TOPICS & POINTERS

Exclusively For
UPSC Mains 2023

MAKE IN INDIA

Digital India
Power To Empower

e-Gov

GOVERNANCE
GENERAL STUDIES-2
MAINS WORK BOOK

METIS 2023
Mentoring and Enabling Through Intelligent Support System

TOPICS AND POINTERS
2023- MAINS STUDY MODULE

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2023- MAINS STUDY MODULE

Governance
Themes and Previous Year Questions

> - Reforms in Civil Service
> - e-Governance
> - farmer's organizations/SHG etc
> - ICT- Problems and Prospects in Governance
> - Cooperation and Team spirit
> - role of non-state actors
> - people's participation
> - SHG
> - Mechanisms against Corruption
> - Corporate Governance
> - Evaluation of Schemes
> - Models of Governance

2022

1. To what extent in your opinion has the decentralisation of power in India changed the governance landscape at the grassroots?
2. The Gati-Shakti Yojana needs meticulous coordination between the government and the private sector to achieve the goal of connectivity. Discuss.
3. Reforming the government delivery system through the Direct Benefit Transfer Scheme is a progressive step, but it has limitations too. Comment.
4. Do you agree with the view that increasing dependence on donor agencies for development reduces the importance of community participation in the development process? Justify your answer.

2021

1. "Pressure groups play a vital role in influencing public policy in making in India." Explain how the business associations contribute to public policies.
2. The jurisdiction of the Central Bureau of Investigation (CBI) regarding lodging an FIR and conducting a probe within a particular state is being questioned by various States. However, the power of the States to withhold consent to the CBI is not absolute. Explain with special reference to the federal character of India.
3. Can civil society and Non-Government Organisations present an alternative model of public service delivery to benefit the common citizen? Discuss the challenges of this alternative method.

2020

1. "**Institutional quality** is a crucial driver of economic performance". In this context suggest reforms in Civil Service for **strengthening democracy**.

2. "The emergence of **Fourth Industrial Revolution (Digital Revolution)** has initiated e-Governance as an integral part of the government". Discuss.

2019

1. What are the methods used by the **farmer's organizations** to influence the policy-makers in India and how effective are these methods?
2. Implementation of **Information and Communication Technology (ICT)** based projects/programmes usually suffers in terms of certain vital factors. Identify these factors and suggest measures for their effective implementation.
3. 'In the context of the **neo-liberal paradigm of developmental planning, multi-level planning** is expected to make operations cost-effective and remove many implementation blockages'- Discuss
4. The need for cooperation among various service sectors has been an inherent component of development discourse. Partnership bridges the gap among the sectors. It also sets in motion a culture of **'collaboration' and 'team spirit'**. In the light of statements above examine India's development process.

2018

1. "**Policy contradictions** among various competing sectors and stakeholders have resulted in inadequate protection and prevention of degradation to the environment." Comment with relevant illustrations.
2. **E-governance** is not only about utilization of the power of new technology, but also much about the critical importance of the 'use value' of information.

2016

3. "In the Indian governance system, the **role of non-state actors** has been only marginal." Critically examine this statement.
4. "**Effectiveness of the government system** at various levels and **people's participation** in the governance system are interdependent" Discuss their relationship in the context of India.
5. Has the Indian governmental system responded adequately to the demands of **Liberalization, Privatization and Globalization** started in 1991? What can the government do to be responsive to this important change?

2015

6. Examine critically the recent changes in the rules governing **foreign funding of NGOs** under the **Foreign Contribution (Regulation) Act (FCRA), 1976**.
7. The **Self-Help Group (SHG) Bank Linkage Programme (SBLP),** which is India's own innovation, has proved to be one of the most effective poverty alleviation and women empowerment programmes. Elucidate.
8. In the light of the **Satyam Scandal (2009)**, discuss the changes brought in **corporate governance** to ensure transparency, accountability.

9. "For achieving the desired objectives, it is necessary to ensure that the **regulatory institutions** remain independent and autonomous." Discuss in the light of the experiences in the recent past.

2014

10. The setting up of a **Rail Tariff Authority** to regulate fares will subject the cash strapped Indian Railways to demand subsidy for obligation to operate non-profitable routes and services. Taking into account the experience in the power sector, discuss if the proposed reform is expected to benefit the consumers, the Indian Railways or the private container operators.

11. Has the **Cadre based Civil Services Organization** been the cause of slow in India? Critically examine.

12. Two parallel run schemes of the Government, viz the **Adhar card and NPR**, one of voluntary and the other as compulsory, have led to debates at national levels and also litigations. On merits , discuss whether or not both schemes need run concurrently. Analyse the potential of the schemes to achieve development benefits and equitable growth.

2013

13. Many State Governments further bifurcate geographical administrative areas like Districts and Talukas for better governance. In light of the above, can it also be justified that more number of smaller States would bring in **effective governance at the State level**? Discuss.

14. The product diversification of financial institutions and insurance companies, resulting in overlapping of products and services strengthens the case for the merger of the two regulatory agencies, namely **SEBI and IRDA**. Justify.

15. The Central Government frequently complains of the poor performance of the State Governments in eradicating the suffering of the **vulnerable sections of the society**. Restructuring of Centrally sponsored schemes across the sectors for ameliorating the cause of vulnerable sections of the population aims at providing flexibility to the States in better implementation. Critically evaluate.

16. **Electronic cash transfer system** for the **welfare schemes** is an ambitious project to minimize corruption, eliminate wastage and facilitate reforms. Comment.

TOPICS AND POINTERS
2023- MAINS STUDY MODULE

INSIGHTS FROM UPSC

TOPICS ASKED SO FAR

Important aspects of Governance (Decentralisation, devolution and delegation)

1. Decentralization of power and how it changed the governance landscape at the grassroots.
2. Can it be justified that more number of smaller States would bring in effective governance at the State level.
3. Has the Indian governmental system responded adequately to the demands of Liberalization, Privatization and Globalization started in 1991.

Important features of good governance

1. Meticulous coordination between the government and the private sector to achieve the goal of connectivity.
2. Multi-level planning is expected to make operations cost-effective and remove many implementation blockages.
3. Effectiveness of the government system at various levels and people's participation in the governance system are interdependent.

Civil service reforms

1. Reforming the government delivery system.
2. Has the Cadre based Civil Services Organization been the cause of slow in India.
3. Reforms in Civil Service for strengthening democracy.
4. Restructuring of Centrally sponsored schemes across the sectors for ameliorating the cause of vulnerable sections of the population aims at providing flexibility to the States in better implementation.

Public service delivery

1. Civil society and Non-Government Organisations present an alternative model of public service delivery.
2. Electronic cash transfer system for the welfare schemes is an ambitious project to minimize corruption, eliminate wastage and facilitate reforms.

eGovernance

1. Fourth Industrial Revolution (Digital Revolution) has initiated e-Governance as an integral part of the government.
2. Implementation of Information and Communication Technology (ICT) based projects/programmes.
3. E-governance is not only about utilization of the power of new technology, but also much about the critical importance of the 'use value' of information.

Public Policy Making

1. Increasing dependence on donor agencies for development reduces the importance of community participation in the development process.
2. Pressure groups play a vital role in influencing public policy.
3. methods used by the farmer's organizations to influence the policy-makers in India and how effective.

4. Partnership bridges the gap among the sectors. It also sets in motion a culture of 'collaboration' and 'team spirit'. In the light of statements above examine India's development process.
5. Policy contradictions among various competing sectors and stakeholders have resulted in inadequate protection and prevention of degradation to the environment.
6. role of non-state actors has been only marginal.

Regulatory Governance

1. For achieving the desired objectives, it is necessary to ensure that the regulatory institutions remain independent and autonomous.
2. In the light of the Satyam Scandal (2009), discuss the changes brought in corporate governance to ensure transparency, accountability.

S. No	Questions Based Themes	Notes
1	**DECENTRALISATION**	

- Decentralisation as a 'gospel' of management - referred as the *transfer of powers from central government to lower levels in a political-administrative and territorial hierarchy* - cover a broad range of transfers of the "locus of decision making" from central governments to regional, municipal, or local governments".
- Gandhian concept of 'concentric circle' of power distribution and the idealisation of village community in Panchayati Raj
- *Decentralization* - cumulative result of decentralisation of functions, finances and functionaries.
- *Types* – political, administrative, fiscal and market
- *Urge for decentralisation* – delivering locally, administrative penetration, responsive to regional diversities, facilitating local planning and development and strengthening democratic values through administration.

System of Decentralisation in India
- Government of India Act 1919 – dyarchy system
- Government of India Act 1935 - introduced a federal form of Government and conferred 'Provincial Autonomy'
- Article 40 - state shall take steps to organise village panchayats and endow them with such powers and authority as may be necessary to enable them to function as units of self-government.
- *Dr. B.R. Ambedkar* - Indian social structure at the village level was hierarchical, oppressive, and insensitive to change. In his view, it would be dangerous to give powers to the panchayats.
- *Asoka Mehta Committee on Panchayati Raj Institutions (1977)* - Panchayati Raj institutions are dominated by economically and socially privileged sections of society and have as such facilitated the emergence of oligarchic forces yielding no benefits to weaker sections.
- *G.V.K. Rao Committee on Administrative Arrangements for Rural Development (1985)* - "Grass without Roots"
- 73rd and 74th Constitutional Amendment, 1992

Factors Impeding Decentralisation
- Institutional and social memory of centralisation of powers
- Habit of looking above for orders – 'playing safe attitude'.
- Administrative decentralisations need to be parallel with 'actual' political decentralisation

Important advantages

- Decentralisation can be seen as a counter-reaction to previous strong centralisation and even autocratic trends.
- A way to ensure that democratisation will not be reversed
- A method to reform the public sector, for example in order to improve the efficiency of public services, thereby curbing the growth of government spending
- Decentralised choice gives an opportunity to increase economic welfare by adapting public service provision to the heterogeneous preferences of smaller population groups
- Compared with centralisation, decentralisation contributes to better accountability because it alters the incentives of the authorities who serve local populations
- At the world level, the 2016 OECD-UCLG study shows that the wealthiest countries tend to be more decentralised.
- Regional development was also a strong motivation of the first decentralisation reforms in Japan, in particular, to correct the excessive population concentration in Tokyo.
- By decentralising powers to regions and subnational governments, the tensions arising due to various cultural, historical or political reasons may be mitigated. This can also happen because decentralisation might be asymmetric, thus making it easier to take into account certain territorial specificities.

Major Achievements

- *A boost in women representation* - While there is merely 7–8% representation in Parliament and State Assemblies for women, an astounding 49% of elected local representatives (in states like Odisha it has crossed 50%) are women
- The passage of the 73rd and 74th Amendments has created *healthy competition among various states* regarding devolution (the 3Fs: funds, functions, and functionaries). For instance, Kerala has devolved 29 of its functions to Panchayats.
- Similarly, Bihar came out with the idea of "Panchayat Sarkar" and states such as Odisha have increased 50% seats for women

Way Forward

- *Revitalisation of Gram Sabhas* - Gram Sabhas and wards committees in urban areas have to be revitalised to achieve the objective of people's participation in real terms.
- *Strengthening Organisational Structure* - Local government organisational structures have to be strengthened with sufficient manpower.
- Serious efforts should be made towards *recruitment and appointment of support and technical staff* to ensure the smooth

	functioning of panchayats.	

- *Comprehensive Mechanism for Taxation* - devising a comprehensive mechanism for taxation at the local levels. Without local taxation, Gram Panchayats cannot be held accountable.
- *Funding* - The Ministry of Panchayati Raj should monitor the release and expenditure of Finance Commission grants to ensure that there is no delay in their release.
- Panchayats should also be encouraged to carry out local audits regularly so that Finance Commission grants are not delayed.

Some examples of decentralisation efforts

- Government is encouraging the State Government to adopt decentralised procurement system for wheat, paddy and rice. Under Decentralized Procurement Scheme (DCP), food grains is procured and distributed by the State Governments themselves.
- An internal study by the Ministry of Rural Development has suggested decentralisation of the Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS), allowing for more "flexibility" at the ground level.
- Deendayal Antyodaya Yojana - National Rural Livelihoods Mission (DAY-NRLM) adopts a demand-driven approach, enabling the States to formulate their own State-specific poverty reduction action plans. NRLM has set out with an agenda to cover 7 Crore rural poor households, across 600 districts, 6000 blocks, 2.5 lakh Gram Panchayats and 6 lakh villages in the country through self-managed Self Help Groups (SHGs) and federated institutions and support them for livelihoods collectives in a period of 8-10 years.
- Sarva Shiksha Abhiyan is an effort to universalize elementary education by community-owner ship of the school system. It considers decentralisation as a major strategy for planning and management of elementary education.

2	**COORDINATION**	

As soon as government was sufficiently differentiated to have several organizations providing different services, or providing the same service in different ways (an army and a navy, for example), coordination became an issue.

Governments are inherently multi-organizational. The specialization reflected in its multi-organizational nature often affects the quality of public decisions.

The search for the philosopher's stone, although it proved to be futile in the past, seems to have become again a major focus of several OECD

governments in recent 'whole of government' initiatives.

Coordination is defined as the purposeful alignment of units, roles, responsibilities, and efforts in order to attain a common goal.

Coordination capacity is a key precondition for governments to address complex governance challenges.

Types of coordination

- *Horizontal coordination* - deals with the coordination between one unit and another, one branch and another, one division and another, or one department and another.
- *Vertical coordination* - deals with the coordination between an executive and his supporting staff, a branch and a division, and a division and department.

Network Governance

- Network governance, which aims at inclusive policymaking, is a form of organisational alliance in which relevant policy actors are linked together as co-producers where they are more likely to identify and share common interests.
- The PPP Model (public private partnerships); cooperative management, self-help groups; community ventures are some of the ways that this socio-political interaction in network governance can work.

Whole of Government Approach

- In 2020, WHO Director-General Dr Tedros Adhanom Ghebreyesus stated, 'this pandemic is much more than a health crisis. It requires a whole-of government and whole-of-society response'.
- It is variously termed "one-stop government," and "joined-up government".
- It is a movement from isolated silos in public administration to formal and informal networks driven by various societal forces such as the growing complexity of problems that call for collaborative responses, the increased demand on the part of citizens for more personalized and accessible public services.
- A whole-of-government strategy necessarily implies that the systems deployed throughout government are able to communicate with one another.
- However, different government entities have different technology needs. A treasury department has little need for a database of geo-spatial and seismic data; while conversely, a mining ministry likely has little use for a system that detects suspicious financial transactions.

Panch Pran given by PM

- Take pride in India's history.
- The power of unity.

- Duties of citizens, such as those of the PM and CMs.
- Advance with greater conviction and the determination of a developed India.
- Get rid of any signs of slavery.

PRAGATI (Pro-Active Governance and Timely Implementation)

- It is an interactive and integrated platform chiefly for addressing the grievances of the common man, while at the same time, monitoring government projects and programmes/schemes.
- The platform was designed by the PMO in coordination with the National Informatics Centre.
- It is a three-tier system (PMO, Union Government Secretaries, and Chief Secretaries of the States). Prime Minister will hold a monthly programme where he will interact with the Government of India Secretaries, and Chief Secretaries through Video-conferencing enabled by data and geo-informatics visuals.
- The PRAGATI platform uniquely bundles three latest technologies: Digital data management, video-conferencing and geo-spatial technology.
- It also offers a unique combination in the direction of cooperative federalism since it brings on one stage the Secretaries of Government of India and the Chief Secretaries of the States.
- With this, the Prime Minister is able to discuss the issues with the concerned Central and State officials with full information and latest visuals of the ground level situation.
- The system will ride on, strengthen and re-engineer the data bases of the CPGRAMS for grievances, Project Monitoring Group (PMG) and the Ministry of Statistics and Programme Implementation.

Coordination in Jal Jeevan Mission

- The Jal Jeevan Mission (JJM) is a flagship initiative of the Government of India to provide piped potable water to every rural household by 2024. According to a study by the World Health Organization (WHO) and commissioned by the Jal Shakti Ministry, the successful implementation of JJM could prevent nearly 4,00,000 deaths from diarrhoea in India.
- Currently, only 62% of rural households in India have piped water connections, up from 16.6% in 2019 when the Jal Jeevan Mission (JJM) scheme was launched.
- JJM is a demand-driven and decentralized programme that empowers Gram Panchayats and their sub-committees, such as Village Water and Sanitation Committees (VWSCs) or Paani Samitis, to plan, implement, operate and maintain their water supply systems.

- Local bodies are supported by the District Water and Sanitation Missions (DWSMs) and the State Water and Sanitation Missions (SWSMs) in terms of technical guidance, fund allocation and monitoring. The National Jal Jeevan Mission (NJJM) provides overall policy direction, coordination and oversight.

Coordination in PM SVANidhi Yojana

- It is a micro-credit facility that provides street vendors a collateral-free loan of Rs 10,000 with low rates of interest for a period of one year.
- In just three years, the scheme has successfully provided microcredit to over 3.6 million street vendors across the country.
- The Ministry of Housing and Urban Affairs (MoHUA) has been responsible for the implementation and management of the PM SVANidhi Scheme.
- The success hinged on the coordination between Ministry of Health, Panchayat Raj Institutions, UIDAI, State and District Post Office/Banks and Public Relations Department.

Coordination in Mission Amrit Sarovar

- As part of the celebration of Azadi ka Amrit Mahotsav, the Amrit Sarovar Mission was launched on in 2022 with the objective of developing and rejuvenating 75 water bodies in each district across the country.
- The mission aims to create a total of 50,000 water bodies, each spanning an area of about an acre or more, contributing to the preservation and enhancement of water resources.
- It has been initiated with a comprehensive approach involving six Ministries/Departments,
  - Department of Rural Development
  - Department of land resources
  - Department of Drinking Water and Sanitation
  - Department of Water resources
  - Ministry of Panchayati Raj
  - Ministry of Forest, Environment and Climate Changes
- The Mission operates in collaboration with States and Districts, leveraging the refocused implementation of multiple schemes including Mahatma Gandhi NREGS, XV Finance Commission Grants, PMKSY sub schemes like Watershed Development Component, Har Khet Ko Pani, along with the respective State's own schemes.
- Active involvement and participation of the people is the key focus of the Mission.
- Local freedom fighters, their families, the families of martyrs, Padma Awardees, and citizens from the local area where an Amrit Sarovar is to be constructed will be engaged at every stage

- of the project.
- On every 15th August, National Flag hoisting ceremonies will be organized at each Amrit Sarovar site.

| 3 | **CIVIL SERVICE REFORMS** | |

The Civil services are the backbone of the administrative machinery of the country. The ministers decide the policy, and it is for the civil servants, who serve at the pleasure of the President, to implement it.

Evolution of Civil services in India

- *Ancient India* - According to the Kautilya's Arthasastra, the higher bureaucracy consisted of the Mantrins and the Amatyas. While the Mantrins are the highest advisors to the King, the amatyas were the civil servants.
- *Medieval India* – during the Mughal era, the bureaucracy was based on the Mansabdari System. The Mansabdari system was essentially a pool of civil servants available for civil or military deployment.
- *British India* - The big changes in the civil services in British India came with the implementation of Macaulay's report. The Macaulay report recommended that only the best and brightest would do for the Indian Civil Service to serve the interest of the British Empire.
- *Post Independence* - The modern Indian Administrative system was created under Article 312(2) in part XIV of the Constitution and All India Services Act, 1951.
- However, India retained some elements of the British Structure like a unified administrative system, an open-entry system based on academic achievements, permanency of nature, etc.

Classification of Civil Services

- Part XIV of the Constitution provides for different types or classes of services for India. The name of the chapter is Services under Union and the States. The Constitution has not elaborated on the types and categories of services.
- In accordance with the Constitution, we can divide these services as All India Services (AIS), Central Services, State Services, the Local and Municipal Services.
- There are four groups of Central Services, namely Group A, B, C and D.
- The highest personnel cadre among the entire civil services in India is with the Central Secretariat Service and the Indian Revenue Service.

- Civil servants are the employees of the government of India or of the States. But not all government employees are civil servants. As of 2010, there were 6.4 million government employees in India, but less than 50,000 civil servants to administer them.

Why do we need the Civil service reforms?

- In recent times, technological advances, decentralisation and social activism force the government to increase the expectations on government service delivery, transparency, accountability and rule of law. The civil service, as the primary arm of government, must keep pace with the changing times in order to meet the aspirations of people.
- The purpose of reform is to reorient the civil services into a dynamic, efficient and accountable apparatus of public service delivery.
- The reform is to raise the quality of public services delivered to the citizens and enhance the capacity to carry out core government functions.

Problems associated with civil services in India

- *Red Tapism (Delay) and indecisiveness* – many reasons attributed for this phenomenon – (i) Queries by the superiors are made in parts and frequently, - (ii) Poor capacity building of civil servants – (iii) necessary to take the opinion of the Ministry of Law or Ministry of Finance for taking an appropriate decision. All this delays the decision-making process unnecessarily.
- *'Too busy' syndrome*: Civil servants do not attend phone calls or give personal hearing to the aggrieved persons' citing they are busy. This leads to further delay and also increases the corrupt practices by the subordinates or middlemen. Further, it leads to inefficiency in decision-making due to not attending to the feedback and also creates a bad image about the office/officer concerned.
- *Prevalence of the 'transfer industry'* - In most of the states, the principle of three years' tenure is hardly followed, and many officers are transferred within a year or even earlier without sufficient, genuine reasons.
- *Political interference and administrative acquiescence* - some officers continue on the same post for nine or ten years because of political connection, backing, and favour to officers of a particular caste or religious community. This deprives other competent officers to have an experience on that post as every post has its peculiarities in terms of problems, challenges, and opportunities, and the beneficiary officer develops arrogance, egoism, and connivance on the other hand.
- *Inefficient incentive system* - In general, upright and outstanding

civil servants have to be promoted. But, in practice, the corrupt and the incompetent are getting promoted.

- *Uneven utilisation of talent* - There is a dominance of few elite services in promotions, work allocations and assignments. Most of the coveted positions in the government are taken over by the elite services, which result in uneven utilisation of talent and adversely affect the morale of other services. For instance, specialist services like Indian Revenue Services, Indian Economic Services, etc do not get adequate opportunities and representation in the work.

Recent Civil service reforms

- *Mission KarmaYogi* - It is a National Programme for Civil Services Capacity Building (NPCSCB). The initiative will target 4.6 million Central Government employees, and it is based on 3 pillars (governance, performance and accountability). The mission shifts capacity building from rule-based training to role-based training. Thus, it laid the ground for behavioural change. The fundamental focus of the reform is the creation of citizen-centric civil services capable of delivering services conducive to economic growth and public welfare.

- *Introduction of new services* - The government approved the formation of the Indian Skill Development Service in 2015 and the Indian Enterprise Development Service in 2016.

- *Structural reforms* - Further, the Cabinet approved the merger of all civil services under Indian Railways into a single Indian Railways Management Service as a part of structural reforms in that sector in 2019.

- The Union Cabinet has also approved this year the corporatization of the Ordnance Factory Board. It is the coordinating body of 41 ordnance factories production arm of the Department of Defence Production, Ministry of Defence.

Required reforms in Civil Services

The future of the country cannot be progressive without a reformed bureaucracy. The need of the hour is rationalization and harmonization of services.

- *Creation of Central Talent Pool* - The government can create a Central Talent Pool. The Recruited candidates can be placed in the Talent pool first. The government can then allocate candidates by matching their competencies and job description.

- *Make postings Cadre Neutral* - The over-emphasis on one-time examination, cadre allocation and lifelong privileges have to be done away with. The existing civil servants can be allotted duties in tandem with their academic expertise and practical experience gained at the workplace.

- Further, the government can make the posts cadre-neutral. Or can make multiple services with relevant experience eligible for the posts. This will lead to widening the talent pool available for the cadre post.

Need of a Nitipath

- In the past two decades, we have chosen to side-step the complex problem of administrative reform and instead used innovative methods like privatization, public-private partnerships and technology to deliver public services.
- This *mixed model of public service delivery* has been successful, but has come at a high cost. The civil service, in general, does not face the pressure to upgrade its numbers and capabilities.
- Many aspects of the Agnipath scheme offer a model for civil service recruitments.
- Prakash Singh, one of India's most respected police officers, recently made the case for an Agnipath-like scheme for the All India Services (AIS); he called for officers to be filtered out after 10, 25 and 30 years of service. This would rectify the top-heavy structure, and create a culture of public service and performance.
- The government can recruit four times as many candidates at the entry level without being constrained by the number of apex level positions and career paths. Instead of 600-1,000 candidates appointed to the AIS, we can have 4,000 officers entering service every year. Only 25% of them will be retained after a performance review after the fourth year.
- The 3,000 or so officers leaving the Union civil service after the fourth year can be employed in the state services, where there is a crisis of selection, a massive shortfall and acute demand for better governance.
- While the federal government in the US had just over 8 civilian employees per 1,000 population in 2014, India had 4.51, down from 8.47 in 1995. The capacity is especially weak at the local government level.
- Further, instituting performance reviews and exit filters every five years will create a path towards a semi-structural reform of India's administrative machinery.

AGENCY-BASED APPROACH TO REFORM THE INDIAN ADMINISTRATIVE SERVICE

According to a recent survey of the bureaucracies of 12 Asian economies, India's "suffocating bureaucracy" has been ranked as the least-efficient, and working with the country's civil servants is described as a "slow and painful" process.

Some radical reforms

	– First, the bureaucratic structure in India is, to a large extent, an insulated labour market. The country should aim to develop a cadre of professional senior managers to support ministers in policy formulation and implementation. These should be lateral-entry contractual jobs with a well-defined career progression. – Second, public bureaucratic departments should be converted into national-level and state-level executive agencies. Each executive agency should be headed by a chief executive officer selected from the senior civil service and should have considerable operating freedom, subject, however, to the policy and resources framework set out by the ministers and Parliament. – Once the decision to form an agency is taken, the agency should come out with its citizens' charter, clearly listing its mandate, objectives, performance indicators, timeframe for providing the services and budget. – Once the decision to form an agency is taken, the agency should come out with its citizens' charter, clearly listing its mandate, objectives, performance indicators, timeframe for providing the services and budget. – Once the decision to form an agency is taken, the agency should come out with its citizens' charter, clearly listing its mandate, objectives, performance indicators, timeframe for providing the services and budget.	
4	**PUBLIC SERVICE DELIVERY SYSTEMS**	
	Providing quality services to citizens is a fundamental responsibility of any government. From healthcare and education to public safety and infrastructure, the services that governments offer have a direct impact on the daily lives of their citizens. However, delivering quality services can be challenging for governments, particularly given the complex nature of the services they provide and the diverse needs and expectations of their citizens. *Determinants of quality service delivery* – Competent and well-trained staff – Clear policies and procedures – Effective communication and collaboration – Technology deployment – Responsiveness to changing needs and expectations – Transparency and accountability *Digital Service Delivery* – Indian digital story evolved with the foremost aim of making	

technology "inclusive", "affordable", "transformative" and "accessible" for all.

- Government initiatives such as Digital India, Direct Benefit Transfer (DBT), Government e-Marketplace (GeM) aim to actively transform India into both a knowledge-based economy and a digitally empowered society.

- Pradhan Mantri Jan Dhan Yojana resulted in a massive increase in financial inclusion. The next 'fix' being used is to deploy these channels to increase formal credit access to make credit more accessible and affordable.

- In India, several advancements have been made in the delivery of financial services. "Pradhan Mantri Gramin Digital Saksharta Abhiyan (PMGDISHA)" in 2017 to promote digital literacy in rural India by covering 6 crore rural households. Frameworks such as fintech unicorns, Optical Fibre Connectivity (BharatNet), Smart Villages and Common Service Centres (CSCs) have been significant in minimising the cost of client acquisition for a market of over a billion people.

- Through the combination of Jan Dhan bank accounts and mobile phones and the establishment of a digital identity through Aadhaar, the poor can now receive benefits directly into their bank accounts. More than INR 36,659 crore have been transferred using Direct Benefit Transfer (DBT) through Public Financial Management System (PFMS) in the bank accounts of millions of beneficiaries. During coronavirus pandemic, cash benefits announced under Prime Minister Garib Kalyan Yojana package have also been transferred using DBT, mostly to the poorest households.

- The shortage of doctors, the availability and affordability of pharmaceuticals and the absence of universally available healthcare are all challenges in Indian healthcare. Ayushman Bharat Digital Mission (2021) connects thousands of citizens living in remote areas of the country with doctors from large city hospitals from the comforts of their home.

- The UMANG mobile app (Unified Mobile Application for New-age Governance) is a Government of India all-in-one single, unified, secure, multi-channel, multi-lingual, multi-service mobile app that provides access to high impact services of various Government of India departments and state governments.

- Further, services like the DigiLocker aim to give citizens access to all their lifelong documents in a single digital wallet and all such government-issued citizen-centric proof documents are equally valid under Indian laws. DigiLocker already issues digital copies of Ration Cards and Marriage Certificates for a majority of

Indian states. Additionally, DigiLocker is in discussion with Passport Seva for the issuance of Passport to further enhance coverage of citizen-services digitally.

- India is using digital technologies to improve governance in areas like tax enforcement and compliance, including through the recent implementation of the Goods and Services Tax (GST) Network.

Challenges of Digital Public Service Delivery

- The challenges that arise when moving to digitize public services often mirror those found elsewhere in the tech sector, particularly when it comes to cyber security, data protection, privacy, and ensuring that digital advancements are inclusive of all members of society.

- Additional challenges include the overall speed of internet connections, which has remained low especially in remote areas even as the scope of connectivity has expanded. Smartphones are still unaffordable for many people, and the lack of entry-level models prevents access to some of the digital service delivery systems meant to benefit those most in need. This feeds into the related challenges of education, digital literacy, and awareness of the technological tools available; when smartphones are still out of reach, it is difficult to encourage people to learn about the systems they would use them for.

Potential Ways Forward for Digital Public Service Delivery

- Strengthening and building the technological capacities of state and local governments is equally important. The e-Kranti initiative, which is part of Digital India, also seeks to expand rural ICT access and availability. These initiatives and others falling under the Digital India umbrella will be key to creating a truly successful digital-first society and promoting digital public service delivery.

- Improving stakeholders' awareness of entitlements and providing information on the quality of services can potentially be a cost-effective method of improving service delivery.

- Technological improvements can be used to monitor and improve accountability in service delivery. MyGov is one example of a digital platform dedicated to improving accountability and encouraging citizens to provide feedback and ideas on policies and initiatives and engage with policymakers.

- Research by IGC (International Growth Center) in April 2017 suggests that teachers, public health officials, bureaucrats, and other key staff can be incentivized to perform by linking their efforts to measurable outputs. In Bihar, one such initiative was taken in the development of an IT-based solution for Public

Distribution System (PDS) called e-PDS. The e-PDS aims to ensure that food grains reach the intended beneficiaries and there is no diversion or black marketing of grains.
- Lastly, involving local youth leaders and community-based organizations of women and men (SHGs and FPOs) would have a beneficial impact on digital public service delivery. Training such local leaders on basic accessible technological support and on peer training and capacity-building for digital tools should help ensure that available digital tools are used by as many people as possible.

ALTERNATE PUBLIC SERVICE DELIVERY

Can availing the public services be as easy as ordering on Amazon?
- Citizens compare the quality of services delivered by the private sector to that of the governments' and expect the same degree of choice, convenience, flexibility, and personalisation.
- In traditional service delivery models, the citizens needed to visit various service departments of the government at diverse geographical locations and wait in long queues for a long time to access a public service. The public sector is the monopolistic service provider with a set of rules, determined by the government.
- In Market based delivery models, the citizens are regarded as a customer and the market principles, like responsiveness, efficiency and convenience with focus on performance rather than process, are important. Governments inform the citizens, through citizen charters, about the level, quality and time frame of the public services.
- In Public Value Management Model, creativity and collaborative engagement are the guiding principles for designing service delivery. Creation of public value is measured on four parameters of firstly, quality of public services delivered; secondly, the achievement of socially desirable outcomes; thirdly, the satisfaction of citizens with the services and results; and fourthly, creation or improvement of trust in the government
- Government as a platform (GaaP) Model – it builds essential infrastructure, create core applications demonstrating the power of the platform and inspire outside developers to push the platform even further, and enforce "rules of the road" that ensure that applications work well together" (O'Reilly, 2011). In this model, the government is the enabler and convener rather than the first mover. It is a radical departure from what Donald Kettl has described as 'vending machine government', where 'we pay our taxes and expect services'.

GaaP initiatives in India

- Open Government Data Platform - facilitate the access to Government owned shareable data and information in both human readable and machine readable forms in a proactive and periodically updatable manner.
- MyGov has been established as Government of India's Citizen Engagement Platform which collaborates with multiple Government bodies/ Ministries to engage with citizens for policy formulation and seeks the opinion of people on issues/ topics of public interest and welfare.
- India Stack - government-backed APIs, or application programming interfaces, upon which third parties can build software with access to government IDs, payment networks and data.

5	**PUBLIC POLICY MAKING**	

Introduction

- Public policy is a set of laws, regulations, directives, and budget allocations that governments or their representatives put in place to achieve public good goals. For instance, India recently released an updated version of its New Education Policy (NEP) in 2020. This included new elements like guidance on using ed-tech in the classroom, replacing the NEP that had been instituted in 1986.
- Anderson observes that "Policy is being made as it is being administered and administered as it is being made".
- Public policy process is a dynamic, continuous, complex, and interactive system through which public problems are identified and countered by creating new approaches or by reforming existing approaches

Stages in the policy process

- Thomas Dye (2004) sets out the following stages in his analysis of the policy process.
  a) Problem Identification: The identification of policy problems through demands for government action.
  b) Agenda Setting: Focusing the attention of the mass media and public officials on specific public problems as a prelude to decision making.
  c) Policy Formulation: The development of policy proposals by interest groups, officers of the chief executive's office, committees of the legislature, think tanks, etc.
  d) Policy Legitimation: The selection and enactment of policies

through political actions by the executive, the legislature, and the courts.

e) Policy Implementation: The implementation of policies through organised bureaucracies, public expenditures, and the activities of executive agencies.

f) Policy Evaluation: The evaluation of policies by government agencies themselves, outside consultants, the press, and the public.

Formulation of Public Policy

- *Legislature* - Parliament in India is the supreme public policy-making body. In reality, however, it does not reign supreme. It does not determine policies except in a formal sense. It influences public policies through general discussions and debates. Most of the legislation in India is prepared within the executive and introduced in the legislature by the minister concerned.

- *Executive* - It is the constitutional task of the executive to decide the policies which are to be submitted to Parliament.

- Judiciary - The judiciary in India also plays a constructive role in shaping and influencing public policies in two ways: a) by its power of judicial review, and b) judicial decisions.

- *Political Parties and Pressure Groups* - The political parties provide impetus to policies through their election manifestoes, and by enlisting support at the time of elections. Pressure groups strive to influence the decisions of the government in manifold

- ways. Often, these groups are found to have conflicting values on a particular policy issue. Obviously, well-organised and active pressure groups have more influence than groups whose members are poorly organised and inarticulate.

- *The Individual Citizen and the Media* - The people initiate the process of legislation and policy-making by voting for candidates with specific policy preferences. A democratic government is supposed to reflect the wishes of the people. Yet, in reality citizen's participation in policy-making is very negligible. Acting alone, the individual citizen is rarely a significant political force. The media can also influence public opinion in a situation. Media influence, however, depends upon the level of responsiveness from the government. Overreliance on donor agencies may create dependency, reducing the incentive for communities to take ownership of their development. This could lead to a lack of community engagement and participation in the long run.

- *External Agencies Influencing Policy* - External agencies and non-state actors are a an important source in the initiation of new public policies or modification of pre-existing policies, especially

	in Third World countries like India. They include agencies such as the United Nations and its allied agencies (WHO, ILO, UNEP, UNDP, etc.) the World Bank, the International Monetary Fund, the Organisation for Economic Cooperation and Development (OECD) and other multilateral agencies is of critical importance in shaping policy outcomes.	
6	**REACHING THE LAST MILE**	
	– The Prime Minister addressed a Budget Webinar on the subject of 'Reaching the last mile'. It is the fourth of a series of 12 post-budget webinars organized by the government to seek ideas and suggestions for the effective implementation of the initiatives announced in the Union Budget 2023.	

– He gave the example of new approaches in the immunization and vaccine coverage in Mission Indradhanush and Corona pandemic to illustrate the power of good governance in the last mile delivery.

– The Prime Minister said that this year's Budget has paid special attention to taking the mantra of reaching the last mile to tribal and rural areas. He said that for this, thousands of crore rupees have been allocated to the Jal Jeevan Mission.

– The Aspirational District Program has emerged as a successful model in terms of Reaching The Last Mile. Taking this approach further, an Aspirational Block programme is now being started in 500 blocks of the country.

In Budget 2023, Finance Minister has set 7 priorities, named as "Saptarishi".

1. Inclusive Development
2. Reaching the last mile
3. Infrastructure and Investment
4. Trust based Governance
5. Green Growth
6. Youth Power
7. Strong Financial Sector

Reasons for lack of last-mile delivery:

– Exclusion error– Eligible beneficiaries are excluded from benefits due to infrastructural issues, lack of awareness on part of people, lack of verifiable documents etc.

– Access issue– Remote areas, lack of access points, unawareness of people etc. act as impediments in effective last mile delivery.

– Leakages– Often the benefits are diverted towards other sectors

or profits by middleman, for example case of urea fertilizer which was diverted to industries and across border due to its cheap price owing to huge subsidy.

- Migration– As the schemes are implemented at state level, migration of poor denies them benefits of scheme in another state.

Measures taken to ensure last mile delivery

- PM Jan Dhan Yojana– Providing zero balance bank accounts to unbanked population has ensured their connectivity with the formal system.
- JAM trinity– Jan Dhan, Aadhar and Mobile makes verification of beneficiary and giving information about benefits easier.
- Direct Benefit Transfer (DBT)– Direct transfer of subsidy to the bank accounts prevents its leakage through middlemen, eg. LPG Pahal scheme.
- Point of Sale terminal (PoS)– To prevent leakages of ration and ensure its distribution to the intended beneficiaries only and to give push to 'One nation-One ration card' scheme.
- Mid Day Meal scheme– That ensures distribution of food and nutrition to children as well access to education.
- Asha workers– A large network of asha workers that is helping strengthen the healthcare for rural poor women through institutional deliveries and nutritional intake.
- Promoting Self Help Groups (SHG)– There has been increased last mile delivery of credit services through SHGs by deploying its members as Banking Correspondents, as in case of Deendayal Antodaya Yojana.
- Door step delivery– Delhi Government has launched a scheme for doorstep delivery of essential government services by mobile sahayaks at a minimal fee.

7	**MULTIPLE STATE CAPITALS AND GOVERNANCE**	

- A capital of a nation-state or state is the seat of the government. The word "capital" originates from the Latin capitalis, meaning "of the head".
- Capital cities hosts the seat of government and are often historical centres of trade, communication, and transportation.
- Some examples - South Africa has three capitals: Pretoria as the administrative capital, Cape Town as the legislative capital and Bloemfontein as the judicial capital - Malaysia has two capitals: Kuala Lumpur and Putrajaya - Sri Lanka has two capitals: Colombo and Sri Jayawardenepura Kotte.

- India had two capitals both during Mughal rule and British rule. Under the Mughal regime, Delhi was one capital and Srinagar the other. Under the British, one capital was Calcutta, the other, Simla.
- India is considered as having asymmetric federalism; so it has also witnessed demands from states to have multiple capitals within states — in order to accommodate diversity, and not just between states but within them too. Hyderabad is the latest to harp on this issue, and its government has made vociferous demands for three state capitals.
- Dr BR Ambedkar, in his book, 'Thoughts on Linguistic States' (1955), dedicated an entire chapter (chapter XI) to the subject of multiple national capitals and representation.

Why is it favored?

- *Promotes regional development* - Multiple state capitals act as growth poles, attracting investments which will allows regional development and hence resulting in balanced and inclusive growth.
- *Participative governance* - India is a country of 1.38 billion people, with 1,650 spoken languages and dialects, multiple religious and ethnic identities, and cultures. Having multiple power centres can improve the connection between the governing and the governed.
- *Deeper regional integration* - Concentration of power and pelf at certain poles have resulted in ignorance of far-flung and remote regions, thereby fueling separatist tendencies. (Eg: Vidarbha, Maru Pradesh, Purvanchal). Having multiple capitals can help reduce the feeling of alienation.
- *Accommodate growing urban population* - The 2018 Revision of World Urbanization Prospects, released by the UN Department of Economic and Social Affairs, projects India's urban population to rise to 52.8% in 2050. Most of this growth will be witnessed in the capital cities which are already unable to keep pace with the demography.
- *Improve quality of living* - Unplanned urbanization and rising population in capitals have resulted in overstressed infrastructure, severe pollution, high cost of living and safety concerns. Having multiple capitals can reduce the pressure on the existing capital cities.

Some disadvantages

- *Declining relevance of physical capital* - In the age of e-governance, digital technologies are utilized for delivering public services, planning and monitoring as well as grievance redressal. Hence, the geographical significance of capital as an

administrative pole is declining.

- *Exorbitant cost* - The costs of creating new capitals are steep and will be an excessive burden on the State's post-covid finances. For instance, Egypt is spending over USD 45 billion to build its new administrative capital. Indian states can hardly afford such expenses.
- *Impact on administrative coordination* - In a parliamentary system, the executive, legislature and judiciary have to work in resonance as most of their work is interlinked. However, multiple capitals will result in excess traveling and delays.
- *Politically motivated* - Opponents argue that most cases of demand for multiple capital are not based on facts or research, but rather fueled by regional parties aspiring to reap political benefits.
- *Concern for investors* - Frequent policy changes, like in the case of Andhra Pradesh, will lead to loss of trust of investors. Moreover, companies like to invest in big cities with a massive service sector, while areas identified for new capitals are usually backward regions.
- *Ignore root causes* - Capital cities emerged as islands of prosperity in an ocean of poverty because of ineffective wealth redistribution and poor governance. Creation of a new capital does not address these issues.

Way forward

- Multiple capital idea holds merit. However, the demand for a new national capital, or a second capital, or multiple rotating capitals, emerges primarily from a concern for adequate representation. Hence, if the government's goal is to decentralize development, the best way possible is the decentralisation of functions and finances, along with empowering people down to the bottom most rung of governance that make local bodies' self-governing institutions.
- The 'architecture' of the State in 21st century democracies need not mimic the grandeur of colonial or post colonial capitals, unless the intention is to perpetuate those associations. It needs reinvention.

8	**TECHNOGY GOVERNANCE**	
	Introduction Evidently, the policies and governance mechanisms supervising these new technological breakthroughs now assume great importance, for developed and developing countries alike.	

What it is?

- Technology governance can be defined as the process of exercising political, economic, and administrative authority in the development, diffusion, and operation of technology in societies.
- It consists of a multitude of norms (e.g., regulations, standards, and customs), and institutional and normative mechanisms and can also be operationalized through physical and virtual architectures to steer technology development and manage risks and benefits.
- Technology governance typically involves multiple stakeholders, including government agencies, regulators, industry associations, and individual organizations.

Why it assumes importance?

- At present, the world is reaching the end of the deployment phase of the "Age of Information and communications technology (ICT)" and starting the installation phase of a new paradigm, involving frontier technologies (blockchain, artificial intelligence, Internet of Things, etc).
- Mitigating future risks: Technology is essential for addressing some of society's most pressing challenges, but it can also have negative consequences for individuals and societies. Technology governance frameworks help organizations mitigate risks and manage the potential negative impacts arising from the use of emerging technologies. For example, Blockchain technology
- promises a revolution in business models and transaction transparency, but also calls into question decades of global regulation of financial markets.
- Fostering innovation: Effective technology governance can help foster innovation by providing a framework for experimentation and risk-taking while still ensuring the responsible use of technology.
- In the wake of technological developments, regulatory officials are faced with key challenges like how to best protect citizens, ensure fair markets, and enforce regulations, while allowing these new technologies and businesses to flourish.
- Promoting ethical use of technology: We need dedicated governance frameworks to ensure that technology is used and operated in a responsible and ethical manner, promoting positive outcomes for society.
- Shaping Public policy: Technology is now deeply intertwined with a policy with complex socio-technical systems being built at all levels of our society. Surviving the future depends on bringing technologists and policymakers together, which also reaps

benefits in the form of transforming public services through new technologies.

Major governance frameworks for regulating technologies

– Many countries have developed ethical governance frameworks that provide guidelines on how to develop emerging technologies responsibly. For example, Government of New Zealand's Privacy, Human Rights and Ethics (PHRaE) framework incorporates privacy, human rights, and ethics into the design process of government algorithms.

– The public and private sectors collaborate using mechanisms such as multistakeholder engagement, co-created regulation, and, where appropriate, self-regulation. For example, Example-Japan's financial regulator, has afforded the Japan Virtual Currency Exchange Association (JVCEA) the official status to self-regulate and police domestic exchanges ahead of other countries.

– Regulatory sandbox (RS) usually refers to live testing of new technology in a controlled/test regulatory environment for which regulators may permit certain regulatory relaxations for the limited purpose of the testing. For example, Example- Reserve Bank of India (RBI) in India, released an Enabling Framework for

– Regulatory Sandbox to facilitate responsible fintech innovation in the country.

Steps taken by the Indian government

Legislative frameworks

– Draft Digital Personal Data Protection Bill aims to regulate the collection, use, and processing of personal data by businesses and organizations. It proposes a framework for data protection that includes data localization, consent requirements, and penalties for violations.

– Drone Rules, 2021, regulates usage and operations of drones in Indian airspace.

– The Information Technology (Reasonable Security Practices and Procedures and Sensitive Personal Data or Information) Rules 2011 (Privacy Rules) regulate collecting, receiving, possessing, storing, dealing, handling, retaining, using, transferring, and disclosing sensitive personal data or information (SPDI).

– The Information Technology Act, of 2000, is the primary legislation governing the use of technology in India.

– The Aadhaar Act, of 2016, uses biometric and demographic data to create a digital identity that can be used for various services.

Policy Framework

– National Cyber Security Policy aims at facilitating the creation of secure computing environment and enabling adequate trust and

confidence in electronic transactions and also guiding stakeholder's actions for the protection of cyber space.

- Code of Practice for Securing Consumer Internet of Things (IoT) aims at securing consumer IoT devices & ecosystems as well as managing vulnerabilities.

Regulatory sandboxes

- Apart from RBI, regulatory bodies like the Insurance Regulatory
- and Development Authority of India (IRDAI) and the Telecom Regulatory Authority of India (TRAI), have also launched regulatory sandboxes for their respective sectors.
- INDIAai (The National AI Portal of India) is a joint initiative by the Ministry of Electronics and IT (MeitY), National e-Governance Division (NeGD) and NASSCOM, has been set up to prepare the nation for an AI future.
- Open Government Data Platform (OGD) India is a single point of access to Datasets/Apps in open format published by Ministries/Departments.

Gaps/Issues

- *Limited or lack of regulation* - For example, there is a lack of regulation for social media in India. While there are guidelines in place for social media companies, there is no legal framework for regulating them. This has led to several instances of misinformation, hate speech, and cyberbullying.
- *Adverse effect of technology through misuse* - E.g., AI trained "deep fakes"
- *Liability and accountability of technology* - E.g., drone related accidents
- *Limited technological capabilities of government institutions*
- *Dominance of Private sector* – big private entities Amazon may have significant influence over the development and governance of technology, potentially undermining the interests of other stakeholders.
- *Cross-border inconsistencies* - E.g., data and privacy laws change from nation to nation, ranging from no-touch regulation to restrictive systems, which increases both the difficulty and the risk that existing technologies will be non-compliant.

Way forward

- Anticipatory governance approach - Government should invest in regulatory planning to help understand what the future looks like and prepare accordingly.
- Focus regulations on outcomes - Soft law mechanisms, such as regulatory guidance, codes of practice, and voluntary standards, may be used to complement goal-based regulation and reduce regulatory uncertainty and provide flexibility for innovation.

- Create space to experiment - RBI's "sandboxes" enable innovators to get advice on the regulatory implications of their
- ideas and/or trial them under regulatory supervision.
- Build a Culture of Responsibility - Building ethical codes and raising awareness among the public about their rights can help create a culture where the private sector believes they are responsible for the safe and ethical usage of technology.
- Develop a pool of technocratic bureaucrats: Civil Services need to be restructured for better inclusion of technocrats through steps such as establishing dedicated civil service for technology and allocating suitable resources to attract and retain young brains into the system.
- Work across institutional boundaries: Coordination is needed to avoid unnecessary divergence in regulatory approaches across localities that would make it harder to trade or achieve shared regulatory goals.
- Collaborate internationally - E.g., the United States and India elevated their strategic partnership with the Initiative on Critical and Emerging Technology (iCET) for codeveloping and governing emerging technologies.

9	**ASPIRATIONAL BLOCK PROGRAMME**	

- The Aspirational Blocks Programme is on the lines of the Aspirational District Programme that was launched in 2018 and covers 112 districts across the country.
- The programme will cover 500 districts across 31 states and Union Territories initially. However, states can add more blocks to the programme later.
- Aspirational Districts Programme (ADP) aims to quickly and effectively transform 112 most under-developed districts across the country and raising the living standards of its citizens and ensuring inclusive growth for all – "Sabka Saath Sabka Vikas aur Sabka Vishwas".
- The programme is implemented by NITI Aayog.
- The programme focuses on the strength of each district, identifying low-hanging fruits for immediate improvement and measuring progress by ranking districts on a monthly basis.

Broad contours of the programme
- Convergence (of Central & State Schemes)
- Collaboration (of Central, State level Nodal Officers & District Collectors), and

– Competition among districts through monthly delta ranking.

Significance

- States and districts have a greater say in their own development as they are much more aware of their developmental challenges and the ways to tackle them.
- The focus of the programme is on improving governance, and efficient utilization of resources.
- Through cooperative federalism, the best practices across different districts can be replicated across the country to bring in socio-economic development..
- Partnerships with the private sector, philanthropic organizations and technical partners bring in much more efficiency and new ideas to contribute to overall development.
- Central and State schemes are converged around specific activities.

Issues Associated with the Aspirational Districts Programme

- Insufficient budgetary resources.
- Lack of coordination between different ministries working together for the implementation of the programme.
- The Delta Ranking is focused on assessing the quantity rather than the quality of outcomes.
- Imbalance in implementation as much more focus is paid on some areas like health and education while other areas like financial inclusion and skill development are ignored.
- The most backward districts have been excluded under the scheme as the most basic measure of development, the per capita income, has been excluded.

Way Forward

- Local governments should be provided with financial autonomy.
- The UNDP has called for a realignment of sectors under the program to include topics such as environment and gender.
- The under-developed blocks and districts must be brought under the programme's coverage.
- Focus must be placed on strengthening the governance mechanisms of aspirational distorts.

10	**ENVIRONMENT, SOCIAL AND GOVERNANCE (ESG)**	

Introduction

In recent years, there has been a growing trend towards measuring businesses not only on economic metrics like shareholder return, but also on their environmental impact, social commitment, and corporate governance.

The main driver is the realisation that environmental, social and governance (ESG) considerations need to be included by investors in a company's risk profile.

ESG – some basics

ESG is a set of standards for a company's operations that socially conscious investors use to choose potential investments.

– Environmental criteria consider how the operations of a company impact the environment (e.g., emissions or air/water pollution).

– Social measures examine how it manages relationships with employees, suppliers, customers, and the communities where it operates.

– Governance deals with a company's leadership, executive pay, audits, internal controls, and shareholder rights.

Evolution of ESG Reporting Norms in India

ESG reporting in India started in 2009 with the issuance of the National Voluntary Guidelines on Corporate Social Responsibility by the Ministry of Corporate Affairs.

In 2012, SEBI mandated that the top 100 listed companies by market capitalisation file the Business Responsibility Report (BRR) along with annual reports - later extended to the top 1,000 listed companies in 2019.

The Companies Act, 2013 mandates CSR activities for companies falling under the prescribed category.

The Indian government has increased its emphasis on ESG issues, as seen in India's more active role in global climate forums and the Reserve Bank of India's announcement of auctioning ₹80 billion ($981 million) in green bonds.

Benefits of ESG Norms:

– ESG reporting norms (like BRSR Guidelines) are likely to play a bigger role in how companies are assessed, not only by investors but by consumers and stakeholders.

– The ESG frameworks are heading towards standardisation, which would reduce the scope of misrepresentation and greenwashing.

– (Greenwashing is the act of giving a false image or giving false information about how an organisation's products are more environmentally friendly.)

– It will attract greater investments in socially-responsible and environmentally-sustainable companies. This will prompt corporates to adopt sustainable measures.

Implications for Indian Companies

Compliance by Indian companies with the ESG regulations of the U.S., the U.K., the European Union and elsewhere will be critical if India is to take full advantage of the growing decoupling from China

and play a more prominent role in global supply chains and the global marketplace overall.

Indian companies look to expand their ESG risk management with due diligence that include

Looking at company records,

Interviewing former employees

Making discreet visits to observe operations to ensure that the measures to comply with international ESG standards are in effect.

Companies that wish to maximise their opportunities in the global economy need to embrace these new requirements and adjust their organisations accordingly.

11	**CONSTITUTIONAL PUNCTUALITY**	

Constitutional punctuality refers to the timely discharge of duties and responsibilities by various constitutional high offices in accordance with the provisions of the Indian Constitution. It involves adhering to a strict time frame to avoid unnecessary delays and ensure the smooth functioning of the constitutional scheme.

Context

Growing concern over the misuse of discretionary powers by constitutional authorities such as governors, which can lead to a delay in the enactment of important legislation and undermine the principles of parliamentary democracy.

In news

The Tamil Nadu Legislative Assembly recently passed a resolution that urges a time frame for Governors to act on Bills passed by the State Legislature. The resolution was passed because the Governor of Tamil Nadu, R.N. Ravi, had withheld assent to as many as 13 Bills passed by the Tamil Nadu Legislative Assembly.

Need for Constitutional punctuality in terms of Governors role

- Upholding the sovereignty of legislatures: When the Governor of a state withholds assent to bills passed by the state legislature indefinitely, it undermines the sovereignty of the legislatures. It is essential to provide a time frame for the Governor to act on bills to safeguard the democratic principles enshrined in the Constitution.
- Ensuring timely delivery of justice: The Constitution of India guarantees the right to speedy justice to all citizens. The delay in the Governor's assent to bills passed by the legislature leads to a delay in the implementation of new laws, which could impact the timely delivery of justice.

- Preventing misuse of power: Governors hold a significant position of power, and the discretion they exercise in giving assent to bills should not be misused. The absence of a time frame for them to act on bills provides them with an opportunity to misuse their powers, which could harm the interests of the people.
- Advancing the constitutional scheme: Providing a time-bound constitutional delivery mechanism advances the constitutional scheme. It ensures the smooth functioning of the democratic process and upholds the principles of accountability and transparency.
- Building public trust: When constitutional high offices, including that of the Governor, President, and Speakers of Assemblies, discharge their duties in a time-bound manner, it builds public trust in the democratic institutions of the country. It ensures that people's will, as expressed through their elected representatives, is implemented without undue delay.

Time bound governance

- The concept of time-bound governance has been successfully implemented in other countries, such as the United Kingdom and the United States, where there are strict timelines for the assent or veto of bills by the respective authorities.
- In the US, if the President does not sign or veto a bill within 10 days, it automatically becomes an Act.
- In the UK, there has been no royal veto since 1708.

| 12 | **TRANSPARENCY AND ACCOUNTABILITY** | |

- Transparency means openness and compliance to rule which should be verifiable, visible and according to the norms.
- All citizens have the right to information about State policies that affect them, such as legislative activities, policy-making, legal provisions, policy enforcement, administrative budget, public expenditure, and other relevant political information.
- Accountability refers to the process as well as norms that make decision makers answerable to ones for whom decisions are taken i.e., the decision maker and the beneficiary.
- The primary distinction between responsibility and accountability is that responsibility can be shared but accountability cannot. Being accountable entails not only being responsible for something, but also being held accountable for your actions.

Relationship between the transparency and accountability

- Usually, transparency is considered as a pre-requisite of accountability as well. This is because for an action to be evaluated properly there should be access to all necessary information. If the access is denied, then accountability cannot be proven.
- Both transparency and accountability are viewed as necessary conditions for good management. This applies in a large variety of settings starting from the individual to organizations.
- Thus accountability must accompany transparency as if a civil servant is not accountable for his decisions, transparency would not fulfil the purpose.

Need for Transparency in Public Administration

- To ensure the effectiveness of the public service delivery system. However, simply knowing what entitlements are and who is responsible for fulfilling them is insufficient to ensure that public services are delivered in a passable and effective manner to the 'intended' recipients.
- Citizens in a good civil society are most concerned that their government is fair and just. To be effective, a government's governance systems and subsystems must be efficient, economic, ethical, and equitable.
- Furthermore, the governing process must be just, reasonable, fair, and user-friendly. In addition to promoting transparency and people's participation, the administrative system must be accountable and responsive in order to achieve these and other qualities and good governance.
- Transparency ensures that people understand what is going on and the reasoning behind the decisions made by the government or its functionaries at various levels. Accountability ensures that a civil servant is responsible and accountable to the government, society, and the people for every action and inaction in government and its consequences.

Accountability of Public Servants

- Civil servants are held accountable in all democratic countries to both the political executive and the citizens for ensuring responsive, transparent, and honest policy implementation and service delivery. However, ensuring accountability for performance is a difficult task in government; there are numerous complexities involved in holding public officials accountable for outputs and outcomes.
- Setting and measuring performance targets is easier for service delivery agencies, especially when the service provided is tangible and thus an easily measured unit, but for many public

- organizations where the output is policy-related and thus not very concrete, performance assessment becomes much more complicated.
- The spread of responsibility and authority across different levels of government, as well as the lack of a link between authority and accountability, contribute to a system in which plausible alibis for non-performance abound, particularly for activities that cross-departmental dividing lines or different functional divisions within departments.
- Accountability mechanisms in any country are broadly classified as those located within the state and those located outside the state.
- Accountability of the executive branch of government to Parliament and citizens is, of course, a fundamental feature of a democracy.

Initiatives To Enhance Transparency n India

- *Citizen's Charter* - represents the Organization's commitment to service delivery standards, quality, and timeliness, a grievance redress mechanism, transparency, and accountability.
- *Right to Information (RTI) Act* - establishes legal procedures for citizens' access to information. It superseded the previous Freedom of Information Act of 2002. Any Indian citizen may seek information from a "public authority" (a government entity or "state instrumentality") under the RTI Act, which is required to respond promptly or within thirty days. If the petitioner's life or liberty is at stake, the information must be delivered within 48 hours.
- *E-Procurement* - The Central Public Procurement Portal is a strong and secure platform that provides complete transparency in public procurement for the Government of India, most states, and local governments across the country.
- *E-Governance* - defined as the use of information and communication technology (ICT) at all levels of government to provide services to citizens, interact with businesses, and communicate and exchange information between government departments in a timely, efficient, and transparent manner.

Initiatives To Enhance Accountability In India

- Public Accounts Committee - It is a committee of elected members of the Indian Parliament tasked with auditing the government's revenue and expenditure. They ensure that parliament has control over the executive, on the premise that parliament represents the will of the people.
- Social Audit in Local Governments - In the context of government schemes, a social audit is an accountability mechanism that

measures, assesses, and identifies gaps in service delivery while also promising to close those gaps with the direct participation of intended beneficiaries. In essence, social auditing is a monitoring tool that allows citizens to not only keep track of funds spent, but also to evaluate the effectiveness of a scheme by examining its impact, determining whether the scheme has benefited its target audience, and allowing an organisation to evaluate the scheme's long-term sustainability.

- Comptroller and Auditor General (CAG) - CAG is a constitutionally mandated individual tasked with overseeing the government's finances and operations. This office is critical in making the government more transparent and accountable to the legislature as well as civil society. The Constitution seeks to ensure that he has significant autonomy from other branches of government. The CAG audits the federal and state government's finances, as well as entities owned or funded by the government. The CAG also assesses the performance of various government agencies, businesses, laws, and even welfare programmes such as the National Rural Employment Guarantee Scheme and the Sarva Shiksha Abhiyan.

- *Lokpal* - it is an anti-corruption authority or ombudsman agency in the Republic of India that represents the public interest. It has jurisdiction over the central government in order to investigate corruption charges against its public officials and other corruption-related matters.

- *Central Vigilance Commission (CVC)* - it is the apex vigilance institution, independent of any executive authority, and is tasked with overseeing all vigilance activity under the Central Government as well as advising various authorities in Central Government organizations on vigilance planning, execution, review, and reform. Vigilance entails taking clean and timely administrative action to improve staff efficiency and effectiveness, as well as the overall efficiency and effectiveness of the organization because a lack of Vigilance leads to waste, losses, and economic deterioration. The CVC was established by the government in 1964 in response to the recommendations of the Committee on Prevention of Corruption, which was led by Shri K. Santhanam. The CVC Act, passed by Parliament in 2003, gave the CVC statutory status. The CVC is independent of any Ministry or Department and is only accountable to Parliament.

- Lokayukta - The Lokayukta, or Indian Parliamentary Ombudsman, is appointed by and for each of India's state governments. It takes effect in a state after the state legislature passes the Lokayukta Act and a person of good standing is

appointed to the position. The position was created to handle complaints about the government's or its administration's working integrity and efficiency as quickly as possible. The Maharashtra Lokayukta and Upa-Lokayuktas Act of 1971 was the first state to establish Lokayukta.

- Centralized Public Grievance Redress and Monitoring System (CPGRAMS) - Addressing the general public's grievances is one of the hallmark efforts for governance reform launched by the Indian central government. In June 2007, the Department of Administrative Reforms and Public Grievances established CPGRAMS. Any Indian citizen can use the public grievance process to bring their problems, grievances, or requests to the attention of Ministries and Departments at the national and state levels of government.

- Public Interest Litigation - PIL was introduced by Justice P. N. Bhagwati as a means of securing public interest and demonstrating the availability of justice to socially disadvantaged parties.

13	CITIZEN'S CHARTER	

- Citizens' Charters initiative is a response to the mission for solving the problems which a citizen meets, day in and day out, while dealing with the organisations providing public services.

- The charter is the declaration of commitment to superiority in service to customers of the department. The citizen charter declares the standards for various services offered. It includes expectations of the Organisation from the Citizens for fulfilling its commitment. Citizen charter is available on India post website.

- The concept of Citizens' Charter protects the trust between the service provider and its users.

- Citizens' Charter was first expressed and implemented in the United Kingdom by the Conservative Government of John Major in 1991 as a national programme with aim to constantly improve the quality of public services for the people of the country so that these services respond to the needs and wishes of the users.

Importance of Citizen's Charter

- To make administration accountable and citizen friendly.
- To ensure transparency.
- To take measures to improve customer service.
- To adopt a stakeholder approach.
- To save time of both Administration and the citizen.

Six principles of the Citizens' Charter movement as originally framed

were:
- Quality: Improving the quality of services
- Choice: Wherever possible
- Standards: Specify what to expect and how to act if standards are not met
- Value: For the taxpayers' money
- Accountability: Individuals and Organisations
- Transparency: Rules/ Procedures/ Schemes/Grievances

Later on, these were elaborated by the Labour Government as following nine principles of Service Delivery (1998):
- Set standards of service
- Be open and provide full information
- Consult and involve
- Encourage access and the promotion of choice
- Treat all fairly
- Put things right when they go wrong
- Use resources effectively
- Innovate and improve
- Work with other providers
- The Indian Scenario

India and Citizen Charter Movement
- Department of Administrative Reforms and Public Grievances in Government of India (DARPG) initiated the task of coordinating, formulating and operationalising Citizens' Charters.
- For the formulation of the Charters, the government agencies at the Centre and State levels were advised to constitute a task force with representation from users, senior management and the cutting edge staff.
- Principally, an adaptation of the UK model, the Indian Citizens' Charter has an additional constituent of 'expectations from the clients'. Involvement of consumer organisations, citizen groups, and other stakeholders in the formulation of the Citizens' Charter is highlighted to confirm that the Citizens' Charter fulfills the needs of the users.
- Regular monitoring, review and evaluation of the Charters, both internally and through external agencies, are commanded.
- Most of the national Charters are posted on the government's websites and are open to public scrutiny. The organisations with Citizens' Charters are advised to give publicity to their Charters through such means as print/ electronic media and awareness crusades.

Salient Features of a Citizen's Charter
- Agreed and published standards for service delivery;
- Openness and information about service delivery;

- 'Choice' and Consultation with users;
- Courtesy and helpfulness in service delivery; and
- Provision of redressal of grievances.

Major obstacles

- It became an exercise to be performed because there was a direction from the top. The consultation process was minimal or largely absent. It thus became one of the routine activities of the organisation and had no focus.
- For any Charter to thrive the personnel responsible for its implementation should have proper training and orientation, as commitments of the Charter cannot be expected to be delivered by a workforce that is unaware of the spirit and content of the Charter. However, in many cases, the concerned staff was not sufficiently trained and sensitised.
- Sometimes, transfers and reshuffles of concerned officers at the critical stages of formulation/implementation of a Citizens' Charter in an organisation severely destabilised the strategic processes which were put in place and hampered the progress of the initiative.
- Awareness campaigns to teach clients about the Charter were not conducted systematically.
- In some cases, the standards/time norms of services mentioned in Citizens' Charter were either too negligent or too tight and were impractical and created an unfavourable impression on the clients of the Charter.
- The notion behind the Citizens' Charter was not accurately understood. Information brochures, publicity materials, pamphlets produced earlier by the organisations were mistaken for Citizens' Charters.

Deficiencies in the Existing Citizens' Charters

- Lack of awareness and knowledge and inadequate publicity, hence loss of trust among service seekers
- No training to the operative and supervisory staff
- Lack of infrastructure and initiative
- Hierarchy gap between the Officers and the Operative Staff-Need of team effort
- Different mind-sets of officers and the Staff- Insensitiveness on the part of the Supervisors and the Staff because they are yet to be sensitized
- Staff is not prepared to shoulder the responsibility due to lack of motivation and accountability
- Non-revision, complicated and restrictive rules & procedures

Way forward

- Since Citizen's Charters are likely to raise the aspirations of the
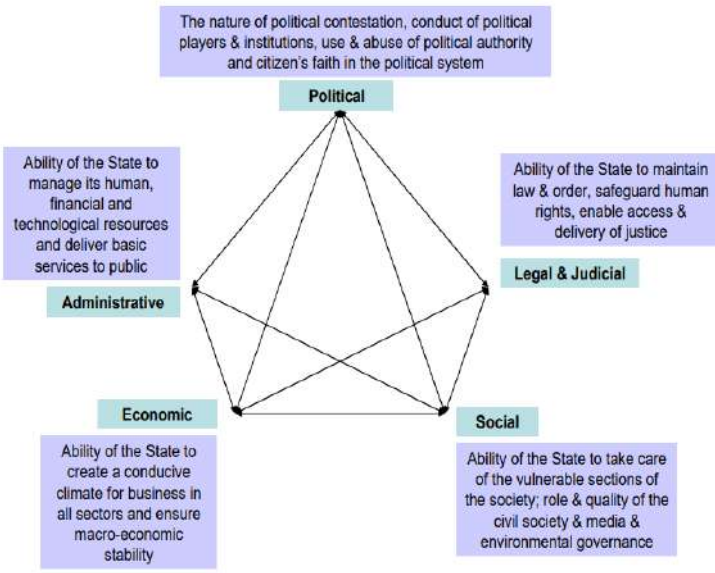
users of the service, the departments should guard against the tendency to promise more than they can deliver. A realistic assessment of the capabilities of the service provider must be taken into account in drafting the Charter.

- A critical review of the current systems and processes in the department should be undertaken to examine whether they are likely to have an adverse impact on the Charter.
- Implementing the Charters without the staff owning them will defeat the purpose of the Charter. Motivating the staff and involving them in the preparation of the Charter are extremely important.
- The Charters will remain merely a paper exercise of limited value if there is no consultation with the users. Departments should ensure user involvement at all stages of preparation and implementation of the Charter.
- Independent audit of results is important after a period of implementation of the Charter.
- Complex systems for lodging complaints or poor access to officers for redressal of grievances defeat the purpose and the spirit of the Charter.

1	**GOOD GOVERNANCE**		9626364444

What is GG?

- WB→"The manner in which power is exercised in the management of a country's economic and social resources for development
- Council of Europe: **Good Governance** – the responsible conduct of public affairs and management of public resources

Issues related to Poor Governance:

- Poor management of economy, persisting fiscal imbalances and **regional disparities**; → Denial of basic needs to a substantial proportion of the population; → Threat to life and personal security; → **Marginalisation and exclusion** of people on account of social, religious, caste or even

Figure 3.1 – Governance Dimensions

	gender affiliation; → Lack of sensitivity, transparency and accountability in many facets of the working of State machinery; → **Delayed justice**; → Existence of a significant number of voiceless poor with little opportunity for participating in governance; and → **Deterioration of physical environment,** particularly in urban areas.	
1 a	**SOME ELEMENTS OF GOOD GOVERNANCE:**	

- **Elections**:
  - o Democratic, Free, Fair, Participative, Inclusive- Not Marginalisation
- **Responsiveness**
  - o Rules, Procedures are adapted to the needs of Citizens
  - o Public Services delivered under time frame
- **Efficiency and Effectiveness:**
  - o Results and Outcome in line with objectives
  - o Performance Evaluation, Audit systems
- **Openness and Transparency:**
  - o public access to all information, Decision informed to public
  - o Decisions are according to the Rules and Procedures
- **Rule of Law**
  - o Enforced Impartially
  - o Judicial Decisions
- **Ethical Conduct:**
  - o Public good above individual interest
  - o Effective measures to combat corruption
- **Innovation and Openness:**
  - o New Solutions
  - o Readiness to Pilot Programmes and Learn from experiences
- **Accountability:**
  - o Decision makers taking Individual and Collective responsibility
  - o Remedies against Maladministration
- **Sustainability and Long-term Orientation**
  - o Decisions strive to internalise all costs and not to transfer problems to future
  - o Understanding of Historical, cultural and social needed.

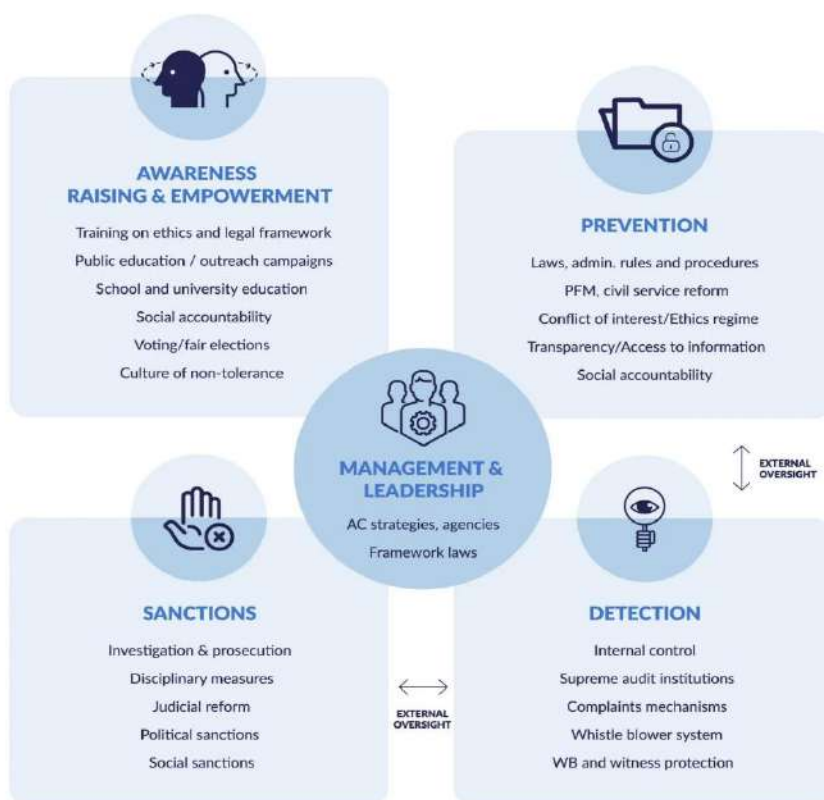|		

	– **Sound Fiscal Management:**
	  o Prudence, Public consultation, Charges should not exceed cost of services
	Conclusion:
	  o There is a need is to reformulate our national strategy to accord primacy to the Gandhian principle of 'Antodaya" to restore good governance in the country.
	Value Addition:
	  Good governance Day- Dec 25, Good governance Index- DARPG (Admin Reforms Dept)- States and Districts are ranked, Make note of Schemes and Initiatives also.	

2	**CORRUPTION**	

	– Transparency International: defines corruption as the abuse of entrusted power for private gain.
	Some Terms in Corruption:
	– Petty Corruption- Normalised in India, Speed Money for making things faster (White corruption i.e Bribery is tolerated)
	  Grand Corruption- Huge scams, Nepotism cronyism, Also called Policy corruption
	Impacts of corruption:
	Draw some chart:
	Social Cost:
	– Inequality, Endangers life ex Building collapses, Criminalisation of Politics, **Mistrust and Disharmony**
	
	Economic Cost:
	– Inflation is caused, Tax Revenue of Govt, Fiscal Imbalance, Inefficient Production, Erodes savings, Diversion to Non priority areas, Capital Flight and Weaking rupee
	Political and Legal Consequences
	– **Pork Barelling(**utilization of government funds for projects designed to please voters or legislators and win votes.**)**
	– Rule of Law, Principles of Justice not upheld, Human Rights violation
	Development Impacts-
	– Poverty, Climate change and damage to biodiversity
	Reasons for corruption:
	  Attitudinal:
	– Wealth valued by society, Social Practies like Dowry,	

Opportunistic, Normalisation of Bribe giving, Squirrel Net Syndrome-

Economic:
- Consumerism, Poor Salary, Cost overruns due to delay in approvals, Cronyism and Rent Seeking, Economic Crimes does not cause outrage like other crimes.

Legal:
- Art 311 gives Some immunity, POCA, DPSE Act, Sec 197 of CrPC gives reasonable opportunity to be heard

Political:
- Coalition, Criminalisation, Money Power, Lack of political Will to ensure transparency, Politically Immature Voters

Administrative:
- Red Tapism, Culture of Secrecy, Lobbyism, Procedural Complexity, Politically Pliant Officers
- Corruption Perceptions Index (CPI) of Transparency International (TI), is widely used tool of measuring corruption.
- India ranks 85th out of 180
- SDG 16: Peace, Justice and Strong Institutions
- **Sub Target:** Substantially reduce corruption and bribery in all their forms.

3	**COMBATING CORRUPTION**	

Provisions
- POCA 1988
- IPC- Sec 403, 406,408
- Prevention of Money Laundering Act, 2002
- Companies Act, 2013- Prevents Fraud
- FCRA- Prohibits Political Parties from COntributuion
- Lokpal, Lokayukta Act
- CVC
- Whistleblower Protection Act
- Economic Offences Wing, SFIO

Some Measures to Tackle:
- Collective Efforts are better than Individual
- Enlist the support of the media, civil society, and existing social movements like the Zero Rupee Note and the ipaidabribe.com
- **Social sanctions and economic incentives work better than legal action**
- **Accurate, publicly available information is essential**
- To ensure this a Rating system for Firms based on Transparency like Hotel Star Ratings

Government Response regarding recent measures against corruption:

i. Systemic improvements and reforms to provide transparent citizen-friendly services and reduce corruption. These, inter alia, include:

    a. DBT

    b. E-tendering in public procurements.

    c. e-Governance and simplification of procedure and systems.

    d. Government procurement through the Government e- Marketplace (GeM).

ii. Discontinuation of interviews in recruitment of Group 'B' (Non-Gazetted) and Group 'C' posts in Government of India.

iii. Invocation of FR-56 (j) and AIS (DCRB) Rules, 1958 for

AWARENESS RAISING & EMPOWERMENT

Training on ethics and legal framework
Public education / outreach campaigns
School and university education
Social accountability
Voting/fair elections
Culture of non-tolerance

PREVENTION

Laws, admin. rules and procedures
PFM, civil service reform
Conflict of interest/Ethics regime
Transparency/Access to information
Social accountability

MANAGEMENT & LEADERSHIP

AC strategies, agencies
Framework laws

EXTERNAL OVERSIGHT

SANCTIONS

Investigation & prosecution
Disciplinary measures
Judicial reform
Political sanctions
Social sanctions

EXTERNAL OVERSIGHT

DETECTION

Internal control
Supreme audit institutions
Complaints mechanisms
Whistle blower system
WB and witness protection

retiring officials from service in public interest whose performance has been reviewed and found unsatisfactory.

iv. The All India Services (Disciplinary and Appeal) Rules and Central Civil Services (Classification, Control and Appeal) Rules have been amended to provide for specific timelines in the procedure related to disciplinary proceedings.

v. The Prevention of Corruption Act, 1988 has been amended on 26.07.2018. It clearly criminalizes the act of giving bribe and will help check big ticket corruption by creating

	a vicarious liability in respect of senior management of commercial organizations. vi. Central Vigilance Commission (CVC), through various orders and circulars recommended adoption of Integrity Pact to all the organizations in major procurement activities and to ensure effective and expeditious investigation wherever any irregularity / misconduct is noticed. vii. The institution of Lokpal has been operationalised by appointment of Chairperson and Members. Lokpal is statutorily mandated to directly receive and process complaints as regards alleged offences against public servants under the Prevention of Corruption Act,1988	
4.	**CVC, CBI, LOKPAL IN CURBING CORRUPTION**	
	About: – **CVC-** Statutory (CVC act-2003), autonomous body tasked with **monitoring** all vigilance activities under GoI**, advising** various authorities in planning, executing, reviewing and reforming their vigilance work. – **CBI**- Premier **investigation agency** of India. Investigate breaches of central laws, multi-state organised crime, multi-agency or international cases. Non Statutory. – **Lokpal:** Lokpal- Anti corruption **authority.** Jurisdiction over <u>central govt</u> to inquire into allegations of corruption against its public officials. Lokpal and lokayuktas act,2013 **Challenges in curbing corruption:** **CVC:** – Advisory body. So Govt may accept or reject its recommendation. – Lack of resources (man & money) to handle around 1600 union depts. – Can't file a criminal case. Only vigilance and disciplinary cases – Appointments committee dominated by Govt members. **CBI:** – Excessive political interference (CJI calling it caged parrot speaking its masters voice) – Enormous delays in concluding investigations – Loss of credibility due to allegations in cases **(**Bofors scandal; Hawala scandal,) – Shortage of personnel. Alleged biased recruitment process	

	– Limited Powers→ Consent of states required, and prior permission from central Govt to inquire on Central Govt employees **Lokpal:** – Lokpal is **not free from political influence** as the appointing committee itself has members from political parties. – No constitutional backing – Exclusion of judiciary from its ambit – The complaint against corruption cannot be registered after seven years from the date the offence is alleged to have been committed. – Lokpal cannot *suo motu* proceed against any public servant **Way Forward:** – CBI, CVC, Lokpal should be given full autonomy so as to delink it from Govt influence – Provide statutory status to CBI (2nd ARC) – Appointment process must be transparent and involving all stakeholders. – Strengthen resources (human, infrastructure etc.)	
5.	**Cooling off period for civil servants**	
	– Cooling-off period is the length of time for which a retired civil servant is prohibited from accepting commercial employment. **Mentioned in AIS Death-cum-Benefits Rules (1 year), CCS (Pension) Rules.** **Reason:** – Senior bureaucrats- key policymaking positions. So, the cooling-off period→ reduce any possible conflict of interest. – to preclude them from doing favours while in service for the benefit of re-employment. – It ensures their right to take up an employment of choice in the future. – Government permission for post-retirement commercial employment if job is taken up within 1 year of leaving office. – Non compliance -affects pension entitlements **Politics after retirement:** – While in service→ can't be associated with any political	

party. Can join after retirement
- Election commissions request for cooling off period was rejected.
- Supreme Court refused to entertain PIL to impose restrictions preventing civil servants, as it is under Parliament to make laws

Issues:
- His work as a public servant will be questioned for parting with a party
- The subordinates under such civil servants feel morally let down. May think that it's fine to hobnob with politicians to seek their patronage
- While in service, the civil servants get info about internal matters of parties. After joining a party, they may use it for political agendas.
- He may've had prior ambitions for the same while he was in services and manipulated his work according to the party's requirements.
- the party→ liberal with him and promoted him, leaving out other deserving candidates.

Conclusion:
- Therefore cooling off period is essential for Making their work **politically neutral**.

6	**Role of technology in policing**	

- **Citizen Awareness**: Digital portals, social media can be used for providing information on traffic jams, how to protect against cybercrime, dispelling rumours, countering fake news.
- **Digitising Citizen-Facing Services**: citizens get services from the comfort of their home. Ex, Punjab Police: Saanjh portal → provides online services for downloading FIRS, searching for stolen vehicles, mobiles etc.
- **Managing CDRs**: Due to increasing usage of phones, analysing the records of Call Detail Records (CDRs) should be automated. It can be used to identify call patterns, geo-location, and help in tracking missing persons, lost mobiles, movement etc.
- **Leveraging AI and Big Data**: Artificial Intelligence (AI) can be used to match fingerprints, images, CCTV etc. Big Data can be used to integrate data from multiple sources such as social media, financial institutions, travel, stay, CDRs

and criminal records.

- **Crime Prevention**: Big Data can be used to identify crime patterns and hot spots. This information can help the newly transferred officer to get up to speed quickly and increase patrol where necessary.
- **Riot Control**: Sentiment analysis of social media chatter can be used to identify potential riots and track the source of rumours.
- **Departmental Monitoring**: Provide senior police officials dashboard views for their areas of jurisdiction, identify trends, patterns, outliers and take corrective action.
- **Human Resource Management**: Key performance indicators such as the time taken to file a charge-sheet, crimes solved, citizen feedback scores etc can be used to determine an officer's performance.
- **Police Application (CIPA), 2004-** To enter FIR details into the system and print out copies and the ability to create and manage police station registers on the system.
- **Crime and Criminal Tracking Networks and Systems CCTNS-** response to 26/11 to create a comprehensive and integrated system for effective policing through e-Governance.
- **Smart Policing:** Strict and Sensitive, Modern and Mobile, Alert and Accountable, Reliable and Responsive; Techno-savvy and Trained.
- **Inter-operable Criminal Justice System(ICJS)**:
- The five pillars of the criminal justice system are police, courts, prosecution, jails and forensics.
- Real-time integration between the IT systems of these pillars will help in reducing duplicate data entry and errors.
- Phase 2(2022 to 2026): System being built on the principle "one data one entry"

Challenges

- **Privacy**- SC in Puttaswamy case declared that any measure that sought to collect information or surveil must be legal, necessary, and proportionate.
- **Mass surveillance**- Integrating fingerprint-based criminal record data fetching system to the list of predictive policing practices will give birth to mass surveillance.
- **Caste based targeting**- Nomadic and semi-nomadic tribes were ascribed "criminality by birth" and considered as "hereditary criminals" under the colonial Criminal Tribes Act, 1871.

	– Can strengthen the use of **Habitual Offenders** provisions, which have acted as a tool for police to continue to attribute criminality.	
7	**COMMISSIONERATE AND DUAL SYSTEM.**	
	Dual System – The state government exercises control and superintendence over the state police forces. – At the district level, the District Magistrate also give directions to the Superintendent of Police and supervise police administration. – The powers such as issuing orders for preventive arrests or imposition of **Section 144 CrPC** are vested in the DM. **Commissionerate System** – In some metropolitan cities and urban areas, however, the dual system has been replaced by the Commissionerate system. – It allows for **quicker decision-making in response to complex law and order situations, rising population** and **rapid urbanisation.** – The police have a greater say in the above issues.. **Need for Commissionerate System** – The system brings **greater power and responsibility** on the Police system. – possibility of passing the buck on Magistrates is eliminated. – It is considered essential in cities with a large population. – **Big cities** generally throw law and order problems and other problems – This requires very specialised handling and requires coordination at every stage.. – the system has been proved successful in handling complex issues of Mumbai which also had faced the problem of the underworld. – Moreover, unfettered power is not given to the police. Police are answerable to ministers and courts **Concerns** – When the system is introduced, initially, there can be adjustment and understanding issues. – **delegation of authority** and better integration will have to be addressed.	

- Fear of police's power and lack of trust from public's view.
- People largely **trust the civil administrative officials** and feel more **comfortable** in interacting with them.
- **when protests are of a civil nature** and can be dealt with by the DM, Police action in such matters can complicate the situation.
- States where People having less civic knowledge would find it difficult

Way Forward

- The Commissionerate system brings **great power** to the Commissioner of Police hence it calls upon a **degree of restraint in using power.**
- there is an urgent need for holistic police reforms
- Urge all states to implement recommendation of prakash singh case.

8	**REIMAGINING SHGS**	

- SHGs were created for providing financial access and gradually metamorphosed into the world's largest microfinance program, were multiple agencies, NGOs, governments, banks work in unison.
- Considerable investments in community mobilisation through SHGs and capacity building resulted in social capital, manifested as women empowerment and credit-discipline.

Benefits of SHG

- Social integrity – SHGs encourages collective efforts for combating practices like dowry, alcoholism etc.
- Promotes Gender Equity
- Self-Help Groups has a multiplier effect in improving women's status, self-esteem, socio- economic conditions
- Acts as a pressure Groups
- Acts as voice to marginalized section
- **Financial Inclusion –** Priority Sector Lending norms and assurance of returns incentivize banks to lend to SHGs.
  - o Easy access to credit easier
  - o reduced the dependence on traditional money lenders

  E.g., *Bangladesh Grameen Bank model* – used the power of microfinance to help women overcome the

threshold of entrepreneurship and clear the way to self-sufficiency.
- **Improving efficiency of government schemes**, reducing corruption through social audits.
  - The financial inclusion → reduced child mortality, improved maternal health and the ability of the poor to combat disease through better nutrition, housing and health – especially among women and children.
  - Increased Banking literacy

Opportunities of SHGs
- Appear to be instrumental in rural poverty alleviation.
- Economic independence via SHGs →participation in decision making → political empowerment
- Often women SHG leaders are chosen as potential candidates for Panchayat Pradhan or representatives to Panchayati Raj Institution (PRI).
- Un-utilised and underutilised resources of the community can be mobilised effectively under different SHG-initiatives.
- Leaders and members of successful SHGs bear the potentiality to act as resource persons for different community developmental initiatives.
- Female empowerment could generate many positive externalities benefitting people around the world as well as future generations.

9	**ROLE OF PRESSURE GROUPS IN DEMOCRACY - PROS AND CONS**	
	- A pressure group is a group of people who are organised actively for promoting and defending their common interest. **Role of pressure groups in democracy** - vital link between the government and the governed - supplement electoral democracy - give political voice to minority and vulnerable sections of the society - raise concerns about various social issues such as fundamental rights and liberties, poverty, environment, domestic violence. - better informed and more educated electorate by promoting political debate, discussion and argument	

- Improves political awareness among masses
- use their expertise to provide the government with important information – aids in effective policy making

Pros
- altruistic and sincerely committed to social reforms.
- encouraging wider political participation→ help to extend the liberal democratic concept of representative government.
- source of opposition to the united front of political parties - A counter check on political parties
- represent a minority interest – may not be adequately represented

Cons
- tend to empower the already powerful
- Non-legitimate power - leaders of the pressure-groups are not elected
- Sometimes selfish and self-serving.
- May use unconstitutional methods, uses lobbying as a major weapon – not accepted in many countries like India.
- Tyranny of the minority
- Focus on parochial interest rather than common interest
- Unstable and varying lifespan
- use of direct action by pressure groups (e.g., strikes by unions, demonstrations, blockades, pickets)

10	**ROLE OF CITIZENS IN GOVERNANCE**	

Background
- After Independence -> India adopted representative democracy.
- Public participation is a mainstay of democracy & key component of decision-making process.
- Last 7 decades -> government has not directly involved citizens in Public Policymaking Process.
- Essential to make Indian democracy more people-oriented & increase citizens' engagement in the governance.

Why public participation is essential?
- Increasing transparency and accountability -> of public institutions.
- Effective & innovative solutions -> to complex development challenges.
- Improved development results -> in creating links between citizen engagement & improved public service delivery,

public financial management, governance, social inclusion & empowerment.

- Helps to surface important issues of social & environmental justice, entitlements & equity.
- Collaborative countervailing power is needed -> to help foster the integrity of empowered participatory governance & reduce its susceptibility to various forms of corruption.
- MyGov -> platform, to ensure citizens' engagement in decision-making -> so that "Good Governance" can be achieved.

Principles of participatory democracy
- 2 integral elements:
- Public participation in decision making
- Placing information regarding Government actions in public domain

'Public participation' in other democracy
- USA => Senate makes it mandatory to require written submissions from the public for any Bill introduced, with no restrictions on senate committees.
- Australia holds workshops as part of regional consultations in the pre-legislative stage & after a report is finalised. Transcripts of any depositions made as part of submissions before the committees are published.
- UK released a citizen engagement framework in 2008 -> to deepen engagement with public on various issues.

Challenges in Citizen Engagement
- Limited trust in Government
- Public participation is not formalised or conducted in a structured manner -> :. people are often reluctant to participate.
- With the limited knowledge & lack of specialised skills (legal, technical etc) -> many people believe that their capacity to engage in governance is limited.
- Engagement in policy-making processes is a long-drawn process & requires long-term commitments.
- Poverty, widespread illiteracy, deeply hierarchical social structure etc.

Way forward
- Government needs to create mechanisms for interested registered voters to participate in local government on a regular basis.
- Needs greater data collection at the ward level -> with respect to expenditure, voter rolls & below-poverty-line lists.

− Draft Bills should undergo rigorous scrutiny by experts and ordinary citizens alike.
− Government can understand viewpoints of citizens & gather feedback
− Implement best ideas & achieve the goal of 'Good Governance'

Conclusion

− To build a better, credible state, the country needs to start at the bottom.
− Governance can be termed good only if it keeps the citizens first. Such governance model would ensure equitable & inclusive development of society & nation.

11	**SOCIAL AUDIT IN INDIA**	

− Social audit is an accountability tool -> measures, evaluates, identifies & rectifies the gaps with direct participation of intended beneficiaries.
− Verifies how programs & services are being/were carried out & how to make them better/more reflective.
− Includes most stakeholders i.e., people, government officials, civil society & experts.

Current Scenario in India

− Social Audits gained statutory status under MGNREGA Act, 2005 -> shall establish an independent Social Audit Unit at state level.
• 73rd Constitutional amendment act -> empowered Gram Sabhas to conduct social audits.
− National Social Assistance Programme (NSAP) audits -> done in Andhra Pradesh & West Bengal.
− Meghalaya Legislature enacted a social audit law in 2017 -> which mandates social audit in different schemes in Education, Health, Rural Development etc.
− CAG directed social audits of local bodies' schemes -> for better accountability of the effectiveness of fund allocation.

Need for Social Audits

i. **For Governments:**
− Social audits make governments accountable for social welfare outcomes rather than just economic outcomes.
− With public participation, democracy at grassroots is strengthened.
− Identifies the gaps & sources of leakages -> reducing corruption by rectifying it. Ex: In Andhra Pradesh -> social

audits detected leakages to the tune of $24 million.
- Upholds Social Contract & Reduces wastage of Public funds.

ii. For Citizens
- It empowers citizens through the participatory process of social audits.
- Enhances Social Capital, State-Citizen relationships & credible harmony in society.
- Make governments more accountable, transparent & people-centric.
- Consensus-oriented decisions ensure equitable growth & development for every section of the society.
- Bridges the Rural-Urban Gap.
- Report by Accountability Research Center -> found that social audits are playing a significant role in redressing individual worker grievances.

Challenges
i. With Government
- Social audit mechanisms -> not universal in India -> only some states have them.
- No legal body overseeing the work & progress of social audits.
- Poor Follow up -> Ex: 33% of respondents of an MGNREGA social audit in AP feel there is a weak response from the government.
- 21% of social audit participants in AP and Telangana lack the support of senior officials -> According to Accountability Research Center.
- Social Audit units lack effective decision-making power in terms of spending funds & appointment of staff/officers.

ii. With Public
- Most participants don't know the true essence of such audits & their potential.
- Many Gram Sabhas have poor quorum and participation making it difficult to implement such audits.
- Many Panchayat heads are seen to be hostile towards this exercise due to a threat to their own hegemony.
- No incentive to participate -> on both the participants & those undertaking the audit.
- Digital & technical integration is poor -> thus data analysis does not take place properly.
- Crony Capitalism can weaken any reform-related activity for selfish interests.

Way Forward

	– Need to institute social audit norms uniformly across India. – Outcomes of social audit must have legal sanction & state governments should enact specific rules for this. – Providing more finances to SAUS => In 2012, MoRD recommended 1% of expenses under MGNREGS for Social Audit -> reduced to 0.5% later. – Social Audit units must have enough discretion & autonomy -> to appoint staff & spend funds for their functioning. – There must be punitive actions to be taken on failure to conduct the audit or maintain records. – Need to reduce political interference in the working of SAU (appointment & functioning). – Need to digitise records & data. – Practice of social audits -> be made more mainstream & a norm in any public work.	
12	**E – GOVERNANCE**	
	– Government functioning – with the help of ICT – more accountable and transparent governance – **Advantages** – Improves efficiency – citizen empowerment through transparency – less corruption – cost reductions – improves public relations – **Challenges** – lack of infrastructure – implementation costs – privacy and security concerns – huge digital divide – Non availability in local languages – lack of awareness – interoperability – **Initiatives** – mygov.in – UMANG – Digital locker – PRAGATI – eKranti – MCA21 – Jeevan praman, etc.	
13	**TRANSPARENCY – RTI**	
	– RTI ensures citizen partnership in political and economic processes leading to good governance – promotes transparency – contains corruption – increases accountability – decentralised power to citizens – Key sections – Sec 4 of RTI – suomuto disclosure of information; sec 8 (1) – exemptions against an RTI; sec 8 (2) – disclosing information under Official Secrets Act, 1923 if larger public interest is served. – Challenges– Overuse of RTI obstructs valuable time of public authorities – High pendency due to insufficient appointment of officials – incomplete information – fails to	

	protect whistle-blowers – Attacks on activists–lack of awareness – often used for grievance redressal	
	– Recent amendments – CIC's term of office and the salary of Information commissioners as may be prescribed by the Central Government – affects independency	
	– Way forward – Quick appointment of Information commissioners – simplification of process – establishing institutional mechanisms	
14	**2nd ARC RECOMMENDATIONS**	

There are 15 reports of the 2nd ARC.

- (Each report deals extensively with Challenges, structures ,and Recommendations. If you have no idea or not going to write mains this time- Its better to just go through the summary)
- Many recommendations have been accepted other have not.. The following gives you an idea of the Titles of Recommendations(Not explained)
  A- Accepted, N- Not accepted(You can neglect the Legends used as it has changed over the years)

1st Report (RTI):
- The Official Secret Act, 1923 should be repealed (N)
- Any person having official secret but fails to take care must be guilty of an offence (A)
- Governmental privilege in Evidence (Sec 123 of Indian Evidence Act, 1872 should be amended (N)
- Oath of Secrecy (N)
- Exempted Organization (Armed Forces) (N)
- Central Civil Services (Conduct) Rules, (A)
- Manual of Office Procedures (A)
- Constitution of SIC (A)

2nd Report (Unlocking Human Capital-NREGA)
- Guaranteeing Reach (A)
- Guaranteeing Outcomes (A)
- Ensuring Convergence (A)
- Expanding the scheme (A)
- Fixing Wage rates (NA)
- Financial Management System (A &N)
- Mode of Payment to Workers (N)
- Role of Banks and Post Offices in fund flow (A)
- Use of IT and Monitoring (A) and many more

3rd Report- Disaster Management
- Separate provision in the Constitution for Disaster (N)
- State Govt. should handle Crisis Management and Union

- Government play supportive role.(A)
- Separate ministry/department at the national/state level.
- Empowering Relief Commissioners (A)
- Institutional support and use of IT (GIS) for solution and prevention (A)
- Disaster Management should be introduced as a subject (A)
- National Policy on Disaster Management (A)
- Awareness campaign and Disaster Management Plan (A)
- Early Warning system (A)

4th Report (Ethics in Governance):
- Reform of political funding (Action not needed)
- Tightening of Anti-defection law (A-nn)
- Disqualification of persons wt chargesheet (A-nn)
- Chief Election Commissioners/Commissioners-selection should be done by collegiums (A-nn)
- Expediting Disposal of Election Petitions (Special Election Tribunals) (Not Accepted)
- Grounds of disqualification for membership (A-nn)
- Ethical framework for Ministers (duplicacy of Code of Conduct)
- PM and CM should shoulder responsibility in ensuring Code of Ethics
- Office of Ethics Commissioner suggested (A-nn)
- Office of Profit (A-nn)
- Public Service Values for all public servants should be defined (A)
- National Judicial Council (A)
- Sanction for prosecution (NA)
- Protection to whistle-blowers (A)
- Article 310 & 311 should be repealed (NA)
- Lok Pal (A-nn) & Lok Ayukta (A) (1st ARC-reinforcement)

9th Report (Social Capital-A shared destiny)
- New Legal Framework for Charities in India(A)
- Corporate Social Responsibility (A)
- Accreditation of Voluntary Organisations (National Accreditation Council (A)
- Regulation of Foreign Contribution (Bil needs to be 3 amended) (A)
- SHGs movement need to be enhanced in the rural areas and also to be extended to the urban and semi-urban areas (A)
- Integrated Social Policy (A)

11th Report(Promoting e-Governance-The smart way forward)

- Building a congenial environment (A)
- Identification of e-Governance Projects and Prioritization (A) – {2- 3% of Plan budget for this}
- Business Process Re-engineering (A)
- Capacity Building and Creating Awareness (A)
- Monitoring and Implementation (A)
- Common Support Infrastructure (SDC, SWAN, CSCs etc..)(A)
- Mission Mode Projects (A)& fr Land Records
- Passport & Visa, Unique National ID
- Legal Framework for e-Governance (A)
- Knowledge management (A)

12th Report (Citizen Centric Administration-The Heart of Governance)

- Functions of Government (A)
- Making Citizens Charter Effective (A)
- The ARC Seven Step Model for Citizen Centricity (A)
- Participation of Women and the Physically Challenged (A)
- Delegation (A)
- Evolving an Effective Public Grievances Redressal System (A)
- Analysis and Identification of Grievance Prone Areas(A)
- Simplifying Internal Procedures (A)
- Monitoring and Evaluation (A)
- Rationalizing Procedures – Issue of Driving Licenses, registration of Births and Deaths
- Building Licenses and Completion Certificate

13th Report(Organizational Structure of Government of India)

- Core principles of Reforming the Structure of the Government (A)
- Government at all levels should be guided by the principle of subsidiarity (A)
- Rationalizing the functions of the Government (A)
- Rationalizing and Reorganizing the Ministries and Departments (A)
- Recasting the Allocation of Business Rules (A)
- Creation of Effective Executive Agencies (A)
- Coordination Mechanism (A)

14th Report (Strengthening Financial Management Systems)

- Unrealistic Budget Estimates (A)
- Delay in Implementation of Projects (A)
- Skewed Expenditure pattern-Rush of Expenditure towards

the end of the financial year (A)
- Inadequate adherence to the Multi-year Perspective and Missing Line of Sight between Plan and budget (A)
- Emphasis on Meeting Budgetary Financial Targets rather than on Outputs and Outcomes (A)
- Irrational 'Plan-Non-Plan' Distinction leads to Inefficiency in resource Utilization..
- Capacity Building

15th Report (State and District Administration)
- Size of the Council of Ministers needs to be reduced (A)
- Rationalizing the Number of Secretarial Departments (A)
- Executive Agencies>Departments (A)
- Civil Services Law (A)> States are advised to take similar action after the proposed act is passed by Central Government
- Regional Level Administration (A)
- Vigilance Commission/Lokayukta(A)
- State Public Service Commission (A)
- Redefining Collector's Role and modernizing its office (A)