



# Local Government Quarterly

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*All India Institute of Local Self-Government*

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*International Academy of Urban Dynamics*



- ★ Politicians' and Bureaucrats' Relations in Local Governance of Nepal
- ★ Slums in India, the Challenge for Development
- ★ Master Plans in India: Issues and Remedies
- ★ Perception, Participation and Changing Dimensions of Awareness of Women Working in Local Self Government (Panchayat Raj): An Empirical Analysis
- ★ Fiscal Decentralization and Panchayati Raj Institutions in Odisha: An Overview of State Finance Commissions

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The Academy offers strategic contribution to urban vision, policy and planning across countries and cities through multi-level research, documentation, debate, advocacy and

## *Contents*

• Editorial	3
• <b>Politicians' and Bureaucrats' Relations in Local Governance of Nepal</b> Anil Kumar Gupta, Trilochan Poudyal, Sundar Shrestha	5
• <b>Slums in India, the Challenge for Development</b> V. V. Kulkarni	25
• <b>Master Plans in India: Issues and Remedies</b> S. K. Kataria	35
• <b>Perception, Participation and Changing Dimensions of Awareness of Women Working in Local Self Government (Panchayat Raj): An Empirical Analysis</b> Rajesh Kumar Singh, Harish Kumar	46
• <b>Fiscal Decentralization and Panchayati Raj Institutions in Odisha: An Overview of State Finance Commissions</b> Chandra Shekhar Jena	62
• Book Review	78
• Our Contributors	83

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## *Editorial*

### **Fighting poverty, fighting climate change**

World Environment Day observed on June 5 each year draws participation from the global community including governments, civil society and others. The Indian Government launched #SelfiewithSapling campaign this year to encourage tree plantation and thus protect our natural habitat.

The global debate around climate change and economic development has special significance for developing countries around the world. Lifting the millions of our disadvantaged out of poverty and into a better future calls for rapid economic development, creating millions of new jobs for our youth and creating resources in the hands of our governments to provide housing, education and healthcare for large sections of society. Yet this quest for rapid economic growth often impinges upon the environment. The world has believed that environment degradation is the price we must pay for economic growth and development, essential for eradication of poverty. Power generation for example, is a key weapon in our fight to eradicate poverty. However, power generation which is highly dependent on thermal power (about 75% in India), contributes about a third of all GHG emissions worldwide. Similarly, take the case of mobility. Improved mobility in our cities and elsewhere can help citizens access a wider range of livelihood options as also education, healthcare and leisure; thus contributing to poverty eradication. But transport related emissions have made some cities of the world literally unlivable in terms of air quality. This sector accounts for another one-third of GHG emissions. Waste generation, also an indication of modern lifestyles, accompanies improving living standards. This too has severe negative implications for the environment.

Developing countries argue that they cannot abandon the path of rapid economic growth which is necessary for poverty eradication. So is it necessary that we must endure ecological poverty if we are to experience economic prosperity?

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The world must find ways to decouple economic growth from environment damage. In other words pursue a less carbon-intensive growth path. Former UN Secretary General Ban Ki-moon has a profound message in this regard, *“Saving our planet, lifting people out of poverty, advancing economic growth... these are one and the same fight. We must connect the dots between climate change, water scarcity, energy shortages, global health, food security and women's empowerment. Solutions to one problem must be solutions for all”*.

Local governments are well placed to take us on a more benign path towards economic growth. Being closest to the citizens they can put in place several awareness programmes and policy interventions. In the case of urban mobility, they can work to promote the use of public transport by addressing pricing, road use, and parking issues. Incentivizing use of public transport and disincentivizing private vehicle use are best done at local levels. Mandating energy efficient buildings and appliances, reuse and recycle promotion, ban on plastic use can all contribute greatly towards environment protection without sacrificing growth. Water conservation and preservation, mainly in local government domain, can be addressed by better management of water bodies and groundwater resources, mandating reuse and recycling, and so on. These will support environment well-being.

The youth can play a vital role too. Youth are considered powerful agents to achieve transformational changes. School and college curriculums could have more intensive environment orientation both in terms of theoretical and practical aspects. In this context, initiatives like the #SelfiewithSapling campaign are appealing.

Among other approaches, at the national and global levels, there is need to measure, record and report the environmental impacts and costs of development. For many decades now the world has been used to measuring progress using the indicator of GDP. Can we adjust GDP growth for negative environment impacts? In other words, how much negative impact was created to produce one additional unit of economic output? This could establish benchmarks for each country and across countries. Countries could then strive for lowering their carbon intensity compared to earlier periods and as compared to other countries.

Our fight against poverty, against malnutrition, for gender justice, and public health and well-being can also be a fight to protect the environment. We must find solutions that work for our well-being while at the same time promote well-being of the environment.

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## Politicians' and Bureaucrats' Relations in Local Governance of Nepal

Anil Kumar Gupta, Trilochan Poudyal, Sundar Shrestha

### Abstract:

Doubtlessly, success and failure of local government is heavily reliant on relations between politicians and bureaucrats. Both, politicians and bureaucrats have realized that their role is prominent for effective and efficient local governance. In this regard, we explored relations between politicians and bureaucrats in changed socio-political and administrative setting of local governance. For this, we employed qualitative approach where case study was adopted as a strategy of inquiry in three local level institutions (rural municipality, municipality and metropolitan city) by conducting in-depth interviews along with observations in 2018. The result of the study shows that the relation between bureaucrats and politicians is directed by political ideology and administrative issues. Bureaucrats are highly focused on rules, regulations, and procedure with professional interdependence while politicians are focused on

development and welfare of local people. Hence, bureaucrats seem directly accountable to rules and regulations and indirectly to local people while politicians seem directly accountable to people as their representatives. Politicians are conscious about rules and procedures for maintaining good governance but they also believe that these are not necessarily always applicable and valid in every situation. On the other hand, bureaucrats felt that politicians don't try to understand legal complications, technical hitches and limitation of bureaucrats.

**Key words:** Politicians, bureaucrats, rules, procedures and local governance.

### Enclosing the Issue

The relation between the politicians and bureaucrats is one of the central concerns of scholars of political science and public administration since the most influential scholarly essay of

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Wilson entitled 'The Study of Administration' (1887) and Weber 'Economy and Society' (1922). In political and administrative matters, politicians and bureaucrats are viewed as central actors in governance system. The politicians are elected by citizens to decide public policy and delivery of public projects while bureaucrats are appointed by the government to implement these policies (Rogger, 2014). Therefore, politicians are held directly accountable to citizens through elections. However, bureaucrats are accountable to their professional peers or to the public at large, for how they have fulfilled the goals of their organization (Alesina & Tabellini, 2008). In this sense, politicians act as sovereign representatives of political values and interests whereas bureaucrats are subordinate policy executors, whose major concern is efficiency (Carboni, 2010). In the context of relationship between politics and administration, Wilson (1887) argued that politics and administration are two separate and distinct fields. Hence, politicians and bureaucrats must be separated from each other. However, the view of Svava (1998) is different from Wilson, who argued that politicians and bureaucrats must complement and supplement each other. They are interdependent, of reciprocal influence, and call for extensive interaction but with the recognition of the need for distinct roles and political

supremacy (Azunu, 2015). For instance, bureaucrats are dependent on political decisions indicating direction and funding, and politicians are dependent on professional advice on implementation of political decisions (Jacobsen, 2001). Similarly, bureaucrats can have a great impact on policy-making and that elected officials can have a great impact on administration in the implementation and execution of laws and policies (Azunu, 2015). From the words of Svava, it can be argued that politicians and bureaucrats are two different actors of governance which are interconnected and interdependent and therefore difficult to separate.

In the context of Nepal, there was an absence of elected representative politicians in local government for almost 15 years. All the functions and activities of governance and development as per provisions of the Local Self Governance Act (LSGA) 1999 were executed by appointed bureaucrats. Hence, there were no issues of interconnected, or conflict between them. After devolution of central level authorities to the local level for local governance as per The Constitution of Nepal 2015, governance and development activities are shifted from central to local, and elected politicians and appointed bureaucrats are identified as central actors. In this context, the stable and equilibrium relation between them is viewed as



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fundamental for efficient and effective local governance. That is why, relations between elected politicians and appointed bureaucrats is becoming a burning agenda in local governance in Nepal after the local level elections in 2017. In the present context, all 753 local bodies have elected politicians and appointed bureaucrats. They have their own values, interests, beliefs, ideas, attitudes, and different sources, forms, and degrees of power (Dasandi, 2014). All functions and activities of local governance are executed by elected politicians and appointed bureaucrats as well. Therefore, it is very essential to know about the relations between politicians and bureaucrats in local governance after the local level elections in Nepal in changed socio-political and administrative setting,

#### **Purpose and Research Questions**

The central purpose of this study was to understand relation between political representatives and appointed bureaucrats in local governance after the local level election in Nepal in changed socio-political and administrative setting. For achieving this purpose, the following research questions were formulated: How do locally elected politicians and appointed bureaucrats engage with each other? Who does govern the local policy structure, governance, and development process?

#### **Decentralization and Local Government in Nepal**

Evidence of decentralization and local government in Nepal has been found since Lichhvi period. During this period, '*Panchali*' was considered as the primitive form of local self-government (Hachhethu, 2000). *Panchali* changed into the name of Panchayat during Malla period and local administration was known as known as *bhuguti*, *visaya*, and *grama* which were highest, intermediate and lowest unit of local administration respectively (Gurung, 2011). Nepal is divided into 12 administrative divisions placed under *Amalis* (officers) by King Prithvi Narayan Shah. The *Amali/Subbas* was responsible for the district administration, revenue collection, maintaining law and order. Despite these efforts, in 1919 the formal initiation of the decentralization and local governance process was formed and the Kathmandu Municipality was set up. After this, in 1926 the *Manyajan Kachaharies* were established for ensuring the security, development and small disputes at village level all over the country (Dhungel, Gwanga, Regmi & Pokharel, 2003). To establish village, municipality and district Panchayats an act was promulgated in 1947 which was the country's first constitution known as the Government of Nepal Constitution Act, 1948. As Adhikari (2010) writes promulgation of the constitution in

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1948 during Rana Period for the first time conceived the horizontal diffusion of power and creating some sub-national bodies allowing citizenry participation in governance, although has never been operationalized. Regardless of this effort, the district and village level administration power was not devolved and officials were obliged to follow commands and orders of Prime Minister in Rana Regime.

The effort of decentralization and local government was also given priority after the enactment of constitution of Nepal 1951. The Article Five of the constitution had made the provision of village Panchayat as unit of local government. Seven hundred ninety-one panchayats were set up by 1956 compared to 171 in 1950. A new village panchayat act also came into force in 1956, which replaced the Panchayat Act, 1949. The first elected government in 1959 had recommended 7 provinces, 32 districts, 76 sub-districts, 165 blocks and 6500 gram panchayats to share the central power to the lower levels. In the same year, 33 Panchayat officers and 109 supervisors were recruited to impart momentum to the initiative. In 1962, King Mahendra dissolved the Parliament and introduced the party-less Panchayat system which collapsed democratic practice (Khanal, 2006). In the Constitution of Nepal 1962, decentralization was taken as a major

state policy and established a three-tier local institution system namely village/town panchayat, district panchayat and zonal panchayat (the zonal level was later abolished) (Dhungel et al., 2011). For this, an Administrative Power Decentralization Commission (APDC) was formed in 1963 and handed over the powers to the Village Panchayat except the power of foreign policy and defense. But on the ground, they were serving as extended arms with limited powers rather than the autonomous bodies. In 1982 Decentralization Act and Regulation 1984 were enacted. This act and regulation are considered to be the significant steps of de-concentration of functional responsibilities to the local Panchayats to carry out central programmes without any attention to building their institutional capacity (Awasthi & Adhikary 2002 cited in Pandey, 2010). However, effective local self-governance or the actual devolution of powers and rights was not possible since the Panchayat Constitution was self-contradictory. On one hand, it emphasized decentralization principle, and on the other, it centralized the executive, legislative and judicial powers in the King. Furthermore, the King appointed Anchaladhis and Chief District Officer, who exercised significant power in regard to local governance.

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After the restoration of Democracy in 1990, Government of Nepal promulgated The Constitution of the Kingdom of Nepal (1990). The constitution of 1990, in the directive principles and policies of the state, it was clearly mentioned that "the chief responsibility of the state is to maintain conditions suitable for the enjoyment of the fruits of democracy through wider participation of the people in the governance of the country and by way of decentralization" (HMG, 1990). To materialize this scheme, first elected government passed four new laws viz. Village Development Act, the Municipality Act, the District Development Committee Act and Local Bodies Election Act in 1992. These initial legislative changes, however, made little changes beyond removing 'Panchayat' from previous laws. District Panchayat, Nagar Panchayat, and Village Panchayat were renamed as District Development Committee (DDC), Municipality and Village Development Committee (VDC) respectively. These acts, along with the Working Procedure Rules (1993 and 1994), appeared to be the vital legal instruments for building local democratic institutions and micro level for the dispersal of power, authority for resource generation and planning from below (Dhakal, 2005 cited in Adhikari, 2010).

Further, Government of Nepal has also promulgated LSGA in 1999 and it's

Regulation in 2000 for devolution of power from central to local level. This act and regulation is the milestone legislation in favor of decentralization which provides a wide range of authority to local bodies for executing the affairs of local level government. The local level government consists of two tiers namely Village Development Committees and Municipalities in rural and urban areas respectively and District Development Committees (DDCs) in district level as per LSGA. Each tier of government has appointed bureaucrats and politicians. However, the election of local bodies did not happen after the introduction of these laws. After the expiry of the five years tenure of the elected representatives at local government in July 2002, the local bodies remained without elected representatives. To address such challenges, local level authorities delegated bureaucrats (VDC Secretaries for VDCs, Local Development Officers for DDCs and the Executive Officers for municipalities) to run local level governance substituting the position of elected politician's representatives.

During Maoist insurgency in the country, the local bodies suffered more than any other state institution. The VDC secretaries in most districts shifted their office to district headquarters. Hence, the local people were required to go to these headquarters for even a simple work and the people had complications

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finding the place where the secretaries were available (Gurung, 2011). After peace agreement between the Government of Nepal and Maoists, the Interim Constitution of Nepal, 2007 was promulgated. The constitution was a crucial step in promoting a decentralized governance system in the country. The article 139 (1) of Interim Constitution has explicitly made provision of holding the local election. Similarly, the article 139 (2) makes special political arrangement in the local government bodies in the all-party consensus in order to promote decentralization and local governance system. Moreover, later on, in the Constitution of Nepal 2015, federal, provincial and local level governments are provisioned. Local governments are provided with full authority for ensuring good governance and development at the local level. Similarly, the Local Level Operation Act 2017 was also promulgated by the Government of Nepal for functioning local governments more effective and efficiently. The act has identified the role and responsibility of elected politicians and appointed bureaucrats in local governance.

### **Political and Administrative Structure in Nepal**

As per The Constitution of Nepal 2015, there are three tiers of government viz. federal, provincial and local. Constitutionally, all three

tiers of government have distributed powers to exercise authority for good governance and development by bringing government closer to the people. This restructuring of the local bodies has been done in tune with the federal structure that the country has adopted. For this, Government of Nepal structured 744 local units in the country based on the recommendation of the Local Bodies Restructuring Commission. Based on economic viability and administrative convenience, in the beginning, this commission had recommended creating 513 local units. However, political parties and other stakeholders opposed. The second time this commission came up with a revised proposal recommending forming 719 local units. There were also some voices of disagreement. For addressing those voices, Government of Nepal formed a task force with coordinating support of the Minister for Federal Affairs and Local Development. The task force recommended adding 25 more local units to the number recommended by the commission. Hence, there were 481 rural municipalities, 246 municipalities, 13 sub-metropolitan cities, 4 metropolitan cities and, 75 District Coordination Committees. These local level units divided into altogether 6,680 Wards. However, some political parties again raised voices of disagreement. To address their voices, Ministry of Council added 9 local

units. Hence, as per the new arrangement, now Nepal has 753 local units that comprise 6 metropolitan cities, 11 sub-metropolitan cities, 276

municipalities, and 460 rural municipalities. These local level units divided into altogether 6743 Wards. Detail is presented in Table 2.1.

**Table 2.1:**  
**Distribution of Local Units by Provinces**

Descriptions	Provinces							Total
	1	2	3	4	5	6	7	
Local Units	137	136	119	85	109	79	88	753
Metropolitan City	1	1	3	1	-	-	-	6
Sub-metropolitan City	2	3	1	-	4	-	1	11
Municipalities	46	73	41	26	32	25	33	276
Rural Municipalities	88	59	74	58	73	54	54	460
Wards	1157	1271	1121	759	983	718	734	6743
Districts	14	8	13	*10+1/5	^10+4/5+1/2	°9+1/2	9	75

*Note 1:- \*Nawalparasi (East of Susta); ^ Nawalparasi (West of Susta) and Rolpa, Rukum(East of Rukum); ° Rukum(West of Rukum). Note 2:- Four districts viz. Rasuwa, Manang, Mustang and Humla has no municipality/ sub-metropolitan/metropolitan whereas two districts namely Bhaktapur and Kathmandu has no rural municipality. Five districts viz. Morang, Saptari, Siraha, Dhanusha, Sarlahi with the highest number of Local Authority/Government. Dhanusha and Saptari consist 18 LAs/LGs and Siraha and Morang consist 17 LAs/LGs. Sarlahi has 20 17 LAs/LGs Source: MOFALD, 2017 ([www.http://103.69.124.141/](http://103.69.124.141/)).*

## Study Methods

Combining both quantitative and qualitative approaches in a single study is widely being practiced in many areas of governance. However, we adopted the qualitative approach. Politicians and bureaucrat's relations can also be studied through quantitative approaches but their dynamics, interest, motives, and beliefs are hard to explore through quantitative approaches. In this regard, we applied a qualitative approach where we assumed the reality about politicians and bureaucrats

relations in local governance is multiple and subjective as argued by Castellan (2010). For this, we employed the naturalist and subjectivity tactic and explored reality through participant's views, their own background, and experiences (Creswell, 2003). As we know, naturalistic and subjective inquiry favors qualitative methods such as case study, phenomenology, grounded theory and ethnography (Creswell, 2003). Among this, we used the case study as our research method because our interest was to disclose behavior, interest, and actions in a

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natural setting (Stake, 2005). Hence, a case study was a suitable method for us. It is not possible to study everyone, everywhere and everything as a case. Hence, deciding the case is the challenging part for both novice and seasoned researchers (Boxter & Jack, 2008). Relevance to the research questions is the crucial criteria for the selection of cases rather than representative (Carson, Gilmore, Perry, & Gronhaug, 2001). Hence, we employed purposive or purposeful sampling techniques (Merriam, 1998). Deciding the number of cases is also important in a case study, however, it is less important. One individual, unit or institution is possible for study (Kruger, 1988 cited in Njie & Asimiran, 2014). Bearing all these scholars' views in mind and considering our purpose and research questions, we selected a single case (local government) but multiple sites (metropolitan city, municipalities and rural municipalities) and interviewed three Mayors and three Chief Executive Officers for our study.

To collect in-depth information, we adopted Merriam's views because it provides the guidelines for data collection. Based on Merriam's views, we adopted both primary as well as secondary sources of data. We gathered secondary data from various sources such as annual reports, public records, newspapers, media, and so on. Similarly, we collected primary data from an interview. The interview was

in-depth along with observation. We designed the interview theme to capture the context, content, and process of relations between politicians and bureaucrats in local level governance. In the beginning, we addressed our research participants through a telephonic conversation. Through this conversation, we explained a brief overview of the purpose of the research, the reason why their participation is important. Before an interview, we established rapport, built trust, requested permission to record the conversation (notes were taken as back-up) and start an interview with their permission. We conducted an interview in the Nepali language by avoiding jargon and metaphoric words at the participants' place of work. In order to make sense and meaning from the field data, we managed, analyzed and interpreted data as soon as collected. For this, we reviewed all our notes immediately after each interview. As soon as we returned from fieldwork, we transcribed the interviews in the same order that we conducted (Peräkylä, 1997). After this, we employed the systematic process of coding, categorizing, and thematizing (InSites, 2007) to analyze the qualitative data. After this, we formed the anecdotes with the help of transcription. From these anecdotes, we reflected and generated meaning from them.

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## **Findings and Discussion**

### **The Emergence of the Political and Bureaucratic Relations in Local Governance**

Bureaucracy in the history of the Nepali administration has always had a close relationship with political activities. Daily newspapers from a different part of the country regularly report about the relationship between elected politicians and appointed bureaucrats in local governance in the context of ongoing political and administrative transformation in the country. The relationship between politicians and bureaucrats is an unremitting dilemma in politics and administration and without doubt it carries significant implications for governance (Demir, 2009). Role of these two actors in local governance of Nepal has always remained a key concern in the public administration and political science scholars. After the local level election in Nepal, the relationship between politicians and bureaucrats gained prime attention in local governance. Both the politicians and bureaucrats have realized that their role is supreme in governance and development activities of the local level. A positive and close interaction between political and bureaucratic leaders is an indispensable cog in the country's transformation. Without cooperation and shared understanding, local government cannot function

effectively and efficiently. That is why politicians and bureaucrats of local government are conscious about their stable relationship and interaction. Local level Operation Act 2017 has valued relationship between these two actors is decisive and clearly stated role and responsibility in governance and development activities at the local level.

### **Perception and Views of Politicians and Bureaucrats**

Perception and views of both politicians and bureaucrats is vital in political-administrative relationships. As per Nalbandin (2004), exploring the attitudes of politicians towards bureaucrats is considered to be the building block in the relationship between local politicians and professional bureaucrats (as cited in Rahaman, 2015). As per politicians, bureaucrats are highly directed by their administrative mechanisms. This means that bureaucrats largely follow rules, regulations, and procedures while executing their duties. Nevertheless, politicians perceive bureaucrats are experts in their field because they are appointed by Public Service Commission (PSC) but are less concerned about public interest and demand and just think about their professional career. On the contrary, bureaucrats argued that politicians do not try to understand complexity, complications, technical hitches and



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limitations of bureaucrats; they just instruct without considering legal limitations. This perception and viewpoint is not fixed; it varies as per political and economic dynamics.

### **Political and Bureaucratic Culture**

Politicians and bureaucrats relationship is strongly influenced by the political and bureaucratic culture that enables each to influence the decision-making of local government. Political culture is different from bureaucratic culture which governs politicians and bureaucrats relationship. Politicians tend to come from political families with a relatively high degree of interest in politics (Aberbach & Rockman, 2006). Hence, culturally, politicians are guided by political ideology and orientation. Perception, attitude, knowledge, and behavior of politicians and bureaucrats are shaped by political socialization and administrative appliance respectively. Therefore, bureaucrats are focusing on rules, regulations, and procedures while accomplishing duties whereas politicians could be overlooking some rules, regulations and procedures. Politicians believe in executing task immediately and arranging the process later. However, bureaucrats often face challenges in following orders of politicians which may not be compliant. Politicians are identifying

the development and welfare of people as their ultimate goal and also conscious about rules and procedures for maintaining good governance. They also believe that rules are not always applicable and valid in every situation; they sometimes think and work in a way as local governance is for the prosperity of local people. In this scenario, a politician said:

I am a representative of people and have to work for their prosperity. If I fail, holding this position is worthless. As a local level representative, I recognize and realize real need and interest of people more than a bureaucrat. Bureaucrats think themselves as a master of the people and show the multifarious rules and procedures without considering the exigent necessities of people. The bureaucratic behavior is also very inflexible, which strictly follows the compliance with long procedures. Bureaucrats maybe transferred elsewhere after two or three years. Nevertheless, I have to live in this community either as an elected chairman or as a local political leader. Hence, my responsibility is to work for people.

However, bureaucrat's view is different from a politician's and they say:



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We shouldn't forget our scope, constraint, and restraint. Everyone is under rules and has to follow them for confirming good governance at local government. I am confident about my roles and responsibilities as suggested by Local Level Operation Act 2017. I am bound to follow the instructions of politicians which must be based on predetermined rules. Conversely, politicians want to do all things without considering legal limitations and confines. A Politician thinks bureaucrat creates superfluous bureaucratic problems. In fact, it is not a problem but process to maintain legality in governance. It is most irresponsible on the part of politics to blame bureaucracy. The politicians spoiled bureaucracy that led to series of the formation of unstable local governments in the name of people's welfare.

From this, it is obvious that culturally bureaucrats are preoccupied with rules and procedures while politicians are ideological and result oriented whose main concern is the welfare of the people. Therefore, bureaucratic and political culture is a central aspect in determining politicians and bureaucrat's relationship in local governance.

### **Policies Formulation and Implementation**

Policy formulation and implementation in political administration has long been a subject of extensive debate. Orthodox dichotomy model argues policies should be developed by politicians and effectively implemented by bureaucrats. In reaction to this, modified orthodox model approves of bureaucrats venturing into policymaking while it excludes the politicians from policy implementation. Dichotomy may apply to politics and administration but not policy and administration. Hence, this model allows the administrator to fully involve in policy formulation whereas it excludes the politicians from policy implementation (Montjoy & Watson, 1995). Bureaucrats should not confine their domain to mere implementation of policies, but expand their role to include policy advocacy and formulation (Demir, 1993). However, the partnership model argues that there is a complementary role in policy formulation and implementation between politicians and administrators (Azunu, 2015). Policies are chosen and implemented by both actors. Local level operation act 2074 B.S has clearly outlined the role and responsibility of politicians and bureaucrats in local governance and development activities. Politicians of local government are involved in the

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policy-making process whereas bureaucrats are involved in implementation. Regarding policy formulation and implementation, politician expressed:

We setup visions, policies, goals, strategies, and evaluate results for the welfare of people while bureaucrats are responsible for translating such vision, goals and strategies into practices.

In this regards, bureaucrat expressed:

We are also involving in the policy formulation process but our role is less dominant and conclusively follows the instructions and visions of the politicians as per rules and regulations.

Even if politicians are actively involved in the policy-making process, politician further also claimed:

As a local, I am enthusiastically involved in policy implementation process as well. I actively have to involve in the policy implementation process in addition to the core functions of policy formulation.

From this argument, it can be argued that politicians are venturing into the policy implementation process while bureaucrats have a passive role in the formulation of policies. Ideally,

politics and administrations are separate fields and have separate roles and functions regarding policy formulation and implementation as argued by Wilson (1887) and Weber (1922). However, in practice, both are getting involved in policy formulation and implementation process even if they have less dominant role. That may be the reason Alesina and Tabellini (2007) argued policies are chosen and implemented by both politicians and bureaucrats. In this context, Anderson and Jakobsen (2013) pointed out that politicians can benefit from professional bureaucrats in a policy area through greater expertise. This means that politicians rely on the bureaucrats for policy feedback, neutral and experienced policy advice, problem uncovering, and the design of new policies. Politicians provide political guidance through policy leadership and legislative oversight (Demir, 1993). That is why Svava (2001) argued that politicians and bureaucrats are complementary, supplementary and dependent upon each other for getting their respective jobs done.

### **Political Control and Professional Autonomy**

In politicians' and bureaucrats' relations, two factors namely political control and professional independence play major role in governance and development activities at the local level.

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As per Svava (2001), political control focuses on the capacity of politicians to set directions and maintain oversight while bureaucratic independence emphasizes on the professional capacity of bureaucrats in policy formulation and implementation. Further, he argued that a high degree of political control may actually co-exist with a high level of bureaucratic professional independence. Local level bureaucrats are showing a high level of professionalism and following and maintaining rules and procedures in executing and exercising authority for managing development activities with professional autonomy. Rubson (2012) argued bureaucrats frequently perceive the politicization of public administration to be a threat to their professional status. Hence, bureaucrats expect to gain professional autonomy and be free from the influence and bias against the prevailing political forces. This means that they are not anticipating facing political control, pressure, interferences, and interventions in exercising of authority for managing development activities at the local level. It indicates that bureaucrats wish to work independently without intervention, interference, and influence by politicians. The advancement of a proper system and non-interference by the politicians are the primary requirements of bureaucrats. However, this situation is completely differently observed by politicians. Politicians proclaimed:

There was an absence of local representative politicians for almost 15 years, which has badly affected the bureaucracy in delivery of public services. There was hegemony of bureaucrats in local governance and development. But now this situation is completely different, all local level government has elected representative politicians. Bureaucrats should follow our advice and guidelines because we are elected by citizens to decide public policy and delivery of development projects for the welfare of local people.

From this, it is clear that politicians want that bureaucrats must act in accordance to political demand in their leadership but bureaucrats think that they can alone execute development and governance and activities of local level as they did in the past. On the contrary, politicians take it as hegemony and advocate for the democratic state governance where development activities must be executed under the leadership of politicians. This reveals that bureaucrats are indebted to political power and forces.

### **Who is Superior: Politicians or Bureaucrats?**

There is debate and conflicting arguments among politicians and bureaucrats about their superiority in

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local governance and development process. Each of the elected representative politicians and appointed bureaucrats of municipality and rural municipality have their own values, interests, beliefs, ideas, attitudes and different sources, forms, and degrees of power as argued by Dasandi (2014). They are performing their activities as per this. Politicians want to perform as sovereign representatives of political values and interests and perceive bureaucrats as subordinate to policy and development project doers. On the other hand, politicians are also conscious that bureaucrats are experts in their own field because their appointment is merit-based and they have long-term experience in the administration. Lee (2001) argued that bureaucrats are perceived in a subordinate position vis-à-vis elected officials. In this scenario the politician voiced:

Bureaucrats themselves feel proud and think superior because they are appointed by PSC based on merit, but they fail to recognize that Nepali bureaucracy is non-performing system for the reason that of the prolonged decision-making process, slow-moving implementation and inefficient and ineffective service delivery system. Most of the bureaucrats do not perceive that politicians are superior. However, we are superior because we are elected representatives and hierarchical

leaders of the administration and also higher in the hierarchy. But the government has demeaned us by making a decision to take an oath in front of bureaucrats (Executive Officer) which is not fair. Earlier, I was also elected as a president of the ward, at that time oath was taken from District Judge.

From this argument, it is clear that politicians claim themselves as superior in local governance and perceive bureaucrats as subordinate to implement policies and programmes.

### **Conflict and Collusion**

There is often conflict and collusion in relations between bureaucrats and politicians. Politicians and bureaucrats work closely but they are highly distinct. Each has a different attitude, perception, form, and sources of power. The politicians are dedicated to perform all functions within their tenure whereas bureaucrats are devoted to perform selective functions by priority basis as they give emphasis to career goals, red tape, and patron-client interests and hold fact and knowledge (Aberbach et al, 1981). The gap between these two responsible service providers creates conflict. The Local Level Operation Act 2017 clearly defined the roles and responsibilities of the bureaucrats and politicians in an attempt to reduce

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unnecessary political interference on the bureaucracy. However, it is disrupted by the politicians blamed by bureaucrats. Clear structural division of authority between politicians and bureaucrats minimizes conflict but evidence shows conflict arises for using administrative power. In this context a bureaucrat voiced his opinion:

I am a chief administrative officer but have to go for the attendance at the table of officials of local staff. In fact, all employees should come to my desk to record attendance. Politicians give more priority to the local employee.

In this scenario politicians argued:

Central bureaucrats have low ownership as compared to the local employee. They are not doing as expected because they are staff of central government. They are like tourists and get transferred at any time. There is no doubt that they are capable but it is that they are not localized. They are working according to the interest of central government rather than of local people. They want to manipulate us by showing superfluous bureaucratic procedures. They interpret rules and regulations as per their interest.

In this setting, bureaucrats argued:

We are an actor of government and have to work in the interest of the central government, local people and politicians as well. Politicians think of themselves as a government. They just make a decision without considering legal constraints. For instance, pass the map without meeting criteria. As a bureaucrat, it is very challenging to satisfy everybody.

From these arguments, it can be said that when bureaucrats are not loyal to politicians and interests of local people, it creates conflict between them. Politicians want to control over the bureaucratic action as per need and demand of people while bureaucrats are entirely loyal to rules and guidelines. This means that bureaucrats want to follow rules strictly and feel impatient with the activities of politicians which are not based on pre-defined rules and regulations. It indicates that politicians are driven by the drive to win the future elections based on how they have satisfied the people while bureaucrats are concerned with their career prospects. As a result, conflict arises between them. It is observed that the privacy of information is another important factor that determines a conflict between them. The root causes of conflict lies here in the violation of the Local Level Operation Act 2017.

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As per McCubbins (1985) bureaucrats are more likely to be experts in their policy areas than politicians and will always have private information about their own performance which they do not share with politicians. However, the situation was different as observed in the municipality. Executive Officer of municipality clearly said that politicians have information of policy activities but many time I am unaware of this. This discrepancy generates conflict. Hence, there should be free-flow of information and professional involvement diminishes conflict and clashes between them.

#### **Accountability Mechanism**

Accountability is a key in local government for fixing good governance at the local level. For this, both politicians and bureaucrats have an obligation to explain and justify not only for performance and financial deeds but also for ensuring prosperity and welfare of local people. A general against bureaucrats by politicians is that they are unaccountable to local people they serve. Holding bureaucrats accountable towards the public is a critical aspect of local governance. Bureaucrats argued that they are directly being accountable to compliance whereas indirectly responsible to local people through politicians. However, view of politicians is completely different from bureaucrats and argued that they

are directly accountable to people because they are representatives of local people and have obligation to work for local people. From this, it is can be said that bureaucrats have an obligation and responsibility to act in accordance with the compliance while politicians for prosperity of local people. Politicians and bureaucrats are averse to take accountability for low level development. Politicians are reproached for not following rules, procedures, and standards while bureaucrats are not observing development necessities of local people. Many times these censures create a clash in their relationship. Despite this, politicians and bureaucrats both have realized that they have an obligation and compulsion in public, administrative and financial matters. They are trying to be responsible and accountable to the people they serve and also follow and maintain administrative and financial standards.

#### **Conclusion**

There is debate among scholars of political and administrative science about relations between politicians and bureaucrats' in the governance system. Politicians and bureaucrats are at present shouldering responsibility for prosperous Nepal and happy Nepali. Hence, role of politicians and bureaucrats cannot be ignored for prosperous Nepal in

general and happy Nepali in particular. Politicians and bureaucrats are chief agents, therefore, collaboration and coordination among them is essential for efficient and effective local governance. Doubtlessly, success and failure of local government is depends heavily upon constructive discharge of their roles. Bureaucrats need political support and tactical direction from politicians while politicians need administrative support from bureaucrats. Hence, mutual and shared understanding between them contributes to the success of local government. Failure in understanding their scope and limitations creates unhealthy conflict between them. Undeniably, conflict can arise but mutual understanding, regular and strategic interaction can reduce such conflict. Both political representatives and bureaucrats have their own values, ethics, morals, beliefs, boundaries, constraints, restrictions, and limitations which should be understood and respected by each other for effective and efficient local governance. Both the politicians and bureaucrats must improve attitude, behavior and culture for good governance which Nepal has been wanting for long.

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## Slums in India, the Challenge for Development

**V. V. Kulkarni**

The existence of slums is an essential by-product of industrialization and rapid urbanization especially in developing countries. These urban colonies or areas are generally characterized by their closely packed huts, unauthorized or encroached small and temporary houses, congested population, unhygienic health conditions, very minimal civic amenities, all types of pollution, criminal activities, foul smell, stray animals, poverty, etc. According to the United Nations World Cities Report 2016 the number of slum dwellers in developing countries increased from 689 million in 1990 to 880 million in 2014. Nearly 25% urban population of the world is living in slums. Dharavi of Mumbai is the biggest slum of India, the second largest in Asia, and the third largest in the world. It has an area of 2.1 sq km and a population of one million.

Slum is one of the negative indicators of development. It is evidence of the lack of basic amenities.

Growing numbers of urban centres and rapid migration of people from the rural hinterland into these urban centres in search of livelihoods mark the urbanisation process in the developing world. These urban poor are forced to live in informal settlements or slums. The term 'slum' is difficult to define. The definitions for slum are qualitative such as 'areas of people lacking, for example, durable housing or easy access to safe water'. In the present time, different terms are used to describe slums such as 'informal settlements', 'squatter settlement', 'shanty town', or 'ghetto'. There are also countless varying names across the globe such as 'favelas' in Brazil, 'townships' in South Africa, or 'aashawa' in Egypt. In India, slums are known by various names, for example, 'jhuggis' in the northern parts of the country; 'ahatas' in Kanpur; 'cheries' in Chennai; 'bustees' in Kolkata; 'zopadpatties', 'chawls', or 'patra chawls' in Mumbai and Ahmedabad. The slum dwellers are the people who

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are living in these slum areas. This study focuses the general socio-economic conditions of the slum dwellers.

According to a UN-HABITAT report, April 2007, India is a third world country that suffers from poverty, malnutrition, disease, unhealthy conditions, more so in its slums. Due to the dramatic rise of slums after India's independence in 1947, its population has tripled (UN-HABITAT, report, April 2007). A large part of India's urban population is currently living in slums. UN-Habitat defines a slum as "A slum is a contiguous settlement where the inhabitants are characterized as having inadequate housing and basic services. A slum is often not recognized and addressed by the public authorities as an integral or equal part of the city." Slum households are defined as a group of individuals living under the same roof that satisfy one or more of the conditions listed below:

- i. Insecure residential status;
- ii. Inadequate access to safe water;
- iii. Inadequate access to sanitation and other infrastructure;
- iv. Poor structural quality of housing;
- v. Overcrowding.

On the basis of the above definitions we can find that slum areas are highly deprived areas. They have poor access to basic amenities. Slum-dwellers

constantly deal with issues such as lack of clean water, constant migration into slums, absence of sewage or waste disposal facilities, high degree of air and water pollution, and unsanitary living conditions. High levels of pollution, lack of basic amenities, and over-crowding are the basic characteristics of slum housing.

Slums are illegal urban settlements on public land and usually grow over a period of time in a constant and irregular manner. Despite this fact slums are considered as an integral part of urbanization and as a manifestation of the overall socio-economic policies and planning in the urban sector. The existence and rapid growth of slums have been noted as a general urban phenomenon commonly prevalent throughout the globe. Slums may also be described as 'a chaotically occupied, unsystematically developed and generally neglected area, which is overpopulated by persons and overcrowded with ill-repaired and neglected structures' (Indian Conference, 1957). They have emerged out of the urban development process and are unplanned, unintended settlements often ignored in the whole process of urban development.

According to the United Nations, the proportion of urban dwellers living in slums decreased from 47 percent to 37 percent in the developing world between 1990 and 2005. However, due

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to rising population, the actual number of slum dwellers is rising by the day. India's largest slum, **Dharavi**, is located in the middle of Mumbai. About a million people live in this 230 hectare slum which came into existence in 1882 during the British Raj. During the 18th century, unplanned localities had started to grow when the process of urbanization of Mumbai was underway. Recently, the Maharashtra government signed an initiative - the creation of a special purpose vehicle with 80% private and 20% government stake to redevelop Dharavi as a whole rather than in separate sub-clusters as was previously envisioned.

Slums have risen dramatically since 1947. Among the main reasons for the creation of slums is industrial development. Slums came up predominantly around mills and factories. Here industrial workmen stayed in one room tenements close to their workplaces, rather than spread out to farther areas. Thus the density of slums began to grow. By 1968 the slum population increased to 18%; in the 1970s there was a huge surge and by 1980 slum dwellers were half of the entire city's population. (Joshua Arbury, 2006)

#### **Reasons for growing slums**

- Population explosion and poverty force the urban poor to live in slums and that leads to an increase in the size of slums. Also, a regional

imbalance in development creates rural to urban migration, thus increasing the overall urban population density which pressurizes the urban poor to move into slums.

- In the past 15 years, India's urban population density has increased by 45%. It is further estimated that 40% of the population will live in urban areas by 2026. With increasingly high density of urban population, there exists a huge demand for land and the shortage of land forces the urban poor to live in increasingly dense communities creating slums in the process.
- Rising material costs and labor costs resulting from labor shortage is another reason for the growth of slums as it makes developers unable to deliver affordable housing to the market.
- Also, delayed procedures for land development forces people to stay in congested areas which further leads to creation of slums.
- A lack of efficiency of urban local bodies coupled with unplanned city management is also one of the major reasons for creation of slum areas.
- Moreover, social backwardness forces people to live in congested areas away from main areas. For

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example, more Scheduled Castes (SCs) live in slums - with one out of every five residents belonging to the SC category.

- A lack of political will for developing slums can also be seen, as slums provide cheap and steady labour (party-workers) to political parties.

#### **Socioeconomic conditions of slum dwellers**

Generally the social status of the slum dwellers is very poor. They belong to poor households, lack basic amenities like drinking water, lighting, electricity, latrine facility and sewerage facility. The social profile of the slums is not good. They are poor and marginalized sections of the society. The economic conditions of the slum dwellers are very low. Generally, slum dwellers are engaged in low level of economic activities like rag picking, cleaning of houses, labourer, auto driver, thela puller and rickshaw puller. Slum dwellers are basically illiterate and they cannot read and write. Due to lack of literacy they are unable to find good jobs. Thus the economic conditions of the slum dwellers are not good. Due to lower income slum dwellers are unable to afford the basic needs of daily lives. Socio-economic status of slum dwellers can be characterized as mainly low income group with inadequate education.

#### **Issues arising from neglecting slum development**

Slums dwellers are vulnerable sections of society. They face various issues like poor health and hygiene, low level of income, poor housing conditions and lack of social amenities. Unhealthy living conditions of slum dwellers are the result of a lack of basic services, with visible open sewers, lack of pathways, uncontrolled dumping of waste, polluted environments, and unorganized building constructions, etc. The existence of slums is a global phenomenon. Social scientists have said that slum is the by-product of modern era. Development of the city is very important, but the provision for the slums population is also needed. There is need to develop the plans and policies for up gradation of the slums and the dwellers in terms of infrastructural development and provision of basic amenities. Slums are increasingly faced with negative consequences such as polarization of population in large cities, high density, acute shortage of housing and basic civic amenities, degradation of environment, traffic congestion, pollution, poverty, unemployment, crime and social unrest. Following are the issues arising from neglecting slum development.

- The physical conditions are totally unfit to live and to work as humans should.

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- Slums act as a magnet for the rural poor by attracting them towards city life.
  - People living in slum areas are prone to suffer from waterborne diseases such as typhoid and cholera, as well as from more fatal ones like cancer and HIV/AIDS.
  - Women and children living in slums are prone to become victims of social evils like prostitution, beggary and child trafficking. Slum dwellers in general, regardless of gender, often become victims of such social evils.
  - Slum areas are commonly believed to be places that generate a high incidence of crime. This is due to official neglect towards education, law and order, and government services in slum areas.
  - The majority of slum dwellers in a developing country earn their living from the informal sector which neither provides them with financial security nor with enough earnings for a decent living, keeping them firmly within the vicious cycle of poverty.
  - Lastly, hunger, malnourishment, lack of quality education, high infant mortality, child marriage, child labour are some of the other social problems prevalent in slums.

#### **Way Forward to control creation and expansion of slums**

- Poverty is the most significant reason behind the creation of slums. Therefore the issue of poverty must be addressed first by policymakers emphasizing inclusive growth.
- There is also a need for future policies to support the livelihoods of the urban poor by enabling urban informal-sector activities to flourish and develop.
- Slum policies should be integrated within broader, people-focused urban poverty reduction policies that address its various dimensions such as health, education and employment.
- Easy geographical access to jobs through pro-poor transport should be created.
- Adequate data should be gathered by conducting various studies before the formulation of any policy.
- There is also a need for investment in citywide infrastructure as a precondition for successful and affordable slum upgrading which could also act as one strong mechanism for reversing the socio-economic exclusion of slum dwellers.

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- Steps should be taken such that a higher and more stable income is made accessible to slum dwellers through their employment in productive jobs. This is because employment opportunities in urban centers that pay well have the potential to generate a healthy and sustainable lifestyle in the slums.
  - Strong control and systematic data base of migration which needs decentralized employment opportunity at local levels including rural areas.
  - Lastly, slums should be developed because developing slums can also trigger local economic development, improve urban mobility and connectivity, and integrate the slums, which are enormous economically productive spheres, into the physical and socio-economic fabric of the wider city.

#### **10-Step Strategy to Eradicate Slums**

While the government has been busy building affordable housing and promoting the concept, one cannot afford to overlook the enormous problem that lies ahead in the form of slums. What can be done to clean up cities while new and better homes are being built?

- It is important to change the thought process of the people first. The urban population avoids

staying in the same compound with the under-privileged, it has been seen. Also, slum-rehabilitation projects which have reservations for the economic weaker section have minimal amenities and facilities for them as compared to those offered to regular buyers. One of the recent examples of such mindset is when the Delhi Development Authority announced to offer vacant homes at Rohini to slum dwellers under a rehabilitation scheme, other residents threatened to move the court.

- The government should consider providing a legitimate solution to the poor. Most of the times, it is seen that the rehabilitation takes place at a location which is far away from the core areas and employment potential is very low.
- Instead of forced evictions, authorities should plan an in-situ upgrading approach.
- Not everyone wants to live in homes which are insufficient for family needs and just have a concrete roof over their head.
- To rehabilitate the downtrodden, the government should offer them areas where they can stay within the community and not in isolated projects and societies.



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- Offering safe and secure land title should also be on the consideration list of the government to ensure that the settlement isn't disturbed in the future.
  - If the existing homes are being upgraded, municipal authorities should upgrade the provisions from time to time.
  - Easy financing and loan options at affordable interest rates for upgrading, building and extension of the existing shelter should be made available.
  - It is important for the government to change the image and perception of cities. For instance, instead of perceiving Mumbai as Shanghai, a “Better Mumbai” can be used.
  - New methods of creating land supply should be tried. Freeing up the unused land lying with government institutions can be used to create affordable homes.

### **Policy initiatives**

The Millennium Development Goals and the post-2015 development agenda regarding Sustainable Development Goals (SDG) emphasize, inter-alia on improving the conditions of urban population living in slums. Goal-11 of SDG says cities and human settlements are to be made inclusive, safe, resilient and sustainable. In fact,

the face of any smart city is adjudged by slum development. In 1972 Government of India undertook a serious policy initiative for slum development through the programme on 'environmental improvement of urban slums'. During Fifth Five Year Plan, the World Bank assisted slum upgradation programme was implemented. In 1985, urban basic services programme was executed in most of the cities of India. In 1986, National Slum Development Programme was started. In recent years Integrated Housing and Slum Development Programme (IHSDP) has been implemented. Some other schemes like - Integrated Low Cost Sanitation- ILCS (1980-81), Swarn Jayanti Shahari Rozgar Yojana - SJSRY (1997), Valmiki Ambedkar Awas Yojana- VAMBAY (2001), Jawaharlal Nehru National Urban Renewal Mission - JNNURM (2005), Rajiv Awas Yojana (2011) and Affordable Housing in Partnership - AHP (2013) have also been implemented. The Smart City Programme was launched in 2014 to renew and develop 100 self sustained cities across the country on a competitive mode with the active collaboration of state governments. In June, 2015 the Government of India launched 'Housing for All by 2022' mission. Rehabilitation of slum dwellers with partnership of private developers using land as a resource and promotion of affordable housing for

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weaker sections through credit linked subsidy are main components of the mission.

**To improve urban infrastructure, the Government has taken various steps:**

- Smart City Mission to focus on basic amenities, education, health services, IT accessibility, digitization, e-governance, sustainable development, safety, and security.
- Housing for all by 2022 for constructing houses for slum dwellers under the slum-rehabilitation scheme and providing loans at subsidized rates for the economically weaker sections.
- AMRUT: Atal Mission for Rejuvenation and Urban Transformation to bridge the gap between infrastructural necessity and their accessibility.
- HRIDAY: National Heritage City Development and Augmentation Yojana to preserve and holistically develop the heritage cities of India.
- Swachh Bharat Mission for improving cleanliness and sanitation.

Some of the past policies had contributed to the growth of urban slums. From the 1950s to 1970s, forced

demolition and relocation was common in various states. Internal migration is a driver of growth and development, particularly in an economy like India's where a large chunk of the rural population is seasonally employed in agriculture. Moreover, urban India's growth is built on the back of cheap labour in everything from construction to domestic work. Various combinations of rent control, distorted land markets, stifling regulation and low floor space indexes have resulted in a severe lack of affordable housing in India's premier cities. Slums are the natural outcome.

Subsequent policies took a different tack. For instance, the World Bank-funded Slum Upgradation Programme in 1985 was more inclusive, looking to lease slum land to cooperative groups of slum dwellers, along with loans for housing improvements. The Slum Rehabilitation Scheme, rolled out in Maharashtra in 1995 under the Slum Rehabilitation Authority, looked to bring private developers on board. The idea was that if they built in situ pucca housing for residents of slums like Dharavi, they could develop the rest as they pleased. The 2004 Dharavi Redevelopment Project took this a step further. Under it, private developers would rehouse Dharavi inhabitants in 300 square foot houses in apartment towers.

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None of them have been successful. There are many hurdles, both major and minor. The lack of adequate data and land titles in Dharavi and other slums meant expensive, time-consuming delays were common. Failure to take slum dweller representatives on board meant that the informal economic networks underlying Dharavi's economy would be disrupted by the redevelopment. So would the community networks that fill the gaps left by missing social safety nets. Lack of common standards meant that the housing built for slum dwellers was often of poor quality. As for the problem of slum dwellers selling or leasing the houses and returning to their previous housing, poor quality, unaffordable maintenance costs, and disrupted networks often had a role to play here.

There is no one model that will deliver success in Dharavi and other slums in Indian cities. Much depends on local economic, political and social factors. However subsidies and loans to slum dwellers or communities might be impractical in slums where the residents are not sufficiently organized. Slum improvement programme which is being implemented and the policy of upgrading physical infrastructure and allowing slum dwellers to build on that for socio-economic improvement. This wouldn't work in those Indian cities where governance quality is

poor; it would allow municipalities to abandon their responsibilities. What is clear, however, is that unless the new redevelopment plan takes on board and addresses the socio-economic fallout of relocation, it is unlikely to succeed.

### **Suggestions**

*First and foremost thing is to identify the causes of mushroom growth of slums in the cities - poverty, unemployment, illiteracy, forced migration, social discrimination and ineffective municipal administration are some root causes. Most of the slum dwellers are those daily labourers, port workers, fishermen, maids, factory workers, hawkers, rag pickers, rickshaw pullers, artisans, painters, hawkers and private sector unorganized workers etc who came from villages to a city for their livelihood. They do not have any land in their village or the piece of land is not enough or fertile to fulfill their family needs. Most of them belong to backward classes of the society. They need right to work, right to shelter and right to food first. The agencies that are responsible for town planning and town civic amenities must perform their duties effectively and in a co-ordinated manner.*

*Mass and public housing in transit hostel mode should be available in every statutory town to solve the issue.*

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The slums, which are existing since decades cannot be replaced easily due to vote-bank politics and various sectors' manpower supply including professional rally audience, criminals, political party workers and trade union workers.

*The government must fix the share or percentage of numbers of affordable housing for poor people, built by the private builders and real estate developers as well as government agencies like development authorities and housing boards.*

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## Master Plans in India: Issues and Remedies

S. K. Kataria

*“By far the greatest and most admirable form of wisdom is that needed to plan and beautify cities and human communities.” --Socrates*

Urban planning is a technical and political process concerned with the development and use of land, planning permission, protection and use of the environment, public welfare, and the design of the urban environment, including air, water, and the infrastructure passing into and out of urban areas, such as transportation, communications, and distribution networks. Master plan is a long-term document having a perspective plan for guiding the sustainable planned development of a city. It lays down the planning guidelines, policies, and development code and space requirements for various socio-economic activities supporting the city population during the plan period. It also serves as an input for future infrastructure development requirements. It is generally made for

the coming 10-20 years. The term, 'Master Plan' is being used interchangeably with urban planning or town planning, across the world. These plans may be prepared and categorized in perspective plan, development plan, annual plan and projects or schemes. Typically the Urban or Town Planning Department of the state government has been shouldered with the responsibility of preparation of master plans of the cities and towns.

### Evolution of Urban Planning

It is very interesting to learn that ancient human civilizations had been primarily of urban human settlements on the banks of perennial rivers. They include oldest (5000-3500 BC) one, the 'Mesopotamian civilization' located in Tigris - Euphrates river system of Western Asia, the present day Iran, Syria and Turkey. The Indian and most widespread civilization known as the

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'Indus Valley Civilization' (3500-1300 BC) was located on the bank of Indus River and excavated at *Mohenjo-daro* (in *Sindhi* language the term means mound of the dead men) and *Harappa* on River Raavi, Lothal on Sabarmati and Dholavira at Great Rann of Kutch. The 'Chinese Civilization' was developed on the bank of Yellow River and 'Ancient Egyptian Civilization' was flourishing on Nile River. Many more ancient human civilizations including Maya Civilization, Greek Civilization, Persian Civilization, Roman Civilization, Aztecs Civilization and Incas Civilization were existing with their unique urban planning during 1500-500BC in present day Mexico, Greece, Iran, Italy and Ecuador, Peru and Chile. Greek philosopher **Hippodamus** (5th Century BC) is traditionally regarded as the first town planner and inventor of orthogonal urban layout. That is why Aristotle called him '**the father of city planning**'.

British urban planner **Sir Ebenezer Howard** (1850-1928) is considered as the first major urban planning theorist. His famous book 'To-morrow: A Peaceful Path to Real Reform (1898)' initiated 'garden city movement' in United Kingdom, which was an advocacy of self-contained communities surrounded by 'greenbelts' containing proportionate areas of residence, industry and

agriculture. Howard established 'Garden City Association' and in 1904 famous architect and town planner **Raymond Unwin** (1863-1940) and his partner Berry Parker won the competition of First Garden City with the development of Letchworth, a 34 mile area outside London. Unwin's concept of central city and satellite towns and communities in its periphery made significant improvements for working class housing. Urban planning as a profession was initiated first in England by establishment of 'The Town and Country Planning Association' in 1899 and University of Liverpool started the first academic course on urban planning in 1909 and in the same year British government enacted the Housing and Town Planning Act.

### **Urban Planning In India**

India has a credit of well developed ancient civilization with the concept of town planning. The excavations of Indus Valley Civilization witnessed it aptly. The well planned cities of ancient and medieval India were designed based on all idealistic parameters of modern scientific architecture. These cities include Pataliputra (Patna), Madurai, Thanjavur, Kollam Ayodhya, Indraprastha (Delhi), Hasthinapuram (Near Meerut), Rajgraha (Rajgir, Bihar), Kanchipuram, Ujjain, Kannauj, Fatehpur Sikri, Jaipur and

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Shahjahanabad (Delhi). During British period three presidency cities - Bombay, Calcutta and Madras were predominantly developed as per modern trade requirements and other cities like Lahore, Bangalore, Vadodara, Nagpur, Indore, Allahabad, Puri, Lucknow, Hyderabad and some other towns grew in a semi-planned way. **Jaipur**, especially its old pink, walled city area is included in the list of old planned cities of the world. It was founded in 1727 by Raja Jai Singh II and it is totally based on vastu as well as modern considerations. Shri Vidhyadhar Bhattacharya planned the city with wide roads, straight streets, crossings, specialized markets and chaupars (large squares for mass gathering or meeting).

In modern India we have Chandigarh, Bhubaneswar, Noida, Navi Mumbai, Gandhinagar, Panchkula, Bidhananagar (Kolkata), Dispur, Sri Ganganagar, Jamshedpur and many more planned cities. **Chandigarh** is famous for its planning and architectural designs as well as Nek Chand's Rock Garden. It was one of the early planned cities in post-independence India and is internationally known for its architecture and urban design. The master plan of the city was prepared by Swiss-French Architect Le Corbusier.

**Bhubaneswar**, the city of temples, is also considered as one of the most planned cities in modern

India. The city became the first Indian city to win the elusive Pierre L'Enfant International Planning Excellence Award 2017. The award is given out by the American Planning Association (APA) for good and advanced town planning and for engaging its residents in the planning process. German town-planning engineer Otto Konigsberger prepared the master plan of the city in 1948. However, most of the cities and towns of the country are developed in a haphazard and unplanned manner despite of having master plans. Even outer areas of **Lutyen's Delhi** are not developed as per the requirements of a national capital.

Urban local government bodies in the country are legally responsible for most of the civic amenities and general welfare of citizens. However, most of the activities related with housing and infrastructure development are shouldered on other departments or special agencies made for the purpose. The town planning department of the state government is responsible for the formulation of master plans. Urban planning mainly deals with land-use and this is the most crucial resource of any country. In India, traditionally 'land' is a subject of revenue department and sometimes of forest department and these departments are not directly concerned with master plans. The bodies like development authority or urban improvement trusts or housing board



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actually deal with non-agriculture land-use. The private parties, real estate players and housing societies mainly decide the implementation fate of master plans. In fact, municipal bodies just provide water and sanitation facilities to the dwelling units whether it is developed as per master plan or not. No enforcement agency is working in urban areas to deal with real execution of master plan.

The 74<sup>th</sup> Constitutional Amendment Act, 1992 makes a provision of Twelfth Schedule in the Constitution of India, enlisting 18 subjects or responsibilities of municipal bodies. Interestingly, the first subject in the list is 'urban planning including town planning' the second is 'regulation of land-use construction of buildings' and third entry is 'planning for economic and social development'. These three entries or subjects of twelfth schedule are directly related with master plan. Unfortunately, in most of the states, the devolution of powers to local bodies has not taken place. Urban governance is not just an issue of provision of water and sanitation facilities by the municipal bodies; it is enabling comprehensive and balanced growth of a city with sustainable development.

Comprehensive urban planning is not the responsibility of a single department or a routine work in nature; rather it is a herculean task and a

continuous process in India. **Urban planning of Indian cities faces some permanent problems like:**

1. The government agencies are still not able to assess and predict the actual growth of urbanization in the country. Since, the Indian villages have neither enough modern and essential infrastructure, nor employment opportunities, the tendency to migrate to cities is increasing rapidly. The share of agriculture in GDP is also on the decline. In that situation rapid urbanization cannot be checked effectively. Needless to say it is a moot question whether any master plan can work effectively in such a chaotic scenario. Moreover, there is no master plan practice in *Panchayati Raj Institutions* (PRIs) or in villages.
2. Article -243 ZD, inserted through 'The Constitution 74<sup>th</sup> (Amendment) Act, 1992' makes a provision of District Planning Committee (DPC) in each district with the members from municipal bodies and PRIs. However, the reality is that nowhere in the country DPC is mandated or proactively concerned with master plans. Surprisingly, the 74<sup>th</sup> Constitutional Amendment Act is related with municipal governance and DPCs have been kept under PRI department.



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3. The overall and integrated development of a city requires direct and active contribution from at least 20 ministries or departments - Local bodies, road transport, water supply, electricity supply, education, medical and health, industry and trade, telecommunication, railways, civil aviation, public works, food and supply, social welfare, labour, women and child development, home (police), broadcasting, banking, petroleum and tourism. Many other departments and agencies also play important roles. The large number of government agencies leads to complicated administrative procedures and inadequate co-ordination. The master plan of a city is generally prepared by town planning department with the help of local bodies or private consultancy agency. Other departments seldom follow the master plan. Even the political agenda can change the whole scenario.
  4. It is generally said that Indians are very good at the level of formulation of a plan, scheme or policy, but when it comes to execution or implementation they often fail. The story of implementation and follow up of the master plans is the same. The department which prepares the master plan has no role in its implementation. Not a single city in India has followed its master plans prepared during last seven decades of independence. Mumbai and many other big cities are flooded in monsoon every year, Delhi has smog in winters, most of the cities in Haryana do not have footpaths, entry in Agra is recognized by its foul smell, roads of Bikaner are jammed by cows and oxen, residential premises of Asia's largest housing colony - Mansarovar, Jaipur has been converted into shops, no city is planned to face disasters effectively, most of the industrial cities having slums and traffic jams is a common scene all over India. Therefore the whole planning and implementation of urban development process needs urgent overhauling.
  5. Most of the towns and small cities (76%) of the country still do not have their completed master plans. Only in Rajasthan all 187 towns have their master plans. The cities having master plans rarely follow them and gross violation of the plan document is a common practice because it is not a punishable offence. The schemes like Smart Cities Mission which is aimed at an urban renewal and retrofitting

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programme to develop 100 smart cities across the country making them citizen friendly and sustainable, seems very attractive on paper but when we look at the ground realities, we find that nothing has been changed in last 4-5 years because every city, administrative authority and citizens of these cities taking this competition-oriented concept in a different manner. The feeling of a 'nation' is not in our blood. Good governance needs good society, not vice versa.

6. We must admit honestly that criminalization of politics and politicization of criminals has changed the entire scenario of democratic India. The Committee on activities of crime syndicates /mafia organizations (**N. N. Vohra Committee -1993**) had investigated the triangle nexus between criminals, politicians and bureaucrats. The report says “In the bigger cities, the main source of income relates to real estate - forcibly occupying lands/buildings, procuring such properties at cheap rates by forcing out the existing occupants/tenants, etc. Over time, the money power thus acquired is used for building up contacts with bureaucrats and politicians and expansion of activities with impunity. The money power is

used to develop a network of muscle-power which is also used by the politicians during elections.” Master plans are changed or violated by these people very often.

7. Coordination is a big problem in Indian administrative machinery. The ambitious programmes and projects - JNNURM, UIDP (with state name first), AMRUT and Smart Cities Mission, etc have never been done in conjunction with master plans.

In 2004, Mr. Gulab Kothari, the editor of Rajasthan Patrika group of publications, Jaipur wrote a letter to the Chief Justice of Rajasthan High Court about the severe violation of master plans of Jaipur, Jodhpur, Kota, Ajmer, Udaipur and Bikaner. The court accepted the letter as public interest litigation (PIL- civil writ petition no.1554/2004) and still the case is in the court. In response to this PIL the Government of Rajasthan had replied that “some deviations from master plans are there and some are still taking place but then until and unless the general civic sense are developed in public at large and the public is made aware that the deviation of master plan is not in their interest, without active co-operation of public at large, the answering respondents feel themselves not so happily equipped with the measures and means to control such

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deviations.” Here, the question is that who will develop civic sense and why government authorities allow people to violate the rules and regulations? The only good thing gained, so far, due to this PIL is that the 'green belt' areas have been preserved and protected by the authorities in Rajasthan.

### **Status of Master Plans of Urban Areas in India**

Indian urban planning or system of master plans is influenced by the British legislation. The Town and Country Planning Act, 1948 of England provides for land use permission and its development. This Act was further supported by Planning and Compulsory Purchase Act, 2004 and National Planning Policy Framework, 2012. In India, the conference of urban improvement trusts, 1948 proposed that all towns with a population of 10,000 and above should have master plans and all schemes of urban improvement trusts should be within the framework of master plans. Some of the provinces were having the urban improvement trust under specific law e.g. - Bombay Town Planning Act, 1915, Madras Town Planning Act, 1920. The system of creating Comprehensive Development Plans (CDP) or master plans was supported by green belts instruction of Government of India in 1955 and third five year plan made a provision of establishing and

supporting a separate town planning department at state level. During sixties many state governments enacted separate urban planning and development acts. **The Rajasthan Urban Improvement Act, 1959** is an example which provides for establishment of an Urban Improvement Trust (UIT) in a city and master plans of the urban areas.

Town planning..., as defined in the **Sixth Report of Second Administrative Reforms Commission (ARC)** – "...in the real sense is planning for the future development of a city including optimum utilization of the available resources to provide the required civic amenities to the citizens. Thus town planning is a holistic concept". But in most cities, even today, town planning ends with preparation of zoning regulations. The enforcement of these regulations has not been up to the mark and in several cases the local bodies and other authorities as well as the citizens have violated these regulations. There is need to establish town planning as an important tool for future development of the cities. The commission further says "large parts of cities today completely escape mainstream planning. Half of the population of Delhi and Mumbai lives in unauthorized areas".

Items covered under a typical master plan map or documents are-

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| 1. Land use   | 20. Medical and health facilities   |
| 2. Roads and transport  | 21. Cremation and burial grounds  |
| 3. Water supply and drainage  | 22. Circulation plan and traffic connectivity   |
| 4. Electricity supply   | 23. Fringe area   |
| 5. Residential zone   | 24. Green belt areas or peripheral control belt.  |
| 6. Commercial and industrial areas  |   |
| 7. Parks, play grounds and sports complexes                                   | Some more dimensions may be added as per the need of smart city, hill city, industrial city, port city, medi-city, sports city, green city, compact city, tourism city, inner city, etc.  |
| 8. Shopping area and entertainment facilities                                 |   |
| 9. Hills, forests , water reservoirs (lake conservation) and agriculture area | Ideally, every plan of a town or city must be comprehensive or holistic in nature and clear in its objectives. Similarly it must be prepared by the professionals with the help of experts from other concerned fields. <b>Urban Development Plans Formulation and Implementation Guidelines (UDPFI)</b> , prepared in August, 1996 by the Ministry of Urban Affairs and Employment suggests as a general principle that plans at the levels higher than the settlements should be regional in nature and contents. Similarly, national and state level plans shall incorporate only those developmental policies and programmes that need to be addressed at that level and also those that come under joint responsibilities of centre, state and local authorities. The guidelines also suggest that a |
| 10. Heritage and religious places   |   |
| 11. Air port, railway lines, highways and bridges                             |   |
| 12. Major land marks  |   |
| 13. Educational institutions  |   |
| 14. Public utilities  |   |
| 15. Rural and urban boundaries  |   |
| 16. Warehouse and godowns   |   |
| 17. Government reserved area  |   |
| 18. Special areas   |   |
| 19. Tourist spots   |   |
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'Development Integration Committee' must be constituted with the membership of all concerned departments of settlement and urban development activities. The process of master plan formulation is decentralized with a time bound framework. People's participation, resource mobilization, legislative support, awareness through media, political consensus, coordination between various departments and real estate players, etc. are other components of master plans.

These guidelines (UDPFI) were very sketchy and less helpful in formulation of a master plan. The '**Town and Country Planning Organization (TCPO)**' was receiving continuous feedback from the states, in its various review meetings, consultations, and conferences that holistic model legislation or detailed guidelines must be prepared by the union government. In this regard, **Urban and Regional Development Plans Formulation and Implementation (URDPFI) Guidelines** were prepared by the Ministry of Urban Development in January, 2015. The preface of the URDPFI says "Since 1996, many developments have been taken place in the field of urban planning, especially in view of emerging needs and requirements of urban settlements due to rapid population growth, globalization of economy and phenomenal advances in information

and communication technologies. The towns and cities have become more dynamic in nature and are subject to unprecedented changes in terms of requirements of infrastructure and other basic services and amenities. Besides, new emerging aspects like regional development, inclusive planning, sustainable habitat, land use and transport integration at planning stage, service level benchmarks, disaster management concepts and governance reforms have given a new dimension to the planning process. These guidelines include plan formulation, resource mobilization, regional planning approach, urban planning approach, sustainability guidelines, simplified planning techniques, infrastructure planning, simplified development promotion regulations in the first volume, while in second volume all the necessary laws i.e. Model Regional and Town planning Development Law, 1985, Model Municipal Law, 2003, 73rd and 74th Constitutional Amendment Acts, 1992, The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 and other concerned central and state laws, rules and regulations as well as essential formats, etc. are appended systematically. These guidelines suggest the framework for renewed spatial urban planning issues system to ensure its effectiveness.

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It is expected that these framework outlines must be based on Hierarchy, Spatial extent, Scale of Planning, Details provided in the Plan and Functions and their speciality. It is important to mention here that various ministries have advocated for preparation of sector specific plans such as Slum Redevelopment Plan, City Development Plan, City Investment Plan, Comprehensive Mobility Plan, City Sanitation Plan, District Credit Plan, Coastal Zone Management Plan, Environment Conservation Plan, Riverfront Development Plan, Water Resource Management Plan, Heritage Conservation Plan, Tourism Master Plan, etc. in an integrated manner with main master plan of the city or town. The time period for plans have been mentioned in the guidelines as 20-30years for Perspective Plan, 20years for Regional Plan, 20-30years for Development Plan and 5-20years for Local Area Plan.

#### **Remedies: The Way Ahead**

Time has come to initiate some feasible but tough strategic decisions on urban planning by the Union Government and the states as well. Satellite imagery can play a significant role in urban planning. Since India has a very sound system of GIS (Geographic Information System) through satellites, both processes - the formulation and implementation of

urban development plans should be linked with GIS to have better results. Every master plan must be approved by the legislature as a legal document so no one can violate it. Both the bureaucrats and the public must be punished if there is any deviation of approved master plan. If there is any urgent need of deviation then it must be amended by the legislature only. Second ARC had recommended that standards should be maintained at every level and activity of urban development and these standards must be approved by the Bureau of Indian Standards. Time and again it has been observed that various departments or stakeholders of urban planning hardly pay any serious attention on the draft or on formulation process of master plans. It must be a legal obligation of each core department of the government to contribute to the master plan so as to avoid any controversy or misunderstanding about future planning of a city or town. Even the surrounding village panchayats may be invited to provide their inputs in the master plan.

There must be an enforcement agency to check the implementation of the master plan. This agency must have full-fledged and technologically sound administrative machinery with powers of an administrative tribunal to decide the cases of violation of master plans. This agency will take daily satellite images from the ISRO and report from

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its ground staff. This agency may be responsible for coordination among various line departments concerned with urban development activities and it must work closely with the concerned municipal body of the city. The city or district level coordination committee for urban development headed by the District Collector must meet once in a month positively to resolve various departmental issues.

Capacity building of municipal and urban development agencies' personnel has been a neglected area so far in India. Most of the states do not have the separate or exclusive training institutes for urban and municipal development. National Training Policy, 1996 lays stress upon orientation and regular refresher training programmes for all government employees to enhance their efficiency and effectiveness in service delivery. India is a leading player in several spheres such as information technology; therefore there is no place for non-accountability in service delivery and lethargic administrative culture. Effective control over population growth and judicial reforms are necessary. Rule of law must be ensured strictly. One can then hope that modern Indian cities can be compared with global ones like Singapore City, Zurich, Seoul, Copenhagen, Washington D.C., Amsterdam, Paris and Brasilia, in future.

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## Perception, Participation and Changing Dimensions of Awareness of Women Working in Local Self Government (Panchayat Raj): An Empirical Analysis

Rajesh Kumar Singh, Harish Kumar

### Abstract

The 73rd Amendment Act has resulted in the entry of a large number of women in decision-making bodies in rural areas creating economic independence, self-reliance, political, social and legal awareness, self-confidence and positive attitude towards women. The present study is an effort to gauge the social capital building among women Gram Panchayat (GP) members by assessing their Perception on enhancement of their social capabilities, their participation at grass root level, and changing dimensions of their awareness. The study concludes that women GP members enjoy increased control over their own lives and they have a greater role in making decisions about themselves than before. Further, they enjoy active role in the village level decisions by participating in gram sabha meetings etc. However, interaction with other important local bodies like local bank branches, NGOs,

SHGs and SHPIs and their knowledge about books of accounts maintained by GP and its audit system did not reveal any considerable progress. Therefore, the study suggests proper training of women GP members in the areas concerned.

**Keywords:** women empowerment, social capital building, community activities, dimensions of awareness.

### I. Introduction:

Women who constitute almost 50% of the world's population, are not treated as equal to men in all the places, instead, they suffer from many disabilities and/or inequalities. The underlying causes of gender inequality are related to social and economic structure, which is based on informal and formal norms and practices. Consequently, the access of women particularly those belonging to weaker sections including Scheduled Castes/Scheduled Tribes/ Other



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backward Classes and minorities to education, health and productive resources, among others, is inadequate. Therefore, they remain largely marginalized, poor and socially excluded.

The principle of gender equality is enshrined in the Indian Constitution in its Preamble, Fundamental Rights, Fundamental Duties and Directive Principles to the State. The Constitution not only grants equality to women, but also empowers the State to adopt measures of positive discrimination in favour of women. Within the framework of a democratic polity, our laws, development policies, plans and programs have aimed at women's advancement in different spheres. In recent years, the empowerment of women has become pivotal issue in determining the status of women. It is now widely believed that empowerment of women i.e., providing equal rights, opportunities and responsibilities to women will go a long way in removing the existing gender discrimination. Empowerment is a construct shared by many disciplines and arenas: community development, psychology, education, economics, and studies of social movements & organizations, among others. As a general definition, we quote that empowerment is a multi-dimensional social process that helps people gain control over their own

lives. It is a process that fosters power in people, for use in their own lives, their communities and their society.

A country cannot achieve economic development, social transformation and effective social security until and unless the citizens are educated to the extent that enables them to involve/participate in the country's developmental programs, willingly, intelligently and effectively. Indian women occupying a subordinate position to men need to be empowered to overcome social, political and economic discrimination. There have been several attempts to improve the position of women since India got independence in 1947. The 73rd Amendment Act has resulted in the entry of a large number of women in decision-making bodies in rural areas creating economic independence, self-reliance, political, social and legal awareness, self-confidence and positive attitude towards women. It enables women to face any situation and to participate in the developmental activities of the nation. Women empowerment in contemporary Indian society in forms of their work, education, health, their participation in social and political activities, their legal status in terms of marriage, divorce and inheritance of property, seeking wealth care have been taken into consideration.

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## II. Review of Literature:

The studies reviewed to have a firsthand understanding of the present state of affairs in women's empowerment through their participation in elected bodies and the problems they face while playing the expected role, are summarised hereunder:

Sidney Verba, Norman H. Nie and Jae-On-Kim (Sidney Verba, Nie, N. H., and Kim, Jae-On, 1978, found that Women's participation in political activities is comparatively lesser than their male counterpart. Women are also found insignificantly in the role of political decision makers. Therefore, they are lagging behind men in enjoying political power.

Promilla Kapur and others, 2001, pointed out that women's empowerment is premised on three 'fundamental' and 'non-negotiable' principles. The principles are equality, total development of women's potentiality, their self-determination and self-representation in political activities. But there are certain stumbling blocks in the way of their effective participation and these are "four Cs – culture, childcare, cash and confidence." Besides, political parties are mostly unwilling to select women candidates in safe constituencies. Women's excessive engagement in household chores, lack of family

support, lack of confidence and consciousness play greater roles in unequal participation in power structures and decision making bodies.

Nancy, Burns, Schlozman, K.L., Sidney Verba, 2001, point out the prevalence of a large number of factors that affect the gender disparity in people's participation. The factors responsible for low level of women's participation are: lack of time, lack of willingness, patriarchal family system, socio-economic resources and different environments for men and women right from the childhood to the adulthood. In this way they have tried to identify the various reasons which affect in the way of women's effective participation in political activities even after gaining three generations of full political citizenship.

Barbara J. Nelson and Najma Chowdhury (eds.), 1994, in a comprehensive study of 43 countries, have shown that there is no country in the world where women have been enjoying equal status, access or influence like their male counterparts in political spheres. A feeling of political subordination, patriarchal outlook, lack of interest and initiative to share power with women are clearly visible in the male leaders. The political status of women is secondary almost the same throughout the world, except a few Scandinavian countries.

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Eschel M. Rhoodie, 1989, highlighted the discriminatory laws, rights, customs and beliefs against women and opined that patriarchal outlook, discriminatory laws, bias attitude of political parties and bureaucrats, lower level of education and poverty keep women away from the corridor of political power. The study dealt with some features of discrimination against women which are still prevalent in society namely physical abuse, female slavery, sexual mutilation of young women, abortion practices etc., however, didn't deny that there has been greater participation of women in different fields, viz. science, technology, arts, law, medicine and so on.

Kamala Devi Chattopadhyaya, 1975, portrays a comparison between the women's movement in pre-independence and post-independence era. Before the formation of the United Nations, education of women and children were given emphasis in India. Working women's hostels and women's organizations have struggled hard for enactment of law for increasing status and conditions of women. But after independence, such voluntary efforts gradually became weak and minimum. The Government did very little to empower them.

Niroj Sinha, 2000, dealt with the scope and extent of participation of women in freedom struggle and

pointed out the dearth of data and information on women's participation in politics and other fields. Further, majority of the accounts of women's participation is mainly descriptive and non-analytical. Illiteracy, low-economic condition, reluctance of political parties, high cost of elections, patriarchy, caste hierarchy, dependency on male members, orthodoxy and old tradition of the state are reckoned as the reasons for the low participation in the political process. The study further explained that although 33 per cent of women representatives were elected in Haryana at the panchayat elections of 1994 but in fact the women members did not take part in the decision making process since they were at odds to sit with the male members in a tradition bound orthodox society.

Madhu Kishwar, 1996, examined the reasons for participation of women in politics and concludes that patriarchal attitude and the influence of money and muscle power of the male dominated political parties compel women to remain in the background. Whatever the leaders utter in their election campaigns and manifestoes are only the lip services to the causes of women.

Bidyut Mohanty, 1995, discussed the various aspects of Panchayati Raj System in India and identified the different factors that affect women's

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empowerment. According to findings age-old Indian culture and social ethics covered by a patriarchal value system, female infanticide, illiteracy, and inaccessibility to health care facilities, discrimination between boy and girl child in the family and violence against women are the usual symptoms of Indian society that cripple the scope of women empowerment.

Singh, Raj. (ed.), 2000, have thrown new light on women's empowerment through their study in the northern states especially Punjab, Haryana and Rajasthan by examining the status and position of women and the roles they play in the Panchayati Raj System. The perceptions of the voters on the role of the people's representatives besides dealing with the problems faced by women members in playing their role as office bearers have been examined. The study put forward the need for enhancing the literacy level and increasing consciousness of women in addition to the changing of attitude of the male members of the family.

Srivastava, R. S., 2001, examined the question of women's empowerment from social and historical reality of their status and position in society. In his views, women's empowerment is in a situation of continuous hostility arising out of differences between men and women, globalization and commercialisation. Besides, poverty, illiteracy and ignorance affect the

process of empowerment even though there are constitutional and legal provisions. He points out the incongruity when it is found that the women have failed to enjoy the fruits of development in spite of the growth of Gross National Income.

### **III. Research Gap:**

The review of literature available shows that a lot of investigations have been made on different aspects of the functioning of panchayati raj system and the participation of women in it. One category of studies concentrates on the structural and functional aspects of the panchayati raj system and women's empowerment. The other tries to deal with the various factors like the social, religious, cultural, educational and political background of women and the roles played by them together with the problems they face. The issue of women's empowerment through their participation in developmental activities especially through the Panchayat Raj Institutions is relatively neglected in their studies. Though some scholars have tried to trace the issue from an angle of macro study, an in-depth micro study on the concrete situation of ground reality prevalent in rural India is almost missing.

This is true in case of eastern Uttar Pradesh. So far there is no research finding on the subject of women's empowerment through their

participation in the panchayati raj institutions in this region. Therefore, the study seeks to bridge the gap and intends to examine the scope and extent of participation of women in three-tier panchayati raj system in eastern UP. Besides, the present approach is quite different from the previous ones since it seeks to examine the question of women's empowerment through their participation in panchayats in its totality through micro studies. The study is mainly focused on the women Gram Panchayat (GP) members in the districts of Bhadohi, Mirzapur and Sonebhadra of eastern UP. It will not be wise to generalize the findings and conclusions from this study which is based on the experiences of a particular situation. It is however expected that the investigation would be helpful in comprehending the actual position of rural women in India and particularly in eastern UP. However, further investigation in this field may explore new avenues in this sphere.

#### **IV. Objective of the Study:**

The specific objective of the present study is to gauge the social capital building among women Gram Panchayat (GP) Members by assessing the:

- Women GP Member's Perception on Enhancement of their Social Capabilities,

- Women GP Member's Participation at Gross root Level, and
- Changing Dimensions of Awareness of Women GP Members.

#### **V. Sample Design, Data and Methodology of the Study:**

The scope of present study extends over three districts of eastern U.P. viz., Bhadohi, Mirzapur and Sonebhadra. From each district fifty villages have been selected randomly from Gyanpur, Patehara Kalan and Myorepur Blocks, respectively of aforesaid districts. A sample of two women Gram Panchayat members have been selected from each village. Thus, the sample consisted of 100 women Gram Panchayat members from Bhadohi (Gyanpur Block), 100 women Gram Panchayat members from Sonebhadra (Myorpur block) and 100 women Gram Panchayat members from Mirzapur (Patehara Kalan Block) districts of Eastern U.P. The present study is based on primary sources of data and information. For this quantitative study a survey on representative sample of the above mentioned 300 women Gram Panchayat members has been carried out using face to face method, on the basis of a well structured interview schedule. The survey work has been done during March-April, 2019. The

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data and information so collected has been tabulated, analyzed and interpreted to draw fruitful inferences fulfilling the specific objective of the study. The interpretation has been initiated with the help of relevant averages, percentages and ratios. Various journals, magazines and newspapers like Indian Journal of Commerce, Indian Journal of Economics, Finance India, Vikalpa, Times of India, Economic Times etc. have also been adhered to for the preparation of present study, besides the websites of International Labour Organisation, Microsave and several other Micro finance Institutions.

## **VI. Survey Findings:**

### **a. General Profile of the Respondents:**

The distribution of the sample shows that most of the women Gram Panchayat members (77.3%) interviewed were Hindus. The caste desegregated profile of the respondents reveals that 64 percent belonged to SC/ST category, whereas, 19 percent and 17 percent of the respondents belonged to General and other backward categories. Around 88 percent of the respondents were within the age of 50 years and only around 12 percent had an age over 50 years. The distribution of sample also

reveals that 94 percent of the respondents were married. Lastly, an overwhelming proportion of about 48 percent of the respondents had education up to schooling; at the same time nearly 21 percent of the respondents had education above schooling. (Table.1).

### **b. Women Gram Panchayat Member's Perception on Enhancement of their Social Capabilities:**

The improvement in social relationships, professional and technical skills are no doubt ingredients of social capital building, besides role of individuals in decisions related to self, general good and financial matters. The ability to deal with public and institutions is the reflection of built up social capital. The female GP members were asked to indicate their perceptions on whether their membership in GP had any impact on their empowerment /social capabilities on various social matters as presented in Table 2. The analysis of women GP members perception on enhancement of their social capabilities reveals that only 17.3%, and 25.7% of women GP members don't perceive any improvement in their social

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relationships and professional & technical skills, respectively, as against 69.3%, and 61% women GP members who reported significant improvement as a result of becoming a GP member. A considerable proportion of respondents (48.7%) said that their control over their own lives has improved and they have a greater role in making decisions about themselves than before. Further, the respondents when asked to indicate improvement in their participation in key family decisions regarding general good and financial matters, 46% women GP members have been found getting participation more than before in general family decisions against 50.7% respondents who enjoyed greater participation in decisions related to financial matters of the family. So far as influence on members level of comfort and confidence is concerned, only 46.3% of women GP members reported to be more confident than before while dealing with people and institutions.

**c. Women GP Member's Participation at Gross root Level:**

The involvement in community activities and programmes of national importance are the best

practices for gaining and enriching ones social capital, thus the study tried to measure the involvement /participation of women GP members in the events and decisions that affect the lives of all the villagers, including their own. The findings show that 69% of women GP members state that they have active role in the village level decisions; they regularly participate in gram sabha meetings. However, when it comes to interaction with other important local bodies like local bank branches, Non Governmental Organisations (NGOs), Self Help Groups (SHGs) and Self Help Promoting Institutions (SHPIs) the regular participation rates are well below than those in gram sabha meetings. An overwhelming proportion of women GP members have been found actively concerned with the issues related to women of the village/community, as 71% and 66% of the respondents reported regular meeting with village's women and Aanganbari, Asha & ANM workers, respectively. So far as programmes of national importance are concerned, 70.3% and 58.7% of women GP members reported regular participation in Pulse Polio Divas and Swachha Bharat Abhiyan as against only 13.7% in School Chalo Abhiyan. (Table. 3)



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**d. Changing Dimensions of Awareness of Women GP Members:**

For ensuring complete participation of women at the grassroots level of democracy, awareness of the women, relating to knowledge about the working of PRIs and general political & economic awareness are necessary. Simultaneously, the practices relating to social capital building among women GP members remains incomplete if the varying level of awareness about health and hygiene during pre and post GP membership periods is ignored.

The changing dimensions of awareness of the women GP members regarding the three-tier system of panchayats and awareness about health and hygiene as found in the study is shown in Table 4 and Table 5 respectively. The study found that only 24% elected women GP members had knowledge about three-tier system of panchayat raj during pre membership period, which stepped up to 57% during post membership period, registering an increase of 33% in total. During pre GP membership period, women GP member's knowledge about name of their constituency, name/ number of

their GP, development Block & Zila panchayat ranged between 5% to 54%, which recorded considerable change during post GP membership period and ranged between 55.7% to 84.7%. The women GP member's knowledge about functioning of Panchayat Raj Institutions (PRIs) also witnesses a growth of 34% in total figure during the period of analysis. However, knowledge of women GP member's about books of accounts maintained by GP and its audit system did not reveal any considerable progress during the period of analysis, which indicate that they are dependent on either their husbands or male counterparts for the discharge of their functions and thus, find no need of gathering knowledge and have no queries either. In such a situation, the dream for women empowerment through enhancing women's participation in panchayats seems too far-fetched due to a complete lack of awareness about accounting & financial system of GP among the elected women GP members. Further, the analysis of involvement in family planning methods, washing hands before eating/cooking, child's vaccination, not allowing water and dirt to stagnant, using toilets at home and adding fruits &



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vegetables in the diet of pregnant women revealed that the women GP members have a substantially larger percent of respondents reporting an increase in awareness. During the pre GP membership period only 24% and 53% of the respondents, respectively, used to practice family planning methods and child vaccination. The figures stepped up to 57% and 88% respectively during post GP membership period. Only about 54 %, 49% and 5% of the respondents use to wash hands before eating/ cooking, do not allow water and dirt to stagnant and use toilets at home respectively during pre GP membership period, the figure stepped up to 84.7%, 70.3% and 55.7% respectively during post GP membership period. An increase of nearly 34% in total has been registered in the number of women GP members who add fruits and vegetables in diet of pregnant women during the period of GP membership.

## VII. Conclusion:

To sum up, women GP members perceive considerable enrichment of their social capabilities after attaining membership in Gram Panchayat. Women GP members enjoy increased control over their own lives and they

have a greater role in making decisions about themselves than before. Further, they enjoy active role in the village level decisions by participating in gram sabha meetings etc, to a considerable extent. However, interaction with other important local bodies like local bank branches, Non Governmental Organisations (NGOs), Self Help Groups (SHGs) and Self Help Promoting Institutions (SHPIs) the regular participation rates are well below than those in gram sabha meetings. In the same way, women GP member's knowledge about books of accounts maintained by GP and its audit system did not reveal any considerable progress. Therefore, detailed & intense training of women GP members in the areas of functioning of NGOs & SGHs, developmental activities of GPs & financial administration of GPs and accounting & audit system of GPs is necessary for their complete empowerment in socio-economic-political & cultural arena.

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## Appendix

**Table - 1: General Profile of the Respondents**

Particulars	Districts			
	Bhadohi	Mirzapur	Sonebhadra	Total
A. Religion				
Hindu	61	88	83	232 (77.3)
Muslim	39	12	17	68 (22.7)
Others	00	00	00	00 (0.0)
B. Caste				
General	32	11	14	57 (19.0)
OBC	26	12	13	51 (17.0)
SC/ST	42	77	73	192 (64.0)
C. Age				
Below 30	26	16	11	53 (17.6)
30-40	29	47	48	124 (41.3)
40-50	31	28	27	86 (28.7)
Above 50	14	09	14	37 (12.3)
D. Marital Status				
Married	97	93	91	281 (93.6)
Unmarried	00	02	06	08 (2.7)
Widow	03	05	03	11 (3.7)
Divorced	00	-	-	-
E. Education				
Illiterate	03	11	07	21 (7.0)
Up to Primary	12	29	31	72 (24.0)
Up to Schooling	47	51	47	145 (48.3)
Above Schooling	38	09	15	62 (20.7)
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	<b>300</b>

*Source: Primary Data*

*Note: Figures in brackets are respective percentages.*

**Table 2- Women GP Member's Perception on Enhancement of their Social Capabilities**

Type of empowerment	Perception	No.	%	Total
a. Social Relationship	It has improved	208	69.3	300
	It has remained the same	52	17.3	300
	Can't Say/ No response	40	13.3	300
b. Professional and Technical Skills	It has improved	183	61.0	300
	It has remained the same	77	25.7	300
	Can't Say/ No response	40	13.3	300
c. Role in decision about self	It has improved	146	48.7	300
	It has remained the same	107	35.7	300
	Can't Say/ No response	47	15.7	300
d. Role in Decision Related to General good	I get to participate more than before	138	46.0	300
	I get to participate as much as before	106	35.3	300
	I get to participate less than before	14	4.7	300
	I continue to be key decision maker in family	16	5.3	300
	Can't Say/ No response	26	8.7	300
e. Role in financial decisions	I get to participate more than before	152	50.7	300
	I get to participate as much as before	103	34.3	300
	I get to participate less than before	08	2.7	300
	I continue to be key decision maker in family	13	4.3	300
	Can't Say/ No response	24	8.0	300
f. Confident in dealing with people/ institutions	More confident	139	46.3	300
	As confident	107	35.7	300
	Less confident	08	2.7	300
	Don't deal with any	17	5.7	300
	No response	29	9.7	300

*Source: Primary Data*

**Table:3- Women GP Member's Participation at Gross root Level**

<b>Participation</b>	<b>Frequency</b>	<b>No.</b>	<b>%</b>	<b>Total</b>
a. Weekly/Monthly/ quarterly GP meetings	Yes, Regularly	207	69.0	300
	Yes, when I have Time	31	10.3	300
	No/ No response	62	20.7	300
b. Meeting with local bank branches	Yes, Regularly	107	35.7	300
	Yes, when I have Time	155	51.7	300
	No/ No response	38	12.7	300
c. Meeting with partner NGOs, SHGs, SHPIs etc.	Yes, Regularly	102	34.0	300
	Yes, when I have Time	167	55.7	300
	No/ No response	31	10.3	300
d. Meeting with Village's Women	Yes, Regularly	213	71.0	300
	Yes, when I have Time	67	22.3	300
	No/ No response	20	6.7	300
e. Meeting with Aanganbadi, Asha, ANM workers etc.	Yes, Regularly	198	66.0	300
	Yes, when I have Time	58	19.3	300
	No/ No response	44	14.7	300
f. Participation in Pulse Polio Divas	Yes, Regularly	211	70.3	300
	Yes, when I have Time	24	8.0	300
	No/ No response	65	21.7	300
h. Participation in Swachha Bharat Abhiyan	Yes, Regularly	176	58.7	300
	Yes, when I have Time	84	28.0	300
	No/ No response	40	13.3	300
h. Participation in School Chalo Abhiyan	Yes, Regularly	41	13.7	300
	Yes, when I have Time	162	54.0	300
	No/ No response	97	32.3	300
<b>Total</b>		<b>300</b>	<b>100</b>	<b>300</b>

*Source: Primary Data*

**Table: 4. Changing Dimensions of Awareness about Panchayat Raj Institution**

Activity	Involvement	Pre-GP Membership Period		Post-GP Membership Period		Change	
		N	%	N	%	N	% increase in total
a. Know about three-tier system of Panchayats	Yes	72	24.0	171	57.0	(+) 99	(+) 33.0
	No	152	50.7	106	35.3	(-) 46	(-) 15.3
b. Know about the name of their constituency	No Response	76	25.3	23	7.7	(-) 53	(-) 17.7
	Yes	162	54.0	254	84.7	(+) 92	(+) 30.7
c. Know the name/ number of their GP	No	82	27.3	41	13.7	(-) 41	(-) 13.7
	No Response	56	18.7	5	1.6	(-) 51	(-) 17.0
d. Know about their development Block	Yes	159	53.0	264	88.0	(+) 105	(+) 35.0
	No	126	42.0	6	2.0	(-) 120	(-) 40.0
e. Know about their Zilla Panchayat	No Response	15	5.0	30	10.0	(+) 15	(+) 5.0
	Yes	147	49.0	211	70.3	(+) 64	(+) 21.3
f. Know about the functioning of PRIs	No	86	28.7	59	19.7	(-) 27	(-) 9.0
	No Response	67	22.3	30	10.0	(-) 37	(-) 12.3
g. Know about account books maintained by GP	Yes	15	5.0	167	55.7	(+) 152	(+) 50.7
	No	241	80.3	124	41.3	(-) 117	(-) 39.0
h. Know about audit system of GP account books	No Response	44	14.7	9	3.0	(-) 35	(-) 11.7
	Yes	90	30.0	192	64.0	(+) 102	(+) 34.0
TOTAL -	No	101	33.7	72	24.0	(-) 29	(-) 9.7
	No Response	109	36.3	36	12.0	(-) 73	(-) 24.3
TOTAL -	Yes	06	2.0	53	17.7	(+) 47	(+) 15.7
	No	267	89.0	220	73.3	(-) 47	(-) 15.7
TOTAL -	No Response	27	9.0	27	9.0	00	0.0
	Yes	00	0.0	31	10.3	(+) 31	(+) 10.3
TOTAL -	No	284	94.7	253	84.3	(-) 31	(-) 10.3
	No Response	16	5.3	16	5.3	00	0.0
TOTAL -		300	100	300	100	300	100

Source: Primary Data

**Table: 5. Changing Dimensions of Awareness about Health and Hygiene**

Activity	Involvement	Pre-GP Membership Period		Post-GP Membership Period		Change	
		N	%	N	%	N	% increase in total
a. Family Planning Methods	Yes	72	24.0	171	57.0	(+) 99	(+) 33.0
	No	152	50.7	106	35.3	(-) 46	(-) 15.3
b. Washing Hands before eating/ cooking	No Response	76	25.3	23	7.7	(-) 53	(-) 17.7
	Yes	162	54.0	254	84.7	(+) 92	(+) 30.7
	No	82	27.3	41	13.7	(-) 41	(-) 13.7
	No Response	56	18.7	5	1.6	(-) 51	(-) 17.0
c. Child's Vaccination	Yes	159	53.0	264	88.0	(+) 105	(+) 35.0
	No	126	42.0	6	2.0	(-) 120	(-) 40.0
	No Response	15	5.0	30	10.0	(+) 15	(+) 5.0
	Yes	147	49.0	211	70.3	(+) 64	(+) 21.3
d. Not Allowing Water & dirt to Stagnant	No	86	28.7	59	19.7	(-) 27	(-) 9.0
	No Response	67	22.3	30	10.0	(-) 37	(-) 12.3
	Yes	15	5.0	167	55.7	(+) 152	(+) 50.7
	No	241	80.3	124	41.3	(-) 117	(-) 39.0
e. Using toilets at Home	No Response	44	14.7	9	3.0	(-) 35	(-) 11.7
	Yes	90	30.0	192	64.0	(+) 102	(+) 34.0
	No	101	33.7	72	24.0	(-) 29	(-) 9.7
	No Response	109	36.3	36	12.0	(-) 73	(-) 24.3
TOTAL -		300	100	300	100	300	100

Source: Primary Data

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## **Fiscal Decentralization and Panchayati Raj Institutions in Odisha: An Overview of State Finance Commissions**

**Chandra Shekhar Jena**

### **Introduction**

Local governance structures represent the institutional mechanism to provide for and promote democratic decentralization at the grassroots level. Article 40 of Indian Constitution recognizes the importance of village panchayats and enjoins upon the State to take steps to organize village panchayats and endow them with powers and authority as may be necessary to enable them to function as units of self-government. The Balwant Rai Mehta Committee constituted for examining the Community Development Projects and National Extension Service recommended the 'early establishment of statutory elective local bodies and devolution to them of the necessary resources, power and authority'. As a matter of fact, the Panchayati Raj Institutions (PRI) established subsequently did not have the statutory backing and therefore, suffered gradual decline in all states.

The Ashok Mehta Committee Report 1978 categorized the growth of PRIs into three phases: phase of ascendancy (1959-1964); phase of stagnation (1965-1969) and the phase of decline (1969-1971). Thus, democratic decentralization beyond the state level suffered a major setback with the decline of PRIs after 1970s. However, the 73rd Constitution Amendment Act revived the PRIs and gave these bodies a constitutional sanction with adequate provision for functions, functionaries and funds. It is worthwhile now to assess their implementation.

Decentralization has been a global trend and this has been more significant for the developing countries of Asia, Africa and Latin America. These countries are embracing decentralization for political stability and more effective and efficient service delivery. This has an add-on objective of deepening democracy, especially in countries like India.



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Decentralization is the transfer of political, administrative and fiscal responsibilities to locally elected bodies in urban and rural areas and the empowerment of communities to exert control over these bodies. Democratic decentralization can be meaningful if the three dimensions of decentralization - political, administrative and fiscal are mutually co-existing. Political decentralization has been a relative success in India whereas the other dimensions are not commensurate with it, due to which PRIs are yet to function as effective units of self-government.

Fiscal decentralization is of critical significance to the effective functioning of PRIs in India. Fiscal decentralization accords substantial budget autonomy to intermediate and local governments. The autonomy includes the means to generate substantial revenues internally, and effective control of expenditures made with these revenues and with transfers from state government and central government. The issues underlying fiscal decentralization relate to the following queries:

- a) What is the degree of revenue autonomy of panchayats - can they raise their own tax and non-tax revenues?
- b) How dependent are PRIs on fiscal transfers from state governments?

- c) How much discretion do PRIs have in expenditures - from own revenues as well as from transfers?
- d) Are PRIs authorized to raise funds from other sources such as banks?
- e) Is there a clear transparent inter-governmental fiscal formula for transfers to each PRI level?

### **73rd Constitutional Amendment**

The 73rd Constitutional Amendment, 1992 has given panchayats not only the constitutional protection, but a new meaning and a fresh lease of life. Its implications vis-a-vis democratic decentralization are as follows:

- a. Article 243G defines panchayats as institutions of self-government meaning that they have the autonomy and power to govern in an exclusive area of jurisdiction.
- b. The state government shall constitute State Finance Commission, which will review the financial position and recommend the principles for fund devolution on PRIs and the distribution of funds between the State Government and the PRIs.
- c. The amendment defines the role of panchayats as instruments of economic development and

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social justice. Earlier there was confusion about the role of panchayats. Now this categorical provision through the amendment is significant.

- d. The amendment provides for the reservation of one-third seats and posts of chairpersons for women.
- e. It requires the state governments to hold panchayat elections through the State Election Commission at regular intervals of five years. If a state government dissolves a panchayat before the expiry of its full term, it is mandatory on the part of the State Government concerned to hold election within six months from the date of dissolution.
- f. The amendment mandates political decentralization, leaving issues of design and implementation on sectoral, administrative and fiscal aspects to the states.

The major objective of the 73rd Amendment to the Constitution is to empower the Gram Panchayats as units of self-government and to transfer functions carried out by state governments.

In terms of the 73rd amendment and the 11th Schedule, the Government of Odisha in Panchayati Raj Department has issued a Circular

on 4.7.2003, in which they have devolved some specific functions and provided functionaries to PRIs for implementation of development activities in (i) Agriculture Department (ii) Co-operation Department (iii) School and Mass Education Department (iv) Food Supplies and Consumer Welfare Department (v) S.T. and S.C. Development Department (vi) Health and Family Welfare Department (vii) Women and Child Development Department (viii) Fisheries and Animal Resources Development Department (ix) Rural Development Department (x) Panchayati Raj Department and (xi) Water Resources Department (Minor Irrigation up to ayacut of 100 acres.)

In all these areas the district level functionaries and lower level functionaries have been made accountable to the Zilla Parishad, Panchayat Samiti and Gram Panchayats for the development of certain activities in these departments. Job Assessment Reports of these officials submitted to the higher government functionaries by the President, Zilla Parishad and Chairpersons of the Panchayat Samiti are required to be given due weight. They are also authorized to write to the higher authorities about indiscipline, irregular attendance and other shortcomings of these officials. It is thus an attempt to provide the PRIs with both developmental functions

and administrative powers over government officials working at the District, Sub-division, Block and Panchayat levels.

#### State Finance Commissions (SFCs)

The 73rd Constitutional Amendment mandates the constitution of State Finance Commissions (SFCs) and accordingly state governments have set up their respective Finance Commissions.

The terms of reference of the SFCs relating to PRIs are as follows:

- a) To review the financial position of the Panchayats and to make recommendations about the principles governing:
  - i. the distribution between the State and the Panchayats of the net proceeds of taxes, duties, tolls and fees leviable by the State;
  - ii. the determination of the taxes, duties, tolls and fees which may be assigned to or appropriated by the Panchayats;

iii. the grant-in-aid to Panchayats from the Consolidated Fund of the State.

- b) To review the measures needed to improve the financial position of the Panchayats.

According to the provisions of 73rd Amendment Act, State Finance Commissions (SFCs) are being constituted in Odisha every five years to recommend transfer of funds and such measures as to strengthen the local bodies with a view of making self-governance effective. The First SFC was constituted on 21.9.1996; but it could not complete the work assigned to it. Hence the Commission was reconstituted by the Government on 24.8.1998 with Dr Baidyanath Mishra as Chairman. It submitted its Report to the Governor on 30.12.1998. The Cabinet approved the Report on 03.02.1999 and it was presented to the Orissa Legislative Assembly on 09.7.1999. The devolution of funds to PRIs as per recommendation of First State Finance Commission is given in Table-1 below.

**Table1: Devolution of funds to PRIs as per recommendation of 1st State Finance Commission**

(Rupees in crore)

Proposed Grant	1998-99 (Actual)		1999-00 (Actual)		2000-01 (Actual)		2001-02 (Actual)		2002-03 (Actual)	
	Recomm ended	Actual	Recomm ended	Actual	Recomm ended	Actual	Recomm ended	Actual	Recomm ended	Actual
Kendu leaf grant	22.91	10.5	22.91	10.02	22.91	22.91	22.91	22.91	22.91	22.91
Land Cess	9.14	3.15	9.14	3.59	9.14	9.14	9.14	7.64	9.14	9.14

Minor Forest Product	2	0	2	0	2	2	2	0	2	0
Sairat	1	0	1	0	1	1	1	1	1	1
Entertainment Tax	0.13	0	0.13	0	0.13	0	0.13	0	0.13	0
Total P.R. Dept.	35.18	13.65	35.18	13.61	35.18	35.05	35.18	31.55	35.18	33.05

*Source: Report of the Second State Finance Commission, Finance Department, Government of Odisha*

The 2nd SFC was constituted on 05.06.2003 under the Chairmanship of Sri Trilochan Kanungo and the Report of the Commission was submitted to the Governor on 29.09.2004. The

breakup of the financial transfer to local bodies and the actual release by the Government is given below (Table-2).

**Table 2: Financial Transfer to Local Bodies Recommended by 2nd SFC and Actual Release by Government of Odisha**

(Rs in crore)

Types of Transfer	Recommendations of the 2 <sup>nd</sup> SFC			Release of Funds from State Govt's Own Tax Revenue		
	PRIs	ULBs	Total	PRIs	ULBs	Total
Devolution		847.32	211.83	1059.15	--	--
Compensation & Assignment		--	--	--	120.93	1074.26
Grants-in -Aid		610.98	246.37	857.35	178.51	106.98
<b>Total</b>		<b>1458.30</b> (76)	<b>458.20</b> (24)	<b>1916.50</b> (100)	<b>299.44</b> (20)	<b>1181.24</b> (80)
Salary		684.92	21.47	706.39	684.92	21.47
<b>Grand Total</b>		<b>2143.22</b> (81.7)	<b>479.67</b> (19.3)	<b>2622.89</b> (100)	<b>984.36</b> (45)	<b>1202.71</b> (55)

*Figure in parentheses are percentages.*

*Source: Report of the 2nd SFC, Finance Department, Govt. of Odisha*

As shown in the Table-2 above, the 2nd SFC recommended transfer of 10% of the State's average gross tax revenue to the local bodies during the period from 2005 to 2010 and the amount to be transferred was of Rs 1916.5 crore (Rs 1458.3 crore for rural

local bodies and Rs 458.2crore for urban bodies). The actual release by the State government from its own tax revenue during the period amounted to Rs 2187.07crore, which included Rs 984.36crore for rural local bodies and Rs 1202.71crore for ULBs.

The Table-2 also shows that no fund was released to the local bodies under devolution head though the SFC had recommended Rs 1059.15 crore for the purpose. However, the Government transferred Rs 907.00 crore received under the 12th Finance Commission grant on that account.

The SFC was silent about compensation and assignment to local bodies. But the Government transferred for the purpose a sum of Rs 1195.19 crore to local bodies (Rs120.93 to rural local bodies and the rest to ULBs).

It has been found that majority of recommendations of the SFC has not been implemented. These include the recommendations such as empowering the Gram Panchayats to levy and collect capital/property transfer fee on sale or exchange of any property; to impose a family welfare cess

collectable on 3rd and subsequent child; to impose and collect a pisciculture cess from private owners, lease holders, etc. for carrying out pisciculture activities; to levy a local body health fee on private hospitals, nursing home within its jurisdiction; to impose education, environment and healthcare cess to be collected and distributed among local bodies by the government in case of major and medium industries and by Gram Panchayats in case of small village and cottage industries for their own appropriation.

The 3rd SFC was constituted on 10.09.2008 under the Chairmanship of Prof. Sudhakar Panda. The Commission submitted its Report in January 2010. The breakup of the financial transfer to local bodies and the actual release by the Government is given below (Table-3).

**Table 3: Financial Transfer to Local Bodies Recommended by 3rd SFC and Actual Release by Government of Odisha**

(Rs in crore)

Types of Transfer	Recommendations of the 2 <sup>nd</sup> SFC			Release of Funds from State Govt's Own Tax Revenue		
	PRI's	ULBs	Total	PRI's	ULBs	Total
Devolution	3360.64	1120.21	4480.85	906.45	241.84	1148.29
Compensation & Assignment	0.00	0.00	0.00	175.04	2022.22	2197.26
Grants-in -Aid	2224.45	421.10	2645.65	836.66	116.04	952.70
<b>Total</b>	<b>5585.19</b> (78.4)	<b>1541.31</b> (21.6)	<b>7126.5</b> (100)	<b>1918.15</b> (44.6)	<b>2380.10</b> (55.4)	<b>4298.25</b> (100)
Salary	1201.99	27.32	1229.31	1201.99	27.32	1229.31
<b>Grand Total</b>	<b>6787.18</b> (81.2)	<b>1568.63</b> (19.8)	<b>8355.81</b> (100)	<b>3120.14</b> (56.4)	<b>2407.42</b> (43.6)	<b>5527.56</b> (100)

*Figure in parentheses are percentages.*

*Source: Report of the 3rd SFC, Finance Department, Govt. of Odisha*

As the Table-3 above shows, the 3rd SFC recommended transfer of Rs 7126.5 crore to the local bodies during the period from 2010 to 2015, out of which Rs 5585.19 crore was to be received by the PRIs and Rs1541.31crore by the ULBs. It also recommended additional transfer towards staff salaries, honorarium of elected representatives, etc. of PRIs. However the total release by the government including salaries and honorarium was Rs 3120.14 crore to PRIs and Rs 2407.42 crore to ULBs.

The 13th Finance Commission earmarked Rs 3270.90 crore for devolution during the period even though the 3rd SFC requested for reimbursement of the devolution amount of Rs 4480.85 crore to augment the Consolidated Fund of the State. The State Government accepted the recommendations of SFC and released Rs 4480.85 crore as devolution.

The 3rd SFC reiterated many of the recommendations of the previous Commission as those were not implemented or partially implemented. Some other recommendations include: ownership of Gram Panchayats and Gram Sabhas over minor forest production to be clearly defined; Kendu leaf grants to be enhanced from Rs 10 crore to Rs 20 crore per annum; transfer of funds collected under building and other construction workers (Regulation of Implementation and Conditions of Service) Act,1996 to PRIs and ULBs; transfer of the control of village markets from RMC to GPs; empowering Gram Panchayats and ULBs to impose taxes like panchayat tax, advertisement tax, permit fees from factories and licence fees from shops. These recommendations have not been complied by the Government.

The SFC's transfer to local bodies from 2008-09 to 2012-13 is given below (Table-4).

**Table 4: Transfer to Local Bodies**

(Rs in crore)

Year	State's own Tax Revenue	SFC's Total Transfer to PRIs	SFC's Total transfer to ULBs	Total SFC's transfer to PRIs & ULBs
1	2	3	4	5
2008-09	7995.2	242.35 (3.03)	282.02 (3.53)	534.37 (5.56)
2009-10	8282.34	286.11 (3.54)	295.45 (3.57)	581.56 (7.01)
2010-11	11192.66	329.99 (2.95)	318.78 (2.85)	648.77 (5.80)
2011-12	13442.77	686.29 (5.11)	393.11 (2.92)	1079.40 (8.03)
2012-13	15034.14	707.72 (4.71)	423.2 (2.81)	1130.92 (7.52)

*Note: Figures in parentheses represent percentage of own tax revenue.*

*Sources- Budget documents for relevant years.*

It may be observed in the Table-4 above that the transfer under SFC recommendation was skewed in favour of ULBs till 2009-10 as they received larger amount than PRIs. However, this trend was reversed from 2010-11 onwards.

#### **Fourth State Finance Commission**

The Fourth Finance Commission was constituted under the chairmanship of Mr. Chinmay Basu. It submitted its Report in February 2015.

Important recommendations of the Commission include:

- a) To limit the total transfer to local bodies within 10% of net divisible pool of state taxes projected for the award period from 2015-20,
- b) 3% of the net tax revenue during the period is to be devolved and distributed between the PRIs and ULBs in the ratio of 75:25. This fund should be used as per the own priority and decision of the local bodies,
- c) To allocate an additional amount of 20% to the Panchayats under Tribal Sub Plan areas out of total devolution,
- d) Inter se distribution of devolution amongst the three tiers of PRIs is to be in the ratio of 75:20:05,

- e) To exclude entry tax, entertainment tax and motor vehicle tax from the shareable pool and to assign a part of these taxes to the local bodies directly,
- f) Discontinuance of assignment like kendu leaf, cess, sairat, minor forest produces, etc. for rural areas,
- g) The entry tax revenue should be assigned to both PRIs and ULBs,
- h) Grants-in-aid to meet the fund requirement partly and fully for the selected focus areas.

The Commission recommended total transfer of Rs 25325.03 crore out of which Rs 12740.08 crore is from the State's taxes and Consolidated Fund. The broad break up of recommendations is as follows.

1. Devolution --Rs3291.85 crore
2. Assignment of Taxes --Rs6530.50 crore
3. Sector-specific needs (Grants-in-aid) --Rs15502.68 crore

Further, the Commission recommended to the 14th Finance Commission to consider augmenting the State's Consolidated Fund to meet the balance requirement of Rs 12584.95 crore during the period to supplement the resources of local bodies.

**Table 5: Transfer to Local Bodies recommended for the period 2015-20(from State Resources)**

(Rs in crore)

Distribution Mechanism	2015-16	2016-17	2017-18	2018-19	2019-20	2015-20
<b>a) DEVOLUTION</b>						
i.PRIs	493.77	493.77	493.77	493.77	493.77	2468.85
ii.ULBs	164.60	164.60	164.60	164.60	164.60	823.00
<b>TOTAL</b>	<b>658.37</b>	<b>658.37</b>	<b>658.37</b>	<b>658.37</b>	<b>658.37</b>	<b>3291.85</b>
<b>b) ASSIGNMENT OF TAXES</b>						
i.PRIs	438.31	539.60	620.16	672.84	730.79	3001.70
ii.ULBs	540.00	779.24	857.16	3528.80		
<b>TOTAL</b>	<b>978.31</b>	<b>1183.60</b>	<b>1328.56</b>	<b>1452.08</b>	<b>1587.95</b>	<b>6530.50</b>
<b>c) GRANTS-IN-AID</b>						
i.PRIs	290.05	368.43	455.12	539.20	581.72	2234.52
ii.ULBs	59.61	180.48	184.08	683.21		
<b>TOTAL</b>	<b>349.66</b>	<b>448.91</b>	<b>633.22</b>	<b>720.14</b>	<b>765.80</b>	<b>2917.73</b>
i.PRIs	1222.13	1401.80	1569.05	1705.81	1806.28	7705.07
ii.ULBs	224.21	245.08	342.70	345.54	348.68	1506.21
<b>GRAND TOTAL</b>	<b>1986.34</b>	<b>2290.88</b>	<b>2620.15</b>	<b>2830.59</b>	<b>3012.12</b>	<b>12740.08</b>

Source: Report of the 4th SFC, Finance Department, Government of Odisha

One of the notable non-financial recommendations is that administrative powers of officials, engineers and other technical functionaries to the local bodies should be enhanced at least two times to facilitate undertaking routine works locally without sending estimates upwards for approval.

The State Government decided to accept the principles underlying the recommendations and to transfer a total sum of Rs12792.77 crore from its own resources. Out of this amount, the PRIs are to receive Rs 7379.30 crore and the ULBs are to receive Rs 5413.47

crore during the 5-year period. So far as transfer to PRIs is concerned, the broad breakup is as follows:

**A. Devolution:**

- i. Gram Panchayats: Rs1852.95crore
- ii. Panchayat Samities : Rs498.15crore
- iii. Zilla Parishads : Rs117.75crore
- Total devolution : Rs2468.85crore

**B. Assignment of Taxes**

: Rs2675.93crore



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### C. Grants-in-Aid

: Rs2234.52crore

**Grand Total to PRIs  
: Rs7379.30crore**

However, Government decided against the recommendation of allowing local bodies to levy and collect Entertainment Tax and continued with the earlier practice. The levy of property tax recommended by the 2nd SFC has not yet been acted upon. Similarly, markets recommended to be transferred from the RMC back to Gram Panchayats have not been implemented.

Meanwhile, on 05.05.2019 the Government has appointed the 5th State Finance Commission under the Chairmanship of Mr. Rabinarayan Senapati to make recommendations on financial devolution to local bodies for the period from 2020 to 2025, as per the requirement of the 73rd Amendment Act. The action taken by the Government in respect of the 4th SFC recommendations would be ascertained after the report is submitted.

#### **Observations:**

While political decentralization has been commendable in most of the states, including Odisha, fiscal decentralization is still far from being a

reality. The indicators of fiscal decentralization show a discouraging trend. First, the fiscal autonomy, i.e., the share of local revenue from own sources in total income is very low. Second, revenue dependency, i.e. share of grants from higher level governments in total income is high in case of PRIs. Third, revenue decentralization, i.e. ratio of local revenue from own sources to total state government revenue is low. Fourth, expenditure decentralization, i.e., ratio of total local expenditure to state government expenditure is increasing only slightly. Overall, there is only minimal fiscal decentralization even 25years after the 73rdAmendment and four SFC recommendations.

Article 243G of the Constitution enjoins upon the state legislatures to bestow, by law, such powers and authorities on Panchayats “as may be necessary to enable them to function as institutions of self-government”. Though the Article conceives PRIs as institutions of self- governance, it leaves the extent of devolution of powers and functions to the wisdom and discretion of the state legislatures.

The conformity legislations of most of the states have not significantly altered the functional domain of PRIs. The 73rd Amendment stipulates the transfer of powers and functions to PRIs as part of the decentralization process. The state governments were

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supposed to transfer 29 subjects listed in the Eleventh Schedule of the Constitution. While states like Assam, Chhattisgarh, Karnataka, and Tamil Nadu have transferred 29 subjects, others have variations. Odisha has transferred 25 functions to panchayats, but so far as funds and functionaries are concerned, it is in respect of 5 and 21 departments/subjects respectively. In other words, the mandatory provisions of the 73rd Amendment are yet to be implemented in letter and spirit by Odisha and several other states and union territories.

The Fourteenth Finance Commission marks a significant step towards greater fiscal decentralization, but the devolution process has not benefitted the lowest level of governance structures in most of the states. A large part of the funds allocated are being apportioned by state governments.

As noted by the 4th SFC, there is an apparent trust deficit in the Government-PRIs relationship for which the recommendations of the Commissions are not being fully implemented. "It was not easy for the departments to switch over to a new system of governance, needed particularly at the cutting edge level. PRIs were seen more as independent elected bodies, not having any allegiance to any line department and amenable to the commands of its hierarchical structure. There was a lot

of skepticism, unwillingness and even resistance to place functionaries at the disposal of PRIs and the same system still continues; departments are averse to lose control over functionaries and financial management.

Another important observation of the 4th SFC relates to the dominant role of the District Rural Development Agency (DRDA). It has emerged as a powerful parasite. All the centrally sponsored schemes/programmes are routed through it. But the Government of India is yet to disband it. After 73rd Amendment, the State Government made efforts to develop a functional relationship between DRDA and Zilla Parishad such that both could oversee development administration in the district. It suggested that the dichotomy in the way of empowerment of PRIs will come to an end if the DRDA is dissolved and its office merges in Zilla Parishad.

With regard to activity mapping of the departments, it has been observed that most of the departments devolved non-specific peripheral functions to the PRIs. Proper devolution of functions is possible only when detailed activity mapping for each aspect of a scheme is chalked out. The Commission felt that the guidelines of most of the centrally sponsored schemes should mandatorily entrust implementation responsibility to PRIs with full departmental support.

Further, it is observed by the Commission that empowerment of different tiers of PRIs is lopsided. Block Panchayats have evolved as the most powerful centres among the PRIs. The Zilla Parishads are virtually defunct without power, responsibility and finance. Gram panchayats too are quite ineffective due to lack of suitable infrastructure, appropriate manpower and adequate finance. Gram Panchayats, because of their close proximity to the people need to be empowered more than the other tiers of PRIs.

Under the circumstances, it would be in the fitness of things to suggest that the Centre should legislate schemes or laws over the matter of devolution of powers and responsibilities with finances to PRIs and in a manner so that state governments would be forced to comply. The state governments are required to devolve more to make PRIs robust and meaningful agencies of democracy and development.

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The Local Government Quarterly invites contributions in the form of articles and research papers from its readers and well-wishers.

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## Book Review

### **Waste of a Nation-Garbage and Growth in India**

by Assa Doron & Robin Jeffrey

First edition, 2018,

Published by

Harvard University Press,

ISBN9780674980600. 330 pages.

*The Wealth of Nations of Adam Smith was published in 1776 which made fundamental contribution to classical economics in forming many of its principles. Its main title was An Inquiry into the Nature and Causes of the Wealth of Nations. The book under review has title with similar style – Waste of a Nation- Garbage and Growth in India. The former book reflected upon the motive behind every professional or tradesman or businessman to engage in his line of activity, which is to make a living out of it. It had reflected upon topics such as division of labour, productivity, free trade, and had built a theory as to what goes into nations becoming wealthy. The latter book reflects upon the spread of waste in India, its consequences, people deriving their livelihoods from wastes and garbage and India's thrust on waste management. Published by a leading university in the world, the*

book has received wholesome comments from across various quarters. To quote a comment cited on the back cover- “Through rigorous empirical analysis and an erudite narrative, Doron and Jeffrey have crafted an engaging commentary on India's struggles with waste management. Shashi Tharoor.” Like Adam Smith's book, this book poses a question in the beginning and proceeds with an inquiry, discussing the issue at hand threadbare and comes to conclusions.

Introduction of the book reflects upon some painful social reality of Indian culture relating to the caste system under which it has been fate of certain castes to engage in disposal of filth to make living. India's enlightened Constitution prohibits discriminatory practices, but fate of those working in sanitation and sewage disposal does not appear to be bright unless special attention is paid to their safety and welfare and stigma around the sanitation work is removed. Waste is a too general a term. The authors point out that India has classified waste as solid waste and other categories of wastes which require special treatment namely, medical waste, construction and demolition waste, and hazardous waste. According to them sewage is altogether a different category which raises charged feelings of revulsion. Praising India's thrust in the form of *Swachh Bharat* they say that among



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other things, it requires suppression of prejudices based on caste. The authors have referred to various experiences of crisis created on account of failure to properly manage waste in India and in Europe, which had disastrous consequences of epidemics in the past. Plague and Koch's disease are examples how lack of sanitation can wreak havoc. In India this had led to establishment of sanatoriums across India, but the fundamental cause did not receive due attention.

Florence Nightingale (1820-1910) gave birth to nursing. Her equally significant contribution was to draw the attention of government towards sanitation. On her showing the plight of army men suffering from diseases that the Sanitary Commission was set up in 1963 in India for improved conditions in and around army barracks. Despite being a mandatory duty of the urban local bodies, garbage keeps on mounting and harming the people in one form or the other. Recently, dumpsites of wastes in India are making news for various reasons. The authors refer to the *Waste Atlas* which identifies the world's 50 biggest dumpsites, seventeen of which are in Asia and only the Deonar and Ghazipur sites from India figure in them. The authors say that these are (i.e. Indian dumpsites) neither biggest nor the worst, i.e. India is facing the same challenges in waste management as other countries are facing. Approach

of the authors in writing the book is empirical and analytical. Larger the population larger the management issues and larger the waste. The authors have discussed growth of population of India from the beginning of the 20th century covering various Indian practices that contribute to waste in various forms, growth of urbanization and various estimates of annual urban waste generation in India from 2008 to 2016.

The chapter *Sewage and Society* begins with a painful account of pitiable state of sanitation workers particularly those engaged in sewage disposal exclusively from the castes destined to work in waste. At the same time they undertake a review of various movements and writings to ameliorate the conditions of these victims of prejudice and fate. In 1993 India passed the Employment of Manual Scavengers and Construction of Dry Latrines (Prohibition) Act and 2013 the Prohibition of Employment as Manual Scavengers and Their Rehabilitation Act. Citing deficiency of the implementation of the Act, the authors quote from Census 2011 that 8 lakh households had latrines cleaned by human hands. The authors express pain on the fate of manual scavengers - "*Caste complicates efforts to deal with human waste... millions of people are presented with the idea that groups designated by their birth are the appropriate people to carry away*

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*human waste .... For the orthodox such ideas are justified by doctrines of merit, duty and rebirth; for the less orthodox the widespread practice is passed on routinely from one generation to the next.*" Wastes in India are not limited to cities and villages, but have contaminated its precious water resources. Authors cite a statement made in Indian Parliament that *"nearly 37,000 million litres per day of untreated sewage water flows into rivers across the country, which makes "Indian river systems are also its sewers"*. Authors have quoted various other figures, but the fact which the authors miss is that across India from the local rivers up to the Ganges plans are afoot everywhere to bring down the level of untreated sewage going into rivers and things are improving, albeit gradually.

The fourth chapter- Recycling and Value- dwells upon how a whole range of solid wastes are resources for the value left in them and provide source of livelihood to hundreds of thousands of rag pickers and others involved in handling the waste. In the lucid words of the authors - *"the characteristics of thrown-away things are the keys to unlocking new value."* They have discussed wastes in various forms to include ship breaking industry in Gujarat, thrown away things, paper, glass, clothes, plastic, metal waste, human hair, the whole range of e-waste. *Kabaadi wala* is a central figure in this

chain. Photos taken by the authors and reproduced in this chapter are tell-tale of many things including faces of poverty and spirit of enterprising poor people to eke out a living against everything unhygienic to bring into practice the gleefully quoted maxim of *reduce, recycle and reuse*. Description of collection and handling of various forms of wastes with interviews of the people involved speak many things - an oft quoted statement that there is nothing as waste and that waste is a resource in some form or another. An inescapable feature of waste and handling of waste in India is the pitiable lives of children, women, youth and men living off scrap.

Technology is the chief vehicle for solving problems. The chapter on *Technology and Imperfection* discusses the Swachh Bharat Mission launched by Indian Prime Minister in 2014 and various technologies adopted and tried in India. Dumping the city waste has been an age-old practice. A landmark in solid waste management in India has been a petition moved in the Supreme Court by a lady from Bengaluru (Almitra Patel) urging for systematic disposal of solid waste. This resulted in the formulation of the Solid Management Rules, 2003 by the Government of India, later revised in 2016. The rules have put the existing practice on systematic approach. There is now *management* (rather than just disposal) of the waste which involves a

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chain of collection, storage, transportation and disposal, each stage requiring a safe methodology. The authors have discussed practices of solid waste management in various cities in India, adoption of various technologies for the purpose and success and limitation of these practices. The toughest thing is the disposal of sewage.

In urban India, since their inception about three hundred years ago, the municipalities are mandated with providing civic amenities and disposal of waste. In the chapter *Local Governments and Limitations* the authors have dwelt upon the history of these bodies, their working, and their limitations in terms of their powers and finances. The 74<sup>th</sup> Constitutional Amendment (1992) aimed at providing vibrancy to urban local bodies and empowered them in many respects. The authors have mentioned accounts of success stories in some cities particularly those led by people's initiatives and NGOs. These include successful turnaround in a small town of Pammal by forming an NGO. In Bengaluru founding an NGO converted urban apathy into positive urban engagement. Other success story mentioned is from Raichur (a town in Karnataka). On the other side they have pointed out apathy of administration towards the civic problem in some cities and unresolved issues in the

National Capital Region (NCR) of Delhi as a result of clash of jurisdictions of authorities.

The book has a long chapter *Occupations and Possibilities* in which role played by NGOs and companies are discussed including that of various stakeholders namely, rag pickers, *kabadiwala* (local scrap dealer), professionals, engineers, companies, facilitators. The chapter contains several stories involving individuals and organizations to focus on exemplifying positive stories and modest achievements.

Authors of books have liberty to conclude their work with their perceptions and views. On reading this book, one thing that comes to mind prominently is the authors' empathy with India's huge problem of waste and how local initiatives in some cities have brought about turnaround. They have also taken note of the thrust given to sanitation by the Prime Minister through a national mission. The authors are vocal in pointing out that India is not alone in grappling with the waste. The present advanced nations have gone through such filthy periods in the past - "*Urbanization whether in Europe, North America or Japan, has been ugly and brutal. Thousands of pigs roamed New York streets in the 1890s, and the contents of chamber pots were being thrown into the High*

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*Street in Edinburgh a hundred years. Conditions in India's worst slums recall, but are no worse than, descriptions of Manchester, Chicago, or Hamburg in the nineteenth century."*

In concluding the book the authors have also raised some issues - the issue of air pollution and open defecation both having deleterious effect on human health. Open defecation is damaging to the children of the poor, as reflected in the infant mortality and stunting of growth. In addition to the national efforts, authors say that *"people of compassion and sensitivity are to be found at all levels of society. They work in a political framework that still allows groups to organize, governments to be lobbied and orthodoxy to be questioned. Conditions improve where coalitions - waste handlers, middle-class activists, professionals, officials, politicians - devise approaches to tackle the rising tide of waste."*

The authors approached Prime Minister's office with certain questions and received reply on 20th March, 2017, which is reproduced in the Appendix. The reply is very comprehensive. The Prime Minister Shri Narendra Modi has been vocal about the state of affairs and his commitment and urgency which resulted in the launch of Swachh Bharat mission.

Social science books are very liberal when it comes to mentioning 'notes' and bibliography. These appendices occupy one hundred and six pages. It also shows the huge efforts taken by the authors and the large number of references that they drew from. Waste management is an issue of concern for us and all the efforts are on to clean up India. On this topic of the times, it is a well-researched and well written book with deep analysis and lucid narrative.

**F. B. Khan**



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## OBJECTIVES

The main emphasis of the Institute's work is to see that the local bodies can contribute more effectively to the development process and provide the citizens with better living conditions by meeting their aspirations in terms of required amenities, infrastructure and better environmental conditions, thus contributing to social and economic development of the society as a whole by better management of the human settlements. While these are the long-term objectives, the immediate ones are:

- ❖ To advance knowledge of the principles and practices of Local Government by conducting research and by organising training courses and programmes at various centres in India for officials and elected representatives in the local bodies.
- ❖ To strengthen and improve Local Government Institutions by improving their performance through education, orientation and bringing them together for common endeavor by organising specialised conferences, conventions and seminars.
- ❖ To make available a platform for members of local bodies and officials for exchange of views and ideas related to urban development and administration.
- ❖ To represent the views of local authorities supported by research work to the concerned higher authorities from time to time.
- ❖ To publish bibliographies, articles, books and other literature on matters of interest to local bodies.
- ❖ To publish journals, bulletins and other literature on different aspects of Local Government and on the working of Local bodies in different states.
- ❖ To undertake research studies in public administration, problems of local bodies and also in related topics of urban and environmental factors and arrange for their publication etc.
- ❖ To establish and maintain an information-cum-documentation service for local bodies.
- ❖ To undertake consultancy assignments in various areas of urban development and problems of local bodies with a view to improve and develop organisational, managerial and operational efficiency.

In view of the above, the Institute has been collaborating with the relevant government departments, Central and State, Universities, Organisations and Research Institutions. The work of the Institute covers several aspects involving a multi-disciplinary teamwork.

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