislative provisions related to the empowerment of Scheduled Castes (SCs) and Scheduled Tribes (STs)

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## 19.3 WOMEN EMPOWERMENT

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Empowerment as a concept was first accepted at the International Women's Conference in 1985 at Nairobi. The conference concluded that empowerment is a redistribution of power and control of resources in favour of women through positive intervention. The Programme of Action 1992 has accepted the following parameters for empowerment of women:

- Enhance self-esteem and self-confidence in women.
- Build a positive image of women by recognizing their contribution to the society, polity and economy.
- Develop in them an ability to think critically.
- Faster decision-making and action through collective process.
- Enable women to make informed choices in areas like education, employment and health especially reproductive health.
- Ensure equal participation in the development process.
- Provide information, knowledge and skills for economic independence.
- Enhance access to legal literacy and information related to their rights and entitlements in the society with a view to enhance their participation on an equal footing in all areas.

Equality of women is necessary not merely on the grounds of social justice, but as a basic condition for social, economic and political development of a nation. Empowerment is necessary to release women from their dependent and unequal status. An improvement of their employment opportunities and earning power has to be given the highest priority. In India, it is the Sixth Five Year Plan (1980–85) which can be taken as a landmark for the cause of women. It is here that the concept of women and development was introduced for the first time. Women, due to their pre-occupation with home-related activities, do not find time to devote fully for their skill development and employment. Indian women are busier in their household work than men. The Eleventh Five Year Plan has stated that entrenched patriarchal norms and customs mean that women's work goes unnoticed and is unpaid for. The double burden of work placed on women (unrecognized household work and low pay in recognized work) coupled with social norms that prevent her from getting the requisite educational and technical skills result in low female work

participation rate, either real or statistical. In 2004, female workforce participation was 28 per cent as compared to other developing countries like Sri Lanka, 30 per cent, Bangladesh, 37 per cent, and South Africa 38, per cent. Women's representation in the government sector has improved from 11 per cent in 1981 to 18.5 per cent in 2004. At the grassroots level, women are playing a more active role in Panchayati Raj bodies and their representation in the Panchayat has gone up from 33.5 per cent in 1995 to 37.8 per cent in 2005. Women's presence in Parliament has however increased only slightly from 6.1 per cent (1989) to 9.1 per cent (2004). The representation of women in decision-making levels through premier services, namely, IAS and IPS, stood at only 5.4 per cent in 2000.

The 73rd and 74th constitutional amendments in 1993 have brought forth a definite impact on the participation of women in terms of absolute numbers in grassroots democratic institutions, namely, Panchayati Raj and local bodies. In fact, these amendments proved to be a milestone in the history of political participation of women. It gave them the power of decision making in a democracy at the grassroots level. At the block level, out of 51,000 members of Block Samitis, 17,000 are women. In addition, nearly one-third of the mayors of the municipalities are women.

The status of women is directly connected with their economic position, which, in turn, depends on opportunities for participation in economic activities. The economic status of women is now accepted as an indicator of a society's stage of development. The long-term objective of the developmental programmes for women would be to raise their economic and social status in order to bring them into the mainstream of national development.

#### *Definition of empowerment*

In the context of the increasing awareness amongst people about their rights and freedoms, the term empowerment implies power. Empowering people also means creating awareness among various sections of society. When people know about their position, are conscious of what is good for their well-being and possess a sense of empowerment, then they are able to control their lives. In present times, when a woman is in a position to take her own decisions in life, she feels 'empowered'. Any marginalized section of society, be it elder citizens or the economically impoverished, feels empowered on attaining independence and freedom. Empowerment also means that people are not suppressed because of their lack of knowledge. Therefore, it extensively calls for some changes in the society to make it a better place for the individuals to reside,

irrespective of gender, caste, class or colour. Therefore, the government and NGOs need to spread the word in different towns and cities, and most importantly villages, where empowerment of women is overlooked and never acknowledged. It is also important to bring about a change in the mentality of people through proper education, avoiding differentiation and bringing into notice the laws, rules and code of conduct they never had any knowledge about. Lastly, and most importantly, there is a need to change the mindset and mentality of male members who suppress the empowerment of women to a great extent.

### *Socio-cultural aspects of empowerment*

This entails giving women the right and freedom to choose their way of life, providing them the right to education and the right to choose their profession and life partner. With more women being educated, empowerment would augment work power, thereby proving economically beneficial for the country, directly or indirectly. However, gender discrimination and a patriarchal society have always made the upliftment of women difficult in our country. Our male-dominated society has always laid down the norms for women and has determined their rights to talk, walk, wear or even work. While economic empowerment provides the power to learn, earn and spend, in most cases, women cannot exercise this right, or they may have nominal control over it. A girl is often not allowed to select her own stream of study or her occupation; even a working woman is not permitted to spend a penny on herself, and her accounts are operated by her husband. If the case of a working woman is so pathetic, one can imagine the plight of a woman who spends her whole day within the four walls of the house.

To instill a sense of equality between men and women, people must be stopped from seeing females as a burden. Women should be allowed to participate in decision-making sessions at various levels within the family or outside. Women must be allowed to earn and spend on their own will. In case they cannot earn, a fixed amount of money should be given to them by the family/government. The government should ensure equal wages for equal work. Socio empowerment thus implies a woman's acquisition of the same powers, rights and freedom at home and in her country as exercised by her husband. Cultural empowerment means women are not biased in the name of culture, home or country and are allowed to get education and jobs. Women should not be coerced to remain in 'purdah' and allowed to wear any type of decent outfit.

In socio-cultural terms, her legal status should also be at par with her men. In a male-dominated society like ours, women should share equal importance in the household as enjoyed by her husband and should not be discriminated. As a homemaker, she should be allowed to have her independence in financial issues as well. The success of socio-cultural empowerment of women actually rests on others' response to her newly acquired independence as well as the perspectives of her family, spouse, neighbours and superiors towards her rights.

### *Women's empowerment through reservation*

Women's reservation in Panchayat elections could have changed the concept of power as it symbolizes a paradigm shift from empowerment of men towards that of women. However, at the grassroots level in India, the picture we are familiar with is something different. Women in power are accompanied by her husband or other family members. In a male-dominated rural structure, women empowerment does not get due recognition. Women are often shoved away and thought to possess no knowledge of her work, or what needs to be done. Village administration and decision-making have always remained a male priority. Thus, women's reservation in the Panchayat has sadly failed to empower women. Most female members of rural governing bodies

follow the orders of males in their family. In some cases, the women in power do not even attend meetings and merely act as rubber stamps. In order to change this, it is important to liberate females from their submissive mentality. They should be made aware of their equality in terms of intellect.

With reservation, women have attained power and dignity. Through such initiatives, gender discriminations can gradually be removed. Women like Ambika Soni, Sonia Gandhi, Sheila Dixit and Pratibha Patil, who have held and are still holding important positions in power politics,

have contributed in a larger way towards women empowerment as they have inspired woman to obtain education and strive for a dignified and equal stance in society.

### *Economic Issues and Challenges Confronting Women*

Women's contribution in economy cannot be overlooked, especially in the Third World, where agriculture remains one of the primary economic resources. In such countries, women make up a greater portion of the agricultural labour force. Strategies undertaken for agricultural development aim to increase production through mechanization but neglects sex ratio that constitutes agricultural labour. With the passage of time men gained benefits from technical development while women remained marginalized. Many studies suggest women are six to seven times more unemployed than men. Hence, they work mostly as low paid casual labourers.

Women constitute 48.26 per cent of India's total population. In rural India, the livelihood of almost 30 lakh women depends on agriculture and livestock. During 1995–2001 women have 1,47,000 jobs in the textile sector. India has 397 million workers out of which 123.9 million are women—106 million are in rural areas and the remaining 18 million in urban areas. Female work participation has increased from 19.7 per cent to 25.7 per cent in 2001. There has been a significant increase in work participation, but most low paying jobs where women work for long hours without any special coverage confront harassments, both economic and physical.

Another disadvantage of female agricultural workers is the huge differential they experience with regard to wages. Despite several legislations regarding payments and legal specifications to provide Equal Pay for Equal Work, wage discrimination against women is omnipresent in India, particularly in unorganized sectors like agriculture and construction sites. Agricultural work is seasonal in nature. Therefore, during their off time and in drought-like situations, women have to search for alternate sources of income. In such circumstances, many women migrate to urban areas. Sometimes, only male members migrate, leaving behind their spouse and children to fight with adverse situations of poverty and hunger. Other times, many agricultural workers mortgage their property and to recover them, they migrate to earn more money. This striking fact came into light in a group discussion of many North-East female domestic workers in Delhi. One of them, Beli, had left her native place at an early age when she was barely 12-13 years old to earn money to pay her father's debt. She stayed near Jamia Nagar, Okhla. Her initial intention was to earn money for her mortgage property, but with time, she got tangled into other issues. As she was a divorcee at the age of 12, she had to confront several new challenges in

the cosmopolitan city. She was lured to settle as a married woman but she soon realized that she was being used merely as a surrogate mother for an issueless happily married couple. The latter had earlier taken her on as an easy target, got her pregnant, and after that, intended to take away her child. But she was bold enough to counter all these circumstances by protesting against her exploitation as a child producer. She asserted her rights to get accepted as the second wife of her husband and get recognized as the mother of her two sons. In many interviews, it was found that women from the North-East become soft targets of women trafficking as well as similar kinds of exploitation since they are often poor and want to earn money, or have language and cultural problems that prevent them from intermingling with the locals or get misguided.

Most of the problems of rural women emanate from poverty, compelling them to live a life of hardship and drudgery. The Government of India has made various efforts to bring them in the mainstream of development programmes through various schemes. However, the status of rural women is not satisfactory. The First Five Year Plan emphasized on the welfare of women. The International Women's decade 1975–85 had its impact on the planning process related to women. The Ninth Plan took women empowerment as a measuring tool for the development of the cause of women. The year 2001 is declared as the Women Empowerment Year in India, and India has adopted a national policy for the empowerment of women.

### *Case Studies*

#### **Rukhsana Sheikh, Okhla Village, New Delhi**

Rukhsana Sheikh, a young girl wishes to call herself an empowered woman, financially independent and capable to stand on her own feet. However, she had to struggle much in the past. Her family belonged to Muzzafarpur, Bihar, where her father, who was not very well qualified, worked. There was not much scope for him to seek a promotion, and thereby, he sought a higher pay to feed his growing family. Rukhsana had two brothers and sisters, and she was the eldest amongst them. She was only five years old when her parents decided to migrate to Delhi as her father wanted to search for a new job to increase his earnings. Though he came to Delhi to provide *roti, kapda* and *makaan*, he had to face a new challenge. Besides

providing the basic amenities, he had to adapt to Delhi's style of living, language patterns, dressing sense and food habits. Rukhsana and her family were ready to accept this challenge. Her father got a good job near Hauz Khas. He became a senior manager in a textile company and his salary was much better than his earlier job. Now, he was easily fulfilling the basic needs of the family, but was faced with a new problem—a class struggle, where it was necessary to maintain the same level as other members of the same class in the city. In a competitive market with rising prices, class needs like good education of children, own house and smart dressing patterns were difficult to meet singlehandedly. Rukhsana was mature enough to understand her father's problems. After completing her matriculation, she decided to discontinue her education. Earlier, she wanted to become a good teacher, but finally, she decided to enroll herself into a beautician course from Meera Bai Polytechnic. It was a one-year diploma course. After completing her course, she started practicing in a beauty parlour. She worked without any pay or stipend. After six months, she opened her own beauty parlour near Shahab Masjid (Muradi Road) at Batla House. Luckily, her parlour is running very well. Her income has also increased. She has acquired many customers who come for treatment. She feels proud for being able to support her family as an earning member, provide education to her siblings and pamper them by meeting their every small wish. She wishes to purchase her own flat and a shop in the locality and get married five years later. She is 25 years old at present. Her prime motive is purchasing a flat and a shop. There are three more supporting members in the family. Her younger brother has completed his education and is working in an MNC.

### *National Policy for the Empowerment of Women 2001*

The principle of gender equality is enshrined in the Indian Constitution in its Preamble, Fundamental Rights, Fundamental Duties and Directive Principles. The Constitution not only grants equality to women, but also empowers the state to adopt measures of positive discrimination in favour of women.

India has also ratified various international conventions and human rights instruments committed to secure equal rights to women. Key among them is the ratification of the Convention on Elimination of all forms of Discrimination against Women (CEDAW) in 1993. The Mexico Plan of Action (1975), the Nairobi Forward Looking Strategies (1985), the Beijing Declaration, Platform for Action (1995) as well as the outcome document adopted by the UNGA Session on Gender Equality and Development and Peace for the 21st century titled 'Further action and initiative to implement the Beijing Declaration and the platform for action' have been unreservedly endorsed by India for appropriate follow-up. The policy also takes note of the commitment of the Ninth Five Year Plan and other policies related to empowerment of women. Gender disparities manifest itself in various forms, the most obvious being the trend of continuously declining female ratio in the population in the last few decades. Social stereotyping and violence at the domestic and societal levels are some of the other manifestations.

Discrimination against girl children,

adolescent girl children, adolescent girls and women still persists in some parts of the country. The underlying causes of gender inequality are related to social and economic structure, which is based on informal and formal norms and practices. Consequently, the access of women, particularly those belonging to weaker sections including Scheduled Caste/Scheduled Tribes/ Other Backward Classes and minorities, majority of whom are in the rural areas and in the informal, unorganized sectors, to education, health and productive resources, among others, is inadequate. Therefore, they remain largely marginalized, poor and socially unaccepted.

### *Objectives of the policy*

The goal of this Policy is to bring about the advancement, development and empowerment of women. The Policy will be widely disseminated so as to encourage active participation of all stakeholders for achieving its goals. Its objectives include:

- Creating an environment through positive economic and social policies for full development and empowerment of women.
- De jure and de facto enjoyment of all human rights and fundamental freedom by women on equal basis with men in all spheres—political, economic, social, cultural and civil.
- Equal access of women to health care, quality education at all levels, career and vocational guidance, employment, equal remuneration, occupational health and safety, social security, public office, etc.
- Strengthening the legal system aimed at elimination of all forms of discrimination against women
- Changing social attitude and community practices by active participation and involvement of both men and women
- Mainstreaming a gender perspective in the development process
- Building and strengthening partnership with civil society, particularly women organizations

A few of these objectives are explained below in detail

- **Reformation of the judicial-legal systems:** Among other concerns that the policy addresses, it strives to make the legal-judicial system more responsive and gender sensitive to women's issue and needs, especially in case of domestic violence and personal assault. New laws will be enacted and existing ones reviewed to ensure that justice is quick and punishment meted out to the culprits is commensurate with the severity of the offence. The evolution of property rights in a patriarchal system has contributed to the subordinate status of women. The Policy would aim to encourage changes in laws relating to ownership of property and inheritance by making them unbiased in terms of gender.
- **Ensuring decision-making powers:** Women's equality in power sharing and active participation in decision making, including decision making in political process at all

levels will be ensured for the achievement of the goals of empowerment. All measures will be taken to guarantee women equal access to and full participation in decision-making bodies at every level, including the legislative, executive, judicial, corporate, statutory bodies, as also the advisory committees, boards and trust. Affirmative action such as reservation/quotas, including higher legislative bodies, will be considered whenever necessary on a time-bound basis.

- **Mainstreaming a gender perspective in the development process:** Policies, programmes and systems will be established to ensure mainstreaming of women's perspective in all development processes with women acting as catalysts, participants and recipients. Women-specific interventions would be undertaken to bridge gaps in policies and programmes.

### *Economic Empowerment of Women*

The following aspects need to be looked into for the empowerment of women:

1. **Poverty eradication:** Since women constitute the majority of population below poverty line, they are often confronted with situations of extreme poverty. Given the harsh realities of intra household and social discrimination, macro-economic policies and poverty eradication programmes will specifically address the needs and problems of such women.
2. **Macro credit:** To enhance women's access to credit for consumption and production, new micro-credit mechanisms and micro-finance institutions may be established and the existing ones strengthened.
3. **Women and economy:** Women's perspective will be included in designing and implementing macro-economic and social policies by institutionalizing their participation in such processes. Their contribution to socio-economic development as producers and workers will be recognized in the formal and informal sectors (including home-based work) and appropriate policies related to employment and her working conditions will be drawn up. Such measures could include:
  - reinterpretation and redefinition of conventional concepts of work wherever necessary, for example, census records, to reflect women's contribution as producer and workers
  - system of interaction among the countries of the world in order to develop the global economy preparation of satellite and national accounts
  - development of appropriate methodologies for undertakings in the above two measures
4. **Globalization:** Benefits of the growing global economy have been unevenly distributed leading to wider economic disparities, feminization of poverty, increased gender inequalities through often deteriorating working conditions and unsafe working environment, especially in the informal sector and rural areas. Strategies will be designed to enhance the capacity of women and empower them to meet the negative social and economic impacts, which may flow from the globalization process.

- 5. Women and agriculture:** In view of the critical role of women in agriculture and allied sectors as producers, concentrated efforts will be made to ensure that benefits of training, extension and various programmes will reach them in proportion to their numbers. The programmes for training women in soil conservation, social forestry, dairy development and other occupations allied to agriculture, livestock including small animal husbandry, poultry and fisheries will be expanded to benefit women in the agriculture sector.
- 6. Action plans:** All Central and State ministries will draw up time-bound Action Plans for translating the policy into a set of concrete actions through a participatory process of consultation with Centre/State department of women and child development as well as National/State commissions for women. The plan will specifically include the following:
- Measurable goals to be achieved by 2010
  - Identification and commitment of resources
  - Responsibilities for implementation of Action Plans
  - Structures and mechanism to ensure efficient monitoring, review and gender impact assessment of action points and policies
  - Introduction of a gender perspective in the budgeting process
  - Collection of gender disaggregated data by all primary data collecting agencies of the Central and State government as well as research and academic institutions in the public and private sectors.

### *Feminization of Labour Force*

Critiques of new economic policies (NEPs) see it as a surrender of our sovereignty to foreign institutions and countries to the 'we have no choice' pragmatics. (Menon, 2006: 146) Left parties raised the issue of peoples' interest from different classes as working class, petty traders, and entrepreneurs. They mobilized rallies against anti-price rise. Women's organization raised the issue of working women.

Indeed, NEP started entering quietly since the beginning of the 1980s and the women empowerment policy had been adopted by all ruling parties, be it Congress, Janata Party or others. It was in the Rao Government that this policy became evident. At the initial stage of policy making, it was hoped that the exports will increase and therefore the expenditure can be lowered by reducing the demand of imports. Structural Adjustment Programme (SAP) is meant to deal with the supply side by increasing production incentives for the private sector, privatization of government owned units, de-licensing deregulation and disciplining labour. It is feared that the real cost of adjustment, borne primarily by the benefits, would be limited to a small section. Many studies indicate that where SAP seems to lead towards growth, it does not necessarily imply development.

We have data that suggest gender discrimination at all levels for women workers. Though

labour participation rate is comparatively low for women, the disparity is higher in urban areas. In Mumbai, Neelima Yadav's data shows labour force participation rate for women was 10.7 per cent as against 53.7 per cent for men in 1991. Arguments are that the labour participation of women is one of the most vital indicators of women's empowerment, access to resources, and decision-making ability and thus must be made a central focus of policy. Women from low social order are more likely to be found in either casual labour or unorganized sector. They are less likely than other women to confine to domestic duties solely; instead they have higher rate of participation in the labour force. The gap between men and women in labour force participation for Muslims is more as they have several cultural barriers which restrict their movement. However, labour force participation rate for Muslim women from the lower social order is also very high as they are the sole breadwinners for their families in many marginalized caste as a survey of Phulpur, Allahabad shows. A survey on almost 14 backward castes of Muslim women was conducted. It was found that major portion of women who belong to the labour force are from ten most marginalized castes, and are completely illiterate and primarily employed in either domestic work or *bidi* rolling. They live in very unhygienic conditions and are more likely to be affected with asthma, TB and other respiratory diseases since their work profile forces them to spend most of their time with tobacco. Their men sit home idly and are completely dependent on their female counterparts. Ironically, these women who spend most of their time in *bidi* rolling get only Rs 30–40 per 1000 *bidi* though the government approved rate is Rs 60 per 1000. This is because the agent who provides them with employment exploits them economically by taking advantage of their ignorance.

In the unorganized sector where mostly women work, there is wage discrimination between male and female workers, especially in the agricultural labour sector or urban construction sites, where rules and laws are not practised. There are many women who do not know their rights or the rules and regulations that the International Labour Organization (ILO) follows to calculate their wages.

It is very interesting to see increasing women participation at the workplace in recent years. For example, in the United States, the labour force participation rate for women increased from 43 per cent in 1970 to 60 per cent in 1998. However, labour force participation rate for men has decreased from 80 per cent to 74 per cent. In addition, the population of women executive, administrators and managers in non-farming occupations has almost tripled from 1970 to 1998. Women's participation in labour force in Australia, Botswana, Brazil, Egypt, France, India, Ireland, Israel and Singapore has increased by 2 per cent to 9 per cent from 1985 to 1995.

Gender is also associated with the occupation in which individuals work. Sex segregation of occupations or unequal distribution of women and men in different types of jobs and occupations is common at the workplace. In the United States, sex segregation is almost stable during the 1990s and is at a much higher level than popularly believed. Since time immemorial, the accepted notion of gender roles is based on the doctrine of separate spheres. According to this ideology, since men and women have different natures, the roles they play are thought should be radically different. Thus, it is perceived that naturally men should plunge

themselves in business and commerce whereas women should concern themselves with domestic duties. The belief that men and women should occupy different social roles was grounded in the fact that the lives of most women were dominated by their capacity to bear children.

Chimayee Samla, a social activist, brought forward in a national seminar the fact that there are 80,000 domestic workers in Delhi. There are thousands of placement agencies who employ them in the city. Many of these women face a lot of violence and are raped by the people who get them to the city before they are sent off to work. Though there is a ban on child labour, this has not been applicable or implemented in the case of domestic workers.

### *Development of Self-Help Groups in India*

The concept of Self Help Groups (SHG) is new quite new in India. In many places, it is known as Besi, Committee, etc. In the early stages, non-governmental organizations (NGOs) played a pivotal role in the development of the SHG Model and they worked hard for its implementation. In the 1980s, policy makers took their initiative into account by involving them in programmes related to saving and credit groups. Their efforts and the simplicity of SHGs helped to spread the movement across the country. This movement led to the formation of Self Help Group Federation as a formal institution, keeping the SHG informal. Many of these Self Help Group Federations are registered as societies, mutual benefits trusts and mutually aided cooperative societies. SHGs yielded many benefits, such as:

- Stronger political and advocacy capabilities
- Sharing of knowledge and experience
- Economies of scales
- Access to greater capital

### *Structure of SHGs*

A SHG is made of about 10–20 people, usually women, belonging to a similar class and region, and come together to form a saving and credit organization. They arrange to make small interest bearing loans to their members. This process focusses first on savings. The setting of terms and conditions as well as accounting of the loans are done in the group by designated members.

### *SHG Federations*

SHGs have federated into larger organizations. Usually, 15 to 50 SHGs make a cluster/village organization with one or two representatives from each SHG. Depending on the geographical distribution, several clusters or village organizations may consolidate into an apex body or a Self Help Group Federation. In Andhra Pradesh, these clusters and SHG Federations are being registered under the Mutually Aided Co-operative Society Act 1995. At the cluster and Federation level, there are many inter groups that exchange ideas, share costs and discuss issues of common interest. There are various sub-committees that deal with many issues including loan collection,

accounting and social issues. These federations have been seen as the key interface with the SHG movement because of their formal registration and recognition from bankers. As with many benefits, there are some drawbacks that should be taken into consideration. SHG Federation is a formal group of informal common interest groups. It has poor capacity of self-governance and low quality management system. Moreover, the processes are not explicitly defined.

### *SHG linkage with bank*

The most significant milestone in the Self Help Group Movement was that NABARD initiated a pilot phase of SHG Bank Linkage programme in February 1992. It was the first instance of recognizing a SHG for direct financing by a commercial bank. Soon after, the Reserve Bank of India advised commercial banks to take SHGs into consideration, providing loans as part of rural credit operations that created the Self Help Group Bank Linkage. This linkage was good for both parties. The banks were able to tap into a large market and for low income households, transaction costs were low and repayments rates were high. A regional study of Andhra Pradesh about the function of SHGs shows that:

- Average saving per SHG was Rs. 23,000 and the average loan size Rs 31,000
- 50 per cent SHGs practised equal distribution of bank loan
- Only 50 per cent SHG felt that the loan size was adequate
- More than four months were required for an SHG to take the bank loan
- No post linkage follow-up was made by the banker and others
- 12 per cent SHGs defaulted bank-repayment
- High percentage of SHGs participate in government programmes
- Attitude of bankers is still an issue

### *Impact of SHGs*

A study by NABARD reveals that 1.6 million SHGs have benefitted from approximately Rs. 69 billion in financing. There is no doubt that there has been greater outreach of financial services to the poor through SHGs. This outreach has been good in South India, but is very limited to the rest of the country. In addition to the financial analysis of SHGs, the non-financial areas such as social security and gender dynamics are also affected by the SHG Movement.

**Political Impact:** One of the key benefits of the SHG is women's empowerment and this can be viewed in a number of women involved in public affairs. While the number of women actually involved in politics is still very low, research has indicated that over 70 per cent of those women who contested for election had won their seats. Interestingly, women issues cover a range of basic requirements as ration cards, laying of pucca roads, building of schools, ensuring appointments in vacant positions in schools and health centres, recovery of river bank lands from encroachers as well as laying of drinking water pipes. Though the number of women who are active in politics is nominal, the trend is definitely changing. A few years ago, there was a very bleak chance of women contesting Panchayat elections. It is noteworthy that women's

presence in politics is making a milestone impact not only for themselves but also for others by becoming their role models. They have changed the traditional perception of Indian women as a mere homemaker to a policy maker. They are being identified as a significant group with serious concern. SHGs play an inspirational role and acts as the financier. Poor women develop greater language and financial skills through SHGs which provide them with building blocks for acquiring higher levels of confidence.

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## 19.4 SUMMARY

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- Empowerment as a concept was first accepted at the International Women's Conference in 1985 at Nairobi.
  - The double burden of work placed on women (unrecognized household work and low pay in recognized work) coupled with social norms that prevent her from getting the requisite educational and technical skills result in low female work participation rate, either real or statistical.
  - The 73rd and 74th constitutional amendments in 1993 have brought forth a definite impact on the participation of women in terms of absolute numbers in grassroots democratic institutions, namely Panchayati Raj and local bodies.
  - Socio-cultural aspects of empowerment entails giving women the right and freedom to choose their ways of life, i.e., providing them the right to education and the right to choose their profession and life partner.
  - With reservation, women have attained power and dignity. Through such initiatives, gender discriminations can gradually be removed.
  - The principle of gender equality is enshrined in the Indian Constitution in its Preamble, Fundamental Rights, Fundamental Duties and Directive Principles. The Constitution not only grants equality to women but also empowers the state to adopt measures of positive discrimination in favour of women.
  - The goal of the National Policy for the Empowerment of Women is to bring about the advancement, development and empowerment of women.
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## 19.5 KEY TERMS

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- **Empowerment:** Increasing the spiritual, political, social, educational, gender, or economic strength of individuals and communities
- **Gender equality:** The concept that men and women should receive equal treatment unless there is a sound biological reason for different treatment

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## 19.6 QUESTIONS AND EXERCISES

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1. State the two parameters mentioned by the Programme of Action 1992 with regard to women empowerment.
  2. In which government document was the concept of women and development introduced for the first time?
  3. State the main factor on which empowerment of women depends.
  4. State any one important objective laid down by the National Policy for the Empowerment of Women.
  5. How does the National Policy for the Empowerment of Women ensure reformation in the legal-judicial system for the benefit of women?
  6. State the aspects that should be covered by economic empowerment measures for women.
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## 19.7 FURTHER READING

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## **UNIT-20 : WELFARE ADMINISTRATION OF SCHEDULED CASTES AND SCHEDULED TRIBES**

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### **Structure:**

- 20.1 Introduction
- 20.2 Unit Objectives
- 20.3 Welfare Administration of Scheduled Castes and Scheduled Tribes
- 20.4 Rights of SCs/STs and OBCs:
- 20.5 Constitutional and Legislative Measures
- 20.6 Exclusive Constitutional Provisions for the Empowerment of Scheduled Castes
- 20.7 Fifth Schedule of the Constitution
- 20.8 Protection of Civil Rights Act
- 20.9 National Commission for Scheduled Tribes
- 20.10 Government Schemes for the Empowerment of SCs and STs
- 20.11 Summary
- 20.12 Key Terms
- 20.13 Questions and Exercises
- 20.14 Further Reading

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### **20.1 INTRODUCTION**

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The role of citizens is not to be seen as mere tax payers but as active participants evolving policies and plans as well as monitoring the government's performance. Citizen governance is meant to translate the concept of sovereignty of the people into a reality. The government is seen as an equal partner with the citizens. The vision is to evolve public policy through the joint effort of public authorities and citizens working in harmony. Today, the reinvention of citizens is of crucial importance to public administrative practice.

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### **20.2 UNIT OBJECTIVES**

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After going through this unit, you will be able to:

- Analyse the constitutional and legislative provisions related to the empowerment of Scheduled Castes (SCs) and Scheduled Tribes (STs)
- Examine the government's role in carrying out administrative activities for the welfare of SCs and STs.

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## 20.3 WELFARE ADMINISTRATION OF SCHEDULED CASTES AND SCHEDULED TRIBES

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India is a welfare State, committed to the welfare and development of its people and of vulnerable sections in particular. The Preamble, Directive Principles of State Policy, Fundamental Rights and specific sections, viz., Articles 38, 39 and 46 in the Constitution of India, stand testimony to the commitment of the State to its people.

Socially disadvantaged groups like the Scheduled Castes/ Scheduled Tribes have received special focus over the years for their social and economic advancement. The government has taken several steps for framing appropriate policies needed to design and implement various welfare programmes for achieving the objective of creating favourable environment to ensure speedy socio economic development of SCs/ STs. For the well being of these communities, special target-oriented programmes are being implemented by earmarking funds, providing subsidies as well as offering reservations in employment and educational institutions.

### ***20.4 Rights of SCs/STs and OBCs***

The Indian Constitution contains several provisions that aim at equality and affirmative action for Scheduled Castes (SCs), Scheduled Tribes (STs) and Backward Classes. They are as follows:

- Equality before law – Article 14 of the Constitution of India
- Prohibition of discrimination on grounds of religion, race, caste, sex or place of birth – Article 15 of the Constitution of India
- Equality of opportunity in matters of public employment – Article 16 of the Constitution of India
- Abolition of untouchability – Article 17 of the Constitution of India
- Right against exploitation: Prohibition of traffic in human beings and forced labour – Article 23 of the Constitution of India
- Right against exploitation: Prohibition of employment of children in factories etc. – Article 24 of the Constitution of India
- Right to freedom of religion: Freedom of conscience and freedom of profession, practice and propagation of religion – Article 25 of the Constitution of India
- Safeguarding and promotion of cultural and education rights

- i. Protection of interests of minorities – Article 29 of the Constitution of India
- ii. Facilities for instruction in mother-tongue at primary stage – Article 350 (A) of the Constitution of India
- iii. Special officer for linguistic minorities – Article 35 (B) of the Constitution of India
- iv. Promotion of educational and economic interests of Scheduled Castes, Scheduled Tribes and other weaker sections – Article 46 of the Constitution of India

### **20.5 Constitutional and Legislative Measures Political Safeguards**

- i. Minister in Charge of Tribal Welfare and Welfare of Scheduled Caste and Backward Classes in Selected States – Article 164(1) of the Constitution of India
- ii. Reservation of seats in the Lok Sabha
- iii. Reservation of seats in the Vidhan Sabha
- iv. Time limits on reservation of seats
- v. The Bonded Labour System (Abolition) Act, 1976
- vi. The Child Labour (Prohibition and Regulation) Act, 1986
- vii. The Protection of Civil Rights Act, and Rules, 1955 and Rules 1977
- viii. The Protection of Civil Rights Act 1955
- ix. The Protection of Civil Rights Act 1977
- x. Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Act, 1989, and Rules, 1995
  - o Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Act, 1989
  - o Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Rules, 1995
  - o Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Rules, 1995 – Annexure I, Norms for Relief Amount Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Rules, 1995.

### ***20.6 Exclusive Constitutional Provisions for the Empowerment of Scheduled Castes***

**Article 341:** Specification of the castes, races or tribes or parts of or groups within castes, races or tribes as Scheduled Castes

**Article 366 :** Definition of Scheduled Castes

#### *Social Safeguards*

**Article 17 :** Abolition of Untouchability

**Article 25 :** Freedom of conscience and free profession, practice and propagation of religion

#### *Educational, Economic and Public Employment-related Safeguards*

**Article 15 :** Prohibition of discrimination on grounds of religion, race, caste, sex or place of birth

**Article 16** : Equality of opportunity in matters of public employment

**Article 46** : Promotion of Educational and Economic interests of Scheduled Castes, Scheduled Tribes and other weaker sections

**Article 320** : Functions of Public Service Commissions

**Article 335** : Claims of Scheduled Castes and Scheduled Tribes to services and posts

*Political Safeguards*

**Article 330** : Reservation of seats for Scheduled Castes and Scheduled Tribes in the House of the People

**Article 332** : Reservation of seats for Scheduled Castes and Scheduled Tribes in the Legislative Assemblies of the States

**Article 334** : Reservation of seats and special representation to cease after sixty years

**Article 243D** : Reservation of seats (in Panchayats)

**Article 243T** : Reservation of seats

*Agency for monitoring safeguards*

**Article 338** : National Commission for Scheduled Castes

**20.7 Fifth Schedule of the Constitution**

The Fifth Schedule [Article 244 (1)] of the Indian Constitution contains provisions relating to the administration and control of Scheduled Areas and Scheduled Tribes of India. In this Schedule, unless the context otherwise requires, the expression State does not include the States of Assam, Meghalaya, Tripura and Mizoram. The Governor of each State having Scheduled Areas therein shall annually, or whenever so required by the President, make a report to the President regarding the administration of the Scheduled Areas in that State and the executive power of the Union shall extend to the giving of directions to the State as to the administration of the said areas.

*Tribes Advisory Council*

1. There shall be established in each State having Scheduled Areas therein and, if the President so directs, also in any State having Scheduled Tribes but not Scheduled Areas therein, a Tribes Advisory Council consisting of not more than twenty members of whom, as nearly as may be, three-fourths shall be the representatives of the Scheduled Tribes in the Legislative Assembly of the State:

Provided that if the number of representatives of the Scheduled Tribes in the Legislative Assembly of the State is less than the number of seats in the Tribes Advisory Council to be filled by such representatives, the remaining seats shall be filled by other members of those tribes.

2. It shall be the duty of the Tribes Advisory Council to advise on such matters pertaining to the welfare and advancement of the Scheduled Tribes in the State as may be referred to them by the Governor.
3. The Governor may make rules prescribing or regulating, as the case may be:
  - (a) the number of members of the Council, the mode of their appointment and the appointment of the Chairman of the Council and of the officers and servants thereof;
  - (b) the conduct of its meetings and its procedure in general; and
  - (c) all other incidental matters.

*Laws applicable to Scheduled Areas*

1. Notwithstanding anything in this Constitution, the Governor may by public notification direct that any particular Act of Parliament or of the Legislature of the State shall not apply to a Scheduled Area or any part thereof in the State or shall apply to a Scheduled Area or any part thereof in the State subject to such exceptions and modifications as he may specify in the notification and any direction given under this sub-paragraph may be given so as to have retrospective effect.
2. The Governor may make regulations for the peace and good government of any area in a State which is for the time being a Scheduled Area.

In particular and without prejudice to the generality of the foregoing power, such regulations may:

  - (a) prohibit or restrict the transfer of land by or among members of the Scheduled Tribes in such area;
  - (b) regulate the allotment of land to members of the Scheduled Tribes in such area;
  - (c) regulate the carrying on of business as money-lender by persons who lend money to members of the Scheduled Tribes in such area.
3. In making any such regulation as is referred to in sub-paragraph (2) of this paragraph, the Governor may repeal or amend any Act of Parliament or of the Legislature of the State or any existing law which is for the time being applicable to the area in question.
4. All regulations made under this paragraph shall be submitted forthwith to the President and, until assented to by him, shall have no effect.
5. No regulation shall be made under this paragraph unless the Governor making the regulation has, in the case where there is a Tribes Advisory Council for the State, consulted such Council.

*Scheduled Areas*

1. In this Constitution, the expression Scheduled Areas means such areas as the President may by order declare to be Scheduled Areas.
2. The President may at any time by order:

- (a) direct that the whole or any specified part of a Scheduled Area shall cease to be a Scheduled Area or a part of such an area;
  - (aa) increase the area of any Scheduled Area in a State after consultation with the Governor of that State;
- (b) alter, but only by way of rectification of boundaries, any Scheduled Area;
- (c) on any alteration of the boundaries of a State or on the admission into the Union or the establishment of a new State, declare any territory not previously included in any State to be, or to form part of, a Scheduled Area;
- (d) rescind, in relation to any State or States, any order or orders made under this paragraph, and in consultation with the Governor of the State concerned, make fresh orders redefining the areas which are to be Scheduled Areas; and any such order may contain such incidental and consequential provisions as appear to the President to be necessary and proper, but save as aforesaid, the order made under sub-paragraph (1) of this paragraph shall not be varied by any subsequent order.

### ***20.8 Protection of Civil Rights Act***

India is a welfare state committed to the welfare of its people in general and the welfare of vulnerable sections in particular. The Central government has been responsible for implementing various plans and policies for the upliftment of weaker and marginalized sections of the population. The practice of untouchability was so rampant in Indian society that it became a matter of social responsibility for the government to formulate and implement appropriate policies to remove this social malady. So, the formulation of the Protection of Civil Rights Act (PCR Act) is a significant endeavour in this direction.

With regard to protective arrangements, to begin with, the Constitution itself has provided an elaborate framework for eliminating those customs, practices, or institutional arrangements, including provisions in law, if any, which tend to sanctify and reinforce untouchability practices and other discriminatory and degrading conditions imposed on particular communities.

Within five years of adoption of the Constitution of India, the Untouchability Offences Act, 1955 was enacted by the Parliament. The Act stated that where any of the forbidden practices is committed in relation to a member of SC, the court shall presume, unless the contrary is proved, that such Act was committed on the ground of untouchability. Soon after, the Act came into force there was a general feeling of dissatisfaction with its impact as the legislation failed to serve the purpose for which it was enacted. Therefore, the government of India appointed a Committee in April 1965, under the chairmanship of Illaya Perumal, to study the problems of untouchability. Based on the recommendations of the Committee, this Act was comprehensively amended in 1976 and its name changed to Protection of Civil Rights Act 1955.

It came into force on 19 November 1976. This was an important step for enlarging the scope and making penal provisions more stringent. The Act provides for punishment for

untouchability and extends to all over the country including the state of Jammu and Kashmir. The Act is implemented by state governments and union territory administrations.

The objective of PCR Act is to prescribe punishment for the preaching and practice of untouchability and for the enforcement of any disability on the ground of untouchability. Civil rights are rights that accrue to a person by reason of the abolition of untouchability by Article 17 of the Constitution. Caste feelings and prejudices associated with certain occupations like manual scavenging, flaying and tanning put the concerned persons in a disadvantaged situation. Lack of assets, low literacy as well as other social and economic backwardness aggravate the position. Several schemes and programmes are being implemented for socio-economic and educational development for the SC population. These measures, along with the implementation of PCR Act, are gradually helping in reduction of offences of untouchability. The State governments have been empowered to impose collective fines on the inhabitants of any area found committing and abetting the commission of untouchability offences. This Act, along with the Rules framed thereunder, lays down elaborate procedure for ensuring protection of the victims of such practices by providing for special courts, special prosecution and fixing period for investigation.

Section 3-7A defines and punishes offences arising out of untouchability. Section 7 punishes prevention of exercise of civil rights, injury for having exercised civil rights, inciting/encouraging the practice of untouchability, insulting a SC on the ground of untouchability, reprisal for exercising civil rights and excommunicating another for not practicing untouchability. A public servant neglecting investigation is considered as abetting offences under the PCR Act. Abetment of offence under this Act is treated a commission of the offence and punished accordingly. The PCR Act requires courts to presume that the offences are done on the ground of untouchability if the victim is a SC.

The PCR Act prescribes minimum sentence and imprisonment and also enhanced penalty on subsequent conviction. While convicting for refusing to sell or render services, the court may, without prejudice to other penalty, cancel or suspend licence. The government may suspend or resume the grants to institutions punished for refusing to admit members of a SC if they receive government grants. Moreover, the state government under the co-ordination of the Central government shall ensure that civil rights are available to the concerned and there are sufficient facilities of legal aid to victims. The government shall appoint officers for prosecution, establish special courts, set up committees for formulating and implementing measures, provide a periodic survey of the working of PCR Act and identify notorious areas in order to remove disabilities.

From the above discussions, it becomes apparent that untouchability had been a serious problem engulfing the Indian society and creating social injustice. Although a lot of efforts are made to eradicate this problem, it still exists in some corners of Indian society and remains unnoticed. The legal dimension of this problem and the implementation of PCR Act have been instrumental in ensuring social justice, yet there are some cultural barriers due to which the Act is not fully successful. It gives some comfort to think that although the practice of untouchability made India quite unique among social systems, the attempt to eradicate it has also

made the country unique.

### ***20.9 National Commission for Scheduled Tribes***

With the 89th Amendment of the Constitution coming into force on 19 February 2004, the National Commission for Scheduled Tribes has been set up under Article 338A on the bifurcation of the erstwhile National Commission for Scheduled Castes and Scheduled Tribes to oversee the implementation of various safeguards provided to Scheduled Tribes under the Constitution. The Commission comprises a Chairperson, a Vice-Chairperson and three full time Members (including one lady Member).

#### *Duties and functions*

Constitution of India under Article 338A has assigned the following duties and functions to the Commission:

- (a) To investigate and monitor all matters relating to the safeguards provided for the Scheduled Tribes under the Constitution or under any other law for the time being in force or under any order of the Government and to evaluate the working of such safeguards;
- (b) To inquire into specific complaints with respect to the deprivation of rights and safeguards of the Scheduled Tribes;
- (c) To participate and advise in the planning process of socio-economic development of the Scheduled Tribes and to evaluate the progress of their development under the Union and any State;
- (d) To present to the President, annually and at such other times as the Commission may
- (e) deem fit, reports upon the working of those safeguards;
- (f) To make in such reports, recommendations as to the measures that should be taken by the Union or any State for effective implementation of those safeguards and other measures for the protection, welfare and socio-economic development of the Scheduled Tribes, and
- (g) To discharge such other functions in relation to the protection, welfare and development and advancement of the Scheduled Tribes as the President may, subject to the provisions of any law made by Parliament, by rule specify.

The Commission shall discharge the following other functions in relation to the protection, welfare and development and advancement of the Scheduled Tribes, namely:

- (i) Measures that need to be taken over conferring ownership rights in respect of minor forest produce;
- (ii) Measures to be taken to safeguard rights of the tribal communities over mineral resources, water resources, etc. as per law;
- (iii) Measures to be taken for the development of tribals and to work for more viable livelihood strategies;

- (iv) Measures to be taken to improve the efficacy of relief and rehabilitation measures for tribal groups displaced by development projects;
- (v) Measures to be taken to prevent alienation of tribal people from land and to effectively rehabilitate such people in whose case alienation has already taken place;
- (vi) Measures to be taken to elicit maximum cooperation and involvement of tribal communities for protecting forests and undertaking social afforestation;
- (vii) Measures to be taken to ensure full implementation of the Provisions of Panchayats (Extension to the Scheduled Areas) Act, 1996 (40 of 1996);
- (viii) Measures to be taken to reduce and ultimately eliminate the practice of shifting cultivation by tribals that lead to their continuous disempowerment and degradation of land and the environment.

#### *Powers of the Commission*

While investigating the matters referred to in sub-clause (a) to inquire into any complaint referred to in sub-clause (b) of clause 5, the Commission have all the powers of a Civil Court trying a suit and in particular in respect of the following matters:

- (a) summoning and enforcing the attendance of any person from any part of India and examining him on oath;
- (b) requiring the discovery and production of any documents;
- (c) receiving evidence on affidavits;
- (d) requisitioning any public record or copy thereof from any court or office;
- (e) issuing summons/communications for the examination of witnesses and documents;
- (f) any other matter which the President may by rule determine.

#### *Consultation by the Union and State Governments with the Commission*

In accordance with clause 9 of Article 338A of the Constitution, Union and every State Government shall consult the Commission on all major policy matters affecting Scheduled Tribes.

#### *Monitoring*

The Commission, while investigating matters relating to the safeguards provided under the Constitution, monitors the implementation and working of safeguards which include:

- (a) Acting upon Article 23 of the Constitution which prohibits traffic in human beings and forced labour, etc.; in respect of STs
- (b) Prohibition of child labour under Article 24; in respect of STs
- (c) Educational safeguards under Article 15(4) for reservation of seats in educational institutions
- (d) Economic safeguards under Article 244 and working of Fifth and Sixth Schedules and release of grants for raising the level of administration in tribal areas

- (e) To safeguard the distinct language, script or culture under Article 29(i)
- (f) Working of service safeguards provided under Articles 16(4), 16(4A), 16(4B) and 335 providing for adequate representation of Scheduled Tribes in appointments or posts
- (g) Enforcement of various laws such as:
  - (i) The Scheduled Castes and Scheduled Tribes (Prevention of Atrocities) Act, 1989
  - (ii) Bonded Labour System (Abolition) Act, 1976 (in respect of Scheduled Tribes)
  - (iii) The Child Labour (Prohibition and Regulation) Act, 1986 (in respect of Scheduled Tribes)
  - (iv) State Acts and Regulations concerning alienation and restoration of land belonging to Scheduled Tribes
  - (v) Forest Conservation Act, 1980 (in respect of Scheduled Tribes)
  - (vi) The Panchayat (Extension to the Scheduled Areas) Act, 1996
  - (vii) Minimum Wages Act, 1948 (in respect of Scheduled Tribes)

#### *The working of the Commission*

The National Commission for Scheduled Tribes functions from its Headquarters at New Delhi and from the State Offices of the Commission located in six States.

There are four Wings at the Headquarter:

1. Administration and Coordination Wing
2. Service Safeguards Wing
3. Atrocities Wing
4. Economic and Social Development Wing

There are six State Offices of the National Commission for Scheduled Tribes. They keep a watch on the formulation of policy and issue of guidelines relating to the welfare of Scheduled Tribes in the States/UTs and keep the Commission's Headquarters informed about the development periodically. Policy decisions taken by any State Government/UT Administration affecting the interests of the Scheduled Tribes are brought to the notice of the concerned authorities for necessary action.

**Source:** <http://tribal.nic.in>

#### ***20.10 Government Schemes for the Empowerment of SCs and STs***

The Union Ministry of Social Justice and Empowerment has launched the following programmes and schemes for the empowerment of SCs and STs:

- Centrally sponsored Scheme of Pre-Matric Scholarship for Scheduled Castes Students
- Central Sector Scheme of 'Rajiv Gandhi National Fellowship' for Providing Scholarships to Scheduled Caste Students to pursue Programmes in Higher Education such as M.Phil and Ph.D (Effective from 01-04-2010)
- Centrally-sponsored Pilot Scheme of Pradhan Mantri Adarsh Gram Yojana (PMAGY)

- State, District and Block wise abstract of villages selected under PMAGY
- Babu Jagjivan Ram Chhatrawas Yojana
- Post-Matric Scholarship for SC Students
- Pre-Matric Scholarships for the Children of those Engaged in Unclean Occupations
- Central Sector Scholarship Scheme of Top Class Education for SC Students (Effective from June 2007)
- Self Employment Scheme for Rehabilitation of Manual Scavengers(New) (Hindi Version for Rehabilitation of Manual Scavengers)
- Special Central Assistance to Scheduled Caste sub Plan
- National Overseas Scholarships for Scheduled Castes (SC), etc.
- Special Educational Development Programme for Scheduled Castes Girls belonging to low Literacy Levels
  
- Upgradation of Merit of SC Students
- Scheme of free Coaching for SC and OBC Students
- National Scheduled Castes Finance & Development Corporation (NSFDC)
- National Safaikaramcharis Finance & Development Corporation (NSKFDC)
- Assistance to Scheduled Castes Development Corporations (SCDCs)
- Supporting Project of All India Nature of SCs
- National Commission for Safai Karamcharis

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## 20.11 SUMMARY

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- The concept of Self Help Group (SHG) is new in India.
- A study by NABARD reveals that 1.6 million SHGs have benefitted from approximately Rs. 69 billion in financing.
- The Preamble, Directive Principles of State Policy, Fundamental Rights and specific sections, viz., Articles 38, 39 and 46 in the Constitution of India, stand testimony to the commitment of the State to its people.
- The Indian Constitution contains several provisions that aim at equality and affirmative action for Scheduled Castes (SCs), Scheduled Tribes (STs) and Backward Classes.
- According to the Fifth Schedule [Article 244 (1)] of the Indian Constitution, there shall be established in each State having Scheduled Areas therein and, if the President so directs, also in any State having Scheduled Tribes but not Scheduled Areas therein, a Tribes Advisory Council consisting of not more than twenty members of whom, as nearly as may be, three-fourths shall be the representatives of the Scheduled Tribes in the Legislative Assembly of the

State.

- There are six state offices of the National Commission for Scheduled Tribes. They keep a watch on the formulation of policy and issue of guidelines relating to the welfare of Scheduled Tribes in the States/UTs and keep the Commission's headquarters informed about the development periodically.

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## 20.12 KEY TERMS

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- **Globalization:** Globalization is the process of international integration arising from the interchange of world views, products, ideas, and other aspects of culture.
- **Civil and political rights:** A class of rights that protect individuals from unwarranted infringement by governments and private organizations, and ensure one's ability to participate in the civil and political life of the state without discrimination or repression

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## 20.13 QUESTIONS AND EXERCISES

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1. State two problems that are faced by women labourers employed in agricultural farms.
2. What is an SHG?
3. Which Article of the Indian Constitution defines Scheduled Castes?
4. What does the Fifth Schedule of the Indian Constitution deal with?
5. Mention any two functions of the National Commission for Scheduled Tribes.

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## 20.14 FURTHER READING

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