

# The Journal of Governance

Volume 11

July 2015



IC Centre for Governance  
NEW DELHI

The Journal of Governance  
IC Centre for Governance  
Niryat Bhawan, Rao Tula Ram Marg, New Delhi-110057

**Editorial Board**

V K Agnihotri

Mahesh Kapoor

M K Kaw

R A Mashelkar

Anil Tyagi

Prabhat Kumar – Editor

The IC Centre for Governance has been set up in with the objective of collective thinking and acting on important issues of governance. It believes that public governance is too serious a matter to be left entirely to the state and that the involvement of the Civil Society is not only desirable but also essential. The Centre seeks to strengthen the capacity of Civil Society and government for ensuring good governance.

---

# THE JOURNAL OF governance

Vol. 11

July 2015



IC Centre for Governance  
New Delhi

Opinions expressed by our contributors are not necessarily those of the IC Centre for Governance.

The Journal of Governance is printed and published by Mahesh Kapoor on behalf of the IC Centre for Governance, New Delhi-100057

Printed at Rakmo Press Pvt .Ltd. C-59, Okhla Industrial Area, Phase I, New Delhi-110020

Please address all correspondence to IC Centre for Governance at Niryat Bhawan, Rao Tula Ram Marg, New Delhi-110057  
e-mail:[iccfg@yahoo.co.in](mailto:iccfg@yahoo.co.in)

## CONTENTS

Editorial PRABHAT KUMAR	1
Ordinance Factory: Reality or Myth? VIVEK K. AGNIHOTRI	5
Improving Management of Public Expenditure <i>Evidence from India</i> ANAND P. GUPTA	23
Municipal Corporation of Greater Mumbai <i>Training on 'Ethics in Public Service'</i> PRABHAT KUMAR	47
Code of Ethics for Engineers <i>Sustainability of Public Service Organisations</i> RAJIV SACHDEVA and SUNIL KUMAR	60
Technical Education in India M. K. KAW	79
Coal Block Allocations <i>Paradise Regained</i> ANIL SWARUP	86
Making Economic Growth Subservient to Human Growth SUNIL KUMAR	93
Community Policing BHANU PRATAP SINGH	108

## INITIATIVES OF CHANGE

Crop Pest Surveillance PRABHAKAR DESHMUKH	126
--	-----

## COMMENT

Why only Coal? GURDEEP SINGH	140
Towards Environmentally-Responsible Power Generation RAJIV SACHDEVA	145

## BOOK REVIEW

Corruption and Economic Growth MAHESH KAPOOR	149
OUR CONTRIBUTORS	152

## EDITORIAL

*In theory there is no difference between theory and practice. In practice there is.*

*Yogi Berra*

Public institutions are the heartbeat of governance. They provide legitimization and sustenance to the elected government. Good governance thrives on good institutions. An institution should by definition have distinct and enduring identity which is usually supplied by the laws, regulations and embedded systems.

To deliver public services, we have a number of specific public institutions, each defined by a clear cut boundary and functions. The overall performance of the government can be judged by an aggregation of performances of these public institutions.

For many years, the ruling political coalitions and the opposition parties have been working in conjunction to distort and even destroy the institutions of governance. Successive governments have indulged in tinkering with the normal working of various institutions. In some cases, old institutions have been replaced by new and in some cases the established tradition and precedents have been disregarded. They do not realize that they are causing lasting damage to democracy in the country.

Despite clear evidence of increasing dysfunction of institutions owing to political manipulations, the bureaucrats haven't shown any impetus to change the functioning of the institutions for greater social benefit. Other impediments to change are fear of the unknown and the lack of organizational innovation.

Resurgence in public institutions is, therefore, urgently needed for good governance. We should stop this creeping erosion of credibility of public institutions in the face of organized conspiracy of denigrating them by the media, business and self styled activists. Changing the mindset of institutions is equally important.

Institution building is a fine art of governance. Most of the extant institutions owe their origin to the provisions of Constitution or to the provisions of laws enacted under the Constitution. However there are some which are not established under any statute. They have been established by resolutions of the government.

In my view, the replacement of old institutions by more mature and versatile institutions should be welcomed in a democracy. In that sense the abolition of the Planning Commission cannot be faulted. However, the only condition should be that its replacement Niti Aayog should be able to deliver better advice on strategic planning than its predecessor.

Few institutions have come up in the past on the ashes of previous institutions. What hurts is not so much the abolition of institutions but their systematic destruction by not allowing them to function normally or to make unscrupulous use of the authority entrusted to the institutions. Instances of abusing the systems of allocation of scarce assets are widely known. Recently, it was alleged that the Appointment Committee of the Cabinet was being bypassed by the PMO in making appointments to the important posts. It was further alleged that though ACC procedures require the concurrence of the concerned ministers, the Home minister and the PM, in practice, appointments were being made unilaterally by PMO.

Similarly, the recent controversy about the management of IIMs is a case in point. It is argued that the new IIM bill 2015 is being tabled in the Parliament merely to destroy the autonomy of these centers of excellence and not for improving their academic standards. Such abuse of power is not peculiar to the present day government. Successive governments in the past belonging to the different political parties and coalitions have similarly acted against public interest.

The integrity of the governance institutions has been compromised over the last six decades so much so that the design of the system itself has started lacking integrity. The integrity of the system can be compromised when the use of the system by the



user lacks integrity. So the performance of a system is conditional on the integrity of its components and the relationship between components; the ‘integrity of design’ and ‘integrity of use’.

One party government has a better opportunity to change the policy regime positively or negatively. Integrity of institutions is not a game or a PR exercise. Claiming to be integrated but not providing proof perpetuates ‘business as usual’. Words alone do not suffice. They should be willing and able to prove their commitment to responsible public service. They should be prepared to be transparent and accountable in respect of everything they do.

Another desirable attribute of an institution is Institutional Consciousness, which is different from Institutional Integrity. A combination of both is ideal for a responsible and citizen centric public service.

Conscious public service is about people who are aware of the impact their habits and actions have on their organization and their environment. Conscious institutions are run by people who know about their strengths and weaknesses, and who are ready to deliver services in a more engaging and inspiring way.

Conscious institutions inspire their employees, customers and engage them on a deeper level. Consciousness enhances their efficiency due to a dedicated and empowered workforce. They become preferred providers of services within a trusted community of citizens.

Conscious public service is no longer a theory — it is a way to work and live. It is the ethos – the values, principles, practices - which permeates the culture of the institution. In the rapidly changing 21st century, it is critical that state organizations be agile, adaptable and resilient in order to thrive. The bureaucratic, left-brain static model of the 20th century must transform to meet the demands of transparent, citizen-centric and sustainable governance.

**Prabhat Kumar**



Vivek K. Agnihotri

---

## Ordinance Factory: Reality or Myth?<sup>1</sup>

The power of the President of India to promulgate Ordinances (it is legislation by the Executive in anticipation of parliamentary approval) has been in the news of late. The opposition parties did sabre-rattling for quite some time in respect of the number of ordinances issued by the government since the prorogation of the Winter Session, 2014. The Budget Session, 2015, during the opening days of which six such ordinances were tabled by the Government in the Parliament, saw daggers being drawn out from both sides. In the end, it made no difference, as we shall see.

The Constitution of India, in Article 123, makes provision for *Legislative Powers of the President*. Going by the doctrine of Separation of Powers, as practised in parliamentary democracies of the world, particularly the commonwealth countries, this provision is quite unique. However, in another sense, it not so unprecedented; since it derives from a somewhat identical provision in the *Government of India Act, 1935*, which preceded the Constitution of independent India. The following table confirms the correspondence:

---

<sup>1</sup> Some portions of this article were published in *The Parliamentarian*, Issue Two XCIV, 2013.

**TABLE 1:****Legislative Powers of Governor-General / President of India**

<b>Government of India Act, 1935</b> <i>Chapter IV: Legislative Powers of Governor-General</i>	<b>Constitution of India, 1950</b> <b>Chapter III: Legislative Powers of the President</b>
<p><b>Section 42. Power of Governor-General to promulgate ordinances during recess of Legislature</b></p> <p>(1) If at any time when the Federal Legislature is not in session the Governor-General is satisfied that circumstances exist which render it necessary to take immediate action, he may promulgate such ordinances as circumstances appear to him to require...</p> <p style="text-align: center;">*** **</p> <p>(2) An Ordinance promulgated under this section shall continue in operation for such period not exceeding six months as may be specified therein but may by a subsequent ordinance be extended for a further period not exceeding six months.</p> <p>(3) An Ordinance promulgated under this section shall have the same force and effect as an Act of the Federal Legislature assented to by the Governor-General but every such ordinance –</p> <p style="text-align: center;">*** **</p> <p>(b) may be withdrawn at any time by the Governor-General;</p> <p style="text-align: center;">*** **</p> <p>(4) If and so far as an ordinance under this section makes any provision which the Federal Legislature would not under this Act be competent to enact, it shall be void.</p>	<p><b>Article 123. Power of President to promulgate Ordinances during recess of Parliament</b></p> <p>(1) If at any time, except when both the Houses of Parliament are in session, the President is satisfied that circumstances exist which render it necessary for him to take immediate action, he may promulgate such Ordinances as the circumstances appear to him to require.</p> <p>(2) An Ordinance promulgated under this article shall have the same force and effect as an Act of Parliament, but every such Ordinance –</p> <p>(a) shall be laid before both Houses of Parliament and shall cease to operate at the expiration of six weeks from the reassembly of Parliament, or, if before the expiration of that period resolutions disapproving it are passed by both Houses, upon the passing of the second of those resolutions; and (b) may be withdrawn at any time by the President.</p> <p style="text-align: center;">*** **</p> <p>(3) If and so far as an Ordinance under this article makes any provision which Parliament would not under this Constitution be competent to enact, it shall be void.</p>

The President may issue an Ordinance to enforce the provisions of a Bill introduced in and pending before a House or to enforce the provisions of a Bill already passed by one House but pending in the other House or an entirely new matter to be replaced subsequently by a Bill to be brought before the Houses. An Ordinance has a definite shelf-life and lapses if a Bill replacing it, with or without modification, is not passed by both the Houses of Parliament within six weeks of the reassembly of Parliament, following the issue of the Ordinance. Further, the Ordinance etiquette practised in early days of coming into force of the Constitution of India required that an Ordinance should not be issued after issue of the Summons convening a session of Parliament, if a Bill on the subject is pending in the Parliament or a Bill is ready but has not been introduced in Parliament. But these niceties have been given a go-by over time. There have been instances [including the case of the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (Amendment) Ordinance, 2015] when one of the Houses has been prorogued to enable issuing of an Ordinance, because the Constitution prescribes that an Ordinance can be issued only if both the Houses of Parliament are not in session. On the other hand, occasionally, the Parliament has reaffirmed its supremacy by either not allowing the Bill to replace the Ordinance to be passed within the prescribed time limit or adopting a motion to refer it to a Department-related Parliamentary Standing Committee / Select Committee for examination and report, thus resulting in lapsing of the Ordinance on some occasions.

The *Rules of Procedure and Conduct of Business* in the two Houses of the Indian Parliament contain identical provisions requiring that whenever a Bill seeking to replace an Ordinance is introduced in a House, there shall be placed before the House, along with the Bill, a statement explaining the circumstances which had necessitated legislation by Ordinance. Same procedure has to be followed in case of Ordinances which embody wholly or partly or with modification the provisions of a Bill pending before either of the Houses.

After the promulgation of the Ordinance any member of either House of Parliament may give notice of a Statutory Resolution

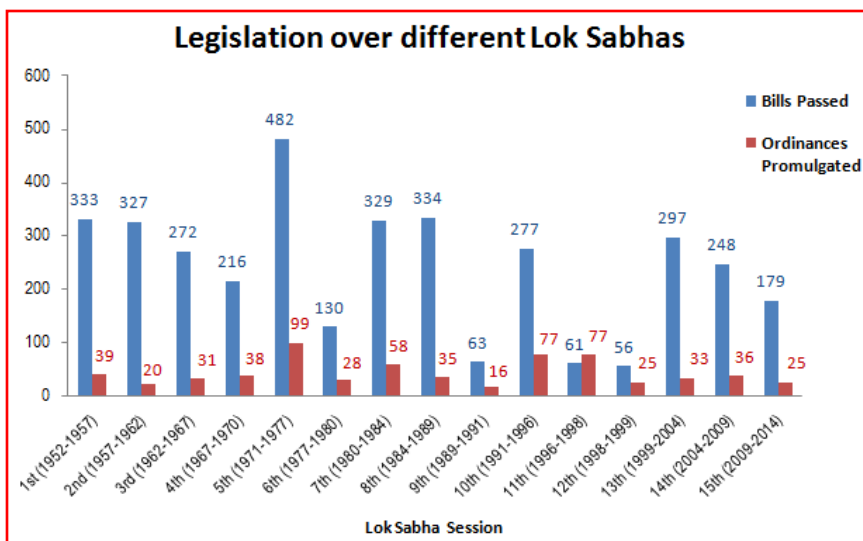
seeking disapproval of the Ordinance and, in case such a notice is admitted, the said Resolution is listed and moved before the motion for consideration of the Government Bill seeking to replace that Ordinance is moved by the concerned Minister. However, the Statutory Resolution and the Motion for consideration of the Bill are generally taken up for discussion together. After the discussion, the Resolution is put to vote of the House first, and if the Resolution is adopted, the Bill replacing the Ordinance falls through. On the other hand, if the Statutory Resolution is negatived, the Motion for consideration of the Bill is put to vote and further stages for consideration and passage of the Bill are followed as usual.

Generally speaking, a Bill replacing an Ordinance is not referred to the Department-related Parliamentary Standing Committee for examination and report, mainly on account of the fact that an Ordinance, unless replaced by a Bill passed by both the Houses of Parliament, ceases to operate on the expiry of six weeks from the reassembly of Parliament. Government priority, therefore, remains to get the Bill passed within the stipulated period. However, as stated above, there have been instances when Bills replacing Ordinances were referred to the Standing Committees or Select Committees for examination and report. A recent instance was in 2015, when in keeping with the agreement reached in the House on the previous day, the Government moved two motions to refer the Mines and Minerals (Development and Regulation) Amendment Bill, 2015 and the Coal Mines (Special Provisions) Bill, 2015 to two separate Select Committees of the Rajya Sabha, with directions to submit their reports by 18 March 2015. These Bills, after receipt of the Reports of the respective Select Committees, were passed by the Rajya Sabha on 20 March 2015, the last day of Part-I of the Budget Session, 2015.

Whenever a Bill pending before one of the Houses of Parliament, in respect of which an Ordinance has been issued, comes up for consideration, the concerned Minister proposes an amendment to the Bill inserting a new clause, known as *Repealing and Saving* clause, at the end of the Bill. Insertion of this new clause has two effects, first, it repeals the Ordinance issued on the Bill and, secondly, it validates all the acts and actions taken in pursuance of the Ordinance.

Even though the power of the President to issue Ordinances is, in the nature of things, exceptional, since the coming into existence of the Parliament of India in 1952 and till date there has been only one year (1963) when no Ordinance was issued. As a matter of fact, a large number of Ordinances have been issued in certain years: 1975 (29); 1993 (34); 1996 (32); and 1997 (31). Thus, in these years, Ordinances have had a field day, making legislative powers of the Parliament look somewhat redundant. It is further to be noted that 22 Ordinances were promulgated in January 1993; and what is more revealing, 8 Ordinances were promulgated on 27.03.1996; 7 on 02.01.1993; and 5 on 05.01.1996 and again on 20.06.1996. **ANNEXURE I** provides numerical data of Ordinances promulgated by the President (1952-2015). **ANNEXURE II** spells out instances of multiple Ordinances issued on a day. Since the beginning of the first Lok Sabha in 1952 and till April 2014, 648 Ordinances were promulgated. The graph below gives a breakdown of the number of Bills passed by each Lok Sabha since 1952, as well as the number of Ordinances promulgated during that Lok Sabha.

**Figure 1:** Comparison of Bills Passed and Ordinances promulgated during all Lok Sabhas



Courtesy: PRS Legislative Research Blog dated 21 April 2014: ‘Ordinances promulgated during different Lok Sabhas’.

A closer look at the data presented above shows that the years 1971 (Bangladesh War) and 1975 (Emergency) provided early intimations of Ordinance Raj, when more than a score of Ordinances were promulgated in each year. Actually, the 5<sup>th</sup> Lok Sabha (1971-77) was the most productive in terms of Ordinances (99). The Orwellian Year (1984) too saw a fair amount of legislation by the Executive (15). More than 70 Ordinances were promulgated during the 10<sup>th</sup> and 11<sup>th</sup> Lok Sabhas. As a matter of fact, the 1990s, as the well-known Dickensian phrase goes, were “the best of times”, (and) “the worst of times”, for Ordinances. During 11<sup>th</sup> Lok Sabha (1996-98) more Ordinances (77) were promulgated than the Bills (61) passed by the Parliament. However, During 9<sup>th</sup> Lok Sabha (1989-91) only 16 Ordinances were promulgated. Subsequently, as the Figure above demonstrates, there was a considerable slowdown in performance on the Ordinances front during the 13<sup>th</sup>, 14<sup>th</sup>, and 15<sup>th</sup> Lok Sabhas. If we go by the individual years, apart from the year 1963, when no Ordinance was promulgated, the years 1982 and 2012 too stand out when one Ordinance was promulgated during each of these two years. Further, a peek at **ANNEXURE II** brings home the fact that the period between the Winter Session and the succeeding the Budget Session has been the most fertile for promulgation of Ordinances. Is it on account of the comfortable weather or the apprehensions about the long Budget Session?

So what is the big deal in the President having promulgated 14 Ordinances so far during the first year of the 16<sup>th</sup> Lok Sabha? **ANNEXURE III** provides the particulars of Ordinances issued by the present Government during 2014 and 2015, as on 31 May 2015. There are only two issues. One, that the present Government does not have the requisite majority in the Rajya Sabha. This has been amply demonstrated at the conclusion of the discussion on the Motion of Thanks to the President’s Address to the Parliament at the beginning of the Budget Session. An amendment to the Address moved by the opposition in the Rajya Sabha was carried by 118 votes (in favour) to 57 (against). There have been only three such instances in the past, and the last time it happened was in 2001; even then the NDA was in power.



Actually, the road to legislation through the Ordinance route has not always been smooth; even though paved with good intentions. There have been instances when Ordinances have lapsed either on account of lack of consensus on the legislative matter or because the Bill to replace the Ordinance was referred to the Standing Committee or a Select Committee of one of the Houses (particularly the Rajya Sabha, which, in the nature of things, does not simultaneously reflect the majority of the new Government in the Lok Sabha). It has happened now too when the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (Amendment) Ordinance (Land Acquisition Ordinance, for short) had to be promulgated thrice, once in 2014 and twice in 2015, when the Bill to replace it could not get the nod of the Rajya Sabha during the Budget Session, 2015, before the expiry of its shelf-life.

Given the facts of the case mentioned above, what were the options available to the Government? The Strategy seemed to be to get the Bills replacing the Ordinance passed in the Lok Sabha, and if they fell through in the Rajya Sabha due to lack of requisite majority, take recourse to the constitutional provision relating to President convening a Joint Sitting of the two Houses to resolve the matter. The Government appears to be confident that in such a Joint Sitting of the two Houses it will be able to muster the requisite majority.

Let us briefly look at the constitutional provisions relating to the Joint Sitting (not Joint Session, mind you) of the two Houses. According to Article 108 of the Constitution of India a Joint Sitting of the two Houses of Parliament may be convened by the President under one of the following two circumstances: (i) if there is a disagreement between the two Houses on a Bill (other than a Money Bill), including rejection of a Bill passed by one House by the other House, or (ii) if a Bill passed by one House is pending for more than six months in the other House. This constitutional provision is, however, enabling & not obligatory. The President first notifies the two Houses by a message (or through public notification, if they are not in session) his intention to summon them to meet in a Joint Sitting. Thereafter, the President issues the order summoning the two Houses to meet in a Joint Sitting on a specified date, time

and venue. The Houses are summoned to meet on a date suggested by the Prime Minister or the Cabinet and agreed to by the Speaker of the Lok Sabha, who presides over the Joint Sitting. The Rules of Procedure of the Lok Sabha are applicable, *mutatis mutandis*, to the Joint Sitting. The Bill has to be passed by a simple majority of the members of the two Houses present and voting.

The last occasion when this provision of the Constitution was invoked was to pass the Prevention of Terrorism Bill, 2002, seeking to replace the Prevention of Terrorism Ordinance. Prior to that, the Banking Service Commission (Repeal) Bill 1977 seeking to replace the Banking Services Commission (Repeal) Ordinance, 1977 was also passed in a Joint Sitting of the two Houses.

The second contingency for convening a Joint Sitting mentioned in the Constitution, namely a Bill, after having been passed by one House, is kept pending in the other House for more than six months, is a little far-fetched. The reason being that, in the first place, six months (180 days) are counted primarily on the basis of the sittings of the House; and, in recent times, the Parliament has met for about 60-80 days in a year. Further, placing a Bill on the List of Business of a House is a prerogative of the Government. So why blame the Parliament?

A softer option is to refer the Bill to a Joint Select Committee of the two Houses, which is a mini Parliament, as all Committees are. It does not harden the adversarial arteries, as a Joint Sitting of the two Houses of Parliament does on account of its 'bulldozing' connotation. This is what the Government / Parliament has done in the case of the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (Second Amendment) Bill, 2015 (The Land Acquisition Bill, 2015, for short). A motion to constitute a Joint Select Committee (of 30 Members: 20 from the Lok Sabha and 10 from the Rajya Sabha) to examine and report on the Bill was adopted in the Lok Sabha on 12 May and in the Rajya Sabha on 13 May 2015. The Committee is required to present its report at the beginning of the Monsoon Session, 2015. This is indeed not the first time that a Joint Select Committee has been constituted. Since the 1952, more than 40 such Joint Select Committees have been set

up. However, the practice has more or less become defunct since the introduction of the Department-Related Parliamentary Standing Committees in 1993. Only three Joint Select Committees have been constituted since then, the last one being in 2005, when a Joint Select Committee to examine and report on the Scheduled Tribes (Recognition of Forest Rights) Bill, 2005 was constituted.

However, a Select or a Joint Select Committee stands on a different footing than a Department-related Parliamentary Standing Committee. A Bill is referred to a Select Committee or a Joint Select Committee of the two Houses on a motion being moved in and adopted by the House(s), as mentioned above. Such a motion is normally moved by the Minister In-charge and contains the names of the Members of that House(s), who have agreed to serve on it. It is normally done in consultation with the political parties in the Parliament, which are represented on the Select Committee in proportion to their strength in the House(s). Since there are a large number of political parties represented in our Parliament, only the major ones get a look in for being nominated on the Select / Joint Select Committee, depending on the total strength of the Committee (which is normally 30, with honourable exceptions). Further, in the case of a Joint Select Committee, the Members of the two Houses are represented on it in the ratio of 1:2, from the Rajya Sabha and the Lok Sabha respectively. The Chairman of the Select Committee usually belongs to the ruling party. Further, the Select / Joint Select Committee, after deliberation, provides a fresh draft of the Bill in its report, which is then taken up for consideration in the House. If the Government does not agree with any of the provisions, it has to move an amendment(s) to the Bill presented by the Select Committee and get it / them passed by the two Houses. On the other hand, in the case of the Report of a Department-related Parliamentary Standing Committee, on account of its recommendations having only a “persuasive value”, the Government is free to accept or reject any or all of its recommendations.

The saga of the Land Acquisition Bill, 2015 is, however, not yet over. While the Bill revised on the basis of the Second Ordinance has been referred to the Joint Select Committee, the President of

India has proclaimed an Ordinance on the subject for a third time on 30 May 2015. While notification of three Ordinances on one day is passé, as illustrated in **ANNEXURE-II**, proclaiming three Ordinances on the same subject within a matter of five months is a bit of an adventure, to say the least. Further, its third version, like the previous one, is deemed to have come into force on the 31st day of December, 2014 to boot. Repeated proclamation of Ordinances on the same subject, though unusual, is, however, not a singularity; it is *déjà vu*.

Be that as it may, promulgation of a large number of Ordinances, *per se*, is a sad commentary on the Parliamentary oversight of the Executive. It shows that in the years or eras when a large number of Ordinances were promulgated, the Parliament, to a certain extent, relinquished its legislative authority to the Executive. The Judiciary too, in terms of the scheme of the Constitution of India, cannot enquire into the motives of the Government in issuing Ordinances or question the propriety of issuing them. It can intervene only if an Ordinance is *ultra vires* the legislative powers of the Parliament or it is unconstitutional or the power has been exercised by the Executive in a *mala fide* or perverse manner. It is, however, to be noted that the issuing of an Ordinance in respect of the Land Acquisition Bill, 2015 has been challenged in the Supreme Court. Let the law of the land prevail.

The provision in the Constitution of India regarding legislative powers of the President of India raises the issue of integrity of the democratic process vis-à-vis executive expediency. It is no doubt true that in the context of the praxis of Indian Parliament, which does not continuously remain in session and is prorogued at the end of each of its three (Budget, Monsoon and Winter) sessions, at times, circumstances do exist, which necessitate promulgation of Ordinances. However, it has been observed that very often the Executive takes the Ordinance route in order to by-pass the legitimate parliamentary procedures. This has become particularly prominent since 1993, when Department-related Parliamentary Standing Committees were constituted, *inter alia*, to examine and report on the Bills introduced in the Parliament. Since a Bill replacing an

Ordinance has to be approved by the Parliament within 6 weeks of its reassembly, the reference of the Bill to the Standing Committee is either given a go-by or the matter is hustled through, since normally the Standing Committee is given three months to report and usually takes much more time. The Select Committees of the House are often given less time. The Executive, whenever it is confident of mustering the requisite majority in both the Houses of Parliament and wants to exhibit its urgency in tackling a political / legislative problem, goes ahead with promulgation of an Ordinance. However, the road to legislation through the Ordinance route is not always smooth. As stated earlier, there have been instances when the Ordinances have lapsed either on account of lack of consensus on the legislative matter or because the Bill to replace the Ordinance was referred to a Select / Department-related Committee. Ultimately it all boils down to how constitutional morality / ethics is perceived and practised by the stakeholders.

## ANNEXURE-I

### Ordinances Promulgated by The President (1952-2015)

Year	Number of Ordinances Promulgated	Year	Number of Ordinances Promulgated
1952	09	1953	07
1954	09	1955	07
1956	09	1957	06
1958	07	1959	03
1960	01	1961	03
1962	08	1963	<b>NIL</b>
1964	03	1965	07
1966	13	1967	09
1968	13	1969	10
1970	05	1971	23
1972	09	1973	04
1974	15	1975	29
1976	06	1977	16
1978	06	1979	10

<b>Year</b>	<b>Number of Ordinances Promulgated</b>	<b>Year</b>	<b>Number of Ordinances Promulgated</b>
1980	10	1981	12
1982	01	1983	11
1984	15	1985	08
1986	08	1987	10
1988	07	1989	02
1990	10	1991	09
1992	21	1993	34
1994	14	1995	15
1996	32	1997	31
1998	20	1999	10
2000	05	2001	12
2002	07	2003	08
2004	08	2005	04
2006	03	2007	08
2008	08	2009	09
2010	04	2011	03
2012	01	2013	11
2014	09	2015	5 <sup>2</sup>

Sources: *Statistical Handbook, 2014*, Ministry of Parliamentary Affairs, and Legislative Department, Government of India, New Delhi.

---

<sup>2</sup> Ordinances issued up to 31 May 2015.

## ANNEXURE-II

### Instances of Multiple Ordinances on a Day

#### 1992 (21 Ordinances during the Year)

<b>Ordinance No.</b>	<b>Name of the Ordinance</b>	<b>Date of Assent</b>	<b>Date of Publication</b>
12.	The Essential Commodities (Special Provisions) Amendment Ordinance, 1992.	27-08-1992	27-08-1992
13.	The Indian Medical Council (Amendment) Ordinance, 1992.	27-08-1992	27-08-1992
14.	The Dentists (Amendment) Ordinance, 1992.	27-08-1992	27-08-1992

#### 1993 (34 Ordinances during the Year)

<b>Ordinance No.</b>	<b>Name of the Ordinance</b>	<b>Date of Assent</b>	<b>Date of Publication</b>
1.	The Essential Commodities (Special Provisions) Amendment Ordinance, 1993.	02-01-1993	02-01-1993
2.	The Indian Medical Council (Amendment) Ordinance, 1993.	02-01-1993	02-01-1993
3.	The Dentists (Amendment) Ordinance, 1993.	02-01-1993	02-01-1993
4.	The Interest on Delayed Payments to Small Scale and Ancillary Industrial Undertakings Ordinance, 1993.	02-01-1993	02-01-1993
5.	The Industrial Finance Corporation (Transfer of Undertaking and Repeal) Ordinance, 1993.	02-01-1993	02-01-1993
6.	The Multimodal Transportation of Goods Ordinance, 1993.	02-01-1993	02-01-1993
7.	The Wild Life (Protection) Amendment Ordinance, 1993.	02-01-1993	02-01-1993

**1996 (32 Ordinances during the Year)**

<b>Ordinance No.</b>	<b>Name of the Ordinance</b>	<b>Date of Assent</b>	<b>Date of Publication</b>
1.	The Industrial Disputes (Amendment) Ordinance, 1996.	05-01-1996	05-01-1996
2.	The Employees' Provident Funds and Miscellaneous Provisions (Amendment) Ordinance, 1996.	05-01-1996	05-01-1996
3.	The Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Ordinance, 1996.	05-01-1996	05-01-1996
4.	The Building and Other Construction Workers' Welfare Cess Ordinance, 1996.	05-01-1996	05-01-1996
5.	The Coal Mines Provident Fund and Miscellaneous Provisions (Amendment) Ordinance, 1996.	05-01-1996	05-01-1996
13.	The Industrial Disputes (Amendment) Second Ordinance, 1996.	27-03-1996	27-03-1996
14.	The Employees' Provident Funds and Miscellaneous Provisions (Amendment) Second Ordinance, 1996.	27-03-1996	27-03-1996
15.	The Building and Other Construction Workers (Regulation of Employment and Conditions of Service) Second Ordinance, 1996.	27-03-1996	27-03-1996
16.	The Building and Other Construction Workers' Welfare Cess Second Ordinance, 1996.	27-03-1996	27-03-1996
17.	The Depositories Second Ordinance, 1996.	27-03-1996	27-03-1996
18.	The Supreme Court and High Court Judges (Conditions of Service) Amendment Second Ordinance, 1996.	27-03-1996	27-03-1996
19.	The Constitution (Scheduled Tribes) Order (Amendment) Second Ordinance, 1996.	27-03-1996	27-03-1996
20.	The Telecom Regulatory Authority of India Second Ordinance, 1996.	27-03-1996	27-03-1996



<b>Ordinance No.</b>	<b>Name of the Ordinance</b>	<b>Date of Assent</b>	<b>Date of Publication</b>
22.	The Coal Mines Provident Fund and Miscellaneous Provisions (Amendment) Third Ordinance, 1996.	20-06-1996	20-06-1996
24.	The Employees' Provident Funds and Miscellaneous Provisions (Amendment) Third Ordinance, 1996.	20-06-1996	20-06-1996
25.	The Building and Other Construction Workers' (Regulation of Employment and Conditions of Service) Third Ordinance, 1996.	20-06-1996	20-06-1996
26.	The Building and Other Construction Workers' Welfare Cess Third Ordinance, 1996.	20-06-1996	20-06-1996

### 1997 (31 Ordinances during the Year)

<b>Ordinance No.</b>	<b>Name of the Ordinance</b>	<b>Date of Assent</b>	<b>Date of Publication</b>
1.	The Port Laws (Amendment) Ordinance, 1997.	09-01-1997	09-01-1997
2.	The Reserve Bank of India (Amendment) Ordinance, 1997.	09-01-1997	09-01-1997
3.	The Constitution (Scheduled Tribes) Order (Amendment) Ordinance, 1997.	09-01-1997	09-01-1997
23.	The Representation of the People (Amendment) Ordinance, 1997.	23-12-1997	23-12-1997
24.	The Finance (Second Amendment) Ordinance, 1997.	24-12-1997	24-12-1997
25.	The Employees Provident Funds and Miscellaneous Provisions (Amendment) Second Ordinance, 1997.	25-12-1997	25-12-1997
26.	The Payment of Gratuity (Amendment) Second Ordinance, 1997.	25-12-1997	25-12-1997
27.	The Merchant Shipping (Amendment) Second Ordinance, 1997.	25-12-1997	25-12-1997
28.	The Income-tax (Amendment) Second Ordinance, 1997.	26-12-1997	26-12-1997

<b>Ordinance No.</b>	<b>Name of the Ordinance</b>	<b>Date of Assent</b>	<b>Date of Publication</b>
29.	The Prasar Bharati (Broadcasting Corporation of India) Amendment Second Ordinance, 1997.	26-12-1997	26-12-1997
30.	The Contingency Fund of India (Amendment) Ordinance, 1997.	26-12-1997	26-12-1997
31.	The Lotteries (Regulation) Second Ordinance, 1997.	30-12-1997	30-12-1997

### **ANNEXURE-III**

#### **List of Ordinances Issued During 2014-15**

##### **2014**

<b>Ordinance No.</b>	<b>Name of the Ordinance</b>	<b>Date of Assent</b>	<b>Date of Publication</b>
1	The Scheduled Castes and the Scheduled Tribes (Prevention of Atrocities) Amendment Ordinance, 2014	04-03-2014	04-03-2014
2	The Securities Laws (Amendment) Ordinance, 2014	28-03-2014	28-03-2014
3	The Telecom Regulatory Authority of India (Amendment) Ordinance, 2014	28-05-2014	28-05-2014
4	The Andhra Pradesh Reorganisation (Amendment) Ordinance, 2014	28-05-2014	28-05-2014
5	The Coal Mines (Special Provisions) Ordinance, 2014	21-10-2014	21-10-2014
6	The Textile Undertakings (Nationalisation) Laws (Amendment and Validation) Ordinance, 2014	24-10-2014	24-10-2014
7	The Coal Mines (Special Provisions) Second Ordinance, 2014	26-12-2014	26-12-2014
8	The Insurance Laws (Amendment) Ordinance, 2014	26-12-2014	26-12-2014
9	The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (Amendment) Ordinance, 2014	31-12-2014	31-12-2014

**2015 (As on 31 May 2015)**

<b>Ordinance No.</b>	<b>Name of the Ordinance</b>	<b>Date of Assent</b>	<b>Date of Publication</b>
<b>10</b>	The Citizenship (Amendment) Ordinance, 2015	06-01-2015	06-01-2015
<b>11</b>	The Motor Vehicles (Amendment) Ordinance, 2015	07-01-2015	07-01-2015
<b>12</b>	The Mines and Minerals (Development and Regulation) Amendment Ordinance, 2015	12-01-2015	12-01-2015
<b>13</b>	The Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (Amendment) Ordinance, 2015	02-04-2015	03-04-2015

SOURCE: Legislative Department, Ministry of Law and Justice, Government of India.

**Bibliography and References**

- Agnihotri, V.K. (2011) *Praxis of Indian Parliament: Notes on Procedures in the Council of States*. New Delhi: Rajya Sabha Secretariat.
- Government of India (2014) *Statistical Handbook*. New Delhi: Ministry of Parliamentary Affairs.
- Government of India (1950) *The Constitution of India* (as on 1<sup>st</sup> February 2011). New Delhi: Ministry of Law and Justice (Legislative Department).
- Government of UK (1935) *Government of India Act, 1935* (1935 Chapter 2). London: Crown Copyright.
- Kaul, M.N. and Shakhder, S.L. (2009) *Practices and Procedures of Parliament*. New Delhi: Metropolitan Book Co. Pvt. Ltd. For Lok Sabha Secretariat.
- Narain, Yogendra (2007) *Rajya Sabha at Work*. New Delhi: Rajya Sabha Secretariat.
- Parliament of India (2010) *The Rules of Procedure and Conduct of Business in the Council of States*. New Delhi: Rajya Sabha Secretariat.
- Parliament of India (2009) *The Rules of Procedure and Conduct of Business in the Lok Sabha*. New Delhi: Lok Sabha Secretariat.

22 / Ordinance Factory: Reality or Myth?

PRS Legislative Research Blog dated 21 April 2014: ‘Ordinances promulgated during different Lok Sabhas’.

The Gazette Extraordinary of India (Ministry of Law and Justice, Government of India) dated 30 May 2015 regarding the *Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement (Amendment) Second Ordinance, 2015*.

Anand P. Gupta

---

# Improving Management of Public Expenditure

## Evidence from India

### Introduction

Public expenditures in India add up to a lot. To begin with, the Central, State and Union Territory Governments alone currently spend Rs. 32.05 lakh crore (28.2% of GDP) a year (Government of India 2014a, p. 16).<sup>i</sup> Data on expenditures of local governments financed out of their internal and extra-budgetary resources are not available. Secondly, the Central public enterprises' internal and extra-budgetary resources for financing their Plan outlay currently add up to Rs. 3.18 lakh crore (2.2% of GDP) a year (Government of India 2015a, p. 13).<sup>ii</sup> Data on State public enterprises' internal and extra-budgetary resources for financing their Plan outlay are not available. Thirdly, expenditures through the Central tax laws, or Central tax expenditures,<sup>iii</sup> currently add up to Rs. 5.89 lakh crore (4.7% of GDP) a year (Government of India 2015b, p. 37).<sup>iv</sup> Data on expenditures through the State tax laws, or State tax expenditures, are not available. Finally, one must also take into account the losses of public entities (e.g., losses of State electricity distribution entities) which are financed through borrowings from banks or through commercial credits, not through any budgetary support. Complete details on these losses are not available, but according to an October 5, 2012 Office Memorandum of the Government of India (Government of India 2012), accumulated losses of the State power distribution companies are estimated to be about Rs. 1.9 lakh crore (2.1% of GDP). There is reason to believe that this figure captures the situation at the end of March 2012 and that the losses of the State power distribution companies today are much higher. According to Crisil, these losses

have been funded mainly by borrowing from banks and financial institutions.<sup>v</sup>

How is this huge public expenditure managed? To be specific, is it incurred on the things it should be? Is it delivering the intended outcomes? These are extremely important public policy issues and this paper attempts to address them.

The plan of the paper is as follows. Section 2 discusses the conceptual issue of what public expenditure should be incurred on. Section 3 assesses the efforts that Prime Minister Narendra Modi's Government, which assumed office on May 26, 2014, has made to improve the management of its expenditures. Finally, Section 4 presents some concluding remarks.

### **What Should Public Expenditure Be Incurred On?**

In principle, public expenditure should be incurred on (a) the provision of public goods or goods with positive externalities, that is, goods and services which the private sector will not provide (examples: national defence, control of pollution and elimination of open defecation), and (b) the provision of private goods and services to certain people on equity grounds.

Raghuram Rajan argues that public money must be used “to nurture the broadly equitable distribution of economic capabilities among our people” (Rajan 2015, pp. 8-9). This is how he put it recently: “So long as we modulate the pace of liberalization to the pace at which we broaden economic capabilities, it is likely that the public will be supportive of reform. This also means that if we are to embed the four pillars (of strong government, rule of law, democratic accountability, and free enterprise) supporting prosperity and political freedom firmly in our society, we have to continue to nurture the broadly equitable distribution of economic capabilities among our people. Economic inclusion, by which I mean easing access to quality education, nutrition, healthcare, finance, and markets to all our citizens, is therefore a necessity for sustainable growth. It is also, obviously, a moral imperative” (Rajan 2015, pp. 8-9).

And this is what he said in a different context: “Instead of subsidizing inputs to specific industries because they are deemed

important or labour intensive, a strategy that has not really paid off for us over the years, let us figure out the public goods each sector needs, and strive to provide them. For instance, SMEs might benefit much more from an agency that can certify product quality, or a platform to help them sell receivables, or a state portal that will create marketing web sites for them, than from subsidized credit. The tourist industry will probably benefit more from visa on arrival and a strong transportation network than from the tax sops they usually demand.” (Rajan 2014, pp. 6-7.)

All this clearly means that there are many demands on public money. And public money must be allocated to meet these demands and the allocations so made, must be used effectively.

Is this happening? An article that I wrote last year says: “There is a consensus that, given the way public money is used, we are not getting the value for this money. This is happening because a large proportion of the public money is looted. Indeed, a message seems to have gone around that public money is nobody’s money and therefore it is meant to be looted. There are many examples one can give to illustrate that a large proportion of the public money is allocated on the basis of politically-motivated considerations, looted and inefficiently utilised, and, as a consequence of all this, we are not getting the value for this money” (Gupta 2014, pp. 20-21).

This is a very sad state of affairs. Has the Government, which assumed office on May 26, 2014, made a difference? The next section addresses this issue.

### **Has Modi’s Government Made a Difference?**

This Section assesses the efforts that the Government has made to improve the management of its expenditures. It takes a critical look at selected initiatives and interventions of the Government of India (GOI), which is the largest public entity in India, with a view to assess whether the GOI is incurring its expenditure for the purposes it is supposed to be incurred on, whether the initiatives and interventions in question are properly designed, and whether they are properly implemented. The selected initiatives and interventions are: Outcome Budget , Results Framework Document, Mahatma

Gandhi National Rural Employment Guarantee Act, Restructured Accelerated Power Development and Reforms Programme, subsidies and tax expenditures.

### **Outcome Budget<sup>vi</sup>**

Recognising the urgency to measure its performance by the delivery of the intended outcomes of its various programmes, rather than by the amount of money spent on them, the GOI launched, on February 28, 2005, an apparently excellent initiative to change the culture of its officials from one of measuring their performance in terms of the amount of money spent against the budgeted allocations, to one of measuring their performance in terms of the delivery of the outcomes the people in India are concerned with. The statement of the Finance Minister in his budget speech that day was that:

“together with the Planning Commission, we shall put in place a mechanism to measure the development outcomes of all major programmes. We shall also ensure that programmes and schemes are not allowed to continue indefinitely from one Plan period to the next without an independent and in-depth evaluation. Civil society should also engage Government in a healthy debate on the efficiency of the delivery mechanism.”

The Government of India's first Outcome Budget (OB), for 2005-06, was presented on August 25, 2005. Since then, ten more OBs for 2006-07, 2007-08, 2008-09, 2009-10, 2010-11, 2011-12, 2012-13, 2013-14, 2014-15 and 2015-16 have been presented.<sup>vii</sup> In addition, the GOI's Department of Expenditure has regularly issued guidelines for the preparation of the OBs, with the latest guidelines (for the preparation of the OB for 2015-16) issued on January 29, 2015.<sup>viii</sup>

These guidelines constitute a major step in developing and articulating the conceptual framework for preparing the OB. The guidelines recognise that “The real value of the Outcome Budget lies in its utility as a policy tool to establish effective linkage with allocation and disbursement of public funds on the basis of measurable performance” (Ministry of Finance, Department of Expenditure



2006, p. 6). Given this, OB is potentially an extremely important means to improve governance.

### **The Theory of Change Underlying the OB**

No explicit theory of change has been put forward by the GOI for adopting the OB. But one can articulate the theory of change underlying the OB on the basis of the information provided and various statements that have been made. The theory consists of four assumptions.

First, the GOI assumed that issuing guidelines via its Ministry of Finance's Department of Expenditure will be enough to create the requisite incentives for its various ministries/departments to prepare the OB along the intended lines.

Second, the GOI assumed that its ministries/departments had the requisite knowledge and skills to define the intended outcomes of their various interventions and to articulate the production functions for these outcomes. And in case a ministry/department did not have the requisite knowledge and skills, it would seek the assistance of outsiders for these tasks. The guidelines clearly provided for this.

Third, the GOI assumed that its ministries/departments had the requisite incentives and skills to generate credible data required to prepare OB on their own, to validate the data available from other sources, and to seek, if necessary, the assistance of outsiders for generation/validation of the required data.

Finally, the GOI assumed that its ministries/departments will somehow be able to deliver the intended outcomes despite the serious problems that they may face with ensuring the flow of right amount of money at the right time to the right level, and with preventing misuse of money/diversion of money to unrelated activities.

A careful look at the theory of change underlying the OB reveals that the GOI assumed that those responsible for preparing and implementing the OB will behave the way it expected them to behave. Things don't happen that way. The Government didn't do the requisite homework and didn't put in place the requisite structure of incentives to influence the behaviour of the concerned people along

the expected lines, with the result that the OB has failed. Indeed, OB has proved to be a much more different and challenging ballgame than what the Government thought. It requires a change of mindset that has a lot to do with accountability as it is currently practiced in India's public entities. Sadly, the requisite change in mindset has not taken place.<sup>ix</sup>

There is a clear recognition of the OB's failure in delivering the desired results. P. Chidambaram, the former Finance Minister who launched the OB, is reported to have said:

“the Government of India has substantially expanded outlays in sectors like irrigation, education and health, but kept on following the existing ‘tried and failed’ system, as a result of which the outcome of these enhanced outlays is not visible at the ground level.”(The Times of India, December 3, 2007.)

And Montek Singh Ahluwalia, who served as Deputy Chairman of the erstwhile Planning Commission, GOI, for ten years (2004-14) is reported to have said:

“The exercise of outcome budget of manipulating existing data did not get the desired results. It's easy to evaluate whether investment made in a steel plant has delivered. But measurement of outcomes in health and education are difficult and complex.”(The Economic Times 2009.)

Has Prime Minister Narendra Modi's Government made any difference? While addressing the first meeting of the Governing Council of NITI Aayog on February 8, 2015, the Prime Minister is reported to have said that “Whatever we do, it should be well thought, it should be well executed and it should have desired outcome.” (The Times of India 2015.)

And this is what Finance Minister Arun Jaitley said while presenting the GOI's budget for 2015-16 on February 28, 2015: “...it is my belief that every rupee of public expenditure, whether undertaken by the Centre or the States, will contribute to the betterment of people's lives through job creation, poverty elimination and economic growth.” (Government of India 2015c, p. 2.)

But what's the ground reality? Are Prime Minister Narendra Modi

and Finance Minister Arun Jaitley walking the talk?

The Ministry of Finance's OB for 2015-16 describes the Ministry's major achievements, one of which relates to the Pradhan Mantri Jan-Dhan Yojana (PMJDY) which the Prime Minister had announced on August 15, 2014 and formally launched on August 28, 2014. "The Yojana envisages universal access to banking facilities with at least one basic banking account for every household. The beneficiary would get a RuPay Debit Card having inbuilt accident insurance cover of Rs. 1.00 lakh. Apart from this, there is a life insurance cover of Rs. 30,000 provided to those people who opened their bank account for the first time between 15th August, 2014 and 26th January, 2015. Under PMJDY, 12.65 crore accounts (5.09 crore in urban areas and 7.56 crore in rural areas) have been opened as on 03.02.2015. Out of these 12.65 crore accounts, 8.50 crore accounts are with Zero Balance and RuPay cards have been issued in 11.16 crore eligible accounts." (Ministry of Finance 2015, p. iv)

The PMJDY is certainly a commendable initiative that the Prime Minister has launched to achieve universal access to banking facilities, and thereby empower the poor people. But much will depend on how the PMJDY account holders, especially those with zero balance, behave, and on the concerned banks' capacity to service these account holders – capacity not just in terms of the number of bank employees and infrastructure but, more importantly, in terms of the requisite mindset of bank employees.

Finance Minister Arun Jaitley talks about "three achievements as they demonstrate the quality and conviction of our government.... The third is 'Swachh Bharat' which we have been able to transform into a movement to regenerate India.<sup>x</sup> I can speak of, for example, the 50 lakh toilets already constructed in 2014-15, and I can also assure the Members of this august House that we will indeed attain the target of building six crore toilets. But, Madam, Swachh Bharat is not only a programme of hygiene and cleanliness but, at a deeper level, a programme for preventive health care, and building awareness." (Government of India 2015c, p. 3.)

This too sounds like a commendable achievement. But let's wait before we celebrate it. Much will depend on how well these toilets are

maintained, how they are used (are they used as toilets or as storage spaces?), and how much they help in achieving the intended outcome of ending open defecation.

Incidentally, Jairam Ramesh, a former Minister of Rural Development, GOI, is reported to have told the Rajya Sabha that “There is huge difference in figures reported by states and the report by the census on reduction in open defecation. Money has been taken but toilets have not been built. There is a lot of *hera-pheri*, if I can use that term.” (The Times of India 2012.)

And according to M. Ramachandran, a former Secretary, Urban Development, GOI, “We have a situation where the official claims are that 8.7 crore toilets have been constructed, whereas census 2011 reveals that only 5.16 crore households actually have toilets. What happened to the missing 3.5 crore toilets?” (Ramachandran 2014.) Ramachandran doesn’t answer the question that he has posed, but the answer is clear: looting of public money allocated for building toilets.

### **Results Framework Document<sup>xi</sup>**

In 2009, the GOI launched the Performance Monitoring and Evaluation System (PMES). It is designed to overcome the limitations which the current systems for accountability for results in Government suffer from.<sup>xii</sup> The PMES involves the preparation of a Results Framework Document (RFD) by each of the ministries/ departments covered under the RFD system. The RFD system now covers the GOI’s 80 ministries and departments, out of a total of 84, and around 800 Responsibility Centres. The State Governments have also shown interest in adopting the RFD system and as of now 17 State Governments are at various stages of implementing the RFD systems in their States.

The RFD seeks to address three questions: What are a given ministry/department’s main objectives for a given financial year? What are the actions proposed to achieve these objectives? How will the progress made in implementing these actions be determined? The RFD for a given ministry/department looks at that ministry/department’s achievements, compares them with the targets and

determines a composite score, taking into account the specific weight assigned to each objective of that ministry/department. The composite score is converted into a rating of excellent, very good, good, fair and poor, with a composite score of 100% - 96% rated as excellent, 95% - 86% as very good, 85% - 76% as good, 75% - 66% as fair, and 65% and below as poor.

A widely-held perception is that there is a big disconnect between what the GOI claims about the RFD and what the ground reality is. The Economic Times (2011) has published a story on RFDs. The story quotes a senior government official who pointed out how absurd the whole process was. “How could the government rate itself at 90 percent when the whole country is saying that this government doesn’t work?”, he asked (The Economic Times 2011, p. 1).

Has the perception about the RFD changed in recent years? The discussions at the December 11-12, 2013 Global Roundtable on Government Performance Management that was organised by the Institute of Public Enterprise in collaboration with the Performance Management Division, Cabinet Secretariat, GOI, clearly suggested that the things hadn’t changed much - there is still a big disconnect between what the GOI claims about the RFD and what the ground reality is.

The issue of RFD’s credibility was recently discussed at a meeting attended, among others, by several retired IAS officials, including a former Cabinet Secretary, GOI, and the consensus at the meeting was that the scores given to the ministries/departments on their RFD work were too high and lacked credibility.

There is also a question on the RFDs’ quality. An assumption underlying the RFD work is that the officials preparing the RFDs have the requisite incentives and skills to generate, on their own, credible data required to prepare RFDs and to validate the data available from other sources. There are reasons to believe that many, if not most, officials don’t have such incentives and skills.

Has Prime Minister Narendra Modi’s Government taken any steps to improve the quality of the data used for preparing RFDs, as also to improve the credibility of RFD scores? My information is

that it has not.

I strongly believe that the GOI must merge the RFD into OB (it makes no sense for a ministry/department to prepare an OB as also a RFD) and make the OB work. The OB has failed not because it's a bad idea, but because of the blunders that the GOI has committed while implementing it.

### **Mahatma Gandhi National Rural Employment Guarantee Act**

The National Rural Employment Guarantee Act (NREGA), which was later changed to Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), was notified on September 5, 2005. It aims at enhancing livelihood security by providing at least one hundred days of guaranteed wage employment in a financial year to every rural household whose adult members volunteer to do unskilled manual work. The Act covered 200 rural districts in its first phase which began on February 2, 2006, and was extended to all the rural districts in the country in phases.

According to the data available on the MGNREGA website,<sup>xiii</sup> total expenditure incurred on MGNREGA since its inception has amounted to Rs. 2,78,525.81 crore. This is a lot of money.

The huge expenditure on MGNREGA has prompted Bhagwati and Panagariya (2014) to say: “Unlike the UPA government, PM Narendra Modi seems to understand the folly of embracing substantial spending programmes unmatched by revenues. This is particularly the case as he has announced his intention to step up expenditures to reflect his ‘grand vision’ for India. This vision includes elimination of abject poverty, electricity for all, Swachh Bharat by 2019, 100 smart cities and expanded road and rail networks. Implementation of this vision requires resources. Streamlining existing schemes as also replacing them by new ones are essential steps towards garnering these resources. While increased revenues will follow as the economy picks up, there are inevitable time lags. So some programmes have to be pruned here and now. This alone justifies the decision to confine NREGA to 200 poorest districts.

But the compelling reason for limiting NREGA as a policy to

shift resources to the poor consists precisely in the fact that it has drawbacks that an alternative policy of cash transfers does not have. By opting to retain and complete the Aadhaar project and launching the Jan Dhan Yojana, which would together provide the necessary infrastructure, the PM would seem to have cleared the way for an eventual move to cash transfers. And that makes pruning of the inefficient NREGA as the instrument of shifting income to the poor an eminently reasonable interim step.”

Abreu, et. al. (2014) assert that Bhagwati and Panagariya’s argument is misleading. They assert that MGNREGA is a source “of income security for the most vulnerable. When more than 90% of the workforce is informal and lacks access to social security, this is a critical intervention.... We do not claim that all is well with NREGA. The programme needs better design and implementation, not slow suffocation.”

And this is what Dreze (2014) says: “ If leakages alone were a good enough reason to wind up government programmes, a lot of things would beg to be shut down: the university system, the defence establishment, the Ganga Action Plan, and so on. Leakages actually raise two questions: is the programme worth it despite the leakages, and can the leakages be reduced? In the case of NREGA, I would answer ‘yes’ to both. Official employment generation figures are increasingly consistent with independent household survey data, suggesting leakages are going down. This is also plausible in the light of various steps that have been taken to plug leakages, from bank payments of NREGA wages to social audits and proactive display of all essential records on the web. More needs to be done, but there is no reason to capitulate.... I am very much in favour of reforming NREGA.... So there is no trade-off between reforming NREGA and fighting corruption. Alas, the new government seems absolutely clueless as far as constructive NREGA reforms are concerned.”

What’s the Prime Minister’s response to all this? Replying to the motion of thanks on the President’s address in the Lok Sabha on February 27, 2015, the Prime Minister assured the continuation of MGNREGA, saying it made political sense as it was a “living reminder” of the UPA government’s “failures”.<sup>xiv</sup> And this is what

Finance Minister Arun Jaitley said while presenting the GOI's budget for 2015-16: "Our government is committed to supporting employment through MGNREGA. We will ensure that no one who is poor is left without employment. We will focus on improving the quality and effectiveness of activities under MGNREGA. I have made an initial allocation of Rs. 34,699 crore for the programme." (Government of India 2015c, p. 8.)

No information is available on how the Government plans to improve the quality and effectiveness of activities under MGNREGA.

### **Restructured Accelerated Power Development and Reforms Programme**

An initiative, called the Accelerated Power Development Programme, was launched by the GOI's Ministry of Power in February 2000. After two years it was re-christened the Accelerated Power Development and Reforms Programme (APDRP). The APDRP aimed to reduce the theft of power; to improve the reliability and quality of power; to bridge the difference between the value of power billed and the value realised; and to improve the financial performance of the power sector.

On July 31, 2008, the APDRP was restructured. The Restructured APDRP's focus is on actual, demonstrable reduction in state power utilities' aggregate technical and commercial losses, with the target of bringing them down to 15%. The Ministry of Power is trying to achieve this target through three interventions:

First, a loan up to 100% of the cost of projects for the establishment of baseline data and information technology (IT) applications for energy accounting/auditing and IT-based consumer service centres, with the entire loan for these projects converted into grants on fulfilment of the conversion conditionalities;

Second, a loan up to 25% (90% for special category states) of the cost of distribution strengthening projects, with up to 50% (90% for special category states) of the entire loan for these projects converted into grants on fulfilment of the conversion conditionalities; and



Third, training utility employees, as also a financial incentive to them from the GOI, limited to 2% of the GOI grant for distribution-strengthening projects, with the utility in question expected to match these funds, in case its aggregate technical and commercial loss is brought below 15%.

The Ministry of Power believes that the R-APDRP will incentivize the power utilities that avail of the assistance available under this Programme to behave differently and thereby deliver the intended outcomes. But the Ministry has not explicitly articulated the theory of change for the R-APDRP. And none of the material that I could lay my hands on, includes any explicit theory of change for this public intervention. But one can articulate the theory of change underlying this intervention on the basis of the information available in these materials. The theory consists of nine assumptions.

First, the Ministry of Power assumed that a power utility covered under the R-APDRP will cooperate with the Third Party Independent Evaluation Agency (TPIEA) and provide to it all the requisite data (viz., the quantity of power purchased during a given period, the quantity of power billed to customers during that period, and the quantity of power for which the utility in question has received payments against the quantity billed during the period in question), so that the TPIEA may produce credible baseline data on AT&C losses for the utility in question.

Second, the Ministry of Power assumed that a power utility covered under the R-APDRP will cooperate with the TPIEA and provide to it all the data that it may require for doing an authentic diagnosis of that utility's problems.

Third, the Ministry of Power assumed that the project prepared by a given utility or by a consultant for a given utility for funding under the R-APDRP is an objective project, designed to address, in a cost-effective manner, the problems which the TPIEA has diagnosed for that utility.

Fourth, the Ministry of Power assumed that the equipment procured for implementing a given utility's project is the best available to address that utility's problems as diagnosed by the TPIEA.

Fifth, the Ministry of Power assumed that a given utility's project under the R-APDRP will be implemented the way it is supposed to be implemented.

Sixth, the Ministry of Power assumed that the equipments (e.g., meters) that are installed under a project funded under the R-APDRP will work the way they are supposed to work, and that in case they are tampered with, the systems that are put in place will alert the concerned utility's employees, so that appropriate action(s) may be taken.

Seventh, the Ministry of Power assumed that the training that a given utility's employees receive under the R-APDRP will equip them with the knowledge, skills and attitudes required to properly use the equipment procured for implementing that utility's project under the R-APDRP, and that, as a result of this training, their behaviour will change in such a manner that they will identify the people stealing electricity under their jurisdiction and report such theft to the concerned authorities so that appropriate action(s) against the people found stealing electricity may be taken.

Eighth, the Ministry of Power assumed that in case there are any major deviations or lapses in the implementation of a given utility's project, the project manager will report the matter to the R-APDRP Steering Committee, and that the Steering Committee will take appropriate and timely action(s). In case the project is not producing the intended outcomes because, say, the given utility's employees are not behaving the way they were expected to, the Steering Committee will investigate the reasons for this and take the requisite corrective action(s).

Finally, the Ministry of Power assumed that the R-APDRP, by helping the power utilities in reducing their AT&C losses, will have the effect of improving their financial health, which in turn will enable them to service their borrowings under the R-APDRP, and that as a result of all this, the R-APDRP will not end up as a liability for them.

Things haven't worked the way the Ministry of Power assumed they would. The R-APDRP has failed in changing the behaviour of

its key stakeholders along the expected lines, as a result of which it has failed in delivering the intended outcome of substantial reduction in the State power utilities' aggregate technical and commercial losses. Indeed, the Programme has turned out to be a huge financial burden on the utilities.

What's the response of Prime Minister Narendra Modi's Government to all this?

It has launched a new scheme, called Intregated Power Development Scheme (IPDS), with the ongoing R-APDRP subsumed under IPDS. The objective of IPDS is "24x7 power supply for consumers, reduction of AT&C losses and providing access to all households." (Ministry of Power 2015, p. 5.)

In addition, the Government has launched the Power Sector Reforms (Transmission and Distribution) Programme, which will be an umbrella programme for power sector reforms and include the IPDS.

Are these sensible developments? The idea of subsuming the ongoing R-APDRP under IPDS does not make any sense. The Government must have withdrawn the R-APDRP. The sad truth is that aggregate technical and commercial (AT&C) losses continue to be high because of political patronage and the utility employees' connivance.

This is what The Times of India reported on June 24, 2014: "While large parts of Uttar Pradesh suffer unbridled power cuts, Samajwadi Party chief Mulayam Singh Yadav's constituency Etawah doesn't merely get 24x7 electricity; at least 72% of its people get free power through pilferage. While chief minister Akhilesh Yadav has been issuing directions to power officials to curtail line loss, in his own hometown, Etawah, sources in Dakshinanchal Distribution Company said only one out of four consumers of electricity is paying for it. Not that the rest of the state is too far behind; other districts report 35% to 50% power theft." (The Times of India 2014.)

There is no case for continuing with a public intervention to reduce AT&C losses. This is an issue that the Government needs to address through a dialogue at the political level and through measures

designed to improve the quality of governance.

## **Subsidies**

The policymakers in India seem to love subsidies. Major subsidies include: cooking gas subsidy, credit subsidy, education subsidy, electricity subsidy, fertilizer subsidy, food subsidy, irrigation subsidy, kerosene subsidy and train fare subsidy. According to Shankar Acharya, subsidies, if measured the way they should be, add up to about 5% of GDP. (Acharya 2014.)

There are reasons to believe that many of the subsidies have been introduced without doing the requisite homework, with the result that they suffer from various shortcomings. They are not designed properly. They are not implemented properly. They are not monitored and evaluated properly. And they suffer from the errors of inclusion and errors of exclusion – that is, many people who are not supposed to benefit from them, benefit, and many people who are supposed to benefit from them, don't benefit.

The Government is aware of what ails the subsidy regime in India. This is what Finance Minister Arun Jaitley said while presenting the GOI's budget for 2015-16: "Well-intentioned schemes introduced in the past, have often been ill-targeted, riddled with leakages and delivered with inefficiency. The same is true of subsidies. Subsidies are needed for the poor and those less well off. What we need is a well-targeted system of subsidy delivery. We need to cut subsidy leakages, not subsidies themselves. We are committed to the process of rationalizing subsidies based on this approach." (Government of India 2015c, p. 7.)

This is good, but what has the Finance Minister done to rationalize subsidies? He talks about a direct transfer Rs. 6,335 crore "as LPG subsidy to 11.5 crore LPG consumers." (Government of India 2015c, p. 7.) The idea of directly transferring a subsidy to the intended beneficiaries is an excellent idea, but do all these 11.5 crore LPG consumers qualify as intended beneficiaries? They don't. And the Finance Minister knows this. He is hoping that those who don't qualify as intended beneficiaries of the LPG subsidy, will give it up voluntarily.

This is not the way to manage public expenditures. What the GOI needs to do is to identify those who don't qualify to receive the LPG subsidy, send them an intimation to this effect, and stop transferring public money to them.

There is a strong case for rigorous evaluation of each of the subsidies, with each evaluation focusing on how much difference a given subsidy has made to addressing the public policy issue in question, and at what cost, and on identification of alternative ways which may be more cost-effective in delivering the intended outcomes.

An approach to managing subsidies along these lines will allow the Central Government (and for that matter, State Governments as well) to determine which of the subsidies must be withdrawn. Withdrawal of wasteful and ineffective subsidies will help in getting our fiscal framework right. It will also create a lot of fiscal space which can be used to finance the huge public investments that India urgently needs.

The GOI had appointed an Expenditure Management Commission on September 4, 2014 and had asked it to submit its interim report before the budget for 2015-16 (Government of India 2014b). The Commission has submitted its interim report, but one doesn't know what it contains.

## **Tax Expenditures**

Finance Minister Arun Jaitley has announced a commendable initiative on tax expenditures. This is what he said while presenting the GOI's budget for 2015-16: "The basic rate of Corporate Tax in India at 30% is higher than the rates prevalent in the other major Asian economies, making our domestic industry uncompetitive. Moreover, the effective collection of Corporate Tax is about 23%. We lose out on both counts, i.e. we are considered as having a high Corporate Tax regime but we do not get that tax due to excessive exemptions. A regime of exemptions has led to pressure groups, litigation and loss of revenue. It also gives room for avoidable discretion. I, therefore, propose to reduce the rate of Corporate Tax from 30% to 25% over the next 4 years. This will lead to higher level of investment, higher

growth and more jobs. This process of reduction has to be necessarily accompanied by rationalisation and removal of various kinds of tax exemptions and incentives for corporate taxpayers, which incidentally account for a large number of tax disputes. I wanted to start the phased reduction of corporate tax rate and phased elimination of exemptions right away; but I thought it would be appropriate to give advance notice that these changes will start from the next financial year. Our stated policy is to avoid sudden surprises and instability in tax policy.” (Government of India 2015c, pp. 19-20.)

The initiative that the Finance Minister has announced was long due. But he must do a rigorous evaluation of each of the tax expenditures before he withdraws them. There is a case for evaluating tax expenditure provisions in the income tax law for the non-corporate sector as well, as also tax expenditure provisions under other tax laws.

The Finance Minister says: “Exemptions to individual taxpayers will...continue since they facilitate savings which get transferred to investment and economic growth.” (Government of India 2015c, p. 20.) This is fine. Let the tax expenditures for individual taxpayers continue, but can't they be designed better?

Take, for example, the case of the tax expenditure provision under Section 80C of the Income Tax Act, which allows a taxpayer a deduction upto Rs. 150,000 on account of certain investments and payments, and which had a revenue impact of Rs. 29,237.1 crore in 2014-15 (Government of India 2015b, p. 30). The tax benefit to the taxpayer under this provision depends on the income tax bracket he/she belongs to. Thus, if the taxpayer belongs to the 30.9% tax bracket, he/she gets a tax benefit of Rs. 46,350, whereas if the taxpayer belongs to the 10.3% tax bracket, he/she gets a tax benefit of a mere Rs. 15,450. And in case a person is not a taxpayer but still makes the specified investments and payments of Rs. 150,000, his/her benefit is zero. Why is this so? Each of these three persons makes specified investments and payments of Rs. 150,000, but the benefit greatly differs. A sensible way would be to limit the benefit to, say, 10% of the specified investments and payments. If this is done, the first and the second person will get the benefit of Rs. 15,000 each through a

reduction in their tax liability, whereas the third person will get the same benefit through a transfer in his/her bank account. Just imagine the signal that this modification will send and the positive impact it will have on the behaviour of the Jan Dhan Yojna participants – it will be tremendous.

### **Concluding Remarks**

Four issues emerge clearly. First, policymakers in India are not clear about the conceptual issue of what public expenditure should be incurred on. This comes out clearly in our discussions on MNREGA and R-APDRP. Given that about ten lakh people join the market for jobs every month and that our economy is not creating enough jobs, India does need MGNREGA as a source of income for people in distress (of course, it needs to be reformed – it must not give perverse signals), but the PM Narendra Modi's Government doesn't seem to think so. And India doesn't need RAPDRP, but the Government thinks otherwise.

Second, policymakers in India are not very good in designing public interventions. Our discussions on the LPG subsidy and the tax expenditure provision under Section 80C of the Income Tax Act illustrate this.

Third, those responsible for implementing public interventions lack the requisite skills, ethics and obsession with the delivery of the outcomes the people in India are concerned with. They go ahead with the implementation of a public intervention without a clear understanding of the theory of change underlying that public intervention. The failure of OB illustrates this.

Finally, policymakers in India don't believe in the culture of rigorous impact evaluation of public interventions – a culture in which policymakers demand such evaluations not because they have to comply with any requirement, but because they really want to know the answers to the impact evaluation questions of:

What works? Under what conditions does it work? For whom does it work? What part of a given intervention works? At what cost? This is so that they may draw appropriate lessons from these answers and use these lessons while designing and implementing

public interventions in future. Sadly, as things currently stand, the Indian public sector's culture does not provide incentives to the country's policymakers to demand such evaluations.

The first three issues have far-reaching implications for the management of the GOI's (and for that matter, State Governments') HRD function. Let the NITI Aayog manage this function. Let it develop training programmes on what public expenditure should be incurred on, how public interventions should be designed and how they should be implemented, and organise these programmes. The Aayog must develop a large number of case studies as a part of the material for these programmes.

As regards the issue of rigorous impact evaluation of public interventions, the GOI did set up an Independent Evaluation Office, but it was wound up shortly after the Prime Minister Narendra Modi's Government assumed office. It's the NITI Aayog which is now responsible for this work. According to the GOI, one of the objectives of the NITI Aayog is "To actively monitor and evaluate the implementation of programmes and initiatives, including the identification of the needed resources so as to strengthen the probability of success and scope of delivery." (Government of India 2015d, p. 6.) I very much hope that the NITI Aayog will not only undertake rigorous impact evaluation of public interventions, but will also provide incentives to the country's policymakers to demand such evaluations.

## Notes

- <sup>i</sup> 2013-14 is the latest year for which data on the combined expenditure of the Central, State and Union Territory Governments are currently available, with the figure of Rs. 32.05 lakh crore being the budget estimate for that year.
- <sup>ii</sup> This is the budget estimate for 2015-16.
- <sup>iii</sup> This is what the Government of India says: "The tax policy provides specific tax incentives which give rise to tax preferences. Such preferences have a definite revenue impact and can also be viewed as an indirect subsidy to preferred tax payers, also referred to as 'tax expenditures'. It is often argued that tax policy should not only be efficient but also



transparent. This means that programme planning which requires specific policy objectives to be addressed using incentives having revenue impact, should be explicit and transparent budgeting calls for inclusion of such indirect outlays (or revenue impacts ) under the respective programme headings. Tax incentives resulting in any form of revenue impact per se are spending programs embedded in the tax statute.” (Government of India 2015b, p. 23.)

- iv The figure of Rs. 5.89 lakh crore is the Government of India’s projection for 2014-15.
- v See The Economic Times (2012).
- vi This section draws on Gupta (2010).
- vii Whereas the OB for 2005-06 was presented in one document which provided the OBs of all the Ministries/Departments at one place, the Government of India changed the practice the next year, as a result of which beginning 2006-07 the Ministries/Departments have been presenting their OBs separately, with the details available at the websites of the respective Ministries/Departments.
- viii See Ministry of Finance, Department of Expenditure (2015).
- ix For evidence on this, see “Outcome Budget of the Government of India’s Accelerated Power Development and Reforms Programme: A Case Study” in Gupta (2010).
- x The first achievement relates to Jan Dhan Yojana and the second to coal auctions. For details, see Government of India (2015c), p. 3.
- xi This section draws on Government of India and Institute of Public Enterprise (2013), Background Reading 1.
- xii For examples of these limitations, see Government of India and Institute of Public Enterprise (2013), p. 11.
- xiii [http://mnregaweb4.nic.in/netnrega/all\\_lvl\\_details\\_dashboard\\_new.aspx](http://mnregaweb4.nic.in/netnrega/all_lvl_details_dashboard_new.aspx) (Accessed March 28, 2015).
- xiv <http://www.abplive.in/india/2015/02/27/article513225.ece/MGNREGA-proof-of-UPAs-mistakes-will-continue-PM> (Accessed March 28, 2015).

## References

Abreu, Dilip, et. al., 2014. Wrong Numbers: Attack on NREGA is Misleading. *Sunday Times of India* (New Delhi Edition), November

9. <http://timesofindia.indiatimes.com/home/sunday-times/all-that-matters/Wrong-numbers-Attack-on-NREGA-is-misleading/articleshow/45085301.cms?> (Accessed March 27, 2015).

Acharya, Shankar, 2014. Presentation on “Managing Subsidies and Expenditures” at a seminar jointly organized by IC Centre for Governance and India International Centre. December 5. New Delhi.

Bhagwati, Jagdish and Arvind Panagariya, 2014. Rural Inefficiency Act: Despite Protests About Diluting NREGA, to Confine it to 200 Poorest Districts. *The Times of India* (New Delhi Edition), October 23. <http://blogs.timesofindia.indiatimes.com/toi-edit-page/rural-inefficiency-act-despite-protests-about-diluting-nrega-the-pm-is-right-to-confine-it-to-200-poorest-districts/> (Accessed March 27, 2015).

Dreze, Jean, 2014. NREGA is in Need of Reform. *The Economic Times* (New Delhi Edition), November 12. <http://economictimes.indiatimes.com/opinion/interviews/nrega-is-in-need-of-reform-jean-dreze-economist-cum-activist/articleshow/45117070.cms> (Accessed March 27, 2015).

Government of India, 2005. *Budget 2005–2006: Speech of P. Chidambaram, Minister of Finance*. New Delhi: Government of India. <http://indiabudget.nic.in/ub2005-06/bs/speecha.htm> (Accessed March 10, 2015).

Government of India and Institute of Public Enterprise, 2013. *Background Reading Day 1, Global Roundtable on Government Performance Management*. December 11-12. New Delhi.

Government of India, 2014a. *Indian Public Finance Statistics 2013-14*. New Delhi: Government of India, Ministry of Finance, Department of Economic Affairs, Economic Division. <http://finmin.nic.in/reports/IPFStat201314.pdf> (Accessed March 7, 2015).

Government of India, 2014b. *Resolution No. 7(2)/E.Coord/2014*. September 4. New Delhi: Government of India. [http://www.finmin.nic.in/Expenditure%20Management%20Commission/Constitute\\_Expenditure\\_Management\\_Commission.pdf](http://www.finmin.nic.in/Expenditure%20Management%20Commission/Constitute_Expenditure_Management_Commission.pdf) (Accessed March 30, 2015).

Government of India, 2015a. *Budget at a Glance 2015-16*. New Delhi: Government of India, Ministry of Finance. <http://indiabudget.nic.in/ub2015-16/bag/bag4.pdf> (Accessed March 8, 2015).

- Government of India, 2015b. *Statement of Revenue Impact of Tax Incentives under the Central Tax System: Financial Years 2013-14 and 2014-15*. New Delhi: Government of India, Ministry of Finance. <http://indiabudget.nic.in/ub2015-16/statrevfor/annex12.pdf> (Accessed March 8, 2015).
- Government of India, 2015c. *Budget 2015-16: Speech of Arun Jaitley, Minister of Finance*. New Delhi: Government of India. <http://indiabudget.nic.in/ub2015-16/bs/bs.pdf> (Accessed March 25, 2015).
- Government of India, 2015d. *Government constitutes National Institution for Transforming India (NITI) Aayog: Press Note*. January 1. New Delhi: Government of India. <http://pib.nic.in/newsite/PrintRelease.aspx?relid=114268> (Accessed April 25, 2015).
- Gupta, Anand P., 2010. Evaluation of Governance: A Study of the Government of India's Outcome Budget. *Journal of Development Effectiveness*, 2 (4), 566–573.
- Gupta, Anand P., 2014. Improving the Efficiency and Effectiveness of Public Expenditures. *The Journal of Governance*, Volume 9, July 2014, 15-33.
- Ministry of Finance, 2015. *Outcome Budget 2015-2016*. New Delhi: Ministry of Finance. [http://www.finmin.nic.in/reports/OutcomeBudget2015\\_16.pdf](http://www.finmin.nic.in/reports/OutcomeBudget2015_16.pdf) (Accessed March 25, 2015).
- Ministry of Finance, Department of Expenditure, 2006. *Guidelines for Preparation of Outcome Budget 2007-08*. Office Memorandum. New Delhi: Ministry of Finance.
- Ministry of Finance, Department of Expenditure, 2015. *Guidelines for Preparation of Outcome Budget 2015-16*. Office Memorandum. New Delhi: Ministry of Finance. [http://www.finmin.nic.in/reports/guideline\\_outcomebudget2015\\_16.pdf](http://www.finmin.nic.in/reports/guideline_outcomebudget2015_16.pdf) (Accessed March 25, 2015).
- Ministry of Power, 2015. *Notes on Demands for Grants, 2015-2016*. New Delhi: Ministry of Power. <http://indiabudget.nic.in/ub2015-16/eb/sbe77.pdf> (Accessed March 28, 2015).
- Rajan, Raghuram, 2014. Bharat Ram Memorial Lecture on “Make in India, Largely for India”, December 12. New Delhi. <http://rbidocs.rbi.org.in/rdocs/Speeches/PDFs/BRL12120214.pdf> (Accessed March 24, 2015).
- Rajan, Raghuram, 2015. Speech on “Democracy, Inclusion, and Prosperity” at the D.D. Kosambi Ideas Festival, February 20. Goa. <http://rbidocs.rbi.org.in/rdocs/Speeches/PDFs/BRL12120214.pdf>

rbi.org.in/rdocs/Speeches/PDFs/DIPR200215SPCHENG.pdf (Accessed March 24, 2015).

Ramachandran, M., 2014. "Toilets for all", *Business Standard*, January 25. [http://www.business-standard.com/article/opinion/m-ramachandran-toilets-for-all-114012500727\\_1.html](http://www.business-standard.com/article/opinion/m-ramachandran-toilets-for-all-114012500727_1.html) (Accessed March 25, 2015).

The Economic Times, 2009. "Outcome Budget Serves No Purpose, says Montek", *The Economic Times* (New Delhi Edition), October 13.

The Economic Times, 2012. "Power Distribution Companies' Losses Cross Rs 2 Lakh Crore, Says Crisil", *The Economic Times* (New Delhi Edition), May 7.

The Times of India, 2012. "Centre sniffs scam in states' toilet funds", *The Times of India* (New Delhi Edition), August 16. <http://timesofindia.indiatimes.com/india/Centre-sniffs-scam-in-states-toilet-funds/articleshow/15510051.cms> (Accessed March 25, 2015).

The Times of India, 2014. Only 1 in 4 Pays for Power in Etawah. *The Times of India* (New Delhi Edition), June 24. <http://timesofindia.indiatimes.com/City/Lucknow/Only-1-in-4-pays-for-power-in-Etawah/articleshow/37104442.cms> (Accessed March 29, 2015).

The Times of India, 2015. "Team India of CMs to Drive PM's Development Agenda", *The Times of India* (New Delhi Edition), February 9.

**Prabhat Kumar**

---

## **Municipal Corporation of Greater Mumbai**

### **Training on ‘Ethics in Public Service’**

The theory of public service makes the assertion that the responsibility of those entrusted with governance of the country is to ‘deliver public services’, to promote ‘inclusive development’, to ‘save the environment’, to do something to prevent injustices and crises. We might ask to whom these duties relate and what could be the source of such ethical imperatives. Of course, the individuals ordained with running the government have responsibilities to the citizens. But, the individual, however talented and equipped, would be incapable of confronting serious problems of the welfare of the people. Ethical burdens must be borne elsewhere. Therefore, we should turn to the institutions as bearers of these responsibilities.

Public service is not merely a set of rules and regulations. If that was so, efforts at training the individual in procedures could solve all our problems of governance. Rules and regulations are necessary but not sufficient for efficient service delivery. The unwritten modes of responding to people’s needs and aspirations are equally important. Individual’s responses are important, but the ethical conviction of an agency collectively adds a new dimension to the game. That is why one looks to formal organizations.

Traditionally, many of the vital public services like water supply, electricity, sanitation and transport are rendered by the local authorities in urban areas. Besides, they are also to some extent entrusted with providing education and health care services to the citizens. The delivery of services involves multiple transactions between the municipal employees with the citizens/citizen groups. While the regulations provide the processes of dealing with every issue and

eventuality, the 'spirit' of public service makes a lot of difference. It is said that if you work according to the letter of the law but not its spirit, you can still go wrong. Ethics is the heart of testing the quality of service rendered.

There are two ways of looking at the ethics of public service. Normally, in the available literature on the subject, the ontological aspect of ethics is highlighted. Such a perspective emphasizes upon personal character of individual members of an organization and recommends the need for transformation of the individual members in case of perceived lack of ethical conduct on their part.

The other way is to take a critical look at the culture of the organization reflected in its systems and processes. If the rules of conduct merely require the compliance with written procedures, it would undoubtedly result in streamlined administration and satisfactory outcomes. It should, however, be realized that individuals can serve the people in their limited area of work. On the other hand, if the culture of the organization requires a proactive attitude of going beyond the written word in meeting the needs of different stakeholders, the members of the organization are likely to develop the habit of help and care.

It is a common perception in our country that there is a severe disconnect between the delivery of services and public interest. The delivery mechanism seems to lack the requisite effectiveness and the citizen is compelled to wait for services which are legitimately his. The system exists more for the server and not for the served. This disconnect results in resentment and cynicism about the efficacy of governance. Obviously there is a need for reorganizing the institutions which are directly involved in providing services to the people.

Empirical evidence shows that most organizations are resistant to change. There is no urgency on the part of public functionaries to meet the needs and aspirations of the people. Committees and commissions for administrative reforms are regularly constituted but their recommendations are largely ignored. In this context, it is felt that training of public servants is the weakest link in the orientation of public servants towards the citizens.

One of the main areas of training which is generally overlooked is in ethical governance. In the present unsatisfactory system of training, the critical element of ethics remains conspicuous by its absence.

The recent framework of National Training Policy of government of India accords a high priority to training in ethics. The Department of Personnel and Training has of late started sponsoring programmes on ethics in public service for senior administrators. However, such programs are confined to the higher echelons of bureaucracy and therefore have failed to generate an environment of ethics in the institutions.

The IC Centre for Governance is a civil society organization dedicated to the cause of good public governance with special reference to India. Consisting of a large group of experienced professionals from different walks of life, it tries to identify critical areas of governance requiring attention. The Centre acts as a Think Tank, produces reports on important issues and reaches out to the policy makers and the law makers. In specific matters, it assumes the role of an Advocacy Organization too.

The Centre has been pursuing a mission of introducing and spreading ethical conduct in the delivery of public services since its inception in 2003. It has adopted a consistent approach to Ethics in Governance in all its activities because it believes that ethics is the heart of good governance. Accordingly, the subject of ethics in the context of governance is being continually researched by its Core Group.

A unique training programme on ethics in public service was conceived by the Centre in 2005 especially for senior civil servants. The Government of India, after evaluating the programme, accepted the programme for senior members of Indian Administrative Service in 2005. Since then the programme has received accolades from the participants and sponsors alike. It has now spread to the officers of various services and serves the civil servants of state governments and autonomous bodies.

The latest thinking of the Centre in this context is to develop

institutional ethics in addition to individual ethics.

In 2012, the newly appointed Municipal Commissioner of Municipal Corporation of Greater Mumbai (MCGM) had sought to create a vision of ethical working of the Corporation in the service of people of Mumbai. Being guided by the desire of introducing an environment of ethical public service in the Corporation, he conceived of imparting training to all the employees of the Corporation within a medium term plan span. While he was looking for a suitable partner in the endeavor, he heard complimentary views about the training program of ethical governance being conducted by IC Centre for Governance. He made enquiries regarding the capability and willingness of the IC Centre to offer specially engineered programs for the officials of the Corporation. In his view, a partnership with a credible organization could, in addition to improving the image and performance of the Corporation, also act as an example to be replicated in other similar public organizations. A meeting was duly arranged with the representatives of the IC Centre for Governance for exploring the possibility of holding regular training programs on ethical public service at a suitable location. After deliberations it was mutually decided to conduct five day training programs for senior officers of the Corporation in the first stage of partnership, at the conferencing and training centre of IC Centre for Governance at Panchgani.

### **The Concept of training in MCGM**

Since the IC Centre has a mission of creating an environment of ethics in public governance at various public levels, it was agreed that the two organizations will work together with a shared objective of introducing value based public service in the Corporation over a period of time. With this objective of model training, a schedule was drafted with mutual consultation and the program commenced in October, 2012.

The chosen venue of the training program was Asia plateau in the Sahyadri hills of Maharashtra overlooking the Krishna valley. Asia plateau was selected because of its proximity to Mumbai and a long history of teaching ethical living and leadership to various sections



of people. The resident faculty of Asia plateau has a cherished legacy of moral and spiritual thinking.

The first phase of training continued till the middle of 2013. In the course of this period 8 programmes were conducted with the participation of more than 300 officers of the Corporation. Every program was meticulously monitored and documented. The course Directors recorded the feedback of participants of each program and incorporated it in their report after each program. For the resource persons, each successive training program was a learning experience leading to improvements in later programmes. The content, sequence and harmony of various sessions were updated in the subsequent programmes. The two integral objects of first phase of training plan were:

1. Orientation of the officers of the Corporation to short training programs on ethics specially designed for them.
2. Installing institutional mechanism and invoking the sense of public service in the normal working of the Corporation.

A typical training program consists of the following modules:

- i. Drawing from one's own and each other's inner resources for inspiration and learning.
- ii. Developing a paradigm of ethical public service and leadership.
- iii. Discussing case studies on municipal issues and
- iv. Exploring the balance between family life and working life for wholesome living.

A typical 5 day program comprises of three main streams -

Firstly: integration of one's own inner self. The programme tries to develop participants' inherent inner self. It is done through the innovative technology of inner governance developed over time at Asia Plateau.

Secondly: integration with other people. The main elements of this stream include listening intently to the views of other participants, sharing their working experience and analyzing their relationship with other stake-holders.

Thirdly: integration with nature. The Centre believes that ethics is governed by the laws of nature which are not invented but discovered. Therefore, harmony with nature is conveyed through soul nurture walks, discussing environmental issues and learning about flora and fauna.

Each programme is meticulously designed in consultation with domain experts and caters to the specific needs of the officers. It was anticipated that the training program would result in distinct change in the officers' dealing with colleagues and members of public.

### **The Programme for Senior Officers – Content and Spirit**

It was the endeavor of IC Centre of Governance to expose the participants to some of the best practices in public service delivery, especially in the context of civic services. A number of senior administrators were invited to share their knowledge and experience with the participants. Some of the municipal commissioners of other Municipal Corporations spoke to the participants about innovative systems introduced by them in their respective Corporations. Besides a couple of former Commissioners of MCGM were also invited to discuss the modalities of civic facilities in Mumbai.

In order to bring out the best attitudes from the participants themselves, a novel method of invoking their inner strength was applied. Motivational experts in self-development and path correction stayed with the participants for the entire period of the programme. These motivational experts did not confine their sharing within the class room only. There was a continuing interaction from inside the class room to the dining hall, lounges and parks. The participants were encouraged to discuss their family affairs as well as work related problems in an 'open space' technology. The strategy based upon putting together the inner self with the professional environment aimed at increasing the integrity of the participants and making them aware of their relationship with other stakeholders in the community.

By design, the training programmes offered by IC Centre for Governance are not static. The resource persons learn something new from every programme and try to incorporate the lessons learnt

in subsequent programmes. This helps to enrich the programme for future participants. In fact, each programme is a learning experience not only for the participants but also for the faculty and resource persons. Another unique feature of the Asia Plateau programmes is the extensive use of resident community living in Asia plateau for showcasing self-improvement. The young members of the internship program present their personal experiences of change and illustrate the subject of each session through imaginative songs and skits. This feature makes the learning environment lively and more conducive to learning.

In the first phase of the MCGM project, about 300 senior officers of various departments participated in 5-day programmes. Numerous actual situations were discussed and many alternative solutions to the problems emerged from the discussions. It was constantly emphasized by the resource persons that there exists no perfect solution to real life problems. There are several alternative second best solutions which can be improved upon. Focused listening and reflecting on actual situations could lead towards better answers.

### **The Feedback from the Participants**

The feedback from the participants indicated that they were able to internalize the deliberations and react to situations in a more objective manner. At the end of each programme, the participants were invited to share their impressions of the programme and also to indicate their take-aways. Some of the recurrent feedbacks from the participants are mentioned below:

1. It was a life changing experience.
2. Until now I was not so careful about relationships but the programme has taught me the importance of relationships in life.
3. I now believe more strongly that one should see what is the problem and not who is the problem.
4. I now see that the Corporation has given me so much, it is my duty to give to the citizens more.
5. I came with a prejudiced mind. The workshop has cleared

my prejudice.

6. Now we will go to the people instead of waiting for the people to approach us.

These participants' feedbacks indicate that the short programmes do result in a constructive understanding of the participants' attitudes and reinforces the belief that change can be instituted at personal level. They are able to see the practical situations from a different perspective than their normal routine reactions. It may, however, be mentioned that such attitudinal changes may be temporary and that the participants are likely to revert back to their routine working mode once back in their familiar environment. This is a challenge which only they can face. There is, however, an attempt during the programme to help them share their perceptions with their colleagues and family members. Also, perhaps it is imperative that they should periodically undergo short well designed refresher courses within the Corporation.

The participants were also asked to analyze the existing systems and procedures of the Corporation and make suggestions about possible improvements. It was a remarkable realization that they had an astute understanding of the working of the Corporation, which could be utilized to infuse dynamic improvements in the overall performance of the organization. They made suggestions for systematic reforms as well as for improvement in day-to-day functioning of the different departments.

For instance, they suggested that there should be a training policy for providing compulsory training courses to the staff at all the levels. Similarly, a suggestion was made for installing standard operating procedures for every activity of the Corporation. Also, in their view, there should be a transparent performance appraisal system to assess the conduct and performance of divisions as well as individual officials. It was also suggested to establish a fast track procedure for interdepartmental clearances.

They suggested that there should be a policy of building a second level of leaders who would serve as efficient heads of departments after 10 years. Similarly, a number of suggestions were made to

improve the day-to-day working in the Corporation. The sample of such suggestions includes reducing the number of meetings and conducting discussions by video conferencing; to implement all court orders promptly; to make greater use of information technology and website; to introduce two-shift working for departments dealing directly with the public; and to take regular feedback from the consumers.

From the above it would appear that the participants realized that they were integral stakeholders in the working of the Corporation. They were also concerned about projecting a positive image of the Corporation in the public and media. To this effect they also made personal resolutions to give more to their organization and to the citizens.

The feedbacks from the participants have been systematically documented and duly conveyed to the top management for consideration. It is expected that the suggestions that are considered doable and viable would be implemented in due course. This would be a by-product of the training project.

During the course of holding training sessions for various services and organization, it has been the experience of the IC Centre that a number of natural leaders emerge from among the participants. In addition to absorbing the spirit of the programme, they bring their own experiential contribution to it. These ethical leaders could be suitably utilized as faculty in the subsequent programmes. For instance, many of the IAS officers who attended the programmes sponsored by the Government of India as participants, later came to subsequent programs as facilitators. Besides being the naturally endowed leaders, they also carry requisite background experience of public organizations. Personally I find them to be the best trainers on ethical public service.

In the context of MCGM also, it would be desirable to develop in-house leaders who would act as co-trainers in the continuing training programmes meant for functionaries at the cutting edge level. It may be mentioned here that a similar exercise was conducted at Asia Plateau for the teaching staff of Administrative Training Institutions of various state governments. Now that MCGM is planning to have

their own training centre at Borivali for conducting courses for the vast number of employees, it seems essential that appropriate in-house facilities should be developed.

### **Joint Review Meeting**

In order to make concurrent evaluation after programmes for senior officers, a joint meeting was held in Mumbai on June 13, 2014, wherein some members of the core group of IC Centre and senior-most officers of MCGM participated under the chairmanship of the Municipal Commissioner. The general feeling of all concerned was that the project was a credible exercise in the introduction of an environment of ethical public service in the Corporation. It was concluded in the meeting that the training programme should be further strengthened and institutional arrangements developed. In this context effective redressal of public grievances and operationalisation of the Citizens' Charter were mentioned.

During the review meeting, the responses of the alumni were extremely encouraging. They were able to recount the personal changes that many of them were able to experience in their personal and working life as a take-away from the programmes. Some of them recounted how their efficiency and effectiveness in their field had improved by conducting interactive sessions with other stakeholders like the local citizens and the cutting edge workers of the Corporation. Many of them had been able to enforce punctuality in the office by setting personal examples. It was gratifying to see that the alumni were interested in creating a positive impact on the workers of their departments by rationalizing processes and systems within the Corporation. They made a particular mention of the need of decentralization in decision making within the Corporation.

On behalf of the IC Centre for Governance, it was suggested that an in-house Training Centre should be developed for carrying an Ethical Training Programme for all the employees of the Corporation as well as to conduct research studies in organizational reforms. It was mentioned by the Director in charge of training that an old training centre already exists in Borivali which can be renovated and upgraded to meet the requirement. A quick visit to the Borivali centre was also

organized after the interactive meeting.

The IC Centre for Governance was most willing to conduct the training of trainers who would subsequently run the training programmes at Borivali centre. For this purpose some of the identified alumni from the previous programmes could also be suitably utilized as trainers. The centre would provide the framework of the training program for various levels of employees besides helping in inner governance sessions and observing the performance of the trainers. This hand holding exercise could continue for a period of six months to one year.

The visit to the Borivali centre was extremely fruitful. The complex covers an area of more than 13 acres adjoining the Sanjay Gandhi Reserve Forest and appears to be quite suitable for the purpose of training. It looks like a mini version of Asia plateau with green surroundings and peaceful environment away from the hustle bustle of metropolis. The renovation plan was discussed and it was agreed that four conference rooms to accommodate 50 to 60 participants each as well as two hostel complexes with 34 double seated rooms would suffice for running continuous programs.

As of now, eight programmes for class I officers of the Corporations have been conducted at Asia plateau from October 2012 to March 2013. Out of 400 senior officers, 318 have participated in the programmes. Some of the nominated participants had dropped out at last stage due to personal and official reasons. In these programmes 20 lady officials attended.

The second phase of the training program started in August 2013 and continued till January 2015. During this period, 12 programs for the second level of senior officers were conducted covering 505 officers. Thus, most of the officers of Deputy Commissioners, Chief engineers, General Managers etc. have undertaken the training programmes.

## **Second Joint Review Meeting**

It was felt that a second review meeting was needed for taking stock of the situation and planning for the future. Consequently, on the request of IC Centre for Governance the Commissioner

MCGM called a joint meeting on 5<sup>th</sup> March 2015 in his office. During general discussion on the project of training programmes, the commissioners expressed their satisfaction with the programme and desired that it should be continued for the class III and IV employees of the Corporation. In this connection, the progress of the infrastructural development of Borivali centre was considered in some detail. The chief engineer informed the Commissioner that the work of the restoration of the property was almost complete and training programmes could commence from October, 2015. It was also decided that some selected officers who had participated in Asia plateau should be identified and requested to lend their services as trainers. It was decided that options may be invited from all the participants desirous of acting as faculty in future programmes. The selected officials would then be required to attend the training of trainers' sessions at Panchgani.

It was once again reiterated by the IC Centre that a large number of suggestions tendered by participants should receive due consideration from top management. Their suggestions have already been compiled and sent to MCGM. It was emphasized that the acceptance of some of the doable suggestions would help in increasing a sense of belonging and partnership among the officers of the Corporation.

The commissioner made a special request to IC Centre for Governance for developing a program to meet the needs of officials of the engineering departments of the Corporation. He said that there were about 4000 engineers in the Corporation who needed to be educated in engineering ethics. The suggestion was appreciated by IC Centre who readily accepted the challenge. It was stipulated that a skeletal framework of the code of ethics for engineers would be drafted and submitted to the Commissioner in 3 months. As of now, the draft code of ethics for engineers has been prepared and sent to the Municipal Commissioner for further action.

### **The way ahead**

It is anticipated that in a couple of years, the Corporation will be providing an orientation of the bulk of its workforce towards



dedicated public service. As it is based on the principle of stimulating inner calling of each employee for bring helpful to the citizens, the Corporation would develop institutional ethics for those who join the Corporation in future.

Needless to say, it will be necessary to carry out a field survey of public satisfaction of the Corporation's citizens' charter. It is, therefore, suggested that such a poll be conducted after two years to assess the efficacy of ethical training.

The immediate next course of action for top management would be to complete the work of renovation of its own training centre and commence training of field level functionaries. It should be accompanied by creating a group of trainers from within the Corporation to shoulder substantial parts of training. For this purpose, a 'training of trainers' programme is envisaged.

The broad objective of the programme is to create a world class municipal service, which may act as an example to be emulated by other municipal organizations. It would include creating a sense of purposefulness among the employees of the Corporation in the work they are performing routinely. In this context, a one-day refresher programme could also be considered at the appropriate time.

**Rajiv Sachdeva and Sunil Kumar**

---

## **Code of Ethics for Engineers**

### **Sustainability of Public Service Organizations**

Over the last decade, IC Centre for Governance has been organizing training and interactive programs on Ethics in Governance with focus on Public Services. As part of this initiative, it has evolved the following Organizational Vision:

“We resolve to commit ourselves to serve the people of our nation by providing an ethical, honest, professionally sound, accountable, humane, and truly participative system of Governance’.

A vision can be realized only if it is based upon a “Code of Ethics”. In this article, we have presented a generic Code of Ethics for Engineers which can be suitably adapted by any Organization engaged in Public Services.

Before going into the details of the Code, we wish to highlight the following aspects:

- 1) For ease of understanding, the Code has been divided into two parts. Part I covers the Guiding Principles while Part II covers the actual Code of Ethics.
- 2) There is a thin line which divides a Code of Conduct from a Code of Ethics. While the former is considered mandatory and enforceable, the latter is perceived as a guideline which is advisable and recommended. In practice, there is significant overlap between the two codes, making the distinction sometimes difficult. Therefore, while writing this Code of Ethics, we have attempted to prepare a complete and comprehensive document which fulfills both the purposes. The basic point to be kept in mind is that Compliance to laws

and regulations as well as to the policies of the Organization is an essential and mandatory requirement. The remaining aspects are ethics and values-based recommendations which are needed to build a reputed, efficient and sustainable organization. It is up to the Management of the Organization to define the extent of corrective or punitive actions in case the recommendations are not followed. From our perspective, an incentive-based system is preferable. The careers of employees, who diligently pursue the Code of Ethics, should be given a boost.

- 3) Engineers usually constitute a significant part of any Organization which deals with public services. Unlike doctors, a defined and standard Code of Ethics is not available for them. Therefore, while preparing this document, we have laid specific emphasis on the expectations from engineers and other technical staff.
- 4) The prepared document is generic in nature. It may need to be modified and adapted to meet the specific requirements of the Organization. This is possible through an intensive interaction in the form of a two or three day workshop with representatives drawn from the Management, Ethics Office (or Compliance/Vigilance departments), HR department and Engineering Division.
- 5) After defining a Code of Ethics, the next logical step is to create an appropriate organizational structure and formulate commensurate policies. The organization structure and the policies govern the smooth and effective functioning of the entire system. The existing policies of the Organization may either need to be modified or re-written to be in harmony with the Code of Ethics. In this respect, the services of ICCfG may be availed.
- 6) One of the critical aspects of implementation of a Code of Ethics is to conduct awareness programs and provide training to the employees. Here it is important that the employees not only understand the contents of the Code but also imbibe and internalize Values and Ethics such that conformance to

the Code becomes a pleasant and satisfying routine and not an enforced and painstaking ordeal. The ICCfG conducts regular training sessions on “Inner Governance” and these could prove invaluable in pursuit of this objective.

## **Part I: Guiding Principles**

### **1. Behavioural Requirements**

The success and reputation of an Organization is determined by the behaviour and performance of its employees at all levels of the organization. An illegal or inappropriate behaviour of even a single employee can cause significant damage. The Organization therefore emphasizes the importance of compliance to the law and ethical behaviour in each and every activity. All employees, irrespective of their position in the hierarchy, must earn respect through exemplary personal behaviour and promote a culture based upon the four basic pillars of honesty, transparency, efficiency and responsibility.

The Organization has laid down the following principles and expects that they will be the foundation for all its activities:

- a) Compliance to the applicable laws.
- b) Conformance to the rules, policies and guidelines of the Organization.
- c) Respect for the personal dignity, privacy and personal rights of every individual.
- d) No discrimination with respect to caste, creed, culture, colour, race, ethnic background, religion, sect, belief system, age, disability and gender.
- e) Zero Tolerance to violence, coercion, harassment, molestation, or any other offensive behaviour.
- f) Excellent team building. This includes working together constructively and harmoniously to achieve the set objectives.

The Organization calls upon all its employees to live by the above principles so that we can together build a strong, excellent and highly respected organization based upon top performance with the highest

ethics.

## **2. Corruption**

Corruption is the abuse of a position of strength, power, authority, status or trust to get or give material or non-material benefits/advantages to which there is no legal entitlement. Corruption can take place in all walks of life. Prominent examples are the Government, politics, judiciary, private sector and even non-profit organizations, associations and foundations.

The Organization has a Zero Tolerance policy to Corruption. Accordingly:

- a) Employees are not permitted to take, demand, accept, obtain or be promised benefits/advantages. This does not apply to the acceptance of occasional gifts of purely symbolic value or meals reasonable in value that are consistent with local customs and practices. Any other gifts, meals or entertainment must be refused.
- b) Employees are not permitted to directly or indirectly offer, promise, grant or authorize the giving of money or anything else of value to any individual or any Government/private organization to obtain an improper benefit/advantage.

Above all, every employee must realize that a clean and corruption-free working environment not only enhances the image, efficiency and productivity of the Organization but it also increases his/her own work motivation, job satisfaction and quality of life.

## **3. Money Laundering**

Money Laundering is the process of concealing the nature and source of money and deceptively integrating it into the main stream of commerce. This money is usually connected with criminal activities such as bribery, drug trafficking, extortion and terrorism. Through money laundering, criminals try to convert dirty money into legitimate (clean) money without having to identify its owner or origin.

It is the Organization's intention to conduct business only with reputed companies, consultants and business partners who are

involved in transparent and lawful activities and whose funds are derived from legitimate sources.

#### **4. Procurement and Dealing with Suppliers**

The objective of the Organization is to be world-class in procurement on a strong ethical base. The employees, who are entrusted with procurement activities, must have a strong professional and ethical approach for fair dealings with all suppliers.

In turn, the Organization expects its suppliers to act in accordance with the following principles:

- a) Comply with all applicable laws.
- b) Follow clean, fair and transparent business practices devoid of any corruption, formation of cartels or infringement of Intellectual Property Rights.
- c) Offer products based upon latest proven technology.
- d) Prohibit child labour as per applicable local laws.
- e) Take adequate steps for the safety and health of their employees.
- f) Act with high responsibility with respect to environmental protection. Conformity to local and international norms is essential.
- g) Promote a culture of compliance and integrity among their sub-suppliers.

Procurement based upon ethics establishes faith and trust between the buyer and supplier. This reflects in long-term sustainable partnerships which benefit not only the organizations and their employees but the entire society as well.

#### **5. Interface with Third Parties**

The Organization often outsources activities to third parties. Examples of such third parties are service providers, consultants, clearing agents, data management firms, consortium partners etc. Since these third parties execute work on behalf of the Organization, they are perceived by the outside world as an integral

part of it.

The Organization is held responsible and liable for the actions of these third parties. It is therefore necessary to carry out careful checks on their integrity. These integrity checks must be carried out not only at the time of selection but also at regular intervals. The checks can also be event-driven.

## **6. Sponsorship, Donations, Memberships**

Sponsorship is a contribution made by the Organization (the Sponsor) for an event which is hosted by a third party. Examples of such events are sporting events, entertainment shows, seminars and workshops. In return for the contribution, the Organization receives several benefits. These could include the advertisement of the brand/logo, mention in the opening/closing addresses, participation in panel discussions and some tickets to the event.

Donations are voluntary contributions for social, humanitarian, educational, cultural or scientific causes without requiring anything in return.

Sponsorship and Donations should be clearly distinguished from Memberships. In case of a membership, a contribution or fee is paid to an Industry Association (such as CII, FICCI, ASSCHOM) or a technical Society (such as ISO, IEEE, IEMA) or a social/cultural Center (such as IHC, IIC, a reputed Club). These memberships are primarily meant to:

- a) Deepen the understanding of business and economic scenario.
- b) Discuss common issues and try to find solutions.
- c) Share best practices.
- d) Increase awareness and knowledge of latest technologies.
- e) Enhance people to people contact.

## **7. Conflict of Interest**

All employees should take official decisions in the best interest of the Organization and not based on their own personal interests. A

Conflict of Interest takes place when an employee engages in activities to advance his personal interests at the expense of the Organization's interests.

## **8. Handling of Assets**

The Organization provides a large number of diverse assets for use by the employees to enable them to perform their duties in the best possible manner. Such assets include buildings, furniture, fixtures, telephones, stationery, computers, software, copying machines, printers and other tools. The assets are meant for doing the work of the Organization and not for personal use or gain.

## **9. Confidentiality of Information**

Confidential or propriety information is generally provided to a restricted group of persons within the Organization. Information, which is available in the public domain, is not considered confidential information. This includes the information on the website, printed literature, advertising material, annual statements etc. It must however be kept in mind that all such information is to be considered as confidential until the date of release.

As part of both personal and work ethics, employees are expected to maintain confidentiality even after the termination of the employment relationship.

## **10. Environment, Health and Safety (EHS)**

The Organization is committed to protect the environment and thereby create cleaner, greener and healthier living conditions. It also assigns the highest priority to the health and safety of the employees and the public.

The Organization expects adherence to the following requirements as a minimum:

- a) Compliance with applicable laws, regulations and standards.
- b) Proper escape routes and evacuation facilities at all its locations (offices, warehouses, workshops, service centers, sites, etc). These should be clearly identified and marked.



- c) Provision of functional fire-fighting and life-saving equipment as well as basic medical facilities at all locations.
- d) Conducting of regular employee awareness programs and drills for handling emergencies.
- e) Training of adequate number of employees to manage emergencies efficiently.
- f) Regular checks on the quality of water and food served at the location.
- g) Responsible and safe use of equipment and facilities by all employees.
- h) Proper maintenance to ensure efficiency, cleanliness and greenery.
- i) De-cluttering of workplaces through frequent disposal of unnecessary paper, outdated documents, obsolete assets, etc.
- j) Personal commitment of the top Management by undertaking regular “inspection” walks through the locations.
- k) Carrying out of periodic and event-driven EHS audits.

## **11. Complaints and Whistle-blowing**

Any aggrieved employee has a right to lodge a complaint with his/her Manager, the HR department, the Ethics Office, and the Union. Complaints usually range from poor working environment, inadequate infrastructure, inefficient operations, rude behavior, irritating conduct and discriminating actions to graver issues such as molestation and acts of violence.

While complaints relate to specific incidents or a sequence of them, Whistle-blowing is the act of raising an alarm (also referred to as “Blowing the lid off”) when a significant and/or systemic violation of the Code of Ethics is discovered. This could, for example, include falsification of account books, accepting bribes from suppliers, approving inferior designs and quality, preparing ambiguous and misleading technical documents, leaking confidential information to external parties, clandestinely selling scrap material at a project

site etc. Whistle-blowing is not limited to the employees of the Organization. It can also be initiated by an external party which interacts with the Organization.

If the internal channels of the Organization, such as the Management, the HR department or the Ethics Office are perceived to be inadequate, a complaint or an alarm can be raised directly to the Organization's Ombudsman, who is an external person meant to ensure maximum possible impartiality.

Complaints and Whistle-blowing actions can be submitted both confidentially and anonymously without fear of any reprisal. The Organization is committed to investigate all such issues and to simultaneously maintain secrecy by not revealing the identity of the Complainant/Whistle-blower. All documentation is also kept confidential to the extent permitted by law.

While the Organization is committed to take adequate corrective measures, it also expects that frivolous, misleading or manipulated issues will not be raised in the form of complaints or whistle-blowing actions.

## **12. Implementation and Monitoring**

The Management firmly believes that the "Code of Ethics" should be an integral part of all activities of the Organization. The Code of Ethics provides the ethical, social and legal framework to ensure a clean, transparent and efficient working environment.

A special department "Ethics Office" has been set up within the Organization to effectively implement and monitor the Code of Ethics.

With the full support of the Management and HR functions, the Ethics Office will ensure that the Code of Ethics is implemented and followed by all employees of the Organization. The following specific guidelines shall apply:

- a) Every employee shall undergo training in the Code of Ethics so that he/she understands and practices it.
- b) Refresher training courses will be conducted every three years.

- c) Once every year, all employees will be required to sign an undertaking in their individual capacities that they abide by the Code of Ethics.
- d) It is mandatory for all new joiners to undergo training in the Code of Ethics and sign an undertaking to abide by it before starting any work for the Organization.
- e) A similar undertaking is also necessary from all Third Parties, Associates and Affiliates of the Organization.

The implementation shall be monitored throughout the Organization in all its departments, offices, locations, workshops and project sites. The Management is committed to address and rectify any deviations or violations swiftly. It also expects the full commitment and support of the employees.

The success and accomplishments of the employees are intrinsically dependent on the ability of the Organization to deliver high quality, efficient, economical, timely and satisfactory service to the public based upon the Code of Ethics.

## **Part II: Code of Ethics**

### **1. General Behavioral Expectations**

The following professional behaviour is expected from engineers and technical staff:

- a) To take decisions based upon the safety, health and welfare of the public as well as the impact on the environment.
- b) Undertake a technological task only if qualified, trained and experienced to accomplish it.
- c) Accept responsibility for the outcome and consequences of decisions, designs, drawings and application.
- d) Assign high priority to innovation and quality to achieve best results.
- e) Promptly point out technical challenges and deficiencies so that timely corrective actions can be taken.
- f) Be honest and realistic in seeking credit for oneself as well

as in acknowledging the contributions made by others.

- g) Be fair and impartial in all technical assessments, approvals and inspections.
- h) Prepare clear and comprehensive documentation based upon sound technical principles.
- i) Not to leverage technical knowledge and technology for unfair gain or advantage
- j) Reject all forms of bribery; it is often disguised as “Technical” recognition, appreciation or award.
- k) Constantly strive to improve technical knowledge and increase technological competence.
- l) Share knowledge which is not confidential or proprietary and assist co-workers in their professional development.

## **2. Corruption**

While complying with the Zero Tolerance policy on corruption, employees responsible for hiring consultants, contractors, third parties etc. (collectively referred to as Organization’s Partners) should take the following actions:

- a) Properly evaluate the reputation and qualifications of the Organization’s Partner.
- b) Ensure that the Organization’s Partner understands and will abide by the anti-corruption policy of the Corporation.
- c) Include suitable clauses and provisions in agreements and contracts which protect the Organization.
- d) Report immediately to the Ethics Office or Ombudsman any pressures (or incentives) to hire a non-conforming Partner.

## **3. Money Laundering**

All employees should abide by applicable money laundering laws and procedures that are designed to detect and prevent suspicious forms of payments and transactions. In particular, employees should note and report the following:

- a) Large cash transactions, particularly those exceeding Rs.

20000/-.

- b) Multiple split cash transactions.
- c) Payments to different bank accounts of the same contractor.
- d) Requests from suppliers to make part payments to third parties such as consultants and agents.
- e) Requests from domestic suppliers to make payments in foreign bank accounts.
- f) Involvement of agents at any stage of a contract.
- g) Execution of contracts through a long and complex chain of outsourcing.

Employees should maintain proper records of all transactions. While taking over or handing over projects midway during execution, a proper status analysis needs to be undertaken and recorded.

#### **4. Procurement and dealing with suppliers**

The Organization expects its employees to act in accordance with the following principles:

- a) Comply with the laid-down policies for procurement.
- b) Carry out business in an atmosphere of trust, honesty and good faith.
- c) Create and nurture a culture of courtesy and integrity in dealings with suppliers.
- d) Encourage active and fair competition.
- e) Refuse personal gifts and favours.
- f) Declare if any vested interest exists in a supplier. Declaration should also be made if a close relative or friend is working with a supplier.
- g) Buy products and services at the right price from the right source in the right quantity. In addition, conformity to specifications and timely delivery are essential.
- h) Make efforts to negotiate a transparent, equitable and mutually acceptable deal in order to minimize the possibilities of

controversy, claims and arbitration at a later date.

- i) Invoke liquidated damages and penalties only if justified. Do not use them as coercive levers to pressurize suppliers.
- j) Promptly report to the Ethics Office any misconduct or malpractice such as the offering of bribe by a supplier.
- k) Employ the latest internet-based tools for procurement such as e-Tendering, e- Auction, etc.
- l) Implement a regular and independent monitoring system for feedback and improvement.
- m) Cooperate with trade, industrial and professional associations to promote clean and sound procurement practices.

In addition to the above, engineers and other technical staff are expected to comply with the following guidelines as well:

- n) Assign high priority to technical suitability, quality, reliability, availability, technology, safety, health, environment, compliance to local and international standards, capital and operating expenditures, proper and comprehensive documentation, ease of maintenance, trouble-shooting, obsolescence, availability of spare parts and service aspects.
- o) Frame impartial technical specifications which do not favour specific suppliers.
- p) Prepare clear and unambiguous specifications so that technical evaluations can be done in a fair manner without scope for misunderstandings.
- q) Specify technical features which are feasible.
- r) Desist from over-specifying, over-engineering and unnecessary redundancy.
- s) Ensure that no intellectual property rights are violated.
- t) In case a mistake or a discrepancy is found in the technical specifications, accept it and promptly issue an amendment.
- u) Recognize and reject the lures of lucrative jobs, training, awards and domestic/foreign trips.

- v) Be fair, open, impartial and professional while making technical comparisons, giving recommendations, approving drawings and documents, assessing claims, undertaking inspections and during all other stages of the award and execution of contracts.
- w) As far as feasible, insist on secure paperless communication and e-documentation.
- x) Store all relevant information, reports, evaluations and other documents in secured e-repositories.
- y) Work together with colleagues to form target-oriented teams and share technical knowledge, expertise and experience for mutual benefit.

## **5. Interface with Third Parties**

To pass the integrity check, the responsible employees should ensure that the third party fulfills the following requirements as a minimum:

- a) It commits to the Code of Ethics of the Organization.
- b) It ensures Compliance to all applicable laws, regulations and industry standards.
- c) It should not have any criminal record.
- d) In case of any suspicion of non-compliant behavior, it cooperates with the Organization in a transparent manner and supports all investigations.
- e) It prepares documents properly without any falsification.
- f) It realizes that the Organization has zero tolerance to non-Compliance. In case of such an eventuality, the Organization reserves the right to demand immediate remedial measures and/or terminate the contract.
- g) If the third party cascades its activities to other parties, the above stipulations apply to such parties as well.

The fulfillment of the above requirements is necessary for a clean, smooth and efficient interface with the Organization.

## 6. Sponsorships, Donations, Memberships

In general, the following guidelines apply for Sponsorships:

- a) All sponsoring contributions must be transparent, justified and based upon a written agreement.
- b) The amount of contribution must be commensurate with the consideration offered by the event host.
- c) No sponsorship should be made to obtain any personal advantage for an individual.
- d) Cash transactions are not permitted.

The following guidelines apply for Donations made by the Organization:

- e) Donations can be made only to not-for-profit Organizations which are registered with the Government. A proper receipt for the payment is necessary.
- f) Donations to individuals are not permitted.
- g) The planned use of the donation must be clear and the reason for the donation must be justifiable and documented.
- h) No payment should be made in cash or into any private account.
- i) No donation should be made to any outfit whose interests conflict with the goals of the Country or the Organization.
- j) Payments, disguised as donations, are prohibited.

The following guidelines apply for memberships:

- k) Membership of only recognized, reputed and registered Organizations is permitted.
- l) Membership of suspicious, dubious or banned outfits is prohibited.
- m) All memberships must be transparent and documented.
- n) Cash payment of membership fees is not allowed.



## **7. Conflict of interest**

The following guidelines apply: -

- a) Employees are not permitted to use, for their personal contracts, individuals/companies with which they have dealings as part of their work with the Organization. This is to prevent that they derive any benefit in their personal contracts due to their official positions.
- b) Employees should not have any commercial interests in any business partner of the Organization (for example, a supplier or a service provider). A stake holding of up to 2% of the total equity in listed companies is permissible. Beyond this figure, the stake holding must be disclosed to the Organization.
- c) Employees should not participate in sideline activities that prevent them from fulfilling their official duties and responsibilities. Occasional sideline activities, such as writing articles or delivering lectures etc. will be permitted after seeking permission of the Supervisor. Permission will not be granted, or may be revoked, if any sideline activity is detrimental to the interests of the Organization.

## **8. Handling of assets**

The following guidelines are applicable for the use of the Organization's assets:

- a) Employees should not willfully deface, damage or destroy any assets.
- b) Assets should not be modified or upgraded without the specific written consent of the Supervisor and Administration department.
- c) All assets should be used by following the correct operating procedures and due care should be taken to ensure their optimum functioning.
- d) Any malfunction, damage or theft of an asset should be promptly brought to the notice of the Supervisor/ Administration department.

- e) Excessive use of assets which can lead to significantly increased costs, high wear and tear as well as lowering of productivity should be avoided.
- f) As long as no statutory regulations are violated, electronic communication (E-mail) and electronic storage of records should be encouraged. The use of paper should be restricted to only what is necessary.
- g) Periodic cleaning of unnecessary and outdated records and documentation should be undertaken.
- h) Employees should verify that tools are properly calibrated and proper records have been maintained. It should also be ensured that periodic checks and inspection of specific assets, such as fire extinguishers, are undertaken.
- i) Employees are not permitted to make files, audio/video recordings, and reproductions etc. of events or occurrences which are not related to the Organization's activities.
- j) No information or Software may be viewed, copied, transmitted, retrieved or downloaded that incites hatred, discrimination, violence or any other criminal acts. This applies also to pornography and sexually offensive material.

## **9. Confidentiality of information**

In general, the following information will be considered as confidential, the divulging of which is considered unethical.

- a) Internal structures, processes, policies, guidelines, reports, workflows and proceedings.
- b) Details of Assets, including file and data storage locations.
- c) Presentations, strategic plans, cost structures, financial data and figures.
- d) R&D data, innovations, intellectual property and improvement suggestions. This also includes knowledge repositories and data banks.
- e) Details of offers received and their evaluations.
- f) Contracts with suppliers, service providers, consultants etc.

including prices along with terms & conditions.

- g) Project-specific information including plans, cost calculations, schedules, technical designs/documentation, site equipment, EHS (Environment, Health and Safety) measures.
- h) Records of public dealings, feedback, complaints and corrective actions.
- i) Reports of internal/external audits.
- j) Personal data of employees

## **10. Environment, Health and Safety (EHS)**

The guiding principles are given below:

- a) Reduce pollution of air, soil and water.
- b) Ensure the lowest possible emission of greenhouse gases.
- c) Conserve energy and water.
- d) Handle raw materials and other resources in a responsible manner by avoiding overuse and misuse.
- e) Minimize use of paper and plastics to the bare essential.
- f) Manage waste properly, which includes recycling and reuse.
- g) Create safe, clean, hygienic and healthy working environments.
- h) Ensure quick and professional response in case of medical emergency.
- i) Never allow time pressure to take priority over safety.

In addition to the above, the following guidelines are specifically applicable for engineers and technical staff:

- j) Use latest environmental-friendly and efficient technologies and equipment.
- k) Ensure that environmental compatibility, health and safety are an integral part of the planning, design and implementation of all projects.
- l) Disclose in writing all known impacts on the environment of assigned duties and responsibilities.

- m) Inform in writing in case the engineer's judgement is overruled such that safety and health are jeopardized.
- n) Insist that suppliers and service providers also comply with the applicable standards on EHS.
- o) Undertake adequate measures for fire protection and industrial disaster prevention.
- p) Transport and store hazardous goods after taking all due precautions.
- q) Undertake all necessary measures for protection against harmful radiation.
- r) Treat effluents to make them harmless before releasing them to nature.
- s) Cooperate with Government agencies to develop and improve policies for furthering the cause of EHS in all aspects of public life.
- t) Undergo and encourage training and certification in EHS standards such as ISO 14001 and OHS AS 18001

M.K. Kaw

---

## Technical Education in India

### Ancient Origins

Technical education in this country has very ancient origins. One may not accept as wholly credible the tall claims of some Hindutva enthusiasts that Indians knew how to manufacture and fly an aircraft, merely on the ground of an allusion to a *pushpak viman* used by Sri Rama for his return journey from Lanka to Ayodhya. Nor need one take seriously the mention of scientific advancement in ancient India on the basis of the reference to Sanjaya witnessing the Mahabharata war from Hastinapur and giving a running commentary on the events therein.

But it cannot be denied that certain independent American economists have calculated the share of India as 22% of the world trade and India's GDP to be 25% of the global estimate in and around 1600 A.D.

Nor is it a chimera of the imagination that hundreds of conquerors, some big like Alexander and Chingiz Khan and some insignificant unknown warlords made a beeline for India in order to loot it of its riches, its gold, silver, diamonds and precious stones, again and again and yet again. The technical skills of our craftsmen were of world standard, as exemplified by such artefacts as the Ashoka Pillar still lying unruined near the Kutub Minar in New Delhi.

It is another matter that our British conquerors were able to suck the country of all its accumulated riches and systematically destroy all its crafts and technical skills, so as to build the impressive edifices of the Industrial Revolution and the British Empire.

With all that, we must give the devil his due. It is equally true that modern technology as we understand it today came to India

through the good offices of the East India Company and the British Government. Although, here again, their motives were suspect. For example, when they introduced the railway train in India in 1853, it was more to accelerate the mass troop movements needed to dominate a huge geo-political entity called India, than to provide a modern transportation system to the people of this country.

### **Historical Evolution**

Be that as it may, some beginnings of technical education had been made before the British decided to leave India. In 1945, soon after the Second World War, the Reconstruction Committee of the Viceroy's Executive Council asked the Central Advisory Board of Education to give suggestions about the post-war educational system in India. One of the important recommendations of the CABE was the creation of an All India Council for Technical Education as the apex body for the rapid and coordinated development of technical education in India.

Since then there has been rapid expansion of the technical education system in this country. Interestingly, the Government of India passed a resolution dated 30<sup>th</sup> November 1945 creating the AICTE as a non-statutory body. At the same time, it also set up a committee under the chairmanship of Shri N.R.Sarkar to advise on the provision of higher technical education in the country on the pattern of the MIT in USA.

Consequently, five Indian Institutes of Technology were initially set up at Kharagpur, Bombay, Kanpur, Madras and Delhi. The IITs have since flowered into world class institutions, mainly because the Government has adopted a hands-off approach towards them. Government has also been highly liberal in providing assets and funds to these institutes. They have been allotted free land to the extent of 500 acres each in metropolitan centres and received munificent annual grants of around Rs. 500 Crores per IIT.

In 1955, the Planning Commission set up an Engineering Personnel Committee to undertake an overall assessment of the demand and supply position in respect of engineering personnel. As a consequence, seventeen Regional Engineering Colleges were

set up by 1989. They were later upgraded to National Institutes of Technology.

On the recommendations of AICTE, four Regional Teachers' Training Institutes were set up at Bhopal, Calcutta, Chandigarh and Madras in order to meet the requirements of developing polytechnic education.

An Apprentices Act was passed in 1961 to regulate and control the training of apprentices in trades. In 1967, the Act was amended to bring training of engineering graduates and diploma holders within its purview.

Management education emerged as a separate discipline first in the US and later in Europe. India took an early lead in this respect and set up the All India Management Association in 1957. Indian Institutes of Management were set up at Calcutta, Ahmedabad, Bangalore, Lucknow, Calicut and Indore.

As a result of all these developments there was a phenomenal expansion in the facilities for technical education in this country. The expansion in the fifties and sixties took place with the blessings of the AICTE and the approval of the Govt. of India. The rapid expansion during the eighties took place in the four States of Maharashtra, Andhra Pradesh, Karnataka and Tamil Nadu and was primarily in the self-financing sector.

The expansion has since taken place in a big way, partly because of the half-baked policies of the Central Government. For example, in the year 2000, there was a sudden order from the Prime Minister's Office that the AICTE should quadruple the intake in all courses on information technology. Similarly, there was a sudden shift in focus towards bio-technology without there being any credible data to support any such initiatives.

A look at the figures of number of institutions and the intake therein reveals that in engineering courses, the number of institutions rose from 1511 in 2005-06 to 3389 in 2014-15 and the intake in undergraduate programmes rose from 6.59 lakhs to 16.93 lakhs. The intake in post-graduate courses in management rose from 2.47 lakh to 4.55 lakh during the same period.

A major innovation that was introduced in 2010 was the system of e-governance in the AICTE. This was done in close consultation with the stakeholders. As a result, the time taken to process a request for approval of a greenfield institution has sharply declined from about a year to around three months.

Another important achievement is the construction of a massive headquarters building for the AICTE in the campus of the Jawaharlal Nehru University at New Delhi. The complex is nearing completion.

### **Problem Areas**

There are several major problem areas in the process of planned and coordinated development of technical education in the country. Some of these are itemised below:

**Absence of manpower planning:** It is absolutely essential that planning of technical manpower should be done in a scientific and systematic manner. A beginning had been made in this direction by the setting up of the NTMIS (National Technical Manpower Information System) . The AICTE had assigned this task to the National Institute of Applied Manpower Research on payment of a fee mutually agreed upon. Around 2010, it came to light that the IAMR did not have any designated staff to collect the data on supply and demand for manpower, but tasked their regular employees with this additional chore. The AICTE also realised that data was flowing to them with a time lag of two years or more.

Accordingly, the arrangement was scrapped. Unfortunately, the Council did not substitute any new arrangement in place of the NTMIS. This has created a gap in the planning process. The officers in the Approval Bureau of the Council are not sure what ground they can use to deny approval to a Greenfield institution. In the absence of a credible database on demand for manpower, new capacity keeps on getting approved, thus leading to a situation of glut.

**The absence of a policy framework:** Every important component of education needs an overall policy framework



into which it fits and has its meaning. In the field of education, we have certain policy imperatives that have been spelt out. These include the following:

- The achievement of 100% literacy on the basis of a generous definition that calls anyone literate if he can write his name in any of the languages listed in the constitution. This percentage touched 67% in 2011 at the time of the last census.
- The universalization of elementary education which gives a fundamental right to any child between the ages of 6 and 14 to education in a school. This fundamental right has been incorporated in the Constitution. The details of how the right would be exercised have been spelt out in the Right to Education Act.
- The Skill India initiative lays down that 80% of the children in class VIII in the schools shall be persuaded to move towards skill-oriented courses, whether these are in vocational education courses or industrial training courses. The problem currently is the mind-set of parents and wards alike that vocational courses are not prestigious and need to be avoided.
- Till recently there was a snag in that no horizontal or vertical mobility was permitted between the three major streams. In a major policy shift, Government has decided to have a NSQF (National Skill Qualification Framework), under which credit transfer is now permitted as between general education, technical education, vocational education, industrial training, as also practical experience of holding a job in industry. What is to be ensured is that the policy imperatives are understood and appreciated down the line.

**No clear-cut allocation of tasks:** Although the AICTE had a flying start when it was set up in 1945 with the mandate of an apex body meant to achieve coordinated and integrated development of technical education in India, in practice the power was exercised by the Ministry of Human Resource Development. Today all the institutions of higher technical education like the IITs, the IIITs, the IIMs, the NITs, the

NITTRs are granted land and budget allocations from the MHRD.

**An appendage of MHRD:** What has furthered this process of whittling down the authority of the AICTE is the fact that from 1945 till 1993, for a long period of 48 years, the AICTE was held by the HRM as Chairman and Minister of State (HRD) as Vice Chairman. Sundry Ministry officers held other important positions in the Council. Thus there was no clear line of demarcation of where the Ministry ended and the Council started.

**Absence of permanent cadre:** The AICTE has all along been dependent on deputationists who come and go like birds of passage. Resultantly, there has been little accretion of knowledge and expertise. There is no institutional memory and most of the officers give blank looks when quizzed on matters that are more than two years old.

### **The Way Ahead:**

The further progress of technical education in India depends on a host of policy initiatives that need to be urgently taken. Some of these are mentioned below:

#### **Complete autonomy:**

At present, the institutions that have been granted complete autonomy are thriving. Any system of controls by the Government results in a sharp decline in standards. The grant of autonomy has to start from the apex body itself. The self-financing institutions have to be granted a calibrated autonomy, depending on their performance in rating and accreditation. They should first get academic autonomy, then qualify for financial autonomy and finally be entitled to hold examinations and award degrees.

If the process is initiated properly, the entire system of affiliation which is unique to India, Pakistan, Bangladesh and Sri Lanka in the entire world, can be done away with in a decade.

#### **Financial strength**

All-over the world the experience is that autonomy and financial

strength have got to go hand in hand. The Oxford University has reached the highest stature in excellence primarily because of two factors; the British Government has been a generous giver of grants and at the same time, they have sedulously declined to influence decision making within the University.

### **Change in approach:**

The rating and accreditation agencies have to be completely autonomous from the regulator. One of the chief conditions of India being permitted to enter the hallowed portals of the Washington Accord, was the liberation of the National Board of Accreditation from the AICTE.

What needs to be appreciated is that the so-called regulator should cease to be one. It should no longer act as a sort of policeman. It should rather be a friend, philosopher and guide, and help the institutions through mentoring and development.

### **Defining the territories:**

Currently, one of the major problems is vagueness in definition of jurisdictions between different regulatory agencies. Such amorphousness leads inevitably to litigation, with lawyers having a field day. If the UGC is divested of its role by doing away with the entire process of affiliation and the professional councils are not allowed to directly interfere with the academic questions, much of the present confusion will cease.

### **Technical education as a fundamental right:**

In the final analysis, if the dream seen by the present Government of converting India into a technical education superpower of the world is to be achieved within a reasonable time frame, the acquisition of technical skills by the youth would have to be a fundamental right, guaranteed by the Constitution of India.

This would only be a condition precedent, not a sufficient basis for the expected outcome. All the suggestions made above would need to be cogently pursued if the desired results are to be achieved.

**Anil Swarup**

---

## **Coal Block Allocations**

### **Paradise Regained**

#### **The Background**

There was a crisis at hand. The coal blocks that had been allotted during the past decade and a half had come under scanner. The Supreme Court got seized of the matter and finally cancelled all 204 blocks that had been allocated since 1993 terming such allocations “arbitrary”. The coal production in the country, despite huge reserves (India has 3<sup>rd</sup> largest reserves of Coal) was in any case lagging behind the demand. The decision of the Supreme Court implied that if necessary corrective steps were not taken immediately, the production of coal would suffer further.

The Supreme Court through its judgements dated 25.8.14 and 24.9.14 cancelled the coal block allocations on the following grounds:-

1. Non-transparent mechanism for allocation.
2. Discretionary
3. Loss of exchequer/windfall for private sector.

There was a fallout of the Supreme Court judgement:-

1. Though mining was allowed to continue in 42 such blocks where mining was being done, this was to cease from 31<sup>st</sup> March, 2015.
2. Remaining 162 blocks allocation stood cancelled.
3. State Public Sector Undertakings (PSUs) could do no commercial mining.
4. The term “engaged in” (for e.g. engaged in steel production)

interpreted in a manner so as to preclude all future production units term seeking allocation.

5. “Joint Ventures” could not be allowed to bid.

There were administrative issues also arising out of the Supreme Court judgement:

1. Though the mining lease were cancelled, prior allottees would retain ownership of land purchased by them for coal mining operations. This was needed to be acquired if fresh mining leases were to be given to new allottees.
2. Necessary enabling mechanism to acquire/transfer mine infrastructure (like railway siding, haulage road, coal handling plant etc.) developed by the prior allottee.
3. Transfer of environment and forest clearances and other permissions obtained by the prior allottees.
4. Interest of secured creditors.

The government had to act and act fast. The time available for putting in place alternative lessees to carry on mining in 42 blocks (with a peak rate capacity of 90 million tonnes) was only a few months (up to 31.3.2015). A legislation was to be put in place to carry out the onerous task. The Parliament was not in session. Hence, an Ordinance was promulgated with the following objectives:-

1. To provide for allocation of coal mine and vesting of the right, title and interest in and over the land and mine infrastructure to successful bidders and allottees with a view to ensuring continuity in coal mining operations and production of coal.
2. To take immediate action to auction or allot coal mines to minimize impact on core sector such as steel, cement and power that were vital for the development of the nation.
3. To amend the Coal Mines (Nationalization) Act, 1973 and Mines and Minerals (Development and Regulation) Act, 1957, thereby removing the restriction of “end-use” from the eligibility to undertake coal mining.

The Ordinance sought to plug the “legislative gap” and set in

place a legal framework to manage the crisis. It incorporated the following features:-

1. All the cancelled 204 coal blocks were placed in Schedule I of the Ordinance.
2. Such 42 blocks out of Schedule-I that were already being mined and wherein the previous allottees were allowed to continue mining till 31.3.15, were placed in Schedule II of the Ordinance.
3. Other 32 substantially developed coal blocks out of Schedule I blocks were placed in Schedule III for specified 'end-use' (more mines could be added subsequently).
4. Enabling allocation through auction to a company or their Joint Venture.
5. Facilitating allotment, without auction of coal blocks, to government companies or their Joint Ventures.
6. Removing "end-use" restriction on the eligibility to participate in auctions for such Schedule- I mines that are not listed in Schedule -II and III. This enabled "commercial" mining.
7. Compensation for land and immovable mining infrastructure to the prior allottees.

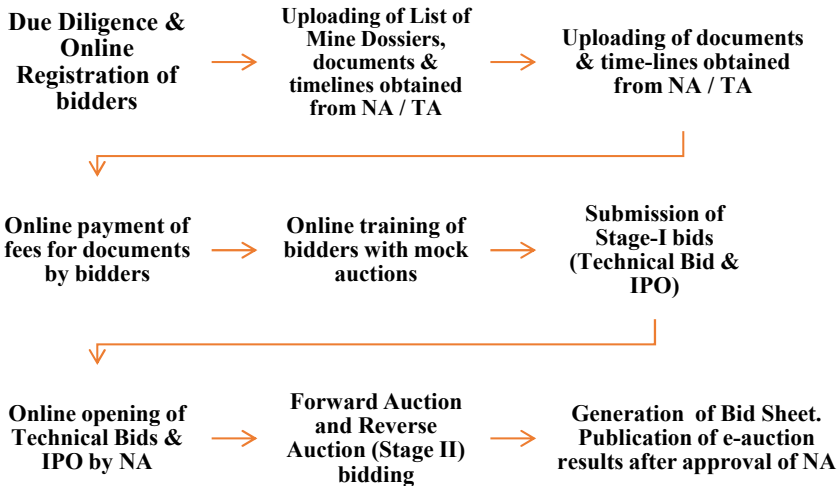
### **How did it happen?**

A transparent process of auction was put in place. It was not an easy task as all this was unprecedented. There was a time constraint as well as entities had to be put in place to carry on mining in such 42 mines where mining were already underway. The "past" of the Coal Ministry and the atmosphere of "distrust" made the task difficult as there was a reluctance at various levels to commit on files. To make matters worse, the stakes were very high. Almost anybody who was somebody had a stake in the process. Finally, everyone was busy "monitoring" what was going on. Everyone wanted results, quickly. However, not many had a clue about how it would be done. A crack team was constituted, and after some debate, a Joint Secretary level officer was appointed as Nominated Authority. SBI Caps was engaged to finalise various documents and to assist in evaluating bids. MSTC

created the electronic platform for bidding.

**Coal Block Auction Process:**

The following process was adopted:-



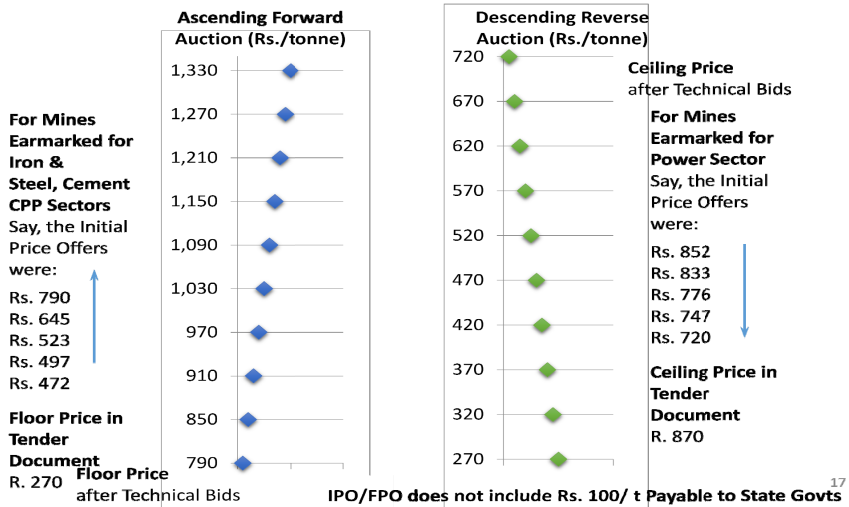
A two-stage on-line electronic auction process was put in place. The entire database of coal mines (including Geological Reports) was made available in electronic format to the bidders. The bidders can bid only for mines whose documents they purchase online. There are other eligibility criteria for the bidder to bid.

To ensure that the process of auction does not lead to an increase in power tariff, a “reserve auction” was devised for the “regulated” ( Power) sector. In this case the rate quoted by successful bidder determines its variable charge. Ascending (or forward) auction was adopted for non-regulated sector. Here, the objective was to optimize revenues.

In the first stage of auction, an initial price offer (IPO) has to be submitted alongwith the Technical bid, on the MSTC e-auction platform in encrypted form. IPOs of only technically qualified bidders are opened. The qualified bidders are placed in descending/ ascending order (as the case may be). Only the top 50% amongst these IPOs ( “Qualified” Bidder”) are allowed to participate in the e-auction.

For the e-auction, the new floor/ceiling price is the highest/lowest IPO received from the technically qualified bidders. The initial e-auction in window is for 2 hours with auto extending option of 8 minutes each till bids cease within that period.

## Forward & Reverse Auctions



Transparency has been the key in the auctions so far. All technical bids are opened in the presence of bidder and displayed on-screen. Auction proceeding are webcast live.

### Web Casting of Live e-Auctions

**Coal Mine Allocation**

SERVER TIME				16.03.2015 11:10:49		
SL. No	COAL MINE	#AFP* ##ACP/APP*	PRESENT PRICE*	STATUS	CLOSE TIME	TYPE
1.	Ganeshpur	100.0	704.0	CLOSED	08.03.2015 23:02:36	Reverse <b>now in Forward</b>
2.	Mandla South	1850.0	1852.0	CLOSED	08.03.2015 13:00:00	Forward
3.	Gare Palms IV-8	1675.0	2291.0	CLOSED	08.03.2015 19:22:10	Forward

\* Price/Metric Tonne of coal extracted.  
 #AFP - -Applicable Floor Price  
 ##ACP - Applicable Ceiling Price  
 ###APP - Additional Premium Price(including Fixed Rate of Rs 100/- per tonne of coal extracted)



### **What has happened so far?**

The successful auction and allotment undertaken so far has not only met the requirement of end-use sectors viz. Iron and Steel, Cement and Power including CPP but has also generated a significant amount of revenue to the concerned State Governments in terms of e-auction proceeds (including fixed reserve price of Rs. 100/- per tonne in case of allotment), Royalty and Upfront payment. The anticipated accruals from auctioned blocks are given below:-

- The total estimated amount of revenue likely to be raised from 28 coal mines already auctioned is Rs. 1,71,961 crore.
- Royalty amounting to Rs. 20,621 crore and an upfront payment of Rs. 930 crore would accrue to the States.
- Eastern coal bearing states would be the biggest beneficiary and would be financially empowered.
- Rs. 69,310 crore saving would be effected by way of tariff concession to the consumers of power from the 9 blocks auctioned for Power Sector.

Similarly, accrual from 38 allotted blocks would be as under:-

- Rs. 65,573 crores would accrue as revenue from fixed reserve price.
- Rs. 76,281 crores would accrue as Royalty to States.

Overall value of Rs. 4.04 lakh crore would be generated from 67 coal blocks auctioned and allotted so far.

It is a classic example of “cooperative federalism” where all the revenues and benefits accrue to the States or the consumers but none to the Central Government.

### **Are there any lessons?**

The coal block auctions have clearly demonstrated that transparent use of IT applications can help in realising/determining “fair” value of natural resources. Outsourcing of activities to expert bodies like SBI Caps and MSTC contributed substantially to the success of the auctions. What also made a difference was taking the stakeholders on board. It enabled fast- tracking of various processes. The group

made a lot of mistakes as it went along. However, there was a candid admission and correction of such mistakes. Finally, what really mattered was “walking the talk”.

**Sunil Kumar**

---

## **Making Economic Growth Subservient to Human Growth**

### **I. THE PRESENT**

#### **Quality Mindset for Quality Growth:**

Industry is integral to economic development and when the Confederation of Indian Industry, CII, had introduced the concept of Total Quality Management or TQM, for organizational effectiveness in the early 90's, they had emphasized that quality is not possible without proper systems and training of people to acquire a quality mindset, 'subjective' qualities like 'Self-control, respect for each other, openness, intellectual honesty'. And, that it is the responsibility of the 'top' leadership, to embody professional quality and ethical conduct. CII had also quoted Alice asking the Mad Hatter which road shall 'I' take and being asked in turn: Where do you want to go?

After reading this article, Alice and we, can hopefully answer the question, 'where do you want to go', agreeing that in and through all our economic activities, goals and desires we will strive to acquire the 'subjective' qualities and set up conducive 'systems' to enable us grow towards maximizing happiness.

#### **Economic Growth - blessing or a curse?**

The undue focus on economic growth is a modern phenomenon arising from western cultures and the growth of science and technology. It gives rise to consumerism and materialism and cannot really be considered beneficial because in the long run, material desires being never ending, will always lead to greediness, and can certainly not be considered as the goal and purpose of human life. Synonyms

of materialism are greed, avarice, covetousness, acquisitiveness, etc. While for a time, and within limits, material desires and comforts are necessary, and may even be considered a boon, they cannot be allowed to adversely affect individual growth towards wisdom. In fact, economic growth without ensuring human growth is becoming a global problem because of deteriorating human values, selfishness, environmental pollution, and the wanton destruction of natural resources to meet the galloping needs of industries and consumer-businesses.

Therefore, traditional wisdom asserts that economic growth and development must be made subservient to growth of human beings per se, whereas society seems to be focusing only on 'economic growth'. So the question is: Who will create mechanisms to ensure individual growth towards 'wisdom'? Can divisive and destructive politics of democracy, inefficient, non-caring and self-serving governance, and mere 3R's education, ever produce men of wisdom?

**Traditional Wisdom:** Traditionally, common people remained busy earning their daily bread, *roti-kapada-makan*, in their family trades and vocation. They were committed to duties and human values, and led simple life styles – '*dal roti khao, Prabhu gun gao*'. Such highly skilled duty conscious workers, business men, administrators, teachers and leaders of society together had made India the '*sone-ki-chidiya*', which attracted people from all over the world to loot, plunder and partake of its glorious culture. But today, the modern education and training systems, focused only on economic growth, have failed to create the systems, leaders or the work force which can create excellence in either work or in human development.

**Modern** education, training and development programs deal only with materialism, based as they are on IQ and the 3R's, science, commerce, arts, job-skills, etc. There is little effort to build either emotional maturity to manage the host of negative feelings that we all have or the ability to think, plan and act on the basis of long-term good, not just for 'me and mine', but for societal good as a whole.

These positive qualities, attitudes, worldview, and human values cannot be acquired merely by present methods of IQ teaching -

memorizing, writing answers and its evaluation. They have to be acquired through daily, continuous life-long practice of time-tested self-development processes – '*sadhna and swadhyaya*', available with various traditions to awaken powers of discrimination or *vivek* and develop strength of mind - will-power, self-control, etc.

## II. THE QUESTIONS

What do we understand by human growth? If growth is good then what is the 'better' and 'best', towards which we are to grow? Is there a common universal human goal, a benchmark, towards which we are to grow? How do we develop a framework in the workplace and in the society, individually and organizationally, so that in and through our daily work-life and interactions, we can continuously keep developing the ability and strength, to 'know' and 'grow' towards our common 'better' and 'best' goal?

Are better and best related to 'objective' Western economic parameters like money, status, GDP, '*roti-kepada-makan*', etc. or 'subjective' qualities of goodness, simple virtuous living and high thinking, work as worship, spirit of '*tyaga and seva*' - said to be the twin ideals of Indian wisdom, etc.?

Some fundamental questions arise: What institutional systems are needed in education, workplace and society that will be conducive to individual and economic growth towards fulfilment and meaningful happiness? What is the relationship, if any, between economic growth and human happiness? Do we have to study and teach what happiness is and how to be happy?

## III. SHARED VISION OF FUTURE

**Our Focus:** This article proposes 'happiness' and 'wisdom' as our common universal goal towards which, in and through all our actions, we willy-nilly are wanting to grow; and therefore, anything which takes us towards this 'best', is 'better'. Wisdom can be considered as a synonym for happiness, human values, ethical and righteous conduct, effectiveness, spirit of service, etc. in the workplace and in society. Continuous striving and growth towards wisdom alone can help us remain on the critical path towards a state of consistent, perpetual

and achievable success, happiness, fulfilment, 'Perfection', bliss or '*ananda*', the common and universal goal of life.

### **Happiness:**

We are poor judges in the present, of what will bring us happiness in the future, and this causes us to look for happiness in the wrong places and through unethical means! A major myth of happiness is the idea that if we are not happy now, then we will become happy when such and such thing happens. While those events *do* make us happy, they don't make us as happy as we hope, or for as long as we think they will, and sooner or later we become unhappy again.

We keep seeking answers for our happiness and miseries, in the world of 'objects' outside without recognizing that the source of happiness is not out there but is actually within us. We were hoping that modern systems of democracy, the 3R's, science and technology would finally give us back our lost happiness; but there are no signs of it, yet. As modern scientific people we believe in a worldview of 'separateness', and have an 'objective' focus. We have never been educated and trained to recognize that we are all inter-connected, inter-related and inter-dependent and that our every action is continuously forming our future, happy or unhappy.

How do we become happy? We know from experience that there are no two-minute noodle solutions! There must be things which we have to do and practice every day for the rest of our life, just like if we want to raise value-based children, advance our career, etc.; it's a goal we pursue throughout life. So, what is the cause of happiness? Wisdom asserts that 'fulfilment of duties and righteous conduct' alone is the 'cause' and happiness is only an 'effect'; a bye-product of service to society! Schooling is the time to know, reflect upon and get an intellectual conviction in this wisdom.

**Gross Domestic Happiness versus GDP:** It is interesting to know that the well-known University of California, Berkeley, USA has just now introduced an on-line course on the Science of Happiness. It says: Indeed, happiness is so important that an entire country - admittedly a very small country, the size of Switzerland - has made its goal to increase the well-being of its citizens. The king of Bhutan,

the last Buddhist kingdom in the Himalayas, nestled between India and China, decided that the best way to foster economic development would be to boost his nation's Gross Domestic Happiness—that is, to focus on the GDH rather than the GDP. Bhutan's emphasis on the happiness of its people above all else appears to have produced society-wide benefits. Although most people in this tiny country are subsistence farmers, they have what they need—food on the table and universal health care—and have refused to make money from commercial ventures that might compromise the health and beauty of their environment and their egalitarian existence.

### **Vision for Future:**

To ensure economic growth for the good and growth of people, the academia and leaders must put the best people to study, discuss and agree upon how we may educate, train, develop and select men of wisdom who are fit to be our mentors, teachers, administrators, entrepreneurs and workforce. We must set up systems of governance and institutional mechanisms to fulfil this objective so that even while engaged in economic growth, we can all remain committed to *kartavya-palan*, to care and concern for each other, and are inspired to strive for quality and excellence in work and work in the spirit of *seva* for the good of society as a whole.

**Enlightened Citizenship:** Human growth today specifically implies commitment to the Fundamental Duties enshrined in Article 51A of our Constitution. Education and governance must take responsibility to produce 'enlightened citizens', the *Srestha*, the people with 'wisdom'. Mere economic growth can never lead to human growth towards happiness, unless people are continuously educated and trained to follow the basic human values and professional work ethics. It is our responsibility to create institutional mechanisms and checks and balances so that we may bind 'human growth' within the parameters and framework of human values and the Fundamental Duties to ensure that society and particularly the workforce is directed on the path of better towards the best. And so, our focus should be on producing the '*srestha*', who then can set up institutional systems, organizational structures and a work culture which enforces quality

and ethical conduct to harmonize human and economic growth.

#### **IV. INSTITUTIONAL MECHANISMS - to Harmonize Economic growth and happiness:**

Universal wisdom as also Indian ethos recognizes righteous conduct and '*kartavya-palan*', as the primary cause of happiness, and not economic growth. It divides all human efforts and strivings into four *Purusartha* and recognizes that it is only when people fulfil their duties and follow human values that they can attain the goal of happiness, i.e. *sukh, shanti, ananda*. Accordingly we have to create societal systems, organizational structures and work culture so that people necessarily follow quality and excellence in work and work for the good of the society. The TQM movement and the ideal of 'Karma-yoga' are good sources of learning.

**TQM:** The TQM movement was based on the idea that in the workplace and organizations, all work will have a 'performer', who ought to be held totally responsible and accountable for results. This simple principle of responsibility and accountability is by and large totally missing from politics and governance because in a pyramid organizational structure the boss becomes the 'customer'. TQM suggests that systems must provide role clarity and delegation to the lowest competent level and be designed on the principle that organizations consist of chains of units of 'supplier-performer-customer'. The 'performer' receives the work from a 'supplier' and passes it on to the next in line, i.e. the 'customer'. The supplier is responsible for ensuring that what he 'supplies' is in accordance with requirements as per a 'check-list' and similarly, there are check-lists for what 'performer' passes to 'customer'. Units are managed by 'Supervisors/managers', who are responsible to provide all training, resources, checklists, etc. to ensure that quality work is done as per expected check-lists for the next stage of processing.

Similarly, we must plan strategies in our educational and training programs to instill the ideal of Karma-yoga, which asserts that *kartavya-palan*, fulfilment of duties to the best of our abilities is a precondition for happiness. Perhaps these principles can be adapted for making long-term good decisions for the greater good of greatest



numbers, the Indian citizens, the ultimate ‘customers’ of politics, governance and economic growth .

**So, the right priorities for the Purusartha, are:**

- *Dharma*: Get educated to acquire ‘*vivek*’, i.e. powers of discrimination to know and to develop the ability to do that which leads to consistent success, peace and perpetual bliss.
  - o In the workplace and in the field of economics, Dharma would imply, commitment to human values, righteous conduct, care and concern for others, fulfilment of duties, quality and excellence in work, environment protection, sustainability, business ethics, professional values, business ethics, etc.
  - o The Fundamental Duties has now defined Dharma of Indian citizens; How to imbibe the spirit of Fundamental Duties must form a compulsory part of our education and all training programs and must be kept in view while making selections for professional and leadership positions
  - o Schools and colleges must be held responsible for establishing the ‘students’ in self-development practices for training and culturing of mind and getting established in the habits to awaken *viveka*, to know our dharma or duties in different situations and develop will-power, strength and fearlessness to fulfil our duties and walk towards perfection in and through our daily life and work
  - o Schools and colleges must also be made responsible for highlighting good students for higher responsibilities
- *Kaama*: Fulfil legitimate desires through *Dharma* to remain on the critical path to happiness
- *Artha*: Engage in economic growth and development, acquisition of money, resources, wealth, status, power, etc. through Dharma
- *Moksha*: The ultimate goal of life (Perfection, Nirvana, Salvation, Kingdom of God, Ananda, etc.) which is reached through remaining on the critical path of ‘*Dharma*’

- o Though the definitions may vary, one thing most of us can agree on is that people generally want to be happy. In recent years, research has confirmed that pursuit of happiness is worthwhile because it leads to physical, mental, and social benefits. Even in ancient times, Aristotle had proclaimed that leading a good happy life was the common goal of man
- o The aim and purpose of life is a state of total freedom, unlimited bliss, peace, happiness and joy – *Ananda*.
- o While this may just be an impossible ideal, far removed from most of us, this ideal gives us a higher direction, so that we can reflect daily on our thoughts-goal-actions, and try to harmonize them towards this ultimate vision.

Wisdom asks us to confine our desires for enjoyment and economic activities within the limits of human values so that we do not exploit either people or environment and can remain on the critical path to the goal of life, Perfection.

We must supplement and complement the 3R's education by focusing on establishing every citizen in Self-development processes to develop purity and powers of mind to be committed to duties and to quality and excellence in work so that in and through every thought and action, we gradually grow towards 'Perfection'.

### **Mechanisms to Prepare the 'Srestha':**

Besides literacy and 3R's, the long-term vision of education must be to raise everybody to the level of a '*srestha*' - men of wisdom, role model and elite of society - the ideal of humanity.

Throughout history attempts have always been made to raise the lower classes, many have been made and many more will follow till all will become '*srestha*'. Indian ideal is the man of spiritual culture, abundance of wisdom, free from selfishness, working to acquire and propagate wisdom, power of love; a good, noble, moral person, the societal ideal. The educated are leaders of today; are they being educated to be a '*Srestha*'?

Everyone is not equal but has the equal unlimited potential to rise, to become better to practice righteous conduct and self-development

processes, to grow to ‘perfection’. It is the responsibility of leaders and elders to provide systems and checks and balances to direct growth, in and through daily work-life, towards the highest. It is the responsibility of academics and governance to work with practical men of wisdom and set up mechanisms to gradually raise the whole society to this ‘*srestha*’ ideal.

**Every person is a mix of three qualities:** *Sattva* (highest ideal), *Rajas* (average), and *Tamas* (lower); these three qualities are inherent in every one, but one or other qualities predominate in varying degrees and at different times. When we work under others we display *Shudrabhood*, when doing some transaction for profit we are *Vaishya*, when striving for order in society and to establish mechanisms to right the wrongs, we are *Kshatriya*; and when we meditate and pray we manifest *Brahminhood*. This clarity of roles based on qualities, is the stepping stone to civilization, making one rise higher and higher in proportion to ones qualities, learning and culture in and through our daily work-life.

### **Negative impact of Modern Education and Economic Growth:**

Consider the following:

- Throughout history, India was the land of plenty; our ancient education had produced Indian teachers, leaders, business managers and workers who had created an environment and work culture where Indian workers and managers world-class goods were being produced and our *Hundi*, Bill of exchange, was accepted world over, as is the dollar today. India is no longer a leader and our people are labelled as inefficient, unskilled, and lazy!
- Even today where is excellence in India? It is mostly with common uneducated Indians (80%) who are not in the organized sector. It is they who ensure that wheat grown in north reaches a village shop in south; give it to a PSU and it is bound to rot and disappear.
- We the educated 8% are the parasites and son-in-laws always wanting more and more but creating nothing for future

generations! Even in 1947 India was amongst the developed countries handling 5% of trade; today with all our education, we have dropped drastically.

- When Mahatma Gandhi had gone to attend the Round Table Conference in 1931 in London, he stated to the Press that when the British came to India they uprooted the ‘Beautiful Tree’ of Indian systems and allowed it to decay and die, instead of supporting the existing systems. He gave the example of *Vidya*, Indian education system, and *Vaidya*, our health system, both of which were imparted by people with spirit of *tyaga* and *seva*, and which are now totally commercialized and materialistic. Of course he was soundly castigated by British press then.
- Health, i.e. ‘*swastha*’, literally implies to be established in our ‘Self’, which is of nature of ‘Ananda’, the happiness we are seeking.
- In fact, the father of modern education, Macaulay, is reported to have stated to the British Parliament in 1835 that: ‘I have travelled across the length and breadth of India and I have not seen one person who is a beggar, who is a thief, such wonders I have seen in this country, such high moral values, people of such calibre, that I do not think we would ever conquer this country, unless we break the very backbone of this nation, which is her spiritual and cultural heritage, and, therefore, I propose that we replace her old and ancient education system, her culture, for if the Indians think that all that is foreign and English is good and greater than their own, they will lose their self-esteem, their native culture and they will become what we want them, a truly dominated nation’.

### **Elaborating some of the Fundamental Duties:**

1. *‘To cherish and follow the noble ideas which inspired our national struggle for freedom’.* Which are these ideals?
  - *Tyaga* and *Seva* are the twin ideals of India according to Sw. Vivekananda, whose Birthday on 12<sup>th</sup> January every year is celebrated as the ‘National Youth Day’, as was declared by

the government of India in 1984

- Mahatma Gandhi who drew inspiration from Vivekananda and scriptures of all religions, propounded a total philosophy of life based on the ideals of ‘*ahimsa*’ – truth, *satyagraha*, and service to society, particularly for the poor and down-trodden transcending all separatist tendencies
  - The leaders and people involved in the freedom movement were imbued with a passionate love for India and Indian culture. They were inspired by a higher vision, an unselfish aim and the unselfish personality of Mahatma Gandhi and other leaders
2. *‘To promote harmony and the spirit of common brotherhood amongst all the people of India transcending religious, linguistic, and regional or sectional diversities; to renounce practices derogatory to the dignity of women’*
- Harmony and brotherhood are possible only when we educate the young to appreciate the worldview of ‘oneness’ as against the present worldview of ‘separateness’.
  - It is extremely difficult to change our mind-set – our worldview, our values, beliefs, etc. and more so when we are grown up
  - Our religions and political systems promote the worldview of ‘separateness’ and divide people.
  - Our educational systems do not teach how to expand our minds to feel oneness with all.
  - We cannot feel oneness at body-mind level; only at the level of ‘Life’, Spirit, or ‘Self’ within us can we feel oneness, but this ideal has to be made aware to the young, they have to practice values, righteous conduct, etc. to purify the mind and only then can they experience oneness with more and more
  - If we do not fulfil our duties, do not follow values, etc. we remain at body level; how then can we grow towards oneness with others?
  - Even the Supreme Court has said that values and ideals draw inspiration from religions and so students must be

given awareness of the common essence of religions and practices that promote harmony and spirit of brotherhood and to see that the universal values such as truth, righteous conduct, peace, love and non-violence be the foundation of education.

3. *'To value and preserve the rich heritage of our composite culture; To protect and improve the natural environment including forests, lakes, rivers, wild life and to have compassion for living creatures; To develop the scientific temper, humanism and the spirit of inquiry and reform; To safeguard public property and to abjure violence'*
  - What is the uniqueness and glory of Indian culture because of which India still survives as a civilization in spite of centuries of attempts to break us down?
  - The entire scheme of Indian heritage is based on this central idea – the oneness and divinity of man, life, and of all creation.
  - It is this ideal which led us to treat forces of nature as sacred; search for truth and its realization was the ideal for the Srestha, teachers and leaders of society.
  - Therefore, the whole focus of Indian culture was to create systems that would make people aware of their potential, their divinity, and develop powers of mind to manifest it in every movement of life.
  - That is why music, drama, dance, literature, stories, learning of alphabets, even the early movies and theatre, all had spiritual themes. Indian history is not the names of kings and their wars, but guides to follow right conduct in our journey to Perfection, through epics like Ramayan, Mahabharat, and the Puranas.
  - The Indian ideal was to work to acquire resources and fulfil desires through human values, dharma, thereby remaining on the critical path to 'Perfection'; being '*swastha*', i.e. established in own self of '*ananda*'.
  - In Indian culture 'Work' is not just for '*Roti, kapada, makan*'. Work includes all our thoughts-motives-choices-beliefs-

actions. Quality and excellence in work, fulfilment of duties, work as worship in the spirit of '*seva*', for good of society purifies the mind and helps us manifest our potential more and more; striving for excellence is thus in our own good.

- It was because of these values and work culture that India was the '*Sone-ki-Chidiya*' throughout history and all flocked to India to loot and plunder, and to partake of our glorious culture.

## V. VISION of the HIGHEST:

A jigsaw puzzle cannot be solved unless we first have a view of the whole. Similarly, we need a healthy worldview of reality to solve the puzzle of our work and life. How do we learn and then strive to imbibe the vision of the Highest? How we develop values and love for India in the young?

Our leaders suggest reading of Sw. Vivekananda, whose birthday on 12<sup>th</sup> January has been declared by the government of India as the National Youth Day; it is celebrated every year, since 1985:

- Mahatma Gandhi: 'I have gone through Sw. Vivekananda's works very thoroughly, and after having gone through them, the love that I had for my country became a thousand fold.'
- Rabindranath Tagore: 'If you want to know India, study Vivekananda. In him everything is positive and nothing negative.'
- Subhash Chandra Bose: 'Swamiji harmonized East and West, Religion and Science, past and present. And, that is why he is great. Our countrymen have gained unprecedented self-respect, self-confidence and self-assertion from his teachings.'
- Jawaharlal Nehru: 'Directly or indirectly he has powerfully influenced the India of today. And I think that our younger generation will take advantage of this fountain of wisdom, of spirit and fire that flows through Swami Vivekananda.'

To understand and appreciate the Composite Culture of India, develop love for India and its people, and be committed to excellence,

to duties, and to working for the good of all, Sw. Vivekananda's inspiring words can be shared with the young. He has expressed our composite culture in a way which harmonizes all religions by clearly laying down the real spiritual essence of a religion: Manifestation of the 'Perfection' already within man. Our daily work, done in the spirit of worship for the good of all, is the way.

### **The Indian ideal of Work – A Universal Vision for Education:**

The highest vision of work and life, which is the essence of all Religions, can be appreciated from this incident from the life of Vivekananda. Once Ramakrishna, his Guru, was talking to some devotees and was saying: *“Compassion for living beings! Fool! Who are you, an insignificant creature, to show compassion? No, no, not compassion, but service to all beings, looking upon them as God Himself”*

Vivekananda, then a young man, heard this and exclaimed: *“I have found a new light today. This ecstatic utterance of the Master has shown me that Vedanta, the essence of the Veda, need not be a dry, other worldly – affair. Vedanta of the forest can be brought to the homes of ordinary people and it can be applied in day-to-day life. If a person learns to look upon all people as the Lord, he cannot have feelings of anger, superiority etc. towards anybody. Working as Service to the Divine in individual beings, he will have his heart purified and be convinced in a short time that he himself is also a part of the Lord, who is none else but the eternally pure, blissful, absolute one. It is based on this principle that he has suggested our ideal: Reach for the highest Perfection, by working for the good of the whole creation.*

From this we can see how by treating businesses and all our work and duties, as 'service to the divine in individual beings', seeing the 'kingdom of God within', Economic growth can become an integral part of our journey towards the higher. This requires a major shift in our attitude and in our worldview. The modern worldview is that we are all 'separate'; but if each person, i.e. *Jivatman*, has 'life', 'spirit' or 'divinity' within, then the right worldview becomes that we are all 'one' provided we are educated to feel this 'oneness'.

We remain in schools for around 10-12 years and during this period we can be inspired to study, practice and expand our mind



through quality in work, fulfilling our duties, etc. and learn to grow towards unselfishness from selfishness, by identifying more and more with creation and less and less with our limited narrow interests.

### **CONCLUSION:**

The fruit of our education and our civilization must therefore, be judged by the following criteria: Can you love others? Can you feel ‘oneness’, ‘*apanaapan*’, with others? Are you growing in feelings of ‘oneness’? Have you peace within yourself? And do you radiate it around you? And, this can be stimulated by daily reflection, introspection and meditation inwardly and by economic activities and work done in a spirit of service, for the good of all, outwardly.

**Bhanu Pratap Singh**

---

## **Community Policing\***

### **Introduction**

Police is the most visible and coercive arm of the state. It is entrusted with the task of maintaining law and order, protecting the people and their property, prevent, detect and investigate crime. Police being a public service ought to serve the community but over the period of time it has distanced itself from the community. It is now seen as the instrument of harassment and oppression by the state. Therefore, the need arises for the police to change its attitude and methods without diluting the strength and effectiveness of the law enforcement system. Also, the demand for better and enhanced police services and security have led to constant evolution and change in methods of policing in democratic societies. Thus the need for community policing has gained prominence during the last four decades as a distinct policing philosophy.

### **Main Problems, their scope and impact on the society**

Indian Police is still governed by the colonial rules meant only for maintaining and strengthening of British rule in India. Police is one of the most important organs of the state and is meant for public service. However, over a period of time this 'service' has been lost in the way. The police-public relation, as it stands today, has been that of master-servant. The police do not have any in-built mechanism of self-analysis and introspection which results in a tendency of developing extreme sensitivity or total insensitivity. Also, their alienation from people creates an environment of lack of mutual trust, respect and confidence. It is seen as a blunt-edged instrument

---

\*Based on a project of Rakshak Foundation mentored by M.B. Kaushal of IC Centre for Governance

to perpetuate the will and whims of those in power. This is one of the biggest impediments in the functioning of police.

Thus, the idea to involve community in the policing gained prominence. It is a proactive and problem driven force as against the reactionary and incident driven nature of traditional policing. The idea of Community Policing has been implemented in some parts of the country but mostly on individual initiatives and has not been yet institutionalised. Community Policing as a concept is still not known to the masses. The dissemination of the knowledge about it and making them aware of their role in the maintenance of law and order and crime control is a pre-requisite for the effective implementation of Community Policing. The development of community policing faced many problems in the form of resistance from the police itself, absence of support from the government—especially financial support, lack of programmatic approach, lack of faith and confidence in the intent of police by the public, and so on. However, over the period of time there have been many developments and changes in the Community Policing method which has led to its greater acceptance among the public.

## **History**

Policing can be traced back to ancient India. Kautilya talked about creation of police organisation and vesting it with preventive, investigative and prosecution duties. During the Mughal era, policing became of secondary importance with primary focus on army and revenue department. The rift was created between the ruler and the ruled which continued even in the British era. Indian society having its own 'Panchayat' system didn't feel the need for a proper formal police force and it was only during the British rule with the increase in violent crime that the need of a formal police force arose. After Independence, law enforcement, which was seen as a tool of suppressing discontent and freedom, became accountable to the public.

## **Present Scenario**

After Independence, Police had to perform public service, leaving its earlier role of being a tool in the hands of the colonial

government. Many steps were taken in this regard, especially the Criminal Procedure Code, 1973, National Police Commission, 1977, Supreme Court directives in 2006 on the PIL of Mr Prakash Singh and others. But all these steps proved too little to change the functioning and perception of the police. People satisfaction with police is far below the expected levels. The Police work with few resources at their disposal and suffer from acute shortage of man power. The Political class is also responsible for this pitiable condition of the police, having used it for its own selfish considerations and thus inflicting huge long term costs to the society. Police leadership has, thus, tried to introduce community participation in policing and has taken few initiatives in the field of Community Policing. However, most of the initiatives are not backed by the State and thus depend on the individuals.

### **Concept**

Community Policing is the collaboration of police and public to find more effective ways to promote public safety and to enhance quality of life in the neighbourhood. Its basic premise is that police and public should work together to control and prevent crime in the society. Every citizen is police without uniform and every policeman is a citizen in uniform. There have been many definitions of community policing-

According to the Bureau of Police Research and Development (BPR&D) Community Policing is “normal policing of a society in consultation, cooperation and partnership with the community at large” while recommending a model for community policing during 2003 with Objectives “To minimize the gap between policemen and citizens to such an extent that the policemen become an integrated part of the community they serve and they earn the acceptance and trust of the community, leading to spontaneous co-operation from people in crime prevention and security in local area and resulting in a lasting partnership between the police and the community”. The Mission is “To prevent and detect crime, maintain order and ensure safety and security of the community in partnership with the people and to provide the community efficient, transparent and responsive

law-enforcement machinery which perpetuates the rule of law”.

According to the U.S. Department of Justice, Community Policing is “a philosophy that promotes and supports organizational strategies to address the causes and reduce the fear of crime and social disorder through problem-solving tactics and police-community partnerships. Community policing focuses on crime and social disorder through the delivery of police services that include aspects of traditional law enforcement as well as prevention, problem-solving, community engagement, and partnerships. The community policing model balances reactive response to calls for service with proactive problem-solving centered on the causes of crime and disorder. Community policing requires police and citizens to join together as partners in the course of both identifying and effectively addressing these issues”.

This new system recognises crime prevention and law and order enforcement with the participation and total involvement of the community in identifying and resolving issues. Thus, community becomes a stakeholder or beneficiary of safety. This is a marked change in the strategy and process of policing. Further, this philosophy provides legitimacy to the law enforcing agencies from the community, apart from the legitimacy they have from the statutes. The efficiency of traditional policing may be judged from the reduction in crime rates and response to crime situations while in Community Policing, efficiency is judged from the extent of public cooperation and public satisfaction. Participation of community in policing functions implies public scrutiny of police work, customised police service and police accountability to the public. This provides for greater trust among the public for police through a process of sustained continuous contact and higher levels of communication which provides voluntary cooperation from the public and greatly assists police in their tasks.

### **Characteristics of Community Policing**

- **Participative System:** It is the most important part of community policing. Crime and order management requires total involvement of community as the active partner of police and thus playing their role in safety and security. It also brings the democratic

aspect in policing by involving the community. It also provides an opportunity to the police to integrate itself once again into the societal fabric. This is the recognition of the fact that police alone can't solve the problems however elaborate its resources or however elaborate its strategy may be. Also, the link between the police and community established by this process will be able to highlight and mitigate the underlying causes of crime more effectively.

- **Proactive:** The traditional mode of policing is largely reactive and incident driven. Community policing envisages proactive role for police who will prevent crimes before they occur and link crime and disorder with societal issues. Thus, it is a bolder and dynamic system to tackle the root causes of crime.
- **Decentralisation:** it provide for greater role for the grass-root level police officials by empowering them to identify the problem with the help and inputs of the local community and then devising and executing the plans to solve the same. It thus speeds up the process as well as increase the efficiency as no instruction or order from the top is needed.
- **Problem Solving:** It is the fundamental basis of this approach; Police and public meet not for just the sake of interaction but to identify the problems, the causes, possible consequences and planning a strategy to solve the problem.
- **Consultation:** The police don't have to decide the issues unilaterally and must involve the community because as residents, they have a better understanding of the problems, their causes and geographical area to solve the problem. It includes public consent and accountability. The traditional semi- military model of law enforcement doesn't provide scope for consultation.
- **Organisational Transformation:** It requires experimenting with different organisational structures, changing the delivery of patrol services and more power to patrol officers to take decision on their own. The basic premise is to identify and attract different kinds of individuals to policing who are oriented toward service rather than adventure. This requires developing new recruitment

and selection techniques that are in tune with the goals of community policing.

**Figure 1:** Differences between traditional policing and community policing

<b>Traditional Policing</b>	<b>Community Policing</b>
Reactive to incidents.	Pro-active in solving community related problems. Discuss possible solutions with the community.
Roles of police officers are limited to incident response.	Roles of police officers are broadened to include identification and solving of problems.
Random patrols in cars to respond to crimes.	Visible patrols to interact with the community, i.e foot patrols, bicycle patrols, scooter patrols.
Focus on internal resources. Limited linkages with the community.	Leverage on community resources. Police work with extensive co-operative links with the community
Information from the community is limited.	Information from the community comes from many sources.
Supervision is control-oriented; authoritative style or command and control style.	Decentralisation of authority and autonomy given to front-line officers.
Rewards based on solving of cases	Performance evaluation rewards based on service activities; crime prevention, satisfaction and sense of safety of the community.

### **Some Community Policing Experiments Abroad**

The idea of community policing gained importance during 1970s and 1980s in countries like USA, UK, Canada, Japan, Singapore etc. These experiments gained tem acceptability and legitimacy.

The concept of community Policing as a distinct policing philosophy can be traced to a series of experiments conducted

in USA in early 1960s. The first Presidential Commission on law enforcement in its report submitted in 1967 emphasised that police should establish close contact with the community. “The organisation of police departments and the training of policemen are focussed entirely on the apprehension and prosecution of criminals. What a policeman does and should do instead of making an arrest or in order to avoid making an arrest is rarely discussed. The peace keeping and service activities which consume the majority of police time receive too little consideration.”

These findings were further highlighted by the reports of two subsequent National Commissions. These reports led police managers and social scientists to test the premises of community policing. Thus, initially eight studies were conducted in different cities of USA:

1. Flint, Michigan: It was the conducted during 1979-82 to check the efficacy of foot patrol system. This was a much decentralised system with patrol officers having a wide role in defining and implementing foot patrol programmes. It attempted to solve three problems: a) the absence of comprehensive neighbourhood organizations and services, b) the lack of citizen involvement in crime prevention, and c) the depersonalization of interactions between officers and residents. The response to this exercise was highly motivating with nearly 70% people reporting that they feel safe as a result of foot patrol.
2. Newark I: It was conducted during 1978-79. The results showed that with beat patrols, there was a decline in street activity and severity of crime.
3. Newark II: It was conducted during 1983-84. It was started with the purpose of giving increased attention to social and physical incivilities. It resulted in reduction in social crime and crime against property.
4. Houston: It was conducted during 1983-84 to test the efficacy of fear reduction strategies like victim contact, citizen contact patrol, community newsletter and store-front office and crime prevention.



5. San-Diego: Problem Oriented Policing was started to specifically evaluate the response of police to community policing and impact on police behaviour. The results included increased non-law enforcement contacts of police officers with community and more positive attitude towards community relations.
6. Baltimore: Citizen Oriented Police Enforcement (COPE) was started in 1981 to reduce citizen fear of crime and to implement Community Policing on ground. It led to greater interaction between police and community.
7. Oakland: To reduce social and civil disorders by engaging foot patrol officers.
8. Boston: It substituted 'two-officer motorised patrol' with foot patrol and one officer motorised patrolling.

While British Police has some elements of Community Policing in some parts by the individual initiatives of some police officers, the statutory status was provided way back in 1984 by the "Police and Criminal Evidence Act" which prescribed the setting up of Police Consultative Committees to promote both greater public participation and increased police accountability. The experiments there also highlighted the need for decentralization of power.

Scarman Report in 1985 also recommended decentralisation with more foot patrols and increased opportunities for police officials to interact with the community. This report also justified reactionary measures and thus gave room for both community policing and reactive policing. The constant theme of the crime prevention steps was that crime can be prevented only joint efforts of police and community. Attempts were also made to tackle the root causes of crime and not just symptoms.

Recently, the British government passed the Police Reform and Social Responsibility Act, 2011 to transfer the control of police forces from police authorities to Police and Crime Commissioners. They are directly elected by the people for a term of four years and the first elections were held out in November 2012. They are charged with the maintenance of an efficient and effective police force within their

area, and to hold the Chief constable to account for the delivery of the police and crime plan. They are also responsible for the appointment, suspension and dismissal of the Chief Constable. The Association of Police and Crime Commissioners has been commissioned by the Home Office to facilitate co-ordination, representation and support for police and crime commissioners and police governance bodies from November 2012.

In spite of having a very centralized system of policing, Japan always had a number of institutions engaging with the community. The most significant and famous system of community policing is the institutions of Kobans (police boxes). A koban is a two-storied building within the community with a few police officers generally between 1 to 10 in number, who interact with citizens on a more intimate basis than they could from a more distant station. Kobans can be residential as well as non-residential. The non-residential kobans (HASHUTSUSHO) work in urban areas and residential kobans (CHUZAISHO) work in non-urban areas where policeman work in shifts often with their families. These kobans handle small incidents, disputes, theft, petitions, complaints and requests on all issues. The police officials advised people on crime prevention programmes. In addition, Radio Patrol Cars control crimes and law and order situations very efficiently. Some community police officers in a police station are assigned to guard police posts, check posts and police station – based patrol units. In addition, each prefectural police headquarter has a railway police unit, police vessel and aircraft and a communication and command centre. Even the research done by US Department of Justice and published in May 1988 found the Japanese police system as the best established community policing system in the world.

In Singapore, the Neighbourhood Police Post (NPP) system, adapted from the Japanese Koban System, was introduced in 1983. In the first phase of implementation 8 NPPs were first established on 1 June 1983 in the 8 constituencies in one police division to test the efficacy of this in their environment. The second phase of implementation began with the setting up of several NPPs in two other police divisions. NPP Officers focused on basic policing duties

such as house visits, foot and bicycle patrols and community liaison work.

In 1997, Singapore adopted NPC as a decentralised, flexible, integrated and community-focused capabilities system. This was a one-stop policing centre for the Community as NPC Officers performed additional functions such as responding to 999 calls and on-scene investigations. Community liaison work was also expanded to working with community partners on community safety and security programmes. In 2012, Singapore adopted Community Policing System (COPS) which is expected to transform frontline policing in four areas:

1. Systems: Reorganising the NPC
2. People: Competitive salary package and Developmental opportunities
3. Technology: Deployment of Police Cameras at HDB blocks, Enhancing NPP
4. Partnerships: Community Safety and Security Programmes.

## **India**

Historically and traditionally in many parts of the country community policing was practised. Some of the examples are 'Panchayats of Manipur', 'PachaFayda' of Nagaland, 'Kebong' of Arunachal Pradesh and 'Village Defence courts' in Manipur. Many experiments attempted were generally through individual initiatives while some of them were through formal legislation.

## **Madhya Pradesh**

The concept of Village Defence Society in Community policing was first introduced in 1956 in M.P in the dacoity infested area to enlist the cooperation of the villages in the fight against the dreaded dacoits. Initially these societies were established in Gwalior, Bhind and Morena districts and later on also established in Shivpuri, Datia, Guna, Rewa, and Sagar districts. The state government passed the "Madhya Pradesh Gram Tatha Nagar Raksha Samiti Vidheyak" in to establish the Village Defence Societies as well as the City Defence

Societies in the remaining parts of the State as well. Some of the initiatives are:

1. Parivar Paramarsh Kendra (Family Counselling Centre): It was started in October 1995 to alleviate the suffering of women within the family fold.
2. Nagar Suraksha Samiti (Town Defence Committee): It was started in January 1996 to create a group of righteous citizens to assist the police in doing its normal duties like managing major processions, generating awareness about police working, assisting in management of traffic, etc.
3. Mobile Police Thana: It was started in October 1996 to provide social justice to villagers. Under this initiative officers of police station camp at a fixed place, date and time to dispose of the minor incidents or problems of the village.
4. Bal Mitra Scheme: It was started in October 1997 to remove the fear of police from the minds of school going students of different age groups and to make them acquainted with the working of police

## **Maharashtra**

The Bhiwandi Experiment; an initiative was taken by Shri. Suresh Khorpade during the critical period following the demolition of Babri Mosque in December 1992. This was highly successful as this area remained peaceful even when communal violence erupted in many parts of the country and Bhiwandi had a history of communal violence in 1970 and 1984. This was achieved by forming Mohalla Committees comprising of representatives of people professing different religious faiths. The basic premise was that a mutual acquaintance promoted trust and goodwill. These committees provided a platform for people to come together, remove anonymity and establish acquaintance.

As part of Bombay City Experiment; Peace Committees were set up in Bombay as an extension of Bhiwandi Experiment which proved effective in the end of 1993 when a team of eminent social workers and police leaders transformed the atmosphere. Victims of

communal violence were rehabilitated by the joint efforts of police, peace committees and voluntary agencies.

### **Tamilnadu**

Friend of Police: A movement called Friend of Police in community policing was started in 1993 in Ramnad District of Tamilnadu by Shri Prateep V Philip to “foster and crystallise the hither-to untapped sentiments of goodwill for the police that exists among the general public.” Within a few months of its inception, nearly a 1000 members of the public from all walks of life volunteered to become FOPs in Ramnad district.

### **Kerala**

Crime Prevention Committees were formed in 1998 at the police station level to provide a platform for the local public and the police to discuss crime problem.

Student Traffic Education Programme was started to educate and train the youth in matters related to traffic.

Crime Stopper Facility provided a platform to share information with the police on non-metered telephone without disclosing the caller’s identity, and

Janamaithri Suraksha Project was started in 2008 in 20 selected Police Stations on the recommendations of Justice K. T Thomas Commission report. As of now, it has been implemented in 248 selected Police Stations. Appropriate training is being given to the Beat Officers, Assistant Beat Officers, Community Liaison Groups etc. Janamaithri Suraksha Samithi are formed to assist in the functioning of the project comprising of Corporation / Municipal Ward Councillors, representatives of each active Residents Association, NGOs, local media representatives, nominees of every High School Head Master / College Principal, reputed persons of the locality, retired police personnel and ex-service personnel.

### **Delhi Experiment: Neighbourhood Watch Scheme**

The Neighbourhood Watch Scheme (NWS) was initially started by the Delhi Police in 1989 to enlist the support and co-operation

of residents of an area to improve area security for the prevention of crime. It envisaged close co-ordination and contact of Beat and Division staff with the residents of the selected area. Residents were encouraged to take measures to improve security by employing chowkidars, verification of servants, installing gates, CCTVs etc. This scheme was started again on 28<sup>th</sup> October, 2013 and by February, 2014, 731 areas had been covered under this scheme.

The process involved the identification of an area followed by contacting residents of that area and then motivating them to be alert. SHO/ACP have to organise the residents into a cohesive and homogeneous group. The SHO invariably attends the monthly meeting of NWC and addresses the ways for improving the functioning of the NWC. The NWC members are given ID cards containing all the necessary details. The jurisdiction of each NWC is the beat of the local Beat constable which can have maximum 500 houses. The NWCs oversees the neighbourhood watch programme in the area and have the following broad functions:

#### Functions of Neighbourhood Watch Committee

- Compilation and distribution of a updated house-wise list of all the residents including details like postal address and telephone number
- Disseminating information on the proper security of house i.e good quality locks for doors, grills and bars on windows, use of magic eye, door chain, burglary alarm, CCTV, cross bell etc.
- Disseminating information on proper security of vehicles including the need for keeping the vehicles always locked, etching of the registration number on the window glass, use of extra security measures like gear lock, steering lock, GPRS tracker etc.
- Issuing passes to the regular visitors of the colony like vendors, hawkers, plumbers, electrician, technicians after getting their antecedence verified from police to discourage unauthorised entry in the colony

- Organising camps for insurance of expensive and movable items like jewellery, electronic gadgets etc.
- Assisting police in the collection of the particulars of all domestic servants, chowkidars and drivers together with their relatives residing/working as well as tenants in the locality and getting their antecedents verified by the police
- Identification of all the bad characters, drug addicts and rowdies residing in the locality and helping police in keeping a watch on them
- Identifications of unemployed youths and drop-outs having undesirable activities and keeping a watch on their activities especially if any of them is suddenly found to be spending money lavishly
- Motivating residents to keep a watch on the house of their neighbour if neighbour is away on work or on vacation and promptly informing the local coordinator/police in case of any suspicious activity around his house
- Meeting frequently or at-least once a month to analyse local crime and planning counter measures
- Motivating residents to keep a watch on abandoned vehicles and visit by unknown vehicles in the area
- Motivating residents to be vigilant in local public parks and play grounds for eve-teasers, thieves and suspicious looking persons

**The objectives of NWS was to:**

- To reduce property crime like burglary, and snatching
- To foster police-community relations
- To enhance the community spirit
- To decrease juvenile crime by involving youths in this scheme.

## **Other initiatives of Delhi Police**

### **Pehchaan**

It is a program to prevent children from falling prey to exploitation and felony in the national capital. It was started in June 2011. In this children from vulnerable sections of the society are registered and photographed with their parents from time to time. Especially minors residing in jhuggies, resettlement colonies and largely belonging to below poverty line category are targeted in this scheme. The photographs are given to the parents, burnt in compact disks(CDs), and are removed from the police data to avoid misuse. 64,755 children were photographed under this scheme in year 2012, in year 2013, 8788 were photographed.

### **Eyes and Ears**

It was started in Jan 2008. It is a programme to sensitize and extract information from the secondary stake holders of the society like guards, Rehri Patriwalas, Chowkidars, vendors, TSR drivers, parking attendants, residents/traders welfare associations etc. to keep a watch and share the information about any suspicious activity or person with the local police immediately. Regular meetings are held by all the officers to sensitize and motivate them.

### **Yuva**

It was started in 2012 to help youngsters from crime prone areas learn skills to earn their livelihood. It aims to bring back the youngsters on the right track thus solving juvenile problems. Police officials reach out to the children from economically backward background and give them vocational training.

### **Parivartan**

It was started in Aug 2005 against rape and domestic violence, by the deployment of women police constables (WPCs) in field, in partnership with parents, psychologists, teachers, lawyers, students, sociologists, youth, area security committee members, NGOs and resident welfare associations (RWAs) in a well-planned program.



WPCs conduct community awareness and sensitization activities in the low income and densely populated areas of the city.

### **UNDP Project in India**

The Ministry of Home Affairs in collaboration with the UNDP in 1995 conceived a project to “Improve the Organisation and Management of Law Enforcement System in India” to evolve a mechanism for improving the law enforcement system and police public interface in the police stations selected for this project. This project was started towards the end of 1997. The project was implemented in selected police stations of Assam, Rajasthan and Tamil Nadu. For improving the police community understanding and interaction at the police station level, Community Liaison Group was conceived as the institutionalised system.

Community Liaison Group represents a group of people belonging to various socio-economic strata of the society within a given geographical area who come together with a common specific objective to improve relationship between public and police of the given area with an aim to foster peace and harmony in the society through co-operation and constant communication, interaction and understanding between the police and the public.

### **Conclusions**

Community Policing is a very wide concept. It involves theoretical analysis of the concepts, comparative analysis of different models and institutional analysis to present a model. The experiments in India and abroad can be the base for future work to be done for community policing in different states to as get a holistic idea of the best practises that can be adopted in Community Policing.

Most of the Indian states do not have RAWs, so the concept of mohalla sabha and gram sabha can be used in Community Policing, as they represent the direct form of democracy with the active participation of the masses. This aspect can be the basis for further initiatives.

Maintenance of law and order and crime prevention is a very important part for the well bring and happiness of the citizens. The

increasing sophistication of the methods of crime and increasing difficulty in enforcing law and order due to the distance between police and public, necessitate the involvement of community in the operations of police and in the creation of an orderly society.

Community Policing offers a solution to these problems by increasing the interaction between police and public which in turn leads to enhanced mutual trust and respect for each other. These interaction make them realise the problems and limitations of each other and enlist the full support of public to the police. It makes available the resources of community to the police.

The State has also realised the importance and potential of Community Policing in solving these problems and now more and more government are adopting it in one way or the other. The very essence of community policing lies in these variations as problems and requirements of every area are different and require different approaches.

Though the efforts have commenced, there is still a long way to go to achieve a happy, peaceful and secure India.

“Every citizen is a police without uniform and every policeman is a citizen in uniform. It involves bringing out a policeman out of a citizen and a citizen out of a policeman.”

## References

1. A. Abraham Kurien, IPS, Community Policing In the Indian Context, The Indian Police Journal, January-March 2002: 94-105
2. Amod Kanth, Community Policing, The Indian Police Journal, October 1999-March 2000: 11-23
3. Prateep V. Philip, An International Blueprint for Community Policing, Crime & Justice International, 5(6)(1995)
4. [http://www.unafei.or.jp/english/pdf/PDF\\_rms/no56/56-11.pdf](http://www.unafei.or.jp/english/pdf/PDF_rms/no56/56-11.pdf)
5. <http://www.spf.gov.sg/sites/cops/>
6. <http://www.delhipolice.nic.in/>
7. <http://www.thehindu.com/todays-paper/tp-opinion/communitypolicing-initiatives-in-kerala/article875019.ece>

8. <http://www.lectlaw.com/files/cjs07.htm>
9. [http://www.humanrightsinitiative.org/new/community\\_policing\\_experiments\\_in\\_india\\_1.pdf](http://www.humanrightsinitiative.org/new/community_policing_experiments_in_india_1.pdf)
10. <http://www.cops.usdoj.gov>

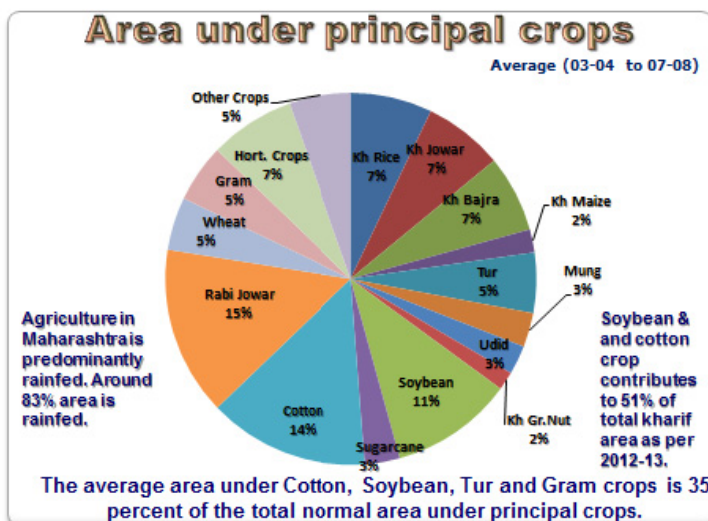
## INITIATIVES OF CHANGE

### Crop Pest Surveillance

In July, 2008, the Commissioner Agriculture, Government of Maharashtra, Pune, was a worried man and called for a Review Committee Meeting. Agriculture in Maharashtra being a predominantly rain fed phenomenon, was under tremendous pressure. On top of the two successive dry spells in June and July especially in Vidarbha and Marathwada regions of the State, the increasing cases of farmers' suicides in Vidarbha areas worried the Committee even further. The plight of farmers in the state and elsewhere in the country was deplorable and every administrator connected with the well-being of the farmers was stressed and wished to find a solution. An estimated loss of Rs. 1392 crores due to pest outbreak on soybean crop resulting in crop devastation further worried the administrators.

#### The Problem

Cotton and soybean are the two major *khharif* crops of Maharashtra that cover 65.74 lakh hectares and collectively account



for approximately 45% of the total area under *kharif* crops. Better productivity and prevailing higher market prices motivated farmers to commit increased area under soybean and cotton crops in Vidarbha and Marathwada regions of the state. Exhibit–1 presents a snapshot of the major crops of the state of Maharashtra.

#### Exhibit–1: Principal Crops of Maharashtra

During 2008-09, there were two dry spells of 15 days each in June and July which delayed the crop sowing. Dry spell again repeated in August resulting in severe outbreak of defoliators *viz.* *Spodoptera litura* coupled with *Helicoverpa armigera* and other leaf eating caterpillars on soybean crop in the state in general and Vidarbha and Marathwada regions in particular, leading to massive crop devastation. Approximately, 48% of the total sown area under soybean was infested, with 71.31% of the infested area having an intensity of more than 50%. The impact of such an onslaught of pest was rather serious and resulted in significant crop productivity loss as depicted in Table-1 for Soybean. Monetary losses were estimated to the tune of Rs.1392 crores. The problem got further aggravated due to many reasons such as built-up of pest in initial crop stage and failure in identifying the pest by farmers and field functionaries; lack of appreciation of the gravity of the situation resulted into severe pest outbreak. Panicked from situations occurring all over the State, the farmers and people’s representatives took up this matter through public agitations and started demanding compensation for farmers from government. Under pressure, the state government ended up paying compensation worth Rs. 450 crores to farmers.

**Table-1:** Impact on Soybean Productivity

S. No.	Particulars	Annual Average 2003-2008	2007-2008	2008-2009
1.	Area (Lakh ha)	22.44	26.64	30.63
2.	Production (Lakh MT)	27.01	39.76	18.40
3.	Productivity (Kg/ha)	1204	1493	601

### Government initiatives

Central Government deputed an experts' team to study the affected areas in the state. Central Team in consultation with other stake holders *viz.* State Agriculture Universities (SAUs), Directorate of Soybean Research (DOSR), Indore; Central Institute of Cotton Research (CICR), Nagpur; Central Research Institute for Dryland Agriculture (CRIDA), Hyderabad; Indian Institute of Pulses Research (IIPR), Kanpur and National Centre for Integrated Pest Management (NCIPM), New Delhi, made the following observations and recommendations:

1. Inability to identify the type of pests that is defoliating the crop coupled with paucity of manpower to tackle situation.
2. Negligence and lack of approach by various agencies towards pest management in response to the emergent severe pest outbreak;
3. Multitasking nature of duties in State Department of Agriculture (SDA), the personnel could not properly focus on a particular crop and specific pest problems;
4. Inadequacy to adopt Integrated Pest Management (IPM) practices on the crop for better crop protection.
5. *Spodoptera litura* being a polyphagous pest having wider dispersal capability, the exact niches of its development were unknown;
6. In Gadchiroli and Chandrapur tracts drastic crop diversification from rice to soybean was conducive for development of Lepidopterous pests (e.g. *Spodoptera*);
7. The conducive climatic conditions in the pockets, profuse vegetative crop growth coupled with heavy attacks of *S. litura*, which later spread to adjacent places.

The prevailing system of pest monitoring practice was based on visual observations and failed miserably. As a result, till the pest attack covered around 14.64 lakh hectare crop area, it was not even properly detected. It was a challenge to the Agriculture Department to develop a long term scientific strategy to counter such issues in

future and prevent crop losses thereby protecting the interest of the farming community so crucial to the economic development of the state. An innovative Programme “Crop Pest Surveillance and Advisory (CROPSAP)” was launched in 2009-10 under Rashtriya Krishi Vikas Yojana (RKVY).

### **The Project**

The CROPSAP project was envisaged to attempt the following objectives:

- Developing scientific approach to pest surveillance and monitoring
- Developing On-Line Pest Monitoring System for major pests infesting Soybean, Cotton, Tur and Gram, on real time basis
- Identifying the hot-spots based on the pest status and issue relevant advisories.
- Creating awareness among the farmers about Integrated Pest Management(IPM) and Integrated Crop Management(ICM)
- Guiding the farmers for management of major pests in selected crops by issuing appropriate advisories

The project envisaged to cover 33 Districts, 89 Sub-divisions spread over some 30,000 villages. Total area under surveillance was 107.38 Lakh ha covering the following crops and the selected pests as shown in Table-2.

The project brought effective coordination of multi-disciplinary partners comprising of agro - meteorologists, entomologists, pathologists, statisticians and computer specialists to work on scientific surveillance system for the benefit of farmers. Some of the benefits accrued from the project can be listed as under:

- Increased awareness among farmers as well as field functionaries for pest surveillance and pest management
- Timely survey helped in early detection of pest attack and taking corrective measures for pest management

- The detailed survey helped in identification of pest in their early growth stage which helped in taking proper control measures for pest management

Additionally, the project team attempted to develop standard method for surveillance of soybean, paddy, gram, tur and cotton pests. For the first time in India, GIS based pest mapping technology for soybean, paddy, gram, tur and cotton crops was used.

As per independent evaluation by NCIPM, New Delhi, the Soybean productivity increased by 18.9% during 2009 despite a dry spell in August, 2009 resulting in a gross monetary benefit of Rs.1047.50 crores with the areas above Economic Threshold Level (ETL) having declined from 14.64 lakh ha to 4.8 lakh ha. The estimated project outlay amounted to Rs.8.83 Crores. Dr. Radhika Rani, NIRD, Hyderabad while acknowledging the contribution of the pest surveillance project recommended replication of such project in other states as well as to other crops. Overall, the project has been effective to the extent of 20-30% enhancement in production of various crops under implementation. Table-3 provides a snapshot of the impact as measured by the department.

**Table-2:** Project Impact on Crop Productivity

Crop	Production	2009-10	2010-11	% Increase in production	Increase in value (as per MSP) (Rs.Cr.)
Soybean	Lakh MT	22.77	41.88	+ 83.93	2751.84
Cotton	Lakh Bales of 170 Kg each	58.8	77.05	+ 31.04	775.63
Pigeon pea	Lakh MT	9.29	10.2	+ 9.80	273
Chick pea	Lakh MT	11.88	12.97	+ 9.18	191.84
Total		3992.305			

### Implementation Road-Map

After elaborate consultations with key stake holders, an Information and Communication Technology (ICT) based project



proposal for systematic and scientific pest surveillance, monitoring and management of major pest was drafted. The proposal was presented to the then Principal Secretary (Agriculture) under Rashtriya Krishi Vikas Yojana (RKVY). It was decided to implement the proposal through Commissionerate of Agriculture, Maharashtra. The State Level Sanction Committee (SLSC) under the Chief Secretary, Government of Maharashtra recommended the Project proposal to Government of India which was approved by the Government of India. The project was an innovative and ambitious project involving Crop Scientists, IT experts, Communication Technology experts, State Department officials spanning crop areas in the State of Maharashtra.

To cater to this requirement, a series of meetings were held at Commissionerate of Agriculture, Maharashtra to develop an appropriate programme. The modalities of the project, area of operation was finalised and a project document was prepared in consultation with NCIPM and submitted to the State Agriculture department. The specific responsibilities of different stakeholders were earmarked and the time-line for project implementation was also documented. The project was financed under RKVY from 2009-10 to 2012-13 with a total outlay of Rs.49.55 crores. From the year 2013-14, the State Government has decided to implement the project through State Plan. Some of the key activities included in grassroot level implementation of the project included:

- Developing software for on-line pest surveillance.
- Developing scientific pest management capsules in consultation with scientist for disseminating advisories.
- Developing network between Central Crop Research Institutes, State Agriculture Universities and State Department up to block level.
- Studying effect of environmental parameters on pest population dynamics.
- Appointment of contractual staff exclusive for pest surveillance and data uploading.
- Conducting pre-season training programmes for Pest Scouts,

Monitors, Data Entry Operators and farmers.

- Conducting weekly village level farmers meeting to update about pest situation.
- Enrollment of farmers for free SMS service about pest management.
- Identifying hot-spots for pest management and arranging campaigns to deal the situation.
- Supply of pesticides on 50% subsidy by convergence of different crop schemes in hot-spot areas.

A Monitoring Unit for pest surveillance was created by hiring Pest Scouts (835) at village level, Pest Monitors (84) at Sub-division level and Data Entry Operators (84) at Sub-division level on contractual basis. The implementation commenced with effect from the year 2009-10.

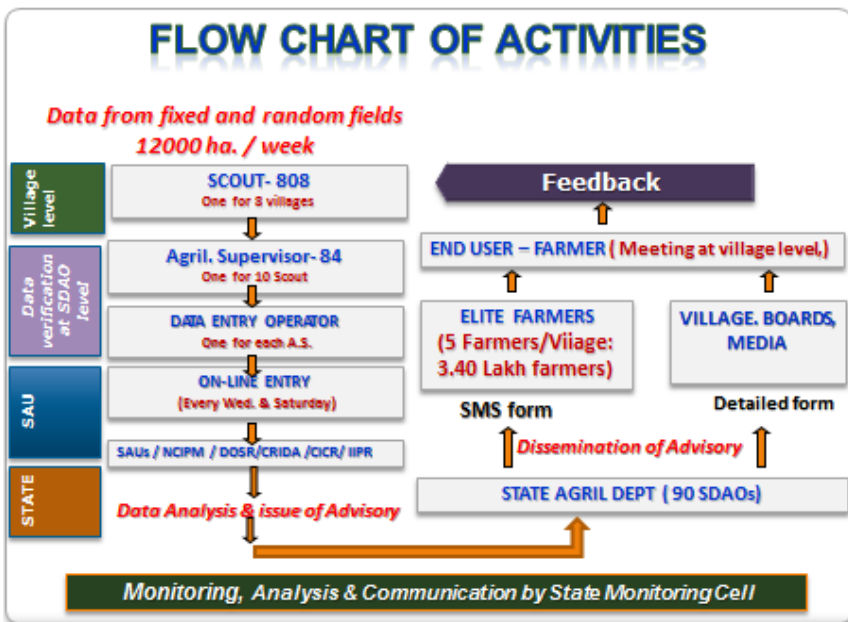
Execution of the project was a key to success. A Steering Committee was constituted under the Chairmanship of Commissioner (Agriculture) involving all stakeholders for project monitoring and its updation. Committee meets periodically to take the review of implementation and provides guidance for improvement. Hiring and training of contractual staff exclusively for pest surveillance, data feeding, advisory dissemination; training of field staff and farmers; enrollment of farmers for free SMS advisory; media publicity, regular village level meetings; and identification of hot-spots for making concentrated efforts to combat infestation constituted the major components of the strategy for execution of the scheme. NCIPM performed role of the technical nodal agency so as to formulate implementation guidelines and review the project on regular basis. Detailed plan for implementation is shown in Exhibit-2.

Key stakeholders and their roles in the Project execution included:

1. Commissioner Agriculture – Responsible for formulating the project, chairing the Steering Committee and monitoring the implementation of the project from 2009-10 to 2011-12; obtained approval from State Plan and enhanced the project to incorporate new concepts like IPM village concept.

2. Principal Scientist (DOSR) – Involved in the project right from 2008-09 as Central Team Member to key stakeholder presently.
3. Principal Scientist and Computer Analyst (**NCIPM**) – Nodal agency for technical guidance and support for the project; helped in drafting the project to its ongoing successful implementation; took initiative in developing software for pest monitoring and coordinated the activities.
4. Deputy Director of Agriculture – Responsible for technical input, data monitoring, coordination, implementation, budgeting, project presentation, critical factor analysis and updating.

Exhibit-2: Flow Chart of Activities



### Advantage Farmers

The most significant award that this initiative received was from the most significant and most voiceless stakeholder - the farmer. The farmers benefited from this project in various ways including:

- Identification of pests at early stage of infestation and approaches to combat it systematically.
- Use of IT tools, i.e. software, website and mobile SMS on real time basis and leveraging electronic and print media for effective pest management.
- Increased awareness among farmers and field functionaries about pest surveillance, monitoring and pest management.
- Understanding of ETL concept and adopting appropriate plant protection measures.
- Maintenance of the pest population below ETL level.
- Implementation of location specific advisories based on scientific observations.
- Judicious use of biological and chemical pesticides.

### **The Team**

The Commissioner Agriculture accepted the challenge. Extensive surveys were carried out by field staff of Agriculture Department and series of meetings were held with farmers and field officers. All possible resource institutes were pulled together. It was decided to appoint contractual staff exclusively for pest surveillance work. NCIPM shouldered the responsibility as technical nodal agency to develop software and monitor the project. Central Crop Research Institutes and State Agriculture Universities took the role to develop advisory modules and offer technical advice. Entire staff of Agriculture Department responded to the new concept wholeheartedly.

### **Major Challenges**

The post epidemic analysis of pest attack by team of experts brought forward some salient reasons for severity of the problem and difficulties encountered in its effective management. Lack of systematic approach and rigorous pest surveillance efforts and slow pace of its implementation in piecemeal manner by different stakeholders could not showcase the success. Most of the pest outbreaks are unexpected over space and time wherein reactive analyses and actions are required. Monitoring pest infestation

onset and its intensity is of utmost importance for effective pest management.

The project being an entirely new concept, it was hard to get administrative and financial approvals. Coordinating different Research Institutes, working on e-based solutions, training field staff and making farmers appreciate the concept was a big task. Monitoring, system updation and training the farmers were other challenges that the team faced.

### The Impact

As per Agriculture Census-2010 there are 137 lakh *Khatedars* in Maharashtra covering an area of about 106.31 Lakh ha. All the 33 districts, 348 blocks and 41,000 villages in the state are presently covered under the project. The year wise and crop wise project area and the estimated cost incurred on the project are shown in the Table-3.

**Table-3:** Year wise area coverage and cost incurred

(Area in lakh HA)

Sr.No.	Crop	2009-10	2010-11	2011-12	2012-13
1	Rice	—	—	15.00	15.20
2	Soybean	30.19	27.29	25.30	32.18
3	Cotton	33.91	39.42	43.50	41.46
4	Arhar (Tur)	10.93	13.02	12.00	10.81
5	Gram	12.91	14.23	10.51	12.54
	Total	87.94	93.96	106.31	112.19
	Project Cost (Rs. Cr.)	29.58		9.57	10.40
	Cost per hectare (Rs.)	16.26		9.00	9.27

Year 2007-08 is taken as a base year for comparison as year preceding to the problematic year. During 2008-09, there were two dry spells of two weeks in June-July. That delayed the crop sowing initially and crop condition of sown crops subsequently. Another dry spell in August for three weeks resulted in severe pest infestation on Soybean

and other crops. As a result productivity of the crops has declined considerably. The lesson learnt has resulted in appreciation of the initiative of scientific pest monitoring project that was implemented from 2009-10 onwards. The cost of surveillance per hectare declined substantially over a period of time.

Year 2009-10 to 2011-12 also witnessed 2-3 dry spells despite timely onset of monsoon. There were pest incidences after dry spells, but those were detected in good time and corrective measures were taken that protected the crops. Thus, productivity never declined to the level of 2008-09. Due to continuous vigil through e-pest surveillance no major pest outbreaks were recorded. The net returns based on MSP of the crop which declined during 2008-09 due to dry spells followed by pest attack have been improving continuously since 2009-10 onwards despite climatic variations, resulting in an increase in farmer income.

### **ICT in the service of Rural Farmers**

On-line scientific monitoring through use of ICT proved to be the high point of the project for accurate analysis of field situation. SMS to farmers, advisories pasted on village panchayat boards, village meetings and media publicity made significant improvement in delivery time to end users. The scientific advice helped the farmers to avoid wasteful expenditure on pesticides when not needed.

The participatory response of farmers through SMS enrollment, advisories issued, SMS sent and shift towards use of safer bio-pesticides is shown in Table-4.

**Table-4:** Beneficiaries response to SMS service and adoption

Year	Advisories and SMS			Shift towards bio-pesticides use (MT)
	No. of subscribers (Lakhs)	No. of advisories issued	No. of SMS sent (Lakhs)	
2009-10	1.63	13517	31.93	1788
2010-11	2.40	55602	112.00	2200
2011-12	3.11	62410	199.06	2500
2012-13	3.40	62515	360.83	2800

Interestingly, the number of farmers enrolled for SMS service has doubled, the advisories issued has increased by 4.63 times, SMS send has increased by 11.30 times and shift towards use of safer bio-pesticides has increased by 1.57 times since the inception of project in 2009-10.

e-Pest surveillance has simplified the procedure for pest monitoring. The software helped the experts to get scientifically analyzed data. Use of rapid communication technology like email and SMS helped the field level functionaries to understand situation and relevant advice. Awareness campaigns helped knowledge updating of farmers and field staff. Media publicity created social awareness. As such, use of ICT tools in pest management has proved to be boon for farmers to protect their crops from vagaries of pest problem. Some of the technology components which were used in the project included:

- Laptops for on-line data entry
- Internet Modems for connectivity
- SQL Server 2000 for off-line data entry and uploading of data and maintaining data base
- asp.net for on-line reporting
- GPS Kit for GIS based Pest Mapping
- SMS broadcaster for wide spread advisories
- Use of e-mail communication system

Flow Chart of e-Pest Surveillance and GIS based mapping of major insect pest of soybean and cotton are shown in Exhibits-3 and Exhibit-4 respectively. Sample of Advisories displayed on Gram Panchayat Notice Board and Advisory Disseminated through SMS are shown in Exhibit-6 and Exhibit-7 respectively.

### **Appreciation and Sustainability of the Project**

Efforts of the department did not go waste as the Government of India appreciated the project

In National Conference Kharif 2010 and recommended that other states in the country should replicate the project. The Secretary,

Government of India stated, “*States are also requested to implement comprehensive pest surveillance for major crops vulnerable to pests and diseases under Rashtriya Krishi Vikas Yojana (RKVY) as done by Maharashtra*”. Madhya Pradesh, Andhra Pradesh and Karnataka are in the process of implementing this concept. Even the originating state of Maharashtra has extended the project to Rice crop, too, effective from 2011-12.

The project has been acknowledged by many agencies both within and outside the state. National Centre for Integrated Pest Management, New Delhi estimated monetary benefits to the extent of Rs. 1047.50 crores during 2009-10 as a result of the implementation of the scheme. National Institute of Rural Development, Hyderabad has recommended replication of the project in other states. Agriculture Finance Corporation Ltd., Mumbai has appreciated the training provided to the farmers as an exemplary effort. According to their report, the timely guidance received by the farmers through SMS effectively enabled the farmers to take preventive measures resulting in reduction of losses.

Significantly, the project has won ‘*Gold Award*’ under the category “*Exemplary Re-Use of ICT Based Solutions*” under National Award on e-Governance 2011-12 through a rigorous process of selection by DAR&PG, Government of India. The most crucial appreciation of the project is the decision of many other state governments to replicate the project and decision of the State of Maharashtra to continue as well as extend the project under the State Plan. To mention a few, the Agriculture Departments of Odisha and Gujarat Governments have already started the implementation on similar lines in their respective states. Encouraged by the success of this project, CRIDA is making GIS mapping of these parameters with reference to pest population dynamics. This is likely to provide long term research benefit by developing pest forecasting models. The project has opened up many more avenues for farmers. Even the centralized monitoring of crop pests at National Level can be possible through this approach.

Usually sustainability of the project remains an issue but this project was planned in 2009-10 for Cotton, Soybean, Tur and Gram crops. Subsequently, in 2011-12 it was extended to Rice, Mango,



Pomegranate and Banana crops. The project is successfully under implementation for the last four years and State cabinet has decided to continue it for next five years.

**Prabhakar Deshmukh**

## Why only Coal?

Allocation of most of coal blocks to Private sector and few of them to Public Sector over last few years have undergone tough scrutiny by various agencies and institutions including the Hon'ble Supreme court. This short note intends to raise some untouched dimensions of the episode. At the outset itself it is being made categorically clear that these is no attempt to comment on what has happened, what should have been done and what the judiciary, media, political parties, CAG, bureaucracy have said and inferred.

Let us come straight to the very basic question of process of allotment of these blocks? What is the Statutory provision enacted by the Parliament? In fact, not only Coal but all the Minerals (of course with very few exceptions) are allotted on lease under the Provisions of "The Mines and Minerals (Development & Regulation) Act, 1957" and "The Mineral Concession Rules 1960". Three types of concessions are provided in the Act.

- (I) Reconnaissance Permit (RP) means any operations undertaken for preliminary prospecting of a mineral through regional, aerial, geophysical or geochemical surveys and geological mapping, but does not include pitting, trenching, drilling (except drilling of boreholes on a grid specified from time to time by the central government) or sub-surface excavation.
- (II) Prospecting License (PL) means a license granted for the purpose of undertaking prospecting operations; where Prospecting Operations means any operations undertaken for the purpose of exploring, locating or proving mineral deposits.
- (III) Mining Lease (ML) means a lease for the purpose of undertaking mining operations, and include a sub-lease

granted for such purpose where mining operations means any operations undertaken for the purpose of winning any material

There is also a provision that once a person- individual or body incorporated, gets RP he shall be given preference in giving PL and further anybody having PL shall be given priority in giving ML. (there is a change in policy vide The Mines and Minerals (Development and Regulation) Amendment Ordinance, 2015 notified on 12.01.2015). There is also provision that without getting RP, one can straight away get PL and also without PL, one can get ML. The detailed provisions are quoted here:

**Sec 11: Preferential right of certain persons-**

(1) Where a reconnaissance permit or prospecting license has been granted in respect of any land, the permit holder or the licensee shall have a preferential right for obtaining a prospecting license or mining lease, as the case may be, in respect of that land over any other person:

Provided that the State Government is satisfied that the permit holder or the licensee, as the case may be,-

- (a) has undertaken reconnaissance operations or prospecting operations, as the case may be, to establish mineral resources in such land;
  - (b) has not committed any breach of, the terms and conditions of the reconnaissance permit or the prospecting license;
  - (c) has not become ineligible under the provisions of this Act; and
  - (d) has not failed to apply for grant of prospecting license or mining lease, as the case may be, within three months after the expiry of reconnaissance permit or prospecting license, as the case may be, or within such further period, as may be extended by the said Government.
- (2) Subject to the provisions of sub-section(1),where the State Government has not notified in the official Gazette the area for grant of reconnaissance permit or prospecting license or mining

lease, as the case may be, and two or more persons have applied for a reconnaissance permit, prospecting license or a mining lease in respect of any land in such area, the applicant whose application was received earlier, shall have the preferential right to be considered for grant of reconnaissance permit, prospecting license or mining lease, as the case may be, over the applicant whose application was received later:

Provided that where an area is available for grant of reconnaissance permit, prospecting license or mining lease, as the case may be, and the State Government has invited applications by notification in the Official Gazette for grant of such permit, license or lease, all the applications received during the period specified in such notification and the applications which had been received prior to the publication of such notification in respect of the lands within such area and had not been disposed of, shall be deemed to have been received on the same day for the purposes of assigning priority under this sub-section:

Provided further that where any such applications are received on the same day, the State Government, after taking into consideration the matter specified in sub-section (3), may grant the reconnaissance permit, prospecting license or mining lease, as the case may be, to such one of the applicants as it may deem fit.

- (3) The matters referred to in sub-section (2) are the following:-
- (a) Any special knowledge of, or experience in, reconnaissance operations, prospecting operations or mining operations, as the case may be, possessed by the applicant;**
  - (b) The financial resources of the applicant;**
  - (c) The nature and quality of the technical staff employed or to be employed by the applicant;**
  - (d) The investment which the applicant proposes to make in the mines and in the industry based on the minerals;**
  - (e) Such other matters as may be prescribed.**
- (4) Subject to the provisions of sub-sections (1), where the State

Government notifies in the Official Gazette an area for grant of reconnaissance permit, prospecting license or mining lease, as the case may be, all the applications received during the period as specified in such notification, which shall not be less than thirty days, shall be considered simultaneously as if all the applications have been received on the same day and the State Government, after taking into consideration the matters specified in sub-section (3), may grant the reconnaissance permit, prospecting license or mining lease, as the case may be, to such one of the applicants as it may deem fit.

- (5) Notwithstanding anything contained in sub-section (2), but subject to the provisions of sub-section (1), the State Government may, for any special reasons to be recorded, grant a reconnaissance permit, prospecting license or mining lease, as the case may be, to an applicant whose application was received later in preference to an application whose application was received earlier:

Provided that in respect of minerals specified in the First Schedule, prior approval of the Central Government shall be obtained before passing any order under this sub-section”.

**(11A) Procedure in respect of coal or lignite (\*Act No.34 of 2010 dated 8.09.2010)**

The Central Government may, for the purpose of granting reconnaissance permit, prospecting license or mining lease in respect of an area containing coal or lignite select through auction by competitive bidding on such terms and conditions as may be prescribed, a company engaged in,-

- (i) Production of iron and steel;
- (ii) Generation of power;
- (iii) Washing of coal obtained from a mine; or
- (iv) Such other end use as the Central Government may, by notification in the Official Gazette, specify, and the State Government shall grant such reconnaissance permit, prospecting license or mining lease in respect of coal or lignite to such company as selected through auction by competitive bidding under this section; Provided that the

auction by competitive bidding shall not be applicable to an area containing coal or lignite,-

- (a) Where such area is considered for allocation to a government company or corporation for mining or such other specified end use.
- (b) Where such area is considered for allocation to a company or corporation that has been awarded a power project on the basis of competitive bids for tariff (including ultra-mega power projects)

**Explanation-** For the purpose of this section, “company” means a company as defined in sections 3 of the Companies Act, 1956 and includes a foreign company within the meaning of section 59 of that Act.

This Act was enacted in 1957 and Rules were framed in 1960. From that time onwards all metallic and non-metallic minerals like Iron, Zinc, Gold, Silver, Lead, Bauxite, Copper and so on (a very large number) are being allotted on the basis of above provisions.

The CAG raised the issue of allocation of Coal Block only. Whether the auditors did not have knowledge of other allotments of so many Minerals over last so many years or **only Coal** allotment was examined for a specific purpose because the Coal Ministry was with PMO, is not the idea and scope of this piece. The idea is to generate a thought provoking process to see:

- (a) Whether the provisions of the law framed by the Parliament are enough and sufficient to deal with such allotment.
- (b) Whether allotment of other minerals being allotted on the basis of same provisions should be examined like Coal.
- (c) Whether political masters can be held responsible, that too criminally, for procedural lapses or it is only the bureaucracy to be held responsible.

**Gurdeep Singh**

## **Towards Environmentally-Responsible Power Generation**

Almost two-thirds of the India's electricity production is coal-based. Coal is abundantly available in India and is the least expensive energy resource. To ensure its energy security, India has no other option but to continue to depend upon coal as the primary fuel for at least the next 30 years.

On the other hand, coal-fired power plants emit huge amounts of carbon dioxide (CO<sub>2</sub>) and other harmful gases into the atmosphere. They also pollute water bodies (rivers, lakes, sea etc.) and destroy fish and other marine life. Apart from causing global warming and other natural disasters, environmental pollution is a major health hazard. It contributes to several medical conditions such as asthma, pulmonary disorders, cardiovascular problems and cancer. Therefore, specific measures are needed to reduce and restrict the extent of environmental damage within acceptable limits.

India ranks a lowly 155 out of 178 countries in the global Environmental Performance Index. A large part of the environmental degradation is being caused by coal-fired power plants. India cannot continue to keep burning coal in the same inefficient manner as is being done today. If we, as Indians, do not act quickly and decisively, it is only a matter of time before we reach a stage of irretrievable environmental chaos and come under intense international pressure to give up coal-based power generation altogether. Before such a situation is reached, we need to think beyond some of our belief systems, overcome bureaucratic hurdles, take swift decisions and implement them by making full use of existing and future technologies. These technologies will make it possible for power plants to produce power in an efficient, economical and environmentally-responsible manner. Efficiency has a direct impact on the environment. A 1% improvement in efficiency of a coal-fired power plant reduces CO<sub>2</sub>

emissions by as much as 2 to 3%.

Among the key steps which need to be urgently undertaken are:

- 1) **Renovate and Modernize old power plants.** There is a capacity of over 30 GW operating at very low efficiency and in a pathetic state of maintenance. Some of these plants, which are more than 35 years old, can be scrapped and replaced by modern efficient units of much higher rating within the same space.
- 2) **Improve the operation, maintenance and logistics of the running power plants** to increase their efficiency, availability and economic viability. A related need is to deploy and retain skilled, qualified and trained manpower.
- 3) **Shut down coal-based power plant units below 100 MW in a phased time-bound manner.** Captive power generation, which is meant for industrial use, should be encouraged from renewable energy sources.
- 4) **Install and ensure the proper functioning of pollution control equipment** such as Electrostatic Precipitators (ESP), Bag Filters, Ash Handling units, Denitrification (DeNOx) systems, Desulphurization plants (wherever required), etc.
- 5) **Bring to full capacity the underutilized or stalled gas-based combined cycle power plants** (approx. 25 GW) by amending guidelines and policies such that adequate gas is made available. Even if this step leads to increase in power tariffs, it is worth considering because the harm caused by coal power plants eventually costs far more.
- 6) **Build higher rating super-critical and ultra-critical coal-based power plants** (unit ratings > 600 MW) using best-available combustion technology, including circulating fluidised-bed (CFB) once-through steam technology. This technology significantly reduces the carbon dioxide, nitrogen oxides and sulphur dioxide emissions to the atmosphere.
- 7) **Plan the location of new power plants carefully to minimize the coal transportation distances from the**



**mines.** The transportation of coal by road, rail, river or sea is a problem in India because our infrastructure is overburdened and stretched beyond its design capacities. As far as practically feasible, pit-head power plants should be encouraged.

- 8) **Invest in technologies for Integrated Coal-Gasification Combined Cycle (IGCC) Power Plants.** Gasification is a process that converts coal into synthesis gas (Syngas). The Syngas can be used as the fuel for a combined cycle power plant located at the pit head or it can be transported over pipelines to remotely-located power generating units.
- 9) **Adapt and develop economical Carbon Capture and Storage (CCS) technologies.** CCS involves separation and capture of carbon dioxide from the flue gas and then storing it either underground or in the sea bed. This is a very promising technology which is likely to play a significant role in the long-term sustainability of coal-fired power plants.
- 10) **Effectively combine coal-based generation with renewable energy sources such as solar and wind power.** The concept of “Clean & Green” Energy Parks, constituting a mix of conventional and renewable power, should be encouraged. In these parks, roof-top solar panels should be made mandatory for all administrative buildings, offices, stores and residential/commercial complexes.
- 11) **Automate power plants to the maximum possible extent.** Automation significantly improves performance with major benefits being increase in efficiency, availability, safety and quality of output power; and decrease in emission levels. Some of the other operational benefits are accuracy, flexibility, convenience and comfort of plant personnel, improved diagnostics, ease of engineering, reduced maintenance and paperless documentation. Plant managers must specifically ensure that (a) the installed automation equipment genuinely performs as per the design specifications, (b) flue gas emission monitoring sensors, analysers and associated equipment are functioning properly, (c) measurements, annunciations, interlocks and control loops (including coordinated control)

are in automatic operation and are fine-tuned, and (d) advanced algorithms such as adaptive gain control, automatic calorific value correction, anticipatory disturbance determination etc. are bringing the desired results. As far as possible, the latest performance monitoring, management and optimization software should be used.

India's growth story would be incomplete without environmental responsibility. In particular, the "Make in India" campaign will need clean electricity in abundance. There is a risk that foreign investors may shy away from manufacturing in India if they know that the power being supplied to them is harming the environment beyond acceptable limits. Hence, it is imperative to not only improve and upgrade the existing infrastructure but to simultaneously develop and implement sustainable forms of power generation based upon clean technologies. These technologies promise to balance the concerns for energy security, economy and environment, while continuing to fulfil the growing demands and aspirations of the people of India.

**Rajiv Sachdeva**

## BOOK REVIEW

### **Corruption and Economic Growth**

B.K. Chaturvedi and Shekar Gupta

Published 2015 by Academic Foundation

Pages 196

Rs. 995

ISBN 9789332701748

Not bound by geographical limits but a history that takes us back to ancient times, corruption is a global phenomenon that has existed in all forms of government, be it a monarchy, a dictatorship, a democracy or any other form of government. Initiated by the pretentious use of power or position, corruption is widespread and covers business, the corporate world, government, politics and even sports!

B.K. Chaturvedi and Shekar Gupta have covered the subject in a very comprehensive manner, a three year study, spaced in seven chapters of the book with excellent references and notes at the end of each chapter as well as a select Bibliography at the end of the book.

With a lot of data, tables, formulae and regression analysis, the authors have concluded that corruption is a very significant factor and that “with an increased level of corruption by one index value, the GDP growth goes down by around 0.4 percent per annum as per capita incomes are lost to the extent of \$450.” The Book then goes on to find the factors that impact corruption including governance and also what has been done in other countries to combat this evil. The international experience has been basically focused to cover Finland, USA, Singapore and Hong Kong. While it is commonly believed (as the authors suggest) that allocation of resources by diverting much needed capital for economic development to corrupt officials’ pockets, is detrimental to economic growth; on the other hand, the relationship between perceived corruption and economic

growth across countries gives a mixed picture, with growth rates more for countries with high level of corruption. It at least suggests that some countries may achieve high economic growth despite high corruption.

The authors have covered the Indian scene from its history to the latest Lokpal Act, bringing in its ambit the reforms suggested, role of education, ethics, technology, monitoring et al. All that one wants to know about corruption in India and the possible solutions thought of and tried is there. Good legislation and the rule of law are important elements in avoiding corruption. Also, government officials must be accountable under the law, while the laws itself are clear and applied evenly. More importantly, the laws that are enacted and enforced are fair and efficient and justice is delivered timely by independent neutrals. A combination of the role of the CVC and CBI in the form of a Lokpal is one of the solutions which could encompass all the elements stated to reduce corruption. An independent organisation with powers to carry out investigations observing the principles of transparency, independence and professionalism coupled with citizen oversight and cooperation of media including social media will be a big help. It could certainly reduce corruption. Efforts made in recent years and the Lokpal Act are also covered in the book.

The authors also hint that corruption could be fought with economic growth. While perhaps this could be true of petty corruption, the Grand Corruption that takes place in the Political world does not respect the per capita income. In fact, democracy as a form of government which entails regular elections, in itself brings in the seeds for corruption to cover the election costs. Political parties are not free from corruption in the party itself and often carry it in governance when in power. The book deals more with corruption in the government and political system and tends to leave out the big corruption that takes place in the private sector.

The authors have touched the role of media more in passing (including social media) and have not covered its full impact. In the past, corruption has always been exposed by publicity but limited by the finite reach of mainstream media. We are now moving to the social media where real time content can now be shared between

hundreds of people and transparency is not only demanded, there are mobile devices to ensure it. Corruption is an anti-social behaviour and therefore, the role of social media in the coming years could be of paramount importance.

Except for the tables and data that sometimes affect the smooth reading, the book is not only very readable, but a very comprehensive and a useful addition to the literature on the subject. The last chapter is an excellent summation of all that is covered in the book. It brings out the reforms required in institutions of governance and suggests strategies for meeting the challenges in solving both political and petty corruption.

**Mahesh Kapoor**

## OUR CONTRIBUTORS

**ANAND P. GUPTA** has done Ph.D. in Economics from the University of Florida, he served as Professor of Economics and Chairman of the Economics Area at the prestigious Indian Institute of Management, Ahmedabad. He is presently Director, Economic Management Institute, New Delhi and Member, Core Group, IC Centre for Governance, New Delhi. He has authored many publications on improving efficiency and effectiveness of Public Expenditures.

**ANIL SWARUP** is Secretary, Ministry of Coal, Government of India. He was earlier Additional Secretary in the Cabinet Secretariat to deal with large infrastructure projects, and also the Director General of Labour Welfare, GoI. He is the founder of Rashtriya Swasthya Bima Yojna (RSBY), the National Health Insurance Program currently targeting low-income families. He was Managing Director of the State Financial Corporation (Uttar Pradesh), Secretary of Externally Aided Projects (Uttar Pradesh) and Export Commissioner in the Ministry of Commerce.

**BHANU PRATAP SINGH** completed his B.Tech from IIT Roorkee in 2015. He worked with Rakhshak Foundation as an Intern in 2014 during which he did a project on “Community Policing” under Shri. M B Kaushal, former Secretary, Internal Security, Ministry of Home Affairs, GoI. The paper on Community Policing is a result of that project. Shri M.B. Kaushal is currently the Vice-President of IC Centre for Governance.

**GURDEEP SINGH** is presently the Principal Secretary, Geology and Mining, Government of Uttar Pradesh. He is an I.A.S. officer of 1985 batch, UP Cadre. He has done M.A., Ph.D.(Statistics) from Lucknow University.

**M.K. KAW** joined the IAS in 1964. He retired as Secretary HRD, Government of India. He has published many books, the latest being “An Outsider Everywhere” and “Bureaucracy Gets Crazier: IAS Unmasked.” Recently, he chaired the committee on reforms of AICTE constituted by the Ministry of HRD. He writes a regular column for G-files.

**PRABHAKAR K. DESHMUKH** is an IAS officer of Maharashtra Cadre and has held several posts, including the DM of Pune. He was Commissioner, Agriculture, Maharashtra State, Pune, where the Commissionerate got the Prime Minister’s Award for Excellence in Public Administration for Crop Pest Surveillance and Advisory Project. He is currently Secretary, Water Conservation and E.G.S. Department, Maharashtra.

**PRABHAT KUMAR** is a former Cabinet Secretary and the first Governor of Jharkhand. He has a Masters’ Degree in Physics and Mathematics from the University of Allahabad and a Masters’ Degree in Economics from the London School of Economics. Currently, he is the President of the IC Centre for Governance and is on the Board of several Committees related to ethics in governance.

**RAJIV SACHDEVA** is the former Managing Director of Siemens Power Engineering Ltd. An engineer from IIT Delhi, he worked for over 38 years with Siemens, which included about 8 years in Germany. He is a former Chairman of the CII Instrumentation Division and has also been on the Board of Directors of several companies. His major achievements include the transfer of latest automation technologies from Germany to India and spearheading the innovation of competitive products and systems in India.

**SUNIL KUMAR** is a Member of the Managing Committee, Ramakrishna Mission, New Delhi & Core Group Member of IC Centre for Governance. He was a Founder Trustee & Professor, SriSim (a PGDBM Institute), Vasant Vihar, New Delhi and G.M., PEC of India Ltd & Consultant, NIDC, Ministry of Commerce & Industry.

**V.K. AGNIHOTRI** former Secretary General of the Rajya Sabha was an IAS officer of 1968 batch, in the Andhra Pradesh Cadre. He has a Ph.D. in Public Policy Analysis and Design from IIT, Delhi and is a Visiting Fellow at the Queen Elizabeth House, University of Oxford. He has several publications to his credit including Environment and Development, Skills for Effective Administrators, Public Policy Analysis.



# IC Centre for Governance Governing Council

Justice Shri M.N.Venkatachaliah-Chairman  
Former Chief Justice of India

Prof. Rajmohan Gandhi  
Author Activist & Trustee, Friends of MRA

Shri Sarosh J. Ghandy  
Former Managing Director, Telcon Construction Company

Dr. D.V.Kapur  
Chairman, Relaince Power Limited

Dr. K. Kasturirangan  
Member of Parliament, Rajya Sabha

Shri T.S.Krishna Murthy  
Former Chief Election Commissioner of India

Shri Prabhat Kumar  
Former Cabinet Secretary

Shri J.C.Luther  
Former Deputy Governor, Reserve Bank of India

Shri Syed Shahid Mahdi  
Former Vice Chancellor, Jamia Millia Islamia

Shri Ved Marwah  
Former Governor of Jharkhand

Dr. R.A. Mashelkar  
Former Director General CSIR

Shri R.D. Mathur  
Trustee Friends of MRA

Dr. Yogendra Narain  
Former Secretary-General, Rajya Sabha

Shri Fali S. Nariman  
Former Member of Parliament, Rajya Sabha

Shri Prabir Sengupta  
Former Director IIFT

Ms. Nalini Singh  
CMD TV LIVE India Pvt. Ltd.

Shri Surendra Singh  
Former Cabinet Secretary

Shri Soli Sorabjee  
Former Attorney General of India

Shri K.L.Thapar  
Chairman, Asian Institute of Transport Development

Shri N. Vittal  
Former Central Vigilance Commissioner

Shri Shanti Narain  
Former Member, Traffic Railway Board

## **Contributors**

- Anand P. Gupta • Anil Swarup • Bhanu Pratap Singh
- Gurdeep Singh • Mahesh Kapoor • M.K. Kaw
- Prabhakar K. Deshmukh • Prabhat Kumar • Rajiv Sachdeva
- Sunil Kumar • V.K. Agnihotri

## **IC CENTRE FOR GOVERNANCE**

Niryat Bhawan, Rao Tula Ram Marg, New Delhi-110057

Telefax: 91-11-26146236/40809939

E-mail: [iccfg@yahoo.co.in](mailto:iccfg@yahoo.co.in) • Website: [www.iccfg.org](http://www.iccfg.org)