



NETAJI SUBHAS OPEN UNIVERSITY
Choice Based Credit System
(CBCS)

SELF LEARNING MATERIAL

HPS
POL-SCIENCE

CC-PS-09

Under Graduate Degree Programme

PREFACE

In a bid to standardize higher education in the country, the University Grants Commission (UGC) has introduced Choice Based Credit System (CBCS) based on five types of courses viz. *core, generic, discipline specific, elective, ability and skill enhancement* for graduate students of all programmes at Honours level. This brings in the semester pattern which finds efficacy in sync with credit system, credit transfer, comprehensive continuous assessments and a graded pattern of evaluation. The objective is to offer learners ample flexibility to choose from a wide gamut of courses, as also to provide them lateral mobility between various educational institutions in the country where they can carry their acquired credits. I am happy to note that the university has been recently accredited by National Assessment and Accreditation Council of India (NAAC) with grade “A”.

UGC (Open and Distance Learning Programmes and Online Programmes) Regulations, 2020 have mandated compliance with CBCS for U.G. programmes for all the HEIs in this mode. Welcoming this paradigm shift in higher education, Netaji Subhas Open University (NSOU) has resolved to adopt CBCS from the academic session 2021-22 at the Under Graduate Degree Programme level. The present syllabus, framed in the spirit of syllabi recommended by UGC, lays due stress on all aspects envisaged in the curricular framework of the apex body on higher education. It will be imparted to learners over the six semesters of the Programme.

Self Learning Material (SLMs) are the mainstay of Student Support Services (SSS) of an Open University. From a logistic point of view, NSOU has embarked upon CBCS presently with SLMs in English / Bengali. Eventually, the English version SLMs will be translated into Bengali too, for the benefit of learners. As always, all of our teaching faculties contributed in this process. In addition to this we have also requisitioned the services of best academics in each domain in preparation of the new SLMs. I am sure they will be of commendable academic support. We look forward to proactive feedback from all stakeholders who will participate in the teaching-learning based on these study materials. It has been a very challenging task well executed, and I congratulate all concerned in the preparation of these SLMs.

I wish the venture a grand success.

Professor (Dr.) Ranjan Chakrabarti
Vice-Chancellor

Netaji Subhas Open University
Under Graduate Degree Programme
Choice Based Credit System (CBCS)
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Course Title : **Public Policy and Administration in India**
Code : **CC-PS-09**

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**NETAJI SUBHAS
OPEN UNIVERSITY**

**Honours in
Political Science
(HPS)**

Code : CC-PS-09

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MODULE – 1

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Unit 1 □ Definition, Characteristics and Models of Public Policy

Structure

- 1.1 Objective**
- 1.2 Introduction**
- 1.3 Features of Public Policy Making**
- 1.4 Models of Public Policy**
- 1.5 Conclusion**
- 1.6 Summing up**
- 1.7 Probable Questions**
- 1.8 Further Reading**

1.1 Objective

After studying this unit, the learners will be able to:

- understand the meaning of public policy;
- throw light on the features of public policy;
- highlight the Policy making models to policy analysis

1.2 Introduction

Public Policy in the broad terms refers to the policy that is formulated and implemented for the benefit of the public. The dream for improved life especially its achievement rests on our own efforts, to formulate public policies. As a subject or field of inquiry has a long past, though the current public policy analysis has a specific American origin. The root of public policy can be traced back to 1940s which had made a significant impact on the government and academic organizations over these years. From 1950s onward public policy has assumed a disciplinary status in social sciences in terms of academic rigour and methodological sophistication.

To cope with the varied troubles and demands of the people the government has to

create several policies which are called public policies. There are several studies in relation to the public policy and several scholars have attempted to describe public policy from several angles. Before explaining the meaning of public policy, let us first go through some of its definitions. Robert Eyestone considers 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 to 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 call for smooth interactions among the significant governmental agencies like political executives legislature judiciary and bureaucracy. Hence in sum public policy encapsulates the following points: 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.

1.3 Features of Public Policy Making

This sub section attempts to cast some light on the features of public policy.

- Public Policy Making is a Very Intricate Process: Policy making involves several components, which are interconnected through communication and feedback loops and which interacts 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 complicated, 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: As a process policy making 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: Public policy making is essentially a complex process involving several 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 substructure creates a dissimilar, and sometimes unique, contribution to public policy. What sort of contribution substructures 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.
- Policy provides Major Guidelines: Public policy, in most cases, lays down general directives, rather than detailed instructions. 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 orientedness is another important hallmark of public policy. Policies are designed to transform decisions into actions.
- Future Orientation: 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 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 never the less 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.
- **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.

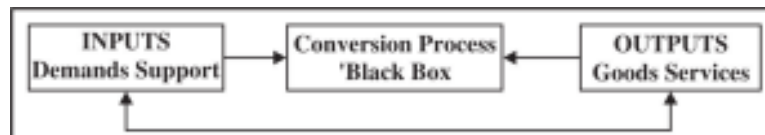
1.4 Models of Public Policy

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 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 and shift around.

There are various models to help understand public policy, the major ones are:

The Systems Theory of Policy-Making:

This theory draws heavily on David Easton’s The Political System.



The concept of system implies an identifiable set of institutions and activities in society that function to transform demands into authoritative decisions requiring the support of the whole society. This concept also implies that elements of the system are interrelated, that

the system can respond to forces in its environment, and that it will do so in order to preserve itself. Inputs are received into the political system in the form of both demands and support. Demands occur when individuals or groups in response to real or perceived environmental conditions, act to affect public policy. Support is rendered when individuals or groups accept the outcome of the elections. obey the laws, pay their taxes and generally conform to policy decisions. Any system absorbs a variety of demands into output public policy; it must conceive settlements and enforce them upon the parties concerned. It is recognised that output public policies may have a modified effect in the environment and the demands arising from it, and may also have an effect of the political system. The system preserves itself by:

1. producing reasonable satisfying outputs,
2. Relying upon deeply rooted attachments to the system itself and
3. Using or threatening to use force.

The Incremental Theory of Policy Making:

The word 'increment' means 'a small increase in quantity', 'to add a small to', often at regular intervals. The fundamental concept of incrementalism is contained in 'organisational drift', 'satisficing', 'bounded rationality', and 'limited cognition'. The incremental theory contends that only limited policy alternatives are provided to policy makers and each of these alternatives represent only a very small change in the status quo. The incremental theory puts the bureaucracy in a conservative mould, ever tied to the past and slow to change. 'Sunk costs' also rule out radically new course of action.

Incremental theory is conservative. It does not question the validity of past policies which were formulated in a piecemeal way under parochial considerations. It is historical and a theoretical also: the increment list theory assumes - wrongly - that the present limits of knowledge and prediction would ever continue. But it is politically expedient. As it is difficult to have agreed upon societal policies, there is easy agreement on increment list theory: existing policies thus get continued.

Incrementalism:

Incrementalism has been increasingly used in public administration since the sixties when Charles L. Lindblom popularised it in 1959 in his paper 'The Science of Muddling Through', published in *Public Administration Review* (Vol. 19, spring 1959). What incrementalism means is the gradual and modest increase in specific governmental allocations, that is - budget. Since the seventies, a reverse trend in public administration in most-Countries is in evidence which goes by the name of 'cutback management'. This has induced some like George H. Frederickson to coin the antonym 'decrementalism'. Decrementalism signifies

gradually decreasing financial allocations.

According to Lindblom's theory, public administration is not governed by principles nor is administration separated from politics in a unified administrative system. Nor does Lindblom think that an administrator is the optimal rationaliser of efficiency and effectiveness. The truth is that public administration is the art of the possible _in the modern _pluralistic world of competitive interest groups. An administrator muddles, not manages. Negotiation and strategy are his operational-tools as he aims to devise an 'agreeable' compromise-. Ibis confused manner of incremental decision-making produces social harmony, unity, stability and equilibrium in a fluid environment of ever-changing interest-groups.

The incremental model has its advantages, but its limitations are no less obvious. First and foremost, this approach is inherently conservative, even status quorist. It makes it very difficult for the government to direct the society it wants, for its penetrative strategy is diffused, multi-dimensional and mutually contradictory. Incrementalism tends to be reinforcing: every interest group builds up support in the corresponding governmental department, which lobbies for the former's continuance. This leads to involvement of more and more agencies, rendering the issue of co-ordination more problematic. Secondly, as incrementalism believes in the adoption of small steps in changing a policy, it may end up in unintended and unforeseen consequences. For Example, the American scholars' have cited the case of the American Bay of Pigs invasion of Cuba in 1961 as the culmination of incremental approach. This approach is notoriously weak in organisational memory the original motivating considerations get overlooked. Thirdly, Since the challenge is to re-direct and re-construct the entire society, the incremental model of decision-making is not to the preferred and adopted.

The rationalist theory of policy making:

In a sense, the rationalist theory is the opposite of the incrementalist theory. The rationalist theory seeks to find out all the value preferences which exist in a society, assign each value a weightage, find out all the alternatives as well as all the consequences of each alternative and in the end make the final selection in terms of' the costs and benefits of social values. The rationalist model is used in Operations Research, Programme Evaluation and Review Technique (PERT). Critical Path Method (CPM) and Zero-based budget.

A rational policy is one which maximises social gain. This is another way of saying that no policy should be adopted if its costs exceed its benefits. Secondly, the policy-maker should choose that policy that produces the greatest benefits. A public policy is rational when the difference in its benefits and disadvantages is greater than that in any other policy. A rational policy would thus involve:

1. Knowing all value preferences of society.
2. Knowing all the policy alternatives available.
3. Knowing all the consequences of each policy alternative
4. Evaluating the ratio of benefits to costs for each policy alternative
5. Selecting the most efficient policy alternative, that is, the one that brings the greatest benefits and the least disadvantages.

Rational policy making is possible only by 'Economic Man'. In contrast, public administration has 'Administrative Man' who 'satisfices' and not 'maximises. Moreover, in the world in which we live what prevails is 'bounded rationality' even though the information revolution made possible by computers makes available more and more information.

Other barriers also confront rational policy making:

1. When policy-makers make policies, their basic instinct is self-preservation and organisational survival.
2. Search behaviour for alternatives stands foreclosed by policies and decisions. This is 'sunk cost'.
3. Information collection itself faces limitations. Not only is there the problem of cost, the time involved in collecting information sets a limit as well.
4. The segmental nature of policy-making in government organisations stands in the way of co-ordination of decision-making. As a result, contradictory policies are seen to be in operation in government.
5. The techniques of cost-benefit analysis cannot apply where diverse political, social, economic and cultural values are at stake.
6. Even otherwise, it is very difficult to assess accurately the benefits and costs of each policy alternative. Simply because the predictive ability of the social and behavioural sciences as well as of the physical and biological sciences is not all that advanced

The Game Theory of Policy-Making:

The game theory is an abstract and deductive theory or model of policy-making. It is a form of rationalism applied in competitive situations where the outcome depends on what two or more participants do. A conflict situation is called a game. The game theory is the study of rational decisions in situations in which two or more participants have choices to make and the outcome depends on the choices each of them makes. The theory is put into application in policy-making situations where there is no independently best choice which one can make and where, moreover, the best outcome depends on what others do. In the conflict situation all participants try to maximise their gain and minimise their losses.

The game theory is applicable to competitive problems, that is, conflict situations. It can be applied to decisions about war and peace, international diplomacy, bargaining or coalition in parliament or the United Nations. The idea underlying the game is that policy-makers are involved in choices which are independent. Each player in the conflict situation must adjust his conduct to reflect not only his own desires and expectations but also his assessment about what other will do.

The games considered are games of strategy, not games of chance. The game strategy of a participant includes all possible options for contingencies arising from a strategy of other participants. Strategies are evaluated in terms of payoffs. Numerical values are assigned to the outcomes of particular moves. The motivation underlying the game theory was to provide information on strategies that should be adopted. Employment of an optimal strategy is called 'rational' behaviour in game theory.

1.5 Conclusion

It is evident that the area of public policy has an important role in the public domain. Public policy is not only worried about the explanation and extension of the reasons and concerns of the government actions. It also has the development of scientific information about the services determining public policy. The examination of public policy aids us in determining the social ills of the matter under the examination. Policies do more than effect alteration in the situations of the society, they bring the people together to follow the uniformity in the state. These public policies are the main devices for any democratic nation and they improve the social and economic procedures from the present of the future. Hence, the examination of the public policy has become a significant element of the academic society as well.

Some well accepted models of policy making have been discussed here. Policy science has always resorted to metaphors, to the device of proceeding from the recognized to the unknown. There has been criticism of models in general and also of each specific model. Those who criticise the use of models need to understand that they too necessity use them. The choice, in obvious conditions, is not flanked by models and no models, but flanked by a critical consciousness of their use and an uncritical acceptance. We must remember that the success of policy formulation, execution, and monitoring ultimately depends on the success of policy analysis. In India, this trend appeared with the launching of our Five-Year Plans. As the years passed through, one Five Year Plan was followed through another and disillusionment started setting in. Goals of socio-economic development could not be achieved. Those who were supposed to benefit from the development effort began to lose. Attention

shifted to the management and administration in order to discover out why the policies were failing to achieve their objectives.

1.6 Summing up

- This unit dealt with the various approvals to models of public policy.
- Public policy can be characterized as a dynamic complex and interactive system through which public problems are identified and resolved through the creation of new policy.

1.7 Probable Questions

Essay Type Questions

1. Discuss the meaning, nature and definition of the Public Policy.
2. Discuss the importance of public policy.
3. Discuss the Game theory of policy making.
4. Critically examine the policy-making models and suggest best suitable model/models for a specific policy.

Short Questions

1. Describe several models of policy making.
2. What is Lindblom's theory?
3. Explain the word "Increment" in the Incremental theory of policy making.

Objective Questions

1. Whose name is associated with the systems theory?
2. Who popularized the term, "incrementalism"?
3. Name one scholar who define public policy.
4. What is the full form of "CPM" in rationalist theory of policy making?
5. Name any one theory of policy making.

1.8 Further Reading

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Unit 2 □ Public Policy Process in India

Structure

- 2.1 Objective**
- 2.2 Introduction**
- 2.3 Public Policy Process**
- 2.4 The Stages of a Policy Cycle**
- 2.5 Conclusion**
- 2.6 Summing up**
- 2.7 Probable Questions**
- 2.8 Further Reading**

2.1 Objective

After studying this unit, the learners will be able to

- understand what the processes of Public Policy are.
- understand the making of Public Policy that includes some steps –getting of agenda, policy formulation, policy adoptions, and policy implementation.
- analyse the five stages of public policy process
- grasp the policy-making process in India.

2.2 Introduction

Policy refers to a broad statement that spells out the future goals and aspirations and provides guidelines for carrying out those goals. Hill (1993: p.47) defines ‘policy’ as ‘the product of political influence, determining and setting limits to what the state does. To be more precise, when a government takes a decision or chooses a course of action in order to solve a social problem and adopts a specific strategy for its planning and implementation, it is known as public policy (Anderson 1975). According to Moore (1998), a good policy formulation process is one, “which is committed to producing a high-quality decision – not any particular decision” Such a decision should be made with a high degree of legitimacy, power and accuracy. Hence, in order to produce such a high-

quality decision, the policy formulation process should hold onto certain characteristic features while formulating the policies

After the independence, India opted for planned economic development. It was believed that economic development would usher in social and political development, leading to the culmination of human development. In India, this role was primarily taken up by Planning Commission to formulate policies and develop perspectives that could define the direction which the country would follow. For all policy directions, the Five-Year Plans (FYP) became the major source. The first major goal of public policy in India was in the area of socio-economic development. Major policy formulations were done in the areas of industrial and agricultural development. In addition to socio-economic challenges, India also faced internal and external security threats. Regionalism, for example, has given both to the fissiparous tendencies like secessionism. Hence, the formulation of defence policies got without profit to maintain national integration and to create greater national cohesiveness.

FYPs focused primarily on agriculture, and subsequently from the second one industrialization of the country out huge impetus. In subsequent plans, focus areas included – industrial growth, agricultural productivity, defence expenditure, exports, public development expenditures, poverty, rural development, infrastructure, market reforms and social infrastructure among other things.

2.3 Public Policy Process

The public policy process is a dynamic and interactive process. It is also a continuous process, not a one-time event. In India passing a bill to make it into a law is a long and complex process. Firstly, the law has to go through two houses, the Lok Sabha and the Rajya Sabha. First, the Standing Committee will review the bill. Then the concerned minister will introduce it in the house. If it passes the vote, then it is sent to the other house. Once both houses pass the bill it is again sent for review to the Ministry for Law. Finally, when the President assents, the bill becomes a Law.

A good policy-making process should produce policies which can be executed swiftly and successfully. This requires the close involvement of the persons who actually have to implement a policy on the ground, [Darman, 1998] and implies a degree of ‘decentralisation’ of policymaking. At the same time, a degree of centralised control is necessary, so that the priorities and interests of implementers do not supplant the public interest. Whether this central control should be confined to “process control” (i.e. control over how the decision is made) or should extend to “quality control” (control over the substance of the decision) is the subject of debate [Porter, 1980], but the choice is partly a factor of the kind of

organisation and the kind of policy being made. On the whole, while policy-making must remain in touch with reality and be conscious of implementation issues, it should not be a prisoner of the current short-term priorities, time constraints and conveniences of implementers. A good policy making structure should, therefore, provide for appropriate separation between the policy and implementation functions

Policy cycle is the most optimal model through which policies are made, put into action and evaluated. It is described usually in six stages, which are: agenda setting, policy formulation, adoption, implementation, evaluation and policy maintenance. It is understood as a cycle, as the outcome of the implementation of the policy will help in determining any alteration in the existing policy or the creation of a new one.

2.4 The Stages of a Policy Cycle

- A. Agenda Setting:** In this stage, the issues that are in need of government action are brought to the attention of the policy makers, and various aspects of these issues are assessed; the most concerning areas are prioritised. This assessment is helpful in determining the objectives of the policy. The definition of problem setting is always contestable and dependent on the ruling government's ideologies, their perspectives on benefits and prejudice. One of the main problems with policy making in India is the fragmentation of the structure. The Planning Commission was the apex policy making institution in the Government of India, subsequently replaced by the NITI Aayog. These plans were then approved by the legislature. However, with the passing of years, more power has been shifted the hands of the executive. Further, India has adopted the parliamentary form of democracy, as well as a quasi-federal structure of governance, which means that there are various levels of hierarchy to be considered before setting objectives. Such fragmentation fails to recognize that actions taken in one sector have serious implications on another and may work at cross purposes with the policies of the other sector. Besides, it becomes very difficult, even for closely related sectors, to align their policies in accordance with a common overall agenda.
- B. Policy Formulation:** This is the stage that gives structure to the policy. In this stage of policy making goals are set, costs are determined, policy instruments are chosen, possible effects are evaluated, and stakeholders are established. Multiple solutions are put forward, with an objective of meeting the policy goal within established limitations. However, public policies there an occasions when prepared without sufficient input from sources external to the government, and without adequate examination of the issues involved. For examples some of the best experts in many lines of work lie

In India's case, while many policies of social inclusion have been put into place, the implementation has been suspecting. Illiteracy, lack of awareness and lack of empowerment means the weaker sections of society, which any given policy is supposed to target, are often unable to access the benefits. It is also the case that the services offered by the government are usually of poor quality. Autonomy in implementation at various levels can help the cause. Execution of the policy is often hindered by confusion in the government as bureaucratic ineffectiveness, ineptitude and corruption confounds the policy implementation process.

Let us look into the example of the Right To Education Act, which made free and compulsory primary education a basic right for children of the age group of 6 to 14 years. It sets aside a 25% quota for children from economically and socially weaker sections in unaided, non-minority schools. It has been contended that there has been more focus on the quota than on the quality of education, with issues of teacher absenteeism, lack of teaching resources, lack of basic infrastructure, etc. This has resulted into high enrolment in schools, however, it has also responsible for high dropout rates. One could say that the policy is input oriented as opposed to outcome oriented.

Swachh Bharat Abhiyan also faced problems to adjust with mindset of people, lack of proper waste management practices, often a lack of water, lack of sustainability of the provided infrastructure, as well as a lack of dedicated on-ground enforcers.

- E. Evaluation:** Government assesses the effect of the implemented policy at this stage. This is to determine how successful the policy was in its impact, and whether the policy has been implemented correctly or not. This can be difficult to evaluate as the policies may have several objectives to meet. There may also be multiple ways to measure the impact which may lead to different evaluations on the effectiveness, depending on the standards of measurement used. Under the current government, NITI Aayog actively monitors and evaluates the implementation of government programmes and initiatives.
- F. Policy Maintenance, Succession or Termination:** This stage determines whether the policy is to be maintained by improving or further developing it. Often, if problems are identified with the current policies, they are either modified or terminated. Using the example of the Right to Education Act, the Centre is currently considering the extension of the Act to cover students till class 12, where currently it covers students till class 8.

Policy cycle is not only a model of policy making but is also a method of analysis of the policy process. This model does help us in looking at policy in orderly or organised

manner but as expressed before, this can be overly simplistic for a complex and dynamic world.

2.5 Conclusion

The public policy making process plays a central role in the lives of every person on the planet. The main purpose of the government is to have lawmakers set policy and then have government workers carry out those policies. They impact the life of every citizen, from how and when we vote to where we can park and what does and does not constitute a crime. In this Unit we have discussed the technique of policy formulation. There are various techniques involved in reaching sound and rational policy decisions and in converting policy proposals into policy. A variety of techniques and tools are used for improving and enhancing the policy formulation process. In reality, the policy making process is not typically so linear. However, these five steps provide a framework to better understand public policy formation and help students identify the strengths and weaknesses of the system.

2.6 Summing up

- It is described in six steps, which are agenda setting, policy formulation, adoption, implementation, evaluation and policy maintenance.
- Public policy process is understood as cycle, as the outcome of the implementation of the policy which will help determining any alteration in the existing policy or the creation of a new one.

2.7 Probable Questions

Essay Type Questions

- 1) What are the factors that influence policy formulation?
- 2) What are the specific activities being implemented in policy formulation?
- 3) What is public policy? Explain the process of policy making in India.

Short Questions

- 1) What is public policy?

- 2) What is the importance of public policy?
- 3) What are the seven stages in policy process
- 4) What are the main features of a public policy process? \

Objective Questions

- 1) Who said, “a good policy formulation process is one which is committed to producing a high-quality decision, not any particular decision”.
- 2) What is the name of organization which replaced Planning Commission in India?
- 3) Which state is related to the scheme “kudumbashree”?
- 4) What is the full form of RTE?
- 5) Mention any one stage of policy cycle.

2.8 Further Reading

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Unit 3 □ Meaning, Significance, Approaches and Types of Decentralization

Structure

- 3.1 Objective**
- 3.2 Introduction**
- 3.3 Decentralization**
- 3.4 Significance of Decentralization**
- 3.5 Approaches to Decentralization**
- 3.6 Types of Decentralization**
- 3.7 Conclusion**
- 3.8 Summing up**
- 3.9 Probable Questions**
- 3.10 Further Reading**

3.1 Objective

After studying this unit, the learners will be able to

- understand the meaning of decentralization
- grasp the different approaches of decentralization
- understand the types of decentralization.

3.2 Introduction

In the context of power and governance decentralization signifies the devolution of power and authority of governance of central and state governments to the sub-state level organizations i.e., Panchayats and Municipal Corporation in India. Decentralization denotes dispersal of authority among a number of individual or unit. The root of the English word decentralization can be traced back to a Latin word, which means ‘away from the centre’.

How the organization should be structured, whether it should be centralized or decentralized is the dilemma before the scholars and practitioners of public administration.

The mainstream literature in public administration focuses more on decentralization for its inherent advantages in devolving power and empowerment of masses. But there are political factor and administrative systems which decide whether there should be centralization or decentralization.

3.3 Decentralization

Definitions and meaning of 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 the needs and aspirations of the people of a given area. Scholars defined the term decentralization in different ways notable among them have been discussed 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”. 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 Weinrich defined it as 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 reconcentration and devolution. In deconcentrating, 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. Decentralization is also 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 understood as the “transfer of planning, decision making or administrative authority from the central government to its field organizations, local administrations units, semi-autonomous and parastatals organizations, local governments or NGO s. 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 concertededly.

3.4 Significance of Decentralization

Participation and control of governance by the people of the country is the essence of democracy. Such participation is possible only when the powers of the state are decentralised to the districts, block, and village levels where all the sections of the people can sit together to discuss their problems, as well as monitor the implementation of the programmes. Decentralization is a prime mechanism through which democracy becomes truly representative and responsive. Mohit Bhattacharya argues that the 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. G. Shabbir Cheema and Dennis A. Rodnell have identified the following advantages of decentralization:

- a) It provides relief to the higher officials by reducing their workload. Thus, the top executive can devote greater time and energy to important policy matters.
- b) It provides opportunity for people's participation in administration which strengthen the democracy by making it realistic and comprehensive.
- c) It increases the morale and motivations of employees particularly at lower and middle levels by assigning them authority and responsibility for different work.
- d) Decentralization could allow better political and administrative penetration of national government policies into the remote areas.

3.5 Approaches to Decentralization

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

Doctrinal 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.

The political approach believes that decentralization occurs in a political setting. The intention 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 an 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. Fasler 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.

The 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 or general area based administrative demands and specific function 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.

The dual role Approach: The dual approach seeks to highlight the conflict in field administration between tradition and change. The basic conflict, according to Fasler, 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. 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.

3.6 Types of Decentralization

Decentralization takes different form in different political setting and administrative conditions. There are four types of decentralization. These are: political, administrative, fiscal and functional decentralization.

Political Decentralization: Political decentralization refers to processes where the power of political decision making and central functions are transferred from higher level of government to lower one. The institutions which are assigned authority and functions for local governance are governed by local people. Thus, the people residing in the periphery of local institution have greater chances of participation in decision making. Greater participation of people leads to increased legitimacy and more political stability of governments. Also, Mass participation makes for better policy making and effective utilization of resources. Seventy third and seventy fourth constitutional amendment are landmark piece of legislation for setting up three tier rural and urban governance is extension of political decentralization.

Administrative Decentralization: Administrative decentralization occurs when a politically independent unit delegates some of its power and function to subordinate units within its organisation. Administrative decentralization may be territorial or functional. Territorial

decentralization means creation of area administrative units such as Divisions, District, Zones, Circles etc., and vesting them with authority and responsibility in prescribed limits.

Fiscal Decentralization: Fiscal Decentralization means devolution of financial power to lower level of government. Unless the power to tax and generate revenue is granted, the political decentralization would merely remain a dream. The local government cannot fulfil their responsibility in the absence of adequate financial power. For instance, there is provision of state Finance Commission in the seventy third and seventy fourth constitutional amendment act to review the financial position of local bodies and to suggest measure to strengthen their financial position. One of the reasons why Panchayati Raj could not succeed is inadequate financial power. The Status Report (2000) on the Autonomy of Panchayati Raj Institutions and Municipal Bodies reveals that none of the states in India, except Kerala, have tried to place requisites for financial decentralization, while operationalizing their respective acts.

Functional Decentralization: Functional decentralization refers to the transfer of functions from Central or state government to local bodies in order to enable them to discharge assigned functions and responsibilities. For instance, seventy third constitutional amendment act in India assigns 29 functions to Panchayati Raj institutions in India listed in Eleventh Schedule of Constitution of India. However, these are suggestive not mandatory as under the Indian constitution local government is state subject. Subjects and activities assigned to local bodies under functional decentralization should be precise and clear or it can create more confusion and chaos rather than empowerment of local community as it happens in most of states in India. There is absence of clear-cut functional jurisdiction of Panchayati Raj institutions and even that is left to the discretion of concerned state government. The same applies to urban local bodies which are assigned eighteen functions by 12th schedule of Constitution of India. It also means granting autonomy in respect of professional and technical matters to the appropriate technical or professional bodies by Central authority. For instance, Medical Council of India is given powers to deal with regulation and promotion of medical education and University Grant Commission (UGC. regulates the matter in respect of higher education).

3.7 Conclusion

Decentralization is favoured for access, citizen participation and political responsiveness. Therefore, decentralization depends on the situation and is not an absolute term. 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.

3.8 Summing up

- Decentralization is a structural set up where in the power to make a decision is delegated across all levels in an organization.
- It is responsible for planning, crafting suitable strategies and tactically necessary decision to boost the proficiency at each level and in turn, optimizing the overall productivity of a organization from approaches to decentralization one discussed here.

3.9 Probable questions

Essay Type Questions

1. What is decentralization? Discuss its significance.
2. What is the meaning of decentralization with example?
 1. What is decentralization? What is significance.
 3. How many types of approaches are there in decentralization? Explain any three.

Short Questions

1. What is political decentralization?
2. What is the dual role approach to decentralization?
3. Explain the types of decentralization.

Objective Questions

1. Mention one advantage of decentralization.
2. Name one approach to decentralization.
3. Mention one type of decentralization.
4. Give an example of functional decentralization.
5. Who is the author of the book, “Indian Administration”?

3.10 Further Reading

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Unit 4 □ Local Self Government in India: Rural

Structure

- 4.1 Objective**
- 4.2 Introduction**
- 4.3 Panchayati Raj Institutions**
- 4.4 Recommendations of the Balwant Rai Mehta Committee on the Structure of the Panchaya and the Ashok Mehta Committee**
- 4.5 The 73rd Amendment to the Constitution**
- 4.6 Composition of Panchayats**
- 4.7 Three-tier Structure of Panchayati Raj**
- 4.8 Functions of Panchayati Raj Institutions**
- 4.9 Conclusion**
- 4.10 Summing up**
- 4.11 Probable questions**
- 4.12 Further Reading**

4.1 Objective

After studying this unit, the learners will be able to

- appreciate that the local government has an important role to play in the rural areas.
- explain the functions of local bodies.
- evaluate the performance of Panchayati Raj institutions as instruments of democratic decentralisation (grassroots democracy).

4.2 Introduction

The institution of rural local government of India is as old as civilization and it was called Village Panchayat. They were performing regulatory functions and adjudicating civil disputes. After independence, the Constitution of India provided for establishment of local bodies and Panchayati Raj under article 40 (directive principles of state policy) as a subject with

the states but did not further elaborate its structure, functions and other details. The introduction of Panchayati Raj in the sixties was a major step towards institution building process in promoting people's participation in rural development. In the mid-sixties, the funding for Community Development Projects dried up and panchayats got stagnated. In 1979 – 80 the District Rural Development Agency was established at district level, development institution jointly registered by the Union and State Governments in each district and societies.

The 73rd amendment of Indian Constitution in 1992 ushered in the present phase where panchayats are described as institutions of Local-self-government. Presently there are approximately 250,000 Gram Panchayats, 6500 Panchayats Samitis and 500 Zilla Parishads.

4.3 Panchayati Raj Institutions

The concept of Panchayati raj is not only based on the ancient Indian belief that “God lives in the Panch”, or Panch Parmeshwar, but was very enthusiastically propounded by Mahatma Gandhi. He believed in the power to all sections of people, and in grassroots democracy. That is possible only through village panchayats. Importance of Panchayati Raj Right up to the British period, panchayats played a very important role in the social life of the village and also resolved minor disputes among villagers. Under the British rule, panchayats lost the respect and power which they had earlier enjoyed because of the new system of courts, laws and revenue collection. Though in independent India one of the Directive Principles of State Policy in the Constitution directed the Union and State Governments to try to take steps to organise village panchayats and give them such powers and authority as may be necessary to enable them to act as units of self-government Panchayati raj was not taken up seriously by the states. However, they are now given Constitutional status.

4.4 Recommendations of the Balwant Rai Mehta Committee and the Ashok Mehta Committee

The Balwant Rai Mehta Committee (1957) suggested ways of democratic decentralisation in a three-tier structure of panchayati raj. This meant that panchayati raj should be set up at three levels. They should be furnished with sufficient powers and resources. These three tiers of panchayati raj are: 1 zila parishad at district level; 1 panchayat samiti at intermediate or block level; 1 village or gram panchayat at village level. In this scheme, panchayat samiti was to be the most important. These three bodies were interlinked as the lower body was represented in the higher body through its chairperson. Panchayati raj of the Balwant Rai Mehta Committee pattern was first introduced by Rajasthan in 1959. Later, other States

also followed. Initially, both the people and the states were enthusiastic about Panchayati Raj. However panchayati raj institutions began to decline very soon owing to government indifference and political interference. The Ashok Mehta Committee set up by the government to review panchayati raj submitted its report in 1978. This Committee felt that panchayati raj had inculcated political awareness among rural masses. However, it had not been successful in carrying out economic development. Unlike the Balwant Rai Mehta Committee, the Asoka Mehta Committee suggested a two tier structure of panchayati raj. These two-tiers were to be: 1 zila parishad at district level; 1 mandal panchayat, an administrative unit between village panchayat and panchayat samiti. In the two-tier system, the main emphasis was laid on zila parishad and not on panchayat samiti as in the case of the earlier committee report. However the recommendations of the Ashok Mehta Committee could not be implemented due to the collapse of the Janata Government in 1980. The States like Bihar, Uttar Pradesh and Tamil Nadu did not hold elections to panchayats for long. At the same time, many new agencies were set up by the Central Government like -District Rural Development Agency, to take up development programmes in collaboration with the State Governments, with panchayats having no role in these programmes. They themselves hardly had any funds to take up development projects in the villages.

4.5 The 73rd Amendment to the Constitution

Enacted in 1992 made statutory provisions for the establishment, empowerment and functioning of Panchayati Raj institutions. Some provisions of this amendment are binding on the States while others have been left to be decided by respective State Legislatures at their discretion. The salient features of this amendment are as follows: Some of the compulsory requirements of the new law are:

- Organisation of Gram Sabhas
- Creation of a three-tier Panchayati Raj Structure at the Zila, Block and Village levels
- Almost all posts, at all levels to be filled by direct elections
- Minimum age for contesting elections to the Panchayati Raj institutions be twentyone years
- There should be reservation of seats for Scheduled Castes/ Scheduled Tribes in Panchayats, in proportion to their population, and for women in Panchayats up to one-third seats
- State Election Commission to be set up in each State to conduct elections to Panchayati Raj institutions

- The tenure of Panchayati Raj institutions is five years, if dissolved earlier, fresh elections to be held within six months
- State Finance Commission is set up in each State every five years

4.6 Composition of Panchayats

The Panchayati Raj system, as established in accordance with the 73rd Amendment, is a three-tier structure based on direct elections at all the three tiers: village, intermediate and district. Exemption from the intermediate tier is given to the small States having less than 20 lakhs population. It means that they have freedom not to have the middle level of panchayat. All members in a panchayat are directly elected. However, if a State so decides, members of the State Legislature and Parliament may also be represented in district and middle level panchayats. The middle level panchayats are generally known as Panchayat Samitis. Provisions have been made for the inclusion of the chairpersons of the village panchayats in the block and district level panchayats. The provision regarding reservation of seats for Scheduled Castes/Scheduled Tribes has already been mentioned earlier. However it should also be noted here that one-third of total seats are reserved for women, and one-third for women out of the Quota fixed for Scheduled Castes/Tribes. Reservation is also provided for offices of Chairpersons. The reserved seats are allotted by rotation to different constituencies in a panchayat area. State Legislatures can provide for further reservation for other backward classes (OBC) in panchayats.

Terms of the Panchayats

The Amendment provides for continuous existence of panchayats. The normal term of a panchayat is five years. If a panchayat is dissolved earlier, elections are held within six months. There is a provision for State level Election Commission, for superintendence, direction and control of preparation of electoral rolls and conduct of elections to panchayats.

Powers and Responsibilities of Panchayats

State Legislatures may endow panchayats with such powers and authority as may be necessary to enable the panchayats to become institutions of self-government at grassroots level. Responsibility may be given to them to prepare plans for economic development and social justice. Schemes of economic development and social justice with regard to 29 important matters such as agriculture, primary and secondary education, health and sanitation, drinking water, rural housing, welfare of weaker sections, social forestry and so forth may be made by them.

a Panchayat Samiti also depends on the population in a samiti area. In Panchayat Samiti, some members are directly elected. Sarpanch's of gram panchayats are ex-officio members of Panchayat Samitis. However, all the sarpanch of Gram Panchayats are not members of Panchayat Samitis at the same time. The number varies from State to State and is rotated annually. It means that only chairpersons of some Gram Panchayats in a Samiti area are members of Panchayat Samiti at a time. In some panchayats, members of Legislative Assemblies and Legislative Councils as well as members of Parliament who belong to the Samiti area are co-opted as its members. Chairpersons of Panchayat Samitis are, generally elected from among the directly elected members.

(ii) Zila Parishad

Zila Parishad at the district level is the uppermost tier of the panchayati raj system. This institution has some directly elected members whose number differs from State to State as it is also based on population. Chairpersons of Panchayat Samitis are ex-officio members of Zila Parishads. Members of Parliament, Legislative Assemblies and Councils belonging to the districts are also nominated members of Zila Parishads. The chairperson of a Zila Parishad, called Adhyaksha or President, is elected from among the directly elected members. The vice-chairperson is also elected similarly. Zila parishad meetings are conducted once a month. Special meetings can also be convened to discuss special matters. Subject committees are also formed.

4.8 Functions of Panchayati Raj Institutions

All Panchayati raj institutions perform such functions as are specified in state laws relating to Panchayati raj. Generally speaking, the functions are as under:

(i) Functions of Gram Panchayat

Some States distinguish between obligatory (compulsory) and optional functions of Gram Panchayats while other States do not make this distinction. The civic functions relating to sanitation, cleaning of public roads, drains and ponds, public toilets and lavatories, primary health care, vaccination, supply of drinking water, constructing public wells, street lighting, social health and primary and adult education, etc. are obligatory functions of village panchayats. The optional functions depend on the resources of the panchayats. They may or may not perform such functions as tree plantation on road sides, setting up of breeding centres for cattle, organising child and maternity welfare, promotion of agriculture, etc. After the 73rd Amendment, the scope of functions

castes, scheduled tribes, backward classes and women in the participatory process will further strengthen the grassroots institutions. The overall socio-economic and cultural development of rural areas depends on strong panchayats. Panchayats as the foundations of democracy at the grassroots can be strengthened only by reposing faith in them, endowing them with adequate administrative and financial powers and encouraging vigilance and active participation of the people.

4.10 Summing up

- Local Government in India refers to governmental jurisdiction below the level of the state.
- India is a quasi-federal Republic with three spheres of government: central, state and local.
- In rural areas Panchayati Raj institution is a system of local self-government, which has been constitutionalized through 73rd constitutional Act, 1992 to build democracy at the grass roots level and has been entrusted with the task of Rural development in the country.

4.11 Probable Questions

Essay Type Questions

1. Describe briefly the three-tier structure of Panchayati Raj.
2. Analyse the recommendations of the Balwant Rai Mehta Committee.
3. Why is the rural local self-government important in India?
4. Evaluate the functioning of panchayats as grassroots institutions of democracy
5. Evaluate the three-tier structure of Panchayat Raj.

Short Questions

1. What is Gram Sansad?
2. What is Gram Sabha?
3. Evaluate the composition of Panchayats.

Objective Questions

1. In which year was 73rd constitution amendment act passed?

Unit 5 □ Local Self Government in India: Urban

Structure

- 5.1 Objective**
- 5.2 Introduction**
- 5.3 Terms and Composition of Urban Local Self-Government**
- 5.4 Functions of Urban Local Bodies**
- 5.5 Types of Urban Local Government**
- 5.6 Conclusion**
- 5.7 Summing up**
- 5.8 Probable Questions**
- 5.9 Further Reading**

5.1 Objective

After studying this unit, the learners will be able to

- know about the history of local self-governments in the urban areas
- understand the meaning of urban local- self governance
- grasp the role of urban local bodies in India
- analyse the powers and functions of urban local government

5.2 Introduction

The Urban local Government institutions in India, as it exists today is a British innovation. Urban Local Self Governments play the major role in urban development process in India. This level of governments has enormous functions and inadequate source of finances. These governments invest surplus of own source over revenue expenditure along with external sources (grant and other fund) for infrastructure development. Indian Constitution has provided for a three tiers federal structure (Union, State and Local) specifying the powers and responsibilities for all the tiers of the governments. Therefore, it is the desired intention of the Constitution that all the tiers of the Governments work in a co -ordinated manner well within limits of the Constitution for urban infrastructure development. Third tier of

Governments are generally termed as local self-governments and it has two wings, one which operates in the rural areas and the other in the urban areas. Constitutional status has been provided to these local governments through the 73th and 74th Constitutional Amendment Acts, 1992.

Urban Local government implies the governance of an urban area by the people through their elected representatives. 74th Constitutional Amendment Act, 1992 provided constitutional status to local urban bodies. This act added a new part IX-A to the Constitution entitled as 'The Municipalities' and a new Twelfth Schedule containing 18 functional items for municipalities. The main provisions of this Act can be grouped under two categories—compulsory and voluntary. Some of the compulsory provisions which are binding on all States are:

- Constitution of Nagar panchayats, municipal councils and municipal corporations in transitional areas (areas in transition from a rural area to urban area), smaller urban areas and larger urban areas respectively
- Reservation of seats in urban local bodies for Scheduled Castes / Scheduled Tribes roughly in proportion to their population
- Reservation of seats for women up to one-third seats
- The State Election Commission, constituted in order to conduct elections in the Panchayati raj bodies (see 73rd Amendment) will also conduct elections to the urban local self- governing bodies
- The State Finance Commission, constituted to deal with financial affairs of the Panchayati Raj bodies will also look into the financial affairs of the local urban self-governing bodies
- Tenure of urban local self-governing bodies is fixed at five years and in case of earlier dissolution fresh elections are to be held within six months

Some of the voluntary provisions which are not binding, but are expected to be observed by the States are:

- Giving representation to members of the Union and State Legislatures in these bodies
- Providing reservation for backward classes
- Giving financial powers in relation to taxes, duties, tolls and fees etc
- Making the municipal bodies autonomous and devolution of powers to these bodies to perform some or all of the functions enumerated in the Twelfth Schedule added to the Constitution through this Act and/or to prepare plans for economic development

In accordance with the 74th Amendment, municipal corporations and municipalities (municipal boards or municipal committees) are now regulated in a fairly uniform manner in all the States. However, one must remember that local self-government continues to be a subject in the State List.

Thus, the 73rd and 74th amendments provide a framework for the States in respect of local government. Thus, each State has its own Election Commission which conducts elections to all local bodies after regular intervals of five years. Each State has its Finance Commission to regulate finances of the local bodies. Seats are reserved in the corporations and municipalities for Scheduled Castes and Tribes. One-third seats are reserved for women in all local bodies – urban and rural.

5.3 Terms and Composition of Urban Local Self-Government

- The local governing bodies are elected for a term of five years.
- If the panchayat/municipality is dissolved before the expiry of its term, elections shall be conducted within six months and the new panchayat/municipality will hold office for the remainder of the term if the term has more than six months duration.

The Municipal bodies are constituted of persons chosen by direct election from the territorial constituencies (known as wards) in the municipal area. However, the Legislature of a State may, by law, provide for the representation in a municipal body of persons having special knowledge or experience of municipal administration, the members of Rajya Sabha, Lok Sabha and the members of Legislative Council and Legislative Assembly of the State, representing constituencies, which comprise wholly or partly the Municipal Area. The state legislature may also provide the manner of the election of the Chairpersons of a municipality. The state legislature may also provide the manner of the election of the Chairpersons of a municipality. Empowerment of weaker sections of society and women by reserving seats for such groups is one of the important constitutional provisions of the Constitutional Amendment. The offices of chairperson are also reserved for SC/ST and women. Thus, at least one year, out of five-year duration of Municipal Corporation of Delhi, the office of Mayor is reserved for a woman, and for one year is reserved for a Councillor of Scheduled Caste. It gives a term of five years to the municipalities and if any of them is to be dissolved, it must be given an opportunity of being heard.

5.4 Functions of Urban Local Bodies

It is a common practice to divide the organisation of a corporation or a municipality into two parts:

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2nd Proof ♦ CPP [22/09/2022]

3rd Proof ♦ CPP [01/12/2022]

Dummy Print ♦ CPP [14/12/2022]

- (a) **Deliberative and**
- (b) **Executive part**

The corporation, council or municipal board or council consisting of the elected representatives of the people constitutes the deliberative part. It acts like a legislature. It discusses and debates on general municipal policies and performance, passes the budget of the urban local body, frames broad policies relating to taxation, resources raising, pricing of services and other aspects of municipal administration. It keeps an eye on municipal administration and holds the executive accountable for what is done or not done. For instance, if water supply is not being properly managed, or there is an outbreak of an epidemic, the deliberative wing criticises the role of the administration and suggests measures for improvement. The executive part of municipal administration is looked after by the municipal officers and other permanent employees. In the corporations, the Municipal Commissioner is the executive head, and all other departmental officers like engineers, finance officers, health officers etc. function under his/her control and supervision. In a large corporation, such as Delhi or Mumbai Municipal Corporation, the Commissioner is usually a senior IAS officer. In municipalities, the executive officer holds a similar position and looks after the overall administration of a municipality.

Municipal functions are generally classified into:

Obligatory and Discretionary types.

The obligatory (compulsory) functions are those that the municipal body must perform. In this category fall such functions as water supply; construction and maintenance of roads, streets, bridges, subways and other public works, street lighting; drainage and sewerage; garbage collection and disposal; prevention and control of epidemics. Some other obligatory functions are public vaccination and inoculation; maintenance of hospitals and dispensaries including maternity and child welfare centres; checking food adulteration; removal of slums; supply of electricity; maintenance of cremation and burial grounds; and town planning. In some States some of these functions may be taken over by State Government.

The discretionary functions are those that a municipal body may take up if funds permit. These are given less priority. Some of the discretionary functions are construction and maintenance of rescue homes and orphanages, housing for low-income groups, organising public receptions, provision of treatment facilities, etc.

5.5 Types of Urban Local Government

There are eight types of urban governments in India.

1. **Municipal Corporation:** Municipal corporations are created for the administration of big cities like Delhi, Mumbai, Hyderabad and others. A Municipal Corporation

has three authorities namely, the council (legislative wing of the corporation), the standing committee (to facilitate the working of the council) and the commissioner (chief executive authority of the corporation). The council consist of councillors directly elected by people and is headed by a mayor, while the Commissioner is appointed by state government and is generally an IAS officer.

2. **Municipality:** The municipalities are established for the administration of towns and smaller cities. They are known by various other names like municipal council, municipal committee, municipal board, borough municipality, city municipality and others. In composition they are quite similar to municipal corporations except that head of council is called President /chairman and in place of commissioner they have a chief executive officer/chief municipal officer.
3. **Notified Area Committee:** A notified area committee is created for the administration of two types of areas- a fast developing town due to industrialisation, and a town which does not yet fulfil all the conditions necessary for the constitution of a municipality, but which otherwise is considered important by the state government. It is called so because it is created by a notification and unlike the municipality it is an entirely nominated body, i.e., all members, including the Chairman, are nominated by the state government. Thus, it is neither a statutory body (created by law) nor an elected body.
4. **Town Area Committee:** It is set up by a separate act of state legislature for the administration of a small town. It is a semi-municipal authority entrusted with limited number of civic functions. It may be wholly elected or wholly nominated or partly elected and partly nominated as provided by state government.
5. **Cantonment Board:** It is established for municipal administration for civilian population in the cantonment areas (area where military forces and troops are permanently stationed). It is set up under the provisions of the Cantonment Act, 2006 by central government and works under Defence ministry of central government. It is partly elected and partly nominated body having the Military officer commanding the station as its ex-officio President. Vice president is elected 9 amongst by the elected members of board. The executive officer of the cantonment board is appointed by the President of India.
6. **Township:** It is established by large public enterprises to provide civic amenities to its staff and workers, who live in the housing colonies built near the plant. It is not an elected body and all members, including the town administrator, is appointed by the enterprise itself.

7. **Port Trust:** The port trusts are established in the port areas like Mumbai, Kolkata, Chennai and so on for two purposes: (a) to manage and protect the ports; (b) to provide civic amenities. It is created by an Act of Parliament and it consists of both elected and nominated members.
8. **Special Purpose Agency:** The states have set up certain agencies to undertake designated activities or specific functions that legitimately belong to the domain of municipal corporations, municipalities or other local urban governments. In other words, these are function based, not area based. They are known as ‘single purpose’, ‘uni-purpose’ or ‘special purpose’ or ‘functional local bodies’ like town improvement trust, housing boards, pollution control boards etc. They are established as statutory bodies by an act of state legislature or as departments by an executive resolution. They function as an autonomous body and are not subordinate agencies to local municipal bodies.

5.6 Conclusion

It is often said that a democracy matures only when the link between the vote and public good is firmly established in the citizens’ mind. People would be willing to pay taxes only when the tax money is deployed for better services in the locality in a manner that the tax-payer appreciates where the public money is going. Unless authority at each level matches the responsibility, we will continue to preside over a dysfunctional system of alibis, and citizens will continue to be disenchanted with our democratic process.

Three basic issues need to be addressed while empowering local governments. First, democratic institutions need careful nurturing, abundant patience, and institutional designs that maximise the benefits and ensure constant self-correction. Second, transfer of power in any form is painful and difficult. Local governments are only now taking roots after 60 years of independence. As state governments have come into their own over the decades, there is a natural tendency to hold on to their turf, and resist empowerment of local governments. Giving up power is never easy, and is unusually resisted. The states should therefore be enabled to discover a new and vital role, even as local governments become stronger and more vibrant. In some ways, the union government discovered such a role in respect of the states over the past two decades. Political, economic and legal changes completed transformed the union’s role vis-à-vis states, and yet while union control has declined, its leadership and coordination role are more important than ever before. Such a transformation in the role of states vis-à-vis local governments is critical. Third, local government empowerment must ensure continuity and accountability.

5.7 Summing up

- Urban Local Government implies the governance of an urban area by the people through their elected representatives.
- The 74th constitutional Amendment Act 1992 provided constitutional status to local urban bodies.

5.8 Probable Questions

Essay Type Questions

1. Write a note on the urban local self-government in India.
 2. What are the powers and functions of urban local government?
 3. Discuss the composition and Panchayat Raj of the urban local government
1. What is urban local government?
 2. Discuss the type of the urban Local Government.

Short Questions

1. What are the terms of the urban local government bodies?
2. What is Municipal Corporation?
3. Why has Cantonment Board been established?

Objective Questions

1. Which constitution amendment act is related to urban local self-government?
2. What is the term of an urban local self-government?
3. Name a Municipal Corporation in West Bengal.
4. By which name is the executive head of a Corporation known?
5. Name one obligatory function of a Municipality.

5.9 Further Reading

1. https://darpg.gov.in/sites/default/files/local_governance6.pdf accessed on 10th April 2022
2. https://www.soumu.go.jp/main_content/000336345.pdf accessed on 10th April 2022
3. Bhattacharya, Mohit, 1946, *Management of Urban Local Government in India*, Uppal Book Store, New Delhi
4. Goyal, S.L., and Dhaliwal, S.S., 2002, *Urban Development and Management*. Deep and Deep Publication, Kolkata.

MODULE – 3

Unit 11 □ Public Service Delivery

Structure

11.1 Objective

11.2 Introduction

11.3 Public Service Delivery System

11.4 Challenges Pertaining to Public Service Delivery

11.5 Government Initiatives for Public Service Delivery

11.6 Conclusion

11.7 Summing up

11.8 Probable Questions

11.9 Further Reading

11.1 Objective

- know that after studying this unit, the learners will be able to the main objective of Public Service Delivery is to deliver goods and services to the common people, rather than to generate profits. Public Service delivery is important because it helps provide people with amenities they want or need by linking them to an organization with the resources to provide those services.
- understand that public services make the state visible to its citizens, often forming the principal tangible link between governments and their people.
- know that public services carry and diffuse the values of the new nations and contribute to the bonding between the State and Citizens. It can empower people through easy access to better information on the performance of service providers, making it easier for citizens to monitor performance.
- learn that most successful ICT interventions that improve public service delivery are implemented through partnerships among several public and private agencies.

11.2 Introduction

The introduction to public service course is a foundational course in the public services

pathway, designed to provide students with basic theories and practical skills for career exploration and post graduate education in Public Services. Students will engage in critical thinking, communication and analytical writing skills by applying law and theories to current community issues. This course emphasizes research skills and project based learning to promote career exploration and career awareness of applications in the field of law. Criminal justice, Law enforcement, fire services, emergency medical responding and cyber / technology security.

11.3 Public Service Delivery System

Public Service is a service which is provided by the government to people, either directly (through the public sector) or by financing provision of services. It is the mechanism through which public services are delivered to the public by Local, Municipal or Federal Government. Some key public service are - Health Care, Education, Social Services for the Poor and Marginalized, Environmental Protection, Waste Management, Sanitation (including toilets), Law enforcement, Fire Service, Public Transportation, Postal Services etc.

Public Services delivery offers a comprehensive view of government performance measurement. The term is associated with a social consensus (usually expressed through democratic elections) that certain services should be available to all, regardless of income, physical ability or mental acuity. Examples of such services include the fire brigade, police, air force, public transportation, postal services etc.

People want best services at least cost. The services have to be both effective and efficient. Service sector attracts significant FDI, contributes to exports and provides large-scale employment. The Government of India, to promote growth in service sector, provides several incentives.

Public Services play a key role in smooth functioning of democracy in India. The public services in India are classified into three categories - all India Services, Central Services and State Services.

Im India, the government has been Omnipresent in the lives of citizens, envisaged by the architects of the nation following independence from British colonialism in 1947. With the aim of alleviating endemic poverty, free or heavily subsidised provision of basic and essential services has been the hallmark of public policy. However, there is broad consensus that the State has failed to effectively deliver public services to its citizens, particularly the poor. This is reflected starkly in the dismal performance of the country on almost all dimension of human development. Given the high levels of poverty and absence of a social

security program, subsidized public provision of food grains through a Public Distribution System (PDS). However, leakages from the PDS are large and grains are often siphoned off to the open market.

The Second largest Social Protection program which provides the right to employment has similarly been beset with concerns about poor targeting and misappropriation. Not surprisingly, almost 270 million people lived below the poverty line in 2011.

Expenditure on the public provision of education by the state accounted for approximately 3% of the GDP in 2015-16. Participation or enrolment in educational institutions has been steadily expanding in India since independence but acceptable levels of educational attainment by students have remained elusive. The drop-out rate from children progressing from grade 1 to 5 was as high as 25 percent in 2005-06 in India. Findings from a nation wide survey of rural primary schools show that about half of students enrolled in grade 5 cannot read text meant for second graders.

As in the case of education, the primary responsibility for providing health, drinking water and sanitation facilities in the country rests with the state governments and the local bodies in the urban areas. Annual budgetary allocations for health, including water and sanitation have increased, but remained stagnant as a proportion of GDP at less than 1.5% GDP. This is possibly reflected in low quality or at worse, absent public health services.

- Thus public service delivery is unsatisfactory when compared with other countries at similar levels of development.
- Weak monitoring and leakages in public services and programmes.
- Expenditure on education by the state accounted for approximately 3% of the GDP in 2015-16.
- Annual budgetary allocations for health, including water and sanitation have remained stagnant at less than 1.5% of the GDP.
- Low levels of human capital and inadequate access to basic infrastructure.

But citizens in low income democracies depend to a large extent on the State for the provision of basic services, viz education health and infrastructure. There are several pathways through which governance and the quality of public services can impact a country's growth. The overarching objective of public provision of free or subsidized services in low income countries is to deliver social protection to the poor and vulnerable and to alleviate poverty. The quality of governance, thus has direct implications for economic growth. Thus, the effective delivery of public programmes is likely to have a direct impact on

growth via poverty reduction. Secondly, often the aim of public service provision is to reduce inequitable distribution of resources and correct historical enquires, such as caste based discrimination and gender inequalities.

11.4 Challenges Peraining to Public Service Delivery

There are some challenges which affect the Public Service Delivery System in India. These are as follows :

- a) Policy Paralysis : Delays, inaction and inability to take Policy decisions by the government or its Various Departments and agencies is one of the main causes of delay in the service delivery.
- b) Bureaucratic Attitude : Sometimes, despotic attitude and obstructioinst attitude of officials especially in higher echelons of bureaucracy acts as hindrance in carrying out Public Service effectively.
- c) Inadequate political will : Recently, due to inefficiency and under utilization of funds, the Members of parliament Local area Development Scheme (MPLADS) has been suspended for two financial years.
- d) Red Tapism : Due to over regulation and practice of requiring excessive paper works and tedious procedures before official action hinders implementation of schemes and projects, thereby it affects the process of effective public fund utilization.
- e) Lack of Public Participation : With a high level of illiteracy and ignorance about government policies and schemes, many citizens (especially poor) could not demand their rightful services form the government.

Again, there are some other administrative challenges associated with the use of ICT services.

11.5 Government Initiatives for Public Service Delivery

- The Sevottam model developed with the objective of improving the quality of Public Service Delivery in the Country.
- Direct Cash transfer to facilitate disbursements of government entitlements.
- The Digital India Programme to ensure that government services are available to citizens electronically.

- My Gov. citizen portal to engage citizens in the task of 'good governance'.
- E-Kranti Scheme to broaden the reach of internet services to the rural areas

11.6 Conclusion

Quality Service delivery is an important component of good governance. It requires a number of reforms such as effective utilization of public funds, decentralization of power, plugging legislative loopholes, strengthening the public institutions like CVC and RTI, enhancing administrative accountability and making Society more democratic. These reforms could improve public service delivery more efficiently in the long run.

The quality of governance and public service delivery can affect economic growth through its impact on human capital, poverty and inequality and corruption. It is widely agreed that there is a governance deficit in India and while there has been programmes in the delivery of public services, it is unsatisfactory when compared with other countries at similar levels of development. There are large disparities between the poor and rich in the country and it is the poor who suffer much more due to weak public service delivery than from those who can access these services from the market.

11.7 Summing up

- Public Service delivery in a democratic country is urgently needed for governance.
- Government agencies are not profit oriented and their employees are often motivated differently.
- A study concluded that Public Services are associated with higher human need satisfaction and lower energy requirements while contemporary forms of economic growth are linked with the opposite.

11.8 Probable Questions

Essay Type Questions

- 1) Explain Public Service delivery system in India.
- 2) What are the challenges Pertaining to Public Service delivery.
- 3) What is the importance of Public Service Delivery?
- 4) What is service delivery in local government?

- 5) What are the major challenges to Public Service Delivery?

Short Questions

- 1) Give some examples of Public Service delivery.
- 2) Mention the principles of Public Service delivery
- 3) Mention the relation between Good Governance and Public Service delivery.
- 4) What is the meaning of Public Service Delivery?

Objective Questions

- 1) What is full form of PDS?
- 2) How many people lived below poverty line in India in 2011?
- 3) What is full form of GDP?
- 4) What was the percentage of expenditure of the GDP for education in 2015-2016?
- 5) What is the full form of MPLADS?

11.9 Further Reading

1. A. Saha - *Public Service Delivery*
2. Grant Thornton - *Public Service Delivery System*
3. S. Bhatnagar - *Public Service Delivery*

Unit 12 □ Redressal of Public Grievances (RTI)

Structure

- 12.1 Objective**
- 12.2 Introduction**
- 12.3 Redressal of Public Grievances**
- 12.4 Types of Public Grievances**
- 12.5 R.T.I. Act**
- 12.6 Who Can File an Application under RTI Act?**
- 12.7 Processes of Filing Applications under RTI Act**
- 12.8 Digital Right to Information System**
- 12.9 Scope of RTI Act**
- 12.10 Rejection of Application under RTI Act**
- 12.11 Conclusion**
- 12.12 Summing up**
- 12.13 Probable Questions**
- 12.14 Further Reading**

12.1 Objective

- understand that corruption, harassment by officials, delay in disposal of cases, arbitrary decisions and maladministration are some of the black spots of public administration in India. The average citizen is interested more in the devices of redressal of his grievances than in the sophisticated manual of organisation and methods of disposal of governmental business.

- know that he wants responsive, sympathetic and courteous administration and it is one of the great problems of public administration to make public officials fair, sensitive, responsible, responsive and to protect the citizen against administrative arbitrariness.

- learn that the objective of the redressal of public grievances cell is to develop a responsive and accountable attitude towards all the stakeholders in order to maintain a harmonious educational atmosphere in the institute. The objective of the grievance redressal

is to create an opportunity for the employee to communicate with management, to ensure that complaints are effectively dealt with by management and to prevent disputes from arising in the work place.

12.2 Introduction

Grievance Redressal mechanism is the part and parcel of the machinery of any administration. No administration can claim to be accountable, responsive and user-friendly unless it has established an efficient and effective grievance redressal mechanism of an organization. Its object is to gauge the efficiency and effectiveness of an administration as it provides important feedback on the working of it.

12.3 Redressal of Public Grievances

The term 'Grievance Redressal' primarily covers the receipt and processing of complaints from citizens and consumers. However a wider definition includes actions taken on any issue raised by them to avail services more effectively.

A grievance is a concern, problem or complaint that an employee raises with an employer. An employee can raise a grievance for a number of reasons and circumstances, including but not confining to a change in their terms and conditions of employment, bullying or harassment in the workplace, wages and discrimination.

Employees should have effective measures in place to deal with a grievance. To raise a voice against any grievance is not one that is normally taken lightly by an employee. Since that signifies the failure of formal complaint mechanism established in the administration system.

In order to handle employee grievances, there should be a recognised established and clear procedure in place which has been communicated to all employees.

Any complaint should be taken seriously, investigated without delay and the employee should get a fair hearing in order to avoid putting the business through a lengthy or costly employment tribunal.

An employee's failure to deal with an employee's grievances was highlighted in the case of an 88 years old medical secretary, in which the tribunal said her dismissal was tainted by discrimination. It was found that the employer did not address her formal complaints.

12.4 Types of Public Grievances

An analysis of grievances received in Department of Administrative Reforms and public grievances and Directorate of Public grievances has revealed that the majority of grievances related to inordinate delay in taking decisions, extending from several months to several years and refusal inability to make speaking replies / disclose basic information to the petitioners to enable them to examine whether their cases have been correctly decided. It is observed that, had the concerned organisations expeditiously and appropriately dealt with the grievances in the first instance, the complainants would not have approached Department of Administration Reforms and Public Grievances / Directorate of Public Grievances.

The redressal of public grievance is not an easy task. The following steps may help in redressal of their grievances to some extent

a) Judicial Remedies

The constitution of India has guaranteed certain fundamental rights to the people and in case there is a violation of any of these rights, the aggrieved person can move the High Court or Supreme Court for enforcement of his rights. A citizen can also avail of the judicial remedy against any wrong done to him by a public servant in the course discharge of his public duty. The judicial remedies against the administration may include: Suits against the government for quashing of its arbitrary, discriminatory and unlawful orders, reinstatement of employees, payment of salary arrears and other damages; writ jurisdiction of the supreme Court and High Court which has the effect of quashing administrative orders, prohibiting administration from some act or directing it to do a particular act or not to do it.

b) Parliamentary Procedure

The Principle of ministerial responsibility gives parliament the right to probe into executive actions. The elected representatives having been persuaded by their constituents ask questions in parliament, move adjournment motion, censure motion call-attention motion to draw the attention of the house to a particular matter. There is also a parliamentary committee, the committee on petitions to which the citizen may submit petitions to secure redress against an act of injustice. However, the parliamentary action is circumscribed by the rules of procedure and speaker's rulings.

c) Complaint Forums

The government has setup numerous complaint forums at different levels to receive

people's complaints and take further necessary action. These complaint cells have been created in various government organisations for speedy disposal of public complaints. One may also air one's grievances before a senior officer against the actions of his subordinates. Complaint officers have been appointed in organisations dealing with the public. Complaint boxes and registers are maintained in many organisations.

This remedy also is not much helpful because the complaint officers are reluctant to hold their own colleagues responsible. They are afraid to investigate grievances against a decision taken by an officer senior to them.

d) Enquiries

There is a provision for instituting departmental as well as public enquiries under the provisions of public servant (Enquiries) Act, against a public servant for his acts of misbehaviour. Various commissions have been appointed from time to time by the government to investigate the allegations against the civil servants, for instance, the Chagla Commission, Das Commission, Aiyangar Commission etc.

While these commissions have done useful work, the remedy is not effective to provide redress to the common man against his grievances regarding day to day matters. Generally serious matters of maladministration and corruption are the subject matter of public enquiry.

There is also a central vigilance commission headed by a vigilance commissioner to investigate corruption charges and complaints of misconduct, malpractices on the part of public servants.

12.5 R.T.I. Act

The Right to information is an act of the parliament of India which sets out the rules and procedures regarding citizen's right to information. It replaced the former Freedom of Information Act, 2002. Under the provisions of RTI Act, any citizen of India may request information from a 'Public Authority' (a body of government instrumentality of state) which is required to reply expeditiously or within thirty days. In case of matter involving petitioner's life and liberty, the information has to be provided within 48 hours. The Act also requires every public authority to computerize their records for wide dissemination and to proactively publish certain categories of information so that the citizens need minimum recourse to request for information formally.

The RTI Bill was passed by parliament of India on 15 June, 2005 and came into force with effect from 12th October 2005. Everyday on an average, over 4800 RTI applications

are filed. In the first ten years of the commencement of the Act over 17,500,000 applications had been filed.

Although Right to information is not included as a Fundamental Right in the constitution of India, it protects the fundamental Rights to Freedom of Expression and Speech under Article 19 (i)(a) and Right to life and personal liberty under Article 21 guaranteed by the const.

12.6 Who Can File an application under RTI Act?

Any citizen can ask for information under these Laws. The Act extends to the whole of India except the State of Jammu and Kashmir. Overseas citizens of India and persons of Indian origin card holders can also ask for information under the RTI Act 3rd June, 2018.

RTI is one of the strongest legislations made for the common man giving them a right to question any public authority and their activities. Whether it is water connection problems or cleanliness issue in your area or the pension process, you can ask for any information in the public domain under the RTI Act. The Act was introduced to ensure transparency and accountability of each public authority's work. The Act is applicable across India, with the exception of the state of Jammu and Kashmir.

12.7 Processes of Filing Applications under RTI Act

There is a simple procedure to be followed to file an RTI request Offline, which involves the following steps :

Step-1 : One needs to first identify the department in which one wishes to file on RTI plea. Depending on the subject, the request would either come under the scope of local authority, State Government or Central Government.

Step-2 : The application is to be written or typed in Hindi, English or the particular area's local language. One can also refer to the public information officer to write the application.

Step-3 : Application is to be addressed to the Central/State public information officer. The name and the complete address of the office from which one wishes to seek information is to be mentioned. The subject line should clearly mention. "Seeking information under the RTI Act, 2005".

Step-4 : Request can then be put in with detailed, specific questions mentioning the year or period the plea falls in. One can also request for the documents or its excerpts

if it is required. The documents can be obtained at a nominal charge of Rs. 2 per page.

Step-5 : Rs. 10 is to be paid in the form of either cash, bank draft, money order or a court fee stamp to file the request. The stamps needs to be one the application. People belonging to the below poverty line (BPL) category are excluded from paying the fee; after producing proof.

Step-6 : Full name, address and contact details along with the e-mail address of the applicant need to be mentioned clearly. The date as well as the town's name need to be stated.

Step-7 : The application can then be sent by mail or handed in personally to the concerned office. Receiving on acknowledgement is a must. Be sure to keep a photocopy of the application for further referance.

Step-8 : The government mandates the concerned office to respond to the request within a period of 30 days. If the same does not happen, one can file an appeal to "The appellate authority" who are also mandated to respond within 30 days. The appeal can then be made to information commissioner, state/central information commission.

12.8 Digital Right to information System

A digital portal has also been set-up, RTI Portal, gateway to the citizens for quick search of information on the details of First Appellate Authorities, PIO etc. amongst others, besides access to RTI related information disclosures published on the web Various Public Authorities under the Government of India as well as the State Governments. It is an initiative taken by the Dept. of Personnel and Training Ministry of Personnel public Grievances and pensions.

12.9 Scope of RTI Act

The Act extends to the whole of India. 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-gogernment organisations substantially financed, directly or indirectly by funds.

The Right to information in India is governed by two major bodies

- Central Information Commission (CIC)
- State Information Commission (SIC)

State and Central Information Commissions are independent bodies and Central Information Commission has no jurisdiction over the State Information Commission.

12.10 Rejection of Application under RTI Act

Scholars argue that the right to information act's original intent to make government transparent and accountable is faltering as RTI requests are reflected and the bureaucratic systems are bagged down by millions of requests.

Many RTIs are rejected because the bureaucratic requirements (including the technocratic language used) of filling are too onerous and legalistic for ordinary citizens. Sixty percent of the RTI appeals made to information commissioners in Delhi are rejected for a variety of reasons, including that appeals are not typed or not written in English or lack an index of the papers attached or a list of dates. This bureaucratic barrier, worse for those without access to higher education or information, makes the right to information inaccessible. Many citizens have to seek out NGOs, RTI activists or lawyers, to file their RTIs.

12.11 Conclusion

The Public Information Officers are the link between the information seeker and the Public Authority. They are responsible for receiving applications and then give an appropriate reply to the applications as per the provisions of the Right to Information Act.

Only citizens of India have the right to seek information under the provisions of RTI Act, 2005.

12.12 Summing up

- RTI Bill was passed by the Lok Sabha on 11th May, 2005 and by Rajya Sabha on 12th May, 2005, and received assent of the President of India on 21st June 2005 and came into force with effect from 12th October 2005. It is known as Right to Information Act, 2005.

- Right to Information Act 2005 mandates timely response to citizens' requests for government information by various Public Authorities under the Government of India as well as the State Governments.

- The objective of the RTI Act is to empower citizens by providing information. It promotes transparency and accountability in the working of Government. It tries to prevent and eliminate corruption.

- Finally, it transforms the relationship between the Citizen and Government.

12.13 Probable Questions

Essay Type Questions

- 1) What do you mean by Redressal of Public Grievances?
- 2) Mention different types of Public Grievances.
- 3) What is RTI and how one can use it?
- 4) What can RTI do for the people?

Short Questions

- 1) What are the examples of RTI?
- 2) What type of questions cannot be asked under RTI?
- 3) What information cannot be provided under RTI?
- 4) What is public information officer?
- 5) Who can file an RTI?
- 6) What questions can be asked under RTI?
- 7) Which information can be denied under RTI?
- 8) What is the time period for supply of information?

Objective Questions

- 1) What is full form of RTI?
- 2) Which state is excluded from RTI Act?
- 3) In which year was RTI Act passed?
- 4) What is the full form of CIC?
- 5) Whithin how many days is information to be provided to an information seeker under RTI Act?

12.14 Further Study

1. Devendra Kumar Singh - *Right to information Act 2005*
2. Dr. Neraj Kumar, 2nd Edition, 2002 - *RTI case Digest*
3. Dr. J.N. Barowala and Abhishek Barowala - *Commentary on The Right to Information Act.*, (5th ed.)
4. Dr. K. B. Roy - *Right to Information*

Unit 13 □ Lokpal Bill

Structure

13.1 Objective

13.2 Introduction

13.3 History of the Lokpal Bill

13.4 Lokpal Act

13.5 Powers and Functions of the Lokpal

13.6 Expenses of the Lokpal to be Charged on the Consolidated Fund of India

13.7 Conclusion

13.8 Summing up

13.9 Probable Questions

13.10 Further Reading

13.1 Objective

After studying this unit, the learners will be able to

- know that the objective of the Lokpal is to deter corruption, compensate citizen grievances and protect whistle blowers.
 - learn that the objective of the Lokpal is to enquire into allegations of corruption against certain public functionaries and for matters connected therewith or incidental thereto.
 - understand that the purpose of this bill is to decrease the overall corruption and listen to the grievances of the citizens of India.
-

13.2 Introduction

The idea of an anti-corruption body and an ombudsman to look into corruption allegations against administrators, including legislators, has been floating around for over five decades now. It finally got shape with the passing of the Lokpal and Lokayuktas Bill, 2013, in the Lok Sabha and December 18, 2013, but only after a nation wide protest led by 'India against corruption', a civil society movement of activist Anna Hazare.

13.3 History of the Lokpal Bill

The term 'Lokpal' was coined by Dr. L. M. Singhvi in 1963. The concept of constitutional ombudsman was first proposed in Parliament by Law Minister Ashoka Kumar Sen in the early 1960s. But the year 2011 will be remembered in India as the year of campaign against corruption and for the Jan - Lokpal Bill. The campaign began in January 2011 in the backdrop of the publicity that accompanied the several mega - scams that surfaced in 2010, notably those relating to the Common Wealth Games and the Telecom Spectrum allocations. It caught the public imagination with Anna Hazare's fast at Jantar Mantar in New Delhi in April 2011, that forced the UPA Govt. to constitute a joint drafting committee for a Lokpal Bill. The Civil Society representative in the committee proposed a bill called the Lokpal Bill which became the basis for discussions.

The Jan Lokpal Bill thus provided for the selection of a 11 member Lokpal by a broad-based selection committee, comprising the Prime Minister, the leader of the opposition, two judges selected by all the judges of the supreme court, the comptroller and Auditor General. The chief Election Commissioner, the central vigilance commissioner and the previous three chairpersons of the Lokpal, through a transparent process.

It sought to bring the anti-corruption wing of the Central Bureau of Investigation (CBI) and the Lokpal's administration control. The Lokpal was to be given corruption investigation jurisdiction over all the public servants (including members of Parliament, Judges and all sections of bureaucracy), and those who may have abetted their acts of corruption including corruptions or non-governmental organisation. The Lokpal could recommend the removal of those officers who were charged for corruption and the freezing of any assets that seemed to be acquired by corrupt means

13.4 Lokpal Act

The Lokpal Act contains 62 sections and several sub-sections under 15 chapters. The following is the summary of the Lokpal Act.

Composition :

Section 3 under chapter 11 of the Lokpal Act describes the qualifications for appointment as the chairperson and members of the Lokpal, It states that to be appointed as a Chair person of the Lokpal, a person should have one of the following qualifications - must be a Chief Justice of the Supreme Court, a judge of the Supreme Court or an eminent person with impeccable integrity, outstanding ability and with special knowledge and expertise of

not less than twenty-five years in administration, vigilance, finance, law and management.

The total number of other members of the Lokpal shall be eight, of which 50 percent shall be from the judicial service.

Each of such four persons should have been a Judge of the Supreme Court or a Chief Justice of a High Court. The remaining 50 percent of the Lokpal should be filled by persons from the SOS, the STs, the OBCs, the minorities and women.

The chairperson and the members of the Lokpal shall be appointed after obtaining recommendations from the selection committee headed by the Prime Minister. The president appoints the chairperson and the members of the Lokpal. Such appointees hold office for a period of five years or until they attain the age of 75, whichever is earlier.

13.5 Powers and Functions of the Lokpal

Though the powers and functions of the Lokpal are not spelt out under any heading together, they are spread over the various sections of the Lokpal Act. The following are some of the powers and functions of the Lokpal, the highest body, under the Lokpal Act of 2014.

- i) **Power of appointment :** The Lokpal appoints the secretary for the administration, the director of the inquiry wing, the director of prosecution wing, the officials and the staff of the Lokpal, the members of the benches and of the special court of the Lokpal.
- ii) **Overall Direction and Supervision of three Wings :** The secretary for administration, the director of the inquiry wing, and the director of the prosecution wing work under the overall direction and supervision of the Lokpal.
- iii) **Overall financial Supervision :** The Lokpal has overall supervision over the financial administration of its organisation. The annual budget is submitted to the central government on behalf of the Lokpal.
- iv) **Financial appellate authority :** The Lokpal is the final authority in respect of the redressal of Public grievances.
- v) **Specific role in Prime Ministers case :** The Lokpal has to play a specific role in conducting an inquiry into the charges of corruption against the Prime Minister.

The Lokpal will have the power of superintendence and direction over any investigation agency including CBI for cases referred to them by the ombudsman. As per the act, the Lokpal can summon or question any public servant if there exists a prima facie case against

the person, even before an investigation agency (such as vigilance or CBI) has begun the probe. Any officer of the CBI investigation a case referred to it by the Lokpal, shall not be transferred without approval of the Lokpal

An investigation must be completed within Six months. However, the Lokpal or Lokayukta may allow extensions. Six months at a time provided the reasons for the need of such extensions are given in writing Special courts will be instituted to conduct trials on cases referred by Lokpal. The Lokpal can charge fine upto Rs. 2 Lakh for false, frivolous and vexatious complaints.

13.6 Expenses of the Lokpal to be Charged on the Consolidated Fund of India

Section 13 under chapter V States that the administrative expenses of the Lokpal, including all salaries, allowances and pensions payable to the chairperson, the members, the secretary, other officials and the staff of the Lokpal shall be charged on the consolidated fund of India. Expenses charged on the consolidated fund of India are subject only to discussion but not subject to votings in the parliament. Fees and other amount collected by the Lokpal shall form part of the consolidated fund of India.

Miscellaneous Matters

Sections from 48 to 62 under chapter XV deal with miscellaneous matters. A few of them are listed below :

i) Annual report to the president :

Section 48 states that the Lokpal shall present an annual report to the president of India on the work performed by it. On the receipt of such report of the president shall cause a copy of the report with a memorandum of suggestions from the Lokpal to be laid before each house of Parliament.

ii) Lokpal is the final appellate authority :

Section 49 states that the Lokpal is the final appellate authority with respect to the redressal of public grievance regarding findings of corruption charges under the Prevention of Corruption Act of 1988.

iii) Lokpal - all are public servants :

Section 52 states that the chairperson, the members and other employees of the Lokpal are deemed to be public servants under section 21 of the Indian penal code.

iv) No Complaint after expiry of Seven years :

Section 53 says that the Lokpal shall not inquire into or investigate any complaint if the complaint is made after the expiry of a period of seven years from the date on which the offence mentioned in such a complaint is alleged to have been committed.

v) No civil court Jurisdiction :

Section 54 says that no civil court shall have jurisdiction with regard to any matter for which the Lokpal is empowered to decide the Lokpal Act.

13.7 Conclusion

The Institution of Lokpal has tried to bring a much needed change in the battle against corruption in the administrative structure of India, but at the same time, there are Loopholes and Lacunae which need to be corrected. Lokpal is not free from political influence as the appointing committee itself consist of members from political parties. The appointment of Lokpal can be manipulated in a way as there is no criterion to decide who is an 'eminent Turist' or 'a person of integrity'. The biggest lacuna is the exclusion of judiciary from the ambit of the Lokpal. The Lokpal is not given any constitutional backing and there is no adequate provision for appeal against the Lokpal.

In order to tackle the problem of corruption, the institution of the ombudsman should be strengthened both in terms of functional autonomy and availability of manpower. Lokpal appointment must be done transparently so as to minimize the chance of the wrong sorts of people getting in.

13.8 Summing up

- The basic idea of a Lokpal Bill is to tackle corruption at the higher echelons of power to create a just and honest work culture.
- The idea is borrowed from the office of ombudsman in Scandinavian countries, where an ombudsman is a person who acts as a trusted intermediary between an organization and some internal or external constituency while representing not only but mostly, the broad scape of constituent interests.
- The bill's supporters consider existing laws too weak, full of contradictions and insufficiently empowered to combat corruption. On the other hand critics of the Jan Lokpal Bill argue that the bill attempts to supercede existing constitutional bodies and attempts to create a super-institution with sweeping powers, which can be dangerous for the future of democracy.

13.9 Probable Questions

Essay Type Questions

- 1) What is Lokpal and what is its importance?
- 2) Discuss the for Lokpal Bill in present Democratic System in India.
- 3) Discuss the advantages of Lokpal Act.
- 4) What are the short commings of Lokpal Act?
- 5) What are the main powers and functions of the Lokpal?

Short Questions

- 1) What is Lokpal?
- 2) What is the importance of Lokpal?
- 3) Discuss the composition of Lokpal.

Objective Questions

- 1) In which year was Lokpal and Lokayukta bill passed?
- 2) Who coined the term 'Lokpal'?
- 3) Who appoints the Chairman and other members of Lokpal?
- 4) What is the full form of CBI?
- 5) In which year was Prevention of Corruption Act passed?

13.10 Further Reading

1. Justice P. S. Narayana - *The Lokpal and Lokayuktas Act*.
2. M. V. Kamath and Gyatri Pagai - *Corruption and the Lokpal Bill*.
3. S. H. Patil, *The Constitution, Government and Politics in India* - Vikas Publishing House Pv. Ltd.

Unit 14 □ Citizens' Charters

Structure

- 14.1 Objective**
- 14.2 Introduction**
- 14.3 The Citizens' Charters**
- 14.4 Importance of Citizens' Charters**
- 14.5 Conclusion**
- 14.6 Summing up**
- 14.7 Probable Questions**
- 14.8 Further Reading**

14.1 Objective

After studying this unit, the learners will be able to

- know the basic objective of Citizens' Charter.
- understand in any nation, there is a need of good governance for sustainable development. The three major aspects highlighted in good governance are transparency, accountability and responsiveness of the administration.
- know that citizens charter initiative is a response to the mission for solving the problems which a citizen meets, day in and day out, while dealing with the organisations providing public services.

14.2 Introduction

It has been recognised World over that good governance is essential for sustainable development, both economic and social. The three essential aspects emphasised in good governance are transparency, accountability and responsiveness of the administration. Citizens' charters initiative is a response to the quest for solving the problems which a citizen encounters day in and day out, while dealing with the organisations providing public service.

The concept of Citizens\charters enshrines the trust between the service provider and its users. The concept was first articulated and implemented in the United Kingdom by the

conservative Government of John Major in 1991 as a National Programme with a simple aim to continuously improve the quality of public service for the people of the country so that these services respond to the needs and wishes of the users. The programme was relaunched in 1998 by the Labour Government of Tony Blair which rechristened its services first.

14.3 The Citizens' Charters

The citizens' Charter is an instrument which seeks to make an organisation transparent, accountable and citizen friendly. The aim of Citizens' Charter was to ensure that public services made responsive to the Citizens they serve a Citizens' Charter is basically a set of commitments made by an organization regarding the standards of service which it delivers. It is a public statement that defines the entitlements of Citizens to a specific service, the standards of the service, the conditions to be met by users, and the remedies available to the latter in case of non-compliance of standards. The charter concept empowers the Citizens in demanding committed standards of service. Thus, the basic thrust of the charter is to make public services Citizen centric by ensuring that these services are demand driven rather than supply driven.

Citizens' Charter is a document which represents a systematic effort to focus on the commitment of the organisation towards its Citizens in respect of standard of services information choice and consultation, Non discrimination and accessibility, grievance redress, courtesy and value for money. This also includes expectations of the organisation from the citizen for fulfilling the commitment of the organisation.

The Citizens' Charter, when introduced in the early 1990s represented a landmark shift in the delivery of public services. The emphasis of the citizens' charter is on citizens as customers of public services. So far 111 central ministries / departments / organizations have formulated Citizens' Charters in India.

14.4 Importance of Citizens' Charters

- 1) To make administration accountable and citizen friendly.
- 2) To ensure transparency.
- 3) To make measures to improve customer service.
- 4) To adopt a stakeholder approach.
- 5) To save time of both Administration and the Citizen.

Department of Administrative Reforms and public grievances in Government of India initiated the task of Co-ordinating, for meulating and operationalising Citizens\ Charters.

Guidelines for formulating the charters as well as a list of do's and don'ts were communicated to various government departments, organisations to enable them to bring out focused and effective charters.

For the formulation of the charters' the government agencies at the Central and State levels were advised to constitute a taks force with representation form users, senior management and the cutting edge staff.

Till April, 2006, 111 Citizens' Charters had been articulated by the Central Government Ministries/ Departments / Organisations and 668 Charters by various agencies of State Governments and Administrations of Union Territories. Most of the National Charters are posted on the Government's websites and are open to public scrutiny.

The Salient features of a Citizen's Charters are :

- a) Standards : The Charter should layout explicit standards of service delivery so that users understand what they can reasonably expect from service providers. These standards should be time bound, relevant, accurate measurable and specific.
- b) Information and Openness: A key attribute of good service is the availability of relevant and concise information to the users at the right time and at the right place. The Charters should contain, in plain language, full and accurate information about services available, available channels for grievance redressal etc. Handbooks, Guides, Posters, Websites are some of the channels through which information can be provided to Citizens.
- c) Choice and Consultation : The Charter should provide choice of services to users wherever practicable. There should be regular and systematic consultation with the users of the service to fix service standards and to ascertain quality of service delivery.
- e) Courtesy and helpfulness : The Charter can help embed a culture of courtesy and helpful service from public servants. In addition, small initiatives such as 'name badges', 'May I help you", counters etc. can go a long way in building customer confidence.
- d) Grievance Redressal and Complaints Handling : There is a strong link between the provision of quality service and effective handling of complaints. firstly, by facilitation and responding to complaints, the causes for complaint can be reduce. Secondly, by identifying trends in complaints the service provider can resolve systemic and recurring problems.

Deficiencies in the Existing Citizens, Charters :

- 1) Lack of awareness and knowledge and inadequate publicity, hence loss of trust among service seekers.
- 2) No training to the operative and supervisory staff.
- 3) Lack of infrastructure and initiative.
- 4) Hierarchy gap between the officers and the operative staff need of team effort.
- 5) Different mind sets of officers and the staff insensitiveness on the part of the supervisors and the staff because they are yet to be sensitized.
- 6) Staff is not prepared to shoulder the responsibility due to lack of motivation and accountability.
- 7) Non-revision, complicated and restrictive rules and procedures.

14.5 Conclusion

Thus, Citizens' Charter is an essential tool to ensure that the Citizen is always the priority of any service delivery mechanism. It indirectly strengthens the protection of fundamental rights by making those rights more visible and more explicit for citizen through its provisions of course much more room for improvement is still there.

14.6 Summing up

- A Citizens' Charter denotes the promise of an organisation towards standard, quality and time frame of service delivery, grievance redressal mechanism, clearness and accountability.
- Based on the foreseen expectations and aspirations of public, Citizens' Charters are to be drawn up with care and concern for the concerned service users.
- They allow the service seekers to avail the services of the government departments with minimum inconvenience and maximum speed.

14.7 Probable Questions

Essay Type Questions

- 1) What is Citizens' Charter? Why is the Citizens' Charter important?
- 2) Discuss the features and challenges of Citizens' Charter.

- 3) What are the significance of Citizens' Charter? What are its limitations?

Short Type Questions

- 1) What is Citizens' Charter?
- 2) What are the main limitations of Citizens' Charter?
- 3) What is the objective of Citizens' Charter?
- 4) Why is Citizens' Charter important?
- 5) What are the Six Principles of Citizens' Charter?
- 6) Is Citizen Charter legally enforceable?

Objective Questions

- 1) In which country was the concept of Citizens' Charter first implemented?
- 2) Is there any Act regarding Citizens' Charter in India?
- 3) In which year was Citizens' Bill brought in Parliament?
- 4) Which administrative Reform Commission pointed out the flaws in the Citizens' Charter in India?
- 5) Who wrote the book, "Public Administration in a Globalizing World- Theories and Practices"?

14.8 Further Reading

1. Bidyut Chakrabarty and Prakash Chand, *Public Administration in a Globalizing world - Theories and Practices* - Sage Publication.
2. IGNOU, *Citizen and Administration, Administration Theory*, New Delhi, IGNOU
3. Bhattacharya, Mohit - 2008, *New Horizons of Public Administration*, New Delhi, Jawahar Publishers and Distributors.

Unit 15 □ E-Governance

Structure

- 15.1 Objective**
- 15.2 Introduction**
- 15.3 E-Governance**
- 15.4 Initiatives Taken for E-Governance in India**
- 15.5 Benefits or Outcomes of E-Governance**
- 15.6 Challenges to E-Governance**
- 15.7 Conclusion**
- 15.8 Summing up**
- 15.9 Probable Questions**
- 15.10 Further Reading**

15.1 Objective

After studying this unit, the learners will be able to

- understand what is better service delivery to Citizens.
- have an idea about transparency and accountability in service delivery
- understand how to empower people through information.
- know how efficiency is ensured within Government.
- know how to improve interface between business and industry.

15.2 Introduction

e-Governance is in essence, the application of Information and Communication Technology to government functioning in order to create 'Simple, Moral, Accountable, Responsive and Transparent (SMART) governance. In its report on e-governance the Second Administrative Reforms Commission (ARC) has tried to analyse the success and failures of e-Governance initiatives in India and at the global level, in order to extrapolate the best practices, key reform principles and recommendations that can help the government to implement a new paradigm of governance in the Country. This new paradigm would

focus on the use of Information Technology to bring public services to the doorsteps of our Citizens and business on the basis of revolutionary changes in our institutional structures, procedures and practices that would transform the relationships between our three Levels of Government, our business and our Citizens.

The revolution in Information and Communications Technology (ICT) has brought a whole new agenda for governance into the realm of possibility. e-Governance comprises decisional processes and the use of ICT for wider participation of citizens in public affairs. Citizens are participants in e-governance. The Purpose of implementing e-governance is to improve governance processes and outcomes with a view to improving the delivery of public services to citizens.

15.3 E-Governance

E-Governance originated in India during the 1970s with a focus on in-house government applications in the areas of defense, economic monitoring, planning and development of ICT to manage data intensive functions related to elections, census Tax administration etc.

Initial Steps Taken :

The establishment of the Department of Electronics in 1970 was the first major step toward e-governance in India as it brought information and its communication to focus.

National Informatics Centre (NIC) established in 1977, launched the District Information System Program of Computerize all district offices in the Country. The main thrust for e-governance was provided by the launching of NICNET in 1987 - the National Satellite based Computer Network.

Different Connotations of e-Governance

e-Administration : The use of ICTs to modernize the State, the Creation of data repositories for Management Information System (MIS) and computerization of records (Land, Health etc.)

e-Services : The emphasis here is to bring the state closer to the Citizens. For example, provision of online services.

e-Administration and e-Services together constitute what is largely termed as e-government.

e-Governance : The use of It to improve the ability of the government to address the needs of Society. It includes the publishing of policy and program related information to transact with citizens.

It extends beyond the provision of online services and covers the use of it for strategic planning and reaching the development goals of the government.

e-Democracy : The use of it to facilitate the ability of all sections of society to participate in the governance of the State.

Emphases is on bringing transparency, accountability and participation of people. It includes online disclosures of policies, online grievance redressal, e-referendums etc.

15.4 Initiatives Taken for E-Governance in India

Program

- i) Bhoomi Project (Karnataka) online Delivery of Land Records.
- ii) Khajane (Karnataka) End to end automation of Government Treasury system.
- iii) e-Seva (Andhrpradesh) designed to provide government services to citizens.
- iv) e-Courts - aims at utilization technology for improved provisioning of judicial services to Citizens.
- v) e-District
- vi) e-Office etc.

15.5 Benefits or Outcomes of E-Governance

The ICT based e-governance has ushered in a new era in government innovations with capacities to

- a) Reduce the cost of the government,
- b) increase citizens' input into government.
- c) improve public decision - making and

d) increase the transparency of government transactions. The object of e-governance is to arm the Citizens to act as watch to government' in view of these well-defined functional characteristics, the governance is also a very meaningful step towards combating corruption. By reducing discretionary powers it curbs opportunities for arbitrary action. It also empowers the Citizens by making their intervention in the transactions of governmental business regular through ICT. The project e-Sewa (Service that began in West Godavari District of Andhrpradesh). India is a good example to cite here. The project is a tool 'to bridge the digital divide in the rural areas' through

extensive use of information technology ' for providing access to various citizen to Citizen and Citizen to government services to the people in rural areas'. Managed by a women's self help group, the project is a class by itself as it enables 'the local women - participants' to emerge as; information leaders, who remain critical in realizing the goal of e-sewa (Chakraborty and Bhattacharya 2008 : 53)

15.6 Challenges to E-Governmence

- Infrastructure : Lack of basic infrastructural facilities like electricity, internet etc.
- Initiatives like Bharat Net and Saubhagya are steps taken in this regard.

Cost : e-Governance measures are costly affairs and require huge public expenditure. In developing countries like India, the cost of projects is one of the major impediments in the implementation of e-governance.

Privacy and Security : Recent spark in data leak cases has threatened the peoples' faith in e-governance. Therefore, the implementation of e-governance projects must have security standards and protocols for safeguarding the interest of all classes of masses.

Digital Divide : Huge gap between users and non-users of e-governance cases. The digital divide takes form in rich-poor, male-female, urban-rural etc. segments of the population. The gap needs to be narrowed down, then only the benefits of e-governance would be utilized equally.

Suggestions

A hybrid approach needs to be adopted for enhance interoperability among e-governance applications which will encompass a centralized approach for document management, knowledge management, file management, grievance management etc. The e-governance initiatives in rural areas should be taken identifying and analyzing the grassroots realities.

The government should also focus on devising appropriate feasible distinct and effective capacity building mechanisms for various stakeholders viz - bureaucracy, rural masses urban masses, elected representatives etc.

Cloud computing is also becoming a big force to enhance the delivery of services related to e-governance. Cloud computing is not only a tool for cost reduction but also helps in enabling new services improving the education system and creating new jobs / opportunities. e-governance through regional languages, is appreciable for the nations like India where people from several linguistic backgrounds are the participants.

15.7 Conclusion

E-governance is getting momentum in India, but public awareness and the digital divide are important issues to be addressed.

The success of e-governance measures largely depends on the availability of high-speed internet and the nation-wide roll out of 5G technology in the near future will strengthen our resolve.

15.8 Summing up

- E-governance is about a process of reform in the way governments work sharing information and delivering services to internal and external clients. Specifically e-government harnesses information and communication technologies such as the internet the web, and mobile phones to deliver information and services to citizens and businesses.

- E-governance thus provides citizens the ability to obtain government services through electronic means, enabling access to government information and completion of government transactions on and any where anytime basis.

- The idea is simply to create the capability for providing citizen's access to government departments through electronic networks. Thus, through E-governance, the aim of SMART governance is achieved.

15.9 Probable Questions

Essay Type Questions

- 1) What are the main objectives of E-governance? Discuss the importance of E-governance.
- 2) Discuss the significance of E-governance.
- 3) Discuss the main challenges of E-governance.
- 4) What is the difference between E-government and E-governance?
- 5) Why is E-governance important?

Short Questions

- 1) What is E-governance?
- 2) What are the four pillars of E-governance?
- 3) When did E-governance start?
- 4) What are the advantages of E-governance?

- 5) Discuss some models of E-governance.

Objective Questions

- 1) What is full form of 'SMART'?
- 2) What is mean by 'e' in e-Government?
- 3) What is full form of ICT?
- 4) When did E-Governance originate in India?
- 5) In which year was National Informatics Centre (NIC) established in India?

15.10 Further Reading

1. <https://en.wikipedia.org/wiki/e-governance>
2. Meghashyam A. Srinivas - *e-governance Issues and Challenges*.
3. Bidyut Chakraborty and Prakash Chand, SAGE, *Public Administration in a Globalizing World*

MODULE – 2

Unit 6 □ Concept and Significance of Budget

Structure

- 6.1 Objective**
- 6.2 Introduction**
- 6.3 Meaning of Budget**
- 6.4 Definitions of Budget**
- 6.5 Features of Budget**
- 6.6 Significance of Budget**
- 6.7 Conclusion**
- 6.8 Summing up**
- 6.9 Probable Questions**
- 6.10 Further Reading**

6.1 Objective

After studying this unit, the learners will be able to

- understand the concept of budget
- understand the importance of budget
- understand the significance and different features of budget
- understand the financial position of the government

6.2 Introduction

The Annual Financial Statement or the Statement of the Estimated Receipts and Expenditure of the Government of India in respect of each financial year is popularly known as the Budget.

The word 'budget' sprung up in Latin America. It was derived from the word 'bulga' which means a little pouch or knapsack. This is believed to have gotten its existence from a Gaulish source that's connected to the Irish bolg, that is, 'bag'. This was introduced in the English language in the fifteen century after it was shortened from bougette to bouge in French. It just meant a pouch, wallet or a bag in English at first.

Towards the last quarter of the sixteenth century, it came to mean the subject matter of a budget as well as any object that can be used to hold things. Masses began using this word not in a literal way but as bulk news, or a spun out letter full of news and the word got included in several inoperative British newspapers, such as the 'Pall Mall Budget'. The association of the word budget with finance became apparent in 1733, as a consequence of a pamphlet entitled, "'The Budget Opened' an attack directed at Sir Robert Walpole". 'The budget is opened...' meaning that the government minister-in-charge of arranging the finances of the nation had opened his budget or wallet to reveal his financial proposals. It may have also meant 'to speak one's mind'.

The term first came into use in England in about 1760. The word 'budget' came to mean what it means today only in 1880s. In the UK, the Chancellor of the Exchequer usually in April, lays before the House of Commons a statement of the actual results of receipts and expenditure in the preceding fiscal year. This statement would highlight the extent of the actualization of these estimates and on the other hand, if there has been deficit or surplus finally.

6.3 Meaning of Budget

A budget is a statement of a fiscal blueprint. It states the estimated revenue and expenditure for a given length of time. A budget indicates its goal through its projections. It is instrumental in assessing performance and achieving its pre-set aims. It has been observed all over the world that a budget is generally prepared by the executive and gets it ratified by the Legislature.

6.4 Definitions of Budget

Henry Higgs

It is an approximate calculation of the revenues and expenditure of the given financial year.

H.F. Willoughby

Budget, if merely an estimate, would not be the master problem of Public Administration.

Thomas D. Lynch

The one common subject in any budget discussion is money. Other subjects are important but they are mentioned in relationship to money or are translated into money.

Leroy Beaulieu

A budget is a statement of the estimated receipts and expenses during a fixed period, it is a comparative table giving the amounts of the receipts to be realized and of the expenses

and to collect the revenues. It means a budget consists of an analysis of sums of money as revenue to be collected in future for a fixed period of time and on the other hand the expected expenditure for the same period.

Rene Stourm

Budget is a document containing a preliminary approved plan of public revenues and expenditures.

G. Jeze

Budget is a forecast and an estimate of all the public receipts and expenses and for certain expenses and receipts, an authorization to incur them and to collect them.

Harold R. Bruce

Budget is a financial statement, prepared in advance of the opening of a fiscal year, of the estimated revenues and proposed expenditures of a given organization for the assuming fiscal year.

Dimock

A budget is a financial plan summarizing the financial experience of the past, stating a current plan and projecting it over a specified period of time in future. Dimock has termed budget as a financial plan, which states an abridged version of the past performance, present plan, and future plan for a fixed period.

Wildavsky

A budget may serve diverse purposes and can be a political act, a plan of work, a prediction, a source of enlightenment, a means of complication, a mechanism of control, an escape from restrictions, a means to action, a brake on progress, even a prayer that the powers that he will deal gently with the best aspirations of fallible men.

A.E. Buck

He speaks of three vital essentials in a budget: (i) a fiscal plan (ii) a process for formulating, authorizing, executing and controlling the plan, and (iii) some law-making authority responsible for each consecutive condition in this process.

The French Public Accounting Law

The budget is a document which forecasts and authorizes the annual receipts and expenditures of the State and of the other branches of service which by virtue of the law are subject to the same rules and regulations. This means that a budget gives a futuristic plan, gives an yearly receipt and expenditure of a state under a uniform code of law.

W.F. Willoughby

W.F. Willoughby criticised most of these definitions because of the following two

reasons: They do not mention that the budget should contain facts regarding past operations, present conditions as well as proposals for the future. They do not distinguish between the Budget and Revenue Act and Appropriation Act, representing as the Acts of the Legislature. According to W.F. Willoughby, 'The budget is something much more than a mere estimate of revenue and expenditures. It is or should be at once a report, an estimate and a proposal. It is, or should be, a document through which the Chief Executive comes before the fund-raising and fund-granting authority and makes full report regarding the manner in which he or his subordinates have administered affairs during the last completed year. He exhibits the present condition of treasury and on the basis of such information sets forth his programme of work for the year to come and the manner in which he proposes that such work should be financed'. He stated that a budget comprises of three components: A declaration of amount of money needed to carry out governmental activities during a specific period of time to which such estimate is concerned; A declaration of tentative income from estimated receipts of the expected income from receipts and loans based on the present laws with respect to dues to be recovered from public and credit procedures. A declaration indicating status of treasury in terms of assets and liabilities. These components are then integrated into a simple document showing the relationship between the current as well as the estimated revenue and expenditure and the receipts and disbursements. Budgeting, therefore, involves the following: preparation of the estimates; collection and custody of funds; disbursements and control of expenditure and recording of all the transactions whose lawfulness and regularity are duly checked and reported to the Legislature by an independent audit.

6.5 Features of a Budget

Aaron Wildavsky says budgeting is translating financial resources into human purposes. Behind currencies stand human limitations. Unless nations possess an alchemist's stone for turning base metals into gold, resources are limited but human desires are not. Hence, some way must be found to apportion available funds among competing people and purposes. Behind every government budget—which necessarily takes revenues from some citizens and distributes them to others—lies conflict. Given the infinite variety of human desires, the budget of a government can never be just one thing, it must be many.

A budget is a record of the past. Victories, defeats, bargains, and compromises over past allocations are reflected in the items included and, by inference, those left out. A budget is also a statement of the future; it links proposed expenditures with desirable future events. Budget, therefore, must be plans; they try to determine future state of affairs through a series of current actions. Hence, budgets also are predictions; they specify connections

between words and numbers on the budget documents and future human behaviour.

After going through the meaning and various definitions of budget, characteristics of a budget can be summarized as follows:

1. **Systematic Plan:** Since budget is a plan or a programme, framed on the basis of previous fiscal years' experience, it must be systematic and organized, ready for execution. This financial plan must also consider the economic, political or the social policy of the government of the country in question.
2. **Scheme for Action:** The budget, in almost all countries gets presented by the executive government and passed by the legislative government. Unless the budget is passed, the budget proposal is meaningless as the proposals are, in truth, schemes for action. Suppose it is proposed in the budget to have a 1000 crore project to open primary schools in rural areas, the proposal will not gain credence and the scheme shall fail unless this proposal is sanctioned by the legislative part of the government.
3. **Gap between Estimates and Actual:** When a budget proposal is presented, there is usually a lot of gaps between the estimates and actuals of expenditure. Accuracy, therefore, must be achieved to lessen this gap otherwise the relevance of estimates will be meaningless.
4. **Annual Plan:** Mostly, budget is an annual plan, although, sometimes it extends over a year. As A.E. Buck explains that the time period of one year is just right for precise estimation and on the other hand, it will not take up excessive parliamentary session in the consideration of the budget.
5. **Parliamentary Section:** In a parliamentary democracy, the budget is put before the Legislature for legislative action.
6. **Comprehensive Plan of Action:** According to P.J.J. Pinto comprehensiveness means that the budget is a consolidated statement expressing fiscal needs of the government of income or expenditure connected to the past experience or the present problems or the future estimates. As given in the Encyclopedia of the Social Sciences, 'The most important feature of a budget is comprehensiveness. It must assemble, in one consolidated statement, all facts, regarding:
 - expenditures and revenues, past and prospective;
 - the actual financial condition of the treasury and the condition of the treasury as it will be if the proposals contained in the budget are put into execution;
 - must be presented by means of balanced statements, so that the relations between past action and proposals for the future, between revenues and

expenditures and between resources and obligations may be clearly seen.

Thus, the budget presents the whole problem of financing the government at one time and focuses Legislative attention on the relation of the total expenditure needs to the total prospective revenues.

- 7. Budget Presented by the Executive:** Usually the budget is prepared and presented by the executive government. No private member can present a budget in the Legislature.

6.6 Significance of Budget

In all democratic countries, the budget has been a dominant policy document. It is not only the main instrument for implementing government activities but also used extensively to regulate and influence economic and social activities in the private sector of mixed economies. A budget is a work plan and an evaluation tool that gives direction to the implementation of public policies and programmes. Hence is the need of budget to carry out multifarious activities of the government. Budget is the vital aspect of financial administration and since it operates within the limits of legislative authorization, the executive is responsible for legal and financial accountability to the legislature. Admittedly budget has commanded a dominant position in the scheme of governance. The budget system today not only provides the legislature to have an over-all control over the revenue collected and expenditure incurred by the executive, but it also becomes an important means for evaluating the progress of various government projects and schemes. A budget gives the direction in which government intends to go in the near future, usually in the next fiscal year. Emphasizing the need and importance of budget, Bridges (1964) says, "Whatever else a Government may or may not do, one thing it cannot avoid doing each year if it is to continue to exist, and that is to obtain the authority of Parliament to raise revenue to meet expenditure which is done by the Budget and the accompanying Finance Bill". Recognizing the important place of budgeting in administration, a Study Group of the Royal Institute of Public Administration (1959) observes: "In all organizations, however, budgeting can assist management at every level in several ways. In the first place, it helps in making reviewing policy, by encouraging comprehensive forward-looking planning and decision making and providing both the information and the occasions for regular reviews of plans and prospects for the future. Secondly, it supplies yardsticks against which the actual results can be judged, thus helping to assess their significance and results can be judged, thus helping to assess their significance and decide what action may be called for in consequence. A budget can be used in both these ways, whether it relates to income and expenditure on revenue account, capital expenditure, or finance and cash transactions". In brief, budget has acquired great dimension

not only from the constitutional point of view to assert legislative control over executive, but also administratively it has become an important aid to management, both for policy-making and for keeping check on its execution. Indeed, it is the heart of administrative management. It also serves as a powerful tool of coordination, and negatively, an effective device of eliminating wasteful financial expenditure.

6.7 Conclusion

A public sector budget is used as an instrument to allocate public resources toward achieving some public value. Each government wants to undertake several economic and non-economic activities and pursue certain policies which have their financial counterparts as receipts. A budget includes financial accounts of the preceding year and the budget estimates for the forthcoming year. In addition, the estimates for the forthcoming years are split up into two parts, those based on assumption that existing taxes and their rates would continue and those based upon the proposed changes in them. The word 'budget' is frequently used in books of Financial Administration but there is no general agreement regarding its exact significance. As the government's share of the total economy grows, the voter holds elected representatives responsible for overall budget, the budget deficit and the general performance of the economy. Government functions, policies and programmes will fail and carry no meaning without adequate budgetary provision. And the basis for government budget is public finance, or revenues raised by government which are then allocated to fund public policies and programmes. A general or special fund, therefore, comes from the public budget which is composed of revenues raised by government through its taxation rate (goods and services) and borrowing decisions. The principal justification for this arrangement is that funds allocated through budget for specified government functions and policies, which are so vital that they must be protected by law from political vagaries.

6.8 Summing up

- A budget is a statement of a fiscal blueprint. It states the estimated revenue and expenditure for a given length of time. A budget indicates its goal through its projections. It is instrumental in assessing performance and achieving its pre-set aims.
- It has been observed all over the world that a budget is generally prepared by the executive and gets it ratified by the Legislature.
- Budget is used as an instrument to allocate public resources toward achieving some

public value.

- A budget is a work plan and an evaluation tool that gives direction to the implementation of public policies and programmes.
- Budgeting is translating financial resources into human purposes.
- Budget must be plans; they try to determine future state of affairs through a series of current actions.
- The budget system today not only provides the legislature to have an over-all control over the revenue collected and expenditure incurred by the executive, but it also becomes an important means for evaluating the progress of various government projects and schemes. A budget gives the direction in which government intends to go in the near future.

6.9 Probable Questions

Essay Type Question:

1. What is public budgeting?
2. Discuss the significance and role of budget.
3. What are the important characteristics of budget?

Short Questions

1. Mention now advantages of budget.
2. What is public budgeting in India?
3. Analyze the objectives of budget.

Objective Questions

1. In which country did the term 'Budget' come into use first?
2. "Budget, if merely an estimate, would not be the master problem of Public Administration"-Who said?
3. Who can present the budget in parliament?
4. Who is the author of the book, "The Financial System of India"?
5. Which organ of the government is required to approve of the budget in a parliamentary democracy?

6.10 Further Reading

1. Chand, Gyan, *The Financial System of India*, Routledge Publishers, London, 1926.
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Unit 7 □ Budget Cycle in India

Structure

- 7.1 Objective**
- 7.2 Introduction**
- 7.3 Presentation of Budget**
- 7.4 Distribution of Budget Papers**
- 7.5 Discussion on the Budget**
- 7.6 Discussion on Demands for Grants**
- 7.7 Cut Motions and its Objectives**
- 7.8 Appropriation Bill**
- 7.9 Finance Bill**
- 7.10 Conclusion**
- 7.11 Summing up**
- 7.12 Probable Questions**
- 7.13 Further Reading**

7.1 Objective

After studying this unit, the learners will be able to

- understand the process of budgeting in India
- explain the preparation of budget
- understand budgetary control systems
- understand the role of parliament and executive in the preparation, enactment and execution of budget

7.2 Introduction

Every year the Department of Economic Affairs in the Ministry of Finance prepares the Union Budget which is presented by the Finance Minister. The Union Budget is an annual financial statement which encapsulates the estimated earnings from revenues and estimated

expenditures of the government during a particular fiscal year. It establishes a financial roadmap for the country in the ensuing financial year. There are several steps involved in the preparation, presentation and implementation of the the Union Budget. Here are five essential steps involved in the development of the Union Budget: The initial processes, Accumulation and Authorization of data, Composing the Budget, Printing the Budget and Presenting the Budget.

7.3 Presentation of Budget

Till 2016, the Budget was presented to Lok Sabha in two parts, namely, the Railway Budget pertaining to Railway Finance and the General Budget which gave an overall picture of the financial position of the Government of India, excluding the Railways. Since the year 2017-18, with the merger of the Railway Budget with the General Budget, a single document titled 'Union Budget' is presented by the Minister of Finance.

The Budget is presented to Lok Sabha on such day as the President may direct. Immediately after the presentation of the Budget, the following three statements under the Fiscal Responsibility and Budget Management Act, 2003 are also laid on the Table of Lok Sabha: —(i) The Medium Term Fiscal Policy Statement; (ii) The Fiscal Policy Strategy Statement; and (iii) The Macro Economic Framework Statement. In 2019, however, only two statements, namely: (a) Medium Term Fiscal Policy cum Fiscal Policy Strategy Statement and (b) Macro-Economic Framework Statement were laid. Simultaneously, a copy of the Budget is laid on the Table of Rajya Sabha. In an election year, the Budget may be presented twice—first to secure a Vote on Account for a few months and later in full.

7.4 Distribution of Budget Papers

The sets of Union Budget are distributed to members from several booths in the Inner and Outer Lobbies arranged according to the Division Numbers of members. In case, Division Numbers have not been allotted, these booths are arranged State-wise. The budget papers are made available to members after the Finance Minister's speech is over, the Finance Bill has been introduced and the House has adjourned for the day.

7.5 Discussion on the Budget

No discussion on Budget takes place on the day it is presented to the House. Budgets are discussed in two stages—the General Discussion followed by detailed discussion and voting on the demands for grants.

Allotment of Time for Discussion

The whole process of discussion and voting on the demands for grants and the passage of the Appropriation and Finance Bills is to be completed within a specified time. As a result, often the demands for grants relating to all the Ministries/Departments cannot be discussed and demands of some Ministries get guillotined i.e. voted without discussion. The Minister of Parliamentary Affairs, after the presentation of the Budget, holds a meeting of leaders of Parties/ Groups in Lok Sabha for the selection of Ministries/ Departments whose demands for grants might be discussed in the House. On the basis of decisions arrived at this meeting, the Government forwards the proposal for the consideration of the Business Advisory Committee. The Business Advisory Committee after considering the proposal allots time and also recommends the order in which the demands might be discussed. It is generally left to the Government to make any change in the order of discussion.

After the allotment of time by the Business Advisory Committee, a time table showing the dates on and order in which the demands for grants of various Ministries would be taken up in the House is published in Bulletin-Part II for the information of members.

General Discussion on the Budget

During the General Discussion, the House is at liberty to discuss the Budget as a whole or any question of principles involved therein but no motion can be moved. A general survey of administration is in order. The scope of discussion is confined to an examination of the general scheme and structure of the Budget, whether the items of expenditure ought to be increased or decreased, the policy of taxation as expressed in the Budget and in the speech of the Finance Minister. The Finance Minister or the Railway Minister, as the case may be, has the general right of reply at the end of the discussion.

Consideration of the Demands for Grants by Department-Related Standing Committees of Parliament

With the creation of Departmentally Related Standing Committees of Parliament in 1993, the Demands for Grants of all the Ministries/Departments are required to be considered by these Committees. After the General Discussion on the Budget is over, the House is adjourned for a fixed period. During this period, the Demands for Grants of the Ministries/ Departments are considered by the Committees. These Committees are required to make their reports to the House within specified period without asking for more time and make separate report on the Demands for Grants of each Ministry.

7.6 Discussion on Demands for Grants

The demands for grants are presented to Lok Sabha along with the Annual Financial Statement.

These are not generally moved in the House by the Minister concerned. The demands are assumed to have been moved and are proposed from the Chair to save the time of the House. After the reports of the Standing Committees are presented to the House, the House proceeds to the discussion and voting on Demands for Grants, Ministry-wise. The scope of discussion at this stage is confined to a matter which is under the administrative control of the Ministry and to each head of the demand as is put to the vote of the House. It is open to members to disapprove a policy pursued by a particular Ministry or to suggest measures for economy in the administration of that Ministry or to focus attention of the Ministry to specific local grievances. At this stage, cut motions can be moved to reduce any demand for grant but no amendments to a motion seeking to reduce any demand is permissible.

7.7 Cut Motions and its Objectives

The motions to reduce the amounts of demands for grants are called ‘Cut Motions’. The object of a cut motion is to draw the attention of the House to the matter specified therein.

Cut Motions can be classified into three categories: —

- (i) Disapproval of Policy Cut;
- (ii) Economy Cut; and
- (iii) Token Cut.

Disapproval of Policy Cut: A cut motion which says “That the amount of the demand be reduced to Re. 1” implies that the mover disapproves of the policy underlying the demand. The member giving notice of such a Cut Motion has to indicate in precise terms the particulars of the policy which he proposes to discuss. Discussion is confined to the specific point or points mentioned in the notice and it is open to the member to advocate an alternative policy. **Economy Cut:** Where the object of the motion is to effect economy in the expenditure, the form of the motion is “That the amount of the demand be reduced by Rs.. (a specified amount)”. The amount suggested for reduction may be either a lump-sum reduction in the demand or omission or reduction of an item in the demand.

Token Cut: Where the object of the motion is to ventilate a specific grievance within the sphere of responsibility of the Government of India, its form is: “That the amount of the demand be reduced by Rs. 100”.

Discussion on such a cut motion is confined to the particular grievance specified in the motion which is within the sphere of responsibility of the Government of India.

For the facility of members, printed forms for giving notices of cut motions are kept in the Parliamentary Notice Office.

With effect from 18 July, 2016, Members can also table notices in electronic form through e-portal specially developed for the purpose.

Notice period for tabling Cut Motions

The notices of cut motions can be tabled after the presentation of Union Budget.

The notices of cut motions tabled up to 1515 hours on a day are printed and circulated before the day the relevant demands for grants to which they relate are to be taken up in the House. The notices tabled after 1515 hours are deemed to have been tabled on the next working day. These notices are printed and circulated on the next working day if the cut motions to the demands for grants to which they relate have not been moved in the House.

As cut motions are circulated to members both in English and Hindi simultaneously, the Rules Committee (Fourth Lok Sabha) at its sitting held on 9 March, 1970 decided that members might be requested to table such notices at least two days before the day they are to be taken up in the House.

Accordingly, members should table the notice of cut motions at least two days before the day the demands for grants to which they relate, are to be taken up in the House, but in any case not later than 1515 hours on the previous day. Admissibility of Cut Motions—
Conditions of

A cut motion to be admissible should satisfy the following conditions: —

- (1) It should relate to one demand only.
- (2) It should be clearly expressed and should not contain arguments, inferences, ironical expressions, imputations, epithets and defamatory statements.
- (3) It should be confined to one specific matter which should be stated in precise terms.
- (4) It should not reflect on the character or conduct of any person whose conduct can only be challenged on a substantive motion.

- (5) It should not make suggestions for the amendment or repeal of existing laws.
- (6) It should not relate to a State subject or to matters which are not primarily the concern of the Government of India.
- (7) It should not relate to expenditure 'Charged' on the Consolidated Fund of India.
- (8) It should not relate to a matter which is under adjudication by a court of law having jurisdiction in any part of India.
- (9) It should not raise a question of privilege.
- (10) It should not revive discussion on a matter which has been discussed in the same session and on which decision has been taken.
- (11) It should not anticipate a matter which has been previously appointed for consideration in the same session.
- (12) It should not ordinarily seek to raise discussion on a matter pending before any statutory tribunal or statutory authority performing any judicial or quasi-judicial functions or any commission or court of enquiry appointed to enquire into, or investigate any matter. However, the Speaker may in her/his discretion allow such matter being raised in the House as is concerned with the procedure or stage of enquiry, if the Speaker is satisfied that it is not likely to prejudice the consideration of such matter by the statutory tribunal, statutory authority, commission or court of enquiry.
- (13) It should not relate to a trifling matter.

The Speaker decides whether a cut motion is or is not admissible and may disallow any cut motion when in the opinion of the Speaker it is an abuse of the right of moving cut motions or is calculated to obstruct or prejudicially affect the procedure of the House or is in contravention of the Rules of Procedure of the House.

It is a well-established Parliamentary convention that cut motions seeking to discuss the action of the Speaker or relating to Speaker's Department or matters under the control of Speaker are not allowed. Likewise, cut motions relating to the office of the Vice-President (who is also ex-officio Chairman of Rajya Sabha) are not admissible. Cut motions relating to matters under consideration of a Parliamentary Committee are not admissible. Cut motions are not admissible if they ventilate personal grievances, or if they cast aspersions on individual Government officials. Cut motions seeking to discuss a matter affecting relations with a friendly foreign country or details of internal administration of an autonomous body are out of order as also those which seek omission of a whole grant.

Token cuts seeking to discuss inadequacy of provision in respect of a particular demand

are, however, in order. Normally members of ruling party do not table cut motions.

Circulation of Lists of Cut Motions

Lists of cut motions to the various demands for grants as admitted by the Speaker are circulated to members generally two days in advance of the date on which the demands for grants in respect of the Ministry are to be taken up in the House for discussion.

Moving of Cut Motions

At the commencement of the discussion on the demands for grants in respect of a particular Ministry, members are asked by the Speaker to hand over at the Table, within fifteen minutes, slips indicating the serial numbers of their cut motions that they would like to move. The cut motions thus indicated are only treated as moved. Cut motions cannot be moved at a later stage.

Cut motions cannot be moved by proxy. A member should be present in the House to move cut motions when the relevant demands for grants are taken up.

Guillotine

On the last of the allotted days for the discussion and voting on demands for grants, at the appointed time the Speaker puts every question necessary to dispose of all the outstanding matters in connection with the demands for grants. This is known as guillotine. The guillotine concludes the discussion on demands for grants.

Annual Reports, Outcome Budgets and Detailed Demands for Grants of the Ministries

In connection with discussion on demands for grants, copies of the Annual Reports and Outcome Budget of the various Ministries and Departments are kept in the library for perusal by members. Some copies are also kept at the Publications Counter. Detailed demands for grants in respect of various Ministries/ Departments are laid on the Table of Lok Sabha some time before the demands for grants are considered by the Departmentally Related Standing Committees. Vote on Account

Prior to 2017, the Budget used to be presented on last working day of February. Accordingly, the Parliament was not able to vote the entire budget before the commencement of the new Financial year. Due to necessity to keep enough finance at the disposal of Government in order to allow it to run the administration of the country Government obtained vote on account from Parliament.

Normally, the vote on account was taken for two months for a sum equivalent to one-sixth of the estimated expenditure for the entire year under various demands for grants.

Vote on Account was passed by Lok Sabha after the general discussion on the Budget (General and Railway) was over and before the discussion on the demands for grants was

taken up.

However, with the advancement of the date of presentation of Budget since 2017-18 to 1st February, the necessity to obtain vote on Account is no more required. The Demands for Grants and the Appropriation Bill are passed well before the close of the Financial Year.

However, during an election year, the vote on account may be necessary and taken for a longer period say, 3 to 4 months if it is anticipated that the main demands and the Appropriation Bill will take longer than two months to be passed by the House. Supplementary and Excess Demands for Grants

If the amount authorized to be expended for a particular service for the current financial year is found to be insufficient for the purpose of that year or when a need has arisen during the current financial year for supplementary or additional expenditure upon some 'new service' not contemplated in the Budget for that year, the President causes to be laid before both the Houses of Parliament another statement showing the estimated amount of that expenditure.

If any money has been spent on any service during a financial year in excess of the amount granted for the service for that year, the President causes to be presented to Lok Sabha a demand for such excess. All cases involving such excesses are brought to the notice of Parliament by the Comptroller and Auditor General through a report on the Appropriation Accounts. The excesses are then examined by the Public Accounts Committee which makes recommendations regarding their regularization in its report to the House.

The Supplementary Demands for Grants are presented to and passed by the House before the end of the financial year while the demands for excess grants are made after the expenditure has actually been incurred and after the financial year to which it relates has expired.

Copies of the Books of Demands for Supplementary or Excess Grants, received from the Ministry of Finance, are made available to members from the Publications Counter after the presentation of such demands.

Procedure for Discussion

Supplementary and Excess Grants are regulated by the same procedure as is applicable in the case of demands for grants of the main Budget subject to such adaptations, whether by way of modification, addition or omission, as the Speaker deems necessary or expedient. Scope of discussion on Supplementary/Excess Grants

The discussion on the Supplementary Demands for Grants is confined to the items constituting the same and no discussion can be raised on the original grants nor on the

policy underlying them. In respect of schemes already sanctioned in the main Budget, no discussion on any question of principle or policy is allowed. As regards demands for which no sanction has been obtained, the question of policy has to be confined to the items of expenditure on which the vote of the House is sought. General grievances cannot be ventilated during discussion on a Supplementary Grant. Member can only point out whether the Supplementary Demand is necessary or not.

During discussion on Excess Demands for Grants members can point out how money has been spent unnecessarily or that it ought not to have been spent; beyond this there is no scope for general discussion or for ventilation of grievances.

Cut Motions to Supplementary/Excess Demands for Grants

The cut motions to Supplementary or Excess Demands for Grants must relate to the subject matter of the Supplementary or Excess Demands. Cut motions which are extraneous to the subject matter of such demands are out of order.

7.8 Appropriation Bill

After the demands for grants have been passed by the House, a Bill to provide for the appropriation out of the Consolidated Fund of India of all moneys required to meet the grants and the expenditure charged on the Consolidated Fund of India is introduced, considered and passed. The introduction of such Bill cannot be opposed. The scope of discussion is limited to matters of public importance or administrative policy implied in the grants covered by the Bill and which have not already been raised during the discussion on demands for grants. The Speaker may require members desiring to take part in the discussion to give advance intimation of the specific points they intend to raise and may withhold permission for raising such of the points as in the opinion of the Speaker appear to be repetition of the matters discussed on a demand for grant. Such advance intimation must be given before 1000 hours on the day the Appropriation Bill is to be taken into consideration. No action is taken on intimations received after 1000 hours.

No amendment can be proposed to an Appropriation Bill which will have the effect of varying the amount or altering the destination of any grant so made or of varying the amount of any expenditure charged on the Consolidated Fund of India and the decision of the Speaker as to whether such an amendment is admissible is final. An amendment to an Appropriation Bill for omission of a demand voted by the House is out of order.

In other respects, the procedure in respect of an Appropriation Bill is the same as in respect of other Money Bills.

7.9 Finance Bill

“Finance Bill” means a Bill ordinarily introduced every year to give effect to the financial proposals of the Government of India for the next following financial year and includes a Bill to give effect to supplementary financial proposals for any period.

The Finance Bill is introduced immediately after the presentation of the Budget. The introduction of the Bill cannot be opposed. The Appropriation Bills and Finance Bills may be introduced without prior circulation of copies to members. The Finance Bill usually contains a declaration under the Provisional Collection of Taxes Act, 1931, by which the declared provisions of the Bill relating to imposition or increase in duties of customs or excise come into force immediately on the expiry of the day on which the Bill is introduced. In view of such provisions and the provision of Act of 1931, the Finance Bill has to be passed by Parliament and assented to by the President before the expiry of the seventy-fifth day after the day on which it was introduced.

As the Finance Bill contains taxation proposals, it is considered and passed by the Lok Sabha only after the Demands for Grants have been voted and the total expenditure is known. The scope of discussion on the Finance Bill is vast and members can discuss any action of the Government of India. The whole administration comes under review.

The procedure in respect of Finance Bill is the same as in the case of other Money Bills.

Budgets of Union territories and States under President’s Rule

Budgets of Union territories and States under President’s Rule are also presented to Lok Sabha. The procedure with regard to the Budget of the Union Government is followed in such cases with such variations or modifications, as the Speaker may make.

[The procedure for presentation of the Budget in and its passing by Lok Sabha is as laid down in articles 112—117 of the Constitution of India, Rules 204—221 and 331-E of the Rules of Procedure and Conduct of Business in Lok Sabha and Direction 19-B of Directions by the Speaker.]

7.10 Conclusion

The Budget cycle comprises steps beginning in the run-up to the Budget and culminates into its presentation. The preparation of the Budget involves the Ministry of Finance, along with multiple bureaucrats. Before the Budget is prepared, expert advice is also taken from economists and other stakeholders. The cycle includes the following steps — estimating the

amount of expenditure and receipts, estimating the fiscal deficit, trying to narrow the fiscal deficit, the presentation of the Budget, and getting the approval from Parliament. First, plans of expenditure of various ministries are looked at. According to the resources available, the amount is allocated for ongoing plans and new plans which can be taken up. Some non-plan expenditure, such as subsidies and wage payments, is also taken into account. Next, revenue payments in the form of capital and current receipts are estimated. Money from disinvestment or repayment of government loans falls into the category of capital receipts. Income from taxes, dividends from state-run companies, etc, fall under the category of revenue receipts. After these amounts are estimated, expenditure and receipt under each head are matched to see the shortfall, also known as deficit. This is deliberated upon and the government then decides how much it shall borrow to be able to meet the same. The government decides on the amount of borrowing after considering what amount of deficit it would like to maintain. Then, the government presents the Budget, which comes into effect on April 1, the beginning of a new financial year, after being approved by the Lok Sabha and signed by the President. The Rajya Sabha can give comments on the same.

7.11 Summing up

- There are several steps involved in the preparation, presentation and implementation of the Union Budget. Here are five essential steps involved in the development of the Union Budget: The initial processes, Accumulation and authorization of data, Composing the Budget, Printing the Budget and Presenting the Budget.
- Before the Budget is prepared, expert advice is also taken from economists and other stakeholders. The cycle includes the following steps — estimating the amount of expenditure and receipts, estimating the fiscal deficit, trying to narrow the fiscal deficit, the presentation of the Budget, and getting the approval from Parliament.
- Once the budget is prepared, it has to pass through the following stages in the Parliament a) presentation of the budget by the finance minister in both the houses of Parliament, (b) general discussion on revenue and expenditure proposals, (c) presentation of demands for grants, and (d) voting and passing of the Appropriation and Finance Bills.
- Till 2016, the Budget was presented to Lok Sabha in two parts, namely, the Railway Budget pertaining to Railway Finance and the General Budget which gave an overall picture of the financial position of the Government of India, excluding the

Railways. Since the year 2017-18, with the merger of the Railway Budget with the General Budget, a single document titled 'Union Budget' is presented by the Minister of Finance.

7.12 Probable Questions

Essay Type Question

1. Explain the entire budget cycles in India.
2. 'Budget is the heart of management'. Comment
3. Discuss the issue of approval of parliament of the budget.

Short Questions

1. What is budget speech?
2. What is finance bill?
3. Write a short note on the preparation of budget.

Objective Questions

1. In which House of the Parliament is budget presented?
2. In which year was the Railway budget merged with the General budget?
3. What is the name of the motion which is aimed at reducing the amounts of demands for grants?
4. Which article of the constitution deals with the money bill?
5. Who is the author of the book, "Government Budgeting in India"?

7.13 Further Reading

1. Henry, N. (2012). *Public Administration and Public Affairs*. New Delhi, India: PHI.
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Unit 8 □ Various Approaches of Budgeting

Structure

- 8.1 Objective**
- 8.2 Introduction**
- 8.3 Incremental Approach to Budgeting**
- 8.4 Rational Approach to Budgeting (ZBB & PPBS)**
- 8.5 Planning Programming and Budgeting System**
- 8.6 Zero Based Budgeting**
- 8.7 Performance Budgeting**
- 8.8 Outcome-Based Budgeting**
- 8.9 Futuristic Approach: E-Budgeting**
- 8.10 Conclusion**
- 8.11 Summing up**
- 8.12 Probable Questions**
- 8.13 Further Reading**

8.1 Objective

After studying this unit, the learners will be able to

- highlight the important approaches to budgeting
- understand the incrementalist and the rationalist approach
- examine competing approaches as to how government resources should be allocated
- discuss the advantages and the limitations of competing approaches in budgetary process

8.2 Introduction

The budget is not only a statement of income and expenditure but is a plan of action for the year ahead that indicates programmes, activities etc. over time. The approach towards budgeting in a traditional sense is changing with emphasis on performance. Some

of them include incremental approach, rational approach (zero-based budgeting and planning and programming budgeting system), futuristic approach E-budgeting, performance budgeting, and outcome-based budgeting. We shall now be discussing the key features of these approaches.

8.3 Incremental Approach to Budgeting

Charles Lindblom presented an incremental approach arguing for an examination of decision making by “successive, limited comparison” (Lindblom, 1979). A number of political scientists maintain that the budget is an interest-oriented process in which decisions are made in the context of ‘who pays and who receives.’ The budget represents individual preferences and conflicts. As such, the process for dealing with differing budgetary preferences is not economic but political, according to Wildavsky (1992). Wildavsky underscores the importance of budgetary incrementalism as a function of politics (1992), arguing that only a small number of politically feasible alternatives are considered at any one time, and in a democracy, these policies typically differ only in small increments from previous year’s policies.

Succinctly defined, “incrementalism” is “a theory of the budgetary process proposing that policy makers give only limited consideration to small parts of the budget and arrive at decisions by making marginal adjustments in last year’s budget”. The point is that budget as a whole is not considered; instead, participants make marginal changes on an already existing base. Incremental budgeting ‘focuses upon the current year budget request with emphasis on increases from the current year’ (Lynch, 1979).

8.4 Rational Approach to Budgeting (ZBB & PPBS)

One must also consider budgetary approach from the perspective of the economist. The economic perspective is best captured by V. Lewis (1952), who adds a measure of rationality with regard to cultivating a normative theory of budgeting. Regardless of individual policy preferences as dictated by philosophy, economic principles must remain paramount, and the closest application of this concept is zero-based budgeting (ZBB and PPBS). Much like Lewis, Mikesell (1978) argues that the objective of the budget process is to support public policies and projects where the value exceeds the costs. The budget process should strive to identify and sustain worthwhile government activities, while minimising the wasteful misallocation of scarce resources. For Brubaker (1997), the budgetary process engenders a “common pool” of resources. He embraces a budgetary process that provides a clear expression of public preference, produces net benefits for all, decreases opportunities

for rent seeking, and allows people to participate directly. Brubaker advocates public choice measures and incentives created by political institutions for participants in federal budgetary decision making.

8.5 Planning Programming and Budgeting System

Planning Programming and Budgeting System (PPBS) is primarily a system to help decision makers allocate resources. Planning refers to the definition of missions, goals and objectives, the identification and evaluation of alternatives and the choices among the alternatives. Programming refers to the link between planning and budgeting. It involves the documentation of decision on resources required and outputs to be achieved, scheduled over the years involved in the planning period and the accompanying information and documentation systems.

Budgeting refers to the process of translating the decisions in the long-range-planning format to the annual budget format with the more precise measures of inputs, price tags and outputs, which are possible and necessary when one is looking only one year ahead.

This approach to budgeting emphasizes the important fact that planning, programming and budgeting are inter-related to each other and together constitute a system. This implies that budgeting cannot stand in isolation. The technique of performance budgeting attempts to assess the effectiveness of each of the programme/activity with reference to output. It therefore involves the development of more refined tools such as work measurement, performance standards, unit cost, etc.

8.6 Zero Based Budgeting

Zero Based Budgeting (ZBB) requires that organizations, while preparing their budgets, should not take earlier year's expenditure for granted and therefore should start on a clean slate. It implies that the activities of an organization should be viewed afresh and priorities among competing claims for allocation of funds settled on the basis of justifications developed by the use of evaluating techniques, like cost benefit analysis. ZBB aims at eliminating redundant expenditure in organizations. To achieve this, it adopts four approaches.

The first objective, is the elimination of redundant expenditure, which is not serving any clearly stated purpose in an organization.

Secondly, it attempts to identify and remove duplication of expenditure as over time the same activity may be carried out by a number of agencies of the same organization.

Thirdly, it involves searching for a better alternative (For instance solar equipment may be a better alternative to an electric gadget) for incurring expenditure to achieve an established objective.

The fourth objective, is to optimize expenditure by making it productive and efficient. This requires application of performance budgeting.

The Government of India adopted ZBB approach with effect from the budget of 1978-88. The Budget Division of the Ministry of Finance has been requesting the ministries / departments, since the introduction of ZBB, through their budget circular every year for adopting the principles of ZBB for expenditure estimates.

Steps involved in ZBB

The methodology employed in ZBB involves:

I. Identification of Decision Units

A decision unit is a distinct segment of an organization for which budget is prepared. It can be a programme, scheme, project or an operation.

II. Formulation and Development of Decision Packages

According to ZBB, the budget of a decision unit has to be prepared in terms of decision packages, which contain the following:

- A description of the function or activity of the decision unit
- The goals and objectives of the various functions/ activities of the unit
- Benefits to be derived from financing the activity/programme
- Relevance of the activity/programme to the overall objectives of the organization/ department in the present context
- The consequences of its non-funding
- The projected/estimated cost of the package
- The yearly phasing of the proposed expenditure/project cost
- Alternative ways of performing the same activity or achieving the same objectives.

III. Evaluating and ranking decision packages in order of priority

ZBB requires that the manager-in-charge of the decision unit should rank the decision packages in order of priority. There are various methods followed in ranking decision packages, such as judgement approach, committee system, standardized formula, single criterion approach, etc. The available resources are allocated among the various decision packages, according to prioritization

established in terms of their ranking.

IV. Preparation of Budget by Allocating Resources to Activities or Decision Packages by Utilizing Hierarchical Funding Cut-Off Levels

ZBB requires that the available fund should be allocated in accordance with the ranking of decision packages as finally settled by the top decision unit in the hierarchy of decision units. In a situation of resource crunch, i.e., if funds available are not adequate to cover all the decision packages, a cut-off level is determined and the decision-packages figuring above are financed and those falling below the cut-off level are not allocated funds.

The cut-off level is moved upwards or downwards in the event of any revision in the availability of funds.

Problems in the implementation of ZBB

A major factor contributing to the failure of ZBB has been too much paper work involved in the process. Also the reviews and analysis required to be carried out could not be handled within the normal cycle of budget process spread over a few months.

The second problem in the implementation of ZBB is the non-availability of trained personnel fully aware of the concept, who can make an analysis of expenditure by applying cost-benefit analysis and other techniques.

The third problem is redeployment of resources, like manpower, material, machinery and equipment, which become surplus, when a scheme or activity is found redundant and has therefore to be eliminated. Redeploying manpower is a very difficult and delicate issue.

In brief, ZBB is a useful system for exercising control over expenditure. Its utility can hardly be overemphasized in a situation of resources crunch. Any progressive organization would find it useful for ensuring effectiveness, efficiency and economy of expenditure.

8.7 Performance Budgeting

According to the concept of performance budgeting, the annual budget is in essence, a work plan specifying the programme targets to be achieved by the agency concerned during the financial year. It emphasizes the purposes for which funds are provided. It correlates the physical and financial aspects of each programme and activity, by establishing a proper relationship between outputs and the corresponding inputs.

The main purposes sought to be achieved by performance budgeting are to:

1. Establish a correlation of the physical and financial aspects of every programme and

activity.

2. Improve budget formulation, review decision making at all levels of management in government.
3. Facilitate better appreciation and review of legislature.
4. Make possible effective performance audit.
5. Measure progress towards long-term objectives as envisaged in the plan.
6. Integrate budgets and development plans.

Development of Performance Budgeting in India

In India, the Estimates Committee of Parliament made a suggestion in 1954 to introduce performance budgeting on the basis of success of the operation of performance budgeting in U.S.A. The Administrative Reforms Committee (ARC) in its report titled “Finance, Accounts and Audit”, recommended to the government that starting with the 1969-70 budget, performance budgeting should be introduced in all departments and organizations of the government, which are in direct charge of development programmes. The recommendations of the ARC for the introduction of performance budgeting were accepted by the Government of India which started introducing it gradually in more and more of its developmental departments with the budget for 1969-70 onwards. The position by now is that almost all the departments of Government of India prepare performance budgets every year and submit them to parliament. On the recommendations of the central government, all the state governments also prepare performance budgets for development departments and submit the documents to the legislature.

Elements of Performance Budgeting

I. Formulation of objectives

Since the budget is an annual plan of action, it is necessary to spell out the objectives in concrete and specific terms. The objectives should be formulated in such a way that should help in evolving suitable programmes/activities.

II. Programme/activity classification

A functional classification of the budget is necessary under a system of performance budgeting. By functional classification, it is meant that the budget presentation of public expenditure will be in terms of functions, programmes, activities and projects.

III. Norms/ Standards

Performance budgeting establishes the correlation between the physical and financial aspects of each programme and activity. It is therefore essential to set physical

targets for accomplishment in respect of each programme/activity to enable working of corresponding financial estimates for incorporation in the budget. Performance budgeting envisages development of suitable work-measurement units, norms, yardsticks and other performance indicators for measuring the physical quantum of work to be done or services to be rendered. Appropriate norms and standards supported by adequate data reduce subjectivity and increase objectivity in the framing of budget estimates.

IV. Accounting Structure

In order to operationalize the scheme of performance budgeting, it is essential that the concept is also built into the structure of accounts. It is necessary, therefore, that the budget classification in terms of functions, programmes, activities and projects is supported by a similar classification in accounts.

V. Decentralized Responsibility Structure

For the preparation of a performance budget, broad guidelines need to be framed at the top level. These should include directions regarding the objectives to be achieved and the resources availability. Within the framework of these guidelines, detailed budget estimates are to be prepared at various responsibility levels and coordinated upwards.

VI. Review of Performance

Measurement of actual performance both in physical and financial terms in relation to the budgeted plan are an important aspect of a performance budget. When information regarding physical accomplishments and finances is put together in terms of various responsibility centres, for a period under consideration, a picture of actual performance in terms of physical accomplishments and its related costs would emerge. The actual performance from the accounting information system can then be compared with the budgeted plan.

To conclude, performance budgeting is a management tool. This can be used in government successfully if norms and standards are developed for all levels of operations.

8.8 Outcome-Based Budgeting

In USA, a recent trend in government budgeting is to link the money spent on each program to its return in terms of impact of each public policy. This type of budgeting links budget with performance measurement system.

For example, in Catawba county, North Carolina, local officials used this to enhance their government's system of service delivery. The county in the past few years had experienced limited growth in revenues; yet during this time the call for human services continued to rise. County leadership responded by handling decision making authority to agency administrators challenging them to reduce costs while more effectively meeting citizen demands. Those who achieved 90 per cent of their goals would be able to apply their savings to unrestricted needs. Catawba county administrators embarked on a citizen-driven, outcome-based system of budgeting to ensure that resources were targeted to meet specific community goals. Over time, they not only saved money but also enhanced government responsiveness (Denhardt and Grubb, 2003).

8.9 Futuristic Approach: E-Budgeting

E-budgeting may be defined as electronic or enterprise-wide budgeting—an application that supports an institution's functions and measures the success achieved in the performance of a task. In simple words, e-budgeting presents a strategic advantage with the help of the capability of the internet to let various establishments execute an enterprise wide budgeting system, which can be reached from any location.

Working of E-Budgeting

E-budgeting programmes have the best utility and effect if they worked jointly with financial systems such as General ledger. E-budgeting helps the functionaries to coordinate data concerned with history, rationalize and legalize numbers. It makes an organization's budget and future predictions and estimates accurate and automatic. The functionaries can access the budget from anywhere anytime with the help of internet. As applications are connected with the internet, this online facility permits continuous updating and reshaping of the budget.

Benefits of E-Budgeting

Given below are the few benefits of e-budgeting:

1. **Flexibility:** It furnishes flexibility to the functioning of the institute. The employees can adapt to changes quite with the new software for budgeting. It has become easier to adapt to any modification without entering the whole data again and again.
2. **Eliminates Cumbersome Accounting Tasks:** Budgeting usually requires a continuous task of numbers by updating and doing reconciliation. Since it is quite a cumbersome task if done manually, computerizing the existing data and updating it helps in such repetitive tasks. The Finance Department gets more time to plan and

strategize rather than waste their energies in paper-work.

3. **Accessibility:** E-budgeting facilitates spontaneous budgeting from anywhere since all data is just a click away. Senior budget executives and officers get budget related data in a moment via internet and do not have to look for it in papers. This helps them to make alterations and modifications in the budget if required and other parts and numbers get adjusted and updated automatically.
4. **Citizen Participation:** Budgetary proposals can be put on the web for voting of citizens to decide by getting opinion polls. This would give immense power to the citizens as well as advantage to the Chief Executive Officer or the Finance Minister, (as the case may be) to formulate a budget.
5. **Security:** E-budgeting incorporates an automated 'check-out/check-in' process that furnishes flexibility for functionaries and officials all over the country though it keeps security for valued and confidential data. It also maintains a record of all financial activities so that auditing may be done conveniently to have proper control.
6. **Diversity:** E-budgeting addresses diverse groups in the economy. Officials without any knowledge can also use the e-budgeting procedures and benefit from it. There are many kinds of web-based solutions and software being developed day in and day out for corporate employees also.
7. **Strategic Planning Tool:** E-budgeting processes supports various kinds of budgets, for example, capital, human resources and revenue with convenience and adaptability.
8. **Contingency Planning:** It facilitates 'what-if' problems. Disaster management can be planned and tackled easily.

E-budgeting is rapidly becoming the norm all over the world.

8.10 Conclusion

Policy making is absolutely crucial to ensure proper execution and implementation of the budget proposals of the government. The best of the budget proposals do not hold merit if they do not have sound planning. A sound system has to be developed for budget planning to achieve this target of implementation. Once the policy is structured with economy as its pre-requisite, it requires little effort to control expenditure of the government during the execution of the budget. It is imperative that good sound approaches of budgeting need to be followed in budget preparation. The approaches of budgeting have evolved after its natural development in a spontaneous rather than planned manner, empirically rather than theoretically. Budgeting is an intricate and continuous process. The approaches discussed

above are relevant and most commonly implemented, though there is no fixed system in this. The point is to progressively improve adherence to these approaches.

8.11 Summing up

- The approaches of budgeting reflect the fact that development of a budget is not only a political and managerial process but also has financial and technical dimensions.
- The approach towards budgeting in a traditional sense is changing with emphasis on performance. Some of them include incremental approach, rational approach (zero-based budgeting and planning and programming budgeting system) and futuristic approach E-budgeting.
- From the perspective of some scholars incrementalism and bargaining have an important role to play in the formulation of budget. Economy, efficiency and social equity are important criteria in public administration with regard to resource allocation. But, the application of a single criterion by which budgetary decisions are guided is no longer valid. In reality several criteria, often overlapping, tend to influence budgetary decisions.
- E-budgeting presents a strategic advantage with the help of the capability of the internet to let various establishments execute an enterprise wide budgeting system, which can be reached from any location.

8.12 Probable Questions

Essay Type Questions

1. Write an essay on Rational Approach to budgeting.
2. Write an essay on Futuristic Approach: E-budgeting.
3. Discuss Incremental Approach to Budgeting.

Short Questions

1. What are problems in the implementation of ZBB?
2. What are the disadvantages of Rational Approach to budgeting?
3. What are benefits of E-budgeting?

Objective Questions

1. What is the full form of ZBB?

2. What is the full form of PPBS?
3. What is the fupp form of ARC?
4. What is another name of electronic budgeting?
5. In which country was performance budgeting introduced first?

8.13 Further Reading

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Unit 9 □ Types of Budgeting

Structure

- 9.1 Objective**
- 9.2 Introduction**
- 9.3 Different Types of Budgeting**
- 9.4 Conditions for Successful Implementation of Zero-Based Budgeting**
- 9.5 Need for Zero-Based Budgeting**
- 9.6 Benefits of Zero-Based Budgeting**
- 9.7 Limitations of Zero-Based Budgeting**
- 9.8 Conclusion**
- 9.9 Summing up**
- 9.10 Probable Questions**
- 9.11 Further Reading**

9.1 Objective

After studying this unit, the learners will be able to

- understand the concept of budgeting
- familiarize with the different types of budgeting
- examine the process of budgeting in India
- evaluate the financial administration in India

9.2 Introduction

The objectives of all budgets include regulating unnecessary government spending and waste. Budget has a long historical past and the modern governmental budgeting is the result of long evolutionary process as such, different types of them have been used depending upon the purpose, need, time period, financial position of the government, focus on achievements etc. some of the main types are as follows:

9.3 Different Types of Budgeting

Annual and long-term Budget: When the budget is prepared for one year, which is generally known as financial year, it is called annual budget. On the other hand if it is for more than one year then it is called long term budget. However the common trend is to make budget on annual basis.

Surplus, Balanced and Deficit Budget: If the income of the government is shown to be more than its expenditure then it is called surplus budget. However, this is not recommended especially in a welfare state as it gives the impression that the government is not doing enough for the betterment of its citizens. When the income and expenditure of the government match each other, it is called balanced budget. Although it is recommended yet it is very difficult to achieve. The third situation is when the expenditure of the govt is more than its income, it is called deficit budget. It is the most common type and is seen positively, yet large scale deficit is considered as inefficiency of the government as it gives rise to inflationary tendencies.

Cash and Revenue Budget: If the amount which is shown in the budget is going to be realized in the financial year then it is called as Cash Budget, but if the amount accruing in one financial year shown in the budget may not be realized in that year, then it is called as Revenue Budget.

Legislative Type Budget: In this type the legislature itself shoulders the responsibility of making the budget. This it does with the help of committees made from amongst its members and passes it and then gives it to the executive for implementation. However, this is not recommended as the legislature is not competent to assess the requirements of the different departments. As such the budget will not be realistic enough to meet all the goals and the objectives.

Executive budget: When the executive is entrusted with duty of making the budget, it is called executive budget. However, this should not be construed as the dominance of the executive; rather it should be seen as a step in making the budget realistic since executive is in a better position to make the estimates. In this type, generally the budget making and the execution is the responsibility of the executive, however it has to obtain the sanction of the legislature before execution.

Line-item Budget: This is the earliest system of budgeting which was designed to control governmental expenditure and activities. A line-item budget is simply the allocation of resources according to the cost of each item, from paperclips to personnel, used by a government agency. It operates on a pay-as-you-go basis and is designed to reveal exactly

how much has been spent on what. Generally, only Public Administration in a Globalizing World an approved sum can be spent for each item, other expenses cannot be introduced until money has been appropriated, and funds cannot be transferred within an organization. This type of budget is advantageous from an accountability perspective, that is, the amount that will be spent on x, y, and z is clearly delineated to keep spending under control. It a simple tool for keeping tabs on where money goes, and ensuring that funds are spent appropriately. A major disadvantage of the line-item budget is that it is not tied to performance. However, the rigidity of line-item budgeting has led to the use of performance budgeting.

Lump sum Budgeting: In this type the executive is given the discretion to not only shift the expenditure from one head to another but is also given the freedom to change or shift the amount from one organization to another. Advocates of this type put forward the idea that this makes the executive to use the funds more judiciously.

Performance Budgeting: Performance budgeting includes a narrative describing an agency's work in progress, and accomplishments and aims to provide policymakers with data for measuring work-load and activity costs and to tell the public whether they are getting their money's worth. The idea behind performance budgeting is that how much you spend on department x is tied directly to how well department x is performing. Performance budgeting requires the establishment of performance levels and the collection of information that tells weather those performance levels have been met. The most common types of performance indicators are outputs and outcomes. Output indicators report units produced or the quality of services provided by a department, an agency, or a programme. They reflect how well a government entity is meeting its goals and objectives. These indicators are designed to answer questions that deal with the quality and impacts of government service delivery. The central points of performance budgeting are:

- The amount of work that is done is measured,
- The quality or the results of that work is measured, and
- This impacts how much money a department will receive in the future (Holzer and Schwester 2011: 300).

Departments that over-perform may receive more money, while those that under-perform may receive less. Critics argue that using performance measurement as a basis for determining budgets is counter-intuitive, because taking money away from a struggling department is likely to make matter worse. Also, some might argue that measuring performance is inherently problematic, that is, designing performance indicators is subjective, and collecting data can be time-consuming and expensive.

Planning, Programming and Budgeting System: The planning, programming and budgeting system (PPBS) emerged as a reaction to the unscientific and disjointed planning in preparing the budget. The PPBS evaluates policy by dividing it into separate programmes and quantifying their gains and losses. A basic element of programme budgeting—cost-benefit analysis—systematically weighs the cost of a project against the amount of benefit—in terms of money or material saved or earned—that an agency or department can expect in return. The PPBS selects those programmes that achieve the desired goals at the lowest costs. It is one of the rational approaches to budget preparations. The PPBS offers great flexibility because they allow any combination of expenditures that will achieve a programme’s objectives and yield the greatest benefits for the costs involved. This approach enables policy-makers to assess a project’s potential success or failure before it is implemented.

Zero-Based Budgeting: The traditional practice is to allocate funds on an incremental basis every year to all schemes agreed upon and approved by the government, irrespective of their operational evaluation. This leads to the arbitrary increase in allocations which keep multiplying year after year. A stage comes when financial accountability of operative agencies becomes an arduous task, if not impossible. Contrary to this, the zero-based budgeting (ZBB) is the allocation of resources to agencies on the basis of those agencies periodically re-evaluating the need for all of the programmes for which the agency is responsible and justifying the continuance or termination of each programme in the agency budget proposal. This leads the allocating agencies to warn such funding schemes which are sick or irrelevant to the ground realities of socioeconomic life. The ZBB attempts to bring the expenditure of such schemes down to zero or in other words to a reduced level of expenditure so that a proper evaluation of the scheme could be possible (Singh 2002: 200–01). In other words, an agency reassesses what it is doing from top to bottom from a ‘hypothetical zero’.

The ZBB is advantageous in that it allows department heads to set priorities, letting the budget makers know where cuts are more acceptable and where increases would be desirable. It makes sense to allow department heads to set these priorities, given that they are in a position to know how best to carry out a department’s programmes. A disadvantage of ZBB deals with its labour intensiveness. Preparing and ranking the decision packages can be overwhelming. Additionally, the way in which the decision packages are ranked can be highly subjective (Holzer and Schwester 2011: 301–03).

9.4 Conditions for Successful Implementation of Zero-Based Budgeting

There are a few conditions which will help in successful implementation of ZBB which are given below:

1. **Committed Management:** The top management must be committed as well as have a participatory role.
2. **Fixed Goals:** Organizational goals must be fixed. As ZBB is not an end product itself but a means to achieve targets, goal setting must not be vague and ambiguous.
3. **Identification of Weaknesses:** Weaknesses of an organization must be perceived and strengths enumerated so that identified weak areas can be worked upon.
4. **Trained Staff:** ZBB requires staff to be trained for its procedure to be implemented properly.
5. **Elimination of Doubts:** All levels of management must cooperate with each other by eliminating all doubts regarding the ZBB procedure.
6. **Review:** Decision packages must be reviewed periodically. Brainstorming Sessions: There must be brainstorming sessions at all hierarchical levels to get proper and timely feedback.

9.5 Need for Zero-Based Budgeting

There are four overriding reasons that make the ZBB worthwhile, given below in brief:

1. **Low Priority Programs:** Low priority programs can be eliminated or reduced. How the savings are used is a completely separate question.
2. **Program Effectiveness:** Program effectiveness can be dramatically improved. Such improvements may or may not have a budgetary impact.
3. **High Impact Programs:** High impact program can obtain increased funding by shifting resources within an agency, whereas the increased funding might not have been available had the agency merely requested an increase in total funding.
4. **Tax Increases:** Tax increases can be retarded. The first three benefits can significantly reduce the necessity for increased taxes by allowing agencies to do a more effective job with existing revenues. For the hardnosed executive or Legislature, budgets can be reduced services.

9.6 Benefits of Zero-Based Budgeting

Since Zero-Based Budgeting is comparable to starting the budgeting process from scratch every year, this method requires more intensive planning and time. All revenue and expenses are scrutinized more closely in order to create a more accurate budget. The benefits of zero-based budgeting are:

1. **Unbiased Approach:** The main benefit of zero-based budgeting approach is that each person involved in the process will integrate all known and expected costs without any preconceived notions and bias from previous information or data.
2. **Improves Interaction:** ZBB impels employees to work more cohesively and closely together during the budget process because they must know how each function affects the other functions of the organization. This increased interaction and coordination among the employees results in a definite rise in the levels of motivation and interest to do their work efficiently.
3. **Effective Procedures:** Zero-based budgeting will generate ways and method. Usually, organization tend to use the same forms, personnel and activities without determining whether they are effective but by using this approach they can eliminate forms, processes, and/or employees that are not effective during the year.
4. **New Ideas:** For convenience, most organizations go with what is working, regardless whether there are more efficient options. As zero-based budgeting does not consider last year as a model for each subsequent year, new technologies, methods and materials may be discovered that will make the organization more successful.
5. **Efficient Allocation of Resources:** It represents a move towards allocation of resources by need and benefit and thus results in more efficient allocation of resources. It forces management to rethink completely their centre or division's situation and costs each year.
6. **Planning Tool:** ZBB is a planning tool used in management which helps in identification of wasteful and redundant items of expenditure.
7. **Psychological Impetus:** ZBB adds psychological impetus to employees to avoid wasteful expenditure.
8. **Flexibility in Budget:** If it is perceived that there is some decrease in income, ZBB paves the way for adjustments in the budget. It provides flexibility in budget by pressurizing the management to review regularly the entire cost base and on the other hand, it encourages management and users to look critically at current expenditure. It is good at putting a spotlight on items which increase the cost.

9.7 Limitations of Zero-Based Budgeting

Limitations of Zero-Based Budgeting due to which this approach became unsuccessful are as follows:

1. **Bureaucratic and Time Consuming:** Though zero-based budgeting proved to be a useful budgeting process to review discretionary overheads but the process was so bureaucratic and time consuming that the organizations got discouraged to use it again. Moreover, like traditional budgeting, it was based on the organizational hierarchy. It thus reinforced functional barriers and failed to focus on the opportunities for improving business processes. It takes a lot of time as it is a completely bottom-up approach, which is redesigned annually demanding more time from employees to complete their annual budgets.
2. **Incorrect Assumptions:** Although budgeting depends on many assumptions as a basis, organizations use the previous year's assumptions as its basis. Each assumption has to be determined without looking at the previous year's budget. If the assumptions are incorrect, then the budget will not be accurate and will be of little help to the organization. In sum, this process can be useful if the organization has the time and knowledge to make accurate assumptions.
3. **Threat felt by Bureaucrats:** The major problem is the threat that many bureaucrats feel towards a process which evaluates the effectiveness of their programs.
4. **Based on Organization Hierarchy:** Like traditional budgeting, it was based on the organizational hierarchy. It thus reinforces functional barriers and fails to focus on the opportunities for improving business processes.

Gender Budgeting: Gender budgeting is a process that entails incorporating a gender perspective at various stages of budgeting, that is, planning, policy formulation, assessment of needs of target groups, allocation of resources, implementation, impact assessment, and reprioritizations of resources. The main objective of gender budgeting is to bring out a gender-responsive budget. Gender budgeting is understood as a dissection of the government budget to establish its gender differential impacts to translate gender commitments into budgetary commitments. Thus, gender budgeting:

- looks at the government budget from a gender perspective to assess how it addresses the needs of women in all sectors,
- it does not seek to create a separate budget, instead it seeks to provide affirmative action to address the specific needs of women, and provides a way for assessing the impact of government revenue and expenditure on women (Government of India 2008: 103– 06).

Gender budgeting lends itself to strengthening administrative processes and actions to achieve the targets for improvements in the position of women. It not only entails a look at allocation of resources for women but goes beyond to cover tracking of the utilization of allocated resources, impact analysis, and beneficiary incidence analysis of public expenditure and policy from a gender perspective. Hence, gender budgeting is not an accounting exercise as commonly perceived and understood. It encompasses incorporating a gender perspective and sensitiveness at all levels and stages of the developmental planning, processes, and implementation. An important outcome of the application of gender budgeting is that it paves the way for gender mainstreaming in the developmental process and in understanding how the needs of women can be addressed in a better way (Goel 2010: 247). Gender budgeting is a powerful tool for achieving gender mainstreaming so as to ensure that the benefits of development reach women as much as men. It seeks to ensure equality of outcomes and not equality of opportunities. In India, the Ministry of Women and Child Development, as the nodal agency for gender budgeting has taken great strides towards promoting gender budgeting across sectors and at different levels of governance.

Green Budgeting: Besides gender budgeting, green budgeting is another budgeting innovations. It believes in protecting the ecology in the process of development. It is not a separate budget, but focuses on the environmental considerations in the budgetary allocations. Due to ecological considerations, now, it has become mandatory to all development projects to go through 'environmental impact assessment'. It is a process in which the ecological impact of a project is assessed before its implementation. Thus, such budgetary innovations are trying to address to the emerging socioeconomic and ecological challenges.

9.8 Conclusion

The type of budget is decided based on its emphasis and the difference between the expenditure and the receipts. However, which type of budget is suitable for a country is determined in advance depending on the socio-economic status of the country.

9.9 Summing up

- The objectives of all budgets include regulating unnecessary government spending and waste.
- A line-item budget is simply the allocation of resources according to the cost of each item, from paperclips to personnel, used by a government agency.
- Performance budgeting includes a narrative describing an agency's work in progress,

and accomplishments and aims to provide policymakers with data for measuring work-load and activity costs and to tell the public whether they are getting their money's worth.

- The development of Planning Programming Budgeting System (PPBS) was in reaction to the search for a better budgeting system than the traditional line-item budgeting and traditional performance budgeting. It was felt that line-item budgeting was excessively concerned with control and too little with policy and results. PPBS put a question mark on this annual incremental line-item budgeting system in two ways. Firstly, it prolonged the period of planning to a number of years and secondly, it looked for linking demand for resources to programmes so that activities may be carried out as per the policies.
- Gender budgeting looks at the government budget from a gender perspective to assess how it addresses the needs of women in all sectors.

9.10 Probable Questions

Essay Type Questions

1. What is zero-based budgeting? Explain the benefits and limitations of zero-based budgeting.
2. Elaborate the Planning, Programming and Budgeting System in India.
3. Write a note on performance budgeting.

Short Questions

1. What is green budgeting?
2. What are the differences between program budgeting and performance budgeting?
3. What is gender budgeting.
4. Write a short note on gender budgeting.

Objective Questions

1. What is it called when the Executive makes a budget?
2. What is it called when the income of the government is more than its expenditure?
3. What is it called when the expenditure of the government is more than its income?
4. What is it termed when there is a gender perspective in a budget?
5. What is it termed when ecology is involved in a budget?

9.11 Further Reading

1. Diamond, Jack, *Budget System Reform in Emerging Economies, The Challenges and the Reform Agenda*, International Monetary Fund, US, 2006.
2. Handa, K.L., *Expenditure Control and Zero Based Budgeting*, Indian Institute of Finance, New Delhi, 2002.
3. Mahajan, Sanjeev Kumar; Mahajan, Anupama, *Financial Administration in India*, PHI Learning Private Limited, Delhi, 2021

Unit 10 □ Role of Finance Ministry in the Framing of a Budget

Structure

- 10.1 Objective**
- 10.2 Introduction**
- 10.3 Role of the Finance Ministry in the Preparation of Budget**
- 10.4 Department of Economic Affairs (DEA)**
- 10.5 Department of Expenditure**
- 10.6 Department of Revenue**
- 10.7 Conclusion**
- 10.8 Summing up**
- 10.9 Probable Questions**
- 10.10 Further Reading**

10.1 Objective

After studying this unit, the learners will be able to

- explain the role played by the Finance Ministry in the making of budget
- analyze its structural divisions in some detail
- dwell on the role played by the Finance Ministry as a growth engine
- elaborate on its role in making the administrative machinery of the country rolling by providing necessary funds in the budget

10.2 Introduction

As the core unit of the executive entrusted with the task of managing the operational dynamics of the budget, the Ministry of Finance may arguably be taken as the nodal agency of the Public Administration in a Globalizing World. It plays a very crucial role in the budgetary process in India. Indeed, to a layman, the Ministry of Finance embodies the financial administration of the country in its entirety. Though technically untenable, yet such

a notion is attributed to the Ministry of Finance, keeping in view its role in managing the finances of the country. For instance, right from estimating the final figures of the revenues and expenditures of the government for presentation before the parliament, the ministry is vested with the task of ultimately ensuring that the finances of the country are managed properly. The major contours of the functioning of the ministry are discerned from its structural divisions in the three departments, that is, Department of Economic Affairs, Department of Revenue, and Department of Expenditure. Such an overarching role in the management of the finances of the country has made the Ministry of Finance one of the key ministries of the Government of India.

10.3 Role of the Finance Ministry in the Preparation of Budget

The main role of the Finance Ministry is to prepare budget. It finalizes the budget on the basis of the estimates received from the various departments, keeping in view the following factors:

Estimates: It ensures that the estimates submitted by various departments conform to the guidelines issued by it, ceilings prescribed by it for loans and advances, etc.

Cuts: The Finance Ministry often imposes cuts in the estimates proposed by the various departments, keeping in mind the overall resource position.

Priorities with respect to Schemes: The Finance Ministry has to prioritize the various schemes and projects according to regional imbalances.

The Finance Ministry has a significant role to play in the government's financial management policies. The important departments under the Finance Ministry are the, the Department of Economic Affairs, the Department of Expenditure, and the Department of Revenue.

10.4 Department of Economic Affairs (DEA)

The Department of Economic Affairs is the nodal agency of the union government to formulate and monitor country's economic policies and programmes having a bearing on internal and external aspects of economic management. One of the principal responsibilities of this Department is the preparation of the Union Budget every year.

10.5 Department of Expenditure

The Expenditure Department has the following divisions viz., the establishment division,

the plan finance I and II divisions, the finance commission division, the pay research unit, the staff inspection unit, the cost account branch, the National Institute of Financial Management, the central pension accounting office, the office of chief controller of accounts and the miscellaneous department branch.

a. Establishment Division

The Establishment Division plays a crucial role in the administration of various financial rules and regulations including service conditions of all central government employees.

b. Plan Finance Division I

Plan Finance-I Division handles matters relating to overall financial position and plan outlays of States. The Division is closely associated with Planning Commission in assessment of financial resources for five year plans and annual plans of states.

c. Plan Finance Division II

Plan Finance-II Division deals with matters relating to the Central Plan. These cover the estimates of resources for central plan including Internal and Extra Budgetary Resources, Plan outlays of different Ministries/Departments of the Central Government, appraisal of Plan projects/schemes before they are submitted to Public Investment Board (PIB)/Expenditure Finance Committee (EFC) etc.

d. Finance Commission Division

The Finance Commission Division of the Department of Expenditure is concerned with the implementation of the recommendations of the Finance Commission. It provides the status of the implementation of the accepted recommendations of Expenditure Finance Commission from time to time and any other data on state finances when required.

e. Pay Research Unit

The Pay Research Unit is mainly responsible for collection, compilation and analysis of data on actual expenditure incurred on pay and various types of allowances as well as data pertaining to the strength of the central government civilian employees and Employees of Union Territory Administration.

f. Staff Inspection Unit

The Staff Inspection Unit was set up with the object of effecting economies in manpower consistent with administrative efficiency and evolving performance standards and work norms in government offices and institutions wholly or substantially dependent on government grants. Its officers also serve as core member

on the committees appointed to scrutinize manpower requirements of scientific and technical organizations.

g. Cost Accounts Branch

Cost Accounts Branch (CAB) is a specialized pricing office of the central government within the Ministry of Finance, Department of Expenditure. CAB renders professional assistance to different ministries on the matters of determination of fair cost of production/selling prices of various industrial products, consumer products, services, etc. CAB also renders expert professional advice to different ministries/departments on matters of tariff fixation, advice on the specific reference emanating from the implementation of Central Excise Act, 1944, issues relating to introduction of Commercial, Financial, Cost and Management Accounting, conducting system studies, analytical studies, etc.

h. National Institute of Financial Management (NIFM)

NIFM is a center for excellence encouraging learning, teaching and research in the area of financial management

i. Central Pension Accounting Office

The Central Pension Accounting Office (CPAO) was set up as an administrative unit of the Ministry of Finance, Department of Expenditure under the Controller General of Accounts. This office is administering the 'Scheme for Payment of Pension to Central Government Civil Pensioners by Authorized Banks'.

j. Controller General of Accounts (CGA)

The Controller General of Accounts is the apex accounting authority of the central government and exercises the powers of the President under Article 150 of the Constitution for prescribing the forms of accounts of the union and state governments on the advice of the Comptroller & Auditor General of India. The chief controller of accounts is in overall charge of the accounting organization of the ministry.

k. Miscellaneous Departments Branch

The branch functions as an Associated Finance Unit to the Departments, viz., Prime Minister Office, Supreme Court of India, Ministry of Parliamentary Affairs and Secretariats of the Lok Sabha and the Rajya Sabha, Cabinet, President and Vice President. It deals with all financial matters including the annual budget of these Departments.

10.6 Department of Revenue

The Department of Revenue functions under the overall administrative direction and control of the Secretary (Revenue). It exercises control in respect of matters relating to all the Direct and Indirect Taxes through two statutory Boards, namely, the Central Board of Direct Taxes (CBDT) and the Central Board of Customs and Central Excise. Each Board is headed by a Chairman who is also ex-officio Special Secretary to the Government of India. Matters relating to the levy and collection of all the Direct Taxes are looked after by CBDT, whereas those relating to levy and collection of customs and central excise duties and service tax fall within the purview of Central Board of Customs and Central Excise.

10.7 Conclusion

The Finance Ministry is the most important ministry in the Central Government. It exercises great control over the working of all other departments. It prepares the national budget and submits it to the Parliament for approval. After the Parliament has approved the budget, it executes the budget and maintains control and supervision over the financial matters of the other departments. As said earlier, finance is the fuel for the engine of administrative machinery which is managed by the Finance Ministry. Thus, it keeps the administrative machinery on its wheels by providing money to different departments for expenditure.

10.8 Summing up

- The main role of the Finance Ministry is to prepare budget.
- It finalizes the budget on the basis of the estimates received from the various departments.
- The important departments under the Finance Ministry are the, the Department of Economic Affairs, the Department of Expenditure, and the Department of Revenue.
- Finance is the fuel for the engine of administrative machinery which is managed by the Finance Ministry. Thus, it keeps the administrative machinery on its wheels by providing money to different departments for expenditure.

10.9 Probable Questions

Essay Type Questions

1. Discuss the role of the Finance Ministry in the preparation of the Budget.
2. Write a note on the structural composition of the Finance Ministry.
3. Discuss the functions of the Department of Revenue.

Short Questions

1. What is the Department of Economic Affairs?
2. What is Finance Commission Division of the Expenditure Department?
3. What do you know about Central Pension Accounting Office?
4. Point out the responsibilities of the Controller General of Accounts.
5. Write a short note on the Department of Expenditure.

Objective Questions

1. What is the full form of DEA?
2. In which year was the Central Excise Act passed?
3. What is the full form of CGA?
4. What does CBDT stand for?
5. Who is the author of the book, "New Horizons of Public Administration"?

10.10 Further Reading

1. Mahajan, Sanjeev Kumar; Mahajan, Anupama, *Financial Administration in India*, PHI Learning Private Limited, Delhi, 2021
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MODULE – 4

Unit 16 □ Social Welfare: Concepts and Approaches

Structure

- 16.1 Objective
- 16.2 Introduction
- 16.3 Social Welfare As An Instrument for Social Justice and Human Rights
- 16.4 Important Ministries and Their Welfare Programs
- 16.5 Factors Hampering Social Welfare Service
- 16.6 Suggestions for Improving Social Welfare Service
- 16.7 Conclusion
- 16.8 Summing up
- 16.9 Probable Questions
- 16.10 Further Reading

16.1 Objective

After studying this unit, the learners will be able to –

- develop an understanding about the concept and scope of Social Welfare.
- learn about the various Schemes and Programmes for Social Welfare under Government of India

16.2 Introduction

Welfare is commonly referred to as a kind of government support, which is extended to ensure that members of a society, particularly belonging to the vulnerable section are able to meet their basic human needs like food and shelter. In ancient period, social welfare functions were performed only by compassionate people. The base of social welfare in Indian traditional culture comes from, *daya*, *dana*, *dakshina*, *bhiksha*, *sanya-bhava*, *swadharma* and *tyaga*, which were mainly done to train a person to become self-disciplined, to make self-sacrifice and to feel for others. These people usually possessed the qualities of humanism and selfless service to the community. However today, most of the countries have adopted the concept of a welfare state to protect the vulnerable section

of societies. Social welfare services are the services particularly extended to the weaker sections of the community so as to mainstream them. Social Welfare schemes and programs are designed and launched by the government to protect the citizens from the socio-economic problems and make their lives secured and safe. Thus Social welfare is an organised system of social services and institutions, designed to aid individuals and groups, to attain satisfying standards of life and health. Social welfare therefore, aims at providing services to weaker sections of the population who because of various handicaps such as physical, mental, economic and social, are unable to make use of social services provided by society or have been traditionally deprived of these services.

Paul Anthony Samuelson was the first economist to suggest the theory of the common welfare in the context of the state of welfare. He stated that the state is responsible for the achievement of the national social welfare as the state is duty-bound to provide its citizens with welfare. According to him, the state must have mechanism for governing and provision of the public welfare is funded through the taxation system. In addition, the state is capable of predicting what welfare benefits its citizens wish to receive.

It may be interesting to note that, the protection of the interests of every person is not assumed within the theory of social welfare. However, unlike public welfare, Social Welfare: Concept and Constitutional Legal Characteristics 153 human rights are legally obligatory for the state to support Public welfare is also an expression to some immaterial values (such as human rights) that have ethical and humane meaning As it is noted by United Nations Industrial Development Organization, certain categories of public welfare are closely connected with the aims of the millennium development, and the environment, health, knowledge, safety and governing are among these benefits. Three benefits from the ones mentioned above (the environment, health and safety) are mainly related to the risk-reducing benefits. Two of them, knowledge and governing, require increase and development of the relevant opportunities. Such social benefits as the social justice and the prosperity of the nation are of particular interest. In the post-war period, the significance of the social welfare includes services for children, youth, women, aged, scheduled castes, scheduled tribes, other backward classes, minorities, disabled, drug addicts, and economically underprivileged such as destitute and unemployed. Social welfare programmes are, therefore, directed to ameliorate their conditions and therefore it requires proper administration. The Government of India has laid down many social welfare and social security schemes for its citizens, which are funded either by the central government, state government or concurrently. Those Schemes which are fully funded by the central government are referred to as “central sector schemes” while schemes mainly funded by the centre and implemented by the states are “centrally sponsored schemes” .In the 2022 Union budget of India, there are 740 central sector schemes. and 65 centrally sponsored schemes .

The Ministry of Social Justice & Empowerment is entrusted with the task of empowerment of the disadvantaged and marginalized sections of society. The target groups of the Ministry include Scheduled Castes, Other Backward Classes, Persons with Disabilities, Senior Citizens, Victims of Substance Abuse, Transgender persons, and beggars. The Ministry has been implementing various programmes/schemes for the social, educational, and economic development of the target groups.

Article 38 of the Constitution reads: “The state shall strive to promote the welfare of the people by securing and protecting as effectively as it may, a social order in which justice – social economic and political – shall pervade all institutions of national life.” This provision provides a broad framework for the establishment of the welfare state. Accordingly following Fundamental Rights have been coined for the welfare of the people of India

Right to Equality (Art. 14 to 18)

Right to Freedom (Art. 19 to 22)

Right Against Exploitation (Art. 23 & 24)

Right to Freedom of Religion (Art. 25 to 28)

Right to Culture and Education (Art. 29 & 30)

Based on these rights several welfare measures have been launched by Indian governments:-

- Laws to protect children from exploitation eg..POCSO Act, JJAct
- Laws and welfare schemes to protect women from exploitation.eg.Maternal Benefit Act
- Programmes for the welfare of physically challenged. EG- PWD Act
- Reservation for SC, ST and OBC in legislature, employment and education.
- Schemes for the development of religious and linguistic minorities.
- Welfare schemes for the poor, backward classes and scheduled castes and scheduled tribes.
- Schemes for Health promotion like National Health Mission
- Acts for Minimum wages and equal wages for equal work for both men and women. Schemes to boost rural employment like Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA) and SwaranJayanti Gram SwarojgarYojna.
- Right To Education Act 2009 and SarvaSikshaAbhiyan to universalize education.
- Food Security Ordinance 2013.

16.3 Social Welfare As An Instrument for Social Justice and Human Rights

The Indian Constitution ensures social justice to every citizen to make their life meaningful. Social justice minimises the sufferings of the poor, The weak, The dalits, and tribals, deprived sections of society and tries to establish equality to live life with dignity. Through Social justice we may make sure that everyone enjoys equal treatment without social discrimination based on caste, color, race, religion, sex. Thus, social justice aims to attain a substantial degree of social, economic, and political equality. Therefore, social justice seeks to secure social order to promote the people's welfare. Social justice minimizes the inequalities in income, and strives to eliminate inequalities in status, opportunities, and facilities.

Social welfare is all about establishing collective wellbeing of members of a society and fulfils the social responsibility for continuous improvement. The study of social welfare measures are adopted to improve the quality of human life in a society, in all its dimensions, and explores the types of resources needed to enhance it. Social justice thus is inextricably linked with social welfare as it is concerned to ensure that people have equitable access to resources for human development, both within a society and globally. Social justice examines whether some groups have privileged access to resources while others are absolutely excluded from development. Therefore, social justice is committed to remove social inequalities.

Social welfare is also the determining factors for, human rights or personal freedoms (civil liberties), such as freedom from discrimination, right of work, health, education and information. Social Welfare secures the basic rights of human beings, and no one remains deprived of their legitimate entitlements without any social exclusion.

16.4 Important Ministries and Their Welfare Programs

There are several ministries that are set up under Indian Government to extend Welfare services to the Indian citizens which may be listed as below-

Scheme	Lead Ministry	Year of Launch	Sector	Summary
PM Poshan Shakti Nirman Abhiyaan	MoWCD	2021	Health, Education	Revamped version of 1995 Mid day Meal Scheme (Madhyahan Bhojan Yojana) to provide free lunch to school-children.

Scheme	Lead Ministry	Year of Launch	Sector	Summary
(PM-POSHAN, Prime Minister's Overarching Scheme for Holistic Nourishment, (lit) PM Nutrition Power Building Scheme				Financial outlay in 2022 was 10,233 crore (US\$1.3 billion). POSHAN Abhiyaan was launched in 2018.[19] Grouped under the umbrella scheme "Saksham Anganwadi and POSHAN 2.0". Expanded aims include reduce stunting, under-nutrition, anemia and low birth weight
Strengthening Teaching-Learning and Results for States (STARS)	MoE	2020	Education	To improve school education in six states covering 10 million teachers. Financial support by World Bank. This is a continuation of GOI-World Bank efforts since 1994 towards the same goal. Implemented through Samagra Shiksha Abhiyan
Garib Kalyan Rojgar Abhiyaan	12 ministries	2020	Employment	Employment campaign for the poor following coronavirus pandemic covering 12 ministries and 6 states. Launched on 20 June 2020 and ended on 22 October 2020
Jal Jeevan Mission	Ministry of Jal Shakti	2019	Rural Development	Accelerated Rural Water Supply Programme began in 1972.[28] Restructured into National Rural Drinking Water Programme (NRDWP) in 2009. To provide water to each rural household through individual taps. Financial outlay in 2022 is 60,000 (US\$7.9 billion). Consists of 'HarGharNal Se Jal' or 'Nal Se Jal Scheme
Ayushman Bharat Yojana (AB PM-JAY, Ayushman Bharat Pradhan Mantri Jan Arogya Yojana, People's Health	Ministry of Health and Family Welfare	2018	Health	Ayushman Bharat National Health Protection Scheme (AB-NHPS) aims to provide free access to healthcare for 50 crore people in the country. Implemented across India except 3 states/UTs. By July 2021 Ayushman cards issued numbered 16.14 crore. By March 2022 hospitalisations under the

Scheme	Lead Ministry	Year of Launch	Sector	Summary
Scheme)				scheme had crossed 30 million with a valuation of 35,000 crore
Samagra Shiksha	Ministry of Education	2018	Education	To improve overall effectiveness of schools from pre-nursery to class 12 and other measures. In 2022 its financial outlay allocated 37,383 crore (US\$4.9 billion). Subsumes Sarva Shiksha Abhiyan and others. World Bank supported
PM Jan Vikas Karyakaram	Ministry of Minority Affairs	2018	Development	Started in 2008 as Multi-sectoral Development Programme (MSDP). Development of minority concentration area
Rashtriya Gram Swaraj Abhiyan (RGSA, National Village Swaraj Campaign)	Ministry of Panchayati Raj	2018	Rural Development	To strengthen Panchayati Raj institutions and support them towards achieving Sustainable Development Goals.
Pradhan Mantri Matri Vandana Yojana	Ministry of Women and Child Development	2017	Mother Care	Launched as the Indira Gandhi Matritva Sahyog Yojana in 2010. Renamed in 2017. A cash incentive of not less than 6,000 (US\$79) to pregnant/lactating women
PM Ujjwala Yojana (PM Lighting Scheme)	Ministry of Petroleum and Natural Gas	2016	Energy, Health, Poverty	Launched to provide free LPG connections to women from below poverty line families.[45] While the scheme mainly addresses distribution of cylinders, their usage has been in question

16.5 Factors Hampering Social Welfare Service

Social Welfare Services often fail as they are not coordinated and implemented properly; There is a lack of collaboration, planning, monitoring or evaluation from time to time. Some of the challenges to the delivery of social welfare services are a shortage of social workers, poor recognition of social service practitioners, a lack of funding and high staff turnover and also because of low level of awareness about these welfare schemes they remain underutilized.

Moreover the government budget allocations for the social welfare services are also not sufficient. Here are the possible factors which often lead to hamper the social welfare activities in our country-

✓ **Lack of sufficient funds/resources:**

Lack of funds or resources is an important factor hampering the rendering of social welfare services. The welfare programmes fail to meet their goal and many of the tasks remain unaddressed due to paucity of fund, moreover the professionals, are not motivated to carry out their job, as most of time they are under-paid.

✓ **Lack of stable workforce:**

The acute shortage of professionally qualified workers has resulted in a severe lack of capacity to respond to the demand for social welfare services to vulnerable segment of our society. There are lack of training institutes which may impart training to the professionals in this field.

✓ **Insufficient collaboration with and support from the Department of Social Development:**

Lack of coordination and cooperation on multiple levels, especially between the government and NGOs and other welfare departments, has contributed to the serious difficulties in rendering the Social Welfare Services in our nation. The roles of government vis-à-vis those of the NGO sector in respect of service delivery need to be laid down clearly. The roles, functions and responsibilities of the social service practitioners in the public and private sectors is not clearly spelled out and defined, since lack of clarity on this issue causes role confusion, thereby the professionals working in this field keep on to shifting their responsibilities.

✓ **Unnecessary legal restrictions:**

At times, the Welfare services get disrupted due to restrictions imposed by government or other legal authorities, especially in case of taking decisions regarding carrying out of some program in the field, or other restrictions related to administrative activities within the welfare departments.

16.6 Suggestions for Improving Social Welfare Service

➤ **Expansion of social welfare services:**

For making the social welfare services successful, the Government have to be supported by NGOs and work must go on parallelly with them as NGOs may provide the majority of social services, especially those involving prevention and

early intervention. The urban-based NGOs need to expand their services to rural areas, for wider coverage.

➤ **Better government funding and opting for alternative ways of funding social welfare services:**

We know that though the social welfare services are being provided by non-governmental organisations, but the government should also devote attention to ensure that the required range of services is provided and provide the cooperation, innovation and equitable funding across provinces to ensure accessible services to all the needy families. Adequate funding is required to sustain the existing children's programmes and to further expand these services. The funding will also help in monitoring and evaluating the interventions and training of staff members.

➤ **Better collaboration between Government and NGOs:**

We may suggest a better collaboration and coordination between the NGOs and Government as a means of improving Social Welfare Services as the two sectors have complementary roles to play in the process of developing and implementing the Social Welfare programmes. The Government does not have the systems or capacity to work directly in the grassroot level due to some limitations thus they should be supported by the NGO sector sufficiently to render the services on their behalf, as NGOs can understand the pulse of the people and go deep into the problems and get it solved.

➤ **Recognition and recruitment of social welfare practitioners:**

There is still a gap between the need for and the supply of Professionals in the field Social Welfare service delivery system. The shortages of social service professionals should be addressed urgently and efficiently through enhanced deployment, capacity building and giving due recognition to them.

16.7 Conclusion

It may not be wrong to state that Social Welfare, adopts a "Rights Based Approach" as it is a way to restore social justice in our society. It ensures that people are not deprived of their legitimate rights and entitlements. Thus social justice is possible when all the welfare services are readily available for the citizens, and their basic human rights are secured. In this way they may easily have the access to these services to lead a dignified life. The Government must take initiatives to frame appropriate Welfare program which should be no more Need Based but Rights Based in nature.

16.8 Summing up

- Social welfare services are the services particularly extended to the weaker sections of the community so as to mainstream them.
- The social welfare includes services for children, youth, women, aged, scheduled castes, scheduled tribes, other backward classes, minorities, disabled, drug addicts, and economically under-privileged such as destitute and unemployed.
- Article 38 of the Constitution reads: “The state shall strive to promote the welfare of the people by securing and protecting as effectively as it may, a social order in which justice – social economic and political – shall pervade all institutions of national life.”
- The Government of India has laid down 740 central sector schemes and 65 centrally sponsored schemes social welfare and social security schemes for its citizens, which are funded either by the central government, state government or concurrently.
- However, Social Welfare Services often fail as they are not coordinated and implemented properly; there is a lack of collaboration, planning, monitoring or evaluation from time to time.
- For making the social welfare services successful, the Government have to be supported by NGOs and give due respect to the professionals in this area.

16.9 Probable Questions

Essay Type Questions

1. What do you mean by the term ‘Social Welfare’ services? How can Social Welfare Service ensure Social Justice in our Society?
2. Briefly discuss any four Social Welfare Programmes taken up by Government of India.
3. How can the constitutional rights be ensured by the Social Welfare Services?
4. What are the possible factors of barriers of Social Welfare Services in our country? In what ways can we overcome these barriers?

Short Questions

1. Who are the target groups of The Ministry of Social Justice & Empowerment?
2. Name the Schemes for Social Welfare under The Ministry of Woman and Child Development.

3. What is the aim of Ayushman Bharat Scheme?

Objective Questions

1. What is full form of NGO?
2. What is full form of POSCO?
3. What is full form of MGNREGA?
4. Which article of the constitution of India speaks of justice-social, economic and political?
5. In which year was the Right to Education passed?

16.10 Further Reading

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2. *Review Report of World Health Organization (2016)* “Social justice and human rights as a framework for addressing social determinants of health Final report of the Task group on Equity, Equality and Human Rights :Review of social determinants of health and the health divide in the WHO European Region”

Unit 17 □ Social Welfare Polices: Right to Education

Structure

- 17.1 Objective**
- 17.2 Introduction**
- 17.3 Education in India**
- 17.4 Right to Education Act**
- 17.5 Conclusion**
- 17.6 Summing up**
- 17.7 Probable Questions**
- 17.8 Further Reading**

17.1 Objective

After studying this unit, the learners will be able to

- know about the literacy status of India
- be aware about the various Government initiatives for promotion of Education in our country with special emphasis on National policies for Education and the Right to Education Act.

17.2 Introduction

As stated by UNESCO, “Education is a powerful tool by which economically and socially marginalized adults and children can lift themselves out of poverty and participate fully as citizens.” The human right to education is a fundamental and the basic right for all. Human rights are usually bracketed as either civil or political rights, or as economic, social, and cultural rights. The right to education is a part of rights, which generally requires intervention of the States for ensuring this right. Therefore this clearly indicates that States have the obligation to take steps toward fully realizing the right to education, using the maximum of available resources.

Every child, irrespective of their caste, religion or sex has the right to access to quality education. However, there are children who belong to the vulnerable sections, remain

deprived of education, due to lack of infrastructure, awareness and even because of several socio-economic reasons. This has far-reaching consequences on their future and even on the communities and societies in which they live. The Constitution of India was framed soon after its freedom, and the newly framed constitution, clearly declares that the states must take the responsibility to provide free and compulsory education to all children until they complete the age of 14 years. Indian constitution, Free and Compulsory Elementary Education was made a fundamental right in of December 2002 by 86th Amendment and this was further translated into the “Right to children to Free and Compulsory Education” Bill which was drafted in 2005, and enforced in the year 2009. Under the Right of Children to Free and Compulsory Education (RTE) Act, 2009, all children between the ages of six and 14 years have the right to elementary education (class 1-8) in a neighbourhood school. Amongst several provisions focused on elementary education, the Act provides for the no-detention provision till class 8 i.e., until the completion of elementary education. The RTE (Second Amendment) Bill, 2017 was introduced in Lok Sabha on August 11, 2017. The Bill abolishes the no-detention provision.

17.3 Education in India

An amendment was brought in Article 21 (A) of the Constitution of India to provide free and compulsory education to all children aged between 6-14 years. Article 15, 17, and 46 of the Indian Constitution ensures and safeguards the educational interests of the socially, economically, and educationally backward families including those belonging to scheduled castes (SCs), and scheduled tribes (STs) of our society. Still India is the home of about 37% illiterates in the global perspective and 47.78% out of school children in India are girls, while 60 lakh children in India are still out-of-school. According to the National Statistical Commission Report, the literacy rate of India was found to be 77.7% in 2017–18, while that of male and female to be, 84.7% and 70.3% respectively. Kerala has the highest literacy rate of 93.91% whereas Bihar has an average of 61.8% literacy rate. Scholarship examinations, The Mid Day Meal Scheme, SamagraShiksha Programme, SarvashikshaAviyan and Beti Bachao Beti Padhao are some of the major Government initiatives of our nation to promote Education.

Recommendation of National Policies of Education in India

India adopted its constitution in 1950, with the aim to achieve Social Justice and providing equality in opportunity for education for all. In 1948, a commission, headed by Dr. S Radhakrishnan with ten members was constituted, to report on University education in India and to recommend a mechanism to accommodate the country’s current and prospective requirements. The commission vouched for establishment of universities to

provide higher education in India, irrespective of religion, caste, gender and region. The commission in its report emphasized the rebuilding of the education system as recommended in the constitution of India. A Secondary Education Commission was formed to promote secondary education, under the chairmanship of Dr. A. Lakshmana swami Mudaliar in 1952. The commission suggested to bring about uniformity in school education across India and also recommended diversification of school courses with technical and vocational educations. However, this commission lacked any provision for the promotion of women's education. The Secondary Education Commission was preceded by Indian Education Commission, headed by D.S. Kothari. This commission is popularly known as Kothari Commission. Kothari Commission which was entrusted with the responsibility of dealing with all facets and segments of education and providing governments with the necessary recommendations to transform the National Education System. On the recommendation of this commission, the first national educational policy came up in India in the year, 1968. The second national educational policy came in the year 1986 which was further revised in the year 1992. Now the govt has come up with a third new education policy (NEP, 2020) to strengthen the Indian education system. The new education policy, 2020 replaced the thirty-four years old education policy to bring transformation and emphasised on making the educational system much more inclusive in nature.

National Education Policy 1968	National Educational Policy 1986 (Revised in 1992)	National Educational Policy 2020
	<ol style="list-style-type: none"> 1. This policy was introduced after the 42nd Constitution amendment of 1976. During this amendment, education was transferred from the state list to the concurrent list. 2. This policy focused on Early Childhood Care and Education (ECCE) through a child-centred approach (CCA), women's empowerment and adult literacy. 3. Emphasis was placed on setting up autonomous colleges and universities, which was missing in the prior policies. 	<ol style="list-style-type: none"> 1. This policy follows on 5+3+3+4 schooling structure and it focuses on strong Early Childhood Care & Education (ECCE) from the age of 3 and aimed at facilitating overall learning, development & well-being of children. 2. To bring the gross enrolment ratio (GER) to 100% from preschool to secondary school by the year 2030 to ensure universal access to education at all levels. 3. To facilitate the education for socioeconomically disadvantaged groups (SEDGs) the expansion of the National Institute of Open

National Education Policy 1968	National Educational Policy 1986 (Revised in 1992)	National Educational Policy 2020
	<p>4. To exploit rural talent and to materialize the Gandhian ideology, the goal was to create rural universities in rural areas.</p> <p>5. To achieve social milieu, scholarships & incentive schemes, residential schools and hostel facilities were created for SC, ST and girl students</p> <p>6. To meet the varied educational needs of the country, accessible and distance learning was also advocated.</p> <p>7. The technical and management curriculum has been reorganized following the reforms taking place in the national socio-technical and management systems.</p>	<p>Schooling (NIOS) and State Institutions of Open Schooling (SIOS) will be done.</p> <p>4. The curriculum will be restructured and its contents will be reduced. It will be multi-stream and there will be flexibility to choose subjects across streams. It will be made more professional, practical and experimental in nature for the holistic development of students.</p> <p>5. Three language policy will persist with the choice for the local language teaching medium until class 8. Students will know the vividness of Indian languages through the mission “Ek Bharat Sreshta Bharat”. The Sanskrit language will be taught at all levels, including as an option given in the three-language system. Other classical languages will be also taught as an option to keep the literature alive.</p> <p>6. To know the culture of other nations foreign languages will be offered at the secondary level.</p> <p>7. Board exams will be offered twice a year to assess the core competencies of students.</p>

National Education Policy 1968	National Educational Policy 1986 (Revised in 1992)	National Educational Policy 2020
	<p>8. The policy was focused to bring radical changes in education through the introduction of media & information technology in education.</p> <p>9. Several govt. schemes like SarvaShikshaAbhiyan (SSA), Mid -Day Meal Scheme (MDS), NavodayaVidyalaya (NVs), KendriyaVidyalaya (KVs) were started under this national education policy.</p> <p>10. The institutions of national importance like UGC, AICTE, ICMR, NCERT, and NIEPA etc. should be strengthened and making them reshape the national education system and establishing a functional and professional linkage between these institutions to promote research and innovation in higher education through a process of integrated planning.</p>	<p>8. A national assessment centre, PARAKH (Performance Assessment, Review & Analysis of Knowledge for Holistic Development) will assess the learning and achievement of students through national achievement survey (NAS) and state achievement survey (SAS)</p> <p>9. The national testing agency will conduct entrance tests twice a year to get admission into higher education institutions.</p> <p>10. The bachelor degree will be of three or four years and colleges will be given autonomy for the next 15 years to grant graded degrees to students. HEIs can offer different designs of master's degree program as per the provisions of the new education policy. They may offer two years master's degree with a second-year associated with research. They may offer a one-year master degree to those who have completed their one year of research in their bachelor degree program.</p> <p>11. M.Phil has been scrapped in this new education policy, NEP 2020.</p>

National Education Policy 1968	National Educational Policy 1986 (Revised in 1992)	National Educational Policy 2020
		12. Multidisciplinary Education & Research Universities (MERU) will be established at par with the premier institutions to promote quality education with global standards.

Source-[https://s3-ap-southeast-1.amazonaws.com/ijmer/pdf/volume10/volume10-issue3\(5\)/3.pdf](https://s3-ap-southeast-1.amazonaws.com/ijmer/pdf/volume10/volume10-issue3(5)/3.pdf)

17.4 Right to Education Act

In order to ensure education for all, the Government of India, passed the Right to Education (RTE) Act in 2009. This act provides for the free and compulsory education of all children between the ages of six and fourteen. As per the Ministry of Human Resource Development of India, the Right to Education Act secures the right of children to free and compulsory education till the completion of elementary education in a neighbourhood school. The Act prescribes rules and regulations relating to, buildings and infrastructure, pupil teacher ratios, school working days and teacher working hours. With the implementation of the RTE Act, the Government of India aims to achieve 100% literacy rate in India.

Under the (RTE) Act, 2009, all children between the ages of six and 14 years have the right to elementary education which includes children of class 1-8. Further, the RTE Act states that a child cannot be detained in any class till the completion of elementary education. This rule automatically promotes the child to the next class thus ensuring that detention would not lead to any drop outs of school. The Bill also waves off the provision of regular examination for the children of class 5 and class 8 at the end of every academic year. If a child fails the exam, he will be given additional instruction, and take a re-examination. If the child fails in the re-examination, the relevant central or state government may decide to allow schools to detain the child. However, there are differing views on whether children should be detained for failing examinations in elementary school. Some argue that automatic promotion reduces incentive for children to learn and for teachers to teach. Others are of the view that detaining a child may lead to drop outs and does not focus on the systemic factors that affect learning such as quality of teachers, schools, and assessment. Later, The RTE (Second Amendment) Bill, 2017 was introduced in Lok Sabha on August 11, 2017 to amend the RTE Act to remove the provision related to no- detention in the Act.

The salient features of RTE Act are:

- Right of children to free and compulsory education till completion of elementary education in a neighbourhood school.
- 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 interalia 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.

17.5 Conclusion

In sum, it can be concluded that the Indian government has formulated educational policies and Laws regularly to ensure that the Indian education system is of high quality and internationally recognised. The two previous national educational policies have helped to develop India's educational system, and the action plan for the third national educational policy is one of the platforms that will be used. The policy's results will

be evaluated using the outcomes of the current national education policy's action plan. If this policy focuses on the root causes of the issues and difficulties it faces, it will be effective. The RTE Act law ensures the citizens that no child will be left behind and every child will have access to a free and compulsory education. But it is very difficult to implement this law especially in rural area.

17.6 Summing up

- The human right to education is a fundamental and the basic right for all.
- Article 21 (A) of the Constitution of India is to provide free and compulsory education to all children aged between 6-14 years.
- Article 15, 17, and 46 of the Indian Constitution ensure and safeguard the educational interests of the socially, economically, and educationally backward families including those belonging to scheduled castes (SCs), and scheduled tribes (STs) of our society.
- The first National Educational Policy was formulated in India in the year 1968. The second national educational policy came in the year 1986 which was further revised in the year 1992. Now the Indian Government has come up with a third new education policy (NEP, 2020) which is more inclusive in nature to strengthen the Indian education system.
- In order to ensure education for all, the Government of India, passed the Right to Education (RTE) Act in 2009, to provide free and compulsory education of all children between the ages of six and fourteen and also with the aim to achieve 100% literacy rate in India

17.7 Probable Questions

Essay Type Questions

1. Discuss briefly the literacy status of India in your own words. How can we improve and promote education system in our country?
2. What are the ill effects of lack of low literacy level of our nation?
3. Discuss the recommendations of the National Policies of Education in India.
4. Discuss the salient features of Right to Education Act.

Short Questions

1. What are the characteristic features of National Policy of Education 2020?
2. Name the Schemes which were launched under the National Policy of Education 1986?
3. Give a brief account of the educational status of India.

Objective Questions

1. What is the full form of UNESCO?
2. In which year was Radhakrishnan Commission set up?
3. In which year was Kothari Commission established?
4. What is the full form of NEP?
5. What does PTR stand for?

17.8 Further Reading

1. Government of India, Ministry of Education (1968). National Policy on Education 1968 5. *Government of India, Ministry of Human Resource Development (1986). National Policy on Education 1986.*
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3. Pereira.E&Inchiparamban S (2013), “Awareness About The Right To Education (Rte) Act Among English Medium School Teachers Of Standard Ist To Viii th Of The Icse Board - An Action Research Project”in*International Journal of Advanced Research*

Unit 18 □ National Health Mission

Structure

- 18.1 Objective
- 18.2 Introduction
- 18.3 The National Health Mission (NHM)
- 18.4 NRHM- Strengthening Health Systems
- 18.5 Flexible Pool for Control of Communicable Diseases
- 18.6 Governance and Accountability Framework
- 18.7 Achievements under the National Health Mission (NHM) As of June 2021
- 18.8 Conclusion
- 18.9 Summing up
- 18.10 Probable Questions
- 18.11 Further Reading

18.1 Objective

After studying this unit, the learners will be able to

- have an idea about the nature of health care system of India.
- learn about the National Health Mission.

18.2 Introduction

A very popular proverb says, “Health is wealth”. Health is a crucial resource for everyday life, it is a positive concept, emphasizing social and personal resources, as well as physical capacities. The meaning, concept and definition of health has evolved over time. Earlier, the definitions of health focused on the theme of the body’s ability to function and health was seen as a state of normal function that could be disrupted from time to time by disease. Later in 1948, World Health Organization (WHO) proposed a definition that aimed higher, linking health to well-being, in terms of “physical, mental, and social well-being, and not merely the absence of disease and infirmity” . By physical health of a person we mean that the body is not affected by any disease whereas the mental or social health

is characterized by the ability of the people to accomplish various social tasks given to them. Being healthy has a multi-dimensional aspects, as a healthy person, may lead a healthy and productive life. Access to adequate, acceptable and quality healthcare services is important towards achieving 'Universal Health Coverage. Keeping this in mind Indian Government has been launching many Programmes and National Health Mission is one of such programmes.

18.3 The National Health Mission (NHM)

The National Health Mission (NHM) is the flagship health initiative that aims for the attainment of universal access to equitable, affordable, and quality health care services that are accountable and responsive to people's needs. The NHM was launched by the Government of India in 2013, by merging the existing National Rural Health Mission (NRHM) with the newly launched National Urban Health Mission (NUHM). The NRHM was launched in 2005. The goal of the Mission is to improve the availability of and access to quality health care by people, especially for those in vulnerable situation.

The goal of NHM-

- Reduction in Infant Mortality Rate (IMR) and Maternal Mortality Ratio (MMR)
- Universal access to public health services such as Women's health, child health, water, sanitation & hygiene, immunization, and Nutrition.
- Prevention and control of communicable and non-communicable diseases, including locally endemic diseases
- Access to integrated comprehensive primary healthcare
- Population stabilization, gender and demographic balance
- Revitalize local health traditions and mainstream AYUSH
- Promotion of healthy life styles
- Build state, district and city capacity for decentralized outcome based planning and implementation, based on varying diseases burden scenarios, and using a differential financing approach. There will be a focus on results and performance based funding including linkage to caseloads.
- Enable integrated facility development planning which would include infrastructure, human resources, drugs and supplies, quality assurance, and effective RogiKalyanSamitis (RKS).

- Create a District Level Knowledge Centre within each District Hospital to serve as the hub for a range of tasks including inter alia, provision of secondary care and selected elements of tertiary care, and the site for skill based training for all cadres of health workers, collating and analysing data and coordinating district planning.
- Improve delivery of outreach services through a mix of static facilities and mobile medical units with a team of health service providers with the skill mix and capacity to address primary health care needs.
- Strengthen the sub-centre/Urban Primary Health Centre (UPHC) with additional human resources and supplies to deliver a much larger range of preventive, promotive and curative care services- so that it becomes the first port of call for each family to access a full range of primary care services.
- Prioritize achievement of universal coverage for Reproductive Maternal, New-born, Child Health + Adolescent (RMNCH+A), National Communicable Disease Control and Non Communicable Diseases programmes.
- Expand focus from child survival to child development of all children 0-18 years through a mix of Community, Anganwadi, and School based health services. The focus of such services will be on prevention and early identification of diseases through periodic screening, health education and promotion of good health practices and values during these formative years and timely management including assured referral for secondary and tertiary level care as appropriate.
- Achieve the goals of safe motherhood and transition to addressing the broader reproductive health needs of women.
- Focus on adolescents and their health needs.
- Ensure the control of communicable disease which includes prompt response to epidemics and effective surveillance.
- Use primary health care delivery platforms to address the rising burden of Non Communicable Diseases
- Converge with Ministry of Women & Child Development and other related Ministries for effective prevention and reduction of under-nutrition in children aged 0-3 years and anaemia among children, adolescents and women.
- Empower the ASHA to serve as a facilitator, mobilizer and provider of community level care.
- Strengthen people's organizations such as the Village Health Sanitation and Nutrition Committees (VHSNC) and MahilaArogyaSamitis (MAS) for convergent inter-

sectoral page | 5 Framework for Implementation of National Health Mission | 2012-2017 planning to address social determinants of health and increasing utilization of health and related public services at the community level.

- Create mechanisms to strengthen Behaviour Change Communication efforts for preventive and promotive health functions, action on social determinants and to reach the most marginalized.
- Enable Social Protection Function of Public Hospitals through the universal provision of free consultations, free drugs and diagnostics, free emergency response and patient transport systems.
- Develop effective partnerships with the not-for-profit, nongovernmental organizations and with the for-profit, private sector to bring in additional capacity where needed to close gaps or improve quality of services.
- Improve Public Health Management by encouraging states to create public health cadre, and strengthening/ creating effective institutions for programme management, providing incentives for improved performance and building high quality research and knowledge management structures.
- Support states to develop a comprehensive strategy for human resources in health, through policies to support improved recruitment, retention and motivation of health workers in rural, remote and underserved areas, improved workforce management, required staff to help achieve IPHS norms of human resource deployment, development of mid-level care providers and creation of new cadres with appropriate skill sets, and in-service training.
- Enhance use of Information & Communication Technology to improve health care and health systems performance.
- Strengthen Health Management Information Systems as an effective instrument for programme planning and monitoring, supplemented by regular district level surveys and a strong disease surveillance system.
- Ensure universal registration of births and deaths with adequate information on cause of death, to assist in health outcome measurements and health planning.
- Establish Accountability Frameworks at all levels for improved oversight of programme implementation and achievement of goals. Mechanisms for accountability shall range from participatory community processes like Jan Sunwais/Samwads, Social Audit through Gram Sabhas to professional independent concurrent evaluation.

NHM is a centrally sponsored scheme i.e., a proportion of the overall outlay (60%) is given by the Centre and the rest 40% is met by the states. The total expenditure of the

States for NHM each year is the sum of the Central release during that year, State releases during the year and any unspent balance at the beginning of the year. Hence the total expenditure of the states towards NHM would be more than the central release.

NHM is headed by Mission Director and monitored by National Level Monitors appointed by the Government of India. Major components of the program include **Health Systems Strengthening** the- Reproductive-Maternal- Neonatal-Child and Adolescent Health(RMNCH+A) care services in Rural and Urban areas and prevention of Communicable and Non-Communicable Diseases.

18.4 NRHM- Strengthening Health Systems

Reproductive, Maternal, New-born, Child Health and Adolescent. (RMNCH+A) Services

All schemes and programmes that constituted RCH-II would be absorbed into the NHM. The NHM provides an opportunity to build on past work and renew the emphasis on strategies for improving maternal and child health through a continuum of care and the life cycle approach. The inextricable linkages between adolescent health, family planning, maternal health and child survival have been recognized. There is additional focus on adolescence as a distinct „life stage and the strategy is to increase knowledge and access to reproductive health services and information for adolescents and to address nutritional anaemia.

Another dimension of the continuum of care which will receive attention is the linking of community and facility-based care and strengthening referrals between various levels of health care system to create a continuous care pathway. All these aspects are embodied in the Strategic Approach to Reproductive, Maternal, Newborn, Child and Adolescent Health (RMNCH+A) in India . The main strategies for RMNCH+A include services for mothers, newborns, children, adolescents and women and men in the reproductive age group.

Maternal Health: Key strategies include improved access to skilled obstetric care through facility development, increased coverage and quality of ante-natal and post natal care, increased access to skilled birth attendance, institutional delivery; basic and comprehensive emergency obstetric care through strengthening of carefully prioritized health care facilities. This will be done through mapping and identifying health facilities as “delivery points” and strengthening them for delivery of comprehensive package of RMNCH+A services. The purpose is to ensure universal access to all populations in a district. Wherever required, private providers would also be contracted-in to supplement services through

public health facilities. Multi-skilling medical officers with specialist skills will be needed to provide emergency obstetric care. The JananiSurakshaYojana (JSY) which enables institutional delivery will be modified in the NHM period to synergize with the new Food Security legislation. Another key goal is to move towards UHC through an expanding comprehensive package of free and cashless services currently covering all pregnant women, and sick infants up to the age of one year, in government health institutions through JananiShishuSurakshaKaryakram (JSSK), thereby reducing financial barriers to care and improving access to health services by eliminating OOP expenditure in all government facilities. In addition strengthened emergency response and patient transport systems for improving access to institutional care, including assured availability of referral and transport services with respect to inter facility transfers and out referrals will be supported. Improved monitoring of care in pregnancy will be enabled by mother and child name based information systems, and facility and community based MDRs will be emphasized. Comprehensive women s health including pregnancy related morbidity, care for non-communicable diseases among women including screening and treatment of women for common cancers such as cervix and breast would be emphasized.

Access to safe abortion services: The focus would be to improve access to comprehensive abortion care, including post abortion contraceptive counseling and services, by expanding the network of facilities providing MTP services. MTP services would be provided at least in every 24*7 facility in every block and in every facility upgraded for FRU services (also Level 3 services). Multi-skilling of providers will include use of Manual Vacuum Aspiration (MVA) and medical abortion.

Gender Based Violence: The consequences of gender based violence against women include physical injuries, reproductive health problems, and mental health. Because women are most often seen for the provision of reproductive and child health services, this is a starting point to identify women who are at risk for or who are subject to domestic violence. The steps towards enabling a system wide response to gender based violence (GBV) include: sensitize and train frontline workers and clinical service providers to identify and manage GBV, train ASHAs to identify and refer/counsel cases of GBV in the community, develop effective referral mechanisms from primary care to secondary and tertiary centers, with assured services, build functional referral linkages and create follow up mechanisms with government departments and NGOs providing legal and social welfare services and women s support groups in the district.

Newborn and Child Health: This will be through a continuum of care from the community to facility level and include the provision of home based newborn and child care through ASHAs and ANMs, supplemented by AWW, and community level care for acute

respiratory infections, diarrhea, and fevers, including home remedies, first contact curative care, or referral as would be demanded appropriate. Essential newborn care and resuscitation at all delivery points through establishment of Newborn Care Corners and skilled personnel will be ensured. Facility Based Care for sick newborns will be provided through the establishment of Newborn Stabilization Units and Special Newborn Care Units. This includes strengthening public health facilities and accrediting private providers to manage referrals. Institutional care for sick children and provision for management of children with Severe Acute Malnourished (SAM) at Nutrition Rehabilitation Centers (NRC) will be linked to community based care for SAM. Infant and Young Child Feeding (IYCF) and nutrition counseling to support early and exclusive breastfeeding, complementary feeding, micronutrient supplementation and convergent action will be also encouraged through platforms like VHSNC, VHNDs etc. Reporting and reviewing of child deaths (under five years) is another area of attention. Universal Immunization: Sustaining Pulse polio campaigns and achieving over 80% routine immunization in all districts will be emphasized. Introduction of new and underutilized vaccines will be considered on the basis of recommendations of the National Technical Advisory Group on Immunization (NTAGI). Improved cold chain management would be ensured with adequate densities of Ice Lined Refrigerators (ILRs) and deep freezers. Adequate number of vaccination sessions and sites, and logistics arrangements to reach all such sites especially in remote areas will be a key area of intervention. Surveillance of vaccine preventable diseases would be integrated with IDSP and name based monitoring of children done through the MCTS system.

Child Health Screening and Early Intervention Services: The purpose is to improve the overall quality of life of children 0-18 years through early detection of birth defects, diseases, deficiencies, development delays including disability and provide comprehensive care at appropriate levels of health facilities. These services will be delivered through the RashtriyaBalSwasthyaKaryakram (RBSK). RBSK will cover at least 30 identified health conditions for early detection, free treatment and management through dedicated mobile health teams placed in every block in the country. District Early Intervention Centers (DEIC) will be set up to provide further screening and management support to children detected with health conditions and make appropriate referrals. The mechanism to reach all the target groups of children for health screening will be through enabling facility based newborn screening at public health facilities, by existing health manpower, and community based newborn screening at home through ASHAs during home visits. Children six weeks to six years would be screened periodically by dedicated Mobile Health Teams at the AnganwadiCenter. Further, in Government and Government aided schools children six years to 18 years will be screened. This intervention will not only halt deterioration of the condition but also reduce the OOP expenditure among the poor and the marginalized.

Additionally, the Child Health Screening and Early Intervention Services will also provide country-wide epidemiological data on the 4 Ds (i.e., Defects at birth, Diseases, Deficiencies, Developmental Delays and Disabilities). This is important to inform planning in the future, for area specific services. Public health institutions, private sector partnerships and partnerships with NGOs will be encouraged to provide specialized diagnostics/tests and services and to fill gaps in services. Such institutions would be reimbursed for services as per agreed costs of tests or treatment. In addition to the direct provision of such services, the state will enable convergence with ongoing schemes of other relevant ministries. Patient transport network supported under NHM will be used to transport sick children to higher facilities.

Adolescent Health: Adolescent Health programmes include the following priority interventions: Iron and Folic Acid (IFA) supplementation, facility-based adolescent health services, community based health promotion activities, information and counseling on sexual and reproductive health (including menstrual hygiene), substance abuse, mental health, non-communicable diseases, injuries and violence including domestic violence. These interventions will be operationalized through various platforms including Adolescent Friendly Health Clinics (AFHC), VHNDs, Schools, AnganwadiCenters and Nehru Yuva Kendra Sangathan (NYKS), Teen Clubs and a dedicated Adolescent Health Day. Outreach activities aimed at information provision and health promotion will be through Peer educators and mentors. Provision of nutrition counseling, treatment for RTIs/STIs, appropriate referrals and commodities such as IFA tablets, condoms, Oral Contraceptive Pills (OCPs) and pregnancy kits for all adolescent girls and boys at the AFHCs. Information and counseling will be provided by dedicated and trained counselors. There will be enhanced focus on vulnerable and marginalized sub-groups. Menstrual hygiene practices will be promoted in rural areas through use of sanitary napkins. This is to be combined with building adequate knowledge and information about the product through ASHAs. Provision of Weekly Iron and Folic acid Supplementation (WIFS) for addressing nutritional anemia among adolescent boys and girls in rural and urban areas would be part of the National Iron Plus Initiative. The scheme also includes nutrition and health education sessions, screening of target groups for moderate/severe anaemia and referring these cases to an appropriate health facility. There would be provision for biannual de-worming (Albendazole 400mg), six months apart, for control of helminth infestation, information and counseling for improving dietary intake and preventing intestinal worm infestation.

Family Planning: Meeting unmet needs for contraception through provisioning of a range of family planning methods will be prioritized. A differential approach between the high fertility states and the rest will be followed. In high fertility states the aim is to reduce fertility to replacement levels and states which have achieved replacement levels will sustain

it. Family planning services would be utilized as a key strategy to reduce maternal and child morbidities and mortalities in addition to stabilizing population. Post-partum and post abortion contraception would be a priority. All states would be encouraged to focus on promotion of spacing methods, especially Intra-Uterine Contraceptive Devices (IUCDs). Postpartum IUCD will be emphasized as a key spacing method to leverage the increase in institutional deliveries while ensuring appropriate counseling and quality of services. In addition to existing providers, AYUSH doctors will also be trained for IUCD services. Male involvement including male sterilization would be promoted. Distribution of contraceptives at the doorstep through ASHAs and other channels will be actively promoted. Improved family planning service delivery including access, availability and quality of services; counseling services through dedicated counselors; improved technical competence of the providers and increased awareness among the beneficiaries would be ensured. Month-long national campaigns on the eve of World Population Day would be continued every year in all states/ districts across the country. The compensation scheme for sterilization acceptors to cover loss of wages to the beneficiary and also to the service provider (and team) for conducting sterilizations would be continued. The clients will be insured in the eventuality of deaths, complications and failures following sterilization and the providers/ accredited institutions will be indemnified against litigations in those eventualities under the National Family Planning Indemnity Scheme (NFPIS). The State Quality Assurance Cell would be responsible for management of claims under the NFPIS scheme. Additional strategies to be adopted in the high fertility states are: the promotion of healthy spacing after marriage and between the births by engaging ASHAs as the motivator and counselor for the community; intensification of skill building strategies for family planning providers; involvement of private providers as appropriate to increase the use of spacing and limiting methods; substantial expansion in facilities and providers offering the full range of contraceptive services; and BCC activities that focuses on improving access and reducing unmet need.

18.5 Flexible Pool for Control of Communicable Diseases

The NHM will continue to focus on communicable disease control programmes and disease surveillance. The strategies, interventions and activities under each programme as also the resource envelopes have been approved already for the years 2013-17. The strategies, interventions and activities will be appropriately adapted and fine-tuned to meet the distinct challenges of urban settings. The Flexipool for Communicable Diseases will facilitate the states in preparing state, district and city specific PIPs. National Vector Borne Diseases Control Programme (NVBDCP): The NVBDCP is an umbrella programme for

prevention and control of vector borne diseases viz. Malaria, Japanese Encephalitis (JE), Dengue, Chikungunya, Kalaazar and Lymphatic Filariasis. Of these, Kala-azar and Lymphatic Filariasis have been targeted for elimination by 2015. The States are responsible for programme implementation and the Directorate of NVBDCP provides policy guidance and technical assistance, and support to the states in the form of funds and commodities. The Government of India provides technical assistance and logistics support including anti-malaria drugs, DDT, larvicides, etc. under the Programme. State Governments have to meet other requirements of the programme and to ensure effective programme implementation.

Revised National Tuberculosis Control Programme (RNTCP): The goal is to decrease mortality and morbidity due to TB and reduce transmission of infection until TB ceases to be a major public health problem in India. Objectives of the programme are to achieve and maintain cure rate of at least 85% among New Sputum Positive (NSP) patients and achieve and maintain case detection of at least 70% of the estimated NSP cases in the community. The current focus of the programme is on ensuring universal access to quality TB diagnosis and treatment services to TB patients in the community and now aims to widen the scope for providing standardized, good quality treatment and diagnostic services to all TB patients in a patient-friendly environment, in which ever health care facility they seek treatment from. The programme has made special provisions to reach marginalized sections including creating demand for services through specific advocacy, communication and social mobilization activities.

National Leprosy Control Programme (NLEP): Key activities include diagnosis and treatment of leprosy. Services for diagnosis and treatment (Multi Drug Therapy, MDT) are provided by all primary health centres and govt. dispensaries throughout the country free of cost. ASHAs are involved in bringing leprosy cases from villages for diagnosis at PHC, following up cases for treatment completion, and are paid an incentive for this. To address the problem in urban areas, Urban Leprosy control activities are being implemented in 422 urban areas with a population of over 100,000. These activities include MDT delivery services and follow up of patient for treatment completion, providing supportive medicines, dressing material and monitoring & supervision.

Integrated Disease Surveillance Programme (IDSP): IDSP is being implemented in all the States for surveillance of out-break of communicable diseases. Surveillance units have been established in all states/districts (SSU/DSU), with a Central Surveillance Unit (CSU) established and integrated in the National Centre for Disease Control (NCDC), Delhi. Weekly disease surveillance data on epidemic disease are being collected from reporting units such as sub centers, PHC, CHC, DH and other hospitals including government and private sector hospitals and medical colleges. The data are being collected on „S

syndromic; „P probable; & „L laboratory formats using standard case definitions. Over 90% districts report such weekly data through a dedicated e-mail/portal. The weekly data are analyzed by SSU/DSU for disease trends. Whenever there is rising trend of illnesses, it is investigated to manage and control the outbreak.

Communicable diseases need a special focus in urban areas, where disease transmission is facilitated by high population density. Poor urban management, lack of implementation of construction/ building laws, issues relating to water supply, poor waste disposal practices etc have a direct bearing on vector breeding. Diseases like TB which are transmitted through droplets have a higher incidence in crowded habitats. The NUHM, with a focus on urban areas, will enable heightened attention on prevention and control activities of communicable diseases

Integration of communicable disease programmes will occur at six levels:

- ✓ The district plan and facility strengthening plan for disease control programmes will be integrated with the overall strategy. For each of these programmes, there is a facility development requirement and a community action component. A strategic district plan would be able to ensure that both components are put in place.
- ✓ The BCC strategy will be integrated with the BCC strategy for the ASHA and VHSNC.
- ✓ Each programme could manage and maintain its own information system with the condition that the data from each system shall be exported to a common data warehouse. The current web-portal would be modified to allow data entry through multiple formats and routes of entry, and serve as a portal of access to information in different systems. The IDSP data, the data from the Disease Control programmes, from the health care facilities and the mortality data will be taken together to build an information base of all diseases in the district.
- ✓ The district/city plan will specifically address prevention and control of those communicable diseases with a significant prevalence specific to a district or city, other than the national disease control programmes.
- ✓ Progress review of the communicable disease programmes will be undertaken by the state, city and district health societies.
- ✓ Institutional mechanisms for capacity building, knowledge management and technical support at state and national levels will be developed, but at the district/city level activities would be integrated into the broad heads indicated earlier.

Flexible Pool for Non Communicable Diseases (NCD):

- ✓ NCDs account for 53% of the total deaths (10.3 million) and 44% (291· million)

of disability adjusted life years (DALYs) lost in India. By 2030, NCDs are projected to cause up to 67% of all deaths in India. Most NCDs have common risk factors such as tobacco use, unhealthy diet, physical inactivity, alcohol use and require integrated interventions targeting these risk factors. The rising burden of NCDs calls for concerted public health action. In addition to clinical approaches, preventive action and policy responses involving multiple stakeholders are required, and the NHM will need to address the growing burden of non-communicable diseases.

- ✓ The schemes and interventions under the non-communicable diseases that would be implemented upto the district hospital would be financed through a Flexible Pool for non-communicable diseases under NHM.

National Programme for Prevention and Control of Cancer, Diabetes, Cardiovascular Diseases and Stroke (NPCDCS): Primary care includes primary prevention of hypertension and diabetes, screening for these diseases and secondary prevention by routine follow up with medication to prevent strokes and ischemic heart disease. This needs to be linked through two way referral linkages with appropriate secondary and tertiary care providers. Cardiac Care Units for treatment of Ischemic heart disease, stroke and other cardiovascular emergencies, and facilities for diagnosis and treatment of chronic kidney diseases including dialysis will be made available at district hospital level. For cancer control, one dimension is care at the primary level, i.e. prevention, promotion, and early detection, assisted access to higher specialist care, guidance and support. Another dimension is to create a network of hospitals that could provide free care for cancer patients. Most of the latter is in the tertiary sector, but a number of district hospitals should also be able to provide cancer treatment. Facilities for screening of common cancers (Cervical Cancer, Breast Cancer and Oral cancer) and Day care centres for chemotherapy prescribed by Tertiary level cancer hospitals would be provided.

National Programme for the Control of Blindness (NPCB): The NPCB would be part of the NCD flexi-pool under the overarching umbrella of the NHM. The focus in the 12th Plan period would be to consolidate gains in controlling cataract blindness and also initiate activities to prevent and control blindness due to other causes. Key strategies are to increase public awareness about prevention and timely treatment of eye ailments; with a special focus on illiterate women in rural areas; continuing emphasis on primary healthcare (eye care) by establishing Vision Centers in all PHCs; active screening of population above 50 years through screening camps; transporting operable cases to eye care facilities; screening of school age children for identification and treatment of refractive errors (in synergy with the RBSK); with special attention in under-served areas; provision of assistance for other eye diseases like Diabetic Retinopathy, Glaucoma and childhood blindness through use of laser techniques, corneal transplantation,

Vitreoretinal Surgery, construction of dedicated Eye Wards and Eye Operation Theatres (OT) in District Hospitals in NE States and few other States as needed, use of Mobile Ophthalmic Units, at district level for patient screening & transportation; and strengthening of existing Eye Banks and Eye Donation Centres. NGOs will be involved and the private sector will be contracted-in where required.

18.6 Governance and Accountability Framework

The NHM would have the following framework for ensuring accountability: -

At the national level, the Mission Steering Group would continue to exercise the main programme and governance oversight.

At the state level, the State Health Mission and the Governing Body (GB) of the State Health Society and the District/City Health Society would serve as the primary mechanism of holding programme executives accountable.

The GB would meet annually, while the Executive Committee (EC) would meet at least thrice a year. Regular meetings of the GB and EC with adequate preparation, reports, transparency and multi-stakeholder participation are essential. The Society is also answerable through its Chairperson and Member Secretary to the Legislature and Parliament.

The Statutory Audit report would mandatorily be placed before the GB of the SHS every year and shall report compliance on observations of statutory auditor.

18.7 Achievements under the National Health Mission (NHM) As of June 2021

Health Human Resources Augmentation	2,74,289
Functional FRUs (First Referral Units)	3,001
Operational Mobile Medical Units	1,634
Operational Ambulances	27,719
Accredited Social Health Activists (ASHAs)	10,72,148
No. of PHCs working on 24X7 basis	10,951
Setting up of RogiKalyanSamitis	33,757
Village Health Sanitation and Nutrition Committees constituted	5, 55,206

Source: GoI Press Release dated 17 December 2021

On 17th December 2021, in Lok Sabha the Government of India highlighted the following achievements under NHM.

- Improvement in Health indices – MMR fell from 556 per lakh live births to 113 per lakh. The under-5 Mortality rate also declined from 80 in 1990 to 32 in 2018.
- Reduction in out-of-pocket expenditure on health from 64.2% in 2013-14 to 48.8% in 2017-18. This is cited as one of the key improvements to the public health infrastructure by the government. Improvement is also seen in the proportion of the population seeking public health care.
- Improvements related to the incidence of the disease include – Tuberculosis, Malaria, Kala Azar, Dengue etc.

18.8 Conclusion

National Health Mission has been a historical milestone in the country's healthcare planning. The scheme has been successful in establishing an institutional framework and a mechanism of facility-level, need-based planning through concerted and coordinated efforts. However, despite the improvements and the mechanisms established, there are gaps which make it difficult to gauge the impact of the strategy thereby limiting translation of learning into long-term policy and planning. It is, therefore, imperative to identify the weaknesses and opportunities from NHM through continuous assessments and data reviews in the coming years to make the programme even more meaningful in the near future.

18.9 Summing up

- Health is a crucial resource for everyday life
- WHO defines Health as "physical, mental, and social well-being, and not merely the absence of disease and infirmity".
- The National Rural Health Mission was launched in 2005.
- National Health Mission was launched by the Government of India in 2013, by merging the existing National Rural Health Mission (NRHM) with the newly launched National Urban Health Mission (NUHM).
- National Health Mission has proved to be a successful program, as it has improved the availability of and access to quality health care for people, especially for those in vulnerable situation.

18.10 Probable Questions

Essay Type Questions

1. Define Health. What are the different ways in which we can ensure good health for all in our society?
2. Write a brief note on RMNCH+A.
3. Discuss the goals of National Health Mission.
4. How can National Health Mission help to combat the Non Communicable diseases?

Short Questions

1. Give an account of the Governance and Accountability framework of National Health Mission.
2. Write a short note on the achievements of National Health Mission of India.

Objective Questions

1. What is the full form of WHO?
2. What does NHM stand for?
3. In which year was National Rural Health Mission launched?
4. What is the full form of JSY?
5. What is the full form of NUHM?

18.11 Further Reading

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Unit 19 □ Right to Food Security

Structure

- 19.1 Objective
- 19.2 Introduction
- 19.3 Right to Food
- 19.4 Food Security and Nutrition
- 19.5 Food Security in India
- 19.6 Conclusion
- 19.7 Summing up
- 19.8 Probable Questions
- 19.9 Further Reading

19.1 Objective

After studying this unit, the learners will be able to

- know about the concept of the Right to Food
- develop an insight to chalk out ways in which the problem of food scarcity may be solved and no one is deprived of this basic right in our society.

19.2 Introduction

The United Nations declared October 16 as the World Food Day. This day is observed with an aim to spread awareness about eradicating hunger and ensuring food security for all. Food security can be understood as the availability of food and individuals' ability to access it. According to the United Nations' Committee on World Food Security, food security is defined as –"all people, at all times, have physical, social, and economic access to sufficient, safe, and nutritious food that meets their food preferences and dietary needs for an active and healthy life". The food must be available for all, irrespective of class, gender or region, as it is the basic Human Right for all. At the 1974 World Food Conference, the term "food security" was defined as the - "availability at all times of adequate, nourishing, diverse, balanced and moderate world food supplies of basic foodstuffs to sustain a steady expansion of food consumption and to offset fluctuations in

production and prices” . Further the first World Food Summit, held in 1996, stated that, Food Security “exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life.”

19.3 Right to Food

It is the obligation of a state to ensure human rights, including the right to food, under international law. These obligations are established by The International Covenant on Economic, Social and Cultural Rights (United Nations, 1966). Article 11 ensures the right to an adequate standard of living, including food, and the right to be free from hunger, while Article 12 establishes the right of everyone to the enjoyment of the highest attainable standard of physical and mental health. States are obliged to respect the right to food by not taking any measures that prevent access to food, by ensuring that individuals are not deprived of access to adequate food, and by proactively carrying out activities that strengthen people’s access to resources and means to ensure food security. In cases where people are unable to realize the right to food, states are obliged to provide that right directly through food aid but should facilitate future self-reliance and food security. The Committee on World Food Security (CFS) at the UN-FAO adopted the Voluntary Guidelines for the Progressive Realization of the Right to Adequate Food in the Context of National Food Security (Right to Food Guidelines) in 2004, providing a precedent for the inclusive and participatory approach to governance of FSN. Spurred by successive global food, financial and economic crises caused by the 2007–2008 food price spike, the CFS underwent a reform in 2009. The mandate to contribute to the progressive realization of the Right to Adequate Food was included in the vision statement of the reformed CFS and has since been reaffirmed in most substantive CFS policy decisions.

The right to food has been included in several policies many jurisdictions. Lets take an example, the Indian, constitution guarantees the protection of life and requires the state to raise the level of nutrition of all citizens. In 2001, civil society groups went to court to demand that the right to food for all citizens was recognized, and their case was upheld by the Supreme Court. As a result, the various food, social security and livelihood programs enacted by the state in India have become a legal entitlement rather than a benefit programme.

19.4 Food Security and Nutrition

Food security “exists when all people, at all times, have physical and economic access to sufficient, safe and nutritious food to meet their dietary needs and food preferences for an active and healthy life” (FAO, 1996). Conceptually, food security and nutrition overlap, with food security being a necessary but not sufficient condition for nutrition security. The four pillars of food security and nutrition are articulated by FAO (1996) and other organizations to include the following:

1. **Availability:** Sufficient food supply of appropriate quality.
2. **Access:** Adequate resources (including infrastructure and economic resources) to actually acquire appropriate and nutritious foods (i.e., the presence and functioning of appropriate entitlements).
3. **Utilization:** The ability to actually consume and benefit from an adequate diet, which is strongly affected by overall health status, clean water, appropriate sanitation, and health care (i.e., non-food inputs in food security).
4. **Stability:** Consistency in access to adequate, nutritious food and non-food resources—in other words, the avoidance of or resilience to natural, financial, or social shocks as well as stability in food security throughout seasonal or gradual changes.

Access to food is understood by a number of scholars. It has two critical dimensions: asset-based agency, currently emphasized under access as the second FSN pillar above; and institution-based agency, essentially concerned with where powers reside, and their transfer when necessary to increase empowerment.

Institution-based agency is central to debates around the democratization of food systems. Since the four pillars were first articulated, increasing evidence indicates a need for more explicit ways of addressing critical aspects of human empowerment, recognition of rights, and reinforcement of community capacities (in particular with respect to water and sanitation, infant and young child nutrition, and women’s education) to make progress in achieving FSN outcomes. The methodological framework of this study incorporates a fifth FSN pillar on “agency,” in keeping with its emergence as a critical dimension.

5. **Agency:** The empowerment of citizens in defining and securing their own food and nutritional security, requiring socio-political systems wherein policies and practices may be brought forth by the will of citizens and be reflected in governance structures to enable the achievement of overall food and nutrition security. This includes

access to accurate information, the right to such information and to other aspects of food security, and the ability to secure such rights.

19.5 Food Security in India

Public Distribution System (PDS) was introduced by India government to abolish scarcity of food grains. PDS supports the consumers from price rise by providing them cheap food grains. The major commodities supplied by the public distribution system are rice, wheat, kerosene, sugar etc... PDS has become one of the most important policies of India government. The Central government and the State government share the responsibility of smooth running of PDS. PDS includes a chain of shops called Fair price shops or Ration shops, through which the consumers can buy food grains at affordable prices, using their ration cards. The Central government has the responsibility to collect the food grains from the farmers and to allocate it to the states. Thus it is also a part of India's agricultural policy. The central government procures food grains from the farmers at a minimum support price (MSP) through the Food Corporation of India (FCI). The state governments share the responsibility of identification of the needy people, the distribution of ration cards and the distribution of ration items among them. Various plans are being introduced to streamline the PDS and to improve its efficiency. Till 1992 PDS was having a general form which considered all its consumers equally without any specific targets. In 1992 it got revised and became RPDS (Revamped public distribution system) to focus on the poor section of the society. In 1997 RPDS became TPDS (targeted public distribution system) which divided the households into APL (above poverty line) and BPL (below poverty line) to supply subsidized food grains among the needy people. Antyodaya Anna yojna was launched in 1st April 2000 to support the poorest among the poor. National Food Security Act-2013 is the last among them. The act was passed as a bill in the parliament on 10th September 2013 and it aims to provide legal right to food to the poor. As per the provision of the bill, it is proposed to provide food grains under TPDS at a subsidized prices of Rs. 3/2/1 per kg for rice, wheat and coarse grains among the needy people

The National Food Security Act, 2013 aims to provide subsidized food grains to approximately two-third of the country's population. The enactment of this landmark legislation, brought a paradigm shift in approach to food security, from welfare to rights-based approach.

Now let us take a quick glance at the salient features of the act:

1. The Act covers up to 75% of rural and 50% of the urban population with uniform entitlement of 5kg/person/month ration.

2. The state/UTs shall identify the eligible households.
3. Pregnant Women and Lactating Mothers (PWLM) shall be entitled to receive maternity benefits of not less than 6000 rupees.
4. Pregnant Women and Lactating Mothers and children in the age group of 6 months to 14 years will be entitled to meals as per prescribed nutritional norms under ICDS, MDM (PM-Poshan).
5. Eldest women of the household of age 18 years or above to be deemed as head of the household for the purpose of issuing ration cards.
6. Act has provisions for grievance redressal at district and state level.
7. The Act makes it compulsory to carryout social audits, setting up of vigilance committees, and maintain records etc.

The Department of Food and Public Distribution under the Ministry of Consumer Affairs, allocated Rs 1,50,000 crore, or 7.6% of the government's total expenditure for providing Food Subsidy in the year 2017-18. Food subsidy has been the largest component of the Department's expenditure (94% in 2017-18), and has increased six-fold over the past 10 years. This subsidy is used for the implementation of the National Food Security Act, 2013 (NFSA), which provides subsidised food grains (wheat and rice) to 80 crore people in the country. The NFSA seeks to ensure improved nutritional intake for people in the country. The NFSA guarantees food grains i.e. wheat and rice to beneficiaries, to ensure nutritious food intake. Over the last two decades, the share of cereals or food grains as a percentage of food consumption has reduced from 13% to 8% in the country, whereas that of milk, eggs, fish and meat has increased. This indicates a reduced preference for wheat and rice, and a rise in preference towards other protein rich food items. The subsidy on food is provided to people below the poverty line. Over the years, the expenditure on food subsidy has increased, while the ratio of people below poverty line has reduced. A similar trend can also be seen in the proportion of undernourished persons in India, which reduced from 24% in 1990 to 15% in 2014. These trends may indicate that the share of people needing subsidised food has declined.

A survey was conducted in 2011, where it was noted that people complained about receiving poor quality food grain which had to be mixed with other grains to be edible. There have also been complaints about people receiving food grains containing alien substances such as pebbles. Poor quality of food may impact the willingness of people to buy food from fair price shops, and may have an adverse impact on their health.

The Ministry has stated that while regular surveillance, monitoring, inspection and random sampling of all food items is under taken by State Food Safety Officers, separate data for food grains distributed under PDS is unavailable. In the absence of data with regard to quality testing results of food grains supplied under PDS, it may be difficult to ascertain whether these food items meet the prescribed quality and safety standards.

According to a study conducted in 2011, it was estimated that 46.7% of the beneficiaries remain deprived of the food grain to which they are actually entitled. The reasons for such deprivation are-

- (i) Pilferage during transportation of food grains,
- (ii) Diversion at fair price shops to non-beneficiaries,
- (iii) Exclusion of entitled beneficiaries from the list.

In 2016, the Comptroller and Auditor General, after an investigation found that there were many states which did not complete the process of identifying beneficiaries, and thus it was also noted that inclusion and exclusion errors had been made in the beneficiary lists. Subsequently, in February 2017, the Ministry made it mandatory for beneficiaries to use their Aadhaar, as proof of identification for receiving the food grains. In this way, the government made efforts to remove fake ration cards, and ensure better delivery of food grains. The government then issued digitalized ration cards after linking it with Aadhaar, so as to make the whole process more authentic.

19.6 Conclusion

According to the Organisation for Economic Co-operation and Development (OECD) India has one of the lowest per capita daily supply of calories, protein and fat. One of the biggest challenge of contemporary India is the high rates of child malnutrition and the largest number of undernourished people in the world, even though our nation is emerging as one of the fastest growing economies. India is an exporter of foodgrains to different developed countries for more than a decade now, unfortunately India has malnutrition levels almost double the levels of many countries in Africa. This problem needs a multi-disciplinary approach, which may include women's empowerment, education, health, and safe drinking water, provisions for nutritious food, sanitation, and hygiene. The National Food Security Act (NFSA), 2013, covering two-third of the Indian population with subsidised food and universal entitlements for women and children, is definitely a crucial step towards addressing the food problem, but there is a need for its speedy implementation and take up steps to avoid exclusion of poor households, and setting up an independent grievance redressal

mechanism. Strengthening the proper implementation of the National Food Security Act (NFSA) and thereby ensuring the need of the Right to food security for all is our hour.

19.7 Summing up

- The United Nations declared October 16 as the World Food Day, with an aim to spread awareness about eradicating hunger and ensuring food security for all.
 - The food must be available for all, irrespective of class, gender or region, as it is the basic Human Right for all.
 - The Indian constitution guarantees the protection of life and requires the state to raise the level of nutrition of all citizens, thus, the various food, social security and livelihood programs enacted by the state in India have become a legal entitlement rather than a benefit programme.
 - The four pillars of food security and nutrition as articulated by FAO (1996) are- Availability, Accessibility, Utilization and Stability.
 - Public Distribution System (PDS) was introduced by India government to abolish scarcity of food grains.
 - The National Food Security Act, 2013 aims to provide subsidized food grains to approximately two-third of the country's population.
 - The National Food Security Act (NFSA), 2013, covering two-third of the Indian population with subsidised food and universal entitlements for women and children, is definitely a crucial step towards addressing the food problem.
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19.8 Probable Questions

Essay Type Questions

1. Discuss the National Food Security Act, 2013.
2. Write a short note on food security in India.
3. Why do the beneficiaries remain deprived of their right to Food grain in our country?
4. What are the measures taken by Indian Government to secure the Right to Food in our country?

Short Questions

1. How can we tackle the problem of scarcity of food in a country like India?
2. Write a short note on food security in India.

3. Discuss the Public Distribution System (PDS) in India.

Objective Questions

1. In which year did the first World Food Summit take place?
2. What is the full form of FAO?
3. In which year was NFSA passed in India?
4. What is the full form of TPDS?
5. What does OECD stand for?

19.9 Further Reading

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Unit 20 □ MGNREGA

Structure

- 20.1 Objective
- 20.2 Introduction
- 20.3 Objective of MGNREGA
- 20.4 Key Features of MGNREGA
- 20.5 The Social Benefits of MGNREGA
- 20.6 The Ecological Benefits
- 20.7 Review Report of the Standing Committee
- 20.8 Recommendations of the Standing Committee
- 20.9 Conclusion
- 20.10 Summing up
- 20.11 Probable Questions
- 20.12 Further Reading

20.1 Objective

After studying this unit, the learners will be able to

- know about the right to livelihood.
- know about MGNREGA, a scheme particularly meant for the people living below poverty level by guaranteeing them 100 days of work.

20.2 Introduction

The Indian Constitution has the provision for right to life and livelihood under article 21 to all the people by securing the right to work to the citizens, a living wage, social security and a decent standard of living which is in accordance to article 41-43 and to protect the environment, which is covered under, article 48A and 51). In order to achieve these obligations, the government of India made an act that legally promised to provide 100 days of wage employment in every financial year to unskilled persons of every rural household.

This act came to known as the National Rural Employment Guarantee Act-2005. This act also provides the enhancement of livelihood security to each household in rural areas and put emphasis on conservation of land and water (the gazette of India). The act confers entitlements upon people of the village and forward. It was initially started in 200 districts on 2nd February 2006, and later all district of India were covered from 1 April 2008. So, now it is about a decade long journey of this act, and it is need of the time to analyze its positive outcomes as well as shortcomings. Today this act is known as Mahatma Gandhi National Rulal Employment Guarantee Act (MGNREGA).

MGNREGA was implemented in phases, starting from February 2006, and at present it covers all districts of the country with the exception of those that have a 100% urban population. The Act provides a list of works that can be undertaken to generate employment related to water conservation, drought proofing, land development, and flood control and protection works. MNREGA is culmination of various rural Wage Employment Programmes such as Nation Rural Employment Programme (1980), Rural Landless Employment Guarantee Programme (1983), Jawahar Rozgar Yojana (combining NREP & RLEG) (1989), Employment Assurance Scheme (1993) Jawahar Gram Samridhi Yojana (1989), Sampooran Gramin Rozgar Yojana (merged EAS& JGSY,2001), Food for Work Programme (2004). The Thrust areas of the Programme: Census data shows that nearly 68.84 % of India's population still resides in rural areas. Agriculture is clearly the backbone of rural economy and unfortunately agriculture in India is subject to seasonal vagarities of weather and can be characterized as a "Gamble in Monsoon". 68% of the net sown area is rain fed. Because of the seasonality it was presumed by the law makers that guaranteed public employment for 100 days in a rural household would guarantee security of livelihood as during the harvest season, labour demand is manifold as compared to the lean season when labour demand is low. Nevertheless, the thrust areas of MGNAREGA are –

- i) Reducing or alleviating chronic rural poverty.
- ii) Addressing the problem of - Drought, Deforestation, Soil erosion etc.
- iii) Generating productive and durable rural assets.
- iv) Protecting the environment.
- v) Empowering rural women.

20.3 Objective of MGNREGA

MGNREGA (Mahatma Gandhi National Rural Employment Guarantee Programme) is a crucial programme of the Indian Government. The Act of the Govt. has given statutory status to the programme and has the following salient features:-

- (1) The Scheme Guarantees 100 days of employment to a rural household, whose adult members are willing to work or Volunteer to do unskilled manual labour.
- (2) Only productive works are envisaged to be taken up under the programme which may contribute towards social equity and their ability to create permanent assets. All works and transactions are subject to social audit by the Gram Sabha or appropriate village level committees.
- (3) Wages may be paid in cash or kind with a provision for deduction to the extent of 5% for the benefit such as health insurance, accident insurance maternity benefits and social security schemes. The state councils constituted as per provisions of the Act can make guidelines and recommendations on the wage determination and payment.
- (4) Job is to be provided within a radius of 5 km of the registered household. Special provisions are mandated at worksites to look after children under the age of six years and women engaged under the Act.
- (5) There is a provision of payment of compensation if the registered household is not provided employment or job within days of making the request for job after issuance of Job card and registration. This provision is conspicuous for its role in maintaining sustainability of livelihood in rural areas.
- (6) MGNREGA aims to address the causes of chronic poverty and thus ensuring sustainable development.
- (7) Finally, there is an emphasis on strengthening the process of decentralisation through giving a significant role to Panchayati Raj Institutions (PRIs) in planning and implementing these works.

20.4 Key Features of MGNREGA

- **Legal right to work:** Wages must be paid according to the wages specified for agricultural labourers in the state under the Minimum Wages Act, 1948, unless the central government notifies a wage rate (this should not be less than Rs 60 per day). At present, wage rates are determined by the central government but vary across states, ranging from Rs 135 per day to Rs 214 per day.
- **Time bound guarantee of work and unemployment allowance:** Employment must be provided within 15 days of being demanded failing which an 'unemployment allowance' must be given.
- **Decentralised planning:** Gram Sabhas must recommend the works that are to be

undertaken and at least 50% of the works must be executed by them. PRIs are primarily responsible for planning, implementation and monitoring of the works that are undertaken.

- **Work site facilities:** All work sites should have facilities such as crèches, drinking water and first aid.
- **Transparency and accountability:** There are provisions for proactive disclosure through wall writings, citizen information boards, Management Information Systems and social audits. Social audits are conducted by gram Sabhas to enable the community to monitor the implementation of the scheme.

Funding: Funding is shared between the centre and the states. There are three material and administrative costs. The central government bears 100% of the cost of unskilled labour, 75% of the cost of semi-skilled and skilled labour, 75% of the cost of materials and 6% of the administrative costs.

20.5 The Social Benefits of MGNREGA

The MGNREGA programme has achieved many social and economic achievements which are being reported by various research scholars and government institutions (MGNREGA Sameeksha, 2012) –

Provided guaranteed wage employment of 100 days in a financial year, thus enhanced social security and living standards. It has provided around Rs. 1, 10,700 crore as worker wages from FY 2006 up to FY 2011–12. It reveals a positive impact of this transfer on household income, monthly per capita expenditure, food security and health of the beneficiaries. In Chhattisgarh, Orissa, Jharkhand and Andhra Pradesh, income of rural labour households has gone up as a result of this programme.

Provided work opportunities for women by reserving 1/3 of employment, which enabled women empowerment in rural areas. Many self-help groups and civil society organisations have been encouraging women participation in MGNREGA.

Research reveals that this programme has led to an increase in agriculture wage rates and has increased the real daily agricultural wage rates by 5.3 per cent. The wage effect is equal for both men and women and is in favour of unskilled labour. .

The Scheme has prevented migration towards cities and has given work opportunity at native place and this has increased household income which is used for food security, education of dependents, health care and debt repayments.

Several studies reflect that MGNREGA has succeeded in high participation from

marginalised groups including the SCs and STs. At the national level, the share of SCs and STs in the work provided under MGNREGA has been high at 40–50 per cent in each year. In FY 2011–12 alone, 40 per cent of the total person-days of employment (84 crore out of 209 crore) were provided to SCs and STs.

20.6 The Ecological Benefits

The MGNREGA programme also put emphasis on conservation efforts for protection of land and water. Sufficient work has been done through MGNREGA for water harvesting, groundwater recharge, drought-proofing, and flood protection. Thus the scheme has successfully done a lot for conservation and protection of environment

This programme enhanced the capability of natural resources like soil, water bodies, plantations, irrigation facilities, drought resistance, flood control, roads to connect the rural areas.

By the creation of sustainable rural assets, water- conservation and forestry works, MGNREGA contributed to ecological restoration and generate environmental benefits through increased livelihood security, especially for rural women to climate change and other shocks (MGNREGA Sameeksha, 2012).

One of the study revealed that MGNREGA works across eight districts of Bihar, Gujarat, Kerala and Rajasthan the water related assets like irrigation, ponds, wells were found durable and they were fully utilized (MGNREGA Sameeksha, 2012).

Challenges: However, the Committee found several issues with the implementation of the scheme. As Table 1 (above) shows, the average number of days of employment provided to households has been lower than the mandated 100 days, and has been decreasing since 2010-11. Key issues that the Committee raised include

- **Fabrication of job cards:** While as many as 12.5 crore households have been issued job cards out of an estimated 13.8 crore rural households (as per the 2001 census), there are several issues related to existence of fake job cards, inclusion of fictitious names, missing entries and delays in making entries in job cards.
- **Delay in payment of wages:** Most states have failed to disburse wages within 15 days as mandated by MGNREGA. In addition, workers are not compensated for a delay in payment of wages.
- **Non-payment of unemployment allowances:** Most states do not pay an unemployment allowance when work is not given on demand. The non-issuance of dated receipts of demanded work prevents workers from claiming an unemployment

allowance.

- **Large number of incomplete works:** There has been a delay in the completion of works under MGNREGA and inspection of projects has been irregular. Implementing agencies were able to complete only 98 lakh works out of 296 lakh works.
- **Other key challenges** include poor quality of assets created, several instances of corruption in the implementation of MGNREGA, and insufficient involvement of PRIs.

20.7 Review Report of the Standing Committee

The Standing Committee on Rural Development and Panchayati Raj (Chair: Mr. Prataprao Jadhav) presented its report on ‘Critical Evaluation of Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA)’ on February 8, 2022. Key observations and recommendations of the Committee include:

- **Increase in number of days of work:** Under the scheme, state governments can ask for 50 days of work, in addition to the guaranteed 100 days, in case of exigencies arising from natural calamities. The Committee noted that the scheme should be revamped to meet the challenges in the wake of COVID-19. It recommended to increase the guaranteed days of work under the scheme from 100 days to 150 days.
- **Revision of permissible works:** The Committee observed that the ambit of permissible works under the scheme requires frequent revision. It recommended the Ministry of Rural Development to consult stakeholders and include area-specific works under MGNREGA as per local needs. These may include, for instance, construction of bunds to stop land erosion during floods, and boundary works for agricultural fields to protect them from grazing animals.
- **Uniform wage rate:** Wage rates notified under MGNREGA range from Rs 193 to Rs 318 in different states/UTs. The Committee noted that this fluctuation in wage rates across states/UTs is not justified. It recommended devising a mechanism for a unified wage rate across the country.
- **Increase in wages commensurate with inflation:** The Committee noted that beneficiaries of MGNREGA generally belong to poor and marginalised sections of society. It observed that the nominal wages under MGNREGA discourage beneficiaries and propel them to either seek more remunerative work or migrate to

urban areas. This is reflected by the fact that while 755 lakh households were provided employment in 2020-21, only 72 lakh households completed 100 days of employment. The Committee noted that indexing MGNREGA wages to Consumer Price Index (CPI)-Rural as opposed to CPI-Agricultural Labour, as recommended by Dr.Nagesh Singh Committee, has not been implemented. The Standing Committee recommended the Ministry to review its position and increase the wages.

- **Delayed payment of wages:** Wages under MGNREGA are paid by the central government. Beneficiaries become eligible for receiving wages within 15 days from the date of closure of muster rolls on completion of work. The Committee noted that there is inordinate delay in payment of wages to beneficiaries. This is mainly due to failed payment transfer arising from: (i) inactive Aadhaar, and (ii) closed, blocked, or frozen bank account.
- **Delay in compensation:** In case of delay in payment of wages under MGNREGA, beneficiaries are entitled to compensation at the rate of 0.05% of unpaid wages per day for the duration of delay. The Committee noted that payment of delay compensation is not adhered to in most places in the country. It recommended the Ministry to ensure strict compliance in payment of compensation.
- **Unemployment allowance:** Under MGNREGA, persons who apply for but are not provided with work within 15 days are entitled to a daily unemployment allowance. State governments determine the rate of this allowance. The Committee observed that in 2019-20 and 2020-21, only Rs 12,000 and Rs 3,000 respectively was paid as unemployment allowance. It urged the Ministry to ensure implementation of the provision regarding unemployment allowance.
- **Social audits:** Under MGNREGA, the Gram Sabha must conduct regular social audits of all projects taken up within the Gram Panchayat. The Committee observed that implementation of this provision is poor. In 2020-21, only 29,611 Gram Panchayats were audited at least once. The Committee urged the Ministry to ensure that Gram Panchayats do not go unaudited during the financial year. The Committee also found that social audit reports are not publicly available. It recommended placing these reports in the public domain promptly after the audit exercise is over.
- **Appointment of ombudsperson:** Under the Act, there should be an ombudsperson for each district who will receive grievances, conduct enquiries, and pass awards. The Committee noted expected ombudsmen have not been appointed in the state, which shows poor coordination between central and state nodal agencies. It observed punitive measures can be imposed or funds can be stopped for states for

failing to appoint ombudsmen. The Committee recommended the Department of Rural Development to bring on board all state governments to comply with appointment of ombudsmen.

20.8 Recommendations of the Standing Committee

The Committee made the following recommendations, based on its findings:

- **Regulation of job cards:** Offences such as not recording employment related information in job cards and unlawful possession of job cards with elected PRI representatives and MGNREGA functionaries should be made punishable under the Act.
- **Participation of women:** Since the income of female workers typically raises the standard of living of their households to a greater extent than their male counterparts, the participation of women must be increased through raising awareness about MGNREGA.
- **Participation of people with disabilities:** Special works (projects) must be identified for people with disabilities; and special job cards must be issued and personnel must be employed to ensure their participation.
- **Utilisation of funds:** The Committee found that a large amount of funds allocated for MGNREGA have remained unutilised. For example, in 2010-11, 27.31% of the funds remained unutilised. The Committee recommends that the Department of Rural Development should analyse reasons for poor utilisation of funds and take steps to improve the same. In addition, it should initiate action against officers found guilty of misappropriating funds under MGNREGA.
- **Context specific projects and convergence:** Since states are at various stages of socio-economic development, they have varied requirements for development. Therefore, state governments should be allowed to undertake works that are pertinent to their context. There should be more emphasis on skilled and semi-skilled work under MGNREGA. In addition, the Committee recommends a greater emphasis on convergence with other schemes such as the National Rural Livelihoods Mission, National Rural Health Mission, etc.
- **Payment of unemployment allowance:** Dated receipts for demanded work should be issued so that workers can claim unemployment allowance. Funds for unemployment
- **Regular monitoring:** National Level Monitors (NLMs) are deployed by the Ministry

of Rural Development for regular and special monitoring of MGNREGA and to enquire into complaints regarding mis-utilisation of funds, etc. The Committee recommends that the frequency of monitoring by NLMs should increase and appropriate measures should be taken by states based on their recommendations. Additionally, social audits must mandatorily be held every six months. The Committee observes that the performance of MGNREGA is better in states with effective social audit mechanisms.

- **Training of functionaries:** Training and capacity building of elected representatives and other functionaries of PRIs must be done regularly as it will facilitate their involvement in the implementation of MGNREGA.

20.9 Conclusion

The scheme no doubt has immense scope and impact and results in social welfare aspect are encouraging if the aberrations here and there are taken into stride. The government should strictly discourage educated people from performing any unskilled work. “Instead of employing these people for unskilled work, they can be utilized for jobs that would justify their educational qualifications. The system should evolve to incorporate the interests of qualified stakeholders instead of involving them in operational activities.” Implementation of MGNREGA in comparatively affluent states of Punjab and Haryana which is the destination of migrants during harvesting and sowing season is also being watched closely. The successful implementation of the scheme elsewhere may stem the tide of temporary migration resulting in costly labour in these states during peak agricultural season which in turn may lead to quantum leap in market determined wage rates making the Minimum Wages under the Act less attractive for local unskilled labour and this might lead to disenchantment of beneficiaries during lean season causing intra state migration from rural to urban areas. Further in schemes of the magnitude of MGNREGA it won't be practical to expect uniformity in delivery and execution but certain safeguards have to be standardised and parameters fixed so as to increase efficacy of this magnanimous Programme. The Mahatma Gandhi National Rural Employment Guarantee Act, 2005 provides for the enhancement of livelihood security to each household in rural areas and put emphasis on conservation of land and water. Many studies unfold its positive outcomes such as social benefits viz. social security, livelihood protection, increased wage rates, decreased migration, fostering social and gender equality and ecological benefits like water harvesting, groundwater recharge, drought-proofing, and flood protection, increased soil fertility, irrigation area and agricultural production, environment security and biodiversity conservation. This programme has led to significant changes in the

lives of rural people and environment conservation. This scheme has become a tool for sustainable development in India.

20.10 Summing up

- The Indian Constitution has the provision for right to life and livelihood under article 21 for all.
- The government of India made an act , National Rural Employment Guarantee Act-2005,that legally promised to provide 100 days of wage employment in every financial year to unskilled persons of every rural household.
- MGNREGA was implemented in phases, starting from February 2006, and at present it covers all districts of the country with the exception of those that have a 100% urban population.
- MGNREGA aims to address the causes of chronic poverty and thus ensuring sustainable development.
- However there are some challenges which can be overcome by strict Government intervention .

20.11 Probable Questions

Essay Type Questions

1. When was MGNREGA enacted in India? What are its major objectives?
2. Discuss about the various benefits of MGNREGA .
3. Discuss the key features of MGNREGA .
4. What are the major challenges identified while implementing the MGNREGA Scheme?

Short Questions

1. What are the social benefits of MGNREGA Scheme?
2. Name some of the poverty alleviation programmes in India other than MGNREGA.
3. How can we ensure that only the eligible persons get the benefit of MGNREGA Scheme?

Objective Questions

1. What is full form MGNREGA?
2. Which article of the Indian constitution deals with right to life?

3. Mention one article of the Indian constitution which is related to the protection of environment?
4. How many days of work is to be provided to the deserving people in a year under MGNREGA?
5. Which body of the Panchayat is empowered to undertake audits of the projects under MGNREGA?

20.12 Further Reading

1. *The Gazette of India Extraordinary, 2005*. Ministry of Law and Justice. The National Rural Employment Guarantee Act 2005. No. 42 of 2005.

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