

RESEARCH HIGHLIGHTS 2015-16



National Institute of Rural Development and Panchayati Raj

Ministry of Rural Development, Government of India

Rajendranagar, Hyderabad - 500 030

VISION

- The vision of NIRD&PR is to focus on the policies and programmes that benefit the rural poor, strive to energise the democratic decentralisation processes, improve the operation and efficiency of rural development personnel, promote transfer of technology through its social laboratories, technology park and create environmental awareness.
- As a "think-tank" for the Ministry of Rural Development, NIRD&PR, while acting as a repository of knowledge on rural development, would assist the Ministry in policy formulation and choice of options in rural development to usher in the change.

MISSION

- To examine and analyse the factors contributing to the improvement of economic and social well-being of people in rural areas on a sustainable basis with focus on the rural poor and the other disadvantaged groups through research, action research, consultancy and documentation efforts.
- To facilitate the rural development efforts with particular emphasis and focus on the rural poor by improving the knowledge, skills and attitudes of rural development officials and non-officials through organising training, workshops and seminars.

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2015-16



NATIONAL INSTITUTE OF RURAL DEVELOPMENT AND PANCHAYATI RAJ
(Ministry of Rural Development, Government of India)
RAJENDRANAGAR, HYDERABAD - 500 030

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ISBN : 978-93-84503-84-0

April, 2018

Published by

**NATIONAL INSTITUTE OF RURAL DEVELOPMENT AND
PANCHAYATI RAJ**

(Ministry of Rural Development, Government of India)

RAJENDRANAGAR, HYDERABAD - 500 030, INDIA

Telephone : 040-24008473

www.nird.org.in

Printed at : VAISHNAVI LASER GRAPHICS, Ph:040-27552178

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Hyderabad

FOREWORD

National Institute of Rural Development and Panchayati Raj takes up research studies across the country in order to achieve a set of objectives such as that of gaining first-hand insights about the requirements of rural population, process of rural transformation, implementation of flagship programmes of Government of India and assessing the impact of various schemes. These studies contribute significantly to knowledge creation on critical aspects pertaining to rural development, poverty alleviation, livelihood promotion, policy formulation, etc. The research findings provide a better understanding of the ground realities and give a clear picture of the prevailing situation as well.

In order to facilitate wider dissemination of the findings of the studies, NIRD&PR is bringing out the annual publication of Research Highlights. With immense pleasure, I am presenting the Research Highlights for the year 2015-16. These studies are mainly related to agriculture, livelihoods, infrastructure, governance and social audit. The findings of these studies will be useful for the policy makers, academicians and rural development functionaries to understand the ground realities.



(W.R. REDDY)

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A CASE STUDY ON DISTRICT PLANNING UNDER AUTONOMOUS DISTRICT COUNCILS (ADCs)

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Introduction

North East India is considered as the homeland to a large number of ethnic groups or tribes who migrated from different directions at different historical times. These groups belong to different racial stocks, speak different languages and have varied socio-cultural traditions. Taking into account of the diversity, uniqueness, local requirement and, to ensure people's participation in the planning process, the Government of India has created the Autonomous District Council (ADC) in Tribal and Hilly Areas of Assam, Meghalaya, Mizoram, and Tripura under the Sixth Schedule to the Constitution of India. The ADCs have been created to preserve the customs and culture, and to safeguard the political and economic interests of the Hill tribes. The Councils have been bestowed with executive, legislative, judicial and financial powers. The Autonomous District Council is also empowered to carry out the district-level planning on the subject accorded to them.

The case study will look into the details of the planning process, steps, resources, various sectors and dimensions, vertical and horizontal integration and decentralisation of district planning in the Autonomous District Councils (ADCs) under the Sixth Schedule of the Constitution of India.

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Objectives

- i. To understand the process and other aspects of planning under ADCs
- ii. To ascertain the mechanism of the integration of ADC planning to the State-level planning system
- iii. To find out the sources of resources and use of the resources under ADC planning
- iv. To comprehend the role of District Administration (DA) in ADCs Planning
- v. To understand the decision making process and line order for planning in ADCs

Methodology

As per the provision of the Sixth Schedule of the Constitution of India, so far, 10 Autonomous District Councils (ADCs) have been created at different points of time in the State of Assam (three ADCs), Meghalaya (three ADCs), Mizoram (three ADCs) and Tripura (one ADC). A lot of variations are found among the ADCs, regarding the subjects, devolution of powers, creation of a statutory middle and village level institution, implementations of rural development schemes, integration of ADCs plan to the State plan, etc. Considering these variations, three ADCs i.e. BTC from Assam, KHADC from Meghalaya and Lai ADC from Mizoram, were selected. The selected three ADCs were visited during February 2-15, 2016. Both quantitative and qualitative data from various sources were collected. The collected data were analysed, interpreted and presented in this report.

Study Area

The study was conducted in the three ADCs, i.e. Bodoland Territorial Council (BTC) from Assam, Khasi Hills Autonomous District Council (KHADC) from Meghalaya and Lai Autonomous District Council (LADC) from Mizoram. It covered the States of Assam, Meghalaya, and Mizoram.

Findings

The findings show that the ADCs under this study were constituted at different points of time and due to different circumstances as per paragraph 1 of the Sixth Schedule. The Bodoland Territorial Council (BTC) in the State of Assam was created after Assam Accord in 2003. The Khasi Autonomous District Council (KHADC) is one of the oldest ADCs created to preserve the customs and culture, and to safeguard the political and economic interests of the Khasi tribes in 1952. The Lai Autonomous District Council (LADC) was upgraded from Regional Council to Autonomous District Council after the Autonomous District Council of Mizoram was converted into a full-fledged State in 1987.

The paragraph 2 of the Sixth Schedule deals with the constitution of ADCs and restricts the number of Council Members to 30, including nominated personnel and women but, there is an exception. In the case of BTC, the total number of members goes up to 46. This also provisions for the nomination of non-tribal and women members but at present, there is not a single nominated member in the BTC. In the normal situation, all members hold the office for a term of five years. At present, the election of ADC members in Assam and Mizoram is conducted by the State Election Commission while in Meghalaya, the election is conducted by the State Government Department. All the ADCs now use electoral rolls prepared by the Election Commission of India.

The finding on the devolution of powers shows that the ADCs have been bestowed with the power to make laws with respect to within the territory/district under Paragraph 3, under the Sixth Schedule. The items listed in the paragraph are, the allotment, occupation, or use, or the setting apart, of land; the management of forest except reserved forest; the use of any canal or watercourse for the purpose of agriculture; the regulation of the practice of *'jhum'*; the establishment and devolution of powers to village or town-level committees and administration, including

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village or town police and public health and sanitation; the appointment or succession of chiefs or headmen; the inheritance of property; marriage and divorce and social customs. In addition, management of primary schools has been included as a subject of ADC. This power is called as Council's Subject.

In addition to that there is a provision to entrust more subject to the ADCs, if the concerned State wishes to do. Following the spirit, only the State Governments of Assam and Mizoram have transferred/ entrusted much power to the ADCs. Through the insertion of paragraph 3B, the State Government has entrusted 39 subjects with executive power to the BTC. The Lai Autonomous District Council (LADC) has been entrusted with 19 departments by the State Government of Mizoram while the Khasi Autonomous District Council (KHADC) has not been entrusted with any additional power from the State Government of Meghalaya.

The findings show that the paragraph 7 of the Sixth Schedule allows the ADC to constitute a district fund, a platform where all the money received by the District Council will be kept and used as per the rules for the management of the district fund. All the three selected ADCs have their council funds and rules to govern the fund. As far as the financial devolution is concerned, the district council has powers to assess and, collect land revenue and to impose taxes as per provision of paragraph 8 of the Sixth Schedule. All the ADCs collect taxes and levy on professions, trades, employments, animals, vehicles, entry of goods into a market for sale therein, and tolls on passengers, goods carried in ferries and taxes for the maintenance of schools, dispensaries or roads, but the amount is very minimal. In fact, the ADCs are fully dependent on the grant-in-aid supplied by the State Government concerned for development activities. The ADCs also receive funds from the Central Finance Commission (14th CFC has not given), State Finance Commission, North Eastern Council, Article 275 (1), Central Government Special Assistance, etc. As per the provision, all the ADCs present the annual budget in the Council's session. As per the

provision, the ADCs accounts are audited by the Comptroller and Auditor General.

Except for the BTC, LADC and KHADC enjoy the power of administration of justice from village to district level. As per our finding, only KHADC has the functional system of administration of justice.

The findings show that administration in all the ADCs is done in the name of Chief Executive Member (CEM). He is the head of executive and administration. The CEM is selected by the council members on the approval of the Governor. On Governor's approval, he selects his council of members known as Executive Members (EM) and distributes the respective subjects/ departments. Bureaucratic head of the BTC is called as Principal Secretary and he/she is appointed by the Governor from the Senior Officers at Assam Civil Services on the recommendation of the ADC concerned. In Mizoram and Meghalaya, the head of bureaucracy is known as Executive Secretary and appointed by the CEM from the officers of Council's service. There is not a single officer/staff from the State Government in the LADC and KHADC. While in BTC, all the entrusted subjects look after the State Government employee (On deputation to ADC), their salary is also paid by the State Government of Assam as non-plan transfer to the BTC. Below the Principal Secretary, there are Secretary, Joint Secretary, HoD, Director, etc. The Legislative wing of the Council is headed by the Council's Chairman and Legislative Secretary.

The planning under ADCs is entirely different. It is not like district planning under part IX or IXA area, where panchayats do not exist like a full-fledged State. The reason is the quasi-status of District Council under the Sixth Schedule that it is between the State and District. In fact, the planning process, steps, collection and mobilisation of resources, decision making, integration, etc., are not well conceived and defined.

Basically, two kinds of planning are carried out by the BTC. Planning under normal budget and planning for transferred/entrusted subject. These

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two kinds of planning' differ from each other in every aspect of planning. Until 2014-15, the planning under normal budget was carried out on the receipts of Grant-in-Aid from the State of Assam based on the percentage share of the population (normally 12.19 per cent) under the 'Normal Plan' head and own revenue & proposal from the sectoral department. For the BTC subject, the sectoral departments submitted the collected revenue along with the proposal for the respective year. While the Grant-in-Aid received from the Government of Assam is discussed in the BTC executive committee and allocated to the respective department, it is also routed in the Planning and Development (P&D) of BTC. Therefore, on receipt of the Grant-in-Aid, the P&D allocates the funds among the sectoral departments and submits the proposal for the respective year. The compiled proposal is sent to the Department of Finance of BTC to prepare the Normal Budget for presentation in the Council's Assembly for consideration and passing. The passed budget is sent to the Welfare of Plain Tribes & Backward Classes Department (WPT-BC), Department of Finance, and the Government of Assam for consideration, approval and to make it, an integral part of the State Government's budget. As far as entrusted-budget up to 2014-15 is concerned, it was the only non-plan expenditure of the transferred/entrusted department and it is prepared by the Finance Department of BTC after getting the present status of the employee and is further sent to the Government of Assam through WPT-BC. The non-plan expenditure of the entrusted department is borne by the State Government of Assam.

The planning process of LADC and steps are by and large same as the BTC. The LADC carries out the development planning on receipt of the Grant-in-Aid from the State Government of Mizoram based on the share of population inhabiting the LADC area. The Government of Mizoram allocates the proportionate money to the ADC at the ratio of 7 (Chakma ADC): 9 (Mara ADC) and 11 (Lai ADC) for the plan expenses. The non-plan expenditure for the entrusted department to LADC is also borne by the State Government. On receipt of the allocation from the State Government,

the ADC convenes a meeting of the Executive Council along with the planning department to allocate money among the sectoral departments. On allocation, the sectoral departments prepare their own projects and schemes for the respective year. The proposed projects and schemes are compiled by the planning department of LADC and are presented before the Executive Committee. After approval of the Executive Committee, the annual plan is presented in the budget session of the LADC Council for approval and passing. After passing, the annual plan is sent the State Government for approval.

The planning system at KHADC is not organised. The Council conducted only a few projects as per the availability of funds from various sources. Most of the funds are allocated to non-plan accounts. Another reason was non-devolution of subjects/departments as it was in BTC and LADC.

Conclusion

It is found that the ADCs under the study were created at different points of time and under different circumstances. The ADCs not only differed from the point of structure and composition but also in terms of their power and function. The subjects transferred to the ADC for making rules are exceedingly unequal. The State of Assam has transferred the highest number of additional subjects to the BTC while Meghalaya has not transferred any additional subject. The State of Assam has also entrusted the executive power for implementation of all the Central Government sponsored schemes and programmes to them. Mizoram has also transferred some development departments to the LADC for planning and execution of development work. The CSS in Mizoram is implemented by the DRDA under the chairmanship of the Deputy Commissioner. The mechanism of planning in all ADCs is not fully developed. There was a complete lack of technical support for planning and executing the work. Most of the officers were unaware of various schemes run by the

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government. There was no devolution of power and functions at the village-level institution. In fact, all the affairs are handled by the CEM and executive members. The entire process planning and governance were highly centralised and based on top-down approach. There was no vertical integration. The sources of receipts and the sectors for expenditure also differ from ADC to ADC. Financial management of the ADC was not up to the mark and may be considered as one of the reasons for poor execution. Non-plan expenditure in all ADCs is considerably high.

INTEGRATION AND FUNCTIONING OF TRADITIONAL INSTITUTIONS OF LOCAL SELF-GOVERNMENT UNDER PANCHAYATI RAJ SYSTEM: A CASE STUDY ON LACHEN AND LACHUNG VILLAGES IN SIKKIM

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Introduction

Sikkim is one of the most beautiful States situated in the Himalaya region of north-eastern India. The Panchayati Raj here, has been functioning since 1965. The State has been awarded twice for its efforts in strengthening the Panchayati Raj System in the State. After the 73rd amendment of the Constitution, the Sikkim Panchayat Act, 1993 was enacted to establish a two-tier Panchayati Raj Institution (PRI) system at village and district levels. But in two villages of North Sikkim known as *Lachen* and *Lachung*, inhabited by the *Bhutia* community, they still practise their own traditional system of local governance called *Dzumsas*. To preserve the unique traditional system of governance in these two villages, the State Government has recognised *Dzumsas* as Gram Panchayat and has given them statutory recognition under the Panchayati Raj Act 1993. The *Dzumsa* is vested with the powers and functions delegated to Gram Panchayats in addition to its traditional powers and functions. The *Dzumsa* (traditional village panchayat) is responsible for all major decisions taken for the development and welfare of the village community.

Objectives

- i. To understand the integration of local self-government under Panchayati Raj System
- ii. To understand the system of financial resource mobilisation
- iii. To understand the decision-making process and line order
- iv. To understand the conflict and management of harmony between traditional and modern form of government and planning

Methodology

Considering the nature of the study, both quantitative and qualitative data from various sources were collected. The secondary data were collected through data capture format, desk review and the review of relevant documents. To know the views, roles and responsibilities of various stakeholders towards planning process, procedure and people's participation, a few selected interviews were conducted with the help of an interview schedule.

Study Area

The study was conducted in the two villages, Lachung and Lachen in the State of Sikkim.

Findings

The Village Economies of Lachen and Lachung: Lachen, which means the 'Big Pass', is a hamlet with 338 households, with a population of 1500. The male population constitutes about 55 per cent of the total population and the women constitute the rest 45 per cent. Predominantly a tribal village, the *Bhutias* were known as *Lachenpas* because it constitutes the majority of the population with handful labourers of Nepalese origin. Agriculture has been their mainstay. The cold climate is suitable for cultivation of potatoes, radish, cauliflower, maize and wheat. Medicinal

plants and herbs are also a source of income for the *Lachenpas*. Rearing of yaks is a part of their culture and lifestyle. When the snow melts at higher peaks in May-June, the *Lachenpas* start collecting Chinese caterpillars, which have very high demand in China and in many other countries due to its aphrodisiacal value. A kilogram of Chinese caterpillar fetches a price of around ₹ 70,000-80,000. As history has it, the pastoral activities are still in practice in the village.

Lachung, which means a 'small pass', comprises six Lachung Dzumsa villages viz., Bicchhu, Singring, Thomche, Phaka, Sharchok, and Shyathang. With a larger geographical terrain than Lachen, Lachung is inhabited by 650 households with a population size of around 3500 persons. Lachung, which was once a major exporter of apples to Tibet, on present day is left with only a few apple orchards. The economy of Lachung is basically tourism-driven, today. Besides more than 100 hotels and homestays in Lachung, a three-star resort 'Yarlam' is also operated in Lachung. Yumthang, an internationally popular tourist site which comes under Lachung Dzumsa is a major revenue generator for the Dzumsa. A collection of herbs and medicinal plants also gives good income to the *Lachungpas*. Of late, some value added activities are also being taken up by the villagers. One such value product – the Seabuckthorn juice is fetching a good price in the market due to its medicinal value.

Income Distribution Pattern: Thirty per cent of the total income generated in *Lachung* goes to the Lama for maintenance of the monasteries. The remaining 70 per cent is distributed among the six villages which are grouped under four *Chitimpas* (Group Heads). The *Dzumsa* accounts are not subjected to the government audit. It is the *Tsipos* who maintain the *Dzumsa* accounts and present it before the General Body.

The Governance System in Lachen and Lachung; The Dzumsa: The two *Bhutia* villages of Lachen and Lachung still practise the traditional and unique system of local self-governance known as *Dzumsa*. *Dzumsa* means

‘the gathering place’ – a place where all the villagers gather to discuss and decide on future course of action for any matter related to the village.

The organisational structure of the *Dzumsa*: *Dzumsa* is a village- level body comprising the heads of all households. The *Dzumsa* elects ‘*Lyna*’, an executive body headed by two *Pippons*. To assist the *Pippons*, there are eight *Gembos*. Two *Tsipos* are also elected to maintain the accounts of the *Dzumsa*. The *Pippons* select two *Gyabens* whose duty is to inform people about the *Dzumsa* meetings.

Lachung’s *Dzumsa* is same as *Lachen*’s *Dzumsa* in spirit but there are a few differences marked by its size and level of operations. *Lachung Dzumsa* has two *Pippons*, sixteen *Gembos* and two *Gyabins*. Among the *Gembos*, four perform the task of *Tsipos* (Accountants). *Tsipos* have a tenure of three years. *Gyabins* have an interesting role in both the villages. They convey the message of *Dzumsa* to the common public of the village. To inform the villagers of any meeting, the *Gyabens* climb a rock or a big boulder and call thrice ‘*Jumke*’ meaning there is a meeting and all have to attend. Anyone who fails to reach the house within 30 minutes would attract a fine.

In order to preserve this unique traditional system of governance, even the State Government has given statutory recognition to the *Dzumsas* in *Lachen* and *Lachung* under the Panchayati Raj Act, 1993. The *Dzumsas* have been recognised as Gram Panchayats vested with traditional powers and functions in addition to the powers and functions delegated to the Gram Panchayats. It is the *Dzumsa* who schedules the meetings of the village council. The *Dzumsas* act with the prime objective of organising all the events in the village. In addition, the *Dzumsas* should also ensure proper maintenance of the community laws and ensure that norms and rules enacted by the *Dzumsa* are adhered to.

Election of *Lyna*: *Lyna* is elected for one year. On the day of new year,

after the '*Chhang dance*', the *Lyna* closes its accounts and wraps up all pending works and hands over the keys to *Lama* in the presence of the General Body of the village. A feast '*Thenton*' follows which is provided by the departing *Lyna*.

A committee consisting of five *Lamas* and 10 other respected members of the Lachen village nominate 10 deserving persons as a probable for the *Dzumsa*. All members of the villages, approved as voters by the *Dzumsa* are allowed to participate in the election process. They are given a right to the ballot to elect among the ten most deserving persons as a probable for the *Dzumsa*. The person securing the highest votes is declared as the first *Pippon*. The runner-up is declared as the second *Pippon*. Six other persons, in the same manner, are elected as *Gembos* and two others as *Tsipos* (accountants). Two *Gyabens* are also picked up by each of the *Pippons* who help the *Pippons* in various activities in addition to delivering the *Pippons*' messages to the villagers. In the recently held elections, a total of 200 voters comprising the common public and 50 *lamas* cast their votes to elect the new *Lyna* in the month of February, 2016. In Lachung, the very enterprising *Pippons* and their team have been given one year's extension for their good performance. After the *Lyna* is elected, new *Pippons* go to the District Commissioner's office for taking the approval for the *Dzumsa*. To become a member of the *Lyna*, one must attain the age of 40 years, as it is popularly believed that after attaining 40 years of age, a person is no more influenced by his vested interests and his materialistic needs are also subdued.

Membership to *Dzumsa*: Membership to the *Dzumsa* is open only to the male members of *Bhutia* community, normally heads of the households. The ladies of the village can attend the meetings; however, they do not have the voting rights. In case a member expires leaving behind a minor son, his widow can be the member of the *Dzumsa* till the son is grown up or she adopts someone to participate in the *Dzumsa* activities.

Oath: The *Dzumsa*, after its constitution, goes to the *Lama* to seek his blessings. The *Lama* blesses them with *Khadas* (a sacred cloth) and also administers them the oath to serve the people.

Meetings: The *Dzumsa* meetings are conducted as and when the need arises and it is mandatory for all the members to attend the meetings. Meetings are held in the *Munkhim*, the *Dzumsa* house. If a member is not able to attend a meeting, due to some unavoidable circumstances, his wife is permitted to represent him and the fine imposed is reduced by 50 per cent.

Jurisdiction of *Dzumsa*: Any matter of common concern and general interest comes under the *Dzumsa*. Ranging from settling disputes to celebrating festivals, granting of contracts, the collection of revenue, distribution of income to all, deciding imposition of fines on defaulters in terms of cash and labour, the *Dzumsa*'s decisions are binding on all. *Dzumsa* also works as an agency of development in the village. This act of *Dzumsa* has been recognised by the Sikkim Panchayati Raj Act, 1993.

Revenue Collection: The *Dzumsa* collects revenue from various sources like shops, contracts, fines and public contribution. Out of the total annual earnings, one part goes to the *Lamas* for maintenance of the monasteries and the remaining part goes to the common man which is equally distributed among all the villagers in an open meeting before the festivals. The revenue collection from the shops is determined on the basis of their expected earnings and it may range from ₹ 1,000- 50,000 per year. Both Lachen and Lachung, the two important tourist destinations today are attracting a large number of tourists and the hospitality business is growing with a large number of hotels, home stays, restaurants and tea shops. In addition, the *Dzumsa* also collects voluntary donations and fee from the tourist vehicles in order to restore the road link.

Conclusion

Will the *Dzumsa* survive the Tempest of Change ?

Various agencies, governmental and non-governmental, question the special status of the *Dzumsa*. It is a norm that all local self-governments in the country have to abide by the norms prescribed by the State. The modern educated women of the village are increasingly finding it objectionable that women cannot become a member of the *Dzumsa*. A young lady teacher calls it an instance of, 'male chauvinism'. On being asked if given an opportunity, would she prefer to take the responsibility in the *Lyna*, the answer is a confident 'Yes, why not'. This confident statement negates the prevailing belief that in the event of emergencies, it is only the men who can come out even in the night hours to face the situation and that the women should be hesitant. A few lady shopkeepers also expressed their doubts on the equal distribution of annual earnings among the villagers, as they feel that the common public is ignorant and gullible. The list of BPL beneficiaries who are benefited by several government welfare schemes is also doubted by some of the non-*Bhutias*. The non-*Bhutias* living in these villages complain of the discriminatory attitude of the *Dzumsa*.

A good number of young students from these villages are studying in metropolitan cities like Bengaluru, Delhi, Kolkata, etc. The question today is will they conform to the ascetic life of these two villages? Will they continue to follow the stringent rules that the residents of Lachen and Lachung are expected to follow religiously? Will the growing materialism not affect the age-old systems? The *Dzumsa* is based on the principle of not competing for the resources but sharing of the meagre resources equally that these villages have. With new opportunities coming to these villages, will the scientific thinking replace the superstitions that still play a great role in social control? Some basic facilities like health care, education, etc., still continue to elude the people of this valley, and how long people

will avoid the temptation of migrating to cities like Gangtok, which offer better facilities is a question that is bothering the *Dzumsa* members.

The *Dzumsa* today is faced with several questions, but an institution that has sustained its practices without any dilution for centuries looks poised to take this present wave of change. *Dzumsa* rests on the very foundation of trust which is the soul of this institution. As long as human values do not succumb to materialism, *Dzumsa* will continue to thrive and chants of 'Om Mani Padme Hum' will continue to purify this valley.

A CASE STUDY OF SINGHANA GRAM PANCHAYAT: EFFECTIVENESS IN LOCAL GOVERNANCE (MANAWAR BLOCK, DHAR DISTRICT, MADHYA PRADESH)

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Introduction

Singhana is a multi-caste and multi-religious village with a population of 8470 people as per the 2010-11 census. This Gram Panchayat in Madhya Pradesh has made remarkable progress in many areas of local governance, making life better for its people starting from the year 2005.

Objectives

The objectives of this case study are as follows:

- A. What has changed in Singhana between 2005 and 2015?
- B. How did this change occur?
- C. Describe and analyse the process which made the Singhana Gram Panchayat effective in local governance.

Methodology

Both quantitative and qualitative data were used in the study to address the objectives.

In the first week of April, 2015 contacts were established with the Dhar district administration, the Secretary of Singhana Gram Panchayat [GP] and key leaders from the village. Village level data were obtained and

a visit was made in the first week of 2-6 May, 2015 to Singhana village to collect field data. Four days were spent in the GP office discussing with the Gram Panchayat staff, going through their records, talking to visitors and observing the life in the office. Evening hours were spent visiting the sites where work had been completed. Also a visit was made to the GP office of the neighbouring village by the name Karaundiya where the researcher attended an impromptu meeting. The last day was spent with officials of Manawar block, the Dhar district collector and the Chief Executive Officer.

Study Area

Singhana Gram Panchayat, Manawar Block, Dhar District, Madhya Pradesh.

Findings

People of Singhana recounted numerous stories to the researcher about their difficulties and problems they faced before 2005. Back then, drinking water was available only once in 20-25 days, the wells were a long way off and most of the time the entire family would be busy foraging for water. At times, even at midnight this would be going on. Only 15 per cent of the roads were CC roads [cement concrete]. During monsoons, within the village and outside the village, walking or transporting of goods was an extremely arduous exercise. It was difficult for the prospective grooms in Singhana to find brides, who were willing to live in the village. The Gram Panchayat office was located in a small shabby and dilapidated building. However, between 2005 and 2015, the situation has changed and these changes are described below.

A. Connectivity and Accessibility: Intra-village and Inter-village

- Intra-village: A network of CC roads and *puliyas* have made Singhana completely accessible from all points, throughout the year. This accessibility is both for pedestrians and motor vehicles.

- Inter-village: All the neighbouring villages have been connected through CC roads and small *puliyas*. For example, the road from the mutton market shed leads to four different villages. During monsoons it was impossible to cross because the water would overflow, at five different points. So five *puliyas* have been made functional throughout the year.
- B. Civic Services: Water, Toilets, Sanitation, Burial Ground and Recreational Facilities**
- Every household [HH] has access to piped water.
 - Sixty per cent of the HH have toilets.
 - A customised motor van is launched to collect solid wastes.
 - Two, three-hectare burial and cremation grounds with infrastructure close to the village have been given to the Muslim and Hindu communities.
 - Developed a recreation park close to the *Harsiddhi* temple and built infrastructure for community festivals.
- C. Implementation of Social Security Schemes in 2013-14**
- Data show that in 2013-14, Singhana Gram Panchayat processed 98 applicants who were given financial assistance under the social security schemes.
- D. Livelihood Generation - Artisans, Sheds and Shops**
- A site of three acres has been allotted to the 50 potters in the village. They have erected a brick kiln and potter's wheel for making pots and bricks.
 - Ten well-ventilated sheds have been constructed for butchers.
 - Sixteen shops have been constructed and given out on *Pugree*.

E. Livelihood Generation - Agriculture

- Under MGNREGA, work has been provided and assets have been built. Twenty-five wells have been dug, pumpsets provided, buildings constructed and 25 farm *puliyas* made. A significant share of the benefits has gone to farmers from the Scheduled Castes and Scheduled Tribes. Ten SC/ST farmers have been given pumpsets. Estimates in the village say that about 60 marginal farmers have either totally or partially given up working as wage labourers.

F. MGNREGA Assets Created SGP in 2013-14

- 170 assets created

The water table in the last ten years has come up from a depth of 25 metres to a depth of 10 metres. The land under irrigation has increased from 602 to 710 hectares.

G. Agricultural Productivity in SGP

- Farmers have been given *Kapildhara* well [dug well] because of which their productivity and income have increased.
- Because of the availability of assured water they can now plan their agricultural operations.

H. The Gram Panchayat Office

- Before 2005, the GP office operated in a small, dilapidated building. At present, it is a new well-painted building with six rooms. Five rooms are of 100 to 130 sq ft while the main hall is of 300 sq ft. This hall would easily accomodate 40 people. Good quality metal chairs are arranged for 25 people. A striking feature of the GP office is the clean washroom with running water and the drinking water facility. The building is clean and well-ventilated.

Conclusion

To sum up, the standard of life in Singhana village has improved both at the household and community level. This was achieved because of the effectiveness of the GP. The credibility which Singhana Gram Panchayat has built up over the years in work execution has made its 'agency' role an effective one which includes four competencies: 1. Taking initiatives 2. Planning 3. Mobilising resources 4. Implementation and completion.

**PERFORMANCE OF ISO-CERTIFIED GRAM
PANCHAYAT ON THE DELIVERY OF BASIC
SERVICES – CASE STUDY OF PAPPARAMBAKKAM
PANCHAYAT IN TAMIL NADU AND
CHOTTANIKKARA PANCHAYAT IN KERALA**

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Good governance intends protection of human rights, maintaining rule of law, strengthening democracy, promoting transparency and improving the capacity of administration. The responsiveness of the government and its institutions to the needs and aspirations of the people and inclusive development are imperative to good governance and participatory democracy. It focuses on the equality among people, right to participate in political-developmental decision making and to live in dignity. Panchayati Raj is a system which paves way and means towards achieving good governance. Panchayats are meant to be autonomous institutions of local self-government however, they are treated as subordinate institutions. As per the 73rd constitutional amendment, 29 subjects were ear-marked under the Eleventh Schedule of the Indian Constitution. It is mandate that the State Government has to devolve functions, functionaries and funds to the Panchayati Raj institutions for fair planning and implementation of various welfare and development schemes pertaining to the Gram Panchayat. Few States have made commendable efforts in encouraging the panchayats to function effectively by devolving powers and funds as per the provisions in the Act.

Kerala made innovative approaches and has been ranked as a front-run State in terms of making the local bodies self-reliant institutions, putting considerable efforts in making them transparent and accountable institutions. One of the initiatives has been announcement of cash prize of ₹ 1 lakh for each panchayat which secures ISO certification.

In Tamil Nadu, few panchayats obtained ISO certification following the path of Kerala. State Governments are focusing on launching e-office which will gradually get transformed into online administration through paperless communication. Computerisation of records for quick references and online correspondences are part of the ISO acquisition. The people are the most important beneficiaries for addressing of grievances redressal and receiving essential services as quick as possible, even without physical presence.

At NIRD&PR, as a practice of documentation of best practices in the field of rural development for the purpose of dissemination and as a factor of motivation for replication of the e- governing panchayats, an attempt was made to document the process and practices of two ISO certified Gram Panchayats, one each from Kerala and Tamil Nadu. The study documented two case studies covering various aspects, initiatives and effects of ISO certification on the services delivery, of selected panchayats. Names of the panchayats selected for the study are Papparambakkam village panchayat in Tamil Nadu and Chotanikkara village panchayat in Kerala.

The Papparambakkam gram panchayat received ISO certification on its own efforts through the effective leadership of a woman president of the village panchayat with the cooperation of the people. In the case of Chotanikkara gram panchayat, the State Department of Local Self-Government has announced monetary support for bringing at least 100 panchayats under the ISO standard with the aim of creating 'less-paper office'. Therefore, studying the service delivery of self-motivated and incentive

motivated gram panchayats to understand the performance in the delivery of development works after the ISO certification will bring interesting outcome for wider dissemination.

Objectives

- To study the process and strategies followed to achieve ISO certification
- To analyse the performance of Gram Panchayat in delivery of basic services after ISO certification
- To identify the strategies of people's mobilisation for participatory decision making
- To identify the factors contributed for the success and sustainability of performance

The ISO 9001:2008 specifies requirements for a quality management system where an organisation needs to demonstrate its ability to consistently provide products, that meet the needs of the customer with applicable statutory and regulatory requirements, and aims to enhance customer satisfaction through effective application of the system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements. As mentioned, the ISO certification is not directly intended to mention the services of different organisations, it puts common yardsticks to measure the standard operating procedures. But, for obtaining this certification, each organisation has to put enormous efforts, come up with innovative approaches and strategies to improve the performance level ultimately to satisfy the consumers at the maximum. The panchayats selected for the study in both the States, put maximum effort to deliver basic services to satisfy the needs of the people living in the panchayats. The direct purpose of obtaining ISO certification by the panchayats was to get better name and fame among the people as well as Central and State

governments. These endeavours enable the panchayats to maintain transparency and accountability through participatory process by establishing a number of community-based institutions and empower them to act with autonomy and responsibility. In Kerala, the State government made appropriate interventions, provided guidance and motivation with conducive strategies for fulfilment of requirements of ISO by creating a number of institutions at the panchayat level. The structures created at the panchayat level are given statutory powers and functions to carry forward the roles even after the expiry of ISO certification. But in the case of Tamil Nadu, the panchayat president's efficient leadership and personal motivation played a major role in obtaining the ISO certification without any compulsion from any higher level direction or inducement. The absence of motivation or individual leadership is a major drawback which will be a hurdle in the process of quality management in future. Overall performances of both the ISO certified panchayats have improved the performance level in all aspects of quality management, transparency in administration, accountability in documentation, appropriate grievances redressal and timely delivery of services. Therefore, the State Government has to make appropriate strategies to encourage the elected representatives at various levels of PRIs to achieve quality improvement in the delivery of services and obtaining ISO certification to fulfil the needs of the local community.

CREDIT REQUIREMENTS OF MARINE FISHING COMMUNITIES - ROLE OF SELF- HELP GROUPS: A CASE STUDY IN SRIKAKULAM DISTRICT OF ANDHRA PRADESH STATE, INDIA

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Introduction

Among the natural resources-dependent livelihoods, marine fishing is one of the prominent coastal rural-livelihood sectors. India has a coastline of 8118 km, providing ample scope for fisheries-based livelihood opportunities to a large section of coastal population. According to the statistics (Government of India, 2014), of the total fish production of 9.58 million tonnes in the country, marine sector contributes 36 per cent which has been derived from the fishing efforts of about 41 lakh of marine fishermen population. Marine fishing is a tedious job on small /traditional boats involving fishing on sea without the support of any modern equipment to safeguard from the perils of sea in the form of rough weather, cyclones, etc. On quick disposal of fish caught at the landing centre , fishermen take rest and get ready for their next fishing trip after attending little maintenance and repairs to the boats and nets. This inactiveness of fishermen in marketing the produce has become an opportunity to the creditors. The fishermen often

* Full paper of the study was published in CIRDAP Journal Dec 2015 issue.

fall prey to moneylenders for the purpose of procuring boats, nets, etc., at high rates of interest. These moneylenders who are also opportunistic, act as agents for collecting fish from the fishermen at nominal rate through unethical means. As a result, they are knocking away with the benefits of high valued fish in the market. Banks and other formal financial supporting institutions are scared of poor repayment of loan as experienced in several instances earlier. Lack of assets towards collateral security and vast amounts remaining unpaid are the two factors that deter bank loans for the fishermen. Therefore, lack of dependable financial support to the sea fishing remains a big problem in this sector.

By expanding the activities, Self-Help Groups (SHGs) are now well set institutions for micro credit system for different purposes of credit needs of rural communities. Since SHGs were formed with women / family members of the same community/village, there is a greater scope for improving the credit linked activities of coastal fishermen involved in marine fishing. Under these circumstances, it is appropriate to understand the role of the SHGs in credit requirements of marine fishing communities.

Srikakulam is the extreme north eastern district of Andhra Pradesh State with the Bay of Bengal on its east and a considerable 200 km coastline (21 per cent with first position). A grand total of 18,626 fishermen are engaged in marine fishing (9 per cent with third position). Nevertheless, these marine fishermen are still dependent on subsistence and small-scale fishing using traditional fishing crafts. Due to frequent cyclones, the district is more prone to these dangers which often derail the livelihoods besides causing damage to the properties. As a result, about 56 per cent of all ages of active fishermen migrate seasonally every year to other States, particularly Maharashtra and Gujarat States in search of livelihoods. This situation of vulnerability has given an opportunity to private financiers for lending money at high rate of interest thereby depressing the market price of produce. As a result, the fishermen under forced situation, commit themselves for conditions of private financiers. In view of diversified nature

of fishermen communities in Srikakulam district, studying the credit availability would help us understand the situation for evolving suitable suggestions.

Objectives

The specific objectives of the study are

- To review the credit sources and find out reasons for choosing credit availability by fishermen groups
- To analyse attitudes of different age groups of fishermen towards credit sources
- To come out with suitable suggestions for strengthening SHG credit system in marine fishing communities

Methodology

Selection of three marine fishing villages namely, Bandarvanipeta in Gara mandal, Pedaganagallpeta in Srikakulam mandal and Manchineelapeta in Vajrapukothuru mandal was done based on strength and performance of SHGs in credit lending among prominent marine fishing villages of Srikakulam district. Three types of fishing boats and three types of creditors were identified; Types of Boats: 1) Teppa Boat (TB) 2) FRP Boat (FB) Boat and 3) Motorised Boat (MB). Types of creditors: 1) Private Financiers (PF) 2) Hand Loans Providers (HLP) and 3) Self-Help Groups (SHG).

The fishing boats as registered under Andhra Pradesh Marine Fisheries Regulation Act, were used for selecting 40 per cent of the samples using the stratified random sampling technique from each of the above three categories of boats. A total of 228 sample respondents (boat owners) were drawn from three categories of fishing boats (TB – 101, FB– 68 and MB – 59) from the study area. Attitudes of respondents were gathered on specific questions raised on positive aspects of credit availed of different

sources with regard to expectations and experiences. The data collected were analysed to understand the mean values of different variables against the two factors (creditors and boats) among the three types of creditors and three types of fishing boats. Two-way analysis of variance has been administered. The statistical tools like 'F' test and Attitude Index test were employed to analyse the data interpretation.

Findings

With regard to the observations made across the boats in availing of credit for production purpose, the financial support extended by PF has been comparatively friendlier covering almost all credit requirements of fishing. Greater influence in marketing of fish catches facilitates easy accessibility of credit from PF for high investments in MB. TB and FB are not much influenced by marketing strategies of creditors as the fish caught are low valued, compared to that of MB. Since the interest of creditors for extending credit to the TB and FB have been comparatively low, the rate of interest charged against the credit has been high compared to the MB. The responses of MB indicate that they are subjected to recovery of loan through unethical means as this situation arises particularly when fishermen object offering low price for fish, caught by the creditors. On the other hand, they (MB) also expressed that adequacy of credit and marketing tie-up, available with creditors would ease them to be prepared for the next trip of fishing. Less hassles have been noticed in getting credit for those fishermen, who availed of credit from SHG. SHG members have feeble link for high fish-catch supply arrangement with fishermen.

The results obtained in the case of **consumption purpose** indicate that the scope of getting credit from PF is good with adequate funds, without much hassles and transaction cost but the coverage is limited to certain financial requirements only. Provision of credit from HLP is more or less same in the lines of PF but HLP follows stringent measures in recovery. Through the credit extended by PF and HLP for consumption,

their role in depressing market price of produce has also been seen. Contrarily, the provision of credit from SHG is more accessible at a minimal rate of interest. But, funding source for SHGs is limited. Funds available either from banks or other institutions in the form of revolving fund are being shared equally by all members which further dilute the volume of the funds available at SHG level. TB and FB have been much happier in getting loans with fewer hassles for consumption when compared to MB. Influence of creditors on aggressive marketing of fish-catche of MB exists compared to other two types of boats. As the affordability of MB owners to repay the borrowed amount is better, it is most likely the creditors may incline to lend money easily compared to the other two types of boat owners.

There is a marked difference of attitude index in respect of age groups on availing of credit for both production and consumption purposes. Above 50 years is relatively satisfied with PF and HLP in comparison with SHG. FP and HLP are long-lasting credit sources that continue marketing tie-ups with the older generation of fishermen. However, there is an inclination of young generation of fishermen towards availing of credit from SHG's compared to that of PF and HLP. The strong view of young generation is that SHG credit has been fruitful among the marine fishing communities with regard to the rate of interest, hassle free credit, flexible terms and conditions, etc. The general view is that low coverage of credit requirements is the main reason for less satisfaction with the credit from SHG.

Conclusion

Since institutional credit had its own difficulties to provide lending and recovery of credit, the scope and trend for credit arrangement in marine fishing communities through SHGs is a promising one. Strengthening of SHGs with required financial resources is an immediate step towards catering to the credit needs of sea-going marine fishermen for the purpose

of production in particular. Credit requirements in handling high valued fish meant for export will be a big stride in changing the scenario of marine fishing sector through the formation of producer companies with the federation of SHGs. These efforts can bring hope to the marine fishermen communities as the livelihood on marine resources is no longer supportive with adequate fishery wealth for remunerative fishing.

PREPARATION OF A MODEL GRAM PANCHAYAT TRIBAL SUB-PLAN

Dr.R.R.Prasad
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Introduction

The Section 4(m-vii) of PESA Act 1996, enjoined upon the concerned State legislatures to endow the Panchayats and Gram Sabha in the scheduled areas with specific powers and authority as may be necessary to enable them to function as institutions of self-governance, and specifically with "*the power to control over local plans and resources for such plans including tribal sub-plans*". It is obvious from the specific provisions of PESA Act, 1996, that the Gram Sabhas and the Panchayats have been intending to assume total responsibilities for planning and implementation of plans, programmes and projects aimed at the two objectives contained in Article 243G of the Constitution, namely- (a) The preparation of plans for socio-economic development and social justice, and (b) The implementation of schemes for economic development and social justice as may be entrusted to them, including those in relation to the matters listed in the Eleventh Schedule to the Constitution.

Thus, it was expected that following the enactment of PESA Act, the Tribal Sub-Plan which was designed and implemented since the fifth Five Year Plan (1974-79), would receive a new deal in terms of self-

governance by Gram Sabha and Panchayats. But as of now, this expectation has been squarely belied on the prominent cause being the casual approach, lack of sincerity in implementation and lack of tribal people's involvement. The tribal sub-plan has so far not been prepared at the Gram Panchayat level. When tribal sub-plan is not prepared at the Gram Panchayat level, then how can the Gram Sabha in the Schedule V areas exercise its power to control the local plans and resources for such plans including tribal sub-plans as per the powers bestowed upon the Gram Sabha under the PESA Act, 1996?

Thus, in order to enable the Gram Sabha and to exercise this power of approving the tribal sub-plan, it is necessary to start the process of preparing tribal sub-plan at the Gram Panchayat level for which it will also be necessary to develop suitable methodology. Hence, there is a need to prepare a model tribal sub-plan at the Gram Panchayat level.

Objective

The main objective of this research study was to prepare a model Gram Panchayat Tribal Sub-Plan.

Methodology

Participatory planning approach was used to prepare the Gram Panchayat plan. By using the participatory methods, the research team identified the needs and priorities of the village community in general, and the tribal community in particular. The needs and priorities identified were classified into sectoral needs, and then the cost of various projects to fulfill the identified needs were worked out. The budget required for the tribal development in the identified Gram Panchayat was worked out. The needs and priorities identified by the village community in general, and the tribal community in particular, were approved in the Gram Sabha meeting, and recorded in the resolution of the Gram Sabha meeting.

Study Area

For preparing a model gram panchayat tribal sub-plan, two villages namely, Jainavargiduem and Marlagudem were selected which fall under the Gram Panchayat (GP) Jainavarigudem of Buttayagudem mandal of West Godavari district in Andhra Pradesh State. The GP - Jainavarigudem falls in the scheduled area of Buttayagudem mandal. The Panchayats Extension to Scheduled Area Act (PESA), 1996 is applicable to this GP. The two villages of this GP have both the population of scheduled tribes, scheduled castes and also other non-tribal communities.

Findings

The total population of the district is 39.35 lakh, out of which 1.09 lakh is ST population that constitutes 2.77 per cent of total population of the district. The State's ST population is 26,31,145, thus the district ST population constitutes 4.14 per cent of the total ST population in the State. Therefore, the total TSP amount for the district should be not less than 4.14 per cent of the total State TSP budget. The total TSP outlay for the Andhra Pradesh State for the year 2014-2015 was ₹ 1500.26 crore. So, the district TSP outlay budget should be around of ₹ 62 crore.

The total ST population in Buttayagudem mandal is 34,247. Thus, the ST population of mandal constitutes 31.39 per cent of the total ST population in the district. The total ST population in the Model TSP GP-Jainavarigudem is 804 as per the 2011 census. Therefore, the ST population is 2.34 per cent of the total ST population in the Buttayagudem mandal.

If the total district TSP outlay was ₹ 62 crore, the ST population in the Buttayagudem mandal can expect their legitimate share, not less than 31.39 per cent of the total TSP funds which amounts to ₹ 19.5 crore. Similarly, the STs in Jainavarigudem GP should also get 2.34 per cent of the total mandal TSP funds which would be around ₹ 45.7 lakh.

It is evident from the above discussions that the GP studied is entitled to get ₹ 45 lakh as per the TSP entitlement. However, as per the official sources of Mandal Praja Parishad office, Buttayagudem, no funds were allocated and spent in this Gram Panchayat from the allocation of TSP funds at the district level. As per the recent TSP Act 2013, TSP funds should be spent preferably in the scheduled areas. Thus, TSP funds should be spent as per the population of tribals in the district, mandal, GP and village, respectively. The financial sources through GP are very small i.e. ₹ 2.12 lakh only. To fulfill the prioritised community needs, the GP requires the funds to the tune of ₹ 81 lakh. Thus, there is a wide gap between the community demands and financial sources at the GP level. If the expected TSP funds as per the tribal population are made available, that would help the GP to meet the demands partially. Presently, the financial sources at GP are used only to maintain the infrastructure and basic needs of the community like attending to pumping schemes, repairing of bore wells, maintenance of GP, etc. Another important issue is that the community is not involved in planning process at any level. The needs assessment through organising Gram Sabhas as per the provisions of PESA Act and validation process is the key for good governance. A bottom-up approach involving Gram Sabha and concerned Gram Panchayat is very important to develop plans.

There is no legal awareness among the community as well as the officials involved in development initiatives about the special laws applicable to the scheduled areas. There are several issues pertaining to the management of natural resources and, forest and land rights. A consistent effort is needed from the higher authorities to monitor the implementation of tribal protective land laws like Land Transfer Regulations Act 1 of 70, and Forest Rights Recognition Act 2006. Although Gram Sabhas were notified, no Gram Sabha is yet as functional as per the provisions of PESA Act.

Further, it is to be noted that the tribal sub-plan is prepared only in such gram panchayats, where the proportion of the scheduled tribes is less than 50 per cent. In the Jainavarigudem GP, the scheduled tribes constitute 58 per cent of the total population. Thus, they are in majority in this GP. As such, the plan of this GP should be for tribal development and the GP plan should be called as the tribal development of the GP – Jainavarigudem. This is similar to the tribal majority States in north-eastern India like Arunachal Pradesh, Meghalaya, Mizoram and Nagaland where the scheduled tribes are in majority and thus these States do not make any tribal sub-plan as the entire plan of the State is for the tribals. Development of the other social groups in these States thus also becomes a part of the total plan of the State. Likewise, in any GP, particularly in the scheduled areas, where the scheduled tribes are in majority, there should be no tribal sub-plan of the GP, and the entire plan of the GP should be mainly for tribal development, and this plan should also take into its fold, development of the other social groups living in this GP. It would thus become necessary to revisit the concept of tribal sub-plan in Schedule V areas, and decentralise the administrative and planning unit, which is presently the block/taluka/tehsil/mandal, to the Gram Panchayat level.

Conclusion

While making a plan for the GP by assessing the needs and priorities of the village community, the special needs of the tribal communities in that GP should be listed out and prioritised based on the scoring technique. Those needs and priorities identified for the tribal community must be reflected in the GP plan in a manner that the needs of the tribal and non-tribal can be distinctly separated and accordingly in the budget to be approved for the GP in the meeting of the Gram Sabha. In this report, the needs and priorities of the tribal people of the Jainavarigudem GP have already been reflected in the Chapter VI, which will become the basis for making the tribal development plan and also the tribal sub-plan of the GP.

EVALUATION OF THE SCHEMES OF THE NATIONAL SAFAI KARAMCHARIS FINANCE & DEVELOPMENT CORPORATION (NSKFDC) IN KARNATAKA STATE

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Introduction

The National Safai Karamchari Finance and Development Corporation (NSKFDC) was set up under the Ministry of Social Justice and Empowerment. NSKFDC implements various loan and non-loan based schemes. Under loan based schemes, NSKFDC provides financial assistance to the Safai Karamcharis, scavengers and their dependants for any viable income generating schemes, including sanitation-related activities and for education in India and abroad. Under non-loan based schemes, NSKFDC provides 100 per cent grant for reimbursement of expenditure incurred in connection with skill development training programme and stipend of ₹ 1500 p.m. per candidate and ₹ 50,000 for holding job fairs, ₹ 30,000 for awareness camps and ₹ 25,000 for workshops, etc.

The National Safai Karamcharis Finance and Development Corporation, New Delhi, commissioned an evaluation study of the NSKFDC schemes in Karnataka to the National Institute of Rural Development and Panchayati Raj (NIRD&PR), Hyderabad. Accordingly, the NIRD&PR undertook the evaluation study in the State of Karnataka during November 2014 to February 2015. This evaluation report is the outcome of study made in seven districts in Karnataka, covering 430 beneficiaries assisted by the NSKFDC during the financial year 2013-14.

Objectives

The general objectives of the evaluation study were to understand the procedure adopted for selection of beneficiaries, time lag from the date of submission of loan applications by the beneficiaries to the date of sanction and release of loan and difficulties faced by the beneficiaries in completing the documentation formalities for availing of loan. The specific objectives of the evaluation study were to physically inspect the beneficiaries who have obtained loan during the year 2013-14 and ascertain:

- Percentage of beneficiaries found during inspection who had utilised the financial assistance for the intended purpose
- Percentage of beneficiaries found during inspection who had created the assets from the loan
- Percentage of beneficiaries found during inspection who have crossed poverty line before availing of loan
- Impact on the income level of the beneficiary after availing of loan
- Impact on employability of the beneficiary after availing of loan
- Status of repayment of loan
- In case unit is closed or less income, reasons for the same

In addition, attempts were also made to assess increase in income by taking into account the annual family income recorded in the loan application form at the time of obtaining loan.

Methodology

Both primary and secondary data were collected for the evaluation study. Secondary data were collected from the NSKFDC office in Karnataka and also from offices of the State Channelising Agency, i.e. Dr. B.R

Ambedkar Development Corporation Ltd. Primary data were collected through the structured schedules-cum-questionnaires from the rehabilitated safai karamcharis and their dependants. In addition, research methods like case studies, in-depth interview, participants' observation, etc., were also used for qualitative data collection.

Study Area

Data obtained from the State Channelising Agency of the NSKFDC in Karnataka revealed that during the financial year 2013-14, they had the physical target of assisting 3472 safai karamcharis, and could achieve a target of assisting only 1733 safai karmacharis out of 1,42,291 identified safai karamcharis. In view of this NIRD&PR undertook the evaluation study of the 25 per cent or 430 rehabilitated safai karamcharis in the following districts.

S. No.	District	No. Assisted	Sample Size
1	Bengaluru Urban	256	40
2	Chikkaballapur	165	40
3	Kolar	927	240
4	Mandya	156	40
5	Mysuru	160	55
6	Dharwad	21	10
7	Gulbarga	21	05
	Total sample size		430

Findings

- (i) More than half of the sample was drawn from Kolar district and about 90 per cent of the beneficiaries were from urban areas. Sex-wise and age-wise break-up indicated that about 59 per cent of the beneficiaries were female and 41 per cent were male, and about 67 per cent of them were in the age group of 18 to 40 years, followed by those in 41-60 age group (32 per cent).

- (ii) Among the beneficiaries, about 98 per cent professed Hinduism, 1.63 per cent Christianity and 0.70 followed Islam religion. Christians were residents of Kolar and Bengaluru urban districts and Muslims came from Gulbarga district. It was also recorded that 99.30 per cent among them were scheduled castes. Among the scheduled castes, prominent communities were *Adi Andhra*, *Adi Karnataka*, *Adi Dravida* followed by *Bhovi* and *Malar*.
- (iii) Information collected from beneficiaries regarding education, skill and employment indicates that 61.16 per cent of them were literates, and 39 per cent illiterates. Those who were educated up to primary and up to secondary levels were only 18.37 and 41.86 per cent, respectively. People with a degree were only 0.93 per cent and they belonged to Kolar, Bengaluru Urban and Dharwad districts. However, all informants possessed one skill or another. Nearly one-third of them were good cooks followed by those who knew tailoring (25 per cent) and motor driving (21 per cent). Three per cent of the beneficiaries knew carpentry.
- (iv) Nearly 50 per cent of informants have switched over to non-sanitary jobs and 43 per cent have taken to other than manual scavenging works. Those who still continued as manual scavengers were only 6.28 per cent. None pursued manual scavenging in Chikkaballapur, Dharwad and Gulberga districts. It was also noted that nearly one-third of them worked with government/municipal organisations and others with individuals (47 per cent), hospitals (6 per cent) and with other employers.
- (v) Out of 430 respondents, more than half of them were daily wagers and one-fifth were either employed by contractors or placed on temporary roll. Only one person was a permanent employee and belonged to Kolar district.
- (vi) It is mentioned in the rehabilitation programme of NSKFDC that the beneficiaries would be imparted training in the vocations which they are interested to pursue, but it was gathered that none of the beneficiaries was given any training in any trade.

- (vii) As regards to the financial assistance towards unit cost, 71.16 per cent of beneficiaries were given money in the range of ₹ 80,000 to 1,00,000, 1.16 per cent more than ₹ 1 lakh, 1.63 per cent between ₹ 40,001-60,000 and 26 per cent between ₹ 20,000 to 40,000.
- (viii) During 2013-14, financial assistance was made available by the corporation to 37 per cent beneficiaries during the last quarter i.e. January-March 2014. Nearly half of them got the loan amount during July-Dec 2013. Those who got the assistance in the first quarter were only 12.33 per cent.
- (ix) The beneficiaries have drawn money on loan for carrying out a little more than 17 trades. Most popular five trades among them included cloth business (18 per cent), provision stores (18 per cent), beauty parlours (9.30 per cent), general fancy store (9.30 per cent) and leather related works (9 per cent). Other trades of their liking and interests which are acceptable to them were milch cattle (6 per cent), Jallie machine (6 per cent), tea-stall (4 per cent), tailoring (3.42 per cent), electrical (3.02 per cent), silk reeling (2.79 per cent), fruit and vegetable shop (2.56 per cent), wet grinding (2.09 per cent), and bangle store (2.56 per cent). Repairs of cars and cycles have also been pursued by 5 persons (1.16 per cent).
- (x) Although repayment of loan can be done in five years, one beneficiary of Kolar district has repaid 51 per cent of the loan amount within one year whereas 94.19 per cent of loanees are yet to clear even one instalment. Nearly 50 per cent of them have repaid up to 10 per cent of amount due and another 0.23 per cent up to 11 to 25 per cent of loan borrowed.
- (xi) It has also been noted that there has been delay of 8 months and more in repaying the instalments of loan amount in respect of 63 per cent loanees, delay of 4 to 8 months in regard to 35.5 per cent and less than 4 months delay in respect of 1.6 per cent of beneficiaries.

- (xii) When interviewed, nearly 79 per cent of the 210 defaulters (38 per cent) said that they needed money to meet the household expenses and therefore, they had diverted some money for that requirement and hence delay in launching the project. Other reasons were money required for their children's education (12 per cent), immediate house repairs (15 per cent), health related problems in the family (12 per cent), linking for another business (9 per cent) and marriage of the children (3 per cent).
- (xiii) Five per cent informants belonging to Chikkaballapur district said that they have not received the full amount from the corporation yet and therefore, there is a delay in starting the project.
- (xiv) Among the beneficiaries, 15 to 35 per cent people were placed comfortably in their livelihood ventures. Nearly one-third of them possessed skills but have been working as employees for businessmen. Another 26 per cent persons did not have requisite skills and therefore, earned wages as unskilled labourers. Remaining one-third persons were unskilled and required both skill as well as training.
- (xv) Out of 220 beneficiaries owing assets, the condition of assets possessed by 5 per cent was 'very good', followed by 50 per cent reporting 'good' and 35 per cent stating 'average'. Only 10 per cent persons said that the condition of assets possessed by them was 'below average'. It is notable that assets in the possession of owners of Mysore, Dharwad, Bengaluru urban and Gulbarga were well maintained.

Conclusion

Out of 430 loanees, 220 persons (51 per cent) utilised the loan amount for the purpose they had borrowed the amount for, but 49 per cent of them did not utilise or invest the loan amount for the trade applied for, but changed the trade without seeking approval from the authorities.

TURI KHURD VILLAGE IN SHEKWARA GRAM PANCHAYAT, BIHAR - OBSERVATIONS ON EFFECTIVE GOVERNANCE AND DEVELOPMENT PROCESS

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Introduction

This research was taken up as part of a study series on Effective Governance and Own Source Revenues (OSR) of Gram Panchayats. The study conducted at Turi Khurd Village of Shekwara Gram Panchayat in Bodh Gaya block in Bihar tried to focus on the Gram Panchayat structures of governance, their effectiveness in implementation processes of development programmes and achieving the desirable outcomes. The study was taken up with a wider objective of working with the district administration to develop the integrated district development plan for Gaya district, which was one of the two districts selected for the purpose by the MoPR in the national workshop on IDP held in Gujarat.

Objectives

1. To elicit information on various schemes and programmes related to development processes that were instrumental in effectively achieving the scheme objectives
2. To study the functioning of the institutional structures associated with governance and development programmes at the village level

3. To examine the effectiveness of the functioning of the village level and GP level implementation machinery with an aim to understand and develop a case of effective functioning of the institutional structures in village and Gram Panchayat and the processes associated with the achievements specific to the village and Gram Panchayat.

Methodology

Basically designed to be a probative descriptive and qualitative study, given the time constraint of just four days, the field work was planned in PRA mode using transect walks within village and transect drive through the plantations where Ahar-Pynes (traditional floodwater harvesting system in south Bihar) exist. Further, focus group discussions with ward members, women's groups and village functionaries were conducted. The qualitative data that emerged were triangulated with the secondary source data collected from the Gram Panchayat and the block-level functionaries. Based on this, the analysis was done.

Study Area

Turi Khurd village in Sekhwara gram panchayat, Bodh Gaya block, Gaya district.

Findings and Conclusions

The two elected local government structures - the Gram Panchayat and the Nyaya panchayat – were found to be functioning so well that the decisions of the Nyaya Panchayat were upheld by the High Court. The functioning of the Nyaya Panchayat too has been gone into in some detail.

Regarding the performance on the Centrally-sponsored schemes, there has been significant achievements which are almost reaching immersion levels, in another year or so.

The analysis brings out the implementation process of the various schemes grounded in the village and the Gram Panchayat and their outcomes as an effort of the various development functionaries, departments and governance structures. The outcomes, which have been observed, are that of all the institutions and infrastructure and of all the schemes in the village; the PMAGY, the IAY, MGNREGA, as well as the SHGs and the various schemes implemented, including income generating activities. The role of the NGO Jeevika too is brought out in some detail.

The involvement of NGO has significantly contributed to the advancement of women, who are engaged in income-generating activities in a substantial way. Some of them are potential small-scale business entrepreneurs in the making. The Gram Panchayat, the Nyaya panchayat and the NGO have worked together to synergise effective implementation of the Centrally-sponsored schemes and empowered the SHG members. The village is well poised to advance under the GPDP phase.

COPING STRATEGIES AND RISK BEARING CAPACITIES OF SMALL AND MARGINAL FARMERS IN RAINFED AGRICULTURE

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Introduction

About 68 per cent of the total sown area of the country is susceptible to drought at one time or other. Sixteen per cent of India's total area is drought-prone and approximately, 50 million people are affected by drought- (<http://naasindia.org>). Drought, thus causes an enormous socio-economic and environmental impact in terms of food and livelihood insecurity, increasing poverty and vulnerability, and negative environmental consequences. Diverse agro-topo-climates, diverse production systems, drought-proneness, fragile soil-landscape continuum with poor soil and land quality, scarcity of water and resource-poor socio-economic settings are the characteristics of the rain-fed agriculture. To achieve 4 per cent growth rate per annum from agriculture sector, the approach should be a paradigm shift from "Input and Policy Centric" during Green Revolution to the present "Resource Management and Policy Centric" (Srinivasa Rao *et al.*, 2014). At this juncture, the present study is proposed on Coping Strategies and Risk bearing Capacities of Small and Marginal Farmers in Rainfed Agriculture in three agro-climatic typologies such as Bundelkhand region of Madhya Pradesh, Vidarbha region of Maharashtra and rain shadow region of Karnataka. It was proposed to bring out the risk-bearing capabilities

among the resource poor small and marginal farmers and develop strategies for policy decisions.

Objectives

The specific objectives set for the study are:

1. To assess the institutional arrangements towards drought proofing and drought relief measures in different years (normal, drought and severe drought periods)
2. To examine the risk-bearing capacity among small and marginal farmers in the event of severe drought

To document the coping practices adopted by small and marginal farmers.

Methodology

Sampling Design

From each identified drought affected region, 60 schedules were canvassed covering 30 farmers (10 small farmers, 10 marginal farmers, 5 medium and 5 big farmers) from each village. Overall from three regions, 180 respondents were interviewed. Focus Group Discussion meetings were also conducted to collect the first-hand information from the farming community on the risk coping mechanisms and available institutional facilities.

Instruments used to study the objectives

A pre-structured schedule was developed to collect the primary data from the farming community by adopting random sampling technique. Secondary data were collected from the key informants. Focus Group Discussion meeting was also conducted with the small and marginal farmers (10 each) to assess their risk-bearing capabilities and management strategies to make rain-fed agriculture a viable occupation.

Study Area

In each region one rain-fed district was selected (which are frequently affected by drought based on the secondary data available at State Agriculture Department). In the selected district one block was selected and in each block two villages were selected to study the objectives.

Region	State	District	Block	Gram Panchayat
Rainshadow	Karnataka	Tumkur	Sira	1. Kota 2. Modaluru
Bundelkhand	Madhya Pradesh	Chhatarpur	Gourihar	1. Chauhani 2. Prakash Bahmari
Vidharbha	Maharashtra	Yavatmal	Arni	1. Pandhuma 2. Tenouli

Findings

Socio – economic conditions of the respondents

Based on the data analysed, it is seen that OBC's were the dominant group with 38.3 per cent representation in the sample followed by OC households with 28.3 per cent representation. Similarly, in respect of occupation, as many as 84 per cent are cultivators and 13 per cent are agricultural labourers among the sample households. In all caste groups, cultivators form the majority, ranging from 100 per cent among minority households to 78 per cent among SC households. This only shows that there is some dispersion, so far as the caste groups are concerned but when it comes to occupation, slightly over four - fifths are cultivators and one out of every eight households covered in the sample are of agricultural labourers.

Change in the incomes during the drought years

Here, the attempt was to assess the extent of difference in the income source-wise due to drought as compared to the normal year. In the normal year, of seven income sources considered, agriculture fetches higher average income of ₹ 37,765 at the overall level followed by small ruminants with an average income of ₹ 19,167 per household. Other important sources of income during this period include non-agricultural labour, milch animals and agricultural labour through which the households were able to derive incomes of ₹ 12,250, ₹ 13,300 and ₹ 8,398 on an average, respectively.

During this period, MGNREGS could fetch an average income of ₹ 4,826 and others (business, etc.) could get an average income of ₹ 13,167. It may be noted, as expected, the entire sample of households did not derive income from all sources. While this is the scenario, variations do occur in the average taken among the three study districts. As per the analysis, except Yavatmal, the other two districts register larger average incomes in two or three sources. The sample households of Yavatmal got ₹ 50,800 from agriculture, ₹ 47,500 from milch animals, ₹ 21,275 from non-agricultural, etc., and these average figures are higher than the figures for corresponding sources for either Chhatarpur or Tumkur. But between Tumkur and Chhatarpur, the latter district is in a better position with regards to agriculture, agricultural labour, and non-agricultural labour, Tumkur is in a better footing in so far as the average incomes from milch animals, MGNREGS and other sources are concerned.

Considering the situation in light of the drought, agriculture, agricultural labour, milch animals and non-agricultural labour have suffered badly. The average incomes from these sources are considerably low when compared to the averages for other sources. However, during this period, dependence on small ruminants and MGNREGS is seen in slightly larger

measure but not significant (4.35 and 2.91 per cent, respectively). Across districts, drought did not show any negative impact on agricultural labour of Chhattarpur district. So far as the total income generation is concerned, while the other sources including small ruminants, non-agriculture labour, MGNREGS, business, services, migration and other sources helped the sample respondents improve their incomes and in numerical terms, the increase was to the extent of 23.3 per cent in the drought year when compared to the normal year. Further, it is noticed that drought is responsible for a decline of about 83 percentage points in the total household income in relation to the normal year.

Inequality in Incomes: The extent of inequality in the incomes in the normal period in the sample households is high at 0.63 (Gini coefficient value) and this has declined to 0.45 in the drought period implying that the sample group is more consistent with respect to income in the drought period when compared to the normal period. But this (computation of Gini coefficients) itself does not provide full information unless we read the average income levels simultaneously. In the normal period each sample household has an income of ₹ 44,475 and this has dipped to ₹ 13,494 in the drought period registering a decline of 69.7 per cent. Thus, based on these two sets of results, it can be interpreted that though the group is relatively more consistent with respect to incomes in the drought period, the income levels are much lower and in numerical terms, the reduction in the inequality is 0.18.

Landholdings

It is evident from the analysis, in regard to the extent of coverage no significant changes are witnessed. Out of 187 households, 20.3 per cent have both wet and drylands, 41.2 per cent had only drylands, 34.2 per cent had only wetland and the remaining 4.3 per cent had lands of neither type in 2008-09. And, the same position continued in 2012-13 at the aggregate level among the sample households.

During the period 2008-09, on an average, each of the 114 households which reported possession of own land has 4.24 acres and there is small slump in this figure (4.07) during 2012-13. The extent of fallow land is very less (just 2.00 acres during 2008-09). During 2012-13, the average extent of operated area has dipped to 4.09 from 4.25 acres. At the social group level, the dip is more conspicuous among STs- from 4.66 to 3.07 acres.

Inequality in the land sizes: Besides examining the inequality in the incomes of the households, Gini coefficient is computed for land sizes also to assess the extent of inequality. For the four landholding groups considered, the degree of inequality stands at 0.29 (the limits being 0 and 1) based on which it can be said that the sample group is very consistent (homogeneous) with respect to the land possessed by them. Lorenz curve is also drawn to depict the inequality in graphical form.

Response to drought and normal season's situations

The respondents were asked to indicate five out of 17 ways they respond to agriculture during drought and normal years/situations. In fact, out of three different stages of drought (early, mid and late), only the mid-season drought is considered for capturing their reactions and the reference drought year is 2009-10 while normal year is 2007-08 for all the three districts.

The results of the analysis carried out at the aggregate level using Preference Index (for all the three districts combined) show that 'providing crop saving irrigation' and 'cultivating long-duration crops' are the most preferred strategies adopted by the farmers when they face mid-season drought at the aggregate level. The third preferred strategy in this district when they face mid-season drought is engaging family labour to reduce the cost of cultivation. Cultivating fodder crops and migration are the other strategies that are adopted in such circumstances.

Cropping pattern followed during *Kharif* and *Rabi* seasons in both drought and normal rainfall years

In the *kharif* season, seven crops were reported to have been grown and they are bajra, cotton, groundnut, jowar, ragi, redgram and soyabean. Among these crops, cotton accounts for 44.2 per cent in the entire area of 695.3 acres, followed by groundnut with 29.0 per cent and Jowar 24.0 per cent. In the drought year too, more or less same extents are seen under these crops and accordingly the percentage of area under these crops remain the same in the drought year as they were in the normal year. However, the decline in the extent of area is 25.7 acres and in percentage terms it is only 3.84 points.

During *rabi*, nine crops were reported to have been grown and they are cotton, grams, groundnut, jowar, linseed, mustard, redgram, soya and wheat. Wheat is the major crop in terms of more number of farmers growing the crop (27.2 per cent), followed by gram (17.2 per cent), (jowar 13.3 per cent) and mustard (10.0 per cent). An interesting finding from the analysis is in addition to 44 farmers who did not grow any crop in the *rabi* season, another 27 farmers also could not raise any crop due to drought. Thus, in effect, nearly two-fifths of the farmers kept their land vacant either because of non-availability of water or because of drought in the *rabi* season. Further, no significant shifts are discernible in the cropping pattern in the drought year with reference to the normal year in the *rabi* season. Gram, jowar, mustard and wheat are continued to be grown even in the drought year as in the normal year.

Purpose of availing of credit

'Crop loan' was the dominant reason for taking loan, accounting to 95 per cent of the sample respondents. This is very distantly followed by purchase of irrigation equipment-drip irrigation (19.3 per cent),

sprinkler (15.3 per cent) and pipelines (11.4 per cent). The farmers also utilised the money for the purchase of cart and bullocks (8.4 per cent) and purchase of agricultural implements (6.0 per cent).

Problems in repayment of credit

In many cases, the loans are still outstanding and when inquired about the reason for non-repayment of crop loan, the farmers cited crop loss because of drought (94.6 per cent), lack of market support price (98.8 per cent), lack of attitude (97.0 per cent) besides low yields (95.2 per cent). Across the three study districts, not much variation is seen in the percentages and it is to be noted that this question sought multiple responses.

Indigenous crop saving technologies

Farmers use their native wisdom when they face crisis in crop management by using indigenous technologies in the drought situation and they range from the stage of ploughing to harvesting of crop. But, the three study districts do not have much commonness among the technologies used. In Chhatarpur district, the farmers follow fallow ploughing to harvest rainwater (23.3 per cent), and use last year's seed to save cost (56.7 per cent). They apply 25 per cent of the recommended dose of fertilisers (93.3 per cent). The farmers also mentioned that they provide crop saving irrigation, irrigating the crop during critical growth period and harvesting the crop as vegetable or fodder.

In Yavatmal, use of subsidised seed provided by agriculture department (25 per cent) and investment on purchasing of seeds of short duration crop variety (20 per cent) are reported by a majority of the sample farmers. A large majority of the district sample farmers (92 per cent) reported that they apply the pesticides only on occurrence of pests.

In Tumkur district, use of last year's seed to save cost (72 per cent) and use of subsidised seed provided by agriculture department (78

per cent) are the main general indigenous methods. Intercultural operations like harrowing to improve soil moisture (20 per cent) and irrigating the crop during critical crop growth period are practiced in the district. Above all, harvesting crop as vegetable or fodder is another major method in vogue in this district as reported by three-fourths of the sample farmers.

Technology interventions by the respondent farmers

With regard to agricultural operations, the farmers adopt various technological interventions and they are in the form of agronomic practices, change in cropping system and cropping pattern, cultivation of short duration crops, etc. At the aggregate level, using drip/sprinkler system is the popular one as informed by majority (72 per cent) of the respondents, followed by cultivation of short duration crops (32.8 per cent) and change in cropping pattern and cropping system (24.4 per cent).

Institutional arrangements for drought proofing

Towards ensuring drought proofing in the sample districts, many arrangements were reported to have been made by the respondents which include provision of seeds, fertilisers, advisories on crops, providing community seed banks, etc. However, farming community desired that the machinery from the government needs to achieve the desired levels of delivery system.

Conclusion

Based on the study findings and the opinions of the farming community, it is noticed that during early drought, farmers (especially small and marginal holders) are finding it difficult to execute the contingency plan. They are constrained in procuring the quality inputs (especially short duration varieties, fertilisers, etc.) and also credit facilities to take up

crop sowing immediately. Hence, it is suggested that the agriculture department supplies the required material for executing the contingency plan, instead of advising farmers to implement contingency plan.

It is also noticed that the repayment of loan amount procured through Kisan Credit Card is very limited, especially when drought is faced. Hence, some mechanism for financial assistance needs to be put in place through agriculture department, when monsoon plays truant.

Agriculture department should also plan for maximum harvesting and conservation of rainwater in traditional water bodies by taking up desilting operations through wage employment scheme (Mahatma Gandhi National Rural Employment Guarantee Scheme). On harvesting every drop of rainwater, farmers can effectively adopt the crop saving irrigation under dry spell conditions during critical crop growth stages.

LIVELIHOOD PROMOTION THROUGH COMMUNITY BASED ORGANISATIONS: A STUDY ACROSS SIX STATES

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Introduction

SHGs and their federations or producer groups have emerged as the integral means to address the livelihood issues of the poor and marginalised population of a large section of people in the society especially, in the rural areas of our country. Self-Help Groups (SHGs) with the support from Governmental and Non-Governmental Organisations (NGOs) are marching ahead with assistance from various stakeholders such as the Central and State Governments, banking institutions, research institutions, and developmental agencies, and have made a mark in the empowerment of poor and marginalised communities in rural areas.

This research looks at the various strategies and approaches for promotion of livelihoods among the rural poor through Community Based Organisations (CBOs) and their federations, their efficacy and the impact on the community involved. It also looks at the comparative strengths and weaknesses of different interventions under various agencies. This report brings a comparative analysis between six States where different livelihood promotional agencies are involved in the promotion and encouragement of various CBOs through women SHGs for livelihood generation. During the

course of the research, six States were selected for the study, namely, Maharashtra, Bihar, Odisha, Gujarat, Tamil Nadu and Kerala. Multiple districts in each of these States, were visited. Several livelihood interventions were documented and hundreds of SHG members were interviewed for the said purpose.

Objectives

- ◆ To examine and understand the approach and processes of livelihood initiatives adopted by different intervention agencies
- ◆ To explore the backward and forward linkages established in the project
- ◆ To examine the socio-economic impact of these interventions on the sample respondents and the sustainability of the livelihood interventions

Methodology

The study was conducted in the six States of Bihar in the northern region, Odisha in the eastern region, Tamil Nadu and Kerala in the southern region, and Gujarat and Maharashtra in the Western region. From each State, one particular livelihood intervention strategy of organisation, either governmental or non-governmental is chosen for the purpose of the study. In every State, at least one district and one block in that district were selected for the purpose of the study. The criteria for selecting the districts, block and GP were based on its backwardness, poverty profile and per-capita operational livelihood groups/interventions relative to number of CBOs. From each block, two GPs where the livelihood intervention is being implemented were selected. From the two GPs, 50 beneficiaries from CBOs who have benefited from the livelihood intervention were selected through stratified random sampling and interviewed through a structured interview schedule. Adequate representation of different categories like SC, ST, OBCs was ensured in the sample through stratified random

sampling. The sample would consider the group as a whole and also members within the groups. Altogether 302 sample respondents from six different districts, blocks and twelve GPs were selected from six States.

The study was carried out using methods of interview, case study and focus - group discussions. Primary data were collected with the help of pre-tested schedules, questionnaires and, secondary data from the available records of the concerned departments and organisations.

Findings

- ◆ The study reveals that almost half of the members are engaged in self-employment as primary occupation. It is evident that members of the SHGs are engaged in business activities through SHG and livelihood support promoted by different State agencies. Activities and engagements of half of the sampled SHG members for primary occupation is an encouraging development for self-employment promotion agencies and the government.
- ◆ Range of average monthly income of SHG members varied from ₹ 1,000 to more than ₹ 13,000 in the six States. The earning of most of the members, falls in the category of ₹ 3,000-5,000. Around sixty members earn between ₹ 3,000 followed by forty members who earn between ₹ 9,000 - 11,000. Higher end earning per month mostly comes from the State of Kerala where the average monthly income of respondents is much higher than any other States.
- ◆ Almost 96 per cent of the total respondents acknowledge that they acquired adequate skills to run their respective micro enterprise units they are engaged with. Around four per cent of the respondents didn't have the confidence of the skills required for the activity they are engaged in. In case of self-employment for individual SHG members, in most of the cases the promoter, like different government agencies, helped individual members through SHGs to start various

kinds of livelihood activities. Different nature of support like financial, sharing of responsibilities, marketing, procurement of raw materials and maintaining shops were a part of some kind of assistance. In general, SHG members acknowledge on collective sharing of responsibilities.

- ◆ Capacity building of the SHG members: Several training programmes were organised by the promoting agencies in various traits. Different agencies trained members in various aspects. It is clear that existing SHGs get most of the training support mainly from government agencies, be it in general awareness, marketing or skill development. Government is the core agency that provides or arranges training support to many SHGs in various traits.
- ◆ Starting from availability in raw materials and in other components like transport facilities, financial support, storage facilities, and scope of marketing, SHG members mostly depend on their fellow SHGs for information. In some cases of running individual units, the members depend on their family members. This social- capital and sharing is one of the biggest assets of rural SHG women in many aspects of their overall development.
- ◆ In almost all the selected States, SHGs are the support system for individual members to provide infrastructural support for any kind of Micro-enterprise (ME) unit. In infrastructural support, responses received are in favour of SHGs in categories like storage facilities, space for working, electricity and machinery support. After SHGs, family contribution and support played a major role in some cases. Only 20 per cent of the members responded that they have introduced any kind of new technological support to run their units. But, when asked about the importance of technological support for running any micro-enterprise unit, almost all the respondents responded positively about the benefits of introducing improved

technological support. In some of the examples, they stated issues like product improvement, better design and, reducing dormancy and overall increasing income, technological adaptation can take an important role.

- ◆ In marketing, one of the issues is the share of products in the local market. The average percentage is around 18 . The maximum number is around 80 per cent. Some products produced are sold solely in local markets. In some States products are produced for the clients by the SHGs and are delivered by third party/private agencies. Most of the respondents listed out marketing as a key issue in the product line. Around 40 per cent of the members opined about issue of marketing followed by 18 per cent in the area of quality control and 17 per cent raised issues about storage for produced products.
- ◆ Majority of the members sell their products locally. Almost 40 per cent of the market is in the villages and followed by 35 per cent in the block level. This shows the limited reach of products of the SHGs in wider markets. We can illustrate the argument in a way that the SHGs are not dependent on outside market where the mediators get away with considerable benefits on the products. Around 25 per cent of the market is at the district level and close to five per cent of the total market is at the State level.
- ◆ Most of the members acknowledge the role of different agencies supporting in providing different backward linkages for the enterprises they run. Around 22 per cent of the respondents felt that the support of inputs in various manners is one of the important backward linkages followed by providing the support of technology in implementing their projects. In other major points, supply of raw material, credit and providing training support to members are also considered as significant backward linkage support by the agencies. In terms of forward linkages, buying back of the produced material

comes as one of the important features in the project by some agencies. Around 90 per cent of the members responded positively about the buy-back system of product marketing. On the issue about the common infrastructure, around six per cent of the members acknowledged the practice of using common infrastructure while doing the work. Most members produce individually after taking loans from project and SHGs. Percentage of people who have the access to common service centres and insurance claim settlement is negligible in number from the sample size of the population taken for this study

- ◆ In the role of facilitating factors, the role of project authorities, role of village organisations, family support, support from fellow SHGs came as bigger factors for the members. Almost 86 per cent of the members acknowledged the role of project authorities as high in shaping out their activities. The role of community coordinators from the project team at the block and, district level is highly important for the members in carrying out their day to day business of livelihood generation. Almost 51 per cent of the respondents agreed that the role of family support is very much important followed by 49 per cent, in somewhat important category. Members unambiguously acknowledge the support and importance of family members in carrying out their day-to-day activities.
- ◆ In caste discrimination, around 70 per cent of the respondents felt that in present times, it is not a big issue which can be seen as hindrance in starting or carrying out any livelihood initiative.

Conclusion

Almost all the SHG activities and its livelihood promotional agencies are from government agencies. SHG members are highly dependent on project officials of the concerned government departments for different kinds of support or funding-related matters. Even in different collaboration with

private agencies for marketing or promotion of products, government agencies are working as nodal agencies to accelerate the process. This shows the commitment and success of various agencies working for the economic and social empowerment of rural women. But in terms of sustainability of the SHG movement, dependency on government agencies for each and every matter somehow goes against the independence and the very nature of self-employment. Members are mostly comfortable in individual micro-units with less profit. Average income of a large section of individual SHG members is limited to the category of ₹ 3000 to ₹ 5000 only. Except Kerala, higher monthly income of individual members is very negligible.

Collective units are growing, but the growth percentage could have been in much higher number. SHGs or the individual members are dependent on special grants or funds to start a relatively bigger livelihood initiative which is a challenge by itself. The core objective of a promoting agency should have been as a facilitator but in most of the cases the agency is in position as provider of funds and to give directions to overall activities of SHGs in the respective States. Independence and growth of SHGs as an institution hits a roadblock in this process.

DISTRIBUTIONAL EQUITY OF RURAL DRINKING WATER: A STUDY ON INCLUSIVE SERVICE DELIVERY

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Introduction

The WHO/UNICEF Joint Monitoring Committee (2012-13) has estimated and declared a possible disparity or inequity in the delivery of water supply and sanitation services. However, no exclusive study seems to exist to pin down empirically, the extent of inequity or deprivation the poor undergo in water supply and sanitation services at the grassroots level. The big question is: Are the poor (those living below the official poverty line) and the SC/ST populations receive the water service delivery on equitable rates compared to those living in the main village? Secondly, what factors are at play in determining equitable distribution of water and sanitation services to the poor?

The Ministry of Drinking Water and Sanitation (MDWS, GoI.) has been making special efforts since the beginning of the XI Five Year Plan (2007-12) for covering the SC/ST-concentrated villages with an intent to reduce the inequity such people undergo in drinking water service delivery. The MDWS is carrying out this exercise as its contribution to the 'inclusive growth' agenda of the Government of India. It was made still more explicit after April, 2009 through the National Rural Drinking Water Programme

(NRDWP). It has been more than a full Five Year Plan period we have crossed since then, again with similar emphasis in XII Five Year Plan (2013-2017). Do all these efforts contribute to reduction in inequity and relative deprivation in drinking water service delivery the poor people undergo in Indian villages? Will these efforts and funds help narrow down the service delivery gap between the SC/ST habitations, vis-a-vis the habitations where the non-SC/STs reside? These questions and associated issues require empirical investigation and practical explanation. Hence, this study was taken up.

Objectives

- 1) To assess the nature and extent of variation that exists in water service delivery among the SC-concentrated/ST-concentrated habitations in comparison to the non-SC/ST habitations in selected States
- 2) To identify the constraints and the factors that come into play in determining equitable distribution of water service to the poor
- 3) To deduce the relational satisfaction of the poor in receiving water service delivery in comparison to the better-off in the selected States

Research Design

The study adopted mixed methods research with a cross-sectional research design. The conceptual framework of this study was prepared keeping 'service delivery' and 'equity' as outcome (dependent) variables, and a host of determinants (independent variables). They included source of water, type of facility, distance, quantity of water supply, quality, hours of supply and so on. We aimed at generating new knowledge that can explain the functional relationship between all the antecedents that cause the effect which we call equity/inequity in water service delivery.

Indicators of Interest

- Availability of water supply facilities

- Type of facility (piped water supply/common point water collection points/handpump)
- Access to facilities (distance): within 100 metre radius
- Source of water
- Adequacy of supply - Quantity: Not less than 55 litres per capita per day
- Safety of water (Quality: As per BIS standards)
- At least 30 per cent piped on premises or other improved sources.
- At least 12 out of 14 consecutive days to have sufficient quantity.

Sources of Data: The study used both primary and secondary sources of data. Primary data were collected from sampled BPL and APL families in selected Gram Panchayats in each State under the study. The Ministry of Drinking Water and Sanitation has a robust website, where access to data on SC/ST concentrated habitation details can be drilled down to the level of block. From the block-level data, we got at the Gram Panchayats, where SC/ST concentration is more. Our main sampling trait was poor SC/ST population from selected GPs in one stratum and non-SC/ST population in the same GP as another stratum. The sampling frame was the entire SC/ST population in the selected GPs. Going by the 'sample size calculator tool' we determined the sampling fraction bearing in view maximum possible accuracy in our estimates of the population. Proportionate size of elements (sampling units) were selected from among the non-poor non-SC/ST population also using simple random technique for the purpose of comparison. The target population discussed about was primarily SC/ST population. Secondary data were collected from the records available with the village panchayat office, block development office, the power-pump operators, handpump mechanics, etc., besides making use of chance encounters in the villages and relevant websites.

Population Groups: Treatment Group: For the purpose of this study, habitations in which more than 40 per cent of the population belongs to SCs are considered as SC concentrated; and with more than 40 per cent STs are considered as ST concentrated. We considered this as our Treatment Group. We used a Comparison Group (or counterfeit comparison group) for this study. That was non-SC households from the same or neighbourhood village, who subsist with similar standards of living in terms of common facilities; and economic status in terms of personal asset ownership.

Study Area

The data for this study have been collected from six Indian States. They are: (1) Bihar, (2) Jharkhand, (3) Assam, (4) Himachal Pradesh, (5) Tamil Nadu and (6) Uttarakhand. When we ranked all the Indian States in descending order on the basis of water service level coverage, we have States with good service level at the top in our list and the ones with poor service level at the bottom. This ranking pertains to coverage claims, as reported by various State Governments to the MDWS. This is reported by the States, generally, from the type of facilities created in a given habitation, and it does not reflect the actual service delivery status. Actual service delivery was something we investigated through this study. Secondly, considering the time at our disposal, we selected three States that come under high coverage States; and three States that lie at the bottom most. We picked : (1) Bihar, (2) Jharkhand, (3) Assam at the bottom most, (4) Himachal Pradesh, (5) Tamil Nadu and (6) Uttarakhand at the top of the list. Secondly, from each of these States, we selected; two districts and in turn two blocks. Finally, from these two blocks we selected 10 villages (five villages in each block) for the purpose of this study. Selection of study population and sampling traits/sampling units, etc., was discussed under sources of data. In total, 60 GPs from six States were covered.

Findings

Availability: Frequency of water supply is an indicator of availability of water to the communities. Majority (about 45 per cent) of the households interviewed reported of getting water daily, although at unpredictable timings; and others (45 per cent) get water at certain appointed hours daily. This holds good both for SC/ST communities as well as the non-SC/ST households. The rest (about 10 per cent) get some days in a week (3-5 days per week or 1-2 days per week). Thus, it was found that availability of drinking water to the SC/ST households is almost the same as that of the non-SC/ST households. We can infer to have achieved a satisfactory level of equity in terms of availability of water to SC/ST communities.

Distance: The condition with regard to distance travelled for fetching water for domestic use revealed that 5/6th of the non-SC households get water within 100 metres distance from their residence; whereas majority of the SC households (3/6th of them) had to walk anywhere between 500 – 1000 metres. Only about 1.3/6th of SC households get water within a distance of 100 metres. Most ST households in Assam get water within a distance of less than 500 metres. There are very few families that walk a distance of more than 1000 metres to fetch water for domestic use. Thus, for a vast majority of households in SC dominated habitations, availability of water is not a problem, whereas distance they travel to fetch water is a problem. We can infer that inequity prevails in terms of distance travelled to fetch water.

Time Spent for Collecting Water: In Assam, Jharkhand, and Uttarakhand, there is no question of taking water in less than 15 minutes. In all the States under this study, majority of the non-SC households reported spending more or less 15-30 minutes, or at the maximum 45 minutes. Whereas majority of their SC/ST counterparts normally spend 45-60 minutes to collect water. This makes one infer that the SC communities

walk longer distance and spend more time to fetch water compared to what their non-SC counterparts do. A few respondents in the SC/ST and non-SC categories reported spending more than one hour daily for water collection, with some exceptions at Himachal Pradesh and Assam. Although households from both the communities spend more time than they ought to, the number of households that walk longer distance is more in the case of SC communities. This spells inequity.

Quantity of Water: In the study, States with 3/4th of the SC/ST habitations were reported to have either basic access or less than basic access; whereas 3/4th of the non-SC/ST habitations have got optimal access. This is a clear case of inequity. However, neither in SC/ST habitations nor in non-SC/ST habitations, have people got more than 55 LPCD. In Assam, the only State where we find majority ST community - it was found that they get less than 40 LPCD. Thus, the quantity of water people get was either just adequate or less than adequate, and definitely not more, irrespective of caste categories. However, the fact that non-SC/ST communities get optimal access, whereas SC/ST communities get only basic access, spells a clear case of inequity.

Quality of Water: Water quality test conducted in the study villages revealed that water in most of the villages are 'good and potable', except in two habitations in Tamil Nadu (one SC/ST habitation and the other in non-SC/ST habitation). The PH level was also found in the range of 5 to 8 on a PH Scale of 0 to 14, which means the water is either neutral or slightly acidic or slightly alkaline. In two of the Tamil Nadu villages, water quality tests revealed that the water being used (in two habitations) contained 'Average levels of TDS' (between 600 - 900 mg/Lr). Similarly, four sources in Assam were found to be 'average' (600 – 900 mg/Lr). However, water with TDS levels more than 1200 mg/lr or PH at extremes in a scale of 0 – 14 are considered unacceptable for human consumption. The TDS and PH levels reported in all the study villages were found to be 'within the

acceptable levels', irrespective of community groups, as per the quality norms of WHO, 1996.

Conclusion

This study concludes that equity has been achieved in terms of (i) availability and (ii) quality of water service delivered to the SC/ST communities. However, going by other essential parameters such as (iii) distance travelled, (iv) time spent, and (v) quantity of water delivered, inequity persists. The SC/ST communities still remain underserved.

**PROCESS DOCUMENTATION OF SOCIAL AUDIT OF
INTEGRATED WATERSHED MANAGEMENT
PROGRAMME (IWMP) – A CASE STUDY OF
ANDHRA PRADESH AND TELANGANA**

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Introduction

About IWMP:

Integrated Watershed Management Programme (IWMP) is a modified programme of erstwhile Drought Prone Areas Programme (DPAP), Desert Development Programme (DDP) and Integrated Wastelands Development Programme (IWDP) of the Department of Land Resources. This consolidation is for optimum use of resources, sustainable outcomes and integrated planning. The scheme was launched during 2009-10. The programme is being implemented as per the Common Guidelines for Watershed Development Projects, 2008. The main objectives of the IWMP are to restore the ecological balance by harnessing, conserving and developing degraded natural resources such as soil, vegetative cover and water. The outcomes are prevention of soil erosion, regeneration of natural vegetation, rainwater harvesting and recharging of the groundwater table. This enables multi-cropping and the introduction of diverse agro-based activities, which help to provide sustainable livelihoods to the people residing in the watershed area.

About Social Audit

Social audit can be defined as an approach and process to build accountability and transparency in the use and management of public resources. It relies on engagement from citizens and/or Civil Society Organisations (CSOs) to directly and/or indirectly demand accountability and transparency in the public policy and budget cycles. Social audit is participatory, and can be an anti-corruption and efficiency enhancing mechanism. It is based on the premise that citizens want and have the right to know what the government does; how it does it; how it impacts on them; and that the government has an obligation to account and be transparent to citizens.

The social audits are being conducted as a means to empower the people and to facilitate public scrutiny of the implementation of the government development schemes and programme in the utilisation of funds in the prescribed manner and to access their rights and entitlements.

Objectives

1. To use detailed methods of social audit tool in partnership with local NGOs and community members and generate awareness and empowerment throughout the process.
2. To make clear recommendations based on ground evidence for better implementation of IWMP.
3. To investigate whether transparency and accountability principles are being applied through the delivery mechanism of the IWMP
4. To probe into the social and political dimensions of the implementation mechanism and the related impact on rural communities.
5. To ascertain the current practices and processes adopted for the implementation of IWMP

Methodology

For the proposed case study, two real-time step-by-step procedures of social audit in IWMP (process documentation) were documented from Andhra Pradesh and Telangana States. M.C.Palli watershed project, in Chittoor district in Andhra Pradesh and Satwar watershed project in Medak district in Telangana State.

Findings

IWMP is a consolidated programme launched in 2009 of erstwhile Drought Prone Areas Programme (DPAP), Desert Development Programme (DDP) and Integrated Wastelands Development Programme (IWDP) of the Department of Land Resources. This consolidation is for optimum use of resources, sustainable outcomes and integrated planning. The programme is being implemented as per the Common Guidelines for Watershed Development Projects 2008 (revised edition 2011).

The main objectives of the IWMP are to restore the ecological balance by harnessing, conserving and developing degraded natural resources such as soil, vegetative cover and water. The outcomes result in prevention of soil run-off, regeneration of natural vegetation, rainwater harvesting and recharging of the groundwater table. This enables multi-cropping and the introduction of diverse agro-based activities, which help to provide sustainable livelihoods to the people residing in the watershed area.

The common guidelines for Watershed Development Programme 2008 (revised edition 2011), are regarding the emphasis on 'Social Audits' of IWMP projects for ensuring transparency and accountability. As per the guidelines, the State Government is committed to ensure the social audit process for transparency and accountability in the programme. It is in the interest of programme implementation to arrange social audits for the works undertaken. Social auditing of a scheme by the primary stakeholders or with the active involvement of the primary stakeholders of the scheme

includes, facilitation and verification of facts on the ground while taking into account official records, verification of works and verification by meeting beneficiaries, recording written/oral evidence of beneficiaries, writing the social audit report followed by a discussion on the report in a public assembly in the presence of independent observers.

The Department of Rural Development, Government of Andhra Pradesh is the first institute in the country to carry out the social audit process for IWMP projects by SSAAT. The social audit process was first piloted in two project areas in Anantapur district in the year 2011.

The main objectives of a social audit in IWMP are 1) To promote the empowerment of rural communities directly benefiting from welfare schemes such as Integrated Watershed Management Programme 2) To develop a sense of ownership amongst the beneficiaries towards these schemes by encouraging them to participate in the social audit as well as training them in the nuances of the process 3) To create awareness amongst the rural communities about their rights and entitlements under the schemes 4) To serve as a monitoring mechanism in improving the quality of the scheme 5) To minimise the leakage and wastage of public funds by making the public anomalies found and people responsible for the same during the social audit process in the public hearing.

Finally, the case study on Process documentation of Social Audit in IWMP explains step by step social audit process in IWMP, which will be useful for the researchers, academicians and social audit development practitioners for the complete process of social audit in IWMP.

**PARTICIPATORY DECENTRALISED PLANNING AND
INCLUSIVE DEVELOPMENT OF MARGINALISED
SECTIONS – AN ANALYSIS OF SELECTED
BETTER PERFORMING GPs**

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Background of the Study

The deprived and disadvantaged section of the society constitutes a group of people who were denied the opportunities to fully explore and utilise their abilities to enjoy a quality life. In the Indian context, the disadvantaged sections constitute SCs, STs, OBCs, and minorities of Muslim and Christian religions. Further, specifically to state that, the groups of people like destitute women, differently-abled, resourceless and poorest of the poor face rather worse social and economic problems in the society. The marginalised groups who occupy interior positions in social and economic hierarchy have also found themselves weak even within the local governments.

Statement of the Problem

The recent planned development strategies have given special attention to involve the marginalised people in the mainstream of

development process through various initiatives by the Central and State governments. The strategies aim to empower them by providing special provisions to participate in decision-making process of local governance, in planning and implementation of development schemes and to avail of opportunities like wage employment, skill development for self-employment, access and use of basic amenities as well as individual needs, basic education and healthcare services to improve their socio and economic conditions. In order to involve the excluded sections, the Central government has taken many vital steps through constitutional provisions for strengthening the Gram Panchayats as bottom most planning and delivery mechanism by devolution of powers and functions. But, in reality, many cases, Gram Panchayats are deprived of resources, due to the incapable leadership or influence of the local power structure or political hindrances. On the other hand, due to lack of good leadership, the panchayat system excludes certain sections of people for many well-known reasons. This study made an attempt to understand and identify the status of functioning of some of the better performing gram panchayats and their role in development of marginalised sections through various rural development programmes.

Methodology

This study was conducted in four States, namely Madhya Pradesh, West Bengal, Tamil Nadu and Karnataka. These four States were selected based on the effectiveness of decentralised governance and, devolution of powers and functions by the State governments. For the purpose of comparison, in each State, two better performing panchayats inhabiting multi-communities were selected. The study covered eight GPs. The better performing GPs were selected by using few important criteria like utilisation of earmarked funds, revenue collection, creation of infrastructure like water supply, sanitation, education, connectivity, street lighting, generation of employment through employment guarantee scheme, received awards, etc. Further, in each GP, 10 per cent of the marginalised people's

households were selected as sample respondents and data were collected. The sample units covered different categories of marginalised sections from each GP including 10 per cent households from each category, namely SC/ST, MBC, minorities, women-headed poor households, physically challenged and others.

Objectives

- To examine the Gram Panchayat initiatives for the development of marginalised sections.
- To understand the process of participatory planning and level of participation by disadvantaged people.
- To study the impact of major RD programmes, implemented through panchayat for the improvement of socio-economic status of the marginalised sections and
- To identify the factors that contributed for the inclusion and exclusion of different sections of people.

Major Findings

- The study covered marginalised sections benefited under rural development schemes with the sample of 947 respondents of whom 52.3 per cent are males and remaining 47.7 per cent are females. It was worthwhile to note that the majority, i.e. 36.2 per cent were in the age group of 31-40, followed by 32.3 per cent in the age group of 50-60. Majority of 72.0 per cent belonged to the Hindu religion, another 11.8 per cent Christianity and 11.8 per cent Islam religion.
- Around 40 per cent are women who belonged to different social groups, 28.5 per cent are SC&STs, 27.5 per cent represent minority comprising both Christianity and Islam and the study also covered 4.1 per cent physically challenged. Overall study responses show that 37.5 per cent respondents are illiterates.

- It is clear that 50 per cent were agriculture labourers, followed by 15.7 per cent who were engaged in farming during rainy season otherwise basically belong to agricultural labourers category. About 12.5 per cent reared livestock as their main source of income.
- In the area selected for study, around 87 per cent families have BPL cards, 6.5 per cent have ration cards under the category of *Antyodaya Anna Yojana* and only around 1.5 per cent families have *Annapurna* cards.
- Majority of the respondents, i.e. 65.2 per cent received an annual income between ₹ 20,001 - 30,000. Around 17 per cent's annual income is less than ₹ 20,000, followed by another around 15 per cent of respondents who received anything between ₹ 30,001-40,000.
- It was observed that 41.4 per cent built their house on their own, only 18.6 per cent constructed houses with the help of financial assistance from government and 38.2 per cent received money under different types of housing schemes. But, they contributed considerable amount from their own pockets.
- All the panchayats selected for the study have received Nirmal Puraskar Award by fulfilling the criteria of constructing toilets for all the households within the panchayat. It is observed that 91.8 per cent of households have toilets. This study points at encouraging trends that, 94.7 per cent households reported they are using toilets regularly.
- Supply of drinking water is one of the most important functions of the Gram Panchayat. Around 44 per cent of people drink water collected from common water taps established by the gram panchayat, while nearly 24 per cent use handpumps as their source of water. Around 30 per cent use combined facility. In 97.5 per cent of the habitations drainage facility is available.

- Regarding the initiatives taken for socio-economic development of the underprivileged by the panchayats, majority of the people (65.2 per cent) gained benefits under various health programmes. While 56.2 per cent of them received help for improving agriculture-supporting infrastructure, 54.8 per cent availed of educational initiatives. Similarly, 46.4 households among marginalised sections received employment with the facilitation of the GPs. Further, around 40 per cent respondents benefit under socio-economic initiatives.
- More than 90 per cent households reported that gram sabha meetings had quorum. The panchayats made efforts to mobilise one-third representation of women, and their mandatory quorum in Gram Sabha meetings.
- On the status of awareness on the conduct of Gram Sabha and effective methods of communication, only 15.4 per cent have awareness. Around 20 per cent people participate in the meetings and planning process of the panchayat.
- Lack of personal interest from the people for participation in the meetings resulted in low attendance, it was reported that only 78.6 per cent of them attended these meetings. Similarly, lack of awareness on the functioning of GP (84.6 per cent) for the people is a hurdle for people's participation. Negligence of GPs is reported by 77.9 per cent respondents, the panchayats put less effort to communicate the purpose of the meetings. Therefore, people are not aware about the dates and purposes of the meetings which caused a dip in the percentage of attendance.
- The status of marginalised people's representation in the GP committees shows that only 5 per cent were selected as members of various committees. Large number of respondents (45.6 per cent) became members of SHG but, their political representation is only 14 per cent .

- Regarding the nature of participation in Gram Sabha meetings, around 21 per cent of the people participated keenly. Around 50 per cent of women respondents and equal percentage of SC&STs, including poorest of the poor's participation is meagre. Reasons for non-participation are, social stigma among women specifically, Muslims, low social status under caste hierarchy prevents them to participate in the public events. Even successful gram panchayats also fail to get real participation. Partial participation was reported by 50.5 per cent, highest in West Bengal and Madhya Pradesh.
- Around 25 per cent sample population participated in planning and around 10 per cent participated in all the activities of the panchayat. Around 36 per cent respondents participate in planning and monitoring government sponsored projects. Further, around 18 per cent participated in execution of government and panchayat self works pertaining to the development in their jurisdiction.
- All the studied panchayats still follow the traditional planning approach, the planning is done on ad hoc basis and is primarily supply driven. The plan is basically extracted from the Gram Sabha resolution which consists of the wishlist.
- On the involvement of the local institutions in the planning process, around 55 per cent said that planning is done at the Gram Sabha and around 40 per cent people responded that their panchayats involved local, formal and informal institutions in capacity building and planning process.
- Above 90 per cent of the beneficiaries have expressed their satisfaction over the adequacy and accessibility of facilities. More than 50 per cent of the sample respondents were not aware and interested in knowing the importance of the gram panchayats and their role play.

- Majority of the respondents were benefited under common facility services like drinking water and sanitation, road connectivity, health, education, mid-day meal scheme, etc.
- More than 50 per cent of the people could not observe any major change in their life brought in by the intervention of panchayat. For the rest, panchayats made better change in social, economic, health, educational and in the field of agriculture development as well as availing of employment opportunities.

Field Observations

- ❖ All the GPs in the region where the study was conducted, improved the performance level due to the effective public participation which enabled them to maintain transparency and accountability in delivering services like provision of drinking water, street light, electricity, connectivity, housing for houseless, education for all, *anganwadi*, public distribution system, access of market, maintenance of the burial ground, provision of employment, selection of beneficiaries under various welfare schemes, etc.
- ❖ Many award winning panchayats by default developed infrastructures and delivered better services only till the limited period of receiving accolades. Later, a few panchayats sustained and created self-reliance which further gained a number of incentives in the form of funds and public support. But a few of them could not survive, hence failed to deliver quality of services. Rich and better-off people reap the benefits from the service providers but poor and illiterates, still live in the periphery of the poverty and under the clutches of communal hierarchy.
- ❖ The major interventions in addition to the delivery and maintenance of the structures of the basic needs, the panchayats implement major employment schemes like MGNREGS. The contribution of

this scheme has made improvement in terms of increased income, women empowerment, mobility of women, holding bank accounts, credit worthiness, asset creation and ultimately, improving the economic life of the marginalised sections in the study areas. The panchayats are also facilitating another scheme called NRLM for equal contribution to the social and economic life of the poor family through women self-help adventures. The PMAY has created permanent housing to a number of families which created social recognition to these sections of people. PMGSY increased the connectivity and people have easy access to the market and other health facilities. Swachh Bharat Mission has brought appreciable changes in sanitation behaviour of the people. Other individual pension schemes provide life protection for the senior citizens. Maintaining rural infrastructures supports many dimensions of life for the poor. Nevertheless, careless exclusions of certain sections of the people lead to problems in accessing the services, schemes and infrastructures created by the governing institutions. Ignorance and lack of awareness on the part of the poor also hinders the access to the services created for them.

Suggestions

- ☞ Inclusive growth needs to be distinguished from welfare programmes such as employment guarantee, public distribution of foodgrains to the poor, etc.
- ☞ The study reflects that many people have not enrolled under the MGNREGS. Efforts must be initiated to cover all the families of the marginalised sections. It was observed that majority of the families have received minimum days of employment due to various technical issues. It has to be looked into seriously to further provide prescribed days of employment to support income of the families.

- ☞ The lands allotted to the weaker sections are barren or unsuitable for cultivation. Priority must be given by the panchayats to guide and facilitate the poor farmers to benefit under different schemes like WDC- PMKSY, RKVY, Horticulture mission, etc., and the SC&ST corporation to develop their lands which will increase the economic status.
- ☞ The major finding of the study revolves around lack of participation or less motivation to participate in the grassroots democracy and its development initiatives. It is a major hurdle for their betterment. To create and sustain inclusive societies, it is critical that all members of society are able and motivated to participate in civic, social, economic and political activities, both at the local and national levels.
- ☞ Lack of awareness and ignorance are other important lacunae that hinder the participation which are to be checked with the help of locally working NGOs by creating community-based organisations and civil societies. The existence of a strong civil society is fundamental for active participation and making public policies and institutions accountable. There must be freedom for people to express diverse views and develop unconventional and unique ideas.
- ☞ Equal access to public information plays an important role in creating an inclusive society. Information that pertains to the society such as, what a community owns, generates, or benefits from, should be made available to all. Awareness on RTI Act has to be given priority. Collective participation, through accepted representations of all classes and backgrounds, in the planning, implementation and evaluation of community activities should be sought after.

- ☞ The leaders of the marginalised sections, particularly elected members of the PRIs, have to be sensitised towards their roles and responsibilities in the democratic institutions towards safeguarding the people's rights of their community members. Effective leadership is crucial for the development of an inclusive society.

Conclusion

Economic and social inequalities are interlinked. The power structure is concentrated in the hands of the dominant castes and people with political or muscle power. They dominate the activities of the village as well as their own community. The members of lower castes face constant discrimination in their day to day life, with women being the worst victims. They are unable to sustain any economic activity and have to depend on others for means of livelihood due to several social disabilities and lack of asset base. Consequently, they are exploited and live at subsistence levels without any savings. Poverty is directly related to landholdings as agriculture and its allied sectors are the main source of income.

SOLID WASTE MANAGEMENT PRACTICES IN RURAL AREAS (STUDY OF MULTIPLE CASES IN TAMIL NADU, WEST BENGAL, KERALA AND GUJARAT STATES)

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Introduction

Until about a few years ago, solid waste management was a subject of the municipalities and corporations. It was a problem to do with towns and cities. In the villages there was nothing that was considered as 'waste'. Neither 'household waste' nor 'waste management' was a subject of discussion at the panchayat level. Exposure to urban ways of living; consumerist culture introduced by TV commercials in the villages, and the imitative styles of living that has increasingly come to adore, have multiplied the amount of waste generated in villages. All these, necessarily, have made solid waste management a subject of significance at Gram Panchayat level.

Domestic-refuse should be handled responsibly. There is concern over responsible handling of domestic refuse. Inconsiderate littering leads to poor environmental sanitation resulting in unhealthy living or poor quality of life. In order to manage waste in a desirable way, there should be a functional waste management system in place. Without a functioning waste

collection and disposal system at the panchayat level, it is unreasonable to hold individual households responsible or blame them of irresponsibility. Therefore, the Government of India (GoI) as well as many State Governments are looking up to Gram Panchayats to come up with such a system (a model), which can be replicated, and spread across Indian States as a model for domestic solid waste management in Gram Panchayats.

Objectives

- (1) To document good practices in solid waste management in rural areas of Tamil Nadu, Kerala, West Bengal and Gujarat
- (2) To draw lessons from the waste management practices adopted in GPs that are admirably managing solid waste
- (3) To prepare a practicable handbook for Gram Panchayats to use in order to set up and sustain a solid waste management system at the GP level

Research Design

Case study design has been used to document the success stories. The sources of data collected were mostly primary. Data were collected from Gram Panchayat functionaries, and residents of Gram Panchayats in all the States. There were six case documents written for meta-analysis, and to be able to draw common patterns that work.

Study Area

States of Tamil Nadu, Kerala, West Bengal and Gujarat were selected for this study. All these cases together helped us bring out success stories on solid waste management through a multiple case design. These States were purposively selected because we identified some Gram Panchayats (GPs) in these three States, which are reportedly doing well in managing solid waste. Since we were looking for success stories, we were being purposive in our selection of GPs and States. The GPs from Tamil Nadu

(viz. Kurudampalayam in Coimbatore, and Mudichur in Kancheepuram) are reportedly doing as model for SWM. The GPs in Kerala viz. Kathiroor in Kannur district; Kumili in Idukki district; Adat in Thrissur district were selected to study. In Kerala, mostly home-based composting is promoted and encouraged, which is also a good strategy to reduce the burden of managing waste on the GPs. Gujarat was spoken about, but no good example could be found, as far as solid waste management is concerned. However, some attempts have been made to identify scrap dealers, like it has been done in Kerala. They have been documented.

Findings

1. **Systemic Approach:** Managing solid waste should take a *systemic approach*. Viewing it as an issue to do with technology or legislations is taking a fragmentary approach. The elements of a systemic approach include: (i) Locally recognised Institution (Gram Panchayat or similar) for managing the affairs; (ii) Community preparation / preparedness; (iii) Appropriate technology and gears; (iii) Financial management; (iv) Constant orientation to the staff and genitors; (v) Progress monitoring and reflective practice. Thus, a wide array of things go into the making of a local management system. Establishing a local management system with all the elements mentioned above are significant for its success.
2. **Survey:** It is necessary to take into account (i) the size of the panchayats (number of streets, number of households and spread of houses) and, (ii) the existing cultural practice of waste generation and handling at the household level and Panchayat level. A preliminary survey is necessary to estimate the magnitude of waste generated, and to plan what facilities (manpower, materials and gears) are required to handle waste reasonably well.
3. **Start Small and Extend:** Where more than 5, 6 hamlets make a Gram Panchayat, it is wise to start Solid Waste Management (SWM)

in one or two streets rather than trying to get started in all the habitations on the same day. It can start with one or two habitations further progressing to the other. The information that spreads shall have the households voluntarily educated about the arrangement and prepare the rest of the habitations to follow.

4. **Technology & Training:** The technologies for waste processing and treatment are available in plenty with training facility. There are institutions that help arrange these facilities. There is no dearth of technologies. In order to treat biodegradable waste - wherever SWM projects are commenced – one technology invariably used is vermi-composting. While this is a good idea, there are other cheaper options like normal composting. In Indian villages, traditional composting using kitchen and agricultural waste mixing them with cow dung can be seen. It can also be practised at community level. And the recyclables (like plastics, oil cover, iron rod, bottles, pet bottles) can be periodically sold to merchants who deal in scrap items / *kabadiwalas*.
5. **Management Options:** It is not unwise on the part of Panchayat functionaries to develop a solid waste management strategy completely new. However, it is possible that the Gram Panchayats may also choose one of the existing approaches / options and customise it to local requirements. See Chapter – 2: 'Solid Waste Management: The Steps Involved'.
6. **Capital Cost:** The Initial investment for setting up a Solid Waste Management Unit is usually high. It ranges from ₹10 – 20 lakh. It needs collection vehicles, shed for waste segregation /shed for composting, other tools and implements, uniforms and gears for workers, etc. Unless there is some support from the government for setting up (or other support such as CSR, NGO), it is very difficult for GPs to set up one of their own.

- 7. Operational Expenses:** The operational expenses are also high because of the vehicle maintenance and number of workers involved. Even if each worker is paid ₹150 per day (₹ 4500 per month + ₹ 500 for medical expenses and insurance), for 20 workers it comes to ₹1,00,000 per month (including their medical check-up, supply of preventive medicines, small insurance, etc.). There are also other expenses such as vehicle maintenance, waste treatment, and educating the community. It is daunting for GPs to find operational expenses month after month, unless a proper system of service charge collection is put in place.
- 8. Resource Recovery:** The idea of resource recovery can contribute to meeting the operational expenses incurred in waste collection, transport and disposal. However, the complexities and amount of organising required for such a process scare away the Panchayat presidents from giving it a try. Those who are successfully implementing it, now must be encouraged. They can be called 'unique'. Unique cases and success stories are for providing lessons on what works and what does not work, not for generalisation before it attains maturation. One must take into account other factors such as the context, the leadership, supportive district administration or a local NGO that has played a vital cog.
- 9. Manpower:** The manpower required for managing solid waste is huge. At least two workers are required for every 300 Households (HH). That means for a Gram Panchayat with 1500 HH, 10 workers are required. On an average, each family generated 250 grams of waste daily. The amount of waste generated is approximately 250 – 300 grams daily. Generally, people do not like to work with garbage. So, getting workers to work in SLWM projects is very difficult.
- 10. Community Participation:** People are habituated to throwing garbage in open places and street corners. They are to be educated to seek their cooperation for primary segregation. Primary

segregation (into biodegradable and non-biodegradable), if done properly at household level, shall reduce the work considerably during treatment. Even if 10 per cent of the families did not do proper primary segregation at household level, it burdens the work of the sanitation workers. Secondary segregation is a cumbersome and unpleasant task to do it manually. In some places where they wish to follow the principle of converting waste into wealth, they necessarily have to go for tertiary segregation.

11. **Service Charge Collection:** In order to cover the operational expenses, one of the sources of income generally suggested is collection of service charge from the households that use the service. The experience is, at least 20 – 30 per cent of the families do not pay service charge. They expect the GP to find their own sources of funds either from the State government or from other sources. However, this handbook strongly recommends the GPs to go for service charge collection in the interest of sustainable operation.
12. **The Micro-details:** Never start a solid waste management unit (i) without sufficiently preparing the community through information and education; (ii) without adequate plans on the arrangement for waste collection, segregation and the treatment method to be adopted; and (iii) without clarity on the financials – capital cost and recurring cost – requirement.

Conclusion

These case studies have helped to prepare a handbook on solid waste management in rural areas. They have also helped design course materials and handbooks on solid waste management. It has also helped to produce two more course materials viz. (i) Model by-law for solid waste management in rural areas; and secondly, (ii) Composting: frequently asked questions. These are being used in the training programmes for the officials from the Swachh Bharat Mission-G.

RURAL ARTISANS' TRANSFORMATION INTO RURAL ENTREPRENEURS: CASE STUDIES OF POTTERS, CARPENTERS AND BRASS METAL WORKERS IN SELECT VILLAGES OF TELANGANA

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Introduction

Rural artisans predominantly operate in the unorganised household sector. Rural artisans represent the peculiar features of a subsistence village economy wherein they conduct activities at their own residence employing mostly the family labour. Their market does not extend beyond the locality. They also utilise local raw materials, local skills and produce articles to meet local demand. Except for some sporadic launching of programmes like Supply of Improved Tools to Rural Artisans (SITRA), no comprehensive development programmes were initiated for the development of rural artisans. Thus, due to the negligence of both Central and State Governments over the years, technology of rural artisans continues to be traditional and their skill levels have been hardly updated after India's Independence. As a result, their product designs have not kept pace with changing markets, their economic status is far from satisfaction and their linkages with rural development and rural technology institutions are either weak or non-existent.

Objective

The main objective of this study is to suggest the 'rural artisans' ways in improving and/or refining their actions with a view to transforming the artisan to an entrepreneur.

Methodology

The methodology adopted for the study comprised a mix of sampling methods and data collection tools. The study was carried out in two phases. In the first phase, the selection of sample districts and artisan clusters was undertaken on the basis of preliminary survey. Second phase of the study is focused on detailed survey with a view of formulating action plan for the artisans in the selected clusters. Two consultative meetings were carried out to ensure the participation of artisans and researchers from both NIRD&PR and SEDYAM in the planning process.

The pilot study was conducted for a group of artisans rather than for individual artisans in 2 – 3 select districts in Telangana State. The results of the survey were shared by the SEDYAM research team with the NIRD&PR team in a consultative meeting held on June 26, 2013 in NIRD&PR, Rajendranagar. After elaborate discussions on the criteria for selection of trades and clusters, the following four trades were shortlisted for feasibility survey i.e. pottery, alloys and brass pot making, carpenters and wool weaving. The detailed survey was conducted in villages having at least 40 to 50 artisan families belonging to the four trades. Data were collected during the month of July to August, 2014. A field visit was made to each of the villages inhabited by and identified in the interim workshop. The final selection of the artisan groups was based on these field visits. Dr. Prathap Reddy along with a team of three researchers (Mr. Seetha Laxman, Mr. Anjaneyulu, and Mr. Suresh) who have vast expertise in conducting such surveys, visited these villages, except those in Warangal district. Dr. Jalapathi Rao conducted the field study in Warangal district.

Data were collected using the questionnaires and value chain template from the individual artisans at their residence in the respective villages. Besides the questionnaire and VCA-based surveys, data were also collected from published sources for preparing profiles of the selected districts and villages. The data were analysed using SPSS mainly for descriptive statistics.

Study Area

Nalgonda, Mahbubnagar and Warangal districts.

Findings

Demographic Details : The sample survey of artisan families covered 265 households from five villages. Majority (48.30 per cent) of these households are from Chandur village, followed by Thanged Palle, Balakistapu, Parkal and Koppole with 46 (17.36 per cent), 36 (13.58 per cent), 30 (11.32 per cent) and 25 (9.43 per cent) households, respectively.

Ownership of Assets: The ownership and type of house and movable assets owned are often considered as proxy variables for economic status of rural households. Most of the artisan families surveyed owned their own houses, which ranged from 100 per cent in Balakistapur village to 83.7 per cent in Parkal mandal town. Regarding nature of house, *pucca* and *kutchra* houses are equally distributed. During the field study, it was found that almost all the *kutchra* houses are owned, whereas almost all rented houses are *pucca* houses. Assets related to the trade are very important for sustainability of their trade. Most artisan families (77 per cent) did not own any shed for carrying out their work or storing their raw material and finished goods. These activities are carried in their homes. This is one of the major constraints faced by majority of the artisan families. Most families (83 per cent) did own the tools required for carrying out their work. This ranged from 94 per cent in Balakistapur to 74 per cent in Chandur. Those who do not own the tools work mainly as assistants in other artisan's places.

Only 13 per cent families owned the machinery required for carrying out their work. It ranged from 0 per cent in Balakistapur village to 14 per cent in Chandur and 44 per cent in Koppole. The carpenters in Koppole were undertaking works on orders received from nearby towns and owned some machinery. In Chandur, there are few families who own the machinery required to produce higher quality complex products, especially those used in temples. These results suggest that artisan families are carrying out their work using manual tools. Hence, they are producing traditional products based on traditional designs using traditional manual tools.

Economic Status Artisan Households: Economic status of sample artisan families in terms of income, other livelihood activities, sources of income, share of income from the trade in total income and the indebtedness and livelihood and income sources among the sample artisan families indicated that they had multiple sources of income, besides their own trade. These sources included agriculture, agriculture labour and MGNREGS works.

Annual Income and Expenditure of Selected Families: The artisan families are balancing their income and expenditure reasonably well. Half the number of families have a small surplus income over expenditure, other half have a small deficit. The surplus is in the range of ₹ 280 to 13,504 and is reported by artisans from Koppole and Balakistapur. On the other hand, the deficit is in the range of ₹ 3,920 to 13,440. The deficit is mainly due to unexpected larger expenditure on social functions and investment on fixed assets. The indebtedness among the artisan families is high in view of higher expenditure as compared to income. The indebtedness is getting higher and higher in view of borrowings from private lenders at higher rate of interest. Artisan families were availing of loans mainly from three sources, viz. banks, SHGs and private moneylenders. It appeared that some of them are availing of loans from more than one source.

Production Process and Technology: Most of the artisans surveyed, used traditional production technology which is mostly manual and very inefficient. Pottery is made by molding clay into objects of a required shape and heating them to high temperatures in a kiln (bhatti) which removes all the water from the clay, induces reactions that lead to permanent changes, including increasing their strength and hardening and setting their shape. A clay body can be decorated before or after firing. Though modern technologies are available for producing pottery products (including porcelain products), the artisans surveyed produced only clay products. The brass metal artisans are producing their products in small rooms with support from their families. They had workshop constructed by brass metal workers cooperative, which is now dysfunctional, where more than 100 families worked earlier. Carpentry products for agriculture and household use were produced in Koppole village while only latter category was produced in Parkal town. Most of the carpentry products are ordered.

Type of Products: Most artisan families produced traditional items with designs from tools which were inherited from their forefathers. The production process and production tools and equipment are hardly upgraded. The profit margins ranged between 16 to 87 per cent for items in all the villages except, the potters' villages. In case of potters' villages, they have not included cost of family labour in the cost of production hence, the margins are high. The main gain for the artisans is their wages (included in the profit margin) rather than margins on the products. Marketing of products is done either from their homes or in the neighbouring villages and towns. Most of the sales are done in cash. In the case of pottery items, sales during festival time (like Bonalu, Diwali) are done through agents as well as in the neighbouring towns. In the case of brass metal works, temple related items like Dwajasthambas are made based on orders received from the temples. In the case of domestic items, they sell them in their

own town and in neighbouring villages and towns. In the case of carpentry items, agricultural tools are made as per the farmers' order/request. In the case of domestic items, they are made to order, often in the premises of the client. Clients are primarily from Parkal town and neighbouring villages.

Assistance from Government: The support received from both government and non-government agencies for production and sale of their produce is found to be very negligible. Only exception is the supply of ball bearing based operated potter's wheel to all the potters' families in Thanged Palle and Balakistapur villages. Capacity building was provided by the Development Commissioner (Handicrafts), Ministry of Textiles, Government of India, while Khadi and Village Industries Board provided machinery and tools.

Conclusion

To sum up, the study suggested the need to address the problems faced by all the three types of artisans – potters, brass metal workers and carpenters – in order to encourage the continuation of the existing work and attract the future generations to these trades. The necessary funding for skill development component can be sourced from Ministry of Skill Development and Entrepreneurship, GoI, with the help of three organisations viz. The National Skill Development Agency (NSDA), National Skill Development Corporation (NSDC) and National Skill Development Fund (NSDF). The funding necessary for providing modern tools and equipment to artisans can be sourced from the Ministry of Micro, Small and Medium Enterprises, GoI, under Scheme of Fund for Regeneration of Traditional Industries (SFURTI). Providing improved designs for the outputs of artisans is in way technology transfer, wherein institutions like the National Institute of Designs (NID), Ahmedabad can play a key role. Finally, the funding

necessary for providing NGO hand-holding support to artisans and formation and management of SHGs of artisans can be sourced from the Ministry of Rural Development, Govt through the respective DRDAs.

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