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Nalini Rewadikar

Editor  
Yatindra Singh Sisodia

Associate Editors  
Manu Gautam  
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**M.P. Institute of Social Science Research, Ujjain**

# Madhya Pradesh Journal of Social Sciences

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**CONTENTS**

<b>Service Tax in India: Story of its Evolution and Amalgamation with Goods Taxation</b> R. Srinivasan	<b>1</b>
<b>Mobilisation of Adivasi Tea Garden Workers under Akhil Bharatiya Adivasi Vikas Parishad in North Bengal</b> Saikat Roy	<b>11</b>
<b>Trends in Public Expenditure on Social Sector in Uttar Pradesh: Extent and Direction</b> Nomita P. Kumar	<b>19</b>
<b>Contributory Role of Panchayati Raj in Facilitating Sustainable Economic Development</b> Joseph Benjamin	<b>39</b>
<b>Social Aspects of Political Corruption: A Case Study of Nepal</b> Dipesh Kumar Ghimire	<b>53</b>
<b>Balanced Regional Development: Views of Implementing Authorities</b> Shiddalingaswami V. Hanagodimath and Abdul Aziz	<b>65</b>

<b>Climatic Change in Rajasthan (1980-2009): Case Study of Desert Districts of the State</b> Harshita Upadhyaya	77
<b>Sustainable Development: A Study of Sardar Sarovar Project</b> Seema Jhala	89
<i>Book Review</i> <b>Juliana Nama: The Story of Dona Juliana Dias da Costa, A Portuguese Catholic Lady at the Mughal Court (1645-1734)</b> (Raghuraj Singh Chauhan and Madhukar Tewari) David M. Traboulay	98

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## Service Tax in India: Story of its Evolution and Amalgamation with Goods Taxation

R. Srinivasan<sup>\*</sup>

*The service tax in India is of recent origin. The Constitution of India originally did not visualise the service tax, hence, the Union Government used the residual powers vested with it to levy the tax on services, later formalised through constitutional amendment. The introduction of negative list improved the tax potential and hence became very attractive. With the introduction of GST the service tax will be in the domain of the states as well, thus increasing the tax potential of states. The flip side is the tuning of tax administration to improve tax collection without increasing the compliance cost of service tax.*

Expanding tax base, simplifying tax procedures, reducing tax rates and removing tax exemptions were the major aspects of tax reforms in early 1990s. One of the ways to expand the tax base was to tax the services, which were not taxed till then. Though contribution of service sector to national income was already high, it did not attract the attention of fiscal managers till Raja Chelliah Committee report (1993) made strong case for a service tax.

Though service tax started with just three services in 1993-94, its importance grew after the customs duty reforms in 1995. As a founder member of World Trade Organisation, India had to lower the tariff barriers

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### **Service Tax in India: Story of its Evolution and Amalgamation with Goods Taxation**

on imports and encourage exports through subsidies in a limited way. This reduced the tax potential of the central government, because customs duty was a major revenue earner till then. Service tax came in handy as a compensating source of tax revenue.

Progress of service tax has been dramatic in terms of expanding its base as well as increasing its contribution to the state exchequer. Now service tax is at the threshold of a major change which has been subsumed under Goods and Services Tax (GST) from 2017-18. In this paper, the first two parts deal with the arguments for the levy of tax on services and the conceptual evolution of service tax. In the last two parts, the trend in service tax revenue and the issues to be resolved in the context of subsuming service tax under GST are discussed.

#### **Case for Service Tax**

The case for service tax in the present form, apart from raising revenue to meet the expanding public expenditure needs is justified in terms of efficiency and equity principles of taxation. Service tax is not a newly found devise in the early 1990s, as we know that hotel and restaurant services, advertisements, electricity, transport services and entertainment and gambling services have already been taxed either as commodities or as specific tax bases by central and state governments (Rao, 2001). But the growth of service sector contribution to India's National Income was a first trigger to tax this hitherto inadequately taxed and enlarging part of the economy. The service sector, excluding public administration and defence, gradually evolved as the single largest sector in Indian economy. Its contribution to the Net Domestic Product increased from 29 per cent in 1950-55 to 31 per cent in 1970-75 and then to 37 per cent in 1990-95. In 2011-12, the service sector's contribution to the Gross Value Added (GVA) was 42.8 per cent, which increased to 46.4 per cent in 2014-15. When more than one-half of the economy remains outside the taxation, then it amounts to not only loss of revenue but also efficiency loss due to the wedge between untaxed and taxed sectors of production. The distortion is also due to adding a part of the cost of production on to the cost of services, which is untaxed. The famous example is the increased post-sales service cost of automobiles and consumer durables by the producers than the cost of production of the products. Further with the aid of modern technology, the characteristics of goods and services remain indistinguishable; hence some parts of production may escape from taxation under the disguise of non-taxable characteristics of the service (Bagchi, 2004). The equity principle of taxation demands equal taxes



### **Srinivasan**

on the production of both goods and services. When goods and services are inputs in each others production system, under the Value Added Tax (VAT) system break in tax chain could be avoided only by taxing both goods and services equally. Zero rating of exports of goods and services also requires this (Rao, 2001).

#### **Conceptualising Service Tax**

Service tax in its present form has a history of less than 25 years. The framers of the Constitution of India did not visualise the tax on services, hence it was not listed in the powers of the Union or State Governments or even in the concurrent list. The central government, using the residual power vested on it, started the tax on services in July 1994<sup>1</sup>. Previously the Raja Chellaiah Committee on Tax Reforms (1991-93) recommended this tax to increase tax revenue of the central government. The service tax started with three services with a 5 per cent tax rate and then both the number of services and tax rates were increased. Obviously the tax revenue collection was also increasing thus encouraging further tax reforms.

The Report of the Expert Group on Taxation of Services (2001) and the Report of the Task Force on Fiscal Responsibility and Budget Management Act (2004) recommended substantial changes in the service tax. M.G. Rao (2001) who chaired the Expert Group on Taxation of Services suggested to bring the service tax under VAT providing input tax credit and ultimately to integrate with Central VAT (CENVAT) for Excise on goods. He also suggested a dual VAT so that states also could get the authority to tax the services. Consequently Service Tax Credit Rules, 2002 provided input tax credit in a restrictive manner. Credit for tax on input service was provided both the input and output services were from the same category. This restriction was removed in 2003 and the Service Tax Credit Rules was replaced by CENVAT credit rules in 2004. This provided credit for taxes paid on all inputs—services, inputs and capital goods. This made service tax a fully non-cascading tax as that of Excise Duty.

In order to formalise the service tax, The Constitutional (Eighty-Eighth Amendment) Act, 2003 was enacted to insert article 268A and entry 92C in the List I (Union List)<sup>2</sup>. Further this Act also brought the net service tax revenue into the divisible pool so that it could be divided between the centre and state governments as per the recommendations of the Finance Commission.

In 2005, Export of Services Rules was introduced and accordingly a taxable service could be exported without payment of service tax and the

### **Service Tax in India: Story of its Evolution and Amalgamation with Goods Taxation**

central government might also give some tax rebates. In 2006, taxation on import of services was introduced and administered as per Taxation of Services (Provided from Outside India and Received in India) Rules, 2006. Normally if the service provider is within India, then such a service provider should pay the service tax. If the service provider is from outside India and receiver of service is in India, then the receiver should pay the service tax.

Rao (2001) placed a compulsive argument for a comprehensive service tax. That is, he argued to give up the selective approach of listing the services under the tax law, which effectively meant that those services not listed would be outside the service tax net. Instead he argued for a negative list, so that only services in the negative list could not be taxed and all other services would be subjected to service tax. This not only gives a comprehensive service tax, but also broadens the tax base and makes it more buoyant. The negative list concept was introduced in 2012. Negative list of services has been provided under section 66D of the Finance Act, 1994. This negative list was prepared as per the best practices around the world and including those services that should not be taxed given the Indian peculiarities. Some of the prominent items in the negative list are services of government, department of posts, life insurance, Reserve Bank of India, services relating to agriculture, and transmission of electricity.

Till the concept of negative list was introduced, there was no need for a comprehensive definition of the term 'service', because, only the listed services were subjected to tax. The term 'service' was defined in section 65B (44) of the Finance Act, 1944 to mean any activity for consideration (other than the items excluded therein) carried out by a person for another and to include a declared service. Section 66E of the Finance Act, 1994 lists the declared services. Therefore, a service is taxable if it is a declared service or such a service is not in the negative list. Further section 93 of the Finance Act, 1994 provides power to grant exemption from service tax for a taxable service or a part of it. After 2012, the service tax became a comprehensive and non-cascading tax, consequently it became more buoyant.

### **Trend in Service Tax Revenue**

Till 2012 the growth rate in service tax revenue was positive and also quite haphazard (see Table 1). As the number of services was increasing, so also the number of tax assesses. The highest growth rate of service tax revenue was 112 per cent in 1995-96 and the lowest growth rate was -4.13 per cent in 2009-10. Most of the high yielding services were included in the first few years, the growth rates of revenue as well as assesses were lower during

### Srinivasan

1996-2003. Though input tax credit was extended to service tax since 2003, as more number of services was brought into the tax net, the growth rate of revenue was high till 2007, thereafter the growth rate came down.

**Table 1**  
**Trend in Service Tax Revenue 1994-2012**

Year	Service Tax Revenue (crore)	% Growth over Previous Year	No. of Service in Tax Net	No. of Assesseees	% Growth over Previous Year	Tax Rate % (excluding cesses)
1994-95	407	-	3	3943	-	5
1995-96	862	112	6	4866	23.41	5
1996-97	1059	23	6	13982	187.34	5
1997-98	1586	50	18	45991	228.93	5
1998-99	1957	23	26	1,07,479	133.70	5
1999-2000	2128	9	26	1,15,495	7.45	5
2000-01	2613	23	26	1,22,326	5.91	5
2001-02	3302	26	41	1,87,577	53.34	5
2002-03	4122	25	52	2,32,048	23.71	5
2003-04	7891	91	62	4,03,856	74.04	8, 10
2004-05	14,200	80	75	7,74,988	91.89	10
2005-06	23,055	62	84	8,46,155	9.18	10
2006-07	37,598	63	99	9,40,641	11.17	12
2007-08	51,301	36	100	10,73,075	14.08	12
2008-09	60,941	19	106	12,04,570	8.78	12,10
2009-10	58,422	-4.13	109	13,07,286	8.53	10
2010-11	71,016	22	117	13,72,274	4.97	10
2011-12	97,509	37	119	15,35,570	11.90	12
2012-13	1,32,601	36	Negative list	17,12,617	11.53	12

Source: Central Board of Excise and Customs, Govt of India.

The second major change in the service tax was the introduction of negative list in 2012. We need to separately discuss the trend in service tax revenue since then.

From Table 2, we can infer that the growth of service tax revenue was impressive from 2012. The service tax revenue increased nearly 115 per cent in 2015-16 compared to that of 2011-12, whereas during the same period, the rates of increase of Gross Value Added (GVA) and Service Sector Contribution (SSC) were 51 per cent and 68 per cent respectively. This is reflected in the steady increase in tax-GVA ratio and tax-SSC ratio during this period. The SSC is net of value addition by public administration and defence, as consumption of these two services are excluded from service tax.

**Service Tax in India: Story of its Evolution and Amalgamation with Goods Taxation**

**Table 2**  
**Trend in Service Tax Revenue - 2011-2016**

Year	GVA at Current Prices (Rs. Crore)	Service Sector Contribution**	Service Tax			No. of Registrations (lakh)	No. of Returns Filed (lakh)
			(Rs. Crore)	As % GVA	As % Ser. Con		
2011-12	81,06,656	34,70,634	97,508.92	1.20	2.81	15.5	1.9
2012-13	92,10,023	40,62,066	1,32,600.94	1.44	3.26	17.5	7.3
2013-14	1,03,80,813	46,70,505	1,54,778.12	1.49	3.31	19.8	8.5
2014-15	1,14,72,409	53,25,944	1,67,969.04	1.46	3.15	22.6	9.8
2015-16*	1,22,98,422	58,16,249	2,10,000.00 (Revised Estimate)	1.71	3.61	25.1	10.5

\* Estimates of GVA and service sector contribution based on growth rates published by CSO, Delhi.

\*\* Net of value addition by public administration and defence.

Source: Budget papers various years and CSO, Delhi.

Generally the growth in service tax revenue is also attributable to the growth in the number of service tax registrations and number of tax returns filed. But on an average only a little over 40 per cent of those who have obtained service tax registrations have been filing tax returns.

Telecommunication is the single largest revenue contributor to the service tax. This is followed by general insurance premium, manpower recruitment, business support services and works contract. Table 3 shows the revenue generated from each of these services.

**Table 3**  
**Service Tax from Major Service Categories (Rs Crore)**

Category	2011-12	2012-13	2013-14	2014-15	2015-16
Telecommunication	3902	5402 (38)	7538 (40)	12648 (68)	13531 (7)
General Insurance Premium	3877	5234 (35)	6321 (21)	8834 (40)	9263 (5)
Manpower Recruitment	2870	3847 (34)	4432 (15)	7335 (66)	9045 (23)
Business Support Services	2689	4345 (62)	4368 (0.5)	7118 (63)	8415 (18)
Works Contract	3092	4179 (35)	4455 (7)	7434 (67)	8139 (9)

Note: Figures in parentheses are growth percentage over previous year.

Source: CAG report on Service tax, 2016.

The annual growth rates of revenue from each of the services have been consistently more than 20 per cent in most of the years. The growth rates of revenue from these services could be more than the growth rates of value addition by them.

In spite of the fact that the growth in revenue has been steady and was increasing during 2012-16, yet further improvement in revenue

### Srinivasan

collection is a possibility. The fact that only a little over 40 per cent of the registered service providers file tax returns shows that there should be a substantial tax base untapped. Further, another reason for the low tax-SSC ratio could be the inadequacies in the tax administration system.

The Comptroller and Auditor General's (CAG) report in 2015 was on Levy and Collection of Service Tax on Works Contract.<sup>3</sup> The report was based on the audit of 237 service tax assesseees and the following observations were made:

1. On examination of records from data/dump-data relating to works contractors gathered from various sources, we identified 425 works contractors who had executed works contracts, had neither registered with the department nor paid service tax of Rs 447.76 crore.
2. CAG observed 145 cases of non/short-payment of service tax of Rs 44.74 crore.
3. 34 cases of irregular availing/utilisation of CENVAT credit involving an amount of Rs 22.59 crore were found.
4. 14 cases of incorrect availing of exemptions involving an amount of Rs 17.81 crore were deducted.
5. 44 cases of incorrect application of rate of service tax and non/short payment of interest of Rs 8.84 crore were also deducted.

These observations clearly show that the tax collection system needs further improvement in order to mobilise more legitimate tax revenue under the service tax.

Another important reason for the under recovery of service tax revenue was the series of litigations in various courts, appellate authorities and cases pending in the departmental adjudication process. The CAG's report in 2016 says as per the Finance Ministry's declaration the amount of service tax revenue to be recovered from cases pending before the department authorities and courts was Rs 1.72 lakh crore in 2013-14 and then it increased to Rs 2.32 lakh crore in 2015-16

The contribution of informal sector in the total economy was 55 per cent in 1999-2000 and then reduced to 50 per cent in 2004-05, similarly in the service sector the informal part was 55 per cent and then reduced to 51 per cent during these two years (Kolli and Sinharay, 2011). Hence when more than 50 per cent of the economy, particularly in the service sector, is non-formal, then to that extent the tax base is reduced correspondingly. This also partially explains the low service tax-SSC ratio of a little more than 3 per cent.

### **Service Tax in India: Story of its Evolution and Amalgamation with Goods Taxation**

Further, the service tax is zero rated for service exports. On this count also there could be loss of revenue to the central government. India's net service export in 2012-13 was Rs 3,53,217 crore, which was 8.7 per cent of the SSC. In the previous year, that is, in 2011-12 the net service export was 8.8 per cent of SSC. Thus, higher level of service export also reduces the tax base of service tax.

Though service tax is a new found instrument to increase revenue of the government on one side, it is also essential to address the issues of equity between taxed and non-taxed sectors of the economy. As expected the service tax is gaining importance both due to the growth of service sector and the consequent contribution of tax revenue to the state exchequer. In spite of the increasing service tax-GVA and service tax-SSC ratios, there is still scope to increase this tax revenue through better tax administration and by bringing greater part of the service economy into the formal sector.

### **Issues in Service Tax under GST**

Service tax is a VAT under the central government. Some of the services like information technology and restaurants are taxed as services by the central government and as goods by the state governments under VAT. This amounts to cascading and double taxation, which the GST is expected to resolve.

But GST is quite likely to create new problems. One, the existing service tax rate is 14 per cent and various cesses like Swatch Bharat Cess and Krishi Kalyan Cess. Though these cesses will be done away with in GST, but the GST rate will likely to increase to 18 per cent or more. This will impact the prices of services thereafter.

Two, the service tax will be divided between the centre and state governments as GST is a dual tax. Though this gives additional tax base to the state governments, it reduces the revenue potential of the central government.

Three, GST being a dual tax, there are conflicting claims to power to administering the GST as far as services are concerned. In the first meeting of the GST Council<sup>4</sup>, the central government wanted to retain the tax administration of the existing service tax registrants and was ready to share administrative powers with the states as far as new service tax registrants are concerned. But states have opposed this proposal. Rather the states suggested cross empowerment model (that is, both state and central governments could administer concurrently) for the top service tax

### **Srinivasan**

assesseees. Cross empowerment model could considerably complicate tax administration and increase compliance cost of tax.

There are also issues in certain sectors like construction where they should pay GST on both goods and services. In the GST Council meeting held on 22-23 December, 2016 the central government proposed a vertical division of assesseees, that is, all the assesseees irrespective of turnover will be divided between central and state governments. The states have been asking for exclusive administrative power over smaller assesseees with an annual turnover of less than Rs 1.5 crore and cross empowerment over all other assesseees. This remains an unresolved issue even today.

Four, the issues of multiple registrations and filing of returns under GST are unavoidable. If a service provider has customers across all the states, till now should be filing returns only to the central government. Now the service provider should file returns for Central GST (CGST) to the central government and for State GST (SGST) to the respective state governments. This will be complicated if there is cross empowerment or concurrent administration by central and state governments.

Five, zero rating for export of services is easier when there is only one service tax. Under GST the zero rating of service exports would require tax refunds under both CGST and SGST. This is also applicable for export of goods. So we should have a seamless process for tax refunds whenever services are exported, particularly from SGST.

#### **Way Forward**

Service sector is a major tax base in India. Service tax system is matured and is ready to transform further under GST. Increasing tax rate on services under GST is an unavoidable change that would ensure equity in taxation between goods and service. To simplify tax administration, rational division of mutually exclusive powers of tax administration between central and state governments should be preferred to cross empowerment. Horizontal division of all business establishments engaged in production and/or sale of goods and services between central and state governments would solve this problem. This will also enable seamless tax credit and tax refunds for exports as well as inter-state trade in goods and services and reduce compliance cost of tax.

#### **Notes**

1. Entry 97 of the Union List states "any other matter not enumerated in List II (State List) and List III (Concurrent List) including any tax not mentioned in either of the those lists" is treated as a residuary entry.

### **Service Tax in India: Story of its Evolution and Amalgamation with Goods Taxation**

2. 268A. Service tax levied by Union and collected and appropriated by the Union and the States.-(1) Taxes on services shall be levied by the Government of India and such tax shall be collected and appropriated by the Government of India and the States in the manner provided in clause (2).(2) The proceeds in any financial year of any such tax levied in accordance with the provisions of clause (1) shall be - (a) collected by the Government of India and the States; (b) appropriated by the Government of India and the States, in accordance with such principles of collection and appropriation as may be formulated by Parliament by law." 92C - Taxes on Services
3. Works contract means a contract wherein transfer of property in goods involved in the execution of such contract is leviable to tax as sale of goods and such contract is for the purpose of carrying out construction, erection, commissioning, installation, completion, fitting out, repair, maintenance, renovation, alteration of any movable or immovable property or for carrying out any other similar activity or a part thereof in relation to such property. However, services provided by way of construction, erection, commissioning, installation, completion, fitting out, repair, maintenance, renovation or alteration of a road, bridge, tunnel or terminal for road transportation for use by general public were exempted from service tax.
4. GST Council is a constitutional authority consisting representatives from 29 states, two Union Territories with assemblies and finance minister and deputy finance minister from the central government. This council should decide on the GST laws, systems of GST administration and fixation of GST rates. All the states and the central government should accept the recommendations of the GST council.

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## **Mobilisation of Adivasi Tea Garden Workers under Akhil Bharatiya Adivasi Vikas Parishad in North Bengal**

**Saikat Roy\***

*The present paper focuses on the mobilisation process of adivasi workers of North Bengal against the backdrop of their migration history, their struggle for livelihood, their control over resources, material and human, the history of solidarity movement- under the umbrella of ABAVP and argues that emergence of ABAVP as their voice has come as boon in the otherwise dry land to assert their identity and demand for the adivasi rights.*

One of the most pressing issues facing liberal democracies today is the politicisation of ethno-cultural diversity. Minority cultures are demanding greater public recognition of their distinctive cultural practices. Historically, liberal democracies have hoped that the protection of basic individual rights would be sufficient to accommodate ethno-cultural minorities. And indeed the importance of individual civil and political rights in protecting minorities cannot be underestimated. Freedom of association, religion, speech, mobility, and political organisation enable individuals to form and maintain groups and associations, to adopt these groups to

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### **Mobilisation of Adivasi Tea Garden Workers under ABAVP in North Bengal**

changing circumstances, and to promote their views and interests to the wider population.

India's linguistic, religious, ethnic, and cultural diversities are proverbial. So are the political mobilisations and the violent conflicts and antagonisms which have arisen from time to time among and between persons from its distinctive cultural groups. However, it is important to note that neither political mobilisation nor ethnic and cultural antagonisms flow naturally out of India's diversities. The 2001 census showed that 115 languages were spoken by 10,000 or more people in the country; of these, 22 were spoken by more than one million people. This census also lists the total number of non-scheduled languages being 93. The state lists 630 communities as Scheduled Tribes, and some of the identified communities, which are themselves internally heterogeneous, comprising several different tribes.

The democratic order in India has made an elaborate arrangement for the integration of its otherwise 'excluded' and marginalised sections into the order through schemes like democratic decentralisation, land reforms, capacity building programmes, Forest Rights Act, Tribal sub-plan, the policy of protective discrimination, granting of regional autonomy, special welfare programmes for the marginalised and poor people including the STs and so on. But such Rights Acts are argued to be merely 'eye wash' and the state does not take any serious measures to make them effective organs of empowerment. Hence, different tribal communities mobilised to achieve greater territorial autonomy and the number of groups mobilising has been increased. What is even more puzzling is the variation in terms of strategies of mobilisation used by these groups. Some have mobilised peacefully, while others have opted for the route of violent conflict. Although political mobilisations have occurred among several tribal communities, but only few have been able to give the mobilisation process a shape of movement. Adivasi<sup>1</sup> tea garden workers of North Bengal historically followed several ways of mobilising themselves but only under the supervision of Akhil Bharatiya Adivasi Vikas Parishad (ABAVP)<sup>2</sup> the workers have been able to construct an organised movement demanding their basic rights.

### **Adivasi Workers in the Tea Gardens of North Bengal**

The northern part of West Bengal, popularly known as North Bengal consists of seven districts, namely Malda, South Dinajpur, North Dinajpur, Darjeeling, Jalpaiguri, Cooch Behar and Alipurduar. The region connects rest of India with the North-East and it has a long shared border with Bhutan,

## Roy

Tibet, Nepal and Bangladesh. Agriculture, agro-based industries, tea, timber, commerce and tourism constitute the backbone of the region's economy. The region has drawn a large size of tribal population from Central India, popularly known as Chotanagpur, Nepal and North-East India in different historical periods.

The tribal population of North Bengal could be classified into three groups based on their location in three distinct socio-economic setups: (a) the Nepali speaking tribes in the Darjeeling Hills, both in tea gardens and outside, (b) the Central Indian tribes in the agricultural setup of Malda, South Dinajpur, Darjeeling, Jalpaiguri, Alipurduar and Cooch Behar districts<sup>3</sup>, and (c) the Central Indian Tribes which constitute the labour force in the tea gardens in the Terai of Darjeeling district and Dooars of Jalpaiguri district.

The adivasi (tribal) population in North Bengal is largely constituted of the migrants from the Chhotanagpur region of Central India, who moved out of their original abode in the second half of the 19th century because of exploitation by the *dikus* (aliens), land loss, loss of forests rights, imposition of land rent, and colonial oppression, particularly in the post-santhal rebellion period. The expanding tea gardens in the dooars and terai regions (along with parts of Assam) offered them livelihood although they found themselves in another exploitation and oppressive economic and power arrangement. The migration flow stopped by 1940s when the tea gardens stopped expanding and the land management system underwent major transformation after the abolition of tribal zamindari system in the 1950s. In the dooars and terai the surplus labour force, ejected from the tea garden, took hold of the fallow land and education (and skill) made them depend on agriculture and tea almost exclusively.

Since 1951, many benign laws have been passed for the benefit of tea workers and many good laws have been extended to the estates such as on the payment of wages, compensation for injury at work, pensions and gratuity, minimum wages etc. These were in the focus due to the unionisation process that began in the late 1940s and picked up a very strong momentum in the early 1950s. But for the lack of strong inspectorates and the judicial process remaining out of the reach of the workers due to illiteracy, poverty and the rapaciousness of lawyers, none of these laws are as a rule implemented properly or at all.

The work situation in the tea belt of North Bengal is facing lots of troubles following the issues of collapse of tea gardens, wages, basic facilities directly affecting the economic condition of the adivasi people of the region.

### **Mobilisation of Adivasi Tea Garden Workers under ABAVP in North Bengal**

The concentration of the tribes in remote areas with less income opportunities, negligible hold on the material resources, neglect of the development of human resources in terms of education and technical skill, decline of traditional crafts, crises in tea industry and agriculture are some of the apparent factors that explain the problems of livelihood of the tribal population of North Bengal.

The dominant forces in the region on the one hand exploited them in various ways on the other hand want them to be politically integrated as peaceful supporters of political parties and trade unions. Caught in the situation, the adivasi people try to mobilise themselves in search of an adivasi identity based on ethnic line.

### **Mobilisation Process of Adivasi Workers**

The adivasis in the Terai and Dooars region have always actively responded to the organised political parties, their trade union wings and mass organisations. Attempts to unionise started during the freedom movement, and management recognised the first tea worker's union after Independence. The initial period witnessed collective struggles with workers winning a number of rights like those guaranteed in the Plantation Labour Act, pensions and gratuity, bonuses and minimum wages. The period between late 1940s to late 1960s witnessed militant labour actions and strong resistance led by workers, which faced violent opposition and repression from the combined forces of the post-Independence Indian government and colonial planters.

After 1950s the trade union movement spread rapidly in the region with the result that almost all the national trade union federations had their unions in the Dooars' plantations such as the Centre of Indian Trade Unions (CITU), Indian National Trade Union Congress (INTUC), United Trade Union Congress (UTUC), Hindustan Mazdoor Sangh (HMS), All India Trade Union Congress (AITUC) etc. There is a high degree of unionisation with most of the workers in the plantations being unionised, sometimes being affiliated to more than one union (Sarkar, 1996). Almost all local committee leaders are workers except in rare cases (Sarkar, 1996). However, things changed with the coming to power of the Left Front government in West Bengal. The workers were totally absorbed by the unions owing allegiance to the Communist Party of India (Marxist) and the Revolutionary Socialist Party, but the unions themselves turned into agencies of the ruling parties that had decided to appease owners to the detriment of workers.

**Roy**

With the Bonus Movement<sup>4</sup> (1955) to demand the workers' pending bonus, movements for increase of wage (1966), filling up vacancies and increasing employment (1969) the trade union movement in North Bengal region was a force to reckon with. But the long absence of any large scale movement since then has caused the trade union movement to enter a phase of stagnation (Sarkar, 1996). In recent times, the trade unions have declined in force and in legitimacy in the eyes of the workers.

It is under this context that the emergence of ABAVP as a regional political force to reckon with becomes significant. It almost suddenly re-emerged as ABAVP, due to years of frustration faced by adivasi community. But more deep rooted cause for the rise of ABAVP was the unbearable exploitation of the adivasi tea workers by the tea planters and also by trade unions affiliated to different mainstream political parties.

#### **ABAVP and Emergence of New Process of Mobilisation**

The formation of the adivasi identity, which took place under the supervision of ABAVP, is an ethnic composition of central Indian tribes living in the Terai and Dooars region in North Bengal since 1860s, having no confidence in state sponsored development, the tea garden owners and trade unions. ABAVP has shown how the fall out of globalisation and reaction to state's neo-liberal policies can result in the emergence of marginal community's micro-politics in the form of political formation particularly in the region. On the question, whether there was any political party that has taken up their demand for land and other rights, about 75 per cent tea workers that included adivasi, non-tribal households and focus group members in the surveyed tea plantations, responded that ABAVP was becoming their voice by taking up their causes and fighting for their rights. ABAVP stressed on the agenda of establishing their own self identity and political presence over a territory following the provisions of the sixth schedule of the Indian Constitution. These tribal communities are demanding autonomous body in the Terai and Dooars region for intensifying the development process. In a very short span of time this mobilisation process took the shape of a movement.

The ABAVP leaders have focused on several factors responsible for emergence of the movement (Roy, 2015); like, (a) the threat to their territory by Gorkha Janamukti Morcha (GJMM), (b) the fear of losing their land to non-adivasis, (c) the long crisis in the tea gardens and its impact on their livelihood, (d) lack of development in the region, (e) declining faith in the

### **Mobilisation of Adivasi Tea Garden Workers under ABAVP in North Bengal**

political parties, trade union, government, (d) to establish their distinct adivasi identity.

The ABAVP claims that the Dooars and Terai region were reclaimed by their ancestors who were brought to this region by the British planters from the Chhota Nagpur and Jharkhand region. This region therefore belongs to them, but still they are treated as second class citizens. The ABAVP claims that 80 per cent of the populations in the Dooars are tribes; the Nepalese constitute only around 8 per cent of the population. They argue that the population of the tribes is more than 1 lakh and there are 200 units of Parishad in the Dooars and Terai and on this basis they are claiming autonomy. This on contrary is leading to a violent conflict in this region.

The Parishad became active and opened around 200 units in the Dooars and Terai region. They have launched strikes, dharna, hunger strikes, road blocks etc., to create pressure on administration. The present adivasi movement, which is barely three years old and its activities appears well scripted, it takes care in avoiding the violent course and takes the ethnic route to mobilisation. It has already formed a strong trade union, resorts to crafty cultivation of a set of factors that contribute to ethnic formation, participants in democratic and electoral processes and seriously pursues the issues of ethnic interest with state administration. The Parishad physically resists the attacks by the Gorkha Jana Mukti Morcha and uses its muscle power for strategic counter offense, and pursues the developmet issues with the administration (Roy, 2011).

They have submitted several memorandums to the Central as well as state government in various times locating their concerned issues like education, health, income generation, wage issues, cultural protection, tribal certificates, closing of tea gardens, protection of tribal land and declaration of scheduled areas etc.

The mobilisation of adivasi people under ABAVP has been able to see success in some areas as follows:

1. The movement has forced the GJMM to restructure its proposed boundary of demanded Gorkhaland.
2. It has been able to put pressure on the state and district administration to discuss smaller issues raised by the unit.
3. It has created pressure on the present political parties to implement developmental policies to gain support from the adivasi community.
4. The daily wages of the tea garden workers have increased.
5. The mainstream trade unions have taken initiative to deal with the long pending Provident Fund related issues.

## Roy

6. The state government has declared their auspicious religious festival Karam Puja as sectional holiday and paid holiday for the employees/workers belonging to tribal communities in the tea gardens.
7. Government's initiative to setup a Hindi medium college in the Dooars.
8. Government's notification for the constitution of Tribal Advisory Council.
9. The movement has been able to give a voice to the voiceless people.

However, the ABAVP, which started as a social organisation, quickly turned into a dominating political power, replacing both the Left and Congress-backed trade unions in most of the gardens through its own unit, the Progressive Tea Garden Workers Union. On the other hand with the formation of new government, disunity among the Adivasis and several splits within the adivasi outfit, the movement did not last for long.

### Conclusion

The movement organised by the ABAVP has not always been peaceful. There have been incidents of conflict between the ABAVP supporters and the supporters of other political organisations and the management of tea estates. It needs to be mentioned that the adivasis in the region are not homogeneous in nature. There are 30 categories of tribe living in the region which are very distinct from each other in terms of name, language, social structure and rituals. Yet a common geographical root, migration history, common socio-economic standing and common suffering have united them under their ethnic identity known as adivasi. But multifactional splits among the adivasis in panchayat polls, other elections to the democratic bodies and their association with many trade unions, mainstream as well as ethnic, had a severe toll on the adivasi unity and on the future of adivasi ethnic movement for setting up an autonomous council.

In an industry that is synonymous with some of the worst labour practices in the country, the struggle for better working conditions is necessarily a long one. Given the prevailing situation, a number of mobilisations are likely to galvanise in the coming months and years. The crystallisation of forces from below seems to be the key for tea workers in their quest for dignity and justice. What clear is from the study is that ethnic groups are coming up as the new leaders in Terai and Dooars and will strongly influence rest of the land in the near future.

## Mobilisation of Adivasi Tea Garden Workers under ABAVP in North Bengal

### Notes

1. In India the term 'Adivasi' has gained immense popularity in the last few decades to identify the tribes. This term is more commonly brought to use by the NGO circles and activists of the 'mainstream' or 'mainland' India. The term has also gained currency amongst the tribes mainly belonging to central India. In Kerala too the tribes of late prefer to be identified as 'Adivasi'. In Hindi the term 'Adivasi' means original settlers. Adivasi ideologies too primarily use this term in the sense of original settlement, as this was the sense in which outsiders described tribal people. Adivasis are hence defined as groups that shared a common face in the 19th century, and which, as a result of this experience, have evolved a collective identity, that is, an identity of being adivasis. see Hardiman, 1987: *The Coming of the Devi: Adivasi Assertion in Western India*. New Delhi: Oxford University Press. pp. 15-16.
2. The ABAVP is a Delhi-Based NGO 'which was formed for the social and cultural uplift of the adivasis in the country' (see Bhowmik 2011: 27). The organisation has its root in Adivasi Bikas Manch of the trade unions and political parties to overcome them have resulted into loss of faith in their effectiveness. Since then the ABAVP is struggling for the betterment of the work situation of the Adivasi people.
3. In Cooch Behar and Jalpaiguri districts there are tribes of Mongoloid racial stock that have migrated from the North-East and Nepal
4. The bonus is a sum of money paid by the company to its workers annually on the basis of profits and productivity of the company. In the tea plantations this is usually paid during the festival time of Diwali. The workers in the majority of the tea plantations in West Bengal had not received their bonuses for over two years while the companies continued to make handsome profit. The movement was directed against this non-payment. Under the direction of the trade unions, the workers threatened to (and in some cases did) strike work till the dues were paid. Finally the state government intervened and most of the plantation owners claimed to have paid up.

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## Trends in Public Expenditure on Social Sector in Uttar Pradesh: Extent and Direction

Nomita P. Kumar<sup>\*</sup>

*Academia resounds with the rhetoric that one of the aims of economic reform process is to withdraw the state from some of its activities in order to step up expenditure and increase state's involvement in the social sector. On the other hand the apprehension prevailed that with the economic reforms expenditure on the social sector and poverty alleviation programmes would be adversely affected. In this paper, it is tried to analyse that what has happened to the social sector expenditure since 2000-01 in Uttar Pradesh. Has it increased as expected or decreased? The paper examines the shift in priorities within the social sector through meaningful insights from budget allocations.*

### Introduction

Issues pertaining to social sectors have been the focus of much attention for researchers and academicians in recent times. A number of academic and policy measures have contributed to this phenomenon. At the outset we can say that there has been a rediscovery of the importance of human capital in explaining the growth performance of countries since mid 1980s. At the policy level, interest has been generated in the fact that several countries undergoing economic reforms experienced deterioration in social sector attainment. This led to a debate on the social repercussion of economic

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### **Trends in Public Expenditure on Social Sector in Uttar Pradesh**

reforms and the advocacy of structural adjustment with a human face in a work of the same name. Additionally the publication of Human Development Report by UNDP annually since 1990 has served to sustain policy attention on related issues. The debate has acquired an immediate relevance for India ever since the country embarked on the path of economic reforms in mid 1990s (Prabhu, 2001).

Academia resounds with the rhetoric that one of the aims of economic reform process is to withdraw the state from some of its activities in order to step up expenditure and increase state's involvement in the social sector. On the other hand, the apprehension prevailed that with the economic reforms expenditure on the social sector and poverty alleviation programmes would be adversely affected. In this paper, it has been tried to analyse as to what has happened to the social sector expenditure since 2000-01 in Uttar Pradesh. Has it increased as expected or decreased? One needs to examine in depth the shift in priorities within the social sector and health care; between education and health, etc. to get meaningful insights.

Dreze and Sen (1995) reported that India's performance in the social sector is far from satisfactory. Loud regional disparities too exist in States doing well and some lagging behind and Uttar Pradesh forms a part of the latter group. Among Indian States, UP is critical for India's plans to invest in its ever increasing human resources. Keeping in view on the above issues, this paper has tried to study the extent and direction of financial allocation on social sectors in Uttar Pradesh from 2000-01 to 2011-12. The first section deals with introduction and second with methodological issues, while third section deals with pattern of public expenditure in this sector. Section four deals with the pattern of real expenditure in this sector, while section five deals with inter-state comparison of expenditure levels. In the last section, the study is summarised with findings and conclusions along with few suggestions.

#### **Methodology**

Budgets are the most crucial policy documents that reveal the social and economic priorities of governments (Dev and Mooij, 2002). It is in these expenditures decisions that official objectives and stated commitments get a concrete shape. To understand the policy prerogatives, it is imperative to delve deep into the budget allocations and trends in expenditure patterns. Effect of such expenditure on human development depends not only on the amount of allocation but also on the extent and effectiveness of utilisation

### **Kumar**

too. Dev and Mooij (2002) noted that social sector investment is less than what it could be because of inefficient bureaucracies, waste and corruption.

In this paper, it has been tried to put focus on social sector expenditure of the Government of Uttar Pradesh after the reforms from 2000-01 onwards to the latest available, although we briefly compare expenditure levels in the earlier period too. Social sector expenditure is defined as the total expenditure on social services which includes education, health and family welfare, water supply and sanitation. The trends are examined through the budget documents of the State. The expenditure refers to both plan and non-plan and revenue and capital. Going through the literature review it is found that some of the earlier studies have focused only on revenue expenditure to chart the progress in the social sector. It has also considered only revenue account as capital expenditure shows many fluctuations. Real growth of the sector can be traced through charting revenue account over the period.

These budgetary allocations are analysed in different ways i.e. firstly to analyse social sector expenditure as per cent to GSDP, secondly social sector expenditures as per cent to total budgetary expenditure and lastly real per capita expenditure by the government in social sector. Numerous studies are cited which have focused on social sector expenditure levels and changes therein (Guhan, 1995; Prabhu, 1997). This particular study is also in tune with the existing studies but the focus is on the large state of Uttar Pradesh. The academia resounds with rhetoric that what does the state provide for the social development? What changes occurred in the social sector development? How has Uttar Pradesh fared compared to other states of India? What is the status of education and health - the prime movers of human development in Uttar Pradesh?

Nominal expenditure has been converted into real terms using NSDP deflator. Many series of NSDP for the state are available- one based on 1980-81 prices and the other based on 1993-94 prices, yet another 1999-2000 and a more recent 2004-05. The adjusted series of NSDP at 2004-05 prices has been used to estimate expenditure in real terms.

#### **Trends in Total Public Expenditure in Uttar Pradesh**

It is useful to look at the trends in aggregate public expenditures of the economy as expenses in the social sector are based on it. The table shows the trends in total expenditure of UP Government during the decade 2001-02 to 2013-14. Total expenditure increased from Rs. 38103.75 crore in 2001-02 to Rs. 76482.66 crore in 2006-07 and reached to the figure of Rs. 154722.32 crore

### Trends in Public Expenditure on Social Sector in Uttar Pradesh

in 2011-12. The corresponding figures for revenue expenditure were Rs. 31779.71 crore, Rs. 55698.9 crore and Rs. 123885.17 crore in the three years respectively. Capital expenditure shows a faster growth from Rs. 6324.04 crore in 2001-02 to Rs. 20783.76 crore in 2006-07 and further to Rs. 36136.43 crore in 2011-12.

**Table 1**  
**Trends in Total Expenditure (Rs. Crore)**

Year	Revenue Expenditure			Capital Expenditure			Total Expenditure
	Plan	Non Plan	Total	Plan	Non Plan	Total	
2001-02	3564.46	28215.25	31779.71	942.69	5381.35	6324.04	38103.75
2002-03	3574.82	29363.68	32938.5	3876.34	5271.3	9147.64	42086.14
2003-04	3275.98	46945.14	50221.12	3908.28	32072.89	35981.17	86202.29
2004-05	5098.09	39512.26	44610.35	5106.42	30558.11	35664.53	80274.88
2005-06	6444.81	40172.33	46617.14	8750.66	8977.9	17728.56	64345.7
2006-07	9698.48	46000.42	55698.9	13874.35	6909.41	20783.76	76482.66
2007-08	11743.92	53479.29	65223.21	14087.28	8973.92	23061.2	88284.41
2008-09	17291.34	58677.55	75968.89	18477.82	11451.41	29929.23	105898.12
2009-10	15701.18	73672.42	89373.6	19603.71	14097.95	33701.66	123075.26
2010-11	21039.54	86636.07	107675.61	20198.36	8425.75	28624.11	136299.72
2011-12	22615.92	101269.25	123885.17	21149.59	9687.56	30837.15	154722.32
2012-13(RE)	31297.63	119844.00	151141.6	25484.76	10651.67	36136.43	187278.06
2013-14(BE)	35758.05	132134.15	167892.2	31257.48	22050.51	53307.99	221200.19

Source: Budget Documents, Uttar Pradesh.

The break-up of public expenditure into plan and non-plan heads shows the proportion of the total expenditure available for introducing new schemes and programmes during a plan period after fulfilling committed liabilities such as salaries and other administrative expenditures described under non-plan expenses. The size of plan expenditure has its own relevance as it indicates the financial space available for meeting the possibilities of introducing new schemes after fulfilling regular commitments. The Uttar Pradesh government has a limited plan size because the state has been facing serious financial crunch in recent past. Plan expenditure accounted for 11.83 per cent of total social sector expenditure in 2001-02, fluctuated between 8.33 per cent in 2003-04 to 30.82 per cent in 2006-07, and reached 33.78 per cent in 2008-09. It declined sharply in 2009-10 and again showed an upward trend in 2010-11. Whereas non-plan expenditure increased from 88.17 per cent in 2001-02 to all time high 91.67 per cent in 2003-04 and thereafter declined subsequently in 12 year period under consideration. The average plan expenditure was 25.3 per cent throughout the 12 year period as against 74.6 per cent for non-plan expenditure.

Kumar

**Table 2**  
**Revenue and Capital Expenditure as Percent of Total Expenditure**

Year	Revenue Expenditure			Capital Expenditure			Total
	Plan	Non Plan	Total	Plan	Non Plan	Total	Expenditure
2001-02	9.35	74.05	83.40	2.47	14.12	16.60	100.00
2002-03	8.49	69.77	78.26	9.21	12.53	21.74	100.00
2003-04	3.80	54.46	58.26	4.53	37.21	41.74	100.00
2004-05	6.35	49.22	55.57	6.36	38.07	44.43	100.00
2005-06	10.02	62.43	72.45	13.60	13.95	27.55	100.00
2006-07	12.68	60.14	72.83	18.14	9.03	27.17	100.00
2007-08	13.30	60.58	73.88	15.96	10.16	26.12	100.00
2008-09	16.33	55.41	71.74	17.45	10.81	28.26	100.00
2009-10	12.76	59.86	72.62	15.93	11.45	27.38	100.00
2010-11	15.44	63.56	79.00	14.82	6.18	21.00	100.00
2011-12	14.62	65.45	80.07	13.67	6.26	19.93	100.00
2012-13 (RE)	16.71	63.99	80.70	13.61	5.69	19.30	100.00
2013-14 (BE)	16.17	59.74	75.90	14.13	9.97	24.10	100.00

Source: Computed from budget data, UP Government

**Table 3**  
**Ratio of Plan and Non-Plan Expenditure to Total Expenditure (%)**

Year	Plan Expenditure			Non-Plan Expenditure			Total
	Revenue	Capital	Total	Revenue	Capital	Total	Expenditure
2001-02	9.35	2.47	11.83	74.05	14.12	88.17	100
2002-03	8.49	9.21	17.70	69.77	12.53	82.30	100
2003-04	3.80	4.53	8.33	54.46	37.21	91.67	100
2004-05	6.35	6.36	12.71	49.22	38.07	87.29	100
2005-06	10.02	13.60	23.62	62.43	13.95	76.38	100
2006-07	12.68	18.14	30.82	60.14	9.03	69.18	100
2007-08	13.30	15.96	29.26	60.58	10.16	70.74	100
2008-09	16.33	17.45	33.78	55.41	10.81	66.22	100
2009-10	12.76	15.93	28.69	59.86	11.45	71.31	100
2010-11	15.44	14.82	30.26	63.56	6.18	69.74	100
2011-12	14.62	13.67	28.29	65.45	6.26	71.71	100
2012-13 (RE)	16.71	13.61	30.32	63.99	5.69	69.68	100
2013-14 (BE)	16.17	14.13	30.30	59.74	9.97	69.70	100

Source: Computed from budget data, UP Government

During the last decade total public expenditure in UP increased at a compound annual growth rate of 13.82 per cent with capital expenditure increasing at the rate of 11.64 per cent and revenue expenditure at 15.02 per cent (Table 4). During the first half of the decade the growth rate of total expenditure was 18.46 per cent per annum as the government tried to deal with the fiscal crisis by compression growth of expenditure. During this period revenue expenditure grew only at a rate of 11.29 per cent, though capital expenditure recorded a high growth rate of 40.81 per cent per annum. However, during the next phase (2006-07 to 2013-14) the growth pattern

### Trends in Public Expenditure on Social Sector in Uttar Pradesh

reversed. Capital expenditure slowed down with growth rate of 11.00 per cent per annum, but the CAGR of revenue expenditure triggered a sharp jump to 17.55 per cent per annum.

**Table 4**  
**Compound Annual Growth Rate of Public Expenditure in UP (%)**

Year	Revenue Expenditure			Capital Expenditure			Total Expenditure
	Plan	Non Plan	Total	Plan	Non Plan	Total	
2000-01 to 2005-06	16.64	10.56	11.29	60.51	32.06	40.81	18.46
2006-07 to 2013-14	19.74	17.04	17.55	11.42	9.94	11.00	15.95
2001-02 to 2013-14	23.91	13.58	15.02	26.79	2.64	11.64	13.82

Table 5 shows some critical ratios at the macro level and we can draw very valuable inferences from it. Firstly, we find that percentage of aggregate public expenditure to GSDP increased significantly during the study period. Secondly, the share of capital expenditure in aggregate recorded an increase in this period. Thirdly, the share of developmental expenditure during this period shows a continuous increase pointing towards an increase in the government's attention to the development sector of the state economy. Thus, the macro scenario regarding public expenditure in the last decade can be characterised by continuous increase in the share of public expenditure in GSDP, increase in the share of capital expenditure in total spending by the state and rise in the share of development expenditure upto 2009-10 and thereafter by a decline.

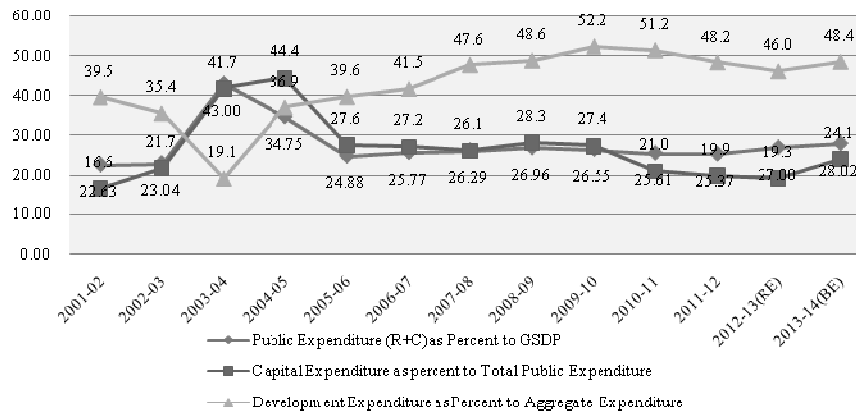
**Table 5**  
**Trends in Revenue Expenditure and Capital Expenditure in Uttar Pradesh**

Years	Public Expenditure (R+C) as Percent to GSDP	Capital Expenditure as per cent to Total Public Expenditure	Development Expenditure as Percent to Aggregate Expenditure
2001-02	22.63	16.60	39.50
2002-03	23.04	21.74	35.40
2003-04	43.00	41.74	19.12
2004-05	34.75	44.43	36.94
2005-06	24.88	27.55	39.57
2006-07	25.77	27.17	41.53
2007-08	26.29	26.12	47.56
2008-09	26.96	28.26	48.63
2009-10	26.55	27.38	52.16
2010-11	25.61	21.00	51.25
2011-12	25.37	19.93	48.19
2012-13 (RE)	27.00	19.30	45.98
2013-14 (BE)	28.02	24.10	48.35

Source: Computed from the Data from Budget Documents.

Kumar

Figure 1  
Trends in Public Expenditure in Uttar Pradesh



Development expenditure constitutes economic services and social services, of which social services assume more importance in Uttar Pradesh in 2008-09. The share of development expenditure to total public expenditure of Uttar Pradesh is highly fluctuating and shows the fact that the attention bestowed to the social sector is not consistent.

### Trends in Social Sector Expenditure

A state is said to be welfare state, when it spends more on the social amenities of the people. Earlier studies by Prabhu (1997), UNDP (1997) and Chelliah and Sudarshan (1999) have shown that social sector expenditure either taken as a proportion of GDP, or as a proportion of aggregate expenditure started declining for the majority of the states from the mid 1980s. This trend continued in early 1990s as well. In our study we cover the last decade after the reforms as reforms at the state level transcended a bit late which focused on the lagging status of human development and the main responsibilities for social sector expenditure lies with the states.

In this section, an attempt is made to assess the extent and direction of expenditure on social sector in Uttar Pradesh during 2000-01 to 2012-13. Total expenditure of the social sector includes both revenue and capital expenditure, where capital expenditure makes promotional activity and revenue expenditure is meant for protective and social security measures. Social service expenditure comprises expenditure on 12 items in the revenue expenditure part. Within the social services, education expenditures include expenditure on sports and youth affairs. Health expenditure is defined in two ways. Health I comprises expenditure on the heads of medical, public

### Trends in Public Expenditure on Social Sector in Uttar Pradesh

health and family welfare, whereas Health II includes expenditure on water supply and sanitation. These categories were kept separate as expenditure on water supply and sanitation contributes to health indirectly and is not considered as an integral part of health (Prabhu, 2001; Nayak, 2009).

Generally, people benefit from general public investment and the development spending on a variety of services delivered by the government including education, health and family welfare, water supply and sanitation, housing and urban development, social security and welfare and nutrition. The Government of Uttar Pradesh has increased its allocations to the social sectors quite significantly between 2004 and 2010 after suffering from a decade of stagnation between 1993 and 2004. The early period of stagnation was attributable to the acute fiscal health crisis that engulfed almost all states, including Uttar Pradesh. The situation changed after 2005 when the fiscal health improved considerably as a result of larger transfer of resources from the Union Government to the states as recommended by the Twelfth Finance Commission, and the acceleration in economic growth.

**Table 6**  
**Trends in Social Sector Expenditure and**  
**Per Capita Social Sector Expenditure in Uttar Pradesh**

	Social Sector (Revenue and Capital) Expenditure as Percent to GSDP	Social Sector (Revenue and Capital) Expenditure as per cent to Total Public Expenditure	Per Capita Social Sector (Revenue and Capital) Expenditure	Social Sector (Revenue) Expenditure as Percent to GSDP	Social Sector (Revenue) Expenditure as per cent to Total Public Expenditure	Per Capita Social Sector (Revenue) Expenditure
2000-01	5.73	27.0	563.2	5.70	26.9	560.0
2001-02	6.05	14.5	581.4	5.77	13.9	554.3
2002-03	6.54	15.5	641.9	6.12	14.5	600.9
2003-04	6.00	7.6	626.8	5.67	7.2	591.8
2004-05	9.01	9.5	1011.8	6.53	6.9	733.7
2005-06	11.77	15.2	1495.5	6.76	8.7	858.3
2006-07	15.87	16.5	2214.8	7.44	7.7	1038.6
2007-08	14.90	15.5	2342.1	7.78	8.1	1222.7
2008-09	17.27	16.1	3015.7	8.50	7.9	1484.3
2009-10	9.36	30.4	1877.4	8.16	26.5	1637.3
2010-11	9.57	33.0	2225.4	8.53	29.4	1984.8
2011-12 (RE)	10.92	35.4	2864.2	9.63	31.2	2527.2
2012-13 (BE)	11.14	35.9	3293.5	9.61	31.0	2842.2

Source: Computed from the Data from Budget Documents.



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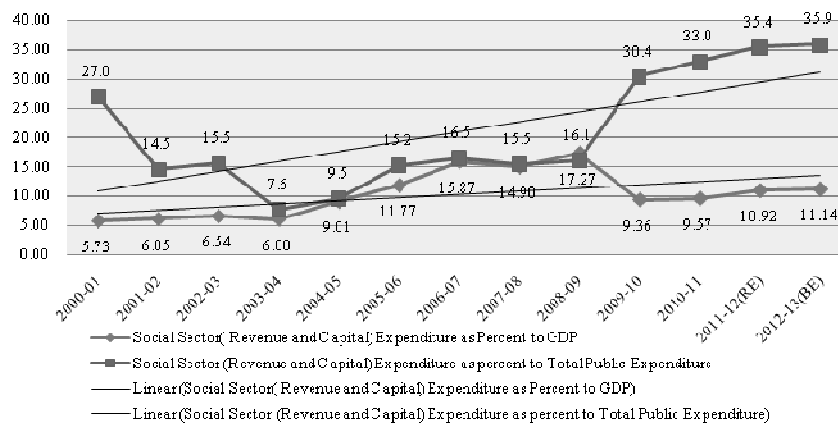
Table 6 gives an overview of the social sector expenditure as a percentage of GSDP, as a proportion of aggregate expenditure and as per capita real expenditure from the period 2000-01 onwards. As a proportion of GSDP the share of social sector expenditure has increased during the period. The share in 2000-01 were lower than those in 2010-11 and 2011-12. From the table 6, it is inferred that the share of social sector expenditure to total public spending of Uttar Pradesh is tremendously decreasing from 27 per cent in the year 2000-01 to 7.6 per cent in the year 2003-04 but later on an increasing trend is observed till 2011-12.

As a proportion of total expenditure the share of the social sector has definitely increased since the beginning of the study period if both revenue and capital expenditure are taken together. The proportion was higher in the first half of the study period i.e., 2000-01 but thereafter declined continuously till 2004-05 but increased in the later period so as to reach 33.0 per cent in 2010-11 and also to 35.4 per cent in 2011-12 and 35.9 per cent in 2012-13.

However, when considered as a proportion of total public expenditure, the priority given to social sector spending has been declining. In 2000-01, social services accounted for almost 27 per cent of the total public expenditure incurred by the Government of Uttar Pradesh. By 2003-04, this ratio had dropped to 7.6 per cent but the situation improved since then, and in 2010-11, Government of Uttar Pradesh once again reverted to spending almost 33.0 per cent of its public expenditures on social services (Figure 1). In 2010-11 a sharp increase is seen through revised estimates and similar is the budgeted estimate for 2012-13. The per capita real expenditure on the social sector has also increased since 2000-01. A huge jump could be seen after 2005-06. One could be tempted to conclude therefore that state has done better after the launch of National Flagship programmes to look into the social well being. Over the years the numbers of centrally sponsored schemes has continued to increase at the expense of the allocation from the overall plan outlays to the states (Dev and Mooji, 2002). However, the major responsibilities of the state in increasing the social sector expenditure cannot be denied (Dev and Mooji, 2002).

## Trends in Public Expenditure on Social Sector in Uttar Pradesh

**Figure 2**  
Expenditure on Social Sector as Percent of Total Expenditure from State Budget and as Percent to NSDP (2000-01 to 2012-13)



**Table 7**  
Share of Revenue and Capital Expenditure in Total Spending in Uttar Pradesh

Years	Share of Revenue and Capital Expenditure in Total Public Spending		Share of Revenue and Capital Expenditure in Total Social Spending	
	Revenue	Capital	Revenue	Capital
2000-01	90.47	9.53	99.43	0.57
2001-02	89.94	10.06	95.33	4.67
2002-03	89.67	10.33	93.62	6.38
2003-04	84.35	15.65	94.42	5.58
2004-05	75.45	24.55	72.51	27.49
2005-06	77.90	22.10	57.39	42.61
2006-07	74.28	25.72	46.89	53.11
2007-08	74.71	25.29	52.20	47.80
2008-09	72.08	27.92	49.22	50.78
2009-10	73.79	26.21	87.21	12.79
2010-11	80.01	19.99	89.19	10.81
2011-12 (RE)	78.99	21.01	88.23	11.77
2012-13 (BE)	80.78	19.22	86.30	13.70

Source: Computed from the Data from Budget Documents.

Revenue expenditure is the soul of the total expenditure in the social sector. The share of capital expenditure has seen an increasing trend over the years from nearly 0.57 per cent of total expenditure on social expenditure in 2000-01 to nearly 13.70 per cent in 2012-13 (BE), whereas revenue expenditure has followed a declining trend over the period.

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### Relative Allocations to the Social Sector

Table 8 gives expenditure on the various heads as a proportion of aggregate expenditure. The share for education, housing and urban development, social security and welfare and other social services recorded a rise since 2000-01. One can comprehend that as percentage of GSDP the share of social sector increased (Table 8). The proportion of individual components in total revenue expenditure points towards the relative priority being assigned to each component by the state government. These shares have been given in Table 8. The share of education including sports, art and culture varies from 66.38 per cent in 2000-01 to lowest 45.35 in 2008-09. After this again an increasing trend is observed which reached 55.39 per cent in 2012-13.

**Table 8**  
**Relative Allocations of Social Spending(R+C)**  
**into Different Segments in Uttar Pradesh**

	Social Services	Education, sports, art and culture	Medical and public health	Family Welfare	Water supply and sanitation	Housing	Urban development	Welfare of SC/ST and OBC	Labour and Labour welfare	Social Security and Welfare	Relief on account of Natural Calamities	Others*
2000-01	100	66.38	12.40	2.90	3.26	0.20	0.62	6.69	1.22	5.03	0.72	0.58
2001-02	100	64.72	11.70	2.83	5.19	0.15	1.24	6.83	0.98	4.79	1.08	0.49
2002-03	100	58.86	12.53	2.66	2.61	0.14	1.95	7.78	1.03	7.13	4.84	0.49
2003-04	100	60.41	13.45	3.49	3.93	0.17	1.01	7.60	1.05	7.49	0.99	0.43
2004-05	100	55.56	12.46	3.10	2.59	0.15	1.57	10.47	0.88	9.89	3.00	0.32
2005-06	100	56.31	13.80	2.83	4.00	0.12	0.71	9.40	0.84	9.26	2.39	0.35
2006-07	100	55.61	12.30	2.35	3.32	0.13	2.72	7.80	2.70	12.09	0.67	0.30
2007-08	100	50.58	11.33	2.10	2.48	0.14	5.91	8.55	0.70	15.55	2.39	0.27
2008-09	100	45.35	10.07	2.90	2.39	0.12	11.07	9.14	0.66	16.79	1.17	0.35
2009-10	100	50.47	11.02	3.89	2.43	0.10	2.61	8.81	0.83	18.52	1.05	0.28
2010-11	100	52.96	10.30	3.46	1.77	0.11	2.46	7.44	0.92	19.24	0.99	0.35
2011-12 (RE)	100	54.32	9.03	2.80	1.68	0.09	2.93	6.19	1.28	19.01	2.22	0.43
2012-13 (BE)	100	55.39	9.59	4.39	0.02	0.10	1.80	6.39	3.80	17.04	1.09	0.39

Source: Computed from the Data from Budget Documents.

The above table portrays the changes in the composition of social sector expenditure in Uttar Pradesh. It can be inferred that education sector has absorbed the largest chunk from the social sector expenditure as it is known that the education is key to all success and achievements hence

### Trends in Public Expenditure on Social Sector in Uttar Pradesh

government is intentionally investing more on the educational front. The share of health sector is conspicuous by being the neglected sector as compared to education. The share of water supply is less than 1 per cent in all the years and in recent past it has experienced a drastic decline in its share too. The share of housing is very meager and others category includes urban development and other social welfare measures too have seen an increase just because of focus on social security and welfare component from 2006-07 onwards.

**Table 9**  
**Share of Different Segments of Social Sector in GSDP in Uttar Pradesh**

	Total Expenditure	Developmental Expenditure	Social Services	Education, sports, art and culture	Medical and public health	Family Welfare	Water supply and sanitation	Housing	Urban development	Welfare of SC/ST and OBC	Labour and Labour welfare	Social Security and Welfare	Relief on account of Natural Calamities	Others*
2000-01	17.10	8.15	5.08	3.37	0.63	0.15	0.17	0.01	0.03	0.34	0.06	0.26	0.04	0.03
2001-02	16.70	7.72	4.91	3.18	0.57	0.14	0.25	0.01	0.06	0.34	0.05	0.24	0.05	0.02
2002-03	15.92	7.83	4.98	2.93	0.62	0.13	0.13	0.01	0.10	0.39	0.05	0.36	0.24	0.02
2003-04	22.13	12.92	4.56	2.76	0.61	0.16	0.18	0.01	0.05	0.35	0.05	0.34	0.05	0.02
2004-05	17.10	7.69	5.02	2.79	0.63	0.16	0.13	0.01	0.08	0.53	0.04	0.50	0.15	0.02
2005-06	15.90	7.97	5.32	3.00	0.73	0.15	0.21	0.01	0.04	0.50	0.04	0.49	0.13	0.02
2006-07	16.56	8.52	5.72	3.18	0.70	0.13	0.19	0.01	0.16	0.45	0.15	0.69	0.04	0.02
2007-08	17.03	9.17	6.03	3.05	0.68	0.13	0.15	0.01	0.36	0.52	0.04	0.94	0.14	0.02
2008-09	17.08	9.60	6.42	2.91	0.65	0.19	0.15	0.01	0.71	0.59	0.04	1.08	0.08	0.02
2009-10	17.08	8.67	6.13	3.09	0.67	0.24	0.15	0.01	0.16	0.54	0.05	1.13	0.06	0.02
2010-11	17.94	9.21	6.59	3.49	0.68	0.23	0.12	0.01	0.16	0.49	0.06	1.27	0.07	0.02
2011-12 (RE)	19.04	10.51	7.53	4.09	0.68	0.21	0.13	0.01	0.22	0.47	0.10	1.43	0.17	0.03
2012-13 (BE)	19.89	10.66	7.63	4.22	0.73	0.33	0.00	0.01	0.14	0.49	0.29	1.30	0.08	0.03

Source: Computed from the Data from Budget Documents.

**Table 10**  
**Share of Different Components of Social Sector in**  
**Total Revenue Expenditure**

	Developmental Expenditure	Social Services	Education, sports, art and culture	Medical and public health	Family Welfare	Water supply and sanitation	Housing	Urban development	Welfare of SC/ST and OBC	Labour and Labour welfare	Social Security and Welfare	Relief on account of Natural Calamities	Others*
2000-01	47.66	29.70	19.72	3.68	0.86	0.97	0.06	0.19	1.99	0.36	1.49	0.21	0.17
2001-02	46.21	29.38	19.01	3.44	0.83	1.53	0.04	0.36	2.01	0.29	1.41	0.32	0.14
2002-03	49.16	31.29	18.42	3.92	0.83	0.82	0.05	0.61	2.43	0.32	2.23	1.51	0.15
2003-04	58.39	20.62	12.45	2.77	0.72	0.81	0.03	0.21	1.57	0.22	1.54	0.20	0.09
2004-05	44.98	29.34	16.30	3.66	0.91	0.76	0.04	0.46	3.07	0.26	2.90	0.88	0.09
2005-06	50.12	33.48	18.86	4.62	0.95	1.34	0.04	0.24	3.15	0.28	3.10	0.80	0.12
2006-07	51.45	34.56	19.22	4.25	0.81	1.15	0.05	0.94	2.70	0.93	4.18	0.23	0.10
2007-08	53.85	35.39	17.90	4.01	0.74	0.88	0.05	2.09	3.03	0.25	5.50	0.85	0.09
2008-09	56.20	37.58	17.04	3.79	1.09	0.90	0.04	4.16	3.43	0.25	6.31	0.44	0.13
2009-10	50.77	35.88	18.11	3.95	1.39	0.87	0.04	0.94	3.16	0.30	6.64	0.38	0.10
2010-11	51.35	36.75	19.46	3.78	1.27	0.65	0.04	0.90	2.74	0.34	7.07	0.36	0.13
2011-12(RE)	55.19	39.54	21.48	3.57	1.11	0.67	0.04	1.16	2.45	0.51	7.52	0.88	0.17
2012-13(BE)	53.58	38.33	21.23	3.68	1.68	0.01	0.04	0.69	2.45	1.46	6.53	0.42	0.15

Source: Computed from the Data from Budget Documents.

### Critical Expenditure Ratios

In order to gauge the extent of political commitment of the government to the social sector we estimated four critical ratios following the UNDP methodology. Very pertinently UNDP proposed the following four ratios for comparing and monitoring social sector expenditure at the country level (UNDP, 1991).

- a. **Public Expenditure Ratios:** The public expenditure ratio (PER) is the proportion of state income that is going into public expenditure which UNDP recommends to be around 25 per cent.
- b. **The Social Allocation Ratio:** SAR is the percentage of public expenditure earmarked for social services which according to UNDP should be more than 40 per cent.
- c. **The Social Priority Ratio:** Then comes SPR which is social expenditure devoted to human priority concern reflected in allocation earmarked for education, public health, water and sanitation and food and nutrition. This ratio has to be more than 50 per cent (UNDP, 1991).

### Trends in Public Expenditure on Social Sector in Uttar Pradesh

- d. *The Human Expenditure Ratio:* HER is the percentage of national income devoted to human priority concerns. This is the product of above three ratios and UNDP asserts that it should be about 5 per cent.

The table below gives trends of the social sector expenditure in Uttar Pradesh in the light of expenditure norms recommended by UNDP (1991).

**Table 11**  
**Selected Social Sector Critical Ratios in Uttar Pradesh**

Year	PER (TRE/NSDP)	SAR (SSRE/TRE)	SPR (SPRE/SSRE)	HER (SPRE/NSDP)
2001-02	18.87	29.70	84.43	1.96
2002-03	18.03	29.38	76.65	3.24
2003-04	25.05	31.29	81.27	2.87
2004-05	19.31	20.62	73.72	3.25
2005-06	18.02	29.34	76.94	3.51
2006-07	18.77	33.48	73.58	3.54
2007-08	19.42	34.56	66.49	4.27
2008-09	19.34	35.39	82.23	6.68
2009-10	19.28	37.58	67.80	4.20
2010-11	20.23	35.88	68.48	4.25
2011-12	20.31	36.75	68.87	4.25
2012-13 (RE)	21.79	39.54	68.61	4.72
2013-14 (BE)	21.27	38.33	68.91	4.68

Source: Computed from the Data from Budget Documents.

The table 11 shows that during the study period none of the years (except 2003-04) PER was close to the norm of 25 per cent of NSDP in the state. It varies from minimum of 18.03 per cent in 2002-03 to maximum of 25.05 per cent in 2003-04 thus reflecting upon low per capita income and low tax-SDP ratio in the State. The share of social services expenditure out of total public expenditure has rising trend during the period till 2009-10 and later on picked up mostly being restricted to within 35 and 40 per cent. Thus, we find that SAR has not fulfilled the standard UNDP norms of revenue expenditure being 40 per cent in the social services as put forth by UNDP which is the outcome of fiscal constraints. This fiscal strain is well explained by mounting proportion of expenditure being spent on salary, pension and interest payment in the state. The social priority ratio (SPR) however stood above the prescribed norm of 50 per cent thus fulfilling the suggested criteria by UNDP. The HER i.e., human priority expenditure as a proportion of NSDP gives a disappointing feeler as it remained below the suggested norm of 5 per cent except in the year 2008-09 when it was reported to be above i.e., 6.68 per cent.

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### Trend in Per Capita Revenue Expenditure on Social Services

Despite the improvements registered over time in the public expenditure allocations to social services, Uttar Pradesh does not fare well compared to other states, when it comes to per capita allocations, mainly because of its large population size (UNICEF, 2011).

**Table 12**  
**Trends in Real Per Capita Revenue Expenditure on**  
**Social Sector of UP Government on 2004-05 prices (Rs.)**

Years	Total Expenditure	Social Services	Education, Sports,	Medical and Public Health	Family Welfare	Water Supply and Sanitation	Housing and Urban Development	Others	Rural Development
2001-02	2183.9	641.6	415.2	75.0	18.1	33.3	9.5	90.3	154.6
2002-03	2174.6	680.5	400.5	85.2	18.1	17.7	14.2	144.7	110.5
2003-04	3093.4	637.8	385.3	85.8	22.3	25.0	7.5	112.0	101.9
2004-05	2482.4	728.4	404.7	90.8	22.6	18.9	12.5	178.9	94.6
2005-06	2563.2	858.3	483.3	118.4	24.3	34.3	7.1	190.8	124.2
2006-07	2841.2	981.8	546.0	120.8	23.1	32.6	28.0	231.3	100.7
2007-08	3072.2	1087.4	550.0	123.2	22.9	27.0	65.8	298.6	138.3
2008-09	3303.6	1241.3	562.9	125.1	36.0	296.9	138.9	348.8	196.0
2009-10	3511.1	1259.7	635.7	138.8	49.0	30.6	34.2	371.5	141.1
2010-11	3740.0	1374.3	727.8	141.5	47.6	24.3	35.3	397.8	139.0
2011-12	3969.2	1518.4	832.2	140.1	44.8	28.6	32.1	440.6	145.1
2012-13 (RE)	4448.9	1739.1	942.0	165.7	78.7	6.8	33.4	512.6	166.3
2013-14 (BE)	4613.9	1819.8	970.3	170.0	75.6	38.2	74.3	491.4	166.1

Source: Computed from the Data from Budget Documents.

An analysis of per capita real public expenditures on social services in Uttar Pradesh indicates that the state's annual per capita spending on social services increased in nominal terms from Rs. 641.6 (2001-02) to Rs. 1819.8 (2013-14 BE). But even this amount of per capita spending is understood to be relatively low and insufficient to address the acute development deficits in social sectors. In 2011-12, per capita expenditure by the Government of Uttar Pradesh on social services was the second lowest (after Bihar) among the 22 most-populous 'major' states - a discomfiting ranking that Uttar Pradesh continues to hold. In other words, nearly a decade after and despite improving its share of spending on social sectors over time (Figure 3), Uttar Pradesh still is not spending enough on its social services.

### Trends in Public Expenditure on Social Sector in Uttar Pradesh

Compound annual growth rate in per capita real expenditure on social sector and its different components for the entire study period is put forth in the Table 13 below. The CAGR in first period (between 2000-01 and 2005-06) is higher than the latter period i.e., 2006-07 and 2013-14.

**Table 13**  
**Compound Annual Growth Rate of**  
**Real Per Capita Social Sector Expenditure in UP (%)**

	Total Expenditure	Social Services	Education and Sports	Medical and Public Health	Family Welfare	Water Supply and Sanitation	Housing and Urban Development	Others	Rural Development
2000-01 to 2005-06	7.65	3.21	-1.15	5.94	9.06	-12.68	1.79	19.64	-14.21
2006-07 to 2013-14	7.49	9.58	9.62	4.73	17.84	-10.50	12.60	12.52	4.11
2001-02 to 2013-14	6.27	9.99	8.46	6.74	13.34	-0.39	18.09	15.42	3.33

Source: Computed from budget data, UP Government

### Inter State Comparisons

In this section we may look at the level of per capita social sector expenditure in Uttar Pradesh in relation to other states (Figure 4). In order to gain a better understanding of the inter-state trends in social sector financing and to gauge the position of Uttar Pradesh with regard to this, figures on the revenue expenditure on social sector in 2002-03 and 2012-13 (BE) has been taken from budget document and analysed thereof.

Despite the improvements registered over time in the public expenditure allocations to social sector, Uttar Pradesh does not fare well compared to other states, when it comes to per capita expenditures, mainly because of its large population. An analysis of per capita annual expenditure (Tables ) provides a thorough look into the state's (Uttar Pradesh) annual per capita spending on social services increased in nominal terms from Rs. 559 (average from 1998-99 to 2000-01) to Rs. 1158 (average of 2005-06 to 2007-08) and further to Rs. 2091 (average for 2009-10 to 2011-12). But even this amount of per capita annual expenditure was relatively low and insufficient to address the acute development deficits in social services. In 2009-10 per capita expenditure by the state Government on social sector was second lowest after Bihar among the major States in India. Present ignominious ranking that Uttar Pradesh maintains since 1998-99 inspite of improving in public spending on the social services is worrisome. Uttar Pradesh is still not spending sufficiently to provide its growing populace comfortable social development.



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Figure 3

Average Annual Per Capita Expenditure for Social Services by States

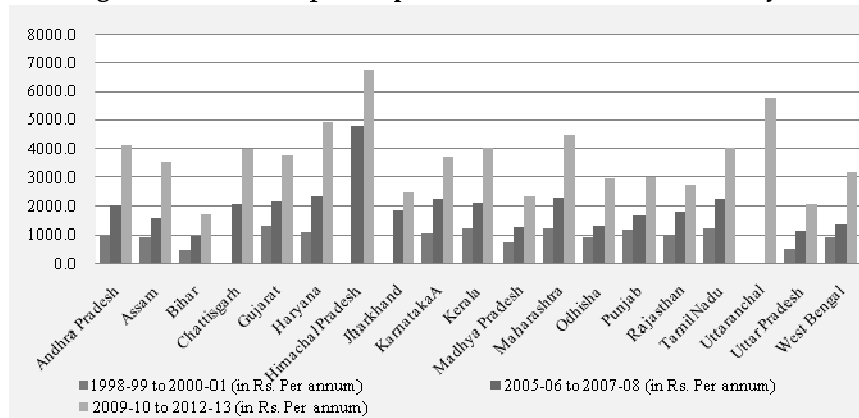
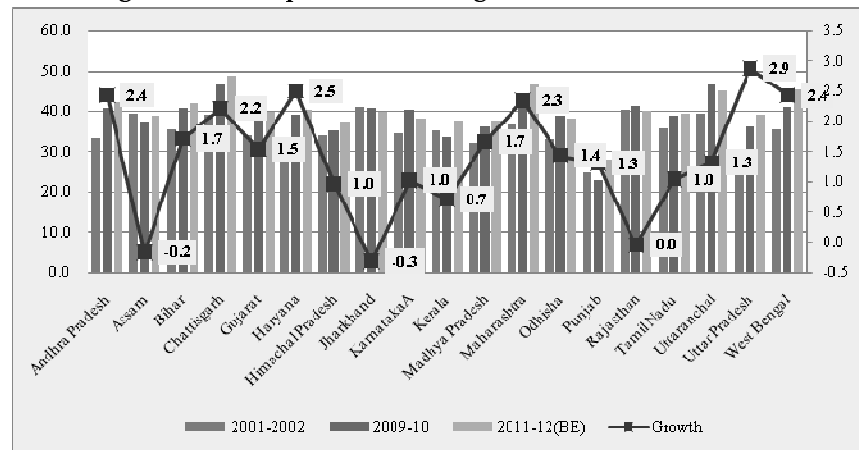


Figure 4

Percentage of Total Expenditure Going to Social Services in Each State



In terms of percentage of social sector expenditure to total public expenditure by the State Government we find that it has registered an increase over the period which is well reflected in the figure 4. Annual growth rate is also marked to show the change over the study period for every state.

### Summary and Conclusion

Adequate funding for social sector is necessary but not the sufficient prerequisite for desired outcomes for the development. Discussed below are some of the commonly observed criteria that limit the efficiency and

### **Trends in Public Expenditure on Social Sector in Uttar Pradesh**

effectiveness of fund utilisation and implementation of various programme of lifting the masses out of the morass of poverty and impending surmountable outcome measures in Uttar Pradesh. In this paper, we examined trends in the social sector expenditure from the state budgets for 2000-01 to the most recent available. In this analysis, we included social services only. Referring to the questions put forth in the introduction we can come up with the following answers:

- Has social sector expenditure declined/increased in Uttar Pradesh? Compared to other states, the fiscal priority offered to social sector in Uttar Pradesh is lower than the national average. As a percentage of total budgetary expenditures the outlay on social services though increased but needs further attention too. The per capita expenditure on social activities by the State is among the lowest in Uttar Pradesh (followed by Bihar) and has stagnated in real terms over the years gone by. Capital outlays on health have fallen as a proportion of total expenditure. A very small proportion of the expenditure is showered on health as compared to education sector. With the limited resources allocations more financial burden was incurred by the state government. So there is a need to solve the problem without compromising the social welfare. It is in the hands of the central government of India in order to facilitate the Uttar Pradesh social sector development and financial burden of Uttar Pradesh.
- What are the changes in the composition of social sector expenditures? The most significant visible change is a shift in favour of rural development, starting from 2001-02.
- Are there any improvements in health and education expenditures over the period? With regard to health not much has happened. Though we find continuous increase in health expenditure by the state government but in nominal terms not much could be achieved. The per capita real expenditure on health in the state increased but in proportion to GSDP no such increase could be observed. Intra sectoral shifts could be observed in favour of family welfare after 2008-09. With regard to education the share of social expenditure devoted to education have maintained its reputation by absorbing the major chunk. It was inferred that education sector has captured more share in the social sector expenditure as it is known that Uttar Pradesh is concentrating

### **Kumar**

on the different levels of education for the upliftment of its huge population share.

- What is the extent of inter-state disparities in social sector expenditures?  
In most states social sector expenditure has increased. The rich and middle income states have done better as compared to poorer states. The state of Himachal Pradesh has the highest per capita expenditure followed by Uttaranchal, Haryana and Chattisgarh with Uttar Pradesh second lowest only to Bihar.
- The share of social sector expenditure to developmental expenditure of Uttar Pradesh is highly fluctuating.
- The share of social sector to total public expenditure of Uttar Pradesh was diminishing tremendously.
- The share of expenditure in Uttar Pradesh to India's total expenditure is also decreasing
- There is reduction in the revenue expenditure of social sector in the recent years it may be due to the reduction in the salary expenses incurred in the social sector because in the recent past there is shortage of human power in the social sector in Uttar Pradesh.
- In the recent past importance was given to the physical infrastructure development of the social sector.

### **Suggestions**

- Resources from the central government should be allocated according to the needs of the state.
- The contribution of state to the central resources should also be considered while allocating resources.
- Uttar Pradesh should try to capture more plan expenditure in the social sector.
- Apart from the education sector other sub-sector should also get equal importance as they are the basic needs of a life.

### **Notes**

- 1 Social sector comprises of education, sports, art and culture, medical, public health and family welfare, family welfare, water supply and sanitation, housing, urban development, welfare of SCs, STs, and OBCs, labour and labour welfare, social security and welfare, food and nutrition, relief on account of natural calamities, and others.

## **Trends in Public Expenditure on Social Sector in Uttar Pradesh**

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## **Contributory Role of Panchayati Raj in Facilitating Sustainable Economic Development**

**Joseph Benjamin \***

*Since Independence, India has made a significant progress in various sectors of rural development. The Ministry of Rural Development and the Ministry of Consumer Affairs are striving to bring about rapid sustainable development and socio-economic transformation in rural India with an integrated approach towards improving the quality of life of rural poor and ensuring effective people's participation. Any strategy for sustainable development must involve the people at all levels. For this, there is a need for revitalising panchayati raj institution. The panchayati raj institution can be recognised as a catalyst for participative planning and implementation of various development programmes especially sustainable development at grassroot level. The present paper focuses on the role of panchayati raj in sustainable development. People's participation in preserving the environment not only for today but also for future generation is a part of this study. This paper highlights the role of panchayati raj and at the same time studies the various governmental schemes launched in rural areas for preserving the natural resources like water, mountains, riverbeds, soil, sand and land etc., which are to be used by future generation too.*

It is argued that the developed countries comprising roughly 20 per cent of the global population control about 80 per cent natural resources of

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### **Contributory Role of Panchayati Raj**

the world, and it is they who have been the biggest energy consumers and biggest pollutant emitters (Sharma, 1997). The very goal of sustainable development is challenged when we see that one sixth of earth's population enjoys a disproportionate five-sixth of its wealth. For whom do we need sustainable development? It seems that sustainable development is a game plan, bogey, nay a conspiracy of developed capitalist nations to stall the development, or at least slow down its pace and keep developing nations on perpetual dependency.

Ever since Independence, India has made a significant progress in various sectors of rural development. The Ministry of Rural Development and the Ministry of Consumer Affairs are striving to bring about rapid and sustainable development and socio-economic transformation in rural India with an integrated approach towards improving the quality of life of rural poor and ensuring equity and effective people's participation. This realisation came though belatedly as it was assumed that economic growth would trigger "trickle-down" benefits to poor and marginalised section of the population. This facilitated paradigmatic shift from top-down approach to bottom-up approach to economic growth strategy.

Any strategy for sustainable development must involve people themselves at all levels. For this, there is a need for revitalising panchayati raj institutions which encompasses both administrative and financial devolution of powers. The panchayati raj institution can be recognised as a catalyst for participative planning and implementation of various development programmes especially sustainable development at grassroot level. This has a cascading effect if policies are calibrated well.

Panchayats have been the backbone of the Indian villages since the very beginning of history. It is an engine of growth, agent of change and sustainable development. The contribution of Lord George Fredrick Samuel Ripon (1827-1909) in starting local self-government in the year 1881-84 is remarkable. Gandhiji's dream of every village being a republic or panchayats having powers has been translated into reality after independence. April 24, 1993 is a landmark in the history of panchayati raj in India as on this day the Constitution (73rd Amendment) Act, 1992 came into force to provide constitutional status to the panchyati raj institutions. The 73rd Amendment Act gives more power to the gram sabha.

Sustainable development involves many things. More appropriate technologies, supportive policies, different ethics and changes in individual behaviour are among the more factors. Sustainable development is a pattern of resource use that aims to meet human needs while preserving the

### **Benjamin**

environment so that these needs can be met not only in the present, but also in future. Sustainable development can be defined as 'the kind of human activity that nourishes and perpetuates the whole community of life on Earth'. How the environment can be preserved? How the human needs can be met not only for the present generation but also for the future? Here the role of panchayati raj would be very vital. People's participation and planning in rural areas in sustainable development is very important. Local self-government is important for mobilising resources and regulating their use with a view to maintaining a long term base for productive activities. At the same time available resources can be put to their most efficient and sustainable use with location-specific knowledge, which is best, generated and interpreted locally. Sustainable development and environmental security are the functions of the political order of each state and region. For development to be sustainable and the environment to be secure, 'patterns of resource control and levels of democracy within the decision-making groups' (Agarwal, 1995) become important elements of the political order. The necessity of reordering society with decentralisation of power, empowerment of local people particularly women, and mass participation in sustainable development, calls for a bottom-up strategy involving people's participation from the lowest level (Hassan, 1995).

The present paper focus on the role of panchayati raj in sustainable development. People's participation in preserving the environment not only for today but also for the future generation is part of this study. This paper highlights the role of panchayati raj and at the same time study the various governmental schemes launched in rural areas for preserving the natural resources like water, mountains, riverbeds, soil, sand and land etc. which are to be used by future generation too.

### **Panchayati Raj and Grassroot Development**

The first Prime Minister of independent India Pandit Jawaharlal Nehru set in notion Community Development Programme in 1952. But it was not taken seriously because people were not attuned to this new paradigm. After Balwantrai Mehta Committees' recommendations, it was gradually felt, it would be an important agency through which governmental programmes and schemes for sustainable development can be implemented by village people. Government is the largest agency mandated for overall development of people amidst a hangover of *Maai Baap* sarkar of the British Raj. Government schemes, thus, are well designed to reach the people especially socially and economically marginalised sections of the

### **Contributory Role of Panchayati Raj**

society. However, lack of community participation and ownership in such schemes along with poor economic and political inter-sectoral co-operation have restricted the intended impact on sustainable development in rural areas. Panchayats have been the backbone of the Indian villages since the beginning of recorded history. Gandhiji's dream of every village being a republic or panchayats having powers has been translated into reality with the introduction of the three-tier panchayati raj system to enlist people's participation in rural reconstruction. April 24, 1993 is a landmark day in the history of panchayati raj in India as on this day the Constitution (73rd Amendment) Act, 1992 came into force to provide constitutional status to the panchayati raj institutions. The salient features of the Act are: (i) to provide three-tier system of panchayati raj for all states having population of over 20 lakh; (ii) to hold panchayat elections regularly every five years; (iii) to provide reservation of seats for Scheduled Castes, Scheduled Tribes and women (not less than 33 per cent, states like Bihar, Uttar Pradesh, Maharashtra, Madhya Pradesh, Odisha have reserved 50 per cent seats for women); (iv) to appoint State Finance Commission to make recommendations regarding financial powers of the panchayats; and (v) to constitute District Planning Committee to prepare draft development plan for the district as a whole. According to the Constitution, panchayats shall be given powers and authority to function as institutions of self-government. The powers and responsibilities to be delegated to panchayats at the appropriate level are: (a) preparation of plan for economic development and social justice, (b) implementation of schemes for economic development and social justice in relation to 29 subjects given in Eleventh Schedule of the Constitution and (c) to levy, collect and appropriate taxes, duties, tolls and fees. The 73rd Amendment Act gives constitutional status to the gram sabha.<sup>1</sup> Under the Act, gram sabha has been vested with powers for: ownership of minor forest produce, development plans approval, selection of beneficiaries under various programmes, consultation on land acquisition, manage minor water bodies, control mineral leases, regulate/prohibit sale of intoxicants, prevent alienation of land and restore unlawfully alienated land of Scheduled Tribes, manage village markets, control money lending to Scheduled Tribes, and control institutions and functionaries in all social sectors.

### **Local-Self-Government and Sustainable Development**

Post-1947 India's economic growth strategy was socialist in its orientation, but with UPA Government Prime Minister Dr. Manmohan



### **Benjamin**

Singh's ushering in economic reform when he was finance Minister in P.V. Narashima Rao's government brought seismic change in economic landscape of the country. This was a real game-changer which steered the Indian economy on a new trajectory. And as a result Indian economy became integrated with world economic system. Notwithstanding this new economic stance the government was also conscious that grassroot mobilisation and development should also figure in its overall economic scheme of things. Various programmes and projects of long- gestation and medium-cum-short duration were started. Some were to succeed well, while others produced mixed results. The following programmes need individual elucidation. Some programmes got foreign funding from international bodies, UN affiliates and legion of NGOs too pitched in their mite.

#### ***Jawahar Gram Samridhi Yojana***

Jawahar Gram Samridhi Yojana (JGSY) is the restructured, streamlined and comprehensive version of the erstwhile Jawahar Rozgar Yojana (JRY). Launched on 1 April 1999, it has been designed to improve the quality of life of the rural poor by providing them additional gainful employment. The objectives of the Yojana are: creation of demand-driven village infrastructure including durable assets for increasing the opportunities for sustained employment, and generation of supplementary employment for the unemployed poor in the rural areas. People living in villages constitute the target group of JGSY. The programme is being implemented entirely at the village panchayat level. Village panchayat is the sole authority for preparation of annual action plan and its implementation with the approval of gram sabha.

#### ***Swarnjayanti Gram Swarozgar Yojana***

Swarnjayanti Gram Swarozgar Yojana (SGSY) was the single self-employment programme for the rural poor. Launched on 1 April 1999, the programme replaced the earlier self-employment and allied programmes - Integrated Rural Development Programme (IRDP), Training of Rural Youth for Self- Employment (TRYSEM), Development of Women and Children in Rural Areas (DWCRA), Supply of Improved Tool-Kits to Rural Artisans (SITRA), Ganga Kalyan Yojana (GKY) and Million Wells Scheme (MWS). The Yojana took into account all the strengths and weaknesses of the earlier self-employment programmes. It aimed at establishing a large number of micro-enterprises in the rural areas. Persons assisted under this programme were known as *swarozgaris* and not beneficiaries. A significant aspect of SGSY was

### **Contributory Role of Panchayati Raj**

that every family assisted under this programme were to be brought above the poverty-line in three years and as such the programme aims at creating substantial additional incomes for the rural poor.

#### ***Employment Assurance Scheme***

Employment Assurance Scheme (EAS) was launched on 2nd October 1993 for implementation in 1,778 identified blocks in the drought prone areas, desert areas, tribal and hilly areas of different states. Later, the scheme was extended to the remaining blocks of the country in a phased manner. The scheme being implemented in all the rural blocks of the country has been restructured from 1 April 1999.

#### ***Rajiv Gandhi National Drinking Water Mission***

The Accelerated Rural Water Supply Programme (ARWSP) was introduced in 1972-73 by the Centre to assist the States and Union Territories to accelerate the pace of coverage of drinking water supply. The programme was given a missionary approach with the launch of the Technology Mission of Drinking Water and Related Water Management, also called the National Drinking Water Mission (NDWM) in 1986. The NDWM was renamed as the Rajiv Gandhi National Drinking Water Mission (RGNDWM) in 1991.

#### ***Indira Awaas Yojana***

To meet the housing needs of the rural poor, Indira Awaas Yojana (IAY) was started in May 1985 as a sub-scheme of Jawahar Rozgar Yojana. From 1 January 1996, it is being implemented as an independent scheme. The Indira Awaas Yojana aims at helping rural people below poverty-line belonging to Scheduled Castes/Scheduled Tribes, freed bonded labourers and non-SC/ST categories in construction of dwelling units and up gradation of existing unserviceable kutcha houses by providing grant-in-aid.

#### ***Credit-cum-subsidy Scheme for Rural Housing***

The credit-cum-subsidy scheme for rural housing has been conceived for rural households having annual income up to Rs 32,000. However, preference will be given to rural households below poverty-line. Salient features of the scheme are: Subsidy up to Rs 10,000 per eligible household in plain areas and Rs 11,000 in hilly/difficult areas. Loan up to Rs. 40,000 per household; and sanitary latrine and smokeless chulha are integral part of the house.

## **Benjamin**

### ***Centrally-sponsored Rural Sanitation Programme***

Rural sanitation is a state subject. The state governments implement the rural sanitation programme under State sector Minimum Needs Programme (MNP). The Central government supplements the states' efforts providing financial and technical assistance through the Centrally-Sponsored Rural Sanitation Programme (CRSP). The CRSP was launched in 1986 with the objective of improving the quality of life of the rural people and to provide privacy and dignity to women. The concept of sanitation was expanded in 1993 to include personal hygiene, home sanitation, safe water, garbage and excreta disposal and waste water disposal. The components of the programme include construction of individual sanitary latrines for households below the poverty-line (BPL), conversion of individual sanitary latrines, construction of village sanitary complexes for women, setting up of sanitary marts, intensive campaign for awareness creation and health education, etc. The objective of the programme is to accelerate coverage of rural population, especially among households below the poverty-line with sanitation facilities, complementing the efforts in rural water supply.

### ***National Rural Employment Guarantees Act***

NREGA is regarded as a lifeline for many who lack sustainable livelihoods (Philipose, 2010). Recently, it was renamed as Mahatma Gandhi National Rural Employment Guarantees Act. The main intention behind the scheme was to provide employment to rural mass. It guarantees minimum 100 days work to local people. It has been the key to development process in rural areas. It has been very successful in many parts of India in sustainable livelihood of local panchayat. The NREGA does not only aim at providing work and wages but also ensures that it results in the creation of durable assets which strengthen and enhance the productivity of land and all agricultural resources. The people are involved in the developmental process which will last for many generations. The work is categorised by the developmental officers who will ensure and verify sustainable livelihood of the rural mass. People busy cutting forest tree, now will be entrusted in preserving the forest. People making cow-dung, will now be taught to stop the carbon emission.

### ***Prime Minister's Initiative in Economic Development***

Prime Minister Narendra Modi has taken initiative for economic development in India. He has launched number of schemes for economic

### **Contributory Role of Panchayati Raj**

development after coming to power in 2014. The important schemes introduced by NDA Government are:

#### ***Pradhan Mantri Jan Dhan Yojana (PMJDY)***

Pradhan Mantri Jan Dhan Yojana (PMJDY) is a nationwide scheme launched by Indian government in August 2014. In this scheme financial inclusion of every individual who does not have a bank account is to be achieved. The scheme will ensure financial access to everyone who was not able to get benefits of many other finance related government schemes. These financial services include banking/savings and deposit accounts, remittance, credit, insurance, pension which will be made available to all the citizens in easy and affordable mode.

Under the Jan Dhan Yojana scheme, anyone who is an Indian citizen above age of 10 years and does not have a bank account can open an account with zero balance. Account can be opened in any bank branch or Business Correspondent (*Bank Mitra*) outlet, specially designed for the purpose of opening the accounts under this scheme. The scheme also provides facility of accidental insurance cover up to Rs. 1,00,000 without any charge from the account holder.

The account holders under the Jan Dhan Yojana will be given a RuPay debit card which can be used at all ATMs for cash withdrawal and at most of the retail outlets for making transaction for purchases.

#### ***Pradhan Mantri Suraksha Bima Yojana, Pradhan Mantri Jeevan Jyoti Bima Yojana and Atal Pension Yojana***

Schemes were launched by Prime Minister, Narendra Modi on 9th May 2015. The schemes will be a one year cover, renewable from year to year, Accident Insurance Scheme offering accidental death and disability cover for death or disability on account of an accident. The scheme would be offered/ administered through Public Sector General Insurance Companies (PSGICs) and other General Insurance companies willing to offer the product on similar terms with necessary approvals and tie up with Banks for this purpose. Participating banks will be free to engage any such insurance company for implementing the scheme for their subscribers.

All savings bank account holders in the age 18 to 70 years in participating banks will be entitled to join this scheme. In case of multiple saving bank accounts held by an individual in one or different banks, the person would be eligible to join the scheme through one savings bank account only. Aadhar would be the primary KYC for the bank account.

## **Benjamin**

### ***Pradhan Mantri Kaushal Vikas Yojana***

Pradhan Mantri Kaushal Vikas Yojana is a unique initiative by the Government of India that aims to offer 24 lakh Indian youth meaningful, industry relevant, and skill based training. Under this scheme, the trainees will be offered a financial reward and a government certification on successful completion of training and assessment, which will help them in securing a job for a better future. This scheme was released on April 28, 2015. The objective of this scheme is to encourage skill development for youth by providing monetary rewards for successful completion of approved training programmes.

### **Millennium Development Goals and Sustainable Development**

In September 2000, India was among 191 countries that had signed on to achieve, by 2015, the United Nations Millennium Development Goals (MDGs). These goals straddle eight core concerns, including foundational one of reducing poverty and hunger. In many ways, this process is the world's most ambitious social development intervention. It needs people's mobilisation in achieving goals (Philipose, 2010). Now in its second United Nations Millennium Development Goals focus is on poverty alleviation.

Large pockets of extreme poverty and hunger persist in Asia, where it was difficult to achieve Millennium Development Goals by 2015. Even today, large population lives on less than \$1.25 a day in 19 Asian countries. It is estimated that some 1.1 billion people around the globe live on less than US\$ 1 per day of which, 350 million are in India alone. Around 41.6 per cent people live below poverty line in India (Indian Express, 2009). In order to achieve this goal, all the citizens will have to work collectively especially the village panchayat. Without mobilising the rural youth, it would be impossible to achieve the millennium goals. The key to this goal is amelioration of poverty.

### **Forest Conservation and Peoples' Participation**

The recorded forest area in the country is 7,65,210 sq. km. (23.42 per cent of the land area), satellite data indicate forest covers of 6,75,538 sq. km. (92.55 per cent of the total land area). However, 12.68 per cent of total forest areas have crown cover of over 40 per cent and the rest is open forest. About 0.48 million hectares are mangrove forests (Forest Survey of India, 2001).

Practically all of the forest area is under severe stress due to heavy removal of fuel wood, fodder, and timber, non-wood product, manufacturing bidi with tendu leaf and grazing. In 1976 through a 42nd

### **Contributory Role of Panchayati Raj**

Constitutional Amendment the Government of India brought the subject of forest under concurrent list and incorporated Article 48 A (part IV Directives Principles) for protection and improvement of forest and wild life by the states. Similarly under Article 51A(g) part IV(A) Fundamental Duties) it directed the citizens “to protect and improve the natural environment including forest, lakes, rivers and wildlife and have compassion for living creatures”. A new Ministry of Environment and Forest (MoEF) was created in 1985. Protection of bio-diversity is important for well being of the people of the developing countries. Now the wildlife managers and local people should come forward and protect the forest or perish. Community participation in sustainable forest management is an old-aged practice in India. It has got considerable official support at local levels in many ways since 1970s. In 1990 the Government of India issued the policy directives of share and care for involving village community and voluntary agencies to protect and help in the management of forest.

### **Hurdles in Peoples’ Participation in Sustainable Development**

#### ***Poverty***

The World Economic Forum’s global competitiveness ranking has put India in 51st rank. India has been pushed down from 51st position to 49th due to its poor performance in a range of social sector areas such as education, health and infrastructure. Though India has performed well in complex financial sector areas, attaining the 17th rank globally in terms of its financial markets, 44th in business sophistication and 39th in innovation, it has failed to improve the basic drives of competitiveness.

Thierry Geiger, Associate Director, World Economic Forum, said that in India, there is a widespread poverty, poor health and education facilities and poor infrastructure in rural India. At the same time India is experiencing rapid growth. India has \$293 billion as the balance of payment and poor macroeconomic environment. The reasons for India sliding down in the global competitive ranking are: i) least care for people below poverty line, ii) rising inflation and increasing fiscal deficit. In fact the present government appears to be working on sheer vote bank politics. It is least bothered to take care of the population below poverty line and is striking to reservation based on caste, which should be completely abolished (Vasudeva, 2010). Poverty level is not uniform in India. It differs from Indian state to state. The FAO and the United Nations World Food Programme announced on September 14, 2010 that 925 million people are estimated to be suffering from chronic hunger in 2010, a small decline from the 1,023 billion

### **Benjamin**

estimated in 2009. The new figures on world hunger highlight that the food crisis is still acute for one-sixth of the world's population. Rehman Sobhan, Development Economist and Chairman of Bangladesh's premier public policy think tank, Centre for Policy Dialogue, in his exclusive interview, said that 'people go without food because they do not have land, they do not have assets. The relevant right is the right to land...' (Times of India, 2010).

At the same time poverty and population are twin problems affecting sustainable development of India. If we consider poverty as a disease then population is a menace, together these are eating out vital organs of society. Poverty and population are the twin problems affecting sustainable development of India.

### **Multiple Communication Revolution**

Multimedia communication such as print and electronic media, internet gave a big push to process of globalisation and poverty. Malnutrition and famine like conditions in Third World countries have been spotlighted as never before. This energised and catalysed many governments to do something to improve the economic deprivation of below poverty level of people and political institutional mechanisms came into prominence. Panchayati raj was the centre-piece of one of many political innovations.

### **Climate Change**

Climate change and its deleterious effects on development paradigm are visible through carbon footprint resulting from overuse of non-renewable sources of energy like oil, coal, iron, zinc, copper, manganese etc. This affects our climate, environment and as a result we have either flood or famine in many parts of the world. India either faces floods or drought-like situations. Farmers, especially in Maharashtra have taken extreme step in committing suicide. The seeds which they have brought have not yielded desired outputs. There might have been situations when crops could get enough irrigation facilities. The loans that they have taken could not be repaid in time. Ultimately they committed suicide. This becomes the greatest hurdle for sustainable economic development in rural areas. The rain pattern has changed globally. Dam construction submerge whole villages and livelihood is destroyed. People are displaced due to construction of big dams. Flood washes away the whole village quite often. Climatic change has distributed the climatic cycle and creating constraint for sustainable development.

### **Contributory Role of Panchayati Raj**

The corruption and leakage of funds have retarded the developmental process in villages. Our late Prime Minister Rajiv Gandhi once said if one rupee is sent to village, villagers will receive only 20 paise. The middle men swallow 80 per cent of fund. He took initiative to make amendment in the panchayati raj Act in order to empower the village panchayat. The resources which are required for sustainable economic development in rural areas not reach the target group and marginalised people. Because of the lack of resources which are actually already sanctioned, the developmental schemes are not able to start.

### **U.S. Capitalistic World-wide Penetration**

U.S. capitalistic world-wide penetration along with other European nations has created policy dilemmas and approaches of governments in bringing grassroots transformational changes. International economic organisations like IMF, World Bank, WTO and international trade organisations like MNCs have affected our economy (Mcgillivray, 2010). And to thwart effort of multinational corporations - mining, marketing of seeds and fertilisers, etc. Special Economic Zone issues results in the retarding our economic development in rural areas. People depend on branded seeds and fertilisers for agriculture. Agriculture is becoming a thing of the past. People are not interested in farming. The farmers who were having a joy ride of bullock cart, today prefer to have ride of big car. For example, Ludhiana city in Punjab is known amongst many other things to have innumerable Mercedes car. Urbanisation has become the stumbling block in the sustainable economic development in rural areas. Gram Panchayat become the Panchayat Samiti. People are leaving village and slums in cities have become a great threat to city development (Mukherjee, 2010). All schemes launched by Government of India need to be implemented with the help of people in general. Without people's cooperation, all these programmes and schemes for economic development will not be possible.

### **Conclusion**

Some states have done well as compared to others in implementation of panchayati raj and optimised their potentialities and promises of others have fallen on wayside. A very interesting step has been initiated by the Government of Rajasthan to transfer five of its departments namely, primary education, health agriculture, social justice and empowerment of women and child development to panchayati raj



### Benjamin

institutions. These elected local self government institutions will now have full administrative and financial control over the schemes run by these departments, and also over the employees responsible for implementing them at local level. Such decentralisation of functional and financial powers could tangibly improve the transparency, accountability and delivery of governmental scheme. Transferring operational and financial responsibility to panchayati raj institutions makes eminent sense, and has in fact been the spirit, of panchayati raj not always implemented, for nearly two decades. It is precisely in the 'social sector' and agriculture spheres where panchayati raj institutions can bring about a fundamental change for the better in the quality of governance (Indian Express, 2010). There is a flip side too which cannot be brushed aside or shoved under the carpet as for example the incumbent Chief Minister of Bihar Nitish Kumar of JD(U) has used reservation of jobs etc., in panchayati raj institutions to garner support of backward castes, Muslims and *Mahadalits* in forthcoming electoral battle at the hustings (Swarup, 2010). There are many States which have reserved 50 per cent seats for women in panchayati raj. This is a positive step in the direction of women empowerment. Thanks to government of India to have created a separate Ministry at Central Government as Ministry of panchayati raj, Rural Development and Urban Poverty.

Gunnar Myrdal, a Nobel Prize winner and also writer of Asian Drama characterised Indian State as 'soft state' (Myrdal, 1968). While explaining the functioning of Indian democracy, J.K. Galbraith, former US ambassador to India termed Indian democracy as 'functioning anarchy', the goal of economic sustainable development should be inclusive growth and panchayat raj has to dovetail its strategy with various stakeholders. Indeed, panchayati raj can be a medium to eradicate poverty in India. Number of Central government schemes are launched, such as MNREGA, Pradhan Mantri Gram Sadak Yojana etc. Many of the laudable goals enshrined in the Directive Principles of State Policy not only should have statutory legitimacy but if need be should be enforceable by court. panchayati raj institutions in rural areas will be able to take a lead in forest management, creating bio-gas plant for the cooking, stopping the use of too much pesticides for more production of grains. Do we need only today's livelihood or want sustainable livelihood as an ongoing prospect is a million dollar question the urgency and piquancy of which needs an adequate answer brooking no delay.

## Contributory Role of Panchayati Raj

### Notes

1. Except Rajasthan and Bihar, all States have passed laws to give effect to the provisions contained in the Act, 40 of 1996.

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## **Social Aspects of Political Corruption: A Case Study of Nepal**

**Dipesh Kumar Ghimire\***

*Corruption has been defined and analysed as an individual phenomenon. Popular conception is that any leader of a political party corrupts due to individual psychology, greed, desires, needs and wishes. This paper discusses some sociological aspects of political corruption drawing on the roles of familial expectations, socio-structural perspective and pressure of political party and cadres a leader to be corrupt. This paper attempts preliminary discussion of the social aspects of political corruption, its construction and trends.*

### **A Nepalese Perspective of Corruption**

Corruption is found to be defined in a very narrow way in Nepal. The act of performing illegal activities due to the avarice, selfishness and wishes of people in power is taken as corruption. We find these kind of facts while studying the Acts and Regulations for preventing corruption and definitions given by the intellectuals.

Samkshypta Nepali Sabdasagar defines Corruption as "Bigreko wa kharab aacharan, duracharan, naitik patan hune, ghush khane, pakshapat garne, paye bhanda badhi adhikar chalaune aadi kharab kam, ghushkhor,, abaidh byabahaar" (Sharmma, 2062 Vikram Samvat).

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### **Social Aspects of Political Corruption: A Case Study of Nepal**

This dictionary is found to define corruption as the bad habits of people. Intellectuals have also defined corruption in the same way.

The abuse of rights given to one for fulfilling selfishness of own self is known as corruption. The abuse of power given to politicians of employees in an inappropriate and illegal way is known as corruption (Koirala, 2063 Vikram Samvat).

The Acts for preventing corruption in Nepal also define corruption as wrong activities arising due to the individual's greed and avarice. For investigating and case file against the people holding public positions for abuse of authority by committing corruption, the Interim Constitution of Nepal has provision for Commission for Investigation of Abuse of Authority.<sup>1</sup> This provision of Constitution also covers the corruption by people holding public position as individual's wrong activities. Similarly, if any government employee accepts money, gifts, other property, goods or services for fulfilling one's need in an illegal way, then this is called corruption.<sup>2</sup> Corruption Control Act, 2059 Vikram Samvat, has enlisted a long list of giver and receiver authorities. The entire list includes issues of giving and taking by people in power for their personal gain.

Similarly, Commission for Investigation of Abuse of Authority Act 2048 Vikram Samvat has defined corruption as, if an individual holding public position abuses his authority knowingly or unknowingly or with negligence, then it is defined as corruption.

In general, Nepali definition has not been able to address multidimensional character of corruption. This has given limited and narrow definition of corruption saying that it is wrong activity between giver and receiver. The stimulating factors for corruption and stakeholders are totally neglected by the Nepalese law and act. Thus, a large group including the relatives, neighbors, other responsible authorities of party, colleagues and party cadres of people directly involved in corruption remains outside of it. This has not only delimited the understanding corruption in clear and solid way but also it excludes a large group of corrupt people from the realm of legal punishment.

### **Political Corruption: A Socially Constructed Issue**

#### ***Corruption***

Corruption is omnipresent, spreading its wings to every corner of the world. It is like a disease that engulfs the cultural, political and economic fabric of society and paralyses the healthy functioning of vital organs. Transparency International defines it as "one of the greatest challenges of the

### Ghimire

contemporary world. It undermines good governance, fundamentally distorts public policy, leads to the misallocation of resources, harms the private sector and private sector development and particularly hurts the poor."<sup>3</sup> It cannot be limited to bribery or economic issues, rather it covers wide range of problems ranging from malfunctioning and maladministration of public institutions to the moral aspects of human being.

Scholars have defined corruption in many ways. Amuwo (2005) and Obayelu (2007) explain corruption as the exploitation of public position, resources and power for private gain. Sen (1999) defines corruption or corrupt behaviour as "the violation of established rules for personal gains and profit." Ogundia (2009) identified corruption as "efforts to secure wealth or power through illegal means for private gain at public expense; or a misuse of power for private benefit."

Corruption as a phenomenon is a global problem and exists in varying degrees in different countries. Corruption is found almost everywhere, but it is stubbornly entrenched in the poor countries of Sub-Saharan Africa, it is widespread in Latin America, it is deep-rooted in many of the newly industrialised countries, and it is reaching alarming proportions in several of the post-communist countries (Amundsen, 1999).

Corruption is in itself a many-faceted phenomenon. Forms of corruption are diverse in terms of who are the actors, initiators and profiteers, how it is done, and to what extent it is practiced. Also the causes and the consequences of corruption are complex and diverse, and have been sought in both individual ethics and civic cultures, in history and tradition, in the economic system, in the institutional arrangements, and in the political system (Amundsen, 1999). Corruption exacerbates poverty and disproportionately affects those of lower income because it pulls resources from the national treasuries, placing the money into the bank accounts of a few individuals who are politically powerful. This type of corruption exerts devastating effects of developing economies that desperately need the money (Ebegbulem, 2009).

Though it is a serious problem all around the globe, generally countries with poor economic condition from Sub-Saharan Africa and South Asia are entrenched more than the countries with higher socio-economic status. The latest report of Transparency International suggests that countries from within the region of European Union and North America are far cleaner than countries from other parts of the world.<sup>4</sup> High level of corruption occurs specially in the countries where democratic practices are not properly institutionalised or virtually do not exist. For example, North

### **Social Aspects of Political Corruption: A Case Study of Nepal**

Korea, Venezuela, Russia, Somalia and other Sub Saharan, Latin American and South Asian countries are among the countries having low level of good governance, according to the Transparency International's latest report.<sup>5</sup> In a country like Nepal, where the democratic system is not properly institutionalised and individual interests of political leaders prevail, illicit rent seeking prevails among political actors.

#### ***Political Corruption***

Political corruption is the abuse of entrusted power by political leaders for private gain, with the objective of increasing power or wealth (Hodess, 2004). Political corruption need not involve money changing hands; it may take the form of 'trading in influence' or granting favours that poison politics and threaten democracy (Hodess, 2004). Political corruption leads to bureaucratic corruption, which in turn is nurtured by corruption in business. Money power in politics inevitably paves the way for criminalisation of politics (Vittal 2012).

Narrow definitions of political corruption, such as 'the use of public office for unauthorised private gain', do not include many forms of finance-related political corruption (Walecki, 2004). Scholar Aiyede argues that, "Corruption poses a serious development challenge. In the political realm, it undermines democracy and good governance by flouting or even subverting formal process. Corruption in election and legislative bodies reduces accountability and distorts representation in policy making; corruption in the judiciary compromises the rule of law; and corruption in public administration results in the unfair and inefficient provision of services. Moreover corruption erodes the institutional capacity of government as procedures are disregarded, resources are siphoned off, and public offices are bought and sold. Thus, corruption undermines the legitimacy of government and democratic values of trust and tolerance" (Aiyede, 2006).

Political corruption is an obstacle to transparency in public life. In established democracies, the loss of faith in politics and lack of trust in politicians and parties challenges democratic values, a trend that has deepened with the exposure of corruption in the past decade (Hodess, 2004). Political corruption threatens the very viability of democracy, as it makes the newer institutions of democracy vulnerable (Hodess, 2004). Political corruption, as a means by which money influences politics depends upon the characteristics of the principal actor in the political system: the party (Porta and Vannucci, 1949). Samuel Huntington, in particular, has linked the development of corruption spreads in those specific paths to modernisation

### Ghimire

in which popular participation in political decision-making is not immediately accompanied by a strengthening of those institutions which should filter and direct collective demand: "the weaker and less accepted the political parties, the greater the likelihood of corruption" (Huntington 1968).

Political corruption points to a lack of transparency, but also to related concerns about equity and justice: corruption feeds the wrongs that deny human rights and prevent human needs from being met (Hodess, 2004). Former UN High Commissioner for Human Rights Mary Robinson argues that corruption hinders participation in political life and proper access to justice (Robinson, 2004). Hodess argues that political corruption is not limited to political finance... political corruption that affects the election process the world over: voting buying. Political corruption is an abuse of the political system, of trust and of the principles that make democratic society work (Hodess, 2004).

Money matters for democracy because much of democratic political activity simply could not exist without it. The misuse of money in politics, particularly when it reflects corrupt practices, creates major problems for democracies, not least because it threatens democratic principles of equal justice and fair representation. The public interprets irregularities in party and campaign finance in a broader context, leading to distrust of the political institutions and process (Walecki, 2004).

Corruption is politics and politics is all about corruption. World regimes in the world managed to survive simply because of corruption. (Manandhar, 2006). Many regimes in the world were/are ousted from the power, again, because of corruption. For a power-broker, corruption is both a malady and a remedy (Manandhar, 2006).

Political finance is influenced by relations between parties, politicians, party members and the electorate. Problems of political finance lie at the heart of a public debate on political corruption. Political finance and corruption are separate notions, but when their valences overlap, the zone of political corruption emerges (Walecki, 2004). Vittal developed the cycle of political corruption. The cycle involves five players-neta (politician); babu (officer); lala (businessman); Jhola (NGOs swindler/fixer); and dada (goon) (Vittal, 2012).

At present the political corruption is in the state of increasing rapidly. Those who are in the power with political background have been entailed into corruption for fulfilling the desires of family, to show the prosperity in the society and fulfilling demands of party colleagues and cadres. The democratic leader of Burma, Aung San Sun Kyi has said, "It is

### **Social Aspects of Political Corruption: A Case Study of Nepal**

not power but the fear of being thrown out that corrupts leaders" (Thapa, 2002). In fact, as said by Sun Kyi, the leadership has been entailed in corruption not due to power but due to fear of being thrown out of power.

#### ***Familial Expectations***

The demands and expectations of family have become an important reason for the corruption in political leaders. When an individual reaches a higher political position, his family and relatives have various kinds of expectations from him. Due to expectation of family to live a luxurious life, the political leader becomes corrupt.

In exchanges between two people, their relative social status may play an important role in determining the type of exchange, and whether it is defined as corrupt. Anthropologist Larissa Lomnitz writes about the highly refined system of exchanges of favours among the Chilean middle class in the mid-twentieth century. Rules of reciprocity were complex and subtle, but it was clear that there were some limits on how favours should be repaid or returned.

India's former central vigilance commissioner N Vittal has mentioned the fact that the role of family is important for increasing corruption on political level. He writes: "When a poor man does not have money to buy enough food for himself and his family, he is bound to go in for making extra bucks by hook or by crook. This, of course, has led to a culture of *mamool* or *bakshesh* in the lower ranks of government organisations (Vittal, 2012).

Nepotism and favouritism shown to one's own kith and kin is also a case of corruption (Manandhar 2006). He further writes: "An outright bribe in the form of cash may be taken as a criminal offence but the use of one's family connection to get a job for a helpless nephew may simply be legitimate and acceptable. In an elaborately extended family system, a man has moral obligations to distribute favour and gifts. And this culture of gift giving could easily be a root cause of corruption as gifts are given with an expected reciprocity" (Manandhar, 2006). Vittal points out "Corruption reflects greed rather than need. The basic cause of corruption is human greed. It has been long recognised that the desires for the pleasures of life- especially gold, land and women-are the major magnets for greed" (Vittal, 2012).

He writes "Most of Indians tolerate corruption more than others. This could perhaps be because of the strong allegiance to the family in our society...this family bond is what underlies ethical values. It is this sense of



### Ghimire

family that helped India avoid the 2008 financial meltdown that left developed countries like the United States debilitated." Vittal has taken caste as an extended form of family. He again writes; "An extended form of the family is the caste...Our politics has become an exercise in caste arithmetic. In the elections of the 1950s, we used to cast our vote. Today, we only vote a caste. This strong bond has also led to the common practice of nurturing one's family at the cost of the public, especially in politics and even in the corporate sector. A populist Chief Minister was accused of favouring the members of his family and appointing them to key positions in the government. He retorted, "If I don't appoint members of my family, whose family members should I appoint?" (Vittal, 2012).

In African nations, the tribe replaces caste. For example, in Kenya, the Kikuyu tribe was dominant and when another tribe (the Luo) got the majority in the 2009 presidential elections, they openly said that it was now their 'turn to eat'. What is happening in the African countries today is that every tribe looks to seize power as an opportunity to eat into the public money (Vittal, 2012).

In this way, by defining family in macro form some intellectuals have stated in their articles that the pressure from family leads to corruption. While doing literature review the role of family members of related leaders have been stated in brief. The incidents of leaders being corrupt for fulfilling the expectations and demands of familial members and relatives are getting publicity one after another.

#### *Socio-Structural Causes of Corruption*

The social structure of any state helps corruption to flourish. Social structure, the perceptions of neighbours and relatives towards leaders of political parties, and prestige of prosperous people in the society have led the leaders to earn in any way. This is a fact that in the society where the richer people are given higher prestige by the society regardless of whatever is the way of earning leads to corruption. This subtitle has tried to incorporate the views of intellectuals about the socio-structural reasons for increasing political corruption.

Devendra Raj Panday has given emphasis on the socio-structural reasons rather than individual avarice for political corruption. In his article Democracy and Corruption, he has mentioned about these societal structures. He argues that avarice too needs fertile structures for it to grow...in this respect, countries as different as the United States and Nepal can be found in the same category (Panday, 2005). Structures come into

### **Social Aspects of Political Corruption: A Case Study of Nepal**

existence to serve a set of functions. But they also have a tendency to acquire a life of their own (Gill, 1998). In a traditional and conservative society given to the worship of forms, structures get frozen and turn into idols. But in a fast developing and modernising society, functions keep changing and expanding all the time. Rigid structures do not change accordingly. Like rusty engines they tend to become brakes on the system. Thus, whereas structures are good servants, they are bad masters. Old structures are not only bad masters; they are very ruthless and cruel masters. Gill further writes, "There is no running away from the logic of structures: They always prevail in the long run. Under the capitalist system, it is futile to plan for the reduction of inequalities or the promotion of social justice. And a country which fails to educate the masses and empower the people cannot build inner defense against violation of basic rights, or political and administrative corruption." Gill has mentioned that the state of social structure is the major element for corruption. He further writes: "...cultural, historical and structural factors are basic to the understanding of a socio-political issue like corruption...the importance of culture, history and structures cannot be underestimated in the long-term perspective, it is the individual who plays a highly important role in the short run" (Gill, 1998).

Human nature is not about individual problems and shortcomings; it is about human beings in their surroundings and, thus, also a structural issue. We are what we are because of the organization of our society, our culture, and so on (Panday, 2005).

#### **Corruption in Nepal: A Structural Perspective**

Corruption may change its form during transitions from one type of regime to another, but it is a constant part of Nepal's history. Panday (2005) argues that in panchayat days, corruption was centralised (because power was centralised), while in post-1990 period, it became decentralised and more transparent, as power became diffused. The clear cases of corruption in panchayat days as observed in the transformation of lifestyle of many 'upwardly mobile' politicians, bureaucrats, and civil servants who could not have "achieved" what they did without the facilities of corruption (Panday, 2005).

The expectations of wives of high level political leaders in Nepal play an important role for them to be corrupt. Manandhar argues that women have a role to play in terms of increased demands, low education and snobbish character. It is the competition between the men to enrich their wives as a factor behind corruption than women pushing their male

### Ghimire

counterparts to enrich themselves (Manandhear, 2006). The adverse consequences of continued or increased corruption in 'democratic era' can be seen in the under-performance of the government, not only in development, but also in other areas of society critical to its transformation (Panday 2005).

There has been some increase in 'political corruption' due to the vicissitudes of 'electoral democracy' and the need to finance parties and political campaigns. In this process, many political leaders have also enriched themselves personally. In the panchayat days, though there was plenty of personal corruption, there was no 'need' for this type of corruption because state did not recognise political parties and there were no politically competitive elections. However, when the panchayat rulers did have to compete with the democratic camp in the Referendum in the period 1979-80, they too indulged in political corruption in amassing resources for the partyless camp, most vividly, by destroying the country's forest resources for political purposes (Panday, 2005).

Nevertheless, as a social problem, there may be very little difference in corruption between the two regimes. If the practice is perceived to have 'exploded' in recent years, one may attribute this to multiple factors:

- With political parties competing among themselves for power (not the case in the pre-1990 period), they have tried to outdo each other in raising donations from business people who may want something for these contributions in return, through corrupt methods, if necessary.
- Parties have also competed with each other in resorting to favouritism and nepotism in recruitment, placement, and promotion of civil servants, thus politicising the civil services (Panday, 2005).

Human nature changes in accordance with the culture in which it is organised (Jerome, 1951). Human nature and the governing culture have not changed in Nepal despite the advent of a liberal democratic regime in 1990. There are historical and structural factors that play a critical role. They affect corruption directly and indirectly through their influence in governance and the exercise of political power. Nepal's problem of corruption is predominantly structural in this sense (Panday, 2005).

He has stated the following socio-structural reasons for the increased corruption in Nepal: (i) the use of the institution of the monarchy to protect feudal privileges and interests, (ii) the patrimonial and hierarchical social order (including the *thulo manche-sano manche* syndrome), (iii) the domination of one particular ethnic group in the exercise of political and bureaucratic power, (iv) the Hindu caste system that legitimises the

### **Social Aspects of Political Corruption: A Case Study of Nepal**

exploitation of dalits, (v) the unequal sharing of power between geographic regions, and (vi) the inability of the political parties to assimilate democratic political culture into their organisation and their work.

With its poverty, the low salaries of public officials, and a total lack of government social safety nets (and ever fewer from traditional community or family-based sources), even the issue of fulfilling human needs for survival and security, as opposed to greed, becomes a structural factor. Individual weakness can be traced to structural deficiencies...in the sense that human nature too is influenced by the social and cultural structures surrounding it (Panday, 2005). Corruption has flourished because of the lack of a strong political will to control it. Nepal's political leadership has been more concerned with its own party political interests than with the welfare of the nation (Thapa, 2002).

### **Conclusion**

Khum Bahadur Khadka, Chiranjibi Wagle and Jayaprakash Prasad Gupta who became Minister of Nepal after the political reform of 1990, have been accused as guilty of corruption by the Supreme Court. Not only law but also Nepalese people say that these three political leaders became corrupt by their individual avarice. But the fact is that the role of their familial expectations, socio-structural reasons and pressure from party colleagues and cadres is more important than their individual avarice, desires and greed.

Individual avarice is always a factor in corruption. But it is not a sufficient cause. As said by Panday (2005) we are what we are because of the organisation of our society, our culture and so on. Corruption is a socio-economic outcome of social causes. The increasing political corruption is also as result of this society. The social reasons play important role for politics to be professional rather than be ideal. For fulfilling the demands of wife, children and relatives, the political leadership has been drowning into the pond of corruption. They have been found to be corrupt for purchasing big house, costly vehicle and other luxurious goods. Not only the person himself but also his family and relatives have been persuading them to accumulate property for themselves and also their next generation while they hold the post of minister, member of legislative body and so on.

Similarly, the social structure has also been providing base for corruption. In Nepalese society, the source of property is not considered; rather the person having more property, bigger house and costly vehicle is given more prestige. This has been responsible for growing corruption. The

## Ghimire

weakening of social, political structures such as CIAA, The Office of Attorney General, and National Vigilance Centre over the years has led to increased corruption. The increasing impunity has also increased corruption. The pressure from colleagues of political leaders and party cadres has also been found to play an important role for making them corrupt. When one becomes minister by representing any political party, the pressures from colleagues and cadres compel him to do illegal works. The involvement of political leaders for arranging employment, hospitality arrangements, donations to party and so on leads to the flourishing corruption. To the date only the individual avarice and greed have been taken to be the reasons for corruption. But the fact that an individual is also a part of this structure, becomes hidden in this kind of discourse and discussions. The economic aspect for corruption is also incomplete in itself. Thus while investigating the reason for corruption; it is necessary to highlight the social and cultural aspects too.

### Notes

1. Article 120 of chapter 11 of Interim Constitution of Nepal (2063 *Vikram Samvat*).
2. Corruption Control Act 2059 *Vikram Samvat* has included the nature of corruption in a broader way in which all the ways of illegal activities between giver and taker only is defined and described. In this, the social causes, components for encouraging one to involve in corruption is totally neglected.
3. Transparency International, <http://www.transparency.de/mission.html> (Dec. 15th, 2012).
4. Transparency Perceptions Index 2012, Transparency International. <http://www.transparency.org/cpi2012/results>
5. Ibid.

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## Balanced Regional Development: Views of Implementing Authorities

Shiddalingaswami V. Hanagodimath\* and Abdul Aziz†

*In Karnataka to tackle the regional imbalances High Power Committee headed by D.M. Nanjundappa identified indicators of backwardness at taluk level. According to the directives of the Nanjundappa Committee, various policies and programmes were initiated through various departments. The paper analyses awareness about the Special Development Plan (SDP) and its impact through the views of various line departments.*

It may be recalled that in Karnataka the High Power Committee on Redressal of Regional imbalances during 2002 (Popularly known as Dr. D M Nanjundappa Committee) identified 35 indicators of backwardness, collected taluk level data on these indicators and prepared a Comprehensive Composite Development Index (CCDI) with appropriate weights. Having taken the State average of development as the benchmark equal to one, all the 175 taluks were classified into developed and backward taluks, and the latter into backward, more backward and most backward taluks on the basis of the distance along the development scale down the state average. For calculating the distance between the state average and the taluks falling below that average another measure was developed by the Committee, viz.,

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### **Balanced Regional Development: Views of Implementing Authorities**

Comprehensive Deprivation Index (CDI) which measured the distance between the place of a given taluk on the development scale and the average development level of the state (Aziz and Hanagodimath, 2010). Further, to reduce this regional disparity the Committee has suggested various policies and programmes through recommending Rs. 16,000 crore at 2002 prices.

There were quite serious efforts before the report of Dr. Nanjundappa Committee in the identification of backwardness among them very important are Aziz, 1993, Dadibhavi, 1998, Vyasalu and Vani 1999, Panchamuchi 2001, Uliveppa 1999, Shiddalingaswami and Raghavendra 2010, Kadekodi 1999, Aziz and Hanagodimath, 2010. However, no other study has got much attention than the Dr. Nanjundappa Committee because it is more scientific among all.

Many times implementing government missionary may face numerous challenges in the process of implementation of any scheme or a programme according to the guidelines. It will be challenging particularly, in the process of implementation of a Committee report. Since a particular Committee has an intention to solve a particular problem, concentrates less on other issues. In the process of solving a particular problem, other challenges/problems may arise.

Dr. Nanjundappa Committee report, is an exception to this general rule as it has not only recommended measures to reduce the regional imbalances, but also gave guidance as to how these measures should be implemented. The Committee has suggested time budget, financial budget for different sectors/departments in respect of various underdeveloped taluks. However, practical challenges are actually faced by the implementing authorities. In this paper, an attempt has been made to analyse the views and opinions of implementing authorities of various taluks and different departments with regard to their awareness about CCDI, developmental status of the taluks, process of Special Development Plan (SDP) implementation and challenges and suggestions in the reduction of regional imbalances<sup>1</sup>.

For this purpose the present study has selected thirteen taluks<sup>2</sup> from four administrative divisions of Karnataka. Pre-scheduled questionnaire was canvassed among the departments of the selected taluks. Based on this, some observation have been made and analysed in this paper.

#### **Awareness about Special Development Plan (SDP)**

Almost all the officials from various departments from all the selected taluks have the awareness about Nanjundappa Committee, the developmental status of their respective taluks and the implementation of



### **Hanagodimath and Aziz**

Special Development Plan. Further, it is interesting to note that some officials have discussed about the revision of the CCDI by the Government every year with the incorporation of some more indicators of development. Most of the officials have opined that even though, allocation through SDP is very less (around 10%) as compared to the regular budget, however, it has helped in reducing regional imbalances as it is an additional allocation. Majority of the officials have opined that after the implementation of SDP, no changes (either increase or decrease) are observed in the normal budget, as it comes every year. Most of the officials know that backward taluks (they also call it as SDP taluk) will get additional allocation, but they do not know how much additional amount for a particular taluk and on which basis. All taluk level officials have expressed that with respect to SDP, they do not prepare any action plan at taluk level. Line departments prepare the action plan at district level, wherein the concerned staff/officials of all departments will participate. They can raise the taluk specific needs in that meeting. Most of the officials suggest that preparation of action plan should start from taluk and village levels, as that will be helpful in meeting of local needs.

In this study officials are of the opinion that there should be proper coordination among different departments, especially in the implantation of infrastructure programmes like roads, drainages, drinking water supply, electricity supply and telecommunication, etc. Through one scheme road broadening work takes place from two lanes to four lanes, electricity poles would be shifted. Further, through another department again roads are broadened from four lanes to six lanes, then again electricity poles should be shifted. This leads to waste of time and money along with improper utilisation of human resources. Scarcity of skilled staff members is said to be another important constraint in the implementation of development activities, which also causes for the regional imbalances. Compared to officials of south Karnataka, north Karnataka have keen interest in the process of SDP allocation and Dr. D.M. Nanjundappa Committee's recommendations. Some respondents are in the opinion that rather than giving a small amount of money to various departments of all the backward taluks, sufficient money should be given based on priority. Either less number of taluks from most backward category should be considered at the initial stage or less number of departments should be paid higher attention through sufficient monetary allocation. This will result in the reduction of regional imbalances step by step. All the respondents have emphasised the importance of creation of awareness among the people in proper utilisation of government facilities.

## **Balanced Regional Development: Views of Implementing Authorities**

### **Department Specific Analysis**

#### ***Agriculture Department***

Agriculture Department has mostly concentrated on distribution of seeds and farm mechanisation. For farm mechanisation, the Department has distributed various tools and equipments in subsidised prices. Major activities undertaken under the department are: respondents from most of the taluks have informed that in all the years they fulfilled the target of distribution of equipments. Most of them do not face any financial problem or scarcity resources. Subsidies are paid to all farmers who had applied for it. Respondents also opined that subsidies should be given to the high-tech equipments like tractors. Through SDP subsidies should be given to drip irrigation, sprinklers and so on. Yet at present subsidies are paid only to a few crops. It should be extended to some more/all crops. Irrigation facilities should be extended and provided wherever it is possible, as most of the backward taluks are also backward in irrigation facilities. Some taluk level officials have informed that (especially Arakalgud taluk) they get higher allocation, not only through the SDP but also through general budget. Hence they suggested this allocation may be given to other departments. Some officials have suggested that skilled man power and timely distribution of seed are the present need. Equipment subsidy amount should be increased so that more number farmers especially poor farmers come up to take the modernised equipments. Respondents expressed their view on the equipments, which are given to SC/ST farmers, they are used by other category farmers. SC/ST farmers sell their equipments to other category people. There should be proper mechanisation to stop this practice. Disciplinary action/punishment for both sellers as well as purchasers of the equipment should be implemented. Higher proportion of subsidies are being given to SC and ST farmers, that should be extended to the chronic poor and economically backward farmers, through that agriculture sector will improve. NOC is to be made compulsory or inter-department co-ordination should be made through NIC in case of identification of beneficiaries. There are other departments like horticulture department, sericulture department, SC and ST corporations, social welfare department, which also give subsidies/incentives and loans for the similar benefits. Politically influential people will get most of the benefits from different departments. Others will be deprived in getting government benefits.

#### ***Horticulture Department***

The department gives nursery plants like banana, mango, pomegranate, naseberry, guava, chrysanthemum, jasmine and so on.

### **Hanagodimath and Aziz**

Through SDP, additionally some more nursery plants have been distributed to farmers to improve the standard of living of rural people. This has helped a lot in under developed taluks. Sixty per cent of subsidy has been paid for most of the horticulture crops. This has been given on instalments - 30 per cent, 20 per cent and 10 per cent each for initial three years. There is huge demand for nursery plants but the supply is very less. Sometime department reimburse money to farmers if they purchase from outside. Outside purchased nursery may not be up to the mark. Hence there are changes for failure of crop. Therefore, the department itself should raise and distribute the nursery plants for all the farmers who make a request. Though less amount of water is required for most of the horticulture crops, in some places farmers face water problem should be sorted out through training programmes on water management, and use of drip and sprinkler irrigation. Respondents are also in the opinion that - nursery plants should be provided to the department in a good time. If it gets delayed, farmers go for other classical crops. In such circumstances, real identified farmer will not get the benefit. As there is a target for taluk level office, plants will be distributed to other farmers (some time forcefully). Proper care may not be taken by that farmer. Political intervention should be minimised in the process of identification of proper beneficiaries. Organic farming should be encouraged. Modernisation of horticulture cropping pattern should be encouraged. These are the suggestions by most of the officials.

### ***Health Department***

Centrally sponsored National Rural Health Mission (NRHM) has helped a lot in rural area in general and backward region in particular, opinion of many respondents. Respondents from northern and central Karnataka opined that - state Government has provided a number of modern equipments in recent years through SDP as well as other schemes. But these equipments cannot properly be operated due to lack of skilled manpower. Sometimes, if particular equipment has a problem, then there is no quick mechanisation to repair it. Health staff hesitate to operate equipments, whether it may damage. A few doctors have opined that monitoring system of medicines, which are provided by private companies to Government hospitals, should be strengthened. Results/ feedback of some medicines are not up to the mark. Through recent state and central government schemes, health department has achieved increase in institutional deliveries up to 100 per cent and decrease in maternal, infant and child mortality significantly. The contribution of ANMs, ASHA workers

### **Balanced Regional Development: Views of Implementing Authorities**

and Anganawadi workers is highly appreciated in this regard. At the same time, salary and remuneration of all health manpower should be increased, this is the suggestion made by Ayurvedic doctors. Most of the officials of health department are less aware about SDP allocation. There is a lack of anesthesia doctors at village/taluk level especially in backward taluks. At the time of severe accidents, the patients should be operated very quickly. For this purpose, anesthesia doctors are needed, they are available only in urban area. If a patient is rich he can go for private anesthesia doctor (some places), where doctors charges Rs. 4000 to 5000/-. Hence, number of anesthesia doctors should be increased, so that many lives can be saved. Two per cent of people in Koppal district are physically challenged. Maternal mortality, child mortality, infant mortality and malnutrition rampant in the district. This is due to fluoride water, lack for sanitation, hygienic environment, the menace of illegal mining, which has also contaminated water and air and lack of intake of nutritious food. It should be noted that they are inter-linked. Hence it was suggested that a special focused research study (district specific) should be carried out discussing with officials of all government departments, NGOs, people and academicians. It will be helpful in identifying the root causes for these problems and its coping mechanisation.

#### ***Sericulture Department***

Many sericulture officials have opined that subsidy/incentive given by the government per hectare fluctuate every year between Rs. 2,700/- and Rs. 10,700/-. It will be difficult for officials to convince to the farmers. It should be same or it should be increasing every year. Officials opined that additional allocation is less than 20 per cent. It should be increased and target for every year should be increased, wherever is necessary. Some of the buildings of sericulture department, especially in northern part of the state, are in the pathetic condition (Muddebihal is an example for this), which should be improved. Some officials have opined that wherever is necessary staff of sericulture department may be merged to other departments.

#### ***Education Department***

Most of the officials of education department have opined that in backward regions, parents move to urban area and to malnad areas at the time drought, due to lack of employment generating activities in villages. Their children will also migrate with them. In such circumstances education of their children would be affected. To make education data (like enrolment

### **Hanagodimath and Aziz**

rate, dropout rate, out of school children, transition rate etc.) more reliable, Aadhar Number may be linked for enrolment. This will be the great help to track the schooling records of children properly. A good number of officers have suggested that number of SSLC examination centres should be increased in rural areas, which will be helpful for remote village students. In village area, SSLC examination centres should be well equipped with sufficient number of chairs, benches and basic infrastructure facilities. Number of computers and computer teaching staff should be increased at primary, secondary and higher secondary government schools. With this children can better compete with their counterparts of private schools. School Maintenance Grants should be released to schools in-time or otherwise some of the bills should be paid by the district or state level authorities (one of the taluk level officials said that - due to delay in getting of maintenance allowance by the higher authority, electricity bill was not paid by some schools, by that time electricity supply department has disconnected the power supply for many schools). Officials of education department have also informed that due to scarcity of number of class rooms, office/staff rooms are also used as class room, which will cause for deviation in learning and teaching activity.

In some cases two classes are being held in one room. In such circumstances, it will be difficult for a teacher to teach freely without any hesitation or discomfort. On the other hand in some places due to lack of teachers, 2-3 classes are being handled by single teacher, which also affects the learning and teaching process. Proper measures should be taken for this. Now also many schools have not proper compound that is also the present need. Some officials expressed their opinion that- intervention of School Development and Management Committee (SDMC) should be minimised. SDMC members should talk in the meetings only. If a member scolds any teacher in public or in front of students, it is embarrassing. It decreases the confidence level of teachers and affects on teaching. There are number of children who have the ability to play for national and inter-nation level. Due to lack of scope and encouragement from ground level, they cannot come up. At least 2-3 fully equipped stadiums should be constructed for every taluk, opined by the respondents. Some respondents informed that creation of awareness; encouragement through scholarships will increase the enrolment and reduces the transition losses at higher level schooling. A number of officers have expressed the view that- importance should be given to job oriented diploma courses like ITI, diploma and so on after SSLC. Under these courses, entrepreneurship development training should also be

### **Balanced Regional Development: Views of Implementing Authorities**

conducted for the benefits of the students. School councillors should be appointed to government schools (especially for high schools) in tune with private schools, which will be helpful for teenager counselling.

#### ***Public Works Department (PWD)***

Most of the officials of PWD have good knowledge about SDP. All of them have opined that the allocation given through SDP is too less, through this nothing considerable thing can be made. Zila Panchayat (ZP) prepares action plan and calls for tender. PWD has the role of giving snatch and monitoring. Due to political presser after the completion of only 85 per cent of the work, structures are being inaugurated. Further, 100 per cent completion of work becomes very difficult. This is the present situation opined by the respondents. For some of the under developed northern taluks, tar road is not suitable, the durability of this is only two years for the environment. Up to three years no maintenance allocation is paid. After three years whatever the maintenance allocation is paid, which will not be sufficient. So cement roads should be given more importance. Some officials have informed that - State Highway Development Authority in tune with National Highway Development Authority of India (NHAI) should be setup at the state level. For rural roads state level rural road development authority should be setup like Gram Sadak Yojana. These agencies should involve in preparing survey and reports action plans, monitoring and so on. Based on the suggestions of these agencies priority wise work can be carried out. In case of drinking water respondents have informed that many northern villages do not have proper water supply facility. Water is being provided through tractor tankers. For this multi-village water supply scheme would be better. This work should be implemented rapidly. For tank rejuvenation and de-siltation, huge amount is needed, presently, the money, which is given for this is not even 0.5 per cent of the required money.

#### ***Animal Husbandry Department***

Most of the officials have informed that number of veterinary hospitals and staff members should be increased. Quality control mechanisation for medicines should be strength in the hospitals. There are many agencies to give loan and subsidies for animal husbandry namely animal husbandry department, social welfare department, Stri-shakti groups through Bank. There should be proper co-ordination among there agencies. Fodder seeds should be distributed in subsidised prices to the farmers. Awareness should be created among the rural people about main and by

### **Hanagodimath and Aziz**

products of livestock, importance of farm yard manure, composite/organic manure, Gobar-gas (bio-gas) and so on. To make livestock as an important income and employment generating activity, unemployed graduates from villages should be appointed as veterinary workers. They should co-ordinate and convince the importance of livestock, should give training regarding maintenance, marketing by visiting all villages. These workers may be appointed through NGOs or private agencies. This will be helpful in increasing the production of livestock and reduction of unemployment in the rural area.

#### ***Social Welfare Department***

Only a few numbers of officials of social welfare department have the knowledge about SDP. Respondents have expressed their view that yet present 4-5 per cent of the applied candidates get the admission in Morarji Desai and Rani Channamma residential Schools. There is huge competition for admission hence number of schools should be increased. SC and ST SHGs members get grant-in-aid of Rs. 4000 to Rs. 5000 each. This amount is too less. It should be increased so that members can invest this money for some income generating activity. Process of selection of candidates for various social welfare programmes is to be made more transparent. In case of subsidy/incentive given to SSI, the scrutiny and finalisation is made by MLA, where influential people get benefits than real beneficiary, opinion of some of the officials. Officials have also suggested that there should be proper security of hostels in general and girls hostels in particular.

#### ***Women and Child Development Department***

The department officials opined that sufficient number of women rehabilitation centres should be setup in backward regions, which will be helpful for deprived (orphan) women child. Officials have opined that now also some Anganawadis are not in the proper condition. Anganawadi buildings should be properly constructed with proper playground. Further, quality control mechanisation of food distribution of Anganawadi, pregnant women should be strengthened.

#### ***Irrigation Department***

The irrigation officials have opined that through minor irrigation department a number of works have been carried out, among them rehabilitation of MI tanks, cleaning of water streams, construction of check dams and so on are important. Through these activities water level is

### **Balanced Regional Development: Views of Implementing Authorities**

increasing considerable. Through SDP, the department has got additional allocation of the under developed taluks, which has also helped a lot. Some officials are in the opinion that the money given to this department is considerably less, which should be increased. A number of officials have opined that getting more money from the state to the respective taluks is mainly dependant on the determination of the local MLA and MP. Officials have opined that most of the people's representatives (MLAs and MPs) give directions to take the works on rehabilitation of different water resources (like construction and renovation of tanks, canal improvements, barrage, bridge-cum-barrage, lift irrigation scheme, construction of SWED, bund and FC improvement, vented dam, feeder channels, infiltration wells, FPW, slipper bund, etc.).

### **Conclusion**

In conclusion, the feed-back obtained from the taluk level officials on the formulation and implementation of the Nanjundappa Committee - recommended special development plan (SDP) is both interesting and useful; it is useful to the State Level Planning Department for taking appropriate measures. It may be noted that the officials have identified some deficits in the planning and implementation of the SDP. Based on the deficits noted, the following suggestions for strengthening the implementation of SDP have been made:

- There is a need for workshops for creating awareness among the taluk-level officials about the SDP especially of its rationale and philosophy.
- There is also a need for inter-departmental co-ordination such that duplication of effort may be avoided and better results may be obtained from the implementation of the SDP.
- More transparency in the selection of beneficiaries is necessary so that only the deserving candidates get the benefit of Government schemes.
- It is necessary to prevent the subsidised material given to the poor-beneficiaries from being sold to the non-poor.
- Horticulture department may be called upon to raise and distribute nursery plants as quality of these plants is more likely to be ensured and the poor beneficiaries are less likely to resort to purchase of these plants from the private parties which are very often not of good quality.



### Hanagodimath and Aziz

- In the primary and elementary schools, there is a need for adding extra class-rooms and to provide teaching materials. In respect of SSLC examination, there is a need for opening more number of exam centres in the rural areas such that the students do not require to travel long distances to reach the exam centres.
- In the Anganavadi schools, play-grounds need to be provided. Also there is an urgent need to enforce quality control in respect of food provided to the children because there have been reports of food-poisoning.
- Skilled manpower for health department is the felt need of the departmental officials. Especially the problem of scarcity of anesthesia personnel should be addressed immediately.
- Un-employed graduates may be employed as veterinary workers on a contract basis to tackle the problem of lack of personnel in the Veterinary Department.
- In north-Karnataka region, on account of the nature of the soil, the normal road works get eroded very soon. Therefore, it is suggested that cement concrete roads may be constructed to overcome this problem.

### Notes

1. In the present paper we have not analysed any financial allocation of expenditure, which has already been done by many scholars. The main focus of the paper is on the opinions of the implementing authorities at the grassroot level.
2. Haveri, Hirekerur, Soudatti and Muddebihal (From Belgaum Division), Jevargi, Sindhanur, Koppal and Kushtagi (from Gulbarga Division), Honnalli, Challakere and Hiriyur (from Bangalore Division), Arakalgudu and K.R. Nagar (from Mysore Division).

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## **Climatic Change in Rajasthan (1980-2009): Case Study of Desert Districts of the State**

**Harshita Upadhyaya\***

*In the present scenario climate change has become a global environmental concern. Its impacts are far and wide, which will be witnessed by all the entities present in the region. The United Nation Framework on Climate Change (UNFCCC) defines climate change as "statistically significant variation in either the mean state of the climate or in its variability, persisting for an extended period (typically decades or longer)". India may face a major threat and require serious adaptive capacity to combat climate change. With changes in key climate variables, namely temperature, precipitation and humidity, crucial sectors like agriculture and rural development are likely to be affected in a major way. In the context of Rajasthan, nearly 61 per cent of the geographical area falls under arid/ semi arid zone, hence the state has the maximum vulnerability and lowest adaptive capacity to climate change challenges. The present paper looks at the various changes that have occurred during the span of 30 years between 1980 and 2009 in terms of the key variables of climate - Rainfall and Temperature in the desert districts of Barmer, Bikaner, Jalore, Jaisalmer, Jodhpur and Pali.*

Climate change in Inter-Governmental Panel on Climate Change, 2007 usage refers to a change in the state of the climate that can be identified (e.g. using statistical tests) by changes in the mean and/or the variability of its properties and that persists for an extended period, typically decades or

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### **Climatic Change in Rajasthan (1980-2009): Case Study of Desert Districts**

longer. It refers to any change in climate over time, whether due to natural variability or as a result of human activity. This usage differs from that in the United Nations Framework Convention on Climate Change, where climate change refers to a change of climate that is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and that is in addition to natural climate variability observed over comparable time periods.

India will also be severely impacted by climate change as the Indian economic ties to natural resources and climate-sensitive sectors such as agriculture, water and forestry. India may face a major threat and require serious adaptive capacity to combat climate change. Many studies have underscored the nation's vulnerability to climate change. With changes in key climate variables, namely temperature, precipitation and humidity, crucial sectors like agriculture and rural development are likely to be affected in a major way. Impacts are already being seen in unprecedented heat waves, cyclones, floods, salinisation of the coastline and effects on agriculture, fisheries and health.

Rajasthan is the largest state in the country, covers about 3,42,000 square kilometers area, and is further divided into 33 districts. It stretches in two of India's major physiographic divisions, namely the Great Plains (Indian Desert) and the Central Highlands. The Aravalli range of hills intersects the state diagonally from southwest to northeast, extending right up to Delhi. While the area east of the Aravalli falls in the northern part of the Central Highlands. The climate of Rajasthan on the west of the Aravalli like other desert and semi-desert regions, gets rapidly heated during the day and cool down quickly after dusk, variations of as much as 22°C is noted in the maximum and minimum temperature. In the east and south of Aravallis there is considerable variation in the temperature and amount of rainfall.

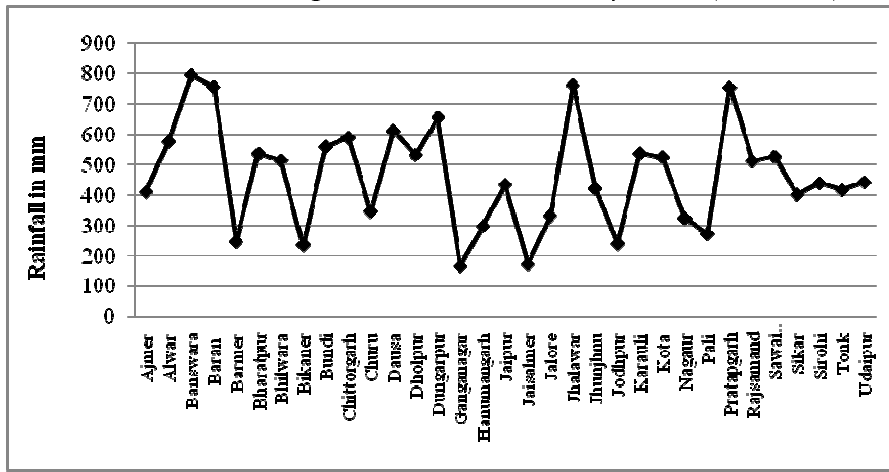
In the context of Rajasthan, nearly 61 per cent of the geographical area falls under arid/semi arid zone. The entire State receives scanty rainfall. Thar Desert in western Rajasthan is characterised by low and erratic rainfall, high air and soil temperature, intense solar radiation and high wind velocity. Context-specific interactions of these factors give rise to frequent droughts and famines. The State has the maximum vulnerability and lowest adaptive capacity to climate change challenges. Rajasthan has the maximum probability of occurrence of drought. Condition may deteriorate in terms of severity of droughts in Rajasthan. With changes in climatic variables such as temperature, precipitation, increased incidence of droughts and

### Upadhyaya

intensification of water scarce conditions could impact agricultural production drastically.

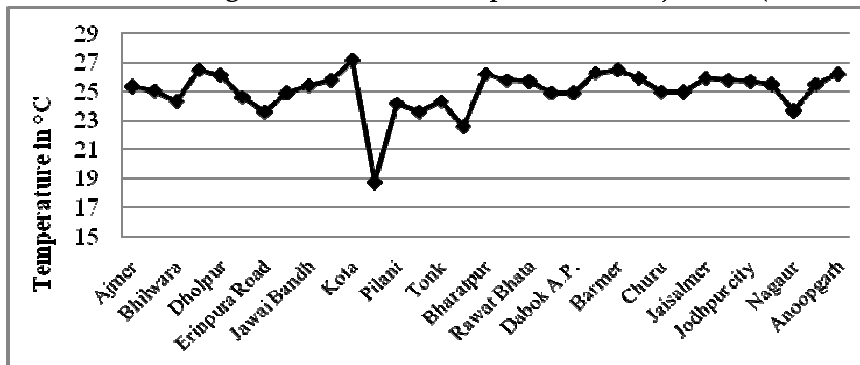
The average annual rainfall in Rajasthan between 1980 and 2009 has been graphically shown in Figure 1.

**Figure 1**  
District wise Average Annual Rainfall in Rajasthan (1980-2009)



The maximum rainfall in the state is received in the Southern or South-Eastern districts of the state. On the west of Aravalli hills Pali and Jalore districts receive maximum amount of rain of 50 cm and 43 cm in West Rajasthan. The Figure 2 depicts the average mean temperature of Rajasthan district-wise from the year 1980 to 2009.

**Figure 2**  
Centre-wise Average Annual Mean Temperature in Rajasthan (1980-2009)



### **Climatic Change in Rajasthan (1980-2009): Case Study of Desert Districts**

This paper in specific deals with the climatic variables of rainfall and temperature and the extreme events of flood and drought in the selected Desert districts, namely Barmer, Bikaner, Jalore, Jaisalmer, Jodhpur and Pali, during 1980 to 2009.

#### **Rainfall Analysis**

Rainfall is one of the most important climatic parameters in Rajasthan. Here there is an analysis of the rainfall pattern of Rajasthan on the basis of the intensity of rainfall they have received in the past 30 years ranging from 1980 to 2009. These 'Category of Intensity' are based on the general terminology used by Indian Meteorological Department in its weather bulletins. This categorisation is shown in Table 1. The average annual rainfall have been collected and computed from 1980-2009 district wise, station wise for all Rajasthan.

**Table 1**  
**Category of Intensity of Rainfall**

S.No.	Category	
1.	Abnormal	60 per cent or more
2.	Excess	20 per cent to 59 per cent
3.	Normal	19 per cent to (-)19 per cent
4.	Deficit	(-)20 per cent to (-)59 per cent
5.	Scanty	(-)60 per cent or less

Source: Monsoon Report - 2010, Indian Meteorological Department.

#### **Barmer**

The average rainfall of the district during the observed years is 244.74 mm. The fluctuations in tin rainfall in the region vary largely. During 1980 and 2009 rainfall received in 23 out of 30 years is either normal or below normal. During 1980 to 1989 there have been two years (1980 and 1981) of scanty and three years (1985 to 1987) of deficit rainfall and three years of rainfall above normal as well. The trend of more years having normal rainfall or below normal continues during 1990 to 1999 and 2000 to 2009 as well i.e., seven and eight years respectively. It is mostly seen that years with abnormal rainfall are followed by the year which has either scanty or deficit rainfall. During 1990-1999 there is one of abnormal and two years of excess rainfall, whereas during 2000-2009 there are two years of abnormal rainfall and no year of excess rainfall.

#### **Bikaner**

The average rainfall of the district during 1980 to 2009 is 233.94 mm. During this time span of 30 years, eight years had excess and deficit rainfall

### **Upadhyaya**

and 1983 and 2002 were the only years that had abnormal and scanty rainfall respectively. In all the three decades i.e. 1980-89, 1990-99 and 2000-2009, there have been four normal years. During these four normal years of deficit rainfall consecutively from 1984-1987 and year 1982 was of excess and deficit rainfall; and during 2000-2009. 2002 was such year with scanty rainfall and 2004 with deficit rainfall. 40 per cent of the observed years had normal rainfall and 26.6 per cent each had excess and deficit rainfall.

### **Jaisalmer**

The average annual rainfall in the district during 1980-2009 is 171.11 mm above the average. The frequency of excess rainfall was one during the first decade, in the second it rose to six with 1994-1996 and 1998-99 being successive rainfall years and in the third decade 2003 and 2007-08 experienced excess rainfall. Normal rainfall has fluctuated from five to three years each in the second and third decades. There were three deficit rainfall years during 1980's and all in sequence since 1984 to 1986. During 1990's only 1991 was deficit rainfall year. 2004 and 2009 were the deficit rainfall years of the last decade. 1987 and 2002 are the only occurrences of scanty rainfall in the district. The year 1987 registered least rainfall which was 129.90 mm less than the average. It can be seen that the frequency of rainfall near the normal or above it is rising in the district.

### **Jalore**

The average annual rainfall of the district from 1980 to 2009 was 330.11 mm. The lowest was observed in the first decade in 1987 which was 273.16 mm below the average and the maximum rainfall was received in 2006 which was 412.34 mm above the average. The frequency of abnormal rainfall years has increased from one to two each in the last two decades. 1994 was the only year with excess rainfall in the 30 observed years. The frequency of normal rainfall years has increased to six during first and second decade. The frequency of deficit and scanty rainfall has decreased from four to two years and one year to no occurrence in the last decade respectively. In the last 30 years there have been 12 years of rainfall below average and 11 years with normal and seven years of above normal rainfall.

### **Jodhpur**

The average annual rainfall of the district was 237.62 mm during 1980-2009. There is only one year with abnormal rainfall i.e., 1983 when it rained 207.43 mm above the average. The scanty rainfall year was also one

### Climatic Change in Rajasthan (1980-2009): Case Study of Desert Districts

only in 2002 when it rained 151.08 mm below the average. The years of excess rainfall have increased gradually during the decades whereas deficit rainfall years have decreased. Normal rainfall years have been almost uniform and also have been maximum in the observed time spent i.e., 13 years out of 30 years followed by seven deficit rainfall years and six excess rainfall years.

#### Pali

The average annual rainfall of the district during 1980 and 2009 was 270.43 mm. the maximum and minimum rainfall of the observed years has been seen during 1980 and 1989 decade. 1981 recorded maximum rainfall which was 505.93 mm above average and 1987 recorded 246.75 mm below average being the lowest rainfall. It can be observed that the frequency of abnormal years above increased from first to last decade, so have excess rainfall years. Normal rainfall years have fluctuated from two to one to two in the three decades. Scanty rainfall years were three in 1980's which increased to five years during 1990's and there was none during 2000 and 2009. In the last 30 years there have been eight scanty rainfall followed by six deficit and abnormal years and five excess and normal years. On the basis of the analysis done above the rainfall intensities in the selected districts of Rajasthan from 1980 to 2009 have been analysed in the Table 2.

**Table 2**  
**District-wise Rainfall Intensities in Rajasthan (1980 to 2009)**

S. No.	District	No. of Years	Abnormal Rainfall		Excess Rainfall		Normal Rainfall		Deficit Rainfall		Scanty Rainfall	
			No. of years	% of years	No. of years	% of years	No. of years	% of years	No. of years	% of years	No. of years	% of years
1	Barmer	30	4	13.33	3	10	10	33.33	9	30	4	13.33
2	Bikaner	30	1	3.33	8	26.66	12	40	8	26.66	1	3.33
3	Jaisalmer	30	1	3.33	10	33.33	11	36.66	6	20	2	6.66
4	Jalore	30	5	16.66	2	6.66	11	36.66	10	33.33	2	6.66
5	Jodhpur	28	1	3.57	6	21.42	13	46.42	7	25	1	3.57
6	Pali	30	6	20	5	16.66	5	16.66	6	20	8	26.66

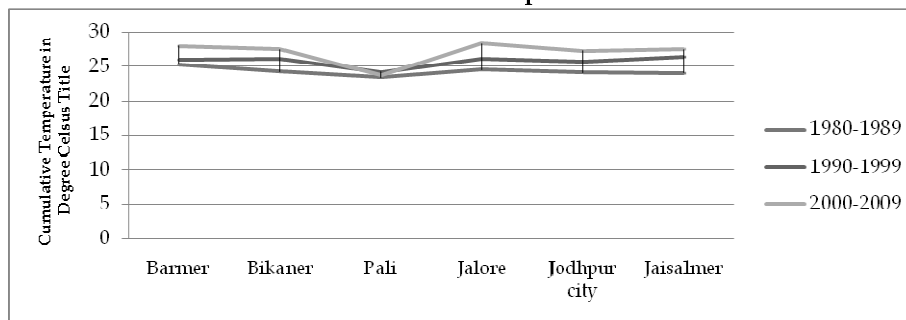
Source (for base data): [http://waterresources.rajasthan.gov.in/Daily\\_Rainfall\\_Data/Rainfall\\_Index.htm](http://waterresources.rajasthan.gov.in/Daily_Rainfall_Data/Rainfall_Index.htm)



**Temperature Analysis**

The state witnesses great peculiarities in temperature. High resolution regional model projections for 2071-2100 have predicted an increase in annual mean surface temperature for all parts of India with an increase of 2° to 4°C for the state of Rajasthan (Government of Rajasthan, 2010). The study looks at the mean annual temperature observations to trace if there is any trend of increase or decrease of mean annual temperature in the selected districts of the state. The temperature observatories are at the following centers: Barmer, Bikaner, Erinpura Road, Jaisalmer, Jalore and Jodhpur city. It can be seen that there is a rise of temperature at almost all these temperature centre/stations in the state. The increasing decadal mean temperatures have been depicted through Figure 2.

**Figure 2  
Decadal Mean Temperatures**



**Barmer Centre**

The annual averages mean temperature of the Barmer centre in the studied 30 years i.e., 1980-2009 has been 26.4°C. The minimum temperature of these 30 years was recorded in 1991 when it was 5.9°C below the average and the highest was recorded in 2002 which was 2.2°C above the average. During 1980 and 1989 the average mean annual temperature was 25.25°C with lowest in 1986 and highest in 1988. In the second decade the annual average mean temperature rose to 25.9°C and the highest was 1.9°C above the average. The annual average mean temperature further rose to 28°C during 2000-2009 and the decades highest temperature was recorded in 2002 and the lowest in 2006. According to the decade annual average mean temperature comparisons it can be seen that there has been a rise of temperature in the last 30 years in the centre.

## **Climatic Change in Rajasthan (1980-2009): Case Study of Desert Districts**

### **Bikaner Centre**

The annual average mean temperature of the Bikaner centre in the studied 30 years i.e., 1980-2009 has been 25.9°C. The minimum temperature of these 30 years was recorded in 1983 when it was 3.4°C below the average and the highest was recorded in 2006 which was 2.2°C above the average. During 1980-1989 the average mean annual temperature was 24.2°C with lowest in 1983 and highest during 1987 and 1989. In the second decade the annual average mean temperature rose to 26.1°C and the highest was 1.8°C above the average. The annual average mean temperature further rose to 27.4°C during 2000-2009 and the decade's highest temperature was recorded in 2006 and the lowest in 2003. According to the decade annual average mean temperature comparisons, it can be seen that there has been a rise of temperature in the last 30 years in the centre.

### **Jaisalmer Centre**

The average annual mean temperature of Jaisalmer Centre during 1980-2009 had been 25.9°C. During these 30 years the highest annual mean temperature was recorded in 2004 which was 2.2°C above the average lowest annual mean temperature was 2.9°C below the average. This centre suggests the decadal fluctuation in temperature but an eventual rise as the average annual mean temperature during 1980-1989 was 24.0°C which increased to 26.4°C, which further increased to 27.4°C during 1990 and 1999 and 2000 and 2009.

### **Jalore Centre**

The mean annual temperature of Jalore centre during 1980-2009 was 25.7°C. During this time span the highest temperature was recorded in 2008 where the temperature was 3.8°C above the average and minimum was recorded in 1982 when it was 3.2°C below the average. The comparison of decadal averages suggests that this centre has an increase in the temperature from 24.5°C to 26.1°C to 28.3°C during 1980-1989 and 1990-1999 and 2000-2009 respectively.

### **Jodhpur Centre**

The annual average mean temperature of the Jodhpur centre in the studied 30 years i.e., 1980-2009 has been 25.6°C. The minimum temperature of these 30 years was recorded in 1982 when it was 4.1°C below the average and the highest was recorded in 2009 which was 2.7°C above the average. During 1980-1989 the average mean annual temperature was 24.5°C with lowest in 1982 and highest in 1988. In the second decade the annual average

### **Upadhyaya**

mean temperature rose to 25.7°C and the highest was 1.6°C above the average. The annual average mean temperature further rose to 27.2°C during 2000-2009 and the decades highest temperature was recorded in 2009 and the lowest in 2005. According to the decade annual average mean temperature comparisons it can be seen that there has been a rise of temperature in the last 30 years in the centre.

#### **Pali Centre**

The temperature data at Erinpura Road (Pali) centre suggests a rise in average annual mean temperature from 23.3°C to 24.1°C during 1980 and 1989 and 1990 and 1999 respectively. During these decades the highest temperature was recorded during 1994 which was 2.4°C above average annual mean temperature of 24.8°C and the lowest was during 1983 and 1986 which was 2.8°C below the average.

#### **Floods in Rajasthan**

The state of Rajasthan is popularly known as the desert state of India is largely water deficit yet there are incidents of flood in that state and there are flood prone regions as well. The term 'flood' relates to two events in Rajasthan firstly, flooding of river and its catchment under the influence of excessive rainfall depending on the topography of the regions through which the rivers flows. The second event is related to the cloudburst that might happen in a specific area. The floods in rivers mostly occur either due to very heavy rainfall for a few days concentrated in a specific catchment or due to the obstructions that are caused either because of human interference by bridges or embankments that restrict the flow of the river or natural choking of river bed. Other than these the flooding in urban areas occurs usually because lack of proper planning, choking of drainage systems and unplanned growth of the settlements during monsoons.

The degree of effectiveness of flood depends on the amount of excess of rainfall. If the excess of rainfall is 25 to 50 per cent above the average rainfall of a specific region then it is identified as moderate flood. Severe flood is the situation when the rainfall is more than 50 per cent in a region. There have been multiple flood years in past 30 years ranging from 1980 and 2009 in all the districts of Rajasthan. This categorisation is done on the basis of the average annual rainfall received at that centre as compared to the average rainfall of the observed 30 years. The percentage of departure of average annual rainfall was compared from the average rainfall received during 1980 and 2009. The calculations have been given in Table 2. Based on this

**Climatic Change in Rajasthan (1980-2009): Case Study of Desert Districts**

percentage each year district wise, years were categorised as 'Moderate Flood' and 'Severe Flood' years.

**Table 2  
Categorisation of Floods in Selected Districts of Rajasthan (1980-2009)**

Year	Average Annual Rainfall	Departure from Average Rainfall	Percentage of Departure	Category of Flood
<b>Barmer</b>				
1988	517.69	272.95	111.53	Severe Flood
1990	501.98	257.24	105.11	Severe Flood
1992	330.93	86.19	35.22	Moderate Flood
1994	336.60	91.86	37.53	Moderate Flood
2003	469.56	224.81	91.86	Severe Flood
2006	600.00	355.26	145.16	Severe Flood
<b>Bikaner</b>				
1982	367.75	133.80	57.19	Severe Flood
1983	513.14	279.19	119.34	Severe Flood
1992	322.67	88.72	37.92	Moderate Flood
1996	297.33	63.39	27.10	Moderate Flood
1997	367.63	133.68	57.14	Severe Flood
2003	299.51	65.57	28.03	Moderate Flood
2005	295.63	61.68	26.36	Moderate Flood
2008	350.63	116.68	49.87	Moderate Flood
<b>Jaisalmer</b>				
1983	260.33	89.21	52.14	Severe Flood
1992	230.19	59.07	34.52	Moderate Flood
1994	244.19	73.07	42.70	Moderate Flood
1996	226.97	55.86	32.64	Moderate Flood
1998	256.01	84.90	49.62	Moderate Flood
1999	269.13	98.01	57.28	Severe Flood
2006	275.47	104.35	60.98	Severe Flood
2007	255.07	83.95	49.06	Moderate Flood
2008	224.42	53.30	31.15	Moderate Flood
<b>Jalore</b>				
1983	722.20	392.08	118.77	Severe Flood
1990	603.63	273.51	82.85	Severe Flood
1992	605.50	275.38	83.42	Severe Flood
1994	422.94	92.82	28.12	Moderate Flood
1997	506.48	176.36	53.42	Severe Flood
2003	675.64	345.53	104.67	Severe Flood
2006	742.47	412.35	124.91	Severe Flood
<b>Jodhpur</b>				
1982	345.43	107.81	45.37	Moderate Flood
1983	445.06	207.44	87.30	Severe Flood
1990	350.01	112.38	47.29	Moderate Flood
1994	299.84	62.22	26.18	Moderate Flood
1996	311.26	73.63	30.99	Moderate Flood
2001	326.38	88.76	37.35	Moderate Flood
<b>Pali</b>				
1980	427.19	156.75	57.96	Severe Flood

### Upadhyaya

Year	Average Annual Rainfall	Departure from Average Rainfall	Percentage of Departure	Category of Flood
1981	776.38	505.94	187.08	Severe Flood
1982	352.73	82.29	30.43	Moderate Flood
1983	705.47	435.03	160.86	Severe Flood
2001	461.37	190.93	70.60	Severe Flood
2003	496.32	225.88	83.52	Severe Flood
2005	347.86	77.42	28.63	Moderate Flood
2006	622.30	351.86	130.11	Severe Flood
2007	500.28	229.84	84.99	Severe Flood

Source: (for base data): [http://waterresources.rajasthan.gov.in/Daily\\_Rainfall\\_Data/Rainfall\\_Index.htm](http://waterresources.rajasthan.gov.in/Daily_Rainfall_Data/Rainfall_Index.htm)

### Conclusion

It is concluded that the arid districts of Rajasthan do not have any particular trend of rainfall but the temperature trend indicates gradual increase. There is also gradual increase of extreme events of flood and drought in the studied districts, which can be seen either in their frequency or intensity. The role and importance of warning systems regarding extreme climate events is very important in a climate changing scenario, in both pre-disaster risk management and post-disaster rehabilitation processes. The adaptation process must be planned so as to respond to the risks and opportunities the population is likely to face in daily life so that they can obtain better adaptive capacity. The government of Rajasthan has recognised the requirement to deal with climate change impacts on various sectors like water, forestry and bio-diversity etc. and has developed policies and plans accordingly. There are some suggestions that can be helpful to analyse climatic change in the state of Rajasthan.

- I. An interdisciplinary dialogue between various disciplines must be promoted as the climate change issue encompasses climate science, climate impacts, climate policies, laws, climate economics etc.
- II. An Integrated Water Resource Management (IWRM) strategy should be adopted at various levels of planning. Detailed hydrological surveys need to be done of both surface and groundwater resources in the state seasonally. There should be strict vigilance on the supply and utilisation of water all over the state. Rain water harvesting and watershed management programmes must be encouraged. Dependency on groundwater resources should be very limited during normal times so that it can be preserved for drought years. Recycling and reuse of water must be promoted in the state. The traditional water harvesting systems must be revived and maintained.

### **Climatic Change in Rajasthan (1980-2009): Case Study of Desert Districts**

- III. Promotion of Geographic Information System (GIS) and Remote Sensing in Resource Management in the state as imaging from satellite provides application specific, near real time hydrological information ranging from few hours to few days. The Indian Imaging Systems provide one km. to 0.8 m. resolution images. This technique is useful in Flood Damage Assessment; Flood Risk Zone Mapping and Spatial Warning System formulation. It is useful in Rajasthan in the fields of Hydrological modeling, Irrigation water Management, Drought Monitoring and Rain Water Harvesting structure planning. Correct weather and climate information related to Surface and Upper Air Parameters i.e., Temperature, Winds, Humidity and Pressure; and Diagnostic Parameters like Rainfall, Visibility and Cloudiness etc. can be obtained. Remote Sensing and GIS are helpful in the pre-disaster stage by providing correct vulnerability analysis and response planning for better preparedness.

The study reflects that there are significant changes in the climate of Rajasthan and the scenario is changing. Therefore, there is a need to protect and preserve the resource rich environment of Rajasthan so that the resource base does not become scarce in the changing situation.

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## Sustainable Development: A Study of Sardar Sarovar Project

Seema Jhala\*

*According to Pareto's law, no one could be better off without making some one worse off. Owing to limited resources that have alternative uses, social cost of development has to match with its economic benefits. Displacement is one of the major implications of the development of infrastructure project. Displacement of human beings from their native place not only uproots them from their habitat but also affects their socio-economic fabrics. Thus, while considering sustainability of any project, the development of those who are compelled to make sacrifice, should be contemplated. The Sardar Sarovar Project is supposed to irrigate 1.8 million hectares of agricultural land and provide drinking water to 4720 villages and 131 urban centres. It would generate additional agricultural output worth Rs 14000 million apart from generating 1450 mw power. The opponents of Sardar Sarovar Project argue that this project hides its social and environmental cost and overestimates its benefits. This paper attempts to analyse, from the perspective of sustainable development, the Sardar Sarovar as an infrastructure development project, and tries to analyse that sustainable economic development depends on the concerns society shows towards Project Affected People (PAP), in terms of their socio-economic, cultural and political rehabilitation, so that their standard of living is not deteriorated, if not improved.*

The concept of sustainable development came into prominence through the United Nations Brundtland Commission in 1987. The

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### **Sustainable Development: A Study of Sardar Sarovar Project**

Commission argued that sustainable development is that which meets the needs of present without compromising the abilities of future generation to meet their own needs. But there is lack of consistency in the interpretation of the meaning of sustainable development. Owing to irreversibility and alternative uses of resources, there is possibility of conflict of interest, not only among inter-generation but also among intra-generation population. Economic development has some social cost. Sustainable development, in context of deficient resources and alternative uses, can be achieved through cost minimisation or product optimisation. It can further be argued that sustainable development should not only be development of the people who are going to be benefited by the intervention but also of those who have to pay the cost of the development. Moreover, sustainability depends on the capacity of economy to carry the fruits of development to future generations.

According to the concept of sustainable development needs, in particular the essential needs of the world's poorest people, to which they should be given overriding priority and limitation is imposed by state of technology and social organisation of the country. In India, the meaning of need is also not clearly mentioned in the concept of sustainable development; whether it is the need for living a dignified life -- having necessities of life according to capabilities, social realities and demographic conditions of a person -- or to compete with the quality of life of developed countries. In India, the connotation of development changed over time from the conventional core meaning of economic growth to westernisation and modernisation. In a globalised economy, the competition is with other countries of the world. Thus, if we have to achieve the quality of life of the developed countries, rapid development is a compulsion. The construction of large infrastructures, having high economic, social and environment costs, is justified in the name that they are able to give huge benefits as compared to their available low cost alternatives.

Displacement is one of the social implications of the development project. It is considered to be necessary price for constructing developmental projects. Large dams are projected as the icons of development. They are justified for storing water, controlling floods; generating hydropower. The biggest contributors to displacement are irrigation and hydel dams (De, 1998). India ranks fourth in the world after China, the USA, and Russia in terms of the number of its dams. About 40 to 80 million people are displaced all over the world due to dam construction, of which lion's share is in India and china. According to some estimates, India accounted for more than 50% of development induced displacement in all West Bengal projects between



## **Jhala**

1986 and 1993 (Choudhary). The displacements without proper rehabilitation resulted in socio economic disruptions in the lives of project affected people (Thukral, 1992; William, 1998; Pokhrial and Sinha, 1998; Daud, 1993; Fernandes, 1997). The large dams are blamed of high social and environmental costs and also of not giving desired economical benefits in India (Singh, 1990). No projects, since independence, have been completed without revision in cost.

### **Sardar Sarovar Project**

Sardar Sarovar Project (SSP) on river Narmada has also added to this debate. The socio-economic evaluation of the project as well as second generation problems it has created for the oustees have been highly debated (Sah, 2003). SSP is one of the most controversial and intensely debated projects in world. It is said that the SSP is the need of Gujarat (Buch, 1997; Sengupta, 1995). It is one of the largest dams affecting a large number of people. Sardar Sarovar Project is justified in the name of huge benefits it will provide in terms of drinking water, electricity and irrigation facilities (Sheth, 1995). For its supporters, SSP is a struggle against frequent droughts and famine, while its opponents argue that this project hides its social and environmental costs, overestimates its benefits, and is nothing but an environmental disaster. This paper tries to understand whether it is possible to have economic development along with socio-cultural and environmental sustainability. This paper is trying to do macro analysis of the project in terms of environmental effects, need of dam and technology and micro-analysis of the socio-economic sustainability of the oustees of Sardar Sarovar project. The present study is an empirical analysis of oustees of Sardar Sarovar project based on both qualitative and quantitative methods. In this study information is collected by (i) conducting in depth qualitative interview with the displaced people, NGOs and government officials and (ii) using random sampling method, a set of quantitative data is collected from 90 PAP of three villages Pansoli, Surya in Gujarat and Brahamangaon in Madhya Pradesh and their condition is compared with the controlled group i.e., 45 unaffected people of the Dabad (Madhya Pradesh). A set of benchmark data available from secondary sources are used to compare the condition of oustees before and after relocation. In addition, statistical data from the secondary sources are collected to understand the important economic and environmental dimensions of SSP.

## Sustainable Development: A Study of Sardar Sarovar Project

### Socio-economic Cost and Benefites

The financial cost of SSP is estimated to be around Rs 7,000 million in 2012 prices, which is .01% of Gujarat's GDP in 2012-2013. The financial cost is not so important, but it is the notion of acceptability on social and environmental levels which is more important. In what follows, an attempt is made to juxtapose the benefits of SSP with its cost.

Sustainability of any project depends on the cost benefit analysis of any project. As SSP is justified in the name of water starved people of Gujarat, an attempt is made to know whether it is really for the water starved people, considering the number of people benefited and the time when they are going to be benefitted. It is said that SSP is going to irrigate 17.2 lakh hectare of land in Gujarat and 73,000 hactare of land in Rajasthan, provide drinking water to 9,633 villages and 139 towns in Gujarat and provide hydropower benefit of 1450 MW. But the data show that the actual performance is not only less than projected, but also getting delayed due to lagging in construction works. Besides this, not only how much benefit is generated, but how it is utilised is also important, benefits are diverted towards corporate sector, and the allocation for domestic use is reduced. Project affected people should be a part of benefit but out of 126 new sites developed for the PAP, water will not reach in 93 sites.

**Table 1**  
**Socioeconomic Benefits of SSP; Projected vs Actual Realisation**

	Projected benefits and costs	Actual realisation	Compensatory measures
Irrigation benefits	Approximately 18 lakh ha. of land		
Drinking water benefits	9,633 villages and 139 towns in Gujarat and 1107 villages and 2 towns in RJ.	Performance is only 29-33percent of the actual potential	
Distribution of drinking water benefits		The allocation to domestic use was reduced to 0.06 percent from the original allocation of 0.86 MAF.	
	The capital cost of driking water supply is estimated at 7,470 crores (at 2001 prices) and also the O&M cost is estimated tobe around rs.541 crores.		
Power benefits	1450 MW	415 MW	

### Jhala

	Projected benefits and costs	Actual realisation	Compensatory measures
Social cost		Displacement of 48,304 families	11,000 families have got land for land in Maharashtra and Gujarat.
Environmental cost		Submergence of 13385 ha. of forest land	
	Catchment area treatment of 24,42,440 hectare		NCA Committed to treat less than 6.5% of total catchment area

Source; TISS report

SSP is projected as the need of water starved people of the Gujarat. A special allocation of 0.86 MAF of water has been made to provide drinking water to 45% of total villages in Gujarat. But at the time of inception, the number of villages getting drinking water was zero. If we consider only need of the water starved regions of Gujarat and small and marginal farmers, the official map of the irrigation command area for the SSP shows that out of 70 blocks to be irrigated, only 28 per cent fall in desert and drought prone areas whereas 72 per cent of canal water would go to central plans of the Gujarat, which are already, endowed with water resources (Paranjpe, 1993). Only 20 drought prone blocks would be benefitted due to SSP. Secondly delivery to that area is from the tail end of the central Gujarat command, deliveries to those regions take place, even in planned scheduled, more than a decade after the deliveries to the rest of the Gujarat begin (Paranjpe et al., 1993). If it is only for the drinking water and irrigation, then its height could be reduced for decreasing the displacement and environmental cost of project. According to Morse Berger report, even if the height of the dam is reduced, the power capability could be maintained by increasing the discharge capability of the power house. The same report argues that if the height of the dam is reduced by 19 feet, it will reduce the displacement by 70 per cent (Morse and Berger, 1992). According to TISS report (1993), if steel gates are not installed, it would decrease the submergence by more than 20,000 hectare while the number of oustees families will reduce by 30,000. All this raises the question of the aim of the SSP; is it profit maximisation in terms of hydropower generation or cost minimisation in terms of displacement?

The SSP is blamed for its high social cost. The cost benefit assessment has seen development in narrow sense of economic development and not the development of whole society. The persons who suffer and who

### **Sustainable Development: A Study of Sardar Sarovar Project**

gain are generally two different sets of people. It is going to displace 48,304 families from three states of Gujarat, Maharashtra and Madhya Pradesh. Besides this planned mammoth canal distribution network of 90,000 km. will take a toll of approximately 80,000 hectare of land. Not only the people going to be affected are divided in losers and gainers, but also the states could be divided into losers and gainers. The SSP is accompanied by the politics of dam height, distribution of benefits among riparian states. In all the three points, Madhya Pradesh seems to be on loser's side (Sen, 1995). Madhya Pradesh which is not a direct beneficiary of SSP was going to face displacement of at least twice as many as families as in other two states combined (Morse and Berger, 1992).

It is said that the Resettlement & Rehabilitation (R&R) Policy of SSP is one of the most liberal packages in terms of social, economical and environmental policies. It has provisions for land for land. It has also accepted the rights for encroachers and treated major son as separate PAP. For the first time, resettlement issues have been stated to be largely in anthropological concept such as moving in groups, cultural identity, social networks, kin groups etc. The SSP's R&R policy has broadened the definition of oustees from those submerged to those affected, but has not included canal affected, people affected due to compensatory afforestation and colony. But this policy has state specific variation resulting in non-parity of package for the oustees of the same project. In Gujarat, there is land for land while in Madhya Pradesh, there is cash compensation for land. A comparative study of Madhya Pradesh and Gujarat has shown that this non-parity has differentially affected the PAP of two different states. There is also variation in types of people in Gujarat and Madhya Pradesh. In Gujarat, only tribals are affected while in Madhya Pradesh, both caste villagers and tribals are affected. The tribals and caste villagers have different socio-economic conditions as far as their literacy, economic condition, interaction with the mainstream society are concerned. The displacement of tribals by SSP has also created debate regarding their culture whether it should be preserved in isolation or be assimilated in mainstream society.

The economic condition of the oustees of Gujarat has either improved or remained the same compared to what it was in their submerging villages (Sah and Tomar, 2011). In Gujarat, PAPs are happy due to increase in area of land they possess after resettlement in new sites. This has also positively affected the size of farm production. In Gujarat, housing condition has improved, income level has increased, and civic amenities have improved. Access to health and employment, water accessibility has

### **Jhala**

increased. There is upward occupational mobility. The innovative capacity has increased in terms of use of purchased inputs, crop diversification. The opportunities increased in the form of rain fed and irrigation based agriculture. They have started new innovations like multiple cropping and crop diversification. The community resettlement and economic gains have helped in diminishing the ill psychological effects. This indicates that socio-economic sustainability could be achieved with proper rehabilitation policy. They do have feeling of loss of identity and security, but that feeling is not so strong and pronounced. This proves the Easterian Paradox that the needs are more important than culture but as needs are fulfilled culture becomes more important. At the subjective level they seem to be happy. They have to face the second generation problems of productivity of allocated land, consumption and variations in it, scarcity management and commercialisation. The migration as coping mechanism poses a question on socio-economic sustainability (Sah and Tomar, 2011). Their land under cultivation has increased but due to lack of awareness about the intricacies of new market and production system, they are not able to reap the fruits of large land size.

In Madhya Pradesh, on the other hand, land size has decreased due to conspicuous consumption of cash given, housing condition has deteriorated. In short run, due to having cash compensation and rights to cultivate land till submergence, they might have had good feeling about their economic condition. But in the long run it will lead to resourcelessness. The pre-displacement condition of the oustees also affects their capacity to resettle. In Madhya Pradesh oustees are both tribals and caste villagers. A comparative study of tribals and caste oustees of Madhya Pradesh has shown that caste people are in better position to get the compensation amount. To sum up, the experience of SSP has shown that the social cost of any developmental project could be suppressed through making a good policy and its implementation.

### **Environmental Cost**

The SSP submerged about 39,134 hectare of land of which, 13,743 hectare of land is forest land (Alagh et al., 1993). Though, there is provision to compensate forest loss through afforestation but the quality and place of forest is not suitable when compared with submerged land (Morse and Berger, 1992). The dam will cause damage to fishes (Hilsa, Mahsheer and the Giant Fresh Water Prawn). In SSP's environmental policy there are many environmental safeguard measures like command area development, survey

### **Sustainable Development: A Study of Sardar Sarovar Project**

of flora and fauna, seismicity and health aspect to compensate the environmental destruction caused due to dam. But according to TISS report, of the original catchment area of 24, 42,440 hectare, which was to be treated, the NCA committed to treat less than 6.5 per cent of total catchment area (TISS Report, 1993).

### **Conclusion**

The climatic conditions of Gujarat imposed a need to develop SSP as a source of irrigation and drinking water. Though alternatives are available and can be used, the actual benefits would not be as high as projected by government of Gujarat. It has been argued in this paper that the socio economic cost of any SSP can surpass its cost by providing adequate benefits and better compensation to those who are losers in the project. The environment is adversely affected by SSP; state is not serious in evaluating the environmental cost of SSP and damage caused is irreversible. Despite the fact that SSP is the lifeline for Gujarat, the project has to renegotiate for its mounting environmental cost. What is important, however, is the way the project unfolds when canals and its subsidiaries are fully functional. Nevertheless, the sensitivity shown by Gujarat in implementing its R&R package has helped in reducing the social cost of the project. It also depends on the type of the society the planners and implementers of SSP want to make. The incapacity, insensitivity and lack of political will of Madhya Pradesh are also a cause of concern. It is not the technology which is to be blamed, but the way it is used, is important. The technology should be responsive to the complexities and needs of the individual society.

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*Book Review*

***Juliana Nama: The Story of Dona Juliana Dias  
da Costa, A Portuguese Catholic Lady  
at the Mughal Court (1645-1734)***

Raghuraj Singh Chauhan and Madhukar Tewari  
Goyal Publishers, New Delhi, 2017

**David M. Traboulay\***

The authors, eminent scholars, have brought to fruition their wonderful labour of love on the story of the achievements of Dona Juliana Dias da Costa, a Portuguese Catholic lady at the Mughal Court. The first edition is not only an outstanding work of history, but it is also a beautiful work of art, befitting the story of Dona Juliana's amazing courage and accomplishments at the great Mughal court. The paintings, photographs and sketches were thoughtfully placed to illustrate the text. The beautiful facsimile copy of Gaston Brouet's original manuscript of the life of Dona Juliana, transcription, and English translation was appropriate and fitting. Juliana's story also highlights the long Portuguese history and contribution to India's civilization (1498 to 1961). Her role in the well-known and grand Mughal rule in India allows us to see that that period of history showed tolerance and respect for different religions and nationalities, and can serve as a lesson for all nations.

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### Traboulay

In the preface, the authors said that they have been working on this book for some 30 years and they were convinced that Dona Juliana's story was extraordinary, as a woman, a Portuguese Catholic who was born in India and spent all her life in India, a person of great courage and principle, who served many of the Mughal Emperors. The authors criticise the scholars of medieval history of India who have omitted the achievements of Juliana in their works. It was Dr. Chauhan who came across references to Juliana while working at the historical archives in Goa, preparing early 18th century Portuguese documents for translation in 1980. That year he visited Delhi and reunited with his friend and former classmate, archivist Madhukar Tewari. Both had found references about Dona Juliana in their research in the medieval history of India. This was the beginning of their quest to learn more about Dona Juliana in many archives. Their interest rose when they found an article by Anthony Xavier Soares published in 1922. Aware that this study demanded knowledge in many languages, they persisted: They had to read manuscripts and documents in Portuguese, Italian, Dutch, French, German, English, Persian, Arabic, Urdu, and Hindi. The project took three and a half decades; Chauhan translated the documents in Portuguese and also translated them into English; Tewari translated the documents in French, Persian, and Urdu. They were able to get major primary sources written on Juliana, which allowed them to present as full a picture of the life of Dona Juliana Dias da Costa. They translated and pored over works by Francois Valentin, Fr. Ippolito Desideri, Colonel Jean-Baptist Joseph Gentil, and Gaston Brouet. Colonel Gentil was married to Theresa Velho, a great, great grandniece of Juliana, and was commander in chief of Nawab of Shuja-ud-Daulah of Awadh from 1765 to 1775. He wrote several monographs on Indian history. So impressed was he by the story of Dona Juliana that he requested that Gaston Brouet write a biography of her. Utilising these primary documents, and other sources, they constructed a fuller picture of the life of Dona Juliana and a deeper and more human understanding of the history of Mughal India, and the Portuguese in India also. Since this study was meant to be a scholarly work that would be useful to scholars and general readers, the original documents were printed and translated into English as a part of the study so that other scholars could interrogate and add new meanings and interpretations to the study of Dona Juliana.

The Portuguese were the first Europeans to establish a colony in India when Vasco da Gama culminated their project of finding a route to India around South Africa, landing in Calicut in 1498, and establishing their colony in Goa in South India which lasted until 1961. The story of Dona

### Book Review

Juliana actually began in Bengal. In 1526, Babur, leader of the Mughals, defeated the army of Ibrahim Lodhi and established the Mughal dynasty in North India. In the East, the Gaur kingdom had the reputation of being a wealthy and prosperous region. The nearby port of Chittagong, Bengal, was the gateway to the royal capital of Gaur. The Portuguese, the ruler of Bengal, and Burma contested for the port of Chittagong and Bengal until it was conquered by Emperor Akbar. The Portuguese settled in Hugli in 1580 when Akbar granted them a charter. He was impressed by their strength in commerce, and goods brought from Brunei, Malacca, and other Asian ports, and asked that two leading Portuguese to visit his court. He exempted the Portuguese from all custom duties on their commerce. Hugli gradually prospered. In 1607, Hugli was under the authority of the Ceylon authority. Bengal at this time was rich in gold, cotton, muslin from Dhaka which were transported to Portugal, Italy, Malacca, Sumatra, and Goa in Portuguese ships. The Portuguese built up their international trade on the East coast.

The good relations of the Portuguese with the Mughals deteriorated under Shah Jahan. One of the causes was that when he rebelled against his father Jahangir in 1621, the Portuguese did not give him shelter. Prince Khurram, the future Emperor Shah Jahan, asked the Portuguese governor of Hugli to help him with men and artillery, but he declined. This decision led Shah Jahan to bear a grudge against the Portuguese. In addition, when he ascended the throne in 1627, the Portuguese at Hugli did not send an embassy to congratulate him. Also, he was told that the Portuguese had strengthened their fort at Hugli, demanded duties from all vessels passing by their factory, kidnapping poor children as slaves, and generally ruining commerce. During 1621 to 1624, the Portuguese brought 42000 slaves to Satgaon and converted some 2800 to Christianity. What angered him also was that a ship that carried one of his aunts to the Haj, was attacked by a Portuguese ship. She was captured and taken to Goa. The incident angered Shah Jahan and he decided to teach the Portuguese a lesson. The siege of Hugli began in July 1632. The Mughals captured the lands of the Portuguese on both sides of the river outside the town. The authors cited another interesting reason for Shah Jahan's rage at the Portuguese. Evidently, his beloved Mumtaz Mahal had a dislike for the Portuguese. They had seized two of her female attendants and refused to return them when requested. Despite Portuguese resistance, the Mughal army of 600 ships, army of 60,000 men, 90 castled elephants and 14,000 infantry defeated the Portuguese. Hugli fell in September 1632. Men and women captives were taken to Agra where they were made slaves. In addition, Shah Jahan ordered that they be

### Traboulay

instructed in the Muslim religion and encouraged to embrace it. Those who refused were kept in confinement. Two Augustinian priests and two other Portuguese laymen were brutally abused. Shah Jahan later relented through the intercession of other priests and his father in law, Asaf Khan. This battle was significant because it was the beginning of the story of Dona Juliana Dias da Costa. Among the prisoners was Agostinho Dias da Costa, the father of Juliana. A Franco-Portuguese merchant at Cochin, he entered the Mughal service by way of Goa and Bengal. The parents of Dona Juliana were among the prisoners brought from Hugli to Agra.

The birth of Juliana was shrouded in mystery and it is a testament of their training as historians that they resolved the mystery. They narrated the process of their methodology and allowed the readers to examine at first hand the primary sources they used. They included long pieces of English translation of primary texts so that other scholars and students could see how they came to their conclusions. It also gave a good introduction to the authors of the primary sources they used. The first detailed account of the life of Dona Juliana was by the Dutch traveler, Francois Valentin's Ouden Nieuw Oost-Indien, published in Amsterdam in 1726. According to him, Juliana was born in Bengal after 1663, the year the Dutch took Cochin from the Portuguese. Another important source was the account by Jesuit Fr. Ippolito Desideri, an Italian. A contemporary of Juliana, he came to India in 1713, and met Juliana at the Mughal court the following year. He used her influence for his mission to Tibet and became a devoted friend of Juliana. He died in 1733. He wrote that "when the Dutch took over the famous city of Cochin from the Portuguese, the parents of Juliana migrated from there with other Christians to the kingdom of Bengal and from there went to the court of the great Mughal...Bahadur Shah held her in the highest esteem and loved her extraordinarily like his proper mother." Yet another source was by Colonel Gentil who came to India in 1752. His memoirs were published by his son in 1822. He served in Pondicherry. He mentioned that "Juliana was a young Portuguese lady who was born in Bengal in 1658." The Persian biography of Juliana, Ahwal-1-Bibi Juliana, by Gaston Brouet said that Juliana and her mother were made slaves with the capture of Hugli in 1632. Fr. Henery Hosten, in the Family of Lady Juliana Dias da Costa, concluded that they were wrong since it was known that she died in 1734. By reasonable detective work, the authors concluded that Dona Juliana was born in 1645. At the sack of Hugli, both her father, Agostinho, and her mother were made prisoners. Her father, a convert to Islam at Agra, later became a medical attendant to Prince Muazzam, the future Emperor

### Book Review

Bahadur Shah, and later died at Golkonda in 1686. The mother was attached to one of the spouses of Shah Jahan. Emancipated after the death of her mistress, she moved to the house of Jesuit Father Antonio de Magalhanes in Delhi along with Juliana, occupying herself in devotional religious services. At her death, Fr. Antonio looked after Juliana's education and upbringing. At a certain age, he arranged for her marriage to a Portuguese man. It was said that she was happy but her husband died in a battle.

She returned to the house of her guardian, Fr. Magalhanes. Under the patronage of the Jesuit fathers and earlier from her mother at the court of Shah Jahan, she had the opportunity to learn about the world. She was proficient in languages, knowledge of international trade, royal manners and customs, medicine, and politics. The Jesuits were known for their interest and knowledge of politics. They were less interested in conversion than in gaining political influence. The Augustinians were more in the practice of missionary work of conversion. When she entered the service of the Emperor Aurangzeb in 1681-82 after the death of her husband, she was well prepared. Prince Muazzam was the second son of the emperor and was afforded the best teachers. Aurangzeb entrusted his son's education to Juliana. In this very period, Mughal power had to contend with uprisings and conflicts with Shivaji and the Marathas, the Portuguese, the Shia kingdoms of Golkonda and Bijapur in the South, Bengal and Assam in the East, the Pathans in the North West and the Rajputs and Sikhs in the North. Aurangzeb was a skilled diplomat trying to forge arrangements and agreements with rivals. The picture presented of Aurangzeb in this work mitigates some of the harsh view of his rule. When he allowed his subjects to convert to Christianity, it was more a case of diplomatic savvy and opportunism than any genuine respect or tolerance. After all, although Portuguese power was declining, their military prowess, especially their navy, was still strong and to be feared. The terrible destruction and plunder of Hindu temples and shrines at Mathura and Jodhpur in the 1660s described the nature of Aurangzeb's rule more appropriately.

Dona Juliana's rise to fame came with the succession of Prince Muazzam as Shah Alam. She was one of the main tutors when he was young. When Prince Sultan, the eldest son of Emperor Aurangzeb, died in 1676, Shah Alam was the natural successor to the throne. In 1686, during the siege of Golkonda, negotiations for peace between Abul Hasan, the ruler of Golkonda, a Shia kingdom, and Shah Alam, aroused the suspicion of Aurangzeb that his son was soft on Shia Islam. He decided to punish him and his family, confining him for seven years. Shah Alam was imprisoned

### Traboulay

along with his mother. Juliana was dismissed from service at the Mughal court. When the Begum was able to regain her position at court, she restored Dona Juliana's position.

The historian, Colonel Gentil, narrated that Juliana was his only companion. Remember that she was his tutor when he was young. From her earlier experience in the Emperor's harem and the Mughal court, she was able to find ways to make Shah Alam happy. She was aware of the Emperor Aurangzeb's mistrustful nature and harsh sense of justice. After all, he had jailed his father, eldest son and daughter. The eventual freedom of Shah Alam brought Juliana great honour and his gratitude. In 1695, Shah Alam was sent by Aurangzeb as governor of Agra, later to Lahore, Multan and Uchh. Juliana accompanied him and stayed for a year. Her battle standard was two elephants carrying two standards emblazoned with crosses. This showed that the future Mughal Emperor respected her as a Christian and a Portuguese.

Aurangzeb was 80 years old. The authors gave a little anecdote by an Italian lawyer, Dr. Carreri, to illustrate the character of Emperor Aurangzeb. He was visiting India to see the 'Great Moghul.' "Aurangzeb at 10 a.m. at the age of 80 was bowed with the weight of years, and leant on a crotched stick, but he was able to write his orders or petitions without using spectacles. He was of small stature with a large nose and white rounded beard. His coat and turban were of white cotton, his sash and waistband of silk, all quite expensive, but the headdress was adorned by a gold band and he was extraordinarily austere in personal habits. He slept little, spent hours in devotion, and confined himself to a vegetable diet, and often fasted." Aurangzeb died on March 22, 1707.

The Mughal wars of succession were unfailingly cruel and without mercy. The authors do not spare us the horrors visited by brothers vying for victory to become Emperor. In the case of Shah Alam, he offered his brother Azam Shah before the battle to divide and share the Empire, but he replied, 'I want everything or nothing.' The two armies met in the scorching heat at Agra. Some 150,000 died on both sides. The Portuguese gunners proved to be the decisive factor. Sitting next to Shah Alam Bahadur Shah, she told him that all the Christians were offering prayers for him. Among the gunners was Dom Velho de Castro, husband of Juliana's sister, Angelica. Francois Valentin commented that it was her farsightedness that the Portuguese gunners were deployed in the battle. Juliana received a large income and estate. She had in her train two elephants with red banners with a white cross in the centre. She was called "the oracle of the new Emperor." Among

### Book Review

the gifts given her were the title of khanum (person of nobility), precious jewels, and four villages near Delhi, and the palace of Dara Shikoh. Jesuit Fr. Ippolito Desideri commented: "Juliana became a teacher, doctor, and Christian miracle worker. She taught princesses, settled disputes, and healed the sick. She was critically involved at all levels in Delhi – personal, spiritual, and political."

When Emperor Shah Alam Bahadur Shah ascended the Imperial throne of India in 1707, Joao V ascended the throne of Portugal and the Portuguese Empire the same year. The influence of Juliana at the Mughal Court brought an alliance of sorts between the two empires. The Jesuits were so indebted to her for their influence at the court that they made her a Jesuit. It was her influence that made the emperors lift the Jaziya tax on non-Muslims. For a time, the Jesuits thought that some of the Emperors might convert to Christianity. Dona Juliana was also praised by representatives of the Dutch East India Company for the grace that they received at the Mughal Court and her willingness to support their wishes for trade and naval concessions. Emperor Bahadur Shah-I died on 27 February, 1712. Although he is not considered a great leader, the authors concluded that he was successful in maintaining the dignity of the Mughal Empire. He might not have been a great leader in battles, but he was willing, with Juliana's help, to reach out to the Portuguese, the Dutch, the British and French easily. The ease of his relationship with Dona Juliana, a Catholic Christian was genuine and humane and is a model for all centuries. He reminds one of Akbar and his interests in all religions. The openness of Dona Juliana, Bahadur Shah and Akbar in encountering peoples who were different, respected them, and even loved them for their differences is amazing.

Jahandar Shah succeeded his father as Mughal Emperor, after defeating his brother. There followed the usual succession executions, imprisonment, confiscations, and unspeakable murders of the defeated. The court moved from Lahore to Delhi in May, 1712. There was a rumor that Farrukh Siyar, the second son of the late brother of Jahandar Shah, Azim, intended to contest the throne, but Jahandar took no notice of it because he was overcome with love for his wife, Lal Kunwar. Juliana remained in her position at court. The Dutch ambassador, Ketelaar, was among the first to attend the court and was high in his praise of Juliana for the quality of her reception. She was aware that Farrukh was on the march. Jahandar Shah ennobled the whole family of Lal Kunwar, father, brother, and brother-in-law. The Iranian historian, Jazairi, was the tutor of Jahandar, and was the author of *Khizanat al Khayal*. He came to India in the middle of the reign of

### Traboulay

Aurangzeb. I suppose he was the source of the story that Jahandar Shah used to take a bath every Sunday in the company of Lal Kunwar, both naked in the tank at the shrine of Shaikh Nasir-ud-Din Oudhi, in the hope of having saintly blessings. Musicians also appeared at nights at the palace of the Emperor for a drinking session. Jazairi stayed 22 years. Jahandar Shah bestowed on him several benefits but was dispossessed of all when Jahandar Shah was murdered in 1713. His history covered the history of the Mughals from 1707 to 1720. Jahandar Shah showed great generosity to his followers. He promoted his foster-brother, Kolkatash Khan, to wazir, commander-in-chief of the army. In times of peace, he spent mostly in pleasure in the company of women.

Again, the seizure of the throne by Farrukh Siyar was marked by incredible violence. Some were strangled, one had his tongue cut off, for the first time a woman was beheaded. Juliana also had property confiscated. Among them was her home, the house of Dara Shikoh, the finest palace in Delhi, which was given to her by Bahadur Shah. Fr. Desideri commented on this: "Bahadur Shah who loved Juliana in the highest degree entrusted her all the treasures of the Crown, and always confided in her most concealed secrets." It was a time of terror. Juliana was 68 years old. She was imprisoned for two months. But her medical expertise changed her fortune. Suffering from a boil that was causing much pain, Farrukh Siyar summoned her to help him. Cured, at least temporarily, Juliana was able to recover her position, money, and some property. Her prestige at the Mughal Court was restored. Yet, the political situation at the court and in India generally remained uncertain and tense. She bought a village, Manori, for the safety of her family. Fr. Ippolito, an Italian Jesuit, arrived in 1713. Juliana helped to advise and finance his project to evangelise Tibet. He admired her greatly. He thought of her as a 'Jewel of the Holy Faith'.

Dona Juliana sought the official status of nobility for her family and her. The reply of the King to the Portuguese Viceroy was positive and even praiseworthy. He asked the Viceroy to do the very best to keep the favour of the Mughal Emperor since he was the most powerful leader in Asia, and had been on good terms with the Portuguese, thanks to the work of Dona Juliana. The exchange of letters between Dona Juliana, the Portuguese Viceroy, and the king of Portugal showed how highly she was regarded. From early Mughal rule, particularly under Aurangzeb, the Portuguese tried their best to remain friendly with the Mughal Emperors. They knew that the survival of their state in India depended on the goodwill of the Mughal leaders who still respected the power of the Portuguese sea-borne empire. The Mughals

### Book Review

still continued to depend on the Portuguese in India for the safety of their foreign trade and the Haj pilgrimage. The rule of Emperor Farrukh Siyar ended in a horrible way. He was first blinded and put in prison at the behest of the Sayyid brothers, then given slow poison, stabbed, and then strangled. A new day was born with the enthronement of Roshan Akhtar as Emperor Muhammad Shah, the grandson of Bahadur Shah, on September 29, 1719. Colonel Gentil wrote that Juliana had the privilege of crowning the Mughal Emperor: "His mother desired to make a vow so that her son should obtain the empire and consulted Juliana who advised her to offer it to St. John the Baptist whom the Mohammedans honour under the name of Yahya-Perisham-Bey. By orders of the Princess, Juliana made the vow in the Christian Church. The Feast Day of St. John the Baptist was selected for the ceremony of the coronation...Juliana by virtue of her office was the guardian of the crown and to her place the whole household of the Emperor, all the nobles of the court accompanied with music, went in order to conduct her to the Emperor's palace...Soon the Emperor arrived with all the pomp that was proper to his station and took his seat on a throne and Juliana picking up the crown ...placed it on the head of the sovereign." The Emperor, Muhammad Shah, was a liberal in matters of religion and defended the use of pictures in devotional books of Christians against his Muslims advisors. Initially fearful of the power of the Sayyid brothers, his victory at the battle of Hasanpur brought welcome political stability and confidence. Grand darbars were held to celebrate a new beginning. The Jaziya tax on Hindus and Christians was abolished.

Now an old woman, Dona Juliana continued to devote herself to Portuguese interests. Feeling secure, she also spent time looking after the church at Masigarh, Okhla, New Delhi. When she received word that the Marathas were planning to strike at Goa in 1725, she persuaded a Mughal army to help the Portuguese, a decision that brought peace. After the death of Bahadur Shah, she expressed a wish to retire to the nunnery at Santa Monica in Goa, but the political and diplomatic claims of the Mughal court, the Portuguese interests, and the Jesuit Christian interests prevailed on her to remain at the Mughal Court to defend and advance their interests. Dona Juliana Dias da Costa died in July/August, 1734 at the age of 89. The authors concluded that she was one of the remarkable women of that time. Born to a Portuguese renegade father and an enslaved mother, in 1645, she was in some ways an orphan when her mother died and father went in search of business. Guided by Jesuit Fr. Antonio de Magalhães, she received an excellent education from the Jesuits to whom she was always loyal to their



### Traboulay

interests in India. It was Fr. Magalhanes who prepared her for the ways of the Mughal court and introduced her to the court. He also arranged a marriage for her to a Portuguese man. Her husband died in battle and left her a young widow. She returned to the care of Fr. Magalhanes who continued her education to prepare her for work at the Mughal court which she earned with her several talents. At the predominantly Muslim Court, Juliana was not afraid to display her Catholic Christian identity. She wore a cross pendent as her necklace and a cross on her earrings. Neither did she hide her friendship with the Portuguese Viceroy and King, and the Jesuits. Yet she was respected and loved by all at the Mughal Court. Born in India, and having spent all her life in India, much of it at the Muslim Mughal Court, made her aware that India was a land of many cultures, languages, religions, and ethnicities. While she was happy and proud as a Christian and Portuguese, she gave no sign that she wanted to convert non-Christians to Christianity. To be sure, she was aware that Mughal leaders still considered Portuguese naval and battle experience formidable and would be useful allies, and used this knowledge to win favours for the Portuguese and the Jesuits.

The final chapter is not a summation, but blazes a new trail. The authors constructed a family tree of Dona Juliana from the documents they were able to get. She had sons, grandsons, and granddaughters. Since she was close to her sister Angelica who was married to Dom Velho de Castro from Goa, that family tree was easy to trace. The authors wondered why her grandson's name, Joseph Borges da Costa had to be changed to Dom Joseph Dias da Costa. The search for another grandson's family, Captain Manuel Val D'Eremao also yielded results. The authors, archivists and historians, delightfully used their training to track many documents and trails and came up with interesting stories that added to the story of Dona Juliana. But the most fascinating story was their search for one Ali Murad, the foster brother of Emperor Jahandar Shah. This allowed them to paint the picture when Juliana met Shah Alam as tutor in the early 1660s. Since she was looked after by Jesuit Antonio Magalhanes and given an excellent education in languages, Persian, Hindustani, and Portuguese, and medical knowledge at the Jesuit school, the Emperor Aurangzeb made her the tutor of his second son, Prince Muazzam. He had given the house of Dara Shikoh to him. This mansion was the meeting place of the young widow, Juliana, and Prince Muazzam. This situation led to an intimacy that endured. One of the sources, that of Fr. Desideri, described the situation in this way: "It was the reign of the son of Aurangzeb that she (Juliana) shined to her capacity, talent, and

### Book Review

heroic virtue. Bahadur Shah loved her in the highest degree adoringly, as his proper mother, delivered to her entirely all the treasures of court and confided always the most hidden secrets; made her the arbiter of all his communications...she was so faithful and helpful to the Emperor that till death he held her always in glowing affection and esteem, as she was dedicated to him, as she was the choicest jewel of his crown."

Dona Juliana was in charge of the Mughal Hospital and the Department of endowments. She was also a patron of orphans and exploited girls. The authors concluded that she was one of the most important women personalities of her time and will remain "an immortal entity in Indian history." This study brings on the stage of world history the part played by a remarkable woman in one of the most powerful and culturally rich civilizations in Indian and world history. As a Catholic Christian Portuguese woman among the ruling Islamic Mughal Court that ruled over a predominantly Hindu India, she was able to earn the respect of not only the Portuguese in India and the monarchy of Portugal, but also of the Mughals, different in power, religion, class, and ethnicity. As one reads the narrative of her story, her courage and fortitude, loyalty, sense of responsibility, willingness to help others, and her faith, there are many lessons we can learn. One lesson certainly is that a woman can be effective in government at the highest levels, and hold her values of caring and a sense of justice. The other lesson is that in India she inhabited many worlds and moved easily within all. For my part, the authors have succeeded in putting together in flesh and blood the fragments of information about an incredibly humane and interesting woman at the centre of the great Mughal period of Indian history whose life has much to teach us. They have cleared the path for other scholars to follow.

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