



“शिक्षा मानव को बन्धनों से मुक्त करती है और आज के युग में तो यह लोकतन्त्र की भावना का आधार भी है। जन्म तथा अन्य कारणों से उत्पन्न जाति एवं वर्गगत विषमताओं को दूर करते हुए मनुष्य को इन सबसे ऊपर उठाती है।”

— इन्दिरा गाँधी

“Education is a liberating force, and in our age it is also a democratising force, cutting across the barriers of caste and class, smoothing out inequalities imposed by birth and other circumstances.”

— Indira Gandhi

Block

5

EMPOWERMENT OF LOCAL BODIES

UNIT 1

Empowerment of Marginalized	5
------------------------------------	----------

UNIT 2

Capacity Building	20
--------------------------	-----------

UNIT 3

Leadership	38
-------------------	-----------

UNIT 4

Resource Mobilization	54
------------------------------	-----------

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BLOCK 5 EMPOWERMENT OF LOCAL BODIES

Empowerment of Local Bodies increases the participation of people and more particularly the poor, and it helps in the local capacity building and better governance, participation and implementation of development programmes. Empowerment of local bodies enables Capacity building, develops the local leadership, helps in institutional development and human resources development and strengthens the managerial systems, and develops a rationale understanding of resource mobilization.

Unit 1, **Empowerment of Marginalized**, focuses on building our understanding on the meaning and concepts of people's participation in the local self governance in development. It also discusses the importance of local self Governance, people's participation in development.

Unit 2, **Capacity Building**, unit discusses the meaning, concept and the need for capacity building. It further tries to answer capacity for what, capacity for whom and to build capacity.

Unit 3, **Leadership**, describes the role and importance of leadership and development, and understands the meaning and characteristics of 'leadership' and its importance in the context of democracy and rural transformation. It also analyses the theoretical nuances of leadership in a broader sense and their utility at the grassroots.

Unit 4, **Resource Mobilization**, is one of the key challenges before the PRIs for carrying out duties and responsibilities assigned to them under the 73rd constitutional amendment. Finance is essential to carry forward developmental activities at the grassroots level. The various sources of income of the PRIs are the grant from the central government and state government and the imposition of taxes and collection of fees. Besides many village panchayats and also district and intermediate panchayats in many states of India earn income by the effective utilization of common property resources.

UNIT 1 EMPOWERMENT OF MARGINALIZED

Structure

- 1.1 Introduction
- 1.2 The Meaning and Nature of Marginalization
- 1.3 The Types of Marginalization
- 1.4 The Causes of Marginalization
- 1.5 The Levels of Marginalization
- 1.6 Marginalized Groups
- 1.7 Let Us Sum Up
- 1.8 References and Suggested Readings
- 1.9 Check Your Progress - Possible Answers

1.1 INTRODUCTION

Marginality is an experience that affects millions of people throughout the world. People who are marginalized have relatively little control over their lives, and the resources available to them. This results in making them handicapped in making contribution to society. A vicious circle is set up whereby their lack of positive and supportive relationships means that they are prevented from participating in local life, which in turn leads to further isolation. This has a tremendous impact on development of human beings, as well as on society at large. As the objective of development is to create an enabling environment for people to enjoy a productive, healthy, and creative life, it is important to address the issue of marginalization. This unit deals, in detail, the various aspects of marginalization.

After reading this unit, you will be able to:

- define marginalization
- explain how marginalization creates development deprivation
- delineate the nature and causes of marginalization
- discuss the various types of marginalization
- explain the effects of marginalization

1.2 THE MEANING AND NATURE OF MARGINALIZATION

In general, the term 'marginalization' describes the overt actions or tendencies of human societies, where people who they perceive to undesirable, or without useful function are excluded, i.e., marginalized. The people who are marginalized are outside the existing systems of protection and integration. This limits their opportunities and means for survival. The term has been defined in the following ways:

Peter Leonard defines marginality as, "...being outside the mainstream of productive activity and/or social reproductive activity".

The Encyclopedia of Public Health defines marginalization as, "To be marginalized is to be placed in the margins, and thus excluded from the privilege and power found at the center".

Laitin observes that, "'Marginality' is so thoroughly demeaning, for economic well-being, for human dignity, as well as for physical security. Marginal peoples can always be identified by members of dominant society, and will face irrevocable discrimination."

Merriam-Webster's online dictionary definition of the term, marginalize, is "to relegate to an unimportant, or powerless position within a society or group"

Ghana G. Gurung and Michael Kollmair mention that the concept of marginality is generally used to analyse socioeconomic, political, and cultural spheres, where disadvantaged people struggle to gain access to resources and full participation in social life. In other words, marginalized people might be socially, economically, politically and legally ignored, excluded, or neglected, and, therefore vulnerable to livelihood change.

According to Sommers *et. al.*, "Socio-economic marginality is a condition of socio-spatial structure and process in which components of society and space in a territorial unit are observed to lag behind an expected level of performance in economic, political and social well being, compared with average conditions in the territory as a whole"

These definitions are mentioned in different contexts, and show that marginalization is a slippery and multilayered concept. To further clarify the meaning and concept let us discuss certain features of marginalization:

- Sometimes, whole societies can be marginalized at national and global levels, while classes and communities can be marginalized from the dominant social order within the local level. In some other contexts, the same community can be marginalized in certain country (Jews in Germany or Russia) whereas they are not marginalized in another country (Jews in the U.S.A.).
- Marginalization also increases or decreases at certain stages of life cycle. For example, the marginalized status of children and youth may decrease as they get older; the marginalized status of adults may increase as they become older; the marginalized status of single mother may change as their children grow up.
- Individuals or groups might enjoy high social status at some point of time, but as social change takes place, they may lose this status and become marginalized.

Thus, marginalization is a complex as well as shifting phenomenon linked to social status.

Nature of marginalization

Marginalization is a multidimensional, multicausal, historical phenomenon. There are no general laws to understand and comprehend the complex nature of

marginalization. The analytical tools that can be used in most cases include class, in relation to specific social, cultural, economic and political conditions, as well as ideological systems, social awareness, and human action. The nature of marginalization varies in different settings. For example, the marginalization of women in Iraq is not the same as in India, though they broadly share some features. The religious, ideological system, patriarchy, political economy of a country, and the overall social system have an impact on the marginalization of specific groups or an individual.

The nature of marginalization also varies in relation to elderly people living in different countries and cultures. In some societies, the elderly are given more respect compared to other and, hence, are subject to less marginalization. The strong and supportive traditional family system in some cultures often provides better respect and care to elders than the public aided system available in others.

Similarly, the level of awareness among the marginalized groups plays very important role, and the nature of marginalization varies accordingly. Organized communities who are aware of their rights demand more justice than unorganized communities. This also depends upon the political- economy of the country where they live in. For example, physically challenged people form organizations in the U.S. and Europe more effectively than in other countries, and demand justice easily. This cannot always happen if the political-economic system is not supportive. Usually, democratic institutions are favorable for most of the disadvantaged groups. In this section, you have studied the meaning and nature of marginalization. Now, answer the questions in Check Your Progress-1.

Check Your Progress 1

Note: a) Write your answer in about 50 words

b) Check your answer with possible answers given at the end of the unit

1) What is meant by marginalization?

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2) Write a note on the nature of marginalization.

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1.3 THE TYPES OF MARGINALIZATION

In the previous section, you studied the meaning and nature of marginalization. In this section, you will study the types of marginalization.

To be marginalized is to be distanced from power and resources that enable self determination in economic, political and social settings. Though there are various types of marginalization, we identify some broad types, such as social, economic, and political marginalization.

i) Social Marginalization

Marginality is both ascribed and acquired in a social setting. The experience of marginality arises in a number of ways. For some people, those severely impaired from birth, or those born into marginal groupings (e.g., lower castes in India, members of ethnic groups that suffer discrimination - the Romans in Europe, indigenous people in Australasia, and on the American continent, African Caribbean people in Britain), this marginality is typically life long and greatly determines their lived experience. For others, marginality is acquired by later disablement or by changes in the social and economic system. As global capitalism extends its reach, bringing more and more people into its system, more communities are dispossessed of lands, livelihoods, or systems of social support.

People who are socially marginalized are largely deprived of social opportunities. They may become stigmatised and are often at the receiving end of negative public attitudes. Their opportunities to make social contributions may be limited, and they may develop low self confidence and self esteem. Social policies and practices may mean that they have relatively limited access to valued social resources such as education and health services, housing, income, leisure activities, and work. The impact of marginalization, in terms of social exclusion, is similar, whatever the origins and processes of marginalization, irrespective of whether these are located in social attitudes (such as, towards impairment, sexuality, ethnicity, and so on) or, social circumstance (such as closure of workplaces, absence of affordable housing, and so on). Different people will react differently to marginalization depending on the personal and social resources available to them.

Another problem is that people born in a marginalized community lack the required social and cultural capital to participate in mainstream development processes. Their social networks are weak and vulnerable. Lack of social capital deprives an individual of access to resources, such as, economic, educational and cultural and other support systems. This creates social isolation and limits their participation in the development process.

ii) Economic Marginalization

Economic marginalization as a process relates to economic structures, in particular to the structure of markets and their integration. To the extent that the markets that some individuals or groups engage in are segmented from the economy in general, these individuals can be said to be marginalized from the rest of the economy. Segmentation and exclusion may, however,

have non-economic and non-financial origins, for example in discrimination by gender, caste, or ethnicity. Here, integration takes on a broader meaning. People who are experiencing marginalization are likely to have tenuous involvement in the economy. The sources of their income will vary. These experiences affect men and women differently and vary with age. Poverty and economic marginalization have both direct and indirect impacts on people's health and wellbeing.

iii) Political Marginalization

Political marginalization does not allow the group to participate democratically in decision making, and, hence, they lose their right to every social, economic, and political benefit. Political empowerment is one of the most important tools for accessing other social and economic privileges.

In every society, lack of political empowerment affects large sections of people, including women, ethnic minorities, migrants, disabled persons, elderly, etc. So far as gender is concerned, we find that participation by women is minimized across the globe. It is men who hold power and lead politics around the world. This is true at all levels of power in politics, whether it is party leadership, elected office, appointed offices, or at policy making levels. This is a particularly acute problem in third world countries, where women's participation in political affairs is mostly linked with the dominant, male-oriented social cultural and religious environment. This kind of marginalization is also felt by ethnic minorities, migrants, disabled persons, elderly, etc.

In this section, you studied various types of marginalization. Now, answer the questions given in Check Your Progress-2

Check Your Progress 2

Note: a) Write your answer in about 50 words

b) Check your answer with possible answers given at the end of the unit

1) What are the different types of marginalization?

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2) What do you mean by political marginalization?

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1.4 THE CAUSES OF MARGINALIZATION

Frank Herbert remarked “All men are not created equal, and that is the root of social evil” In this section we will discuss about the causes of marginalization. Through marginalization, a majority of people are deprived across the globe. It is a complex problem, and there are many factors that cause marginalization. Some of the important factors that are responsible for marginalization discussed below are: exclusion, globalization, displacement, disaster – natural, and unnatural.

i) Exclusion

Marginalization is a process that denies opportunities and outcomes to those ‘living on the margins’, while enhancing the opportunities and outcomes for those who are ‘at the centre’. Marginalization combines discrimination and social exclusion. It offends human dignity, and it denies human rights, especially, the right to live effectively, as equal citizens. Caste and class prejudice, in many societies across the globe, exclude many groups and communities, and hinder their productive participation in economic and social development. For further discussion on exclusion please refer to the unit titled, Inclusive Development.

ii) Globalization

Globalization is a controversial and much debated topic, and the responses are both positive and negative, in the context of development. As far as marginalization is concerned, globalization played a certain role. Increased openness has promoted development at the cost of equity. It is viewed that it has enhanced the gap between haves and have-nots and thus boosted marginalization. Globalization in the post-1980 period has marginalized much of the third world and low income, developing countries. Apart from East and South Asia, all the world’s less developed regions grew faster during the relatively less globalized era of the 1950s and 1960s. Yet, all regions have expanded their exposure to international trade. While it is true that some middle income developing countries, as well as the most populous countries, India and China, are gaining out of globalization, yet the impact is not equally universal for all nations of South Asia (Table 1).

Table 1 Human Development Index of SAARC Countries

Countries	HDI	Rank	Categories
Bangladesh	.509	138	Medium Human Development
Bhutan	.536	134	Medium Human Development
India	.595	127	Medium Human Development
Maldives	.752	84	Medium Human Development
Nepal	.540	140	Medium Human Development
Pakistan	.497	142	Low Human Development
Srilanka	.740	96	Medium Human Development

Source: Human Development Report – 2004, UNDP

The era of globalization is a cause of concern for many underdeveloped countries. In the case of Africa, Latin America, and some parts of Asia, the human development indicators have been declining. Simultaneously, the gaps between the rich and poorer nations have been also increasing.

iii) Displacement

The forced population displacement is caused by development programmes implemented by the government of various nation states. The government of India admits that there are 15.5 million displaced persons when it drafted the National Rehabilitation Policy in 1994. The increasing construction of development projects consistently displaced a massive number of tribal, poor, and weaker sections. This resulted in further marginalization of already marginalized people. The ultimate gainer are the contractors, businessmen, industrialists, politically and economically well ups and the real poor are the underdog. As a consequence, we find social unrest, resistance, and disharmony in many parts of the globe. More details about displacement and its impact are discussed in the unit titled, “Inclusive Development”.

iv) Disaster- Natural and Unnatural

Disasters are global phenomena and a serious challenge to development (Table 2). Vulnerability is linked to broader social issues, such as poverty, and to social exclusion, conflict, and marginalization. There are three broad classification of disaster and their combined impact on development is staggering

- **Natural:** earthquake, volcanic eruption, hurricane, tornado, ice storm, flood, flashflood, landslide, wildfire, insect infestation, and disease outbreaks. These disasters may be further sub classified as meteorological, oceanographic (tsunami or sea storm), hydrological, or biological events.
- **Technological:** Associated with technological advances, i.e., explosives, unexploded ordinance, toxic spills, emissions of radio-isotopes, and transportation accidents. It also includes hazmat (hazardous materials) incidents involving carcinogens, mutagens, or heavy metals; dangers such as structural failure of devices and machines or installations, and plants, such as bridges, dams, mines, power plants, pipelines, high rise buildings, vehicles, and trains.
- **Social:** These include incidents primarily involving social unrest, such as hijacking, riots, demonstrations, crowd rushes, and stampedes, terrorist incidents, as well as bombings, shootings, and hostage taking.

Table 2 People affected by Disasters in Different Regions of the World

Types/Region	Africa	America	Asia	Europe	Oceania
People killed by disaster	77852	9354	46353	3124	108
People affected by disaster	11894585	3803731	126092412	13161	1008274
People made homeless by disaster	284534	330317	4139208	72076	14220
People injured by disaster	20937	10555	53964	3960	634

Source: World Disaster Report, 1998, Oxford University Press, 1998.

Throughout human history, these disasters have played a major role in retarding the economic development and affecting survival of humanity. The extent of damage caused by these disasters is clearly connected to a country's socioeconomic condition. The impact of both natural and unnatural disasters are closely related to poverty, education, quality of health, gender related issues, and changing policy scenarios in relation to global socioeconomic characteristics and stakeholder partnerships. Poorer, illiterate, women are more vulnerable to these disasters and their preparedness is weak during and after disasters where they are pushed further into marginalization. In this section, you studied the causes of marginalization> Now, answer the questions given in Check Your Progress-3.

Check Your Progress 3

Note: a) Write your answer in about 50 words

b) Check your answer with possible answers given at the end of the unit

1) Which important factors are responsible for marginalization?

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2) How does disaster cause marginalization?

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1.5 THE LEVELS OF MARGINALIZATION

Marginalization happens simultaneously at the micro and macro levels. Often they intersect each other in many ways. The following section will discuss how marginalization occurs at different levels, i.e., individual, group, community, and global.

i) Individual

Marginalization at the individual level results in an individual's exclusion from meaningful participation in society. An individual can face discrimination across different social institutions, such as family, schools and neighbourhood, at work places, or places of worship. Single parents, persons with disability, homosexuals, the elderly, are marginalized individually, as most of them have no association with communities (not in an organized form).

Another example of individual marginalization is the exclusion of individuals with disabilities from the labour force. Employers view individuals with disabilities as people who potentially jeopardize productivity, increase the rate of absenteeism, and create accidents in the workplace. Employers are often concerned about what they consider the excessive cost of accommodating people with disabilities. The marginalization of individuals with disabilities is prevalent today across the globe despite legislative protection, the Employment Equity Act, academic achievements, and skills and training.

ii) Communities

Many communities experience marginalization. The example that we will look at in this section is on aboriginal communities and women in many countries of the world. The marginalization of aboriginal communities is a product of colonization. As a result of colonialism, aboriginal communities lost their land, were forced into destitute areas, lost their sources of income, and were excluded from the labour market. Additionally, aboriginal communities lost their culture and values through forced assimilation, and lost their rights in society. Today various communities continue to be marginalized from society due to the development of practices, policies and programs that “met the needs of white people and not the needs of the marginalized groups themselves”.

A second example is the marginalization of women. Moosa - Mitha discusses the feminist movement as a direct reaction to the marginalization of white women in society. Women were excluded from the labour force, and their work in the home was not valued. Feminists argued that men and women should equally participate in the labour force, in the public and private sector, and in the home. They also focused on labour laws that increase access to employment, as well as laws that recognize childrearing as a valuable form of labour. Today, women are still marginalized from executive positions, and continue to earn less than men in upper management positions. Once Mahatma Gandhi said “women is described as man’s better half as long as she has not the same rights in law as man; as long as the birth of the girl does not receive the same welcome as that of a boy, so long, we should know that India is suffering from partial analysis. Suppression of women is denial of *Ahimsa*”

iii) Global

Earlier, we discussed the impact of globalization and the increasing gap between rich and poor nations. Globalization (global capitalism), immigration, social welfare, and policy are broader social structures that have the potential to contribute negatively to the access to resources and services. This results in marginalization of individuals and groups, as well as nations. Globalization, or, the influx of capitalism, information technology, company outsourcing / job insecurity, and the widening gap between the rich and the poor, impacts the lives of individuals and groups in many capacities. In this section, you studied the different levels of marginalization. Now answer the questions given in Check Your Progress 4

Note: a) Write your answer in about 50 words

b) Check your answer with possible answers given at the end of the unit

1) Marginalization occurs at various levels. Discuss.

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2) How does globalization marginalize poorer nations?

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1.6 MARGINALIZED GROUPS

As mentioned earlier, marginalization can occur simultaneously at various levels, i.e., at international, national, regions, groups, etc. In this section we will discuss the most vulnerable marginalized groups in almost every society.

i) Women

Under different economic conditions, and under the influence of specific, historical, cultural, legal and religious factors, marginalization is one of the manifestations of gender inequality.

In other words, women may be excluded from certain jobs and occupations, incorporated into certain others, and marginalized in others. In general they are always marginalized relative to men, in every country and culture. Women (or, men) don't present a homogeneous category where members have common interests, abilities, or practices. Women belonging to lower classes, lower castes, illiterate, and the poorest region have different levels of marginalization than their better off counterparts.

ii) People with disabilities

People with disabilities have had to battle against centuries of biased assumptions, harmful stereotypes, and irrational fears. The stigmatization of disability resulted in the social and economic marginalization of generations with disabilities, and, like many other oppressed minorities, this has left people with disabilities in a severe state of impoverishment for centuries.

iii) Ethnic Minority

The term, ethnic minority, refers to marginalized people of the same race or nationality who share a distinctive culture. A minority is a sociological group that does not constitute a politically dominant voting majority of the total population of a given society. A sociological minority is not necessarily a numerical minority. It may include any group that is subnormal with respect to a dominant group, in terms of social status, education, employment, wealth, and political power.

Usually a minority group has the following characteristics

- 1) It suffers from discrimination and subordination.
- 2) They have physical and/or cultural traits that set them apart, and which are disapproved of, by a dominant group.
- 3) They share a sense of collective identity and common burdens.,
- 4) They have shared social rules about who belongs, and who does not.
- 5) They have a tendency to marry within the group.

Every large society contains ethnic minorities. They may be migrant, indigenous or landless nomadic communities. In some places, subordinate ethnic groups may constitute a numerical majority, such as Blacks in South Africa under Apartheid. International criminal law can protect the rights of racial or ethnic minorities in a number of ways. The right to self determination is a key issue.

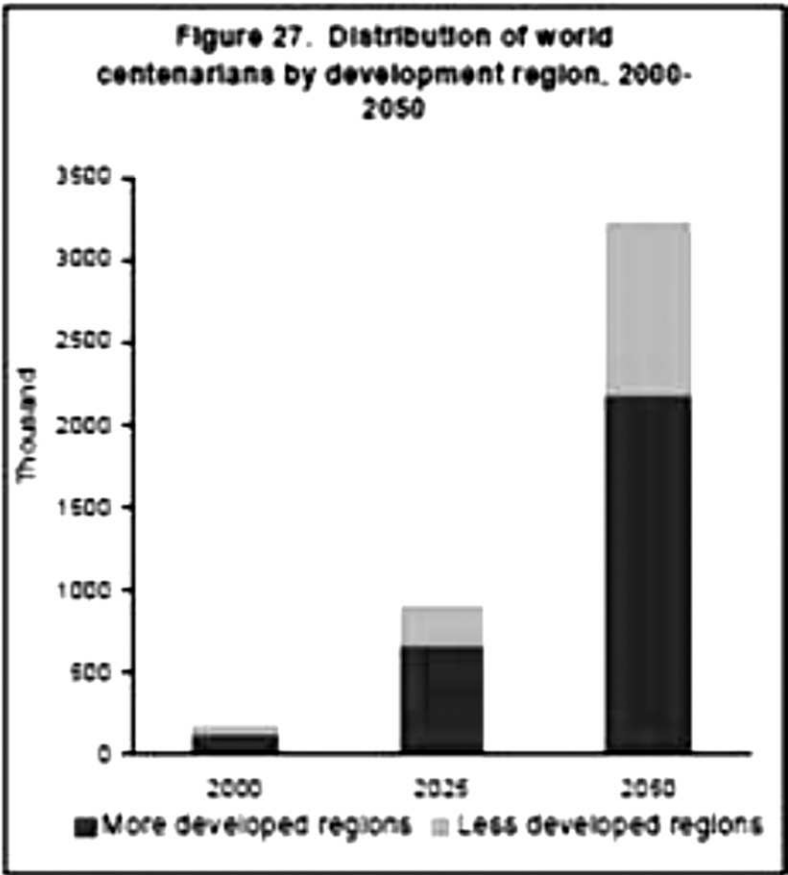
Persons belonging to religious minorities have a different faith from the majority. Most countries have religious minorities. It is now widely accepted in the West that people should have the freedom to choose their own religion, including not having any religion (atheism, or agnosticism), and that this includes the right to convert from one religion to another. However, in many countries, this freedom is constricted. For example in Egypt, a new system of identity cards requires all citizens to state their religion, and the only choices are Islam, Christianity, or Judaism (See Egyptian identification card controversy).

iv) Elderly

Ageing is an inevitable and inexorable process in life. A notable aspect of the global ageing process is the progressive demographic ageing of the older population itself. For most nations, regardless of their geographic location or developmental stage, the 80 year olds, or over-age group is growing faster than any younger segment of the older population.

The UN Report (2002) on *World Population Ageing 1950-2050* reveals that people 80 or older currently constitute more than 3 per cent of the population of Northern America, and almost 3 per cent of the population of Europe, compared with less than 0.9 per cent in Asia, Latin America, and the Caribbean, and less than 0.4 per cent in Africa. A regional difference is projected to persist over the next 50 years. By 2050, about 1 in 10 individuals will be aged 80 or older in the more developed regions, while the corresponding ratio will be 1 in 30 in the less developed regions. In the least developed countries, only 1 in 100 persons will be 80, or over. By 2050, 19

countries, mostly in Europe, are projected to have at least 10 per cent of their population aged 80 years or over.



Source: UN *World Population Ageing 1950-2050*, Population Division, DESA, United Nations.

The demographic composition is changing in many countries, i.e., in Eastern and Northern Europe, women currently outnumber men by more than 5 to 3 among the population aged 60 or over, thus adding not just elderly but also the elderly women as the majority of marginalized groups among them.

In the modern world, it is seen that the elderly care the most neglected group of population. Children of elderly in many families consider expenditure on care for elderly such as on their health and nutrition as wasteful investment. The stereo types, that the old age people are usually subject to such kind of illness, add further to their neglect. Therefore, most of them are found dejected and emotionally shaken and some even leave home when the act of neglect cross the limit.

In this section, you studied different marginalized groups. Now answer the questions given in Check Your Progress-5.

Check Your Progress 5

- Note:** a) Write your answer in about 50 words
- b) Check your answer with possible answers given at the end of the unit
- 1) What are the major marginalized groups in India?

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2) How does marginalization affect women?

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1.7 LET US SUM UP

Development is always broadly conceived in terms of mass participation. Marginalization deprives a large majority of people across the globe from participating in the development. It is a complex problem, and there are many factors that cause marginalization. This complex and serious problem need to be addressed at the policy level.

1.8 REFERENCES AND SUGGESTED READINGS

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1.9 CHECK YOUR PROGRESS - POSSIBLE ANSWERS

Check Your Progress 1

1) What do you mean by marginalization?

Answer. In general, the term 'marginalization' describes the overt actions or tendencies of human societies, where people who they perceive to undesirable, or without useful function are excluded, i.e., marginalized. The people who are marginalized are outside the existing systems of protection and integration. In simple term it is the process of exclusion from the privilege and power found at the centre or mainstream enjoyed by the privileged section.

2) Write a note on the nature of marginalization?

Answer. Marginalization is a multidimensional, multicausal historical phenomenon. There are no general laws to understand and comprehend the

complex nature of marginalization. The nature of marginalization varies in different settings. For example, the marginalization of women in Iraq is not same as in India, though, broadly, they share some features. The religious ideological system, patriarchy, political-economy of a country, and the overall social system have impact on the marginalization of a specific group or individual.

Check Your Progress 2

- 1) What are the different types of marginalization?

Answer. The phenomenon of marginalization cannot be categorized into any definitive types. There are numerous ways that marginalization can be typified, and some broad categories include socioeconomic, political, cultural, and geographical types. Marginalization is also both ascribed and acquired in a social setting.

- 2) What do you mean by political marginalization?

Answer. Political marginalization does not allow a marginalized group to participate democratically in decision-making, and thus, they lose their right to social, economic and political benefits.

Check Your Progress 3

- 1) What are the important factors responsible for marginalization?

Answer. Marginalization is a process that systematically denies opportunities and outcomes to those 'living on the margins', and enhances the opportunities and outcomes of those who are 'at the centre'. There are many factors that cause marginalization. Some of the important factors that are responsible for marginalization are exclusion, globalization, and displacement, disaster - natural and unnatural.

- 2) How does disaster causes marginalization?

Answer. Disaster causes marginalization in multiple ways. Vulnerability is linked to broader social issues, such as poverty, but also social exclusion, conflict and marginalization. There are three broad classification of disaster and their combined impact is on development is staggering. The classifications are: (1) Natural: earthquake, flood, flashflood, landslide; (2) Technological: associated with technological advances, i.e., explosives, unexploded ordnance, toxic spills, emissions of radio-isotopes; (3) Social: incidents primarily involving social unrest, hijacking, riots, demonstrations, crowd rushes and stampedes, terrorist incidents as well as bombings, shootings, and hostage taking. Throughout human history, these disasters have played a major role in the economic development and survival of humanity.

Check Your Progress 4

- 1) Discuss how marginalization occurs at various levels.

Answer. Marginalization happens simultaneously at micro and macro levels. The micro and macro levels often intersect each other in many ways. Marginalization occurs at individual, group, community, and global levels. Marginalization at the individual level results in an individual's exclusion

from meaningful participation in society. Marginalization occurs at the community level where a community experiences exclusion from the mainstream as a result of the development of practices, policies, and programs. And certain global forces directly contribute to marginalization. Globalization (global capitalism), immigration, social welfare, and policy are broader social structures that have the potential to contribute negatively to one's access to resources and services, and result in marginalization of individuals and groups, as well as nations.

2) How does globalization marginalize poorer nations?

Answer. Globalization especially marginalized much of the third world and low income, developing countries. Globalization (global capitalism), immigration, social welfare, and policy are broader social structures that have the potential to contribute negatively to one's access to resources and services, resulting in the marginalization of individuals and groups, as well as nations. Globalization impacts the lives of individuals and groups in many capacities with the influx of capitalism, information technology, company outsourcing, job insecurity, and the widening gap between the rich and the poor.

Check Your Progress 5

1) What are the major marginalized groups in India?

Answer. India being a poor country, it has a substantial number of marginalized groups. Under different economic conditions, the influence of specific historical, cultural, legal and religious factors, marginalization changes in different countries for specific groups. Generally marginalized groups in India include women, *dalits*, persons with disabilities, elderly, children, etc.

2) How does marginalization affect women?

Answer. Marginalization causes gender discrimination whereby women are excluded from certain jobs and occupations, incorporated into certain others and marginalized in others. In general women are always marginalized relative to men, in every country and culture. The marginalization in case of women belonging to lower class, lower castes, illiterate and poorest region has a deeper impact in their life.

UNIT 2 CAPACITY BUILDING

Structure

- 2.1 Introduction
- 2.2 Capacity Building: Meaning and Concept
- 2.3 Need for Capacity Building
- 2.4 Key Considerations Pertaining to Capacity Development
- 2.5 Capacity for What?
- 2.6 Capacity for Whom?
- 2.7 How to Build Capacity?
- 2.8 Capacity Building for Women in Local Self Governance
- 2.9 Let Us Sum Up
- 2.10 Keywords
- 2.11 References and Suggested Readings
- 2.13 Check Your Progress – Possible Answers

2.1 INTRODUCTION

In the history of Indian democracy, the passage of 73rd and 74th Constitutional Amendment Acts is considered as the landmark for reviving the concept of local self governance. Through these amendments transformation is expected in the society from feudal to democratic mode and to alter the character of our democracy from representative to participative. All these can happen only when people effectively participate in the proceedings of the local self governance. The scope of the local self governance under these amendments is much larger. The important aspect to be noted is that people from different segments of the patriarchal, hierarchical, feudalistic society are drawn into the fold of local self governance. All are included in this process but the question is whether these people can participate and deliberate their roles and responsibilities effectively as they are deprived in the name of gender, caste and class. Moreover, the tasks which are to be performed by them are profound. To function effectively and efficiently they have to enhance their skills, capacity and capability. Therefore, capacity building becomes imperative to operate the local self governance successfully.

In this unit we will discuss the meaning, concept and the need for capacity building. This unit on capacity building will help you to answer capacity for what, capacity for whom and to build capacity.

After studying this unit, you should be able to

- discuss the meaning, concept, the need and the principles of Capacity Building.
- describe how to build capacity of people involved in local self governance.
- analyse the capacity building of elected representatives from the institutions of local self governance.

2.2 CAPACITY BUILDING: MEANING AND CONCEPT

Oxford dictionary defines capacity as the ability or power to do something. S.K.Singh defines capacity building as the development of an organization or individual's core knowledge, skills and capabilities in order to build and enhance the organization's effectiveness and sustainability. It is the process of assisting an individual or group to identify and address issues and gain insights, knowledge and experience needed to perform effectively. Capacity building can also include the creation of an enabling environment with appropriate policy and legal frameworks, institutional development and human resources development and strengthening of managerial systems. Capacity building is facilitated through the provision of technical support activities, training, specific technical assistance and resource networking. Capacity building is recognized as being a long-term, continuing process, in which all stakeholders participate.

In the context of local self governance, capacity building of the stakeholders in local self governance should be considered more significant, because they have varieties of services to be delivered. In order to discharge their duties they have to follow certain code of development ethics enjoined with principles of equity, responsiveness, transparency, accountability, participation etc. So, capacity building for them is considered significant. The strategy of capacity building for elected representatives and other people involved in local self governance should consider the following.

- i) Capacity building is not a one-time intervention, it is a continuous process and it must be periodically repeated to sustain the inputs and skills developed. It should not only focus on sharing information, rather it is a process of exploration, discovery and growth.
- ii) Capacity building exercise must have participatory approach thereby enhance effectiveness. Thus the training design is embedded with the participation of all members to give space for thinking and doing and arouse curiosity and provoke creativity.
- iii) The status of local governance is at variance across the states in terms of devolution of powers, functions, finances and functionaries. Moreover, social milieu, work culture, ethos etc. varies from state to state. Therefore, specific training need of elected representatives will vary from state to state and it can be best assessed at the state level. Thus modules have to be designed in such a way to provide cushion for incorporating state specific requirements.
- iv) However, without sacrificing the specificity of local requirements, there are some conceptual issues, which promote all diversities and need to be internalized by the functionaries across the state. These inputs will be common for all.

2.3 NEED FOR CAPACITY BUILDING

Democratic decentralization through 73rd and 74th Constitutional amendment Acts can truly happen when actors involved in local self governance perform their roles and responsibilities as envisaged in the provision. To make this happen

interventions are required and focus should be on building, promoting and empowering new leadership of women, SC/ST and other deprived and marginalized sections of the society. In practice the actors involved in the local self governance did not know how to work with the institution of local development. Not only they, even the various indirect actors like voluntary organizations, community based organizations etc did not know how to intervene. The media did not know how to project issues in local governance. Policy makers are also grappling with the issue of matching the provisions with field realities. In order to overcome these problems capacity building becomes imperative. This exercise should be carried out at all levels keeping the following as main objectives.

- i) To orient the local self governance functionaries about the role, responsibilities and scope as soon they assume their office.
- ii) To enhance their skill, capacity and capability in discharging their responsibilities assigned to them.
- iii) To sensitize and motivate the local self governance functionaries and elected representatives to make them as an effective instruments of delivery for rural development programmes and various other services provided by the government at the grassroots level.
- iv) To sensitize the elected representatives and the functionaries of the problems of the poor and make local self governance more responsive to their needs.
- v) Ensure that the participatory mode of development and deepening democratic base of the country through effective functioning of *gram sabha*.
- vi) To develop professional trainers, resource persons of the country for training functionaries and elected representatives on a continuous and sustained basis.
- vii) To sensitize media and other organizations on the potential of local self governance.

The growth of local self governance in the country is varied and uneven. Some states are better placed where as some remained static for several reasons. There is also cynicism among certain sections that the local self governance has not come up to the expected level. But the fact is that they have not been properly oriented and trained. Therefore a proper training and capacity building strategy is necessary.

2.4 KEY CONSIDERATIONS PERTAINING TO CAPACITY DEVELOPMENT

Discussed earlier capacity building is an ongoing endogenous process that involves attaining, strengthening, adapting and mainstreaming capacity overtime. The need for building capacities often arises from (i) pressures for better governance, (ii) new opportunities and (iii) social challenges. In this sense, the task of building the capacity is a never ending process. Indeed, the development of individual competency takes many years and societal transformation take generations. UNDP's practice note on capacity development has suggested key considerations pertaining to capacity development. They are explained in the following.

In order to better understand what constitutes capacity development and how to support it, it is important to reflect on what drives and impacts it, and the contexts in which it thrives or withers away. It is fundamentally an endogenous and dynamic process that takes place in a context where capacity opportunities and challenges ebb and flow over time. Capacity development is a function of political economy, special interests and power relations. The use of capacity and its development require adequate incentives to lead to performance that creates opportunities and transformation. Finally, there are important implications for the way in which external assistance is provided, including the importance of aligning and harmonizing development cooperation around country processes.

Contextual, Endogenous Process and Opportune Timing

The development of a society's capacity is an ongoing endogenous process that involves attaining, strengthening, adapting and maintaining capacity over time, in response to emerging opportunities and challenges. The need for developing capacities often arises from (i) pressures for better government from the elite and leaders at the top, as well as citizens and clients at the bottom; (ii) new opportunities in the market place; or (iii) social challenges. In this sense, the task of capacity development is never done. Moreover, the process cannot be rushed, nor can it be expected to evolve in a controlled and linear fashion. A lag usually exists between any investment in capacity development, the emergence of new capacities and their translation into performance improvements. Indeed, the development of individual competency takes many years, while societal transformation may take generations.

Timing is everything. Windows of opportunity for change open and close with changes in leadership, which could bring with it a new look at development priorities, partnerships and resource availability. Sometimes, it is important to secure "quick wins" at the outset to mobilise political support and commitment to longer-term capacity investments. The ability of a country, an organisation or a community to avail of opportunities to better their human development depends on the capacity base it has built that enables adaptability and flexibility to manage risks and changes. The challenges in investing in capacities are often about managing trade-offs: making an investment that has an immediate return, or investing in initiatives that have a 5-10 year or longer gestation period, for example, investing in primary and secondary education for girls.

Political Economy

Addressing capacity needs by putting in place skills, systems and processes will not hold the promise of sustainable results if the process does not take into account the inherently political and complex realities in the environment. Political, economic and social incentives relate to mindsets, norms and values. Sustainable results require effective participation, public access to information that leads to voice of the people (particularly women and disadvantaged sections of society), civic engagement and accountability for capacity results. The change processes related to capacity development come with changes in roles and responsibilities that can be most unsettling to vested interests and established power structures. External partners inevitably become part of this process and the political economy.

Incentives and Performance

Perceptions and concerns about development performance usually provide the entry point for thinking about capacity issues. When a system or organization is

seen to be under-performing, attention is drawn to the inadequacy of capacity. The opposite is also true. Good performance is usually associated with an organization or system managing and using capacities effectively. Yet, capacity does not automatically translate into improved performance and better development results. To illustrate: a car engine may have all the components to run smoothly, but it would still sit idle without fuel and a driver. By the same token, capacities may be in place, but appropriate incentives need to be present to put them in high gear and in motion toward the desired development destination.

Sound governance practice is a critical enabler in any environment. Countries are more likely to develop and make use of available capacities when there is strong political ownership and commitment at the highest levels, wide participation, transparency and clear accountability. In turn, capacity development processes can contribute to enhancing participation and accountability and thus strengthen governance. An institution needs a supportive policy and legal framework, access to resources and the goods and services of other institutions, and the support of stakeholders in order to succeed. Similarly, a staff is motivated to apply its skills when it is adequately compensated for its efforts and when achievement is acknowledged and rewarded.

Quality of Engagement, Alignment and Harmonization

Development cooperation has the potential to facilitate and promote local processes, but unless carefully applied, it can undermine ownership and local capacity. For this reason, it is critical to pay careful attention to aid relationship dynamics. Each side of the “partnership” comes to the table laden with its own ideological and political baggage. Aid relationships are affected by and contribute to shaping an influential political economy that has evolved in many countries to become a quite unwieldy, complex architecture. This architecture consists of stated objectives of a more or less shared nature but comprises equally misperceptions, vested interests and power differentials that feed an often vicious cycle of engagement. Breaking through the dynamics of engagement is not easy as it tends to involve changes in the aid systems that are usually induced by multiple competing parties. Changes and real transformation require genuine cooperation and collective responsibility.⁶

Thinking and Acting in Terms of “Best Fit”

Rather than “best practice,” it is “best fit” that often contributes most to sustainable change. These days, attention is focused on improving aid practices in ways that are more responsive to the capacity development challenge. This agenda includes harmonizing and aligning external support around country strategies, systems and processes, finding ways to make the aid relationship more equitable, transparent and participatory, and identifying roles, approaches and delivery systems for external partners that add value to local capacity development processes.

It is difficult to generalize about roles external partners may play, given that what is needed is contingent on the task at hand. External partners may play more facilitative roles related to the management of change processes, or more interventionist roles including gap-filling. The focus might be on knowledge enhancement, but equally it might require provision of financial resources, or the procurement of equipment and particular expertise. “Process facilitation”—

an approach that is consistent with the idea of capacity development as an endogenous process—can help avoid disempowering local actors by ensuring that local partners remain in the driver’s seat while donors reinforces local ownership and commitment.

2.4.1 Principles of Capacity Building

There are certain principles which are to be followed during capacity building exercise. UNDP promotes ten default principles that inspire ownership, transfigure leadership, and help to ensure progress in capacity building efforts. They are:

- i) Don’t rush. Capacity development is a long-term process: It is not amenable to delivery pressures, quick fixes and short-term results seeking. Engagement for CD needs to have a long-term horizon and be reliable.
- ii) Respect the value systems and foster self-esteem: The imposition of alien values can undermine confidence. Capacity development requires respect. Self-esteem is at the root of capacity and empowerment.
- iii) Scan locally and globally; reinvent locally: There are no blueprints. Capacity development means learning. Learning is a voluntary process that requires genuine commitment and interest. Knowledge transfer is no longer seen as the relevant modality. Knowledge needs to be acquired.
- iv) Challenge mindsets and power differentials: Capacity development is not power neutral and challenging vested interest is difficult. Frank dialogue and moving from closed curtains to a collective culture of transparency is essential to promote a positive dynamic for overcoming them.
- v) Think and act in terms of sustainable capacity outcomes: Capacity is at the core of development. Any course of action needs to promote this end. Responsible leaders can inspire their institutions and societies to effectively work toward capacity development.
- vi) Establish positive incentives: Distortions in public sector employment are major obstacles to CD. Ulterior motives and perverse incentives need to be aligned with the objective of capacity development. Governance systems respectful of fundamental rights are a powerful incentive.
- vii) Integrate external inputs into national priorities, processes and systems: External inputs need to correspond to real demand and need to be flexible to respond effectively to national needs and possibilities. Where such systems are not strong enough they need to be reformed and strengthened, not bypassed.
- viii) Build on existing capacities rather than creating new ones. This implies the use of national expertise as prime option, resuscitation and strengthening of national institutions, and protecting social and cultural capital.
- ix) Stay engaged under difficult circumstances. The weaker the capacity, the greater the need. Weak capacities are not an argument for withdrawal or for driving external agendas. People should not be hostage to irresponsible governance.

- x) Remain accountable to ultimate beneficiaries. Even where national governments are not responding to the needs of their people, external partners need to be accountable to beneficiaries and contribute to ownership by national authorities. Sensible approaches in concrete situations need to be openly discussed and negotiated with national stakeholders.

2.5 CAPACITY FOR WHAT?

Capacity for what is the next question discussed in this unit. Capacity building comprises of a variety of approaches and process such as, organizational strengthening, institutional learning, exposure, horizontal sharing and solidarity are some of the other illustrations of practical, hands-on and experiential learning processes to capacity building. Viewed in this sense, capacity building is a long-term process of strengthening a local body based on systematic learning of new knowledge skills and attitudes. Like all learning, the actor herself must see the value of and take responsibility for that learning. Preparation of local body to identify its particular capacity needs and motivation to take responsibility for learning those is a major part of capacity building. Capacity building effort should address needs for enhancing capacity at the level of individual and organized collectives.

At individual level, the capacity building should focus on leadership development. Long term vision, institutional change and reform and procurement and transparency are to be inculcated. Leadership development for local governance focuses on advancing both the leadership training of individuals and the institutional reform of organizations. It is the synergy between these two parallel actions that most contributes to successful outcomes. Functional and technical capacities of individuals should be enhanced. Functional capacities include

- To engage in multi-stakeholder dialogue
- To analyse a situation and create a vision
- To formulate policy and strategy
- To budget, manage and implement
- To monitor and evaluate

Technical capacities are associated with particular areas of professional expertise or knowledge, such as fiscal management, agriculture, education etc.

At organized collectives capacity can be built for engaging with all relevant stakeholders, supporting dialogue process and promoting inclusive processes that involve relevant authorities. It pertains to all relevant public and societal agents, as well as external partners. It includes the skills to perform the following:

- Identify, motivate and mobilize stakeholders
- Create partnerships and networks
- Raise awareness
- Develop an enabling environment that engages civil society and the private sector
- Manage large group process and open dialogue
- Mediate divergent interests and establish collaborative mechanisms.

- 1) Define the concept of capacity building and highlight its significance in grassroot democracy.

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- 2) What are the principles are to be followed during capacity building?

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2.6 CAPACITY FOR WHOM?

Capacity building for rural local self governance has to be taken at different levels. They are

- Capacity building of Gram Sabha member
- Capacity building of community based organizations
- Capacity building of Gram Panchayat members
- Exclusive Capacity building of women and dalit members
- Capacity building of panchayat union or Panchayat Samiti members and District Panchayat or Zilla Parishad members.
- Capacity building of Government functionaries
- Capacity building of voluntary agencies.

Gram Sabha becomes a vital unit after the introduction of 73rd Constitutional Amendment Act. Citizens who have attained the age of 18 are Gram Sabha members. In order to become vibrant, support and monitor the functioning of Gram Panchayat, the Capacity building exercise must start at the grassroots level by capacitating the Gram Sabha members. Capacity building in general is not only felt imperative after the introduction of the Constitutional Amendment Acts. Training of Panchayati raj functionaries have a historical perspective and they are briefly explained in the following.

2.6.1 Historical Perspective

The subject of Panchayati Raj has been profusely studied, examined and reviewed by various Committees constituted at the National and State level. These Committees have also given emphasis on training of Panchayati Raj Functionaries. Some observations of important committees are given below for better appreciation of the subject.

The Balvantrai Mehta Committee (1957) has observed that, “no efforts so far have been made either by the Governments or by public or political organizations to impart any training in administrative matters to persons elected to local bodies. Such training is essential if we are to make out local bodies effective and useful. Rural administration (especially its developmental aspect) is an increasingly complex process and its machinery is also growing more complex. They have suggested various schemes for integration of the different parts of such machinery but, even so, it will continue to be complicated. It has to be handled with care, and that care can come either from a certain volume of initial knowledge or from knowledge borne out of a series of mistakes. To provide the former and avoid the latter, it is necessary that the persons elected to or aspiring to be elected to such bodies should be equipped with a certain minimum knowledge of this machinery. Organisation of ‘summer schools’ for this purpose will be seriously considered both by the State Governments and responsible non-official organizations like State associations of Panchayat Samitis.”

The Ashok Mehta Committee (1978) categorically suggested training for (a) officials, (b) elected representatives and (c) interface courses for both officials and elected representatives. On training aspect of Panchayat functionaries, the Committee has given the following suggestions:

- i) “the training programmes, covering officials as well as non-officials, would be of staggering dimension. This would require not only the activation of the existing institutions but also considerable augmentation of their numbers and resources. Suitable remedial measures should also be taken to resuscitate and revitalize the State-level training institutions.”
- ii) “the National Institute of Rural Development should be the apex all-India institution for training of trainers, field studies, developing consultancy capabilities, research work and improvement in the level of training in the States. Its faculty should be strengthened and upgraded for this purpose. The Government of India has an important role to play in this regard.”
- iii) “there should be an evaluation of the training programmes so that it will be possible to make necessary modulations from time to time....Importance should be attached to the programmes for adult education to develop the latent civic consciousness in all the people and thus strengthen the faith in the working of the Panchayati Raj Institutions which have a major role in organizing such programmes.”

The L M Singhvi Committee (1986) recommended that every official in the administration should be made to work in the Panchayati Raj and Rural Development setting so as to sensitise our public administration to the problems of rural India. The Committee suggested that substantial training, research and public education inputs should be provided to strengthen the Panchayati Raj

Institutions and the performance capabilities of those who called upon to function as voters, elected representatives, administrative officials, voluntary workers in relation to PRIs. The views expressed by various National level Committees clearly spells out that in order to enable the new dispensation Panchayats to discharge their responsibilities effectively, it is essential that new local leadership require skills in management of development programmes and knowledge of development strategies. This essentially calls for an appropriate training regime suitable to meet the needs and requirements so as to prepare them to take up their assignment.

2.6.2 Capacity Building of Elected Representatives from Institutions of Local Self Governance

The Seventy Third Constitutional Amendment Act made provision for three tier structure. Gram Panchayat forms the first and direct representative body. At the next level block panchayat or Panchayat Samiti is organized and finally at the district level there exists District Panchayat. So Capacity Building has to be conducted at all these levels. However, Gram Panchayat as a vehicle for exercising representative leadership with transparency and accountability to Gram Sabha is a distant ideal.

- i) To understand the autonomous and basic democratic nature of Gram Panchayat as a collective decision-making body, most significant interventions have to be focused on preparing this collective identity. Such interventions aim at developing a common perspective and intellectual appreciation of the Gram Panchayat.
- ii) The second set of intervention is essential at Gram Panchayat level to enhance the institutional mechanism to function as transparent and accountable local body. This includes mechanisms for conducting meetings, preparing minutes, sharing information with Gram Sabha, securing participation and contribution of Gram Sabha, developing participatory micro plans, procedures and systems, effective implementation and monitoring of these plans, securing and mobilizing resources and maintaining transparent systems of financial management, etc.
- iii) The capacity building intervention at this level also needs to address the question of enhancing the resource base of Gram Panchayat to make them financially autonomous and sustainable entities. Capacity enhancement interventions in this area particularly focus on mobilizing local resources from the village.

The most significant interventions in capacity enhancement at this level need to focus on building individual leadership of each of the elected representatives. This is particularly relevant for women, dalits and tribals. These newly elected leaders are experiencing political participation in public space for the first time in their life. Thus, enhancing their leadership roles require capacity enhancement in several ways:

- i) Access to authentic information about the system of local governance, their roles and responsibilities and financial resources available to them are the first and foremost requirement. Capacity building for these literate and semi-literate constituencies such as women, dalits and tribals, required

methodological innovations in audio-visuals, folk forms, etc. to be carried out in different settings.

- ii) Most of these elected women have not left their house or hamlet ever before. Therefore, opportunities for homogenous groups of women, dalits and tribal to share their experiences, express solidarity and provide mutual support need to be created. It is in this context that exposure visits for groups of elected representatives, joint camps and big Sammelan (Conferences) have to be utilized as innovative approaches to building self-confidence for the elected leadership.
- iii) Exercising new leadership also requires learning new skills. These skills include procedures for conducting a meeting, preparing minutes, village plans, managing funds, etc. Learning these skills through training, practical demonstration and hand-holding need to be promoted.

Therefore, capacity enhancement interventions aim at individual strengthening and empowerment of new leaders has been a fundamental challenge in local governance. Given different tiers of local bodies, vertical linkages across them were also need to be strengthened.

One of the most significant areas to be strengthened is to enable horizontal linkages between different tiers of local bodies and commensurate tiers of local administration. These included primary school teachers, village level workers, Aanganwadi (pre-school) workers, multi-purpose health workers, forest guards, police hawaldars (constables), etc. According to constitutional provision, all the above-mentioned government functionaries should be accountable to Gram Panchayat. However, this is not a reality anywhere in India so far. Gram Panchayat needs to learn how to assert their rights and supervision over the concerned government functionaries and relevant government development programmes and resources. Structured learning opportunities need to be created separately for Gram Panchayat, as well as jointly with concerned government officials and their supervisors. This would help for team building. Another area of horizontal networking is building relationships and support mechanisms with other elected representatives in neighbouring villages, blocks and districts. Support towards building such horizontal networks as bottom-up pressure groups and mutual support mechanisms are a major challenge of capacity building in local governance.

2.6.3 Capacity Building of Government Officials

Orientation and attitudinal change for government functionaries at all levels has been a major challenge in working with responsive and accountable bureaucracy. A primary vehicle for bringing this about is through civil service training institutions at the district, state and national levels. This may imply improving pedagogy and quality of facilitators in such government civil service training institutions.

The second area of capacity enhancement for government functionaries has to do with specific skills that they may need to work with Panchayati Raj Institutions. For example, in the system of top-down development interventions, lowest level government officials have no skill in planning and monitoring since all of that has been centralized. They need to learn various aspects of democratic

decentralization especially develop skills in promoting micro plans (including budgeting) as well as social audit and community monitoring of implementation of these plans.

2.6.4 Capacity Building Government of Other Actors

Sensitization and attitudinal changes are also a major arena of capacity enhancement for political leadership at all levels. Barring a few individuals, the political culture in most political parties and among active and elected politicians is one of the disregard for the activities and motivations of ordinary people to take responsibility for village level development.

Capacity enhancement interventions are most urgently needed to sensitize and re-orient donors. Despite general discussions, concrete shifts in donor policies, resources and programmes towards strengthening institutions of local governance are yet to take place. Carefully selected communication strategies, meetings, dialogues and workshops have to be utilized for such capacity enhancement interventions.

2.7 HOW TO BUILD CAPACITY?

Capacity building covers a wide range of issues, including actions to strengthen and further develop human resources, infrastructures or organizational arrangements within a community or organization. It can also cover the development of institutional, financial, political and other resources at different levels and in different sectors of society. Successful capacity building lays a solid basis for more effective and efficient services and activities. It strongly supports the development of knowledge and understanding. In order to build the capacity of the actors involved in local self governance Ministry of Panchayati Raj, Government of India has developed a National Capability Building Framework which is discussed hereunder.

2.7.1 National Capability Building Framework for Panchayati Raj Elected Representatives and Functionaries

The devolution of functions to panchayats to a large extent depends on the capability building of the elected representatives and officials of panchayats. Taking this aspect into cognizance, the 7th Round Table of State Ministers of Panchayati Raj in 2004 adopted several action points relating to the subject of training and capacity building. These action points provide the underpinnings for the design of the National Capability Building Framework.

With the overarching objective of making panchayats institutions of self government, the NCBF is designed to train the elected representatives and officials of panchayats, pressure groups within the Gram Sabha such as SHGs, CBOs, and also officials of higher levels of government.

- It encompasses training, provision of adequate functionaries, technical assistance and other support to Panchayats and provides for orientation to key officials to help them serve effectively in facilitating the panchayats in the performance of devolved functions.

- It aims at improving grassroots democracy by giving appropriate orientation to the stakeholders to deliver better and imbibing good lessons from grass root experiences.
- Training being an important element of the framework, it focuses on information sharing, and the process of exploration, discovery and growth. It emphasizes on the training of SCs, STs, and women.

Content of the Framework

The framework segregates the training content and phases the training programme into three thematic parts. The thematic parts are: (i) Building the right mindset, (ii) Basic skill building for planning and implementation, and (iii) Consolidation through interaction and networking. The framework design prescribes activity mapping, informs the stakeholders about the responsibilities of the governments at all levels and advocates coordination between various stakeholders.

The training methodologies, as part of the framework, include a mechanism of large-scale rollout through satellite or distance training and participatory training to facilitate intensive local support. Interactive satellite based training prescribed in the framework is a composite approach to effectively and rapidly cover a large number of trainees. Combined satellite and face-to-face training and mixed group training is also a part of the framework. The framework has provisions such as training for ICT skills, strengthening and consolidating capability through interaction and networking, campaigns at Gram Sabha level, Panchayati Raj TV channel, community radio, national panchayati raj newsletter, formation of networks of Panchayat elected representatives, extensive use of IT, one year refresher course, visits to identified beacon Panchayats, etc.. The framework also covers provision of infrastructure for satellite training and extension training centres at the intermediate panchayat level.

Resource Persons for Implementing the Framework

The framework provides for the creation of a pool of resource persons through three-step cascade training. The selection of the resource persons is to be done by judging their right aptitude, mindset and commitment for imparting skills concerning key development programs. The pool will comprise of satellite training anchors and presentors, and national resource persons at the central level, and state level master resource persons, district level resource persons, state level master resource persons for IT, and district level resource persons at the state level. At the national and state level, trainers are expected to train state level master trainers, who have experience in training and implementation of government schemes. The resource persons at the district level must be stakeholders and participants in panchayati raj.

Development of Training Materials

Training materials preferably in local language and dialect should be presented in pictorial forms. The training materials may comprise of folk resources, reference handbook for Panchayats, charts, wallpapers and posters related to Panchayats. Workshop discussions, individual interviews and dramatized plays should be prepared in electronic form for a better understanding. In the preparation of the training materials, Panchayat representatives, Resource Persons, NGOs should be involved.

The framework prescribes for monitoring of the outcomes against the qualitative parameters given in the training programme. The criterion for monitoring the outcomes must be chosen so that they are clearly identifiable, observable, verifiable and quantifiable. The framework indicates that training program management needs to be decentralized and adapted to the local needs. As per the framework, the NIRD will work closely with the Ministry of Panchayati Raj in a joint management group that will oversee the implementation of the programme. The state level Training Managing Committee will be responsible for giving policy guidelines regarding training, and reviewing and implementation of the Capability Building Framework.

2.7.2 Capacity Building Strategy and Approach

The training strategy has to be a multi-pronged approach to achieve the objectives. In order to organize training for such large numbers institutional training and Distance Education Mode, through satellite or video conferencing can be adopted. For effective Capacity building following things should be kept in mind

- i) Ensure ownership and leadership
- ii) Ensure multi-stakeholder consultations and decision-making
- iii) Base capacity building efforts in self-needs assessment
- iv) Adopt a holistic approach to capacity building
- v) Integrate capacity building in wider sustainable development efforts
- vi) Promote partnerships
- vii) Accommodate the dynamic nature of capacity building
- viii) Adopt a learning-by-doing approach

Promote regional approaches

2.8 CAPACITY BUILDING FOR WOMEN IN LOCAL SELF GOVERNANCE

Women can perform amazingly after assuming power if they are properly capacitated to exhibit their skills. Based on several experience, Prof. G. Palanithurai listed the following points which are vital and relevant in the Indian context:

- i) First, women will usher in a different approach to governance.
- ii) Second, women perceive the concept of development comprehensively rather than narrowly. They have a broad vision about development process.
- iii) Third, elected women representatives play an important role in pushing the women's issues forward for public discussion and decision making.
- iv) Fourth, elected women representatives ensure more participation of people in the process of development and governance. Women leaders at the grassroots in the Indian context always stand for simplicity, transparency and accountability.

- v) Fifth, elected women representatives have varied sets of skills and they have enhanced the leadership qualities of others. Women have developed skills to carryout works despite the limited resources and differences of opinion with their family members.
- vi) Sixth, elected women representatives are the path finders in solving social problems.
- vii) Seventh, elected women representatives tend to maintain secular values in dealing matters of governance.

All these things can be made possible, if elected women representatives are trained properly. Women leadership at local level is space for development and not a space for politics. One can conclude that empowering women through such type of capacity building exercise addresses the social issues and ensures socio-political uplift of the whole country.

Check Your Progress 2

- 1) Discuss the major suggestions of the Ashok Mehta Committee (1978) regarding capacity building for Panchayati Raj Institutions.

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- 2) Explain the major strategy and approach of capacity building.

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2.9 LET US SUM UP

Capacity building is prerequisite for the effective functioning of local bodies. Conducting training programmes is not easy as it requires several facilities and a well trained team of trainers. Further it requires a lot of information pertinent to Local self governance. By imparting training, the skills and the capacity of the grassroots leaders can be enhanced. The existing conditions and the way in which Panchayats are being administered have been identified only through the training programmes. Steps which are to be taken to put the Panchayats on the proper track have to be amplified by inducing capacity building exercise.

2.10 KEYWORDS

Capacity Building: Development of an organization or individual's core knowledge, skills and capabilities in order to build and enhance the organization's effectiveness and sustainability.

Capacity Development: Enhance and effectively utilize skills, abilities and resources.

Empowerment: Process of enlarging people's choices to participate in the decision that shapes their life.

Decentralization: Process of transferring responsibilities to sub-national levels.

Local self Governance: Geographically defined administrative units, each with its own separate set of tasks, sufficient own resources and democratically legitimized representative bodies.

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2.12 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

- 1) Define the concept of capacity building and highlight its significance in grassroot democracy.

Answer. capacity building as the development of an organization or individual's core knowledge, skills and capabilities in order to build and enhance the organization's effectiveness and sustainability. It includes the creation of an enabling environment with appropriate policy and legal frameworks, institutional development and human resources development and strengthening of managerial systems. In grassroot democracy, the role of capacity building becomes very significant because the new elected members must be trained and aware about their roles and power given to them. Not only this, as a member of grassroot society he/she should be able solve the local problems with collective participation.

2) What are the principles are to be followed during capacity building?

Answer. There are certain principles which are to be followed during capacity building exercise. According to UNDP, there are ten principles that inspire ownership, transfigure leadership, and help to ensure progress in capacity building efforts. They are:

- Don't rush. Capacity development is a long-term process.
- Respect the value systems and foster self-esteem.
- Scan locally and globally; reinvent locally.
- Challenge mindsets and power differentials.
- Think and act in terms of sustainable capacity outcomes.
- Establish positive incentives.
- Integrate external inputs into national priorities, processes and systems.
- Build on existing capacities rather than creating new ones.
- Stay engaged under difficult circumstances.
- Remain accountable to ultimate beneficiaries.

Check Your Progress 2

2) Discuss the major suggestions of the Ashok Mehta Committee (1978) regarding capacity building for Panchayati Raj Institutions.

Answer. The Ashok Mehta Committee (1978) suggested training for (a) officials, (b) elected representatives and (c) interface courses for both officials and elected representatives. On training aspect of Panchayat functionaries, the committee has given the three point suggestions:

- “the training programmes, covering officials as well as non-officials, would be of staggering dimension. Suitable remedial measures should also be taken to resuscitate and revitalize the State-level training institutions.”
- “the National Institute of Rural Development should be the apex all-India institution for training of trainers, field studies, developing consultancy capabilities, research work and improvement in the level of training in the States.”
- “there should be an evaluation of the training programmes so that it will be possible to make necessary modulations from time to time.....”

Answer. The training strategy and approach is to achieve the given objectives.

In order to organize training for such large numbers institutional training and Distance Education Mode, through satellite or video conferencing can be adopted. For effective capacity building following things should be kept in mind:

- i) Ensure ownership and leadership
- ii) Ensure multi-stakeholder consultations and decision-making
- iii) Base capacity building efforts in self-needs assessment
- iv) Adopt a holistic approach to capacity building
- v) Integrate capacity building in wider sustainable development efforts
- vi) Promote partnerships
- vii) Accommodate the dynamic nature of capacity building
- viii) Adopt a learning-by-doing approach
- ix) Promote regional approaches



UNIT 3 LEADERSHIP

Structure

- 3.1 Introduction
- 3.2 Studies on Leadership
- 3.3 Meaning and Concept
- 3.4 Leadership at Grassroots
- 3.5 Emerging Leadership Pattern
- 3.6 Leadership Schools in Action
- 3.7 The Requirements
- 3.8 Ways to Improve the Qualities of Leadership
- 3.9 Keywords
- 3.10 References and Suggested Readings
- 3.11 Check Your Progress – Possible Answers

3.1 INTRODUCTION

Decentralized governance introduced in rural India through the 73rd Amendment to the Constitution of India, has brought in the system of governance at the grassroots three million representatives drawn from different socio economic strata of the society and more particularly Dalits and women. Never India had such an opportunity to bring this massive number of elected representatives into governance structure. No doubt it is a history by itself. In the whole of the world no country has such massive leadership drive took place in a democratic polity in the recent years. This strength is critical and crucial for rural transformation. The assumption is that this critical strength which is called critical mass has to perform critical action and for which they need skill, capacity and capability. For the new institutions at the grassroots a set of new tasks has been assigned. The tasks are difficult which had not been performed well by both the central and state governments hitherto. The New Panchayati Raj Institutions have to work for economic development and social justice by preparing micro plan with the active participation of all segments of the rural society. The passive beneficiaries and petitioners have to be transformed into active stakeholders to participate in the process of governance and development. In such a way people have to be mobilized and capacitated. Further democracy has to be deepened through a process of mobilizing the people for participation in the process of governance and development. To perform the above tasks leadership at the grassroots is crucial. As per the theory, decentralization will deliver goods if adequately powers are devolved, sufficiently middle class is present, literacy rate is high, presence of strong civil society and land reforms are initiated in the society. But now along with the above a new proposition is evolving that is leadership matters much at the grassroots for achieving good governance and equitable development.

After studying this unit you will be able to:

- understand the meaning and characteristics of ‘leadership’ and its importance in the context of democracy and rural transformation;

- analyse the theoretical nuances of leadership in a broader sense and their utility at the grassroots;
- compare between representatives of people and leaders of institutions;
- Importance of various forms of leadership- transformative leadership, collective leadership, administrative leadership, and new emerging leadership in the context of democratizing the society in a multi-caste society, maintaining peace and harmony, to manage development programmes and schemes.

3.2 STUDIES ON LEADERSHIP

For the past twenty years leadership studies gained much currency and the interest shown on leadership has increased exponentially. This new interest is due to the sudden change and transformation happened in economic and political realms in the world. Market forces emerged and for which leaders were responsible and for market expansion large numbers of leaders are needed. As a result large number of leadership schools is created. Thus leadership studies gained prominence. Leadership studies are of different types. They are general, simplistic and understandable to all leadership. Yet other studies are more sophisticated. One will find qualitative and quantitative studies in this area. Generally it is accepted that leadership is a complex process having multiple dimensions. Parallely leadership for governance gained prominence. These leaders are trained to make use of new opportunities to achieve prosperity, eradicate poverty and govern the institutions very well with the active participation of people and more particularly women and other marginalized groups. To cater to the needs of the nations and the regions a large number of leadership schools are needed and slowly they are being created in India. In developed countries leadership schools have been created exclusively to train the elected representatives in the science of governance and managing the institutions. A large number of academics have involved in studying the process of capacity building exercises conducted for elected representatives.

This unit will focus on the emergence of grassroots leaders through the process of election in a competitive mode and they are trained, oriented and sensitized on the roles to be performed and the responsibilities to be fulfilled in the local body system that too in the rural areas. All are representatives elected by the people for the specified task and they acquire skill, knowledge and orientation through capacity building and they have to respond to the challenges in their area of operation through their approach, skill capacity and capability. In this process one has to evaluate to what extent leadership plays its role in the democratic, transformative process of development through the grassroots democratic institutions.

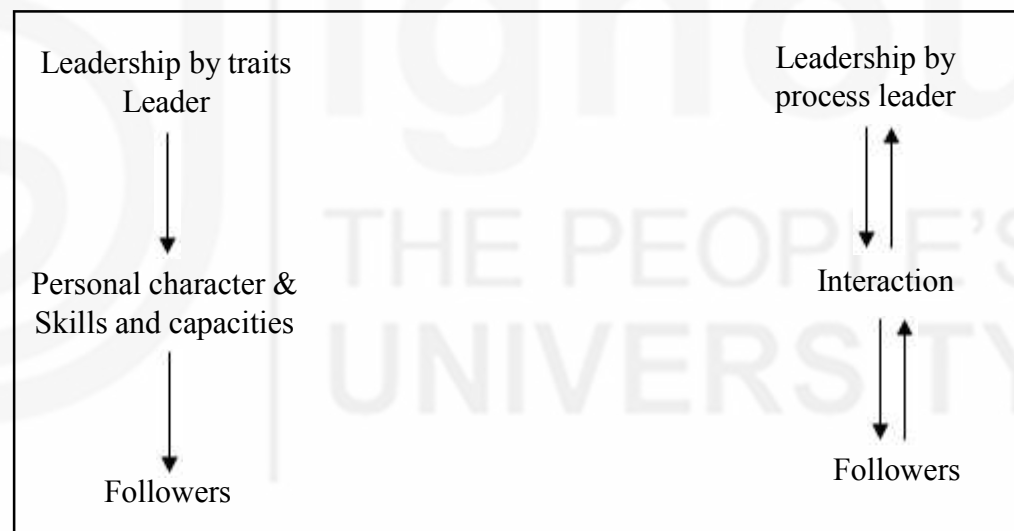
3.3 MEANING AND CONCEPT

Leadership has been defined in many ways. While defining leadership, it is being viewed from the focus of group processes, personality perspective, behavioural traits, power relationship, transformational process and skills perspective. Though leadership is defined in various ways with different perspectives, the components of leadership have certain common characteristics. They are; a. leadership is a

process; b. leadership involves influence; c. leadership occurs in a group context and d. leadership involves goal attainment. Thus leadership is defined as a process whereby an individual influences a group of individuals to achieve a common goal.

It is a process not a trait or characteristics of the leaders but a transactional event that takes place between the leader and the led. It affects both the leader and the led in the process of interaction. It is not a one way event but it is an interactive event. Leadership involves influence and it is concerned with the way the leader affects his or her followers. Influence is the sine quo none of leadership. Without the influence leadership does not exist. It takes place in groups. Leadership involves in influencing the group to achieve the common goals. Understanding of the leadership is always in the context of the level of the followers and their relationship with the leaders. Both leaders and the followers are involved together in the leadership process. The leaders are in the task of taking initiatives and by which they link themselves with the stakeholders. While analyzing the concept leadership in the backdrop of the above given definition and explanation issues have to be seen from the perspective of both the leaders and the followers or the stakeholders.

Though, we talk about leadership as a process one cannot ignore the argument that leadership as a trait. The scholars who deal with leadership from the perspective of traits argue that certain individuals have certain special, unique, innate, inborn qualities that really make them leaders. These qualities differentiate them from other ordinary persons or individuals.



Leadership defined by process suggests that leadership is a phenomenon that exists in the context and makes leadership available to every one and it is to be learned. There are other arguments concerned with leadership. Leadership assigned is differentiated with leadership emergence. Some handle powers because they are being positioned and whereas others they influence over their group members not because of their positions but because of the personal traits and characteristics.

For leadership, power is the key element and central concept which has got its capability to influence others. Powers are of two types. They are personal and positional. Personal power is the capacity of the leader to influence over others. Positional power is the powers a person derives from a particular office

legitimately. Leadership is equated with management. Leadership handles, people, institutions and works for achieving the targeted goals as management. Many of the functions of leadership are similar to the functions of management.

Yet, for the present work, we consciously take the argument and definition of leadership as process coupled with traits and assignment as the rural local body leaders are elected to position with certain earmarked responsibilities to be discharged by them. While discharging responsibilities, they have to be in constant interaction with the people with an objective of involving them for collective decision making. Yet the elected leaders have certain key characteristics and traits which influence the whole process of development and democratic decision making.

While seeing the concept leadership, it is necessary to understand the context and situation in which it works. India being a society with hierarchical division based on caste, and class, highly patriarchic in nature, agriculture being the primary occupation of 60 percent of the population, the concept leadership has to be viewed both from the perspective of the systems created for governance at grassroots and the practices evolved over a period of time for maintaining social relationship at the community level.

Leadership has been studied through different theories namely contingency theory, path-goal theory and exchange theory with different approaches namely trait approach, skill approach, style approach and situational approach. In the new context, transformational leadership, team leadership, women leadership and leadership ethics are so important. With the above stated approaches, theories and styles leadership at the grassroots can be studied and seen.

3.3.1 Competency Building of Elected Representatives: A UN Initiative

One of the most important initiatives of UN-Habitat is the capacity building activity of local self-governments. For this they have developed a series of user-learning tools to give practical training to the trainers and the trainees. With this end in view, they have published Training for Elected Readership (TEL) series in 1994. This has been translated into twenty-five languages and used in many parts of the world by hundreds to trainers of the local self-government functionaries. The handbooks have been used by various institutes, NGOs, and community based organizations to develop competencies and leadership skills of elected representatives.

Theoretical Concept in the UN-Habitat Series

Based on the success of the original series and considering changing nature of local governance, UN-Habitat has revised and updated TEL series to meet the training needs of the new generation of local elected leaders. Issues of equity, inclusion, subsidiary, accountability and transparency have gained new significance. So, several key changes have been incorporated in the series that is known as Local Elected Leadership (LEL). The revised version recognizes representation and leadership as the core roles and responsibilities, the elected members. In order to carry out these core roles and enabling, negotiating, finance management, overseeing and institution-building. These competencies are to be exercised with in the principles of good governance. It also highlights the central

role of the trainer. The initial TEL series has been organized around the various roles and responsibilities of elected representatives and the new series has been developed in terms of competencies of an elected representative. Competency means the combination of knowledge, skills understanding and attitudes associated with a particular leadership performance. Examples are policy-making or institution-building. The competency does not translate into elected leadership until it is used effectively and consistently in one's role as an elected representative. These competencies are widely accepted as principles of good governance. Institutions may have different views on good governance but UN-Habitat has a clear vision. It puts forth sustainability in all dimensions of local development, subsidiary of authority and cost effective delivery of services, transparency and accountability of decision-makers and all stakeholders, civic engagement and citizenship will all man and woman, and social security. To these challenges LEL series adds two more-diversity and trust. Diversity of gender, race, ethnicity, age, and other community characteristics have to figure prominently in the local government policies and decisions. Trust defines the quality and integrity of relationship between the elected representative as a member of governing body and the citizens.

Among the twelve competencies covered in the LEL series, special emphasis has been given to representation and leadership. Representation is the legal mandate of the office one has been elected to serve and leadership is the sum total of contribution of an elected representative. In between representation and leadership roles there are ten supporting competencies for an elected member to fulfill. Among these communicating and facilitation competencies are more personal. Policy-making, decision-making and enabling competencies are related directly to the collective action of an elected member. The overseeing, financing and institution-building competencies are associated with their responsibility. Using power and negotiating are both personal as well as collective governing competencies and the representation and leadership roles and competencies fit into all these categories.

Representation

Representation is the key responsibility of any elected member. The elected representatives are mainly responsible for representing the rights and needs of all citizens within the local government jurisdiction. This involves the development and enforcement of policies, assisting the people to be nearer to the local government, keeping in touch with all the citizens and taking up their issues and solving the problems also developing partnership with various stakeholders. Representation also means adherence to the principles of good governance.

Communicating

Effective communication is critical to good governance, principles of openness, transparency and accountability. The communicating competency involves giving and receiving information, ideas and feeling, with accuracy and understanding. Active listening and asking the right kind of questions are the elected representative's best communicating tools. The process of trainers and participants in a common inter-learning situation. Here, trainers are objective and non-judgmental in outlook and evoke and stimulate thinking. By various devices the trainees are made knowledge for effective communication. This is

essential when one chairs gram sabha or participates in committee meetings. Elected members, with effective communication skills, can ensure people's participation and make the planning process more meaningful. The communicating competency will help one become a better listener and ask more incisive questions.

Facilitating

Facilitating is a process where a substantively neutral person without decision-making authority and acceptable to all intervenes to help to solve problems. It also means mediating disputes, making meetings more effective, building active teams, and managing interpersonal and inter-group conflicts. Through facilitating one can effectively organize meetings and discuss and solve disputes are introduced this skill in the trainees, case studies on local disputes are introduced and they are encouraged to individually involve and solve such problems.

Using Power

Using power for the sake of good governance is a matter to be discussed with care. The foremost thing is that representative should know about her/his rights and duties, then comes exercising the power, entrusted responsibly as a public figure. Unfortunately, the discussion of power, particularly when associated with the actions of elected members, makes a lot of people uncomfortable. There is the issue of sharing of power and giving it away. There is the natural tendency not to part with power. Devolution of powers up to the level of the individual concerned is the accepted dictum. This attitude is to be changed.

Decision-making

Decision-making competency helps to identify and analyze problems and provides opportunities to explore options before a final decision is made. The elected representatives can take a quick decision, delegate it to someone, delay it and support the decision taken by someone else. There is also the option of veto and cancellation. Decision is judged by its quality and acceptance by those who have to live by its consequences. The appropriate decision at the appropriate time is the right thing. Decisions at the most should be impartial.

Policy-making

The policy making competency helps to generate new laws for better governance. An elected representative should be able to understand the pulse of the people. In a decentralized system there are various public forums such as gram sabhas and various committees to air the grievances of the people. The officials also face problems. They can be better understood through a cordial interaction with them. Their problems must also be taken into account. The suggestions of the expert of the locality also must be heard before any policy making decision. Gender analysis needs to be an integral part of such process. Elected representative should adhere to the norm that any policy making is for the sake of the general public. Usually, in the decentralized democratic system, the local elected representative gives forth suggestions to the government for a policy change. For that one must always be in touch with general public.

Enabling

The enabling competency involves a wide range of options like forming partnership with private and public firms, NGOs, beneficiary committees,

neighborhood organizations and women self-help groups. This partnership initiative can include advocacy, providing services, awareness generation, community interface, monitoring and evaluation and project formulation and implementation. Enabling providers the means for others to get thing done. It defines local governance largely in terms of what others can do to provide programmes and services for the community and citizens and not what the local self-governments should do. This public panchayat private partnership can contribute much for local economic development.

Negotiating

Negotiation is an integral part of the governing process. This competency will help an elected representative to take the best decision from the perspective of all those parties involved. Negotiation involves interaction by two or more parties representing divergent interests and positions seeking to do better than they could otherwise through jointly agreed actions. Negotiations take the process from competition to collaboration. The present decentralized system provides wide opportunities for negotiation. An elected member must be competent enough to enter into such negotiations when implementing projects that require negotiation.

Financing

Financing competency of an elected member helps to raise allocate and spend funds according to the budget provisions. A better understanding of budgeting process from different perspectives, including gender budgeting is very essential in the functioning of local self government. As transparency and accountability are the two most important aspects of democratic decentralization, proper financial management needs special attention. Apart from the government funds, the local self governments are raising their own resources. The micro-level planning should suit the budget allocation. There is a tendency for misuse of funds and extravagance, which needs special attention.

Overseeing

Overseeing involves the evaluation and periodic monitoring of all local self-government programmes. This competency helps for a lawful, effective and efficient administration. This also helps to put in place various safeguards against corruption and malpractices. The elected member can undertake participatory evaluation to find out the pitfalls at the implementation stage. The success of democratic decentralization largely depends upon an effective monitoring system. Conducting surveys using citizen cards for collecting information on services given by the local self-government is another corrective measure.

Institution-building

Institution-building ensure the local governments becoming real self-governing institutions. It is important to note that governance is not government and organizations are not institutions. An organization becomes an institution when it succeeds in being valued by others as important and significant. Through institution-building competency, an elected representative can make the local self-government function according to the will of the community.

Towards Effective and Efficient Leadership

Leadership quality is the sum total of all the competencies described above. Elected leadership should be able to manage the paradoxes within the principle of good governance. One should be able to solve the complex community problems with governing principles. The leadership competency includes good development vision; clarify to governance, integrity, teamwork, will and trust. These are the essential ingredients of good governance. There is no doubt that the success of local governance largely depends upon the efficient leadership of the elected representatives.

With out strong local self-government institutions decentralization will not deliver the desired results. Training and capacity building are therefore a wise investment into the future sustainability of local self-governments. The roles and responsibilities of local self-governments continue to change according to a change in the socio-economic and environmental problems. The increasing emphasis on decentralization also puts a heavy burden on the elected representatives. So, it is essential to develop new skills and attitudes in response to the changing nature of their role. Considering these challenges, the need to provide creative and productive training and development opportunities for local self-governments elected representatives has become inevitable.

3.4 LEADERSHIP AT GRASSROOTS

In the present context the elected representatives of the rural local bodies have to plan for economic development and social justice with the active participation of all segments of the society. The elected representatives have to mobilize the people for the process of democracy and development. The elected representatives are drawn from different segments of the society especially from the marginalised sections namely the women, Dalits and tribals. The governance system created at the grassroots has to interact with the social system to achieve the earmarked target of transforming the rural society to achieve prosperity and equity. To perform the above task the elected representatives have to equip themselves to handle the institutions, manage the people and to achieve the target. It requires understanding skill, managerial ability, and crowd management skill, target achieving approach and handling information effectively.

3.4.1 Leadership for Representation

The Elected Representatives are representing their respective constituencies wherefrom they are elected and at the same time they are members of a body. They have to perform both roles (representatives and members of a body) with a sense of responsibility and understanding with clarity of roles. Interest aggregation and interest articulation are the two functions they have to perform as representatives. They have to collect the demands of the people of their constituencies and put them in the form of arguments in the body for taking decisions and allocation of resources. While participating in the deliberations of the body, they have to keep it in their mind that they are not only representatives of the respective constituencies but also members of a body. So the decision has to be taken on a consensus basis to benefit the overall area and at the same time meeting the needs of the constituencies. Equity and justice should be the basis of

such decisions and resource allocations. In such a way they have to orient themselves as representatives of the respective constituencies and member of the bodies. It requires understanding and clarity on the roles to be performed.

3.4.2 Leadership for Transformation

The rural local body leaders have to transform the society to achieve economic development and social justice. Attitude and behaviour of the rustic folk have to be changed and transformed. Basic awareness about sanitation, livelihood, creation of decent and healthy human habitat has to be created among the people. Our institutional democracy has to be converted in to behavioural democracy. Democracy has to evolve as culture. Now it represents only institutions. Institutions have to reflect the culture. Basically democracy means fairness, justice, respecting each other, valuing the views of others. It is a culture of valuing human being. Such a kind of culture has to be created. From the present state of petitioner and beneficiary, people have to be transformed as citizens with a sense of responsibility. In such a way transformation has to be achieved and for which leaders with transformative character have to be drawn and elected and they are to be oriented to achieve such a kind of transformation at the grassroots.

3.4.3 Leadership for Management

The Elected Representatives of Rural Local Bodies have to manage the institutions to deliver deliverables to the people effectively and efficiently with an objective of satisfying their needs. It requires managerial skills. Management establishes order and consistency. But leadership produces change and movement. Management was created as a way to reduce chaos in organisation and to make them run more effectively and efficiently. The primary functions of management are planning, organizing, staffing and controlling. Though leadership and management appear to be similar both are not the same. Yet the leaders have to perform the functions of management. All the activities envisaged are to be institutionalized. Whether it is Gram Sabha meeting, or a five year plan preparation, organizing development seminar, conducting committee meetings of the panchayats, they are to be regularized and institutionalized.

3.4.4 Leadership for Collective Decision Making

Democracy is a powerful instrument for consensus decision making. By making use of this instrument society gets maturity. The whole process of dialogue and discourse will enhance the understanding capacity of the people. But in a feudal, hierarchical and patriarchal society practicing of democracy as culture is problematic. Because the prevailing social and economic conditions are antithetical to democracy, hence democracy is functioning in an authoritarian mode. Whether it is political party or political regime, in terms of structure it is collective decision making but in reality it is always the domination of a leader. In the name of democracy the concept of rulership is being practiced and it is antithetical to democracy. Democracy needs leadership. Leader has to lead the people by providing objective information and perspective. But in reality it does not happen. In order to overcome this problem, collective leadership is involved in decision making. Whether it is panchayat council meeting or Gram Sabha meeting, the leader of the council should evolve consensus in the meeting after due deliberations. Collective decision making has to evolve itself as a culture.

Note: a) Write your answer in about 50 words

b) Check your answer with possible answers given at the end of the unit

1) Why leadership studies are so important at grassroots at present?

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2) How transformational leadership is more relevant for analyzing the leadership at the grassroots.

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3.5 EMERGING LEADERSHIP PATTERNS AT THE GRASSROOTS

Though studies are very limited on leadership at grassroots, the available studies captured the emerging trend at the grassroots. It is true that wherever community control is strong in the society the community leadership has been established in the formal system. The space is occupied by the community elites. Thus it facilitated for the elite capture. Wherever strong political mobilization had been done, society is transformed and leadership emerges politically with party orientation. Out and out the space is made political. In the same way the Women Elected Representatives are drawn towards this space by various forces. Women are driven and drawn towards the institutions through the process of election. But the driving and drawn forces are the family, community, peer group, political parties, and on their own aspirations. The whole process of induction takes place through two structures. They are community structures and political structures. The leaders emerging through community structures for Local Body position are confronting with the modern political forces for transformation. Equally the leaders emerging through political structures for Local Body positions are confronting with other political forces as opposition parties in the decision making domain. The Elected Representatives by their capacity, skill and capability tackle the problem as competition for getting share in public resource has been increasing exponentially. In the whole process of managing the institutions, the leaders of the Local Body system have increased their capacity and emerge as leaders with

broader power through their party or parties. It has been demonstrated that there is a capacity building for democratic political leaders in the local bodies. Of the three tiers rural local bodies the lowest tier local body is in the grip of communities. The other two tiers are under the influence of the political parties.

3.6 LEADERSHIP SCHOOLS IN ACTION

Throughout the world leadership schools are prominent and popular among the people. Academic discipline has been developed in the university system. The leadership schools are different types. Management schools have opened a sub discipline for managers of the companies. At the same time there are schools for political leaders. Both are being run professionally. In India there is no strong and vibrant leadership school to prepare leaders for political system except the political parties' training institutions. There is no vibrant training institution to train our members of parliament and Members of State Legislature. (Bureau of Parliamentary studies and training in New Delhi is not as effective as expectation in training the members of parliament). There is no training institution to train our members of legislative assemblies of states in the quality of legislative debates and governance. At least for training the Rural Local Body Leaders, there are training institutions. For each state there is one training institution namely State Institute of Rural Development meant for imparting training to the officials and elected representatives of the local bodies. Under the State Institute of Rural Development there are Regional Institutes of Rural Development in different regions of the same state. At the national level, there is a National Institute of Rural Development. These institutions are poor both in terms of quantity and quality. They are not adequate to meet the requirements. Yet these institutions are not comparable to the level of the Business leadership schools in terms of the capacity and capability. Barring a few, all the training institutions are not well equipped to handle the programmes of training very effectively for Local Bodies leaders. Of course in India there are a large number of non governmental organizations, with the financial support of bilateral and multilateral agencies have conducted the capacity building programmes. Even specific Academies have been created to run such leadership programmes with the support of donor agencies. Yet the coverage of training has been very limited.

The grey areas in training of Rural Local Body leaders had been captured only when the Ministry of Panchayati Raj, Government of India organized Seventh Round Table Conference in Jaipur for Capacity Building. The training programmes conducted in the training institutions of the State Government barring a few exceptions are stereo type without any sense of relevance, commitment and effectiveness. The trainings are mostly of do's and don'ts and not what could be done. This scenario is due to absence of training policy at the National level, and state level and there is no regular resource allocation through budget for training. Suggestions have been given for a long to convert all the training institutions into leadership schools managed by independent agencies. The leadership schools for business are working very well in competitive mode. For governance there is no much enthusiasm in setting up leadership schools. There are certain leadership schools organized by the civil society organizations and academic institutions.

Leadership School – I

Aagaz Academy has conducted a leadership programme for the Elected Women Representatives in Bhopal for the past four years with the support of the Hunger Project, New Delhi. This Academy is specifically working for developing ‘Transformatory Leadership’ among the Elected Women Representatives. This Academy has evolved this programme with an objective of evolving leaders who are not only an agent of social transformation but also a catalyst to work for such transformation even after the expiry of their tenure. The trained manpower in the act of governance is really an asset at the grassroots. Because the future training programmes can be conducted with the help of these leaders trained in leadership schools. The Elected Women Representatives are in a learning mode and they will be relieved from the problems and barriers of the family, community, political parties and panchayats by developing skill and ability through a process by adopting series of strategies. The strategy of learning by doing has yielded good results. It attracts the existing approach and makes them as leaders to lead the community through the system of local body. It is a collective learning process and co-learning survey. The support structure is inbuilt in this process.

Leadership School II

Rajiv Gandhi Chair for Panchayati Raj Studies of Gandhigram Rural Institute has evolved training modules for conducting capacity building exercise for Elected Local Body Leaders and this exercise will be conducted separately for women and Dalit Leaders. To extend support to the women and Dalit leaders, a support structure has been created with a team of experts. In order to bring to light the success and struggles of the elected women and Dalit leaders, media has been sensitized and they have been facilitated to write stories about Local Governance. Interface has been arranged for panchayat leaders through exchange programmes with panchayat leaders of neighboring states. For information dissemination electronic media has been made us partners and carried out programmes for years. Elected Women Representatives have been facilitated to form a Federation to represent their grievances. Seeing the outcome, Dalit representatives have also been federated to air their grievances. Periodically organizes leaders meet and share their experiences. Based on all the above experience sharing policy advocacy in being done by the chair. The chair has developed training modules to train panchayat leaders on disaster preparedness and disaster management. In the same way training module has been developed to train panchayat leaders on globalization. It facilitated Gram panchayats to develop micro plan at gram panchayat level. In such a way Rajiv Gandhi Chair for Panchayat Raj Studies emerges a new school of leadership.

Leadership School III

Kerala Institute of Local Administration (KILA), the nodal agency for training, research and consultancy for decentralization in Kerala has introduced a long-term training programme for elected representatives, namely ‘Certificate Course in Local Governance’. Usually KILA offers short-term training

programmes, which fall far short meeting the needs of the participants. It is now being increasingly realized that the creation of a panel of resource persons capable enough in developing long-term perspective is inevitable to translate the mandate of strengthening democratic decentralization into a reality.

This ten months course is organized on the basis of contact-cum-distance learning; five days of contact classes in every spell, followed by assignments for self-learning. Reading materials based on the syllabus, together with activity-based assignments are given to the participants. The focus of the course is more on attitude and behavioural change by 'learning through problem-solving'. It provides opportunity for self-learning through activities. Peer sharing of experience is also given to make the learning more effective. The principles of adult learning are considered for deciding the mode of delivery. The methodology of instruction is more learner-centred. All the participants have to undertake one action-oriented research on any topic on development and governance within their respective local self-governments. Within a short span of six months they have to conduct the study and present the dissertation before a group of experts for validation. Later, based on the study, they have to carry out the follow-up activities. After the completion of the course these elected representatives will work as the master trainers and members of Technical Advisory Committee.

3.7 THE REQUIREMENT

The crisis in India is leadership. It is so acute at the grassroots level. Institutions at the grassroots level are lacking professionalism. Leadership and professionalism are the most essential requirements for grassroots governance. We have three million elected representatives are in position for governance. Of them one million are women. These elected representatives have to be transformed as transformative leaders. Some of them have already leadership traits and many of them may not have such traits. But to perform the assigned tasks, they require new skills, capacity and capability. In order to achieve the same, we need to have a perspective policy both at the National and Regional (State) levels. Equally proper resource allocation for such exercises to be done continuously. While doing the above, the training institutions have to be transformed to the level of leadership schools for business. It can be done through a new partnership with civil society organizations and universities. The training institutions have to be revamped and so that they can equip themselves to cater to the needs of the elected representatives. By doing so, a new genre of leaders will emerge and they will be alternative leaders to the members of parliament and member of legislatures. A linkage has to be established between the training institutions and the university departments to do research on leadership issues which in turn help the policy makers to take decisions on the policies of training and resource allocation for training and fine turning the whole process of training and capacity building exercises.

Check Your Progress 2

Note: a) Write your answer in about 50 words

b) Check your answer with possible answers given at the end of the unit

1) How women leadership is different form men leadership?

- 2) Suggest ways and means to build leadership qualities among the elected representatives of rural local bodies.

3.8 WAYS TO IMPROVE THE QUALITIES OF LEADERSHIP

- Creating leadership schools in the colleges where social sciences are being taught
- Conducting Capacity Building exercises for the grassroots leaders.
- Organizing periodical Leadership meet for interaction
- Organizing capacity building exercise for Women Elected Representatives
- Organizing Capacity Building Exercises for Dalit Elected Representatives
- Conducting periodical studies on the emerging leadership at the grassroots institutions
- Conducting studies on the impact of leadership at the grassroots

3.9 KEYWORDS

Leadership	: It is a process whereby an individual influences a group of individuals to achieve a common goal.
Trait Approach	: It is an approach of analyzing the leaders by identifying the innate qualities and characteristics of the great social, political and military leaders.
Skill Approach	: This approach analyses the leaders from the perspective of skill, knowledge, capacity and capabilities needed for leadership.
Style Approach	: The style approach essentially visualizes the leaders from the angle of what they do and how they do? It essentially brings an assumption leaders are not alike and they are distinct in their styles.
Situational Approach	: This approach analyses the leaders from the perspective of the context and situation as they vary.

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3.11 CHECK YOUR PROGRESS – POSSIBLE ANSWERS

Check Your Progress 1

- 1) Why leadership studies are so important at grassroots at present?

Answer. Leadership at grassroot level is a recent initiative and we have less empirical information. Secondly grassroot leadership varies context. The emergence of grassroots leaders through the process of election in a competitive mode and they are trained, oriented and sensitized on the roles to be performed and the responsibilities to be fulfilled in the local body system that too in the rural areas. The challenges faced by them in their area of operation are diverse which needs to be share largely through empirical studies. Though studies are very limited on leadership at grassroots, the available studies captured the emerging trend at the grassroots.

- 2) How transformational leadership is more relevant for analyzing the leadership at the grassroots?

Answer. Transforming leadership characterizes with collective concern of working towards for the benefit of the team, organization and/or community.

In 1978, James MacGregor Burns coined the concept of transforming leadership referred as 'leaders and followers help each other to advance to a higher level of morale and motivation'. The rural local body leaders have to transform the society to achieve economic development and social justice. Attitude and behaviour of the rustic folk have to be changed and transformed. For this, there is urgent need of basic awareness about sanitation, livelihood, creation of decent and healthy human habitat has to be created among the people. Democracy has to evolve as culture. It is a culture of valuing human being. Such a kind of culture has to be created. In such a way transformation has to be achieved and for which leaders with transformative character have to be drawn and elected and they are to be oriented to achieve such a kind of transformation at the grassroots.

Check Your Progress 2

3) How women leadership is different from men leadership?

Answer Leadership is a phenomenon that exists in the context; particularly in patriarchal social conditions differences of gender concerning role conflicts also exist. Here, power is the key element and central concept which has got its capability to influence others. In the new context, transformational leadership, team leadership, women leadership and leadership ethics are so important at the grassroots which yet to be examined. In the same way, the women elected representatives are drawn towards this space by various forces. Women are driven and drawn towards the institutions through the process of election. But the driving and drawn forces are the family, community, peer group, political parties, and on their own aspirations.

4) Suggest ways and means to build leadership qualities among the elected representatives of Rural Local Bodies.

Answer. The following are the suggestion for effective leadership at grassroot level in rural local bodies.

- Creating leadership schools in the colleges where social sciences are being taught
- Conducting Capacity Building exercises for the grassroots leaders.
- Organizing periodical Leadership meet for interaction
- Organizing capacity building exercise for Women Elected Representatives
- Organizing Capacity Building Exercises for Dalit Elected Representatives
- Conducting periodical studies on the emerging leadership at the grassroots institutions
- Conducting studies on the impact of leadership at the grassroots

UNIT 4 RESOURCE MOBILIZATION

Structure

- 4.1 Introduction
- 4.2 Mobilization of Resources by the PIRs: Evolution of Financial Empowerment
- 4.3 Sources of Revenues of the PRIs in India
- 4.4 Criteria for Financial Devolution
- 4.5 Reasons for Poor Mobilization of Financial Resources
- 4.6 Measures to Strengthen Fiscal Resources Mobilization
- 4.7 Let Us Sum Up
- 4.8 References and Suggested Readings
- 4.9 Check Your Progress- Possible Answer

4.1 INTRODUCTION

Availability of finance is one of the essential pre-requisite for the effective functioning of the local self government institutions both in rural as well as urban areas. The 73rd constitutional amendment has assigned 29 duties and responsibilities to the PRIs. In order to perform these duties and responsibilities these institutions require financial resources. Surat Singh has rightly remarked that nowhere in the world can local bodies function without substantial assistance from the Government. U K Hicks has rightly observed that “if local bodies are to play any significant role in economic and social development, they must clearly have access to adequate finance.” Muthayya (1972) found that the main function of the Panchayat is to mobilize local resources and degree of success is depending upon the local support. The study done by Singh (1986) reveals that of all the problems of the Panchayats, the most crucial is the paucity of funds. State Governments have not made adequate transfer of resources to these units and the grants are not sufficient to commensurate the functions assigned.

After reading this unit you would be able to:

- Narrate the evolution of mobilization of financial resources by the PIRs.
- Explain about the main sources of revenues of the PRIs.
- Describe criteria for fiscal devolution.
- Measures to strengthen fiscal resources mobilization.

4.2 MOBILIZATION OF RESOURCES BY THE PRIS: EVLOUTION OF FINANCIAL EMPOWERMENT

Several committees were constituted by the Government of India to deal with the various issues involving in the effective financial empowerment of the PRIs. One such committee was the ‘Local Finance Enquiry Committee’, appointed in

the year 1951 under the chairmanship of P.K. Wattal. After reviewing the financial resources of village panchayats, the committee found that the panchayats rely mainly on two sources of income: (i) income which they raise themselves; and (ii) funds placed at their disposal by government. The committee recommended for the unconditional assignment of 15 percent of land revenue raised in the panchayat areas and the proceeds of the surcharge levied on the transfer of immovable property to the panchayats. The committee also suggested that the Panchayats should also be empowered to raise their own resources of revenue by levying certain taxes in their territories.

However, later on, the Taxation Enquiry Committee, constituted under the chairmanship of John Mathai, in its report in 1953-54 called for a cautious policy regarding allocation of funds. The committee also recommended for reserving certain taxes such as tax on land and building, duty on transfer of property, house tax, and service tax for rural local bodies. The team for the study of Community Project and National Extension Service pondered over the importance of panchayat finances in its report in 1957. It recommended certain measures for augmenting the resources of panchayats. It also made some recommendations with regard to the administrative and other expenditures of panchayats.

The Santhanam Committee constituted in the year 1963, examined the issues relating to the finances of panchayats. It has made several recommendations for raising revenue of panchayats from their own resources. It suggested the principle of devolution of various grants to the panchayati raj bodies by the State governments. It recommended for setting up the Panchayati Raj Finance Corporations. Its responsibility is the mobilizing all grants and subventions at the State level and sending these in a consolidated form to panchayati raj institutions. It also recommended that in all States, Panchayats should have power to levy special tax, based on land revenue, house tax. etc.

The Study Team on District Administration 1967 of the Administrative Reforms Commission, chaired by Takhatmal Jain made a number of suggestions regarding the taxes which could be raised by the panchayats. The report envisaged different assigned revenues and grants which could be transferred to them by the State government. Another committee which emphasized on the financial health of the panchayats is the Ashok Mehta Committee. The Ashok Mehta Committee in the year 1978 recommended that besides government support, panchayats should mobilize enough resources of their own. It viewed that no democratic institutions can continue to maintain its operational vitality by depending upon external resources. The committee had recommended for the setting up of State Finance Commission for strengthening the financial position of the Panchayats.

The G.V.K. Rao Committee, 1985 examined in detail the functions and revenue resources of PRIs and recommended that there should be a committee on finance studies at the district level to look after framing of budgets, considering proposal for augmenting the revenue resources consideration of other such proposals affecting financial position of local bodies etc.

The L.M. Singhvi Committee of 1986 suggested a pattern of compulsory and optional levies a list of subjects of which power to levy tax and fees may be

entrusted to the PRIs. It also suggested that the State government should levy and collect taxes on behalf of panchavati raj institutions and disburse them on recommendations of the Finance Commission in each State.

The 73rd constitutional amendment has made constitutional provisions for the financial empowerment of PRIs. These are as follows:

- i) 243-H-Powers to impose taxes by, and Funds of the Panchayats, the Legislature of a State may, by law, - a) authorize a Panchayat to levy, collect and appropriate such taxes, duties, tolls and fees in accordance with such procedure and subject to such limits; b) assign to a Panchayat such taxes, duties, tolls and fees levied and collected by the State Government for such purposes and subject to such conditions and limits; c) provide for making such grants-in-aid to the Panchayats from the Consolidated Fund of the State; and d) Provide for constitution of such funds for crediting all moneys received, respectively, by or on behalf of the Panchayats and also for the withdrawal of such moneys there from as may be specified in the law.
- ii) 243-I-Constitution of Finance Commission to review financial position.(1) The Governor of a State shall, as soon as may be within one year from the commencement of the Constitution (Seventy-third Amendment) Act, 1992, and thereafter at the expiration of every fifth year, constitute a Finance Commission to review the financial position of the Panchayats and to make recommendations to the Governor as to - (a) the principles which should govern - (i) the distribution between the State and the Panchayats of the net proceeds of the taxes, duties, tolls and fees leviable by the State, which may be divided between them under this Part and the allocation between the Panchayats at all levels of their respective shares of such proceeds; (ii) the determination of the taxes, duties, tolls and fees which may be assigned to, or appropriated by, the Panchayats;

The Eleventh Finance Commission is the watershed in the financial empowerment of local bodies in India. It has made several recommendations for financial empowerment of the local bodies. The EFC adopted population as the sole criterion for allocation of *ad hoc* grants. The EFC observes that, 'population' should not be the sole basis for State-wise allocation as it has the effect of perpetuating status quo. The distribution will be done through the following criteria:

- i) Population 40 per cent;
- ii) Index of Decentralization 20 per cent;
- iii) Distance from highest 20 per cent per capita income;
- iv) Revenue effort 10 per cent; and
- v) Geographical area 10 per cent.

The formula recommended by the 11th Central Finance Commission for the inter se share of the states in tax devolution is given in Table-1.

Table-1: Criteria and Relative weights for determining inter se shares of states

S.No.	Criterion	Relative weight (percent)
1	Population	10.0
2	Income	62.5
3	Area	7.5
4	Index & Infrastructure	7.5
5	Tax effort	5.0
6	Fiscal discipline	7.5

Source: Report of Eleventh Finance Commission

The percent share of different states according to the formula is given in Table-2

Table-2 Inter se share of states

States	Share (percent)
Andhra Pradesh	7.701
Bihar	14.59
Gujarat	2.82
Haryana	0.94
Jammu & Kashmir	1.29
Karnataka	4.93
Kerala	3.05
Madhya Pradesh	8.83
Maharashtra	4.63
Orissa	5.05
Punjab	1.14
Rajasthan	5.4
Tamil Nadu	5.38
Uttar Pradesh	19.79
West Bengal	8.11

Source: Report of Eleventh Finance Commission

The Eleventh Finance Commission has listed out three major areas of concerns.

- i) First, maintenance of civic services, including provision of primary education, primary health care, safe drinking water, street lighting, sanitation, public convenience and other common property resources. The capital cost of the civic services has to be met by budgetary heads of the State and the cost of operations and maintenance of these services should be met by raising tax revenues and user charges, and by devolution of funds from the State.

- ii) Second, the Comptroller and Auditor General should be entrusted with the responsibility of exercising control and supervision over the proper maintenance and audit of accounts for all tiers of panchayats and urban local bodies. Panchayats at village and intermediate levels should be provided exclusive staff for upkeep of accounts. The EFC has suggested Rs. 4000 per panchayats per annum, an average, to meet the expenditure on maintenance of accounts on contract basis, if staff/ facilities are not available within the panchayat and this amount be paid to states from the recommended grants of Rs. 1600 crore.
- iii) Third, the EFC has found that there is no mechanism for collection of data on the revenue and expenditure of local bodies. The database on finance of these bodies needs to be developed at the district. State and Central government levels and be easily accessible by computerizing it and linking it through V-SAT.

The Central Finance Commission has envisaged for the financial empowerment of the PRIs through followings:

i) Major Tax Powers

- House tax
- Vehicle tax
- Water, drainage and sanitation taxes
- Pilgrim tax
- Tax on profession, trade, and callings
- Tax on fairs and other entertainments
- Tax on advertisement
- Octroi on animals or goofs or both brought for sale
- Lumpsum levy of factories in lieu of taxes
- Special tax for construction and maintenance of public works

ii) Fees and Charges levied for provision of public facilities:

- Water rate
- Lighting fee
- Street cleaning fee
- Conservancy fee
- Drainage fee
- Sanitary fee for public latrines; and pilgrimage fee

iii) Fee for use of common resources

- Fee for the use of panchayat shelter
- User charges for hospitals and schools
- Fee for use of common resources like grazing land, etc.
- Fee on markets and weekly bazaars
- Fee on animals sold etc.

- House tax
- Tax on pumps and tractors
- Tax on highway services
- Tax on village produce sold in regulated markets
- Tax on telephones and cable T.V.
- (Non-Agricultural) profession tax

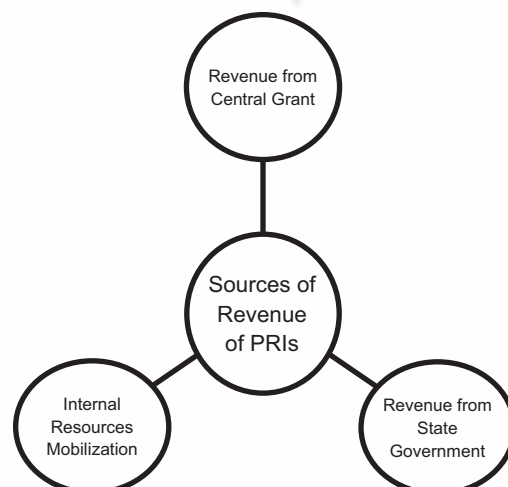
4.3 SOURCES OF REVENUES OF PANCHAYATI RAJ INSTITUTIONS IN INDIA

Panchayati Raj Institutions (PRIs) receives revenues from various sources. The important sources of revenue of the PRIs in India are as follows:

- Revenue from the Central Government:** As a provision every state government gets revenue from the Central Government as per the recommendations of the Central Finance Commission. This is based on the criteria fixed by the Central Finance Commission. Besides, some portion of the finance is allotted to the PRIs by the state governments form the grants which they receive from the National Planning Commission.
- Revenue from the State Government:** The two main sources of revenue of the PRIs which they receive from the state government are:
 - Allocation as per the recommendation of the State Finance Commission;
 - Scheme specific grant from the State Planning commission.
- Internal resources Mobilization by the PRIs:** The PRIs in different state applies various mechanisms for internal resources mobilization. The important sources are:
 - Taxable income and fees
 - Non-taxable income like income from the common property resources, sales of goods and services, borrowings, income from live stocks, etc.

The revenue sources of *Panchayati Raj* Institutions is given in the form of a diagram below

Revenue of PRIs



The PRIs in Kerala, Karnataka and Madhya Pradesh enjoy greater financial autonomy. In Kerala, 40 per cent of plan funds go directly to *panchayats*. In Karnataka, each *panchayat* get Rs.3,00,000 annually directly from the state government and in Madhya Pradesh each *panchayat* gets a grant of rupees Rs.1,00,000 every year from the state government. These are untied funds to be spent according to the need and requirement of each *panchayat*.

For example, the sources of income of village *panchayats* in Karnataka include:

- i) Statutory grant (Rs 5 lakhs) from the state government
- ii) Property tax, water tax, professional tax, fair and exhibition tax and professional tax. These taxes constitute nearly 17 per cent of the total revenue and
- iii) Grants from the Central Finance Commission and Central Plan.

In Kerala, a village *panchayat* levies and collects taxes from the local people. Taxes levied by the village *panchayats* are property tax, profession tax, entertainment tax, advertisement tax, service tax, show tax including surcharge, cess on conversion of land use and surcharges. The government devolves 40 per cent of plan budget directly to village *panchayats* in Kerala.

In Madhya Pradesh, in order to make village self-reliant (*gram swaraj*) a provision has been made that every village needs to have a *gram kosh* (village fund). The fund comprises funds collected in the form of taxes, Central and State Government grants and funds given by the district *panchayat*. Any other income of the village *panchayat* shall also be deposited in the *gram kosh*. The *gram kosh* shall have four components such as:

- Food *Kosh*
- Commodity *Kosh*
- Labour *Kosh*; and
- Cash *Kosh*.

The sources of income of the village *panchayat* in Madhya Pradesh are:

- Taxes: house tax, sanitation tax, lighting tax, business tax
- Income from minerals
- Income from fishery
- Grant-in-aids from Central and State government
- Income from common property
- Income from livestock

According to Burney (1967) house tax continues to be the principal source of revenue of the Gram Panchayats in many States. Narasihma Sarma (1991) on “Resource Mobilization for Self Sufficiency of Gram Panchayats -A Case Study of Andhra Pradesh” throws light on various revenue items and their contribution to Gram Panchayat revenue in the wake of 73rd Amendment. The study identify various new sources of revenue as well as the ways and means to tap the sources efficiently and suggested that water tax and righting tax and public health tax should be enlisted as obligatory taxes instead of surcharges on house tax.

Check Your Progress 1

Note: a) Write your answer in about 50 words

b) Check your answer with possible answers given at the end of the unit

- 1) Write various criteria for distribution of finance for local bodies among the state as per Eleventh Finance Commission recommendation.

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4.4 CRITERIA FOR FINANCIAL DEVOLUTION

The following criteria may be suggested for the effective transfer of resources to the local self governments by the central government.

- i) **Autonomy:** The essence of decentralization is self-rule and autonomy. The transfer mechanism should not create a dependency syndrome. Fiscal discipline and generation and mobilization of own resource of revenue is the key to autonomy. Therefore, the local self government institutions need to be given autonomy in creativity in mobilization of resources. This must be encouraged by the state governments.
- ii) **Equity:** The well-known dictum of equity, namely, ‘from each according to one’s ability and to each according to one’s needs’ is relevant in considering resource mobilization and intergovernmental resource transfers as well. It should be noted that *Panchayats* at all levels are very unequal in size, resources and development attainments. Given the extreme regional disparities, decentralization in such conditions can produce the desirable results.
- iii) **Predictability:** The predictability of revenue will enhance the decision making capacity of the PRIs. The PRIs should know the amount and timing of the transfers to make provision for planning, budgeting and implementation of their activities. Irregular payments are not conducive to efficiency. Quite often it happens that allocations may not even be paid, resulting in overdue, which eventually may be permanently lost to them.
- iv) **Efficiency:** The efficiency of the PRIs has to be enhanced in terms of their capability in the collection of local revenue. The resource transfer should be so designed as to facilitate efficient management and discourage inefficient and uneconomic practices. The transfer mechanism should not be a “gap-filling” approach.

- v) **Absorptive Capacity:** The resource transfer should be in the tune with the utilization ability of the PRIs. In other words, principle should be each according to its need. The allocation of fund to the panchayat and municipal ward must be free from bias.
- vi) **Simplicity:** The formula for transfer the inter-governmental resources should be simple and transparent. Besides formula formulated by the Central Finance Commission, the state government must device its own formula based on it's socio-economic, geographical and population composition for allocation of resources to panchayat and municipalities and also among the different levels of panchayat and urban local bodies. Besides, the taxes imposed by the PRIs for the collection of revenues at the local level must be very simple. It will create faith in the mind of the people for the payment of taxes.
- vii) **Promotion of Incentives:** There should be adequate built-in arrangements for encouraging resource mobilization by the PRIs. In the same vein there should be provision for penalizing wasteful and uneconomic practices. The panchayat which mobilize and generate their own local resources must be given additional matching grant, which will create competitiveness among the local self government institutions.
- viii) **Reduction of Disparities:** The main aim of the revenue collection is the reduction of disparities at the PRIs level with regard to access to revenue. Both the levying of taxes and also allocation of revenue to the PRIs should be such that it does not create any economic disparities among the PRIs. This must be a basis for the allocation of revenue among various local self government institutions.

4.5 REASONS FOR POOR MOBILIZATION OF RESOURCES BY PRIS

Mandakini Das (2001) in his study found that the present financial position of the rural local bodies is far from satisfactory and is nowhere near even the minimum standards expected of them. Some of the reasons for poor mobilization of resources by the PRIs are as follows:

- i) The PRIs have been assigned to collect those taxes which are very difficult to collect depending on their nature and process of collection. It is remarked that taxes given to the Gram Panchayats are generally inelastic in character and they can never bring in adequate revenues to meet the expanding activities of the Panchayats (Narasimham, 1962). The tax base available to a large number of Panchayats is rather very narrow, particularly due to their small size in terms of population and area(Singh, 1986).
- ii) There is lack of people cooperation in the mobilization of resources by the village panchayats. As the elected representatives of the village panchayats are closer to the people therefore, they are reluctant to impose any tax on the people. Their reluctance and inability to levy new taxes, or increase the tax rate corresponding to the increasing revenue needs, non-assessment or under assessment of taxable units, poor tax collections have, basically, contributed to their meager tax revenue(Singh, 1986). Mallick (2001) argued that Gram Panchayats are unable to collect few taxes and fees assigned to them simply because there is resistance to such collections.

- iii) There is lack of officials available with the village panchayats to collect tax and also to keep proper record of the taxes. People even do not have faith on the official and even elected representatives regarding tax collection and utilization for the benefit of the village. Niranja Pant (1980) observed that the Panchayati Raj System in India is to become an arena of conflict to the officials and non officials. The officials are always dominating the non officials and there is a tendency of doubting each other.
- iv) It is seen that the common property resources are not been properly utilized and even influential people of the village have grasped those properties making difficult on the part of the village panchayats to make their effective utilization. Singh (2001) observed that Panchayats in a number of cases had given 'shamlat lands' on defective leases either without putting the land to auction or without observing the prescribed rules. The income from such leases is much less than normally expected.
- v) There is imbalance in resources generation among the three tier PRIs. In some areas, village panchayats are more empowered while the other two are less empowered. This lead to infighting among the PRIs regarding their power to levy taxes and also respective areas. Shakun Palharya (2003) found that the functioning of Panchayat Raj Institutions has been severely hampered by financial constraints and inadequate resource mobilization after implementation of the 73rd Amendment to the Constitution. Taxes assigned to them are by and large not very productive of revenue. These Institutions should be enabled to levy local taxes on their own and mechanisms should be set up to ensure periodic revaluation of taxable properties.

4.6 MEASURES FOR STRENGTHENING RESOURCE MOBILIZATION

Singh (2004) study concluded that at the Gram Panchayat level, the contribution of tax revenue is not significant, as it is maximum 2.99 per cent to the total receipts and the per capita income tax is about one rupee. Fiscal decentralization can be strengthened by various ways:

- i) Deciding institutional system to strengthen inter-governmental economic relations. The economic relation among the centre, state and local governments must be cordial and healthy. Besides, the basis of financial devolution among the different tiers of local self government must be clearly defined, this will lead to fiscal collaboration rather confrontation. It is seen that in India, in Kerala, the taxation power and the local revenue of the village panchayat is more as compared to the sources of taxable and non-taxable revenues of the intermediate and district panchayats. On the contrary, the source of revenue of the district panchayat that is Zilla Parishad is much higher as compared to the village and intermediate panchayats.
- ii) Planning fiscal transfers to assure regional fiscal equality and to build an effective environment for advanced and competitive service delivery. The Eleventh Finance Commission has set the criteria for the division of revenue between the centre and the state and also the local bodies. The state government has to follow the criteria and also need to allocate sufficient revenue to the village panchayats of the backward districts and blocks so that these districts and blocks are developed appropriately.

- iii) Restructure tax responsibility to allow local revenue autonomy, efficiency and accountability. Delegation of responsibility to the local government to collect and spend their taxes according to the local needs will strengthen the fiscal decentralization.
- iv) Determining the functionary funds of different levels of government on the criteria of equality and efficiency.
- v) Providing sub-national government an access to responsible credit market. However, with the globalization, the local self government institutions must have access to capital market.
- vi) According to Bahl, a measure of fiscal decentralization should reflect the key characterizes of a fiscally decentralized system, such as existence of elected local council, approved budget, local government to collect taxes.
- vii) Institutional reforms that minimize adverse incentives and promote transparency, accountability and predictably should be executed to have an effective fiscal decentralization.
- viii) The PRIs have to be properly oriented regarding the financial aspects of the various panchayati raj institutions. They have to also to be told to generate local revenue through the effective utilization of common property resources and also by charging different fees for meeting the development expenses of the local self government institutions.

Mahi Pal (2003) in his study examined the existing and potential income of the Gram Panchayats. It is found that the sample Gram Panchayats have not levied the house tax, which is an important source of income to Panchayats. Similarly, income from ponds, agricultural farm and other sources has also not been explored by Panchayats. The study suggested that Panchayats should put in practice the powers of raising financial resources given in the Gram Panchayat Act.

Panigrahy (2007) observed that mobilization and proper utilization of financial resources are the major problems of Gram Panchayat, where resources are limited in quantum because of poor taxation and poor realization of tax. These institutions largely depend on government grants. It is suggested that the objectives of Gram Panchayats can be realized if more financial powers are given to Gram Panchayats. Gram Panchayats must be very clear about their own needs, their existing resources, additional resources they can tap with and without state assistance, grants as also their own investment programmes.

In these sessions you read about the reasons for poor mobilization of resources by the PRIs and how to improve the sources of revenue of PRIs now answer the questions given in Check Your Progress-2

Check Your Progress 2

Note: a) Write your answer in about 50 words

b) Check your answer with possible answers given at the end of the unit

1) Give five important reasons for poor mobilization of resources by the PRIs

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4.7 LET US SUM UP

The mobilization of resources is one of the key challenges before the PRIs for carrying out duties and responsibilities assigned to them under the 73rd constitutional amendment. Finance is essential to carry forward developmental activities at the grassroots level. The various sources of income of the PRIs are the grant from the central government and state government and the imposition of taxes and collection of fees. Besides many village panchayats and also district and intermediate panchayats in many states of India earn income by the effective utilization of common property resources. However, being closer to the people PRIs in many states do not impose any taxes for which their sources of income become low. However, the financial empowerment of PRIs is sine qua non for the development of rural areas.

4.8 REFERENCES AND SUGGESTED READINGS

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(ii) See MEDS-043, Dynamics of Urban Planning and Development, IGNOU, 2016.

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4.9 CHECK YOUR PROGRESS - POSSIBLE ANSWERS

Check Your Progress 1

- 1) **Write various criteria for distribution of finance for local bodies among the state as per Eleventh Finance Commission recommendation.**

Answer: According to Eleventh Finance Commission the various criteria for distribution of finance among the state are:

- i) Population 40 per cent;
- ii) Index of Decentralization 20 per cent;
- iii) Distance from highest 20 per cent per capita income;
- iv) Revenue effort 10 per cent; and
- v) Geographical area 10 per cent.

Check Your Progress 2

- 1) Give five important reasons for poor mobilization of resources by the PRIs.

Answer: The five important reasons for poor mobilization of resources by the PRIs are: (i) reluctant of PRIs to impose tax on the people because of their closeness to the people; (ii) lack of adequate manpower to handle the income tax collection affairs of the PRIs; (iii) there is poor devolution of funds from the central and state government to the PRIs; (iv) PRIs have poor access to credit market; (v) lack of orientation to PRIs about the financial empowerment.

MDV-111: LOCAL SELF GOVERNANCE AND DEVELOPMENT

BLOCK 1 DEMOCRATIC DECENTRALIZATION

- Unit 1 Decentralisation: An Overview
- Unit 2 Local Self Government and Panchayati Raj Institutions
- Unit 3 Local Self Government and Urban Local Bodies
- Unit 4 PESA and its Implementation

BLOCK 2 LOCAL GOVERNANCE AND LOCAL ORGANIZATIONS

- Unit 1 Formal and Informal Organizations and Local Self Governance
- Unit 2 Public Private Partnership and Local Self Governance
- Unit 3 Parallel Bodies and Local Self Governance

BLOCK 3 DECENTRALIZED PLANNING AND DEVELOPMENT

- Unit 1 Decentralised Planning: An Overview
- Unit 2 Decentralised Planning Process
- Unit 3 Models in Decentralized Planning
- Unit 4 Fiscal Decentralisation-A Global Overview
- Unit 5 Fiscal Decentralisation in India: An Overview

BLOCK 4 PEOPLES PARTICIPATION

- Unit 1 Peoples Participation in Governance and Development
- Unit 2 Participatory Tools and Methods

BLOCK 5 EMPOWERMENT OF LOCAL BODIES

- Unit 1 Empowerment of Marginalized
- Unit 2 Capacity Building
- Unit 3 Leadership
- Unit 4 Resource Mobilization

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