

About Us



Madhav Agarwal and Ratnesh Agrawal — two friends, one mission, and a bond forged through shared dreams. From school classrooms to college corridors, their journey was always side by side. United by a common goal of cracking the UPSC, they spent over 300 hours on video calls — dissecting concepts, solving doubts, and building the notes that would become the backbone of their preparation.

Madhav went on to secure AIR 211 in CSE-2023 and then soared to **AIR 16 in CSE-2024**. Now set to join the **Indian Administrative Service**, he is living proof that quiet determination, when sustained with laser focus, can turn even the toughest dreams into destiny.

Ratnesh, who reached the **UPSC interview stage in CSE-2023**, chose a different but equally powerful path. With the same intensity and sharp thinking that marked his preparation, he stepped into the world of real estate. Today, he's a **dynamic builder in Indore** — shaping skylines and lives with a vision rooted in public purpose and entrepreneurial fire.

These notes are a result of their shared struggle, deep friendship, and uncompromising pursuit of excellence — a **gift to future aspirants**, from two dreamers who refused to settle for average, each leaving a mark in his own way.

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Note: These notes are the result of a group effort over the past few years. You'll find pink (or other coloured) highlights at the start of many topics—these usually mark key terms, definitions, quotes, etc., based on our memory cues at the time. While most content is updated, some sections—especially in GS3—may contain older material, so do cross-check and update where needed. Don't get confused by the highlights; use what's useful and feel free to build your own notes from them.

GS-2: Governance

Syllabus

1. Government policies and interventions for development in various sectors and issues arising out of their design and implementation.
2. Important aspects of governance, transparency and accountability, e-governance- applications, models, successes, limitations, and potential; citizens charters, transparency & accountability and institutional and other measures.
3. Development processes and the development industry- the role of NGOs, SHGs, various groups and associations, donors, charities, institutional and other stakeholders
4. Role of civil services in a democracy.

Dimensions & Common Points

- **Definitions:**

- Governance=**Process of decision making, implementing those decision and monitoring**
- Welfare state: way of governing in which the state provides basic economic security for its citizens
- Governance is a neutral term where as GG is +ves attributes of governane; GG is governance which ensures --- write 2-3 things from RECAPET (8 UN values for good governance) + Su-raj + keeps citizen at centre of governance
- As per **2nd ARC 11th Report**, eG is **associated with** carrying out the functions and achieving the results of governance **through the** utilization of ICT (**11th Report** Name-Promoting e-Governance - The **Smart** Way Forward)
- **CC** is a document that outlines commitment of org towards standard, quality and timeframe of service delivery. Based on the premise that Citizen is King
- **Development is the removal of unfreedoms that leave ppl with little choice in exercising their reasonsedagency - AS**
- **SA** involves measuring, understanding, reporting and improving organisation's performance; Helps to bridge gap b/w vision and reality
- **Dev Industry:** Combined set of various inst & agencies
- **NGO:** Bridge b/w ppl and state, type of civil society which is organised in structure & specialised in fx

- **SHG:** Informal group with similar background with a desire to work collectively
- **Fodder Points: (collected from notes itself)**
 - **Terms:**
 - Public service delivery-PSD, Rule of law (impartial police + strong judiciary is needed), Corruption perception, Inter-dependent partnerships b/w 3 stakeholder of governance, Citizen Centric Administration (12th Report), Citizen friendliness, Citizen engagement & interface, Bureaucracy as a tool for social reconstruction, principle of "Reform, Perform, Transform", India's Techade
 - Key terms: Reforming the govt delivery system, Policy contradictions, Fourth IR, ICT based projects and diagrams, Role of non-state actors
 - Objectives of Governance: Articulation of interests by stakeholders; Meeting obligations of state (DPSP); Mediation of differences; Exercising their legal rights; Rational use of available resources (SF = MERA governance hi mera shaashan)
 - Way Fwd: Government Process Reengineering (GPR), From translation to transformation, Evidence based policy making (backed by reliable data). Minimum government Maximum Governance (eg: Jan Vishwas Bill)
 - Vikalp Skill Voucher in Maharashtra - vouchers to get trained at accredited institutted (migration, urban transformation, HRD, skill development must be quoted with general WF on skill development)
 - Use of MOOCs to boost skilling, Sharda Prasad Cmt
 - **Significance of any aspect** can be written by merging **RECARPET + 3 Stakeholders** (eg: responsive to business needs, accountability & transparency to citizens) + **DIM** (example e-gov help in crisis mgmt -Aarogya Setu, Better monitoring of functions), From rep democracy to participatory and deliberative democracy
 - **8 charactersitics of GG** (by UNDP ~~not World Bank~~): **RE-CARPET** → Absence of any of these can be written as issues in governance/ administration (🌟)
 - 📁: Read Good Governance category wise examples → [Government Initiatives for GG - For each think of 3 pillars](#) 💡: [Read bold points + Social Audit](#)
 - Talk about public policy & 5 stages (**AFAIE**), Weakness in design and implementation ([Weakeness in India's PP \(Policy has become like a SICK FOUJI\)](#)) - (SF=Policy has become **SICK FOUJI**)
 - [Howlett and Ramesh's AFAIE - Agenda Setting, P. Formulation, P Adoption, P Implemt, P Evaluation](#)

- 🌟 2nd ARC Reports: 1st (for RTI), 4th for Reforms in civil services, 11th for e-governance, 12th for Citizen Charter/Citizen Centric Administration
- Think in terms of **DIM framework**, Think of **3 stakeholder of Governance** (State, Market, Civil Society)
 - Use above 2 dimensions along with **AFAIE** - to form sensible points related to any bouncer question or any question that has **'governance'** in the ques (eg: Role of Census in context of governance)
- As per the 7th Pay Commission (SPC) report, for every lakh of population, India had a total of 139 central government employees in 2014, while the comparative number for the USA is 668 (666 yaad kr lo :p)
 - Wahan police wala data tha 137 vs 222 (UN)
- **Conclusion:**
 - Former UN Secretary-General Kofi Annan said - "Good Governance is perhaps the single most important factor in eradicating poverty and promoting development"
 - The pandemic has exposed the benefits of a stronger, flexible and more responsive civil service which is able to incorporate risk management and has access to contingencies in an emergency
 - The data and demographic dividend combined with India's proven tech prowess presents massive opportunity for the country, and this decade will be 'India's techade'
 - The efforts of the present government on the principle of "Reform, Perform, Transform" seems to be in the right direction
 - Democracies are for the benefit of men w/o means (Aristotle)
 - Before 1991-State was at commanding height of economy; Post 1991- Private players entered and came fwd a **need for 'regulation' eg: TRAI (led to reduced tariffs), CCI (contained anti-competitive practices)**
 - 4 principles of regulation: Laws, Rules, Specialised body, Civil participation (use them as way fwds for various aspects in GS answers)
 - **Conclusion:** The need for cooperation among various service sectors has been an inherent component of development discourse. Partnership bridges the gap among the sectors. It also sets in motion a culture of 'collaboration' and 'team spirit'.
 - **Micro-Finance as an anti-poverty vaccine, is aimed at asset creation and income security** of the rural poor in India
- **Global Best Practices:**
 - 2nd ARC 4th Report-Way to tackle bureaucratic delays: The principle of 'positive silence' should generally be used - where after time limit for processing of the same after which permission, if not already given, should be deemed to have been granted

- Singapore has 'SINGAPORE ONE', an e-Governance suite that offers very comprehensive services to its citizens
- The Once Only Principle (TOOP) of European Union (govt. forms are prefilled with info you've already provided in previous interactions with govt; submit only additional details)
- Randomised Control Trials can be conducted to understand the efficacy of a policy intervention and make suitable changes before national roll-out (also be used to make schemes better)

Governance PYQs (categorised as per syllabus)

1. 2023 - Imp themes based on PYQs

a. Themes:

- i. Public private coordination (was asked in context of GATI Shakti), Has govt system responded adeq to demands of LPG?
- ii. Policy contradictions between sectors and stakeholders
- iii. Fourth IR and e-governance
- iv. Amendments to acts needs to be tracked - RTI, FCRA, Whistle blower act (acts are asked in -ve tone also)
- v. Current affairs - Recent scams Satyam vis-a-vis corporate governance; Lokpal
- vi. NGO/Civil Society - as an alternative model of PSD
- vii. Environment and governance - policy contradictions, How can role of NGOs be strengthened for env work - discuss major constraints
- viii. Read some model answers for circled question in Only IAS PYQ printed

b. Quotes:

- i. CS - Institutional quality is a crucial driver for economic performance
- ii. CC is an instrument of organisational transparency and accountability
- iii. Emergence of SHG points to slow but steady withdrawal of state from developmental activities; Legitimacy and accountability of SHGs and micro finance outfits need systematic assessment for their sustained success
- iv. A National Lokpal/xyz however strong cannot resolve the problem of immorality in public affairs

c. High Fire Topics (for 2024)

- i. **(be more focused on value addition for these areas)**
- ii. Last question on corruption in 2016
- iii. Reforms in CS, RTI - Last question in 2020

- iv. PG, NGOs all asked in 2021 (almost alternate pattern)
- v. SHG - asked 13, 14, 15, 17 (no direct question from then), asked in 2020 and then 2021 (linking SHG and poverty/gender ineq/malnutrition)

2. 2021 Mains - Governance & Social Justice

- a. Q5. "Pressure groups play a vital role in influencing public policy making in India." Explain how the business associations contribute to public policies. (Answer in 150 words) 10
- b. Q6. "Besides being a moral imperative of Welfare State, primary health structure is a necessary pre-condition for sustainable development." Analyze. (Answer in 150 words) 10
- c. Q7. "'Earn while you learn' scheme needs to be strengthened to make vocational education and skill training meaningful." Comment. (Answer in 150 words) 10
- d. Q8. Can the vicious cycle of gender inequality, poverty and malnutrition be broken through microfinancing of women SHGs? Explain with examples. (Answer in 150 words) 10
- e. Q16. Has digital illiteracy, particularly in rural areas, couple with lack of Information and Communication Technology(ICT) accessibility hindered socio-economic development? Examine with justification. (Answer in 250 words) 15
- f. Q17. "Though women in post-Independent India have excelled in various fields, the social attitude towards women and feminist movement has been patriarchal." Apart from women education and women empowerment schemes, what interventions can help change this milieu? (Answer in 250 words) 15
- g. Q18. Can Civil Society and Non-Governmental Organizations present an alternative model of public service delivery to benefit the common citizen. Discuss the challenges of this alternative model. (Answer in 250 words) 15

3. 2021 Mains - International Relations

- a. Q9. "If the last few decades were of Asia's growth story, the next few are expected to be of Africa's." In the light of this statement, examine India's influence in Africa in recent years. (Answer in 150 words) 10
- b. Q10. "The USA is facing an existential threat in the form of a China, that is much more challenging than the erstwhile Soviet Union." Explain. (Answer in 150 words) 10
- c. Q19. Critically examine the aims and objectives of SCO. What importance does it hold for India. (Answer in 250 words) 15
- d. Q20. The newly tri-nation partnership AUKUS is aimed at countering China's ambitions in the Indo-Pacific region. Is it going to supersede the existing partnerships in the region? Discuss the strength and impact of AUKUS in the present scenario. (Answer in 250 words) 15

4. Government policies and interventions for development in various sectors and issues arising out of their design and implementation

- a. 2019: Performance of welfare schemes that are implemented for vulnerable sections is not so effective due to absence of their **awareness** and active involvement at all **stages of policy process**. Discuss (15m)
- b. Water Scarcity? Drinking water issues in rural areas? Steps to improve?
- c. 2014: Discuss the merit of state sponsored talent hunt and its cultivation as against the rationale of a reward mechanism as encouragement
 - i. **Lack of medals in sports at international level?**
Reasons
- d. 2013: PURA Scheme? Aim? Currently transformed to **Rurban Mission**

1. Important Aspects of Governance

● **e-Governance**

- 2019: Factors and measures to effectively implement ICT based projects/programmes (Implementation of Information and Communication technology (ICT) based projects/programmes usually suffers in terms of certain vital factors. Identify these factors and suggest measures for their effective implementation)
- 2018: Importance of the 'use value' of information (data) in e-gov
- 2013: Electronic cash transfer system (DBT)? Benefits in to minimize corruption, eliminate wastage and facilitate reforms? Challenges
- 2008: "e-governance has the potentiality to emerge as the most effective instrument of efficiency, transparency and accountability." Comment
 - Gaps? Way Fwd?
- 2004: Utility of e-governance in the Indian context
- 2020: "The emergence of Fourth Industrial Revolution (Digital Revolution) has initiated e-Governance as an integral part of government". Discuss.

● **Transparency, Accountability, Corruption**

- 2016: Legal, political, economic, social and cultural factors that have caused the decline of public morality in India (in light of low rankings at integrity index of Transparency International)
- 2015: In the light of the Satyam Scandal (2009), discuss the changes brought in corporate governance to ensure transparency, accountability
- 2013: 'A national Lokpal, however strong it may be, cannot resolve the problems of immorality in public affairs' Discuss
- Media Reforms: Current status? Issues? Reforms? Cover recent changes in OTT space

● **Good Governance**

- 2016: "**Effectiveness** of the government system at various levels and people's **participation** in the governance system are inter-dependent." Discuss their relationship with each other in context of India (12.5 m)

● **Citizens Charters**

- Basic principles of citizens' charter movement and bring out its importance?
- Limitations? Measures? Examples? Has it improved citizens' satisfaction and quality of services?

1. **Development processes and the development industry —the role of NGOs, SHGs, various groups and associations, donors, charities, institutional and other stakeholders**

● **General**

- 2016: In Indian governance system, role of non-state actors has been marginal. Critically examine
- 2019: The need for cooperation among various service sectors has been an inherent component of development discourse. Partnership bridges the gap among the sectors. It also sets in motion a culture of 'collaboration' and 'team spirit'. In the light of statements above examine India's **development process**
- 2019: 'In the context of neo-liberal paradigm of developmental planning, **multilevel planning** is expected to make operations cost-effective and remove many implementation blockages'- Discuss
- Examine the issues that make balanced and inclusive development elusive (in context of high growth and low human development rankings)

● **NGOs**

- How can the role of NGOs be strengthened in India for development works relating to protection of the environment? Major constraints?
- FCRA Act 1976: Aim? Amendments? Criticism?

● **SHGs**

- 2021: Can the vicious cycle of gender inequality, poverty and malnutrition be broken through microfinancing of women SHGs? Explain with examples. (Answer in 150 words) 10
- 2017: Role of SHGs in developmental activities and the measures taken by the Government of India to promote the SHGs?
- The Self-Help Group (SHG) Bank Linkage Programme (SBLP), which is India's own innovation, has proved to be one of the most effective poverty alleviation and women empowerment programmes. Elucidate.
- Socio-cultural hurdles faced by SHGs in rural areas
- The legitimacy and accountability of Self Help Groups (SHGs) and their patrons, the micro-finance outfits, need systematic assessment and scrutiny for the sustained success of the concept. Discuss
- "Micro-Finance as an anti-poverty vaccine, is aimed at asset creation and income security of the rural poor in India". Evaluate the role of Self Help Groups in achieving the twin objectives along with empowering women in rural India.

- <https://timesofindia.indiatimes.com/readersblog/pracin-jain-academy/microfinance-as-an-anti-poverty-vaccine-29050/>

1. **Role of Civil Services in a Democracy**

- 2020: "Institutional quality is a crucial driver of economic performance". In this context suggest reforms in Civil Service for strengthening democracy.
- 2017: Initially Civil Services in India were designed to achieve the goals of neutrality and effectiveness, which seems to be lacking in the present context. Do you agree with the view that drastic reforms are required in Civil Services. Comment.
- Issues in civil services? Reforms needed?
- Has the Cadre based Civil Services organization been the cause of slow change in India? Critically examine
- 2016: "Traditional bureaucratic structure and culture have hampered the process of socio-economic development in India." Comment.
- What are the respective view of the political leadership and the permanent civil services in the governance of India?
- Constitutional position of the Civil Services?

1. **Miscellaneous**

- 2014: Aadhar Card vs NPR? Can both run concurrently or not? What are the potential of such schemes?
- 2013: PURA Scheme? Aim? Currently transformed to **Rurban Mission**

Governance Content

Important Aspects of Governance

Basics of Governance & Good Governance

- Governance = Process of decision making, implementing those decision and monitoring (DIM)
- As per UNDP, Gov is the exercise of eco/pol/admin authority to manage a country's affairs at all levels
- Goal of Governance is to ensure that there is no hindrance in realizing below objectives:
 - Objectives of Governance: Articulation of interests by stakeholders; Meeting obligations of state (DPSP); Mediation of differences; Exercising their legal rights; Rational use of available resources (SF = MERA governance hi mera shaashan)
- Form of democracy impacts the form of governance
 - Democratic Governance has rule of law along with bounded taxation powers (eg: controlled by parliament in India) [DG is better compared to King's rule due to above 2 factors]
 - Concepts of welfare state and democracy both reinforce each other

- Welfare state: way of governing in which the state provides basic economic security for its citizens
- Stakeholders of Governance
 - State: Different organs executive, leg, judiciary along with civil services
 - Market: Pvt sector which consist of for profit organisations covers organised as well as unorganised
 - Civil Society: Other than above 2; Power to mobilize people participation to influence both market & state
- Dimensions of Governance - (SF = LAPSE) - State of Governance - A framework for assessment by DARPG
- Issues of Governance - Image below

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Q: Governance Issues in India. (Use 5 dimension)

- Political Issues:
 - Criminalization of Politics
 - Use of muscle & power in elections
 - passing of bills w/o discussion OR ordinance route
 - Political centralization. (Decentⁿ only in letter less in spirit)
 - Voter turnout; Horse trading.

- Legal & Justice Issues:
 - Issue of under trials.
 - Pendency of cases.
 - Acc^y of Judiciary
 - Org. Crime & mafia.

- Administrative Issues:
 - Lack of Efficiency (Multiple schemes for same issue)
 - Lack of transp. & acc^y.
 - Corruption (Abuse of entrusted power)
 - Red Tapeism → to delay.
 - Resistance to change.

- Economic Issues:
 - Fiscal imbalance
 - Electoral politics of: freebies,
 - Regional disparities
 - Subsidy / Loan waiver = Good Politics but Bad Economics

- Social & Environmental Issues:
 - Exclusion of sections
 - Env. degradation.

Good Governance (su-raj)

- 8 characteristics of GG by UNDP = SF → RE-CARPET 🇮🇳 (read fully, write as stated by UNDP)

- **Read from image only these: Responsive** (within reasonable time frame), **Equitable & Inclusive** (Ensure equity rather than equality; *All sections = feel part of mainstream*), **Consensus Oriented** (mediation of diff in interest to reach broad agreement eg: this makes parliament discussion important), **Accountability**(answerability- needs to be justified + enforcement can be sanctioned by inst/people; Vertical as well as Horizontal), **Rule of Law, Participation** (all sections, direct or rep, FPTP system; when vulnerable sections do not get adeq participation they need NGOs etc; *PYQ - Imp as effectiveness of govt system at various levels and people's participation in governance system are inter-dependent*), **Efficiency and Effectiveness, Transparency**

Government Initiatives for GG - For each think of 3 pillars 💡 : Read bold points + Social Audit

- **Rule of Law:** (courts + police)
 - Legal Reforms- **Jan Vishwas Bill**, GOI scrapped nearly **1,500 obsolete rules** and laws, New Labour codes, **Ramanujam Committee**
 - Police Reforms Reform of the First Information Report (FIR) lodging mechanism, including **introducing filing e-FIRs for minor offences**, Launched a common nation-wide **emergency number-112** (on lines of 911 US)
 - Mention judicial reforms: **CJI under RTI, e-courts 3.0**, telecasting court proceedings online, etc
- **Equity & Inclusiveness:**
 - **Aspirational Districts Programme (2018)**- by NITI for transforming **117 most backward districts** with focused interventions in the field of **5 areas - (pehle 2 GS2, aakhri 3 GS3)** Health and nutrition, Education, Agriculture and water management, Financial inclusion and skill development and Basic Infrastructure
 - **Now Aspirational Blocks Programme has been launched for 500 most backwards blocks of India**
 - COVID incoming international migrants- skill profiling
 - **Aspirational Distt: Gajapati, Odisha- mini banks in panchayats** that did not have banking facilities;
 - **'Digital India Bhashini'** will enable easy access to the internet and digital services in Indian languages
 - **'Duare Ration' scheme of WB** (home delivery of ration to reduce pain of carrying heavy ration home)
- **Consensus Oriented: MyGov, 'MyScheme' - a service discovery platform facilitating access to Government Schemes, UMANG (single platform to access e-gov services)**

- Accountability: **Social Audit Legislation by Meghalaya (2017), Good Governance Index by DARPG; Society for SA, Accy and Transparency by AP Govt**
 - In April 2017, **Meghalaya** became the first State in the country to pass a **social audit legislation**. The state of Andhra Pradesh has become a role model in terms of implementation of Social Audits.
 - Good Governance Index-launched on the occasion of Good Governance Day by DARPG, to assess GG in states/UT
 - Takes 10 sectors and 50 indicators into consideration: agriculture and allied, commerce & industries, human resource development, public health, public infrastructure & utilities, economic governance, social welfare & development, judicial & public security, environment and citizen-centric governance
- Responsive: **MCA21, e-governance (Shram Suvidha), GST Portal**
 - E-Governance
 - Ease of Doing Business- Bankruptcy Code, GST, and the anti-money-laundering law
 - **MCA 21**, Shram Suvidha portal
- Participatory: **Bhaaghidari Scheme of Delhi govt. (local governance), Maa Committees in UP to check mid-day meal, EIA, Indore 311 geotagging**
 - Decentralization- NITI from PC for cooperative federalism
 - Indore 311 app- geotagging of dirty areas
 - Rashtriya Gram Swaraj Abhiyan (strengthening PRIs to achieve SDGs; will develop governance capabilities of 2.55 lakh panchayats)
 - **EIA** public consultation, **citizen charter**
 - **Bhaaghidari Scheme of Delhi govt.** (local governance)
 - 73rd and 74th Constitutional Amendment Acts
 - **'Maa' committees** in Uttar Pradesh to check mid-day meal quality
 - CPGRAMS, PRAGATI
- Effectiveness & Efficiency:
 - **DBT**, Digilocker, Aadhar enabled Biometric Attendance System (**AEBAS**)
 - e-HRMS portal by DoPT, maintaining service records
 - Performance Appraisals; reviews, etc
 - **Mission Karmayogi**: civil service reforms
 - **Hyderabad Municipal Corporation** used traffic data collection and analysis to plan road repair work and future actions (Example of e-governance)
 - eGOV Foundation along with AP govt. rolled out **PuraSeva** (service delivery platform) for all towns/cities; Citizen need to provide star rating for their experience
- Transparency:

- Right to Information- The right to information, promotes openness, transparency and accountability in administration by making the government more open to public scrutiny.
- Jan Soochna Portal - RJ Govt; 'Mo Sarkar' portal of Odisha govt
- **SPARROW (to enable the IAS officers to file their e-PAR - Performance Appraisal Report); Public Financial Management System (PFMS); e-Leave mgmt system; Foreign Visit Mgmt System**
- Recent reforms in **geo-spatial liberalisation**
- Lack of transparency: eg: COVID mortality estimates if incorrect would impact our DM & preparation for future pandemics (with transparency follows - Honest evaluation of policies + Public debates around the issue)
- Best practices of good governance
 - **Jyoti Kakwani plugs pilferage in fair price shops** by giving surprise gifts via lucky draw to those who demand weight receipts from the shopkeeper (**Odisha**)
 - Lunch with collector-IAS Saurabh Kumar
 - GG under aspirational districts prog: **Hailakandi, Assam - Gifting samplings of coconut, litchi, lemon, guava, amla to new born girl child-** fruit will help in building immunity and fight malnutrition
- Concl:
 - **Good governace should be like air. Its presence need not be discussed but absence would make a huge difference**
 - Former UN Secretary-**General Kofi Annan said - "Good Governance is perhaps the single most important factor in eradicating poverty and promoting development"**
- **2016: "Effectiveness of the government system at various levels and people's participation in the governance system are inter-dependent." Discuss their relationship with each other in context of India (12.5 m)**
 - One of the components of good governance as stated by UNDP is participation of citizens in decision making. Explain both terms
 - **Participation leading to effectiveness: (Use other 8 values to frame answer)**
 - **Write it with participation we get accountability, with P we get inclusiveness, with P we get transparency**
 - Give examples of participation: use examples of all values as even asking for transparency is a way of P
 - Therefore cover P lead to citizen empowerment eg: RTI, Voices can be heard through surveys, Accountability can be ensured through social audit, Better PSD through CC, Grievance redressal CPGRAMS
 - Concl: From rep democracy to participatory and deliberative democracy

- **Social Audit**

- Significance can be formed either thinking abt three levels or how other RECAPET will be enforced
- SA involves measuring, understanding, reporting and improving organisation's performance. SA is an expression of opinion by people on utilisation of resrouces by public agency and its impact (use audit langauge); Helps to bridge gap b/w vision and reality; +ve (demand side accountability and makes democracy deliberative)
- **Other limitations** (thought by you): Lack of transparency; Low Civic Awareness, Politicisation of local governance, Closeness in relations at local level (want to maintain relations)
- **Image Below**

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Q: Social Audit

- Process in which details of resources used by public agency for dev. initiatives are shared with the people which also empowers to scrutinize the impact of dev. programs.
- Brij's social acc'y.
- Eg: SA under MGNREGA, Baghdaari scheme of Delhi Govt.
- Significance:
 - : Identⁿ of specific orgⁿ improvement goals.
 - : To check the progress of dev. prog.
 - : Mechanism of demand side of social acc'y. ↳ by people.
 - : ↑ Responsive and confidence.
 - : ↓ Corruption
- Limitation:
 - : Diff. to judge degree of dissatisfaction
 - : Not standard & informal.
 - : Sporadic & ad-hoc.
 - : Absence of trained auditors
 - : Findings are localised & cannot be generalised for whole popⁿ.
- Way fwd:
 - : Mech. should be a continuous and regular process as to empower stakeholders
 - : Edu & Awareness of G. Sabha memb.
 - : Involvement of NGO & media
 - : Institutional framework for PRI Accounting and SA ✓
 - : Leverage technology.

- In April 2017, Meghalaya became the first State in the country to pass a social audit legislation. The state of **Andhra Pradesh** has become a role model in terms of implementation of Social Audits

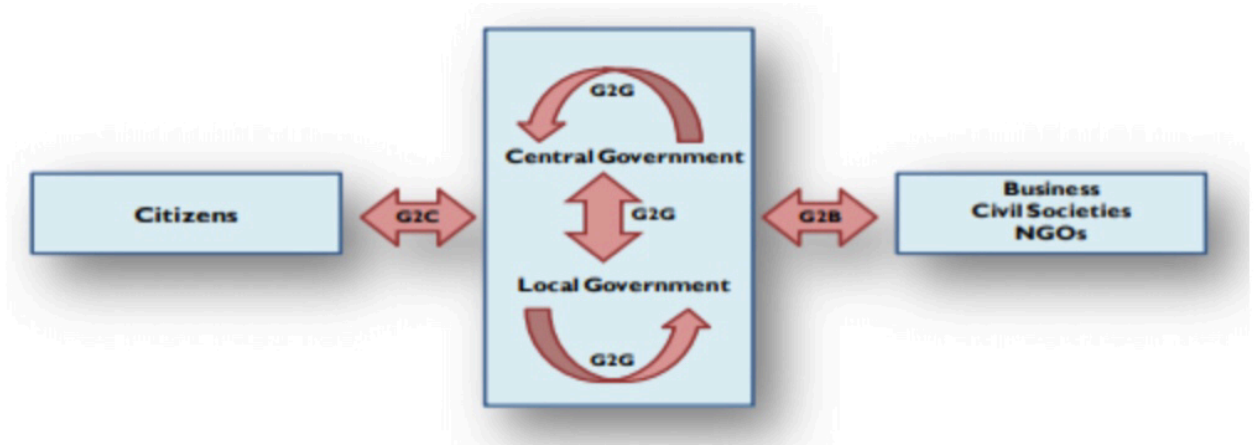
E-Governance: applications, models, successes, limitations, and potential

e-Governance

- **💡 : 2nd ARC 11th Report** (for meaning, S.M.A.R.T. e-governance, not abt 'e' but govt ie transform service and not just translate; 4 pillars - People • Process • Technology • Resources); **Models** (G2E, G2G also), **Measures taken** {Digi India, e-Kranti, National E-Governance service delivery assessment (NeSDA)}, **Recommendation by 2nd ARC** [BPR/GPR, **Nat Enterprise Arch** (eg: Singapore One), Protect Critical Assets, Involve pvt sector], **WF**: Build Trust, **Nagpur Resolution**, **KFON by Kerela for internet access to BPL families**, Multi-lingual setup, Enhancing interoperability; **Examples** (Use diff models to give holistic examples; PuraSeva by AP, Hyderabad Municipal Corp, 'Mo Sarkar', DAPRAN Portal); Gateway to **ethical and economical governance**; Always use diff models of e-gov to frame diverse points; **Read** bold points below; India's digital revolution has lifted 800 million people out of poverty: UNGA President
 - **Simple Example of E-gov**: click of a button citizens can gain access to government spending; Through social media governance has directly connected the citizens with ministers & now hold elected representatives directly accountable;
 - **Successful Models**:
 - **e-Mitra Project in Rajasthan** - delivery of citizen services
 - **Gyandoot in MP** - egov initiative to mobilise panchayti raj inst (PRI) digitally and deliver services
 - On the whole **e governance cannot be the ultimate pill** for corruption rather growth of morality , righteousness and ethical governance is needed to curb corruption in the country
 - We don't just need e-govt (government provides information on its website with passive role of citizen) **we need e-governance (where there is 2 way interaction eg: Twitter Samvad)**
 - **Utility & Significance** (focus on indian context); **Use 8 elements of GG + 3 pillars linked + Types of e-gov**
 - **Crisis Management** → **Aarogya Setu** during pandemic; Faster services → **Land registration in Andhra Pradesh in 5 mins (earlier 7-15 days)**; **Reduce bureacratic drag**; **EoDB eg**: Reducing regulatory requirement as highlighted by ES20 (more doc needed for restaurant compared to gun

license); **End the Great Indian Red Tape (e-collectorate in Bihar), Received 15 paise, now full amt via JAM trinity**

- **Models**



-

- **G2C/ C2G** - e-courts, Digilocker, Indore 311 app- geotagging of dirty areas, basic municipal and other services (licenses, pay bills, grievance redressal), CPGRAMS, CCTNS Portal
- **G2G** - PRAGATI, e-office, e-district, PFMS
- G2B- Shram suvidha portal, e-procurement system, MCA 21
- **G2E**- e-HRMS portal by DoPT, maintaining service records, SPARROW

- **Government Initiatives**

- **Digital India**

- Umbrella program to prepare India for a knowledge-based transformation launched by Meity
- Vision- Digital infrastructure as Utility to Every Citizen, Governance and services on demand, Digital empowerment of citizens
- **Nine Pillars:** such as Broadband Highways, Information for all, Public internet access programme, E-governance

- **Some Initiatives** under Digital India (shows how broad Digital India is)

- DIKSHA, eNAM, eSanjeevani, DigiBunai, PM SVANidhi (incentivizes digi transaction), Contact tracing app **Aarogya Setu**, **MP Online**, DigiLocker, **UPI**, **JAM Trinity**, **Jeevan Pramaan**, **DARPAN**, PRAGATI, **Common Services Centres 2.0 (CSC 2.0)**
- **e-Kranti (Nation e-governance plan 2.0) - e-health, e-jail, e-edu: MOOC for education, e-courts; PMGDISHA (6 crore people to be made digitally literate)**

- **Limitations/ Challenges/ Issues #revise**

- **Economic** - Huge capex needed, Infra issues (power sector woes), Semiconductor industry
 - Huge capital expenditure- eg in case of 5G rollout

- Infra issues- power sector woes
- **Social & Env** - Local languages, environmental concerns - e-waste, energy use, **resistance to change** due to trust deficit; Digital divide; Urban-rural access
 - Accessibility- digital divide btw rich-poor, men-women, children-old age (Recent suicide of LSR student over inability to buy laptop)
 - Urban-rural issues- migration of young to cities- limited offtake of e-gov in rural areas
 - English dominance in e-gov apps, insufficient use of local languages
 - Extreme weather events like cyclones, tsunamis, etc can hamper key communication services
 - Not user friendly, resistance to change
 - Main factor is the trust deficit wrt to public service delivery. Citizens currently have a 'nothing will happen' attitude towards PSD
 - **Environmental Concerns:** e-waste, energy usage 
- **Technical (ICT challenges):** Interoperability, Privacy w/o data protection regime, Errors and Omissions due to fingerprint mismatch (eg: Aadhar fingerprint rejection of 2.5% State of Aadhar Report)
 - Issues on interoperability- in payment systems
 - Privacy issues- Polarised politics- chances of misuse, leaks to private parties of crucial govt data
 - Lack of data protection regime
 - Multiplicity of apps, portals, content conversion in local languages
 - Biometric authentication issue- Jharkhand girl PDS
 - Errors and Omissions: eg: cases where senior citizens have been denied ration via PDS shops due to fingerprints mismatch
- **Conclusion:** E Governance the governance in India by making it more fast , efficient , transparent and accountable in a way it has made governance SMART
- **2020: "The emergence of Fourth Industrial Revolution (Digital Revolution) has initiated e-Governance as an integral part of government". Discuss. (150 words)**
 - **Key Terms: Coined by WEF Founder Klaus Schwab,** Metaverse, Cyber-physical system, Reduce expense by 2.6% as per Forbes
 - Meaning of the Fourth Industrial revolution by **contrasting it with the other three revolutions:** First was driven by Steam power, the second was driven by electric power, third was driven by electronic power, the fourth is being driven by data & AI
 - Economy

- Requirement of smooth eG for highly technical industries of 4.0
 - **Smart agriculture**
- Big Data
 - **Prediction of railway ticket probability**
 - Recent reforms in geo-spatial liberalisation
 - **Project Insight by Income Tax Dept.**
- AI
 - Health data analytics, defence, identifying scheme beneficiaries
 - **Big data- genetic mapping- precision medicine**
 - **Security- Facial recognition**
- **Smart city**
 - **Smart traffic management, Electric Grid mgmt**
 - **GIS tagging for cleanliness**
- **Transport**
 - **Fast-tag**
- **Mention about Digital India mission - and its role in above (eg: UMANG, JAM trinity, E-Invoicing and Curbing Tax Evasion)**
- Write issues of limited e-gov in IR.40- no EODB, limited FDI etc

Transparency, Accountability, Corruption

Accountability and ethical governance

- 💡: Definition, Core dimensions, Why important, Social accountability (as institutions are weakening), A vs Respon, Instruments to bring accountability
- Accountability = Answerability + Sanctions + Responsiveness
 - Four core dimensions (C-PET) that make an organisation more accountable to its stakeholders: Transparency; Participation; Evaluation (monitoring and reviewing); and Complaints and response handling
- **Why is it important?** Goes hand-in-hand with transparency (two wheels on which the chariot of ethical governance runs); Provide for checks and balances
 - Example: Satish Dhawan (chairman of ISRO) made himself accountable for failure of initial SLVs
- Types of Accountability: Vertical, Horizontal, **Social (Community Scorecards, Participatory Budget Analysis, CC)**; SA becomes imp due to weakening of institutional mechanisms (eg: delayed justice, non-enforceability of CC, RTI being weakened) #readagain
- Quote
 - **“Accountability breeds response-ability.” – Stephen Covey**
 - Without A, bureaucracy will become a Frankenstein monster divorced from his own master - Max Weber

- **Instruments to bring Accountability** (notice one term in syllabus is getting linked to other)
 - Dept Level Enquiry via Head of Dept; National Level via Parliament; Societal Level via media/civil societies; Judicial Level via courts; **Elections, Internal Audit; Citizen Charter, RTI, COC, COE**
 - Citizens of MH are allowed to inspect government records in district level offices and local bodies for two hours every Monday
 - NGOs & civil societies eg: Wada Na Todo Abhiyan by NGO to ensure govt honours its commitments
 - Ex CAG Vinod Rai said that 'accountability institutions script the destiny of nations'

Information sharing and transparency in government, Right to Information

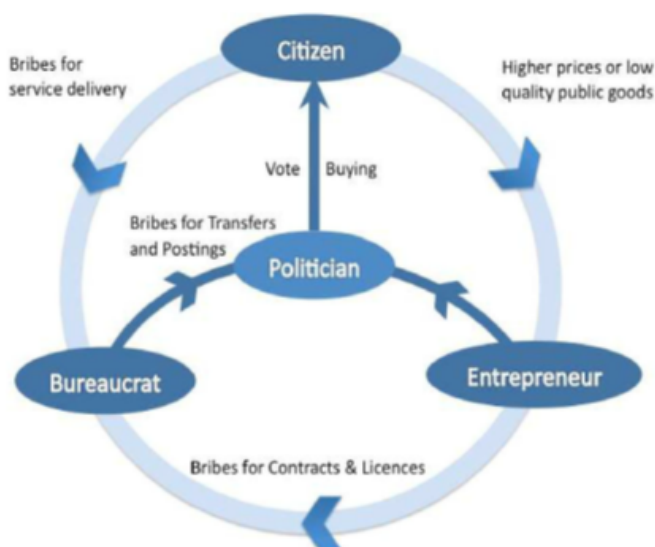
- **🔥 RTI Act, 2005 🔥 (15 years completed in 2020)**
 - 2nd ARC 1st Report said RTI is silent social revolution which change the work culture in India
 - New Amendment in 2019: Salaries + Term of CIC/ICs determined by CG; No need for deductions of erstwhile retirement benefits from current salary
- **Successes:** MGNREGA @ Bidar distt in KR, Vyapam Scam, Against crowded jails of UP; Village in Madhubani distt uncovered solar light scam using RTI
- **Significance:** Protection of FR u/a 19 - is linked to RTI; RTI Act 2005 envisages **transparency and accountability** in administration. The act has **functioned as a check on the supposedly arbitrarily administrative behavior** and actions
- **Issues in RTI:** Frequent use of **RTI exemptions u/s 8**; Pendency of appeals (>than 2 lakh; due to short on staff); Majority are having **bureaucratic background (Non partisanship)**; **Non-sharing proactively (Section 4** if applied reduce app by **90%**); Poor quality of information; **Harassment** (More than **300** RTI activists have been killed); **File notings not made** part of RTI (cannot know reasons behind the info/decision); **As per PWC Study** (only 15% aware about RTI provision); **Non-friendly attitude of PIOs; Huge vacancies in Information Commissions; RTI for personal gains such as extort money from decision makers**; New Personal Data Protection Bill might dilute RTI
- **Suggestions**
 - 2nd ARC **1st** Report: Atleast **1** day training to all govt EEs in a year; Suo-moto declaration of info by PA; **Protection of whistleblowers**; **Remove OSA and bring a new chapter in National Security Act 1980**
 - (OSA for handling cases of espionage; Issues-Term secret is vague; Used to muzzle dissent; Protect corrupt official; Colonial legacy; **However** RTI act override OSA- if public interest outweigh harm to protected)

- Need to separate genuine and non-genuine applications via: Public Awareness Campaigns, Monitoring and Disciplinary Actions; Clear and Specific Application Requirements
 - Best Practice: Jan Soochna Portal of RJ
 - **Conclusion:** RTI has given the right but **still 'responsibility to give and demand' info is missing** which demands probity in governance; **Also needs capacity building among people** to use this right effectively

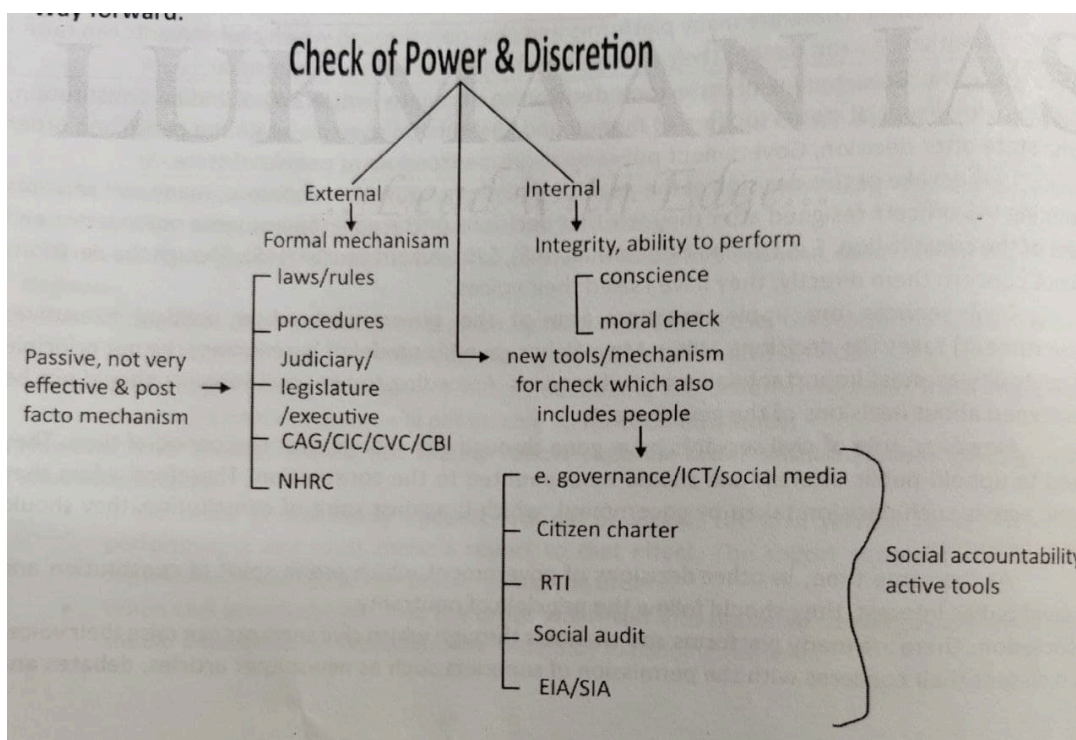
Challenges of corruption

- 💡: Definition, Equation, Causes, Examples, Solutions
- **Basics**
 - **Bhrasht + Aachar:** When your conduct is not moral/ethical
 - **Monopoly + Discretion – Accountability = Corruption** (to fight reduce 2 and increase last)
 - APJ Abdul Kalam '*C in nothing but an assault against conscience*'
 - **CSs are guardians** of the society due to their role & responsibility. The concern is **who will guard the guardians?** This is why we **need accountability**
 - 'Positive' Corruption seen by few: Speed money (allows files to move fast), Access money (bribes to get lucrative contracts) - They boost economy → Inc consumption
 - **-ve impact of corruption:** **Lowers investment** and retards growth; Impacts **govts revenue**; Increased **inequalities (raising cost of operations)**

THE WHEEL OF CORRUPTION



○



- **Causes of Corruption #revise**

- **Individual:** Moral Muteness, increased penchant for a luxurious lifestyle
- **Societal:** Sanskritization of corruption ('Be *Practical, Pay Bribe*'), **Social Proofing** (accepted by all)
- **Administrative:** **Cumbersome procedures** and red tapeism → **promote lobbying** by corporates; **Loopholes used (Nirav Modi); Failure of PoCA - low no of convictions**
- **Political/Institutional:** **Golden Nexus; Transparency International-Illegal means to donate funds** to PPs
- **Civil Society/Media:** **Echo chamber** of those in power, rather than whistleblowers; **TRP Scams; ML by NGOs**

- **Examples of Corruption: Cash for Vote Scam, Spot fixing** by rich players, PNB Fraud, DHFL Scam, Private trade by English officials, Prince Michael-caught offering confidential information to Russian investors


- **Solutions/Reforms #revise**

- **Individual:** Value education that promotes **zero tolerance**; Being **vigilant/proactive; Ethical Hotlines**
- **Societal:** Using **Citizen Report Cards** to create pressure on those in power to change things
- **Administrative:**
 - **Kautilya-rotation of officers/audits, emphasized the importance of accounting methods**, Use spies, Reward whistle blowers (compared CSs to fishes in the ocean)
 - **2nd ARC 4th Report:**
 - **Risk profiling of jobs as well as officer - 'low risk personnel' should hold 'high risk jobs' and vice versa**

- **Tasks, which are prone to corruption, should be split up into different activities** that can be entrusted to different persons
 - **Speeding up Trials under the Prevention of Corruption Act by fixing time limits for various stages**
 - **Timely submission and scrutiny of assets and liabilities** statements of public servants should be ensured. These should be **put in the public domain**
 - **Institutional: CBI/CVC/CAG Reforms, 'preventive vigilance' rather than 'punitive vigilance'; Implement Lokpal effectively (all these are non-state actors) (Accountability Inst can script destiny of the nation)**
 - **Political: Extend Register for Members' Pecuniary Interest to both houses, Electoral reforms** can be quoted
 - A populace disinterested in politics leads to corruption and apathy
 - **International: Meet obligations of UNCAC guidelines effectively**
 - **Technological: IPaidABribe.com initiative** of India to bring to light accounts of corrupt as well honest officers
 - **Integrity Pacts (IP) are a tool for preventing corruption in public contracting.** Both govt agency and bidding company **agree to abstain from bribery, collusion**, etc for the extent of the contract. To ensure accountability, Integrity Pacts also include a monitoring system typically led by civil society organisations
- **Conclusion: We need to ensure law enforcement at such a level where "payment of bribe should not pay"**
- **2016: Legal, political, economic, social and cultural factors that have caused the decline of public morality in India (in light of low rankings at integrity index of Transparency International)**
 - Economic causes
 - Highly inflationary economy, low salaries of government officials compel them to resort to corruption
 - Artificial scarcity created by people with mal-intentions
 - Other points covered in ethics notes
- **2015: Changes in Corp Gov to ensure transparency, accountability? Changes after Satyam Scandal (2009)**
 - Relation of CG with good governance by state
 - Bad CG- scams like satyam, harshad mehta leading to collusion with govt officers- GG suffers
 - CG requirements under Companies act 2013 - Indep Directors, DIN, SFIO, Rotation of A, Women D

- Concept of Independent Directors
- Obtain a Director Identification Number (DIN)
- Rotation of Auditors within 5 years in case of Indv and 10 years in case of partnership firm
- Office of Serious Fraud Investigation Officer (SFIO)
- Ind-AS Accounting framework
- Cover other recommendation of Uday Kotak Committee by SEBI (Separation of the roles, 50% indep directors in listed cos, Risk management & IT committee in top 500 listed cos, etc)
- **2013: 'A national Lokpal, however strong it may be, cannot resolve the problems of immorality in public affairs' Discuss**
 - Cover factors PESTEL given above however imp of Lokpal in strengthening anti-corruption system
 - Lokpal only **addresses the demand side of corruption, it does not address supply side** which requires dealing with pvt. organisations which offer bribes to bureaucrats and politicians (People need to ethical enough who are at supply end of C)

Citizen Charter

-  Definition, Components (by DARPG), Examples (CC of Indian Railways), Six principles of QC Movt, Issues (PAC Bangalore), Way Fwd (by **12th** Report Citizen Centric Administration)
- Definition: CC is a document that outlines commitment of org towards standard, quality and timeframe of service delivery, Grievance redress mechanism, Transp and accountability
 - Premise that the Citizen is "King; Quest to solve problems citizens encounter day in and day out while dealing with org providing public services
- **Components** (given by DARPG): Define std, quality, time frame, **Details of business transacted**; Expectation from citizens/clients (eg: bring so and so documents to get service), **Vision and Mission** Statement
- **Example**: CC of Indian Railways is one of the best (covers everything vision, mission, service types, levels to approach, timelines, etc); Overall more than 1,000 CCs have been (but still no change in attitude)
- **Six principles of CC movement (SF=QCVATS)** - Same points can also be used for **significance of CC (PYQ 2019)**
 - Improving the **Quality** of services
 - Choice: Wherever possible
 - Value (**Vision**): for taxpayers money

- Accountability: Individual and Org
 - Transparency: of rules, procedures, schemes, grievances
 - Standards: What to expect if not met
 - **Issues:** (Quote - Review by Public Affairs Centre (Bangalore) revealed the following)
 - **No standard format;** Not in vernacular language; **No consultation with end users/NGOs;** No training → confused with brochures/pamphlets; **No periodic review,** No details of Grievance redressal; **Vague terms (as much as possible, soon)**
 - Attitude issues/**Resistance to change,** lack of political and bureaucratic accountability; **No funds earmarked** for its effective implementation
 - **Reforms/Way Fwd** (Quote **2nd ARC, 12th Report**-Citizen Centric Administration)
 - **One size does not fit all;** Wide consultation with Public affairs NGO's
 - **Check transfers** and reshuffles; **Introduce motivational factor** (to speed up and appreciate good CCs; **eg-as done in UK**)
 - **External review by experts** according to expectations of consumers; Wide publicity of CC
 - **4th Report: Specify remedy if service levels are not met**
 - **Conclusion:** A Citizens' Charter cannot be an end in itself, it is rather a means to an end - a tool to ensure that the citizen is always at the heart of Citizen Centric Administration
-

Government policies and interventions for development in various sectors and issues arising out of their design and implementation

- 💡: Public Policy=**proposed** course of action; 5 stages (**Howlett and Ramesh's AFAIE - Agenda Setting, P. Formulation, P Adoption, P Implemt, P Evaluation; *Failure of any stage will be a gov challenge***)
 - PP must be SMART+future oriented+multidimensional+Specific-33% forests
 - Issues in Design & Implementation (SF=SICK FOUJi)
- **Weakeness in India's PP (Policy has become like a SICK FOUJi)**
 - Design
 - **Fragmentation** of policy formulation: eg: Transport sector dealt by 5 different ministries
 - **Over-optimistic** target of govt policies **eg: Disinvestment Targets; Telecom spectrum** auctions - too high prices → No takers for 700 frequency range in the auction
 - **Regulatory Jargons** used in policies eg: **COVID guidelines**

- **Inadequate definition**, Vague- eg difficulty in determining poverty line, no clarity on definition of farmer
- **Lack of inputs** from public and civil society **eg: Draft EIA**, withdrawal of permission to attend international online conferences by MEA
- **One size fits all approach**
- Delegated legislation leads to ineffective deliberation among law makers (actually part of policy adoption stage)
- Weak professional support to design, implement and monitor schemes
- When policy formulation and implementation are done by same bodies without deliberation with other stakeholders → Focus on operational convenience (eg: easy policy targets) rather than focusing on public needs
- Implementation
 - **Inadequate Sensitisation** of frontline functionaries (**Sec 66A and police**), lack of technical manpower vis a vis generalist as officers
 - Issues related to **Identification of beneficiaries** - eg: **inclusion-exclusion error in PDS** mechanism
 - Significant **Communication gaps b/w bodies designing the policies vs implementing** them (need for decentralisation/delegation)
 - **Overcentralization** → No mechanism for feedback & evaluation **eg: COVID policies**
 - CSS schemes (**Article 282**)- imp by states but made by union- neglect of local req
 - **Unskilled workforce** find it **difficult to implement specialised tasks**
 - **Awareness** challenges: Eg: **Gold schemes** did not get great push due to this
 - **Weak coordination** among centre and state bodies - eg: **Migration crisis**
 - **Social discrimination** faced by vulnerable sections (eg: Sarpanch from upper caste- issues in identification)
 - **Number of government employees**: As per the 7th Pay Commission (SPC) report, for every lakh of population, India had a total of 139 central government employees in 2014, while the comparative number for the USA is 668
 - Politically motivated policies: Farm loan waiver, subsidies, freebies, etc.
- Cover other issues of governance, egov

- **PYQs**

- **2019: Performance of welfare schemes that are implemented for vulnerable sections is not so effective due to absence of their awareness and active involvement at all stages of policy process. Discuss (15m)**
 - The **DPSP puts certain obligations** on the state to **provide social welfare schemes** for the vulnerable sections of the society. Such schemes are conceptualized at the ministerial level and implemented at the grass-root level.
 - Cover awareness and its need for better performance
 - Issues in vulnerable sector institutions- political appointments rather than social activist representing sections
 - Benefit taken by well off among those sections
 - Need to know local sensitive context and inputs
 - Areas where awareness is low:
 - **Farmers: Do not know about the MSP or cannot take benefit and sell output in mandis**
 - **Migrants: Do not know about One Nation One Ration Card or related legislation in unorganised sector**
 - **Beti Bachao Beti Padhao Scheme: Low awareness in various districts of MP, RJ, CG**
 - **Slum dwellers: Unaware of smart city initiatives, PM Awas**
 - **Cover all stages of policy process and issues related to each stage along with examples**
 - **Agenda Setting issues- by top level officers rather than understanding requirements from below**
 - **Lack of consultation during law making, law implementation (farmer protest)**
 - **Lack of strict time frames, financial mechanisms and inter agency cooperation pose challenges, infrastructural issues**
 - **Most of the schemes are unrelated to each other with little horizontal convergence or vertical integration resulting in conflicts**
 - **Cover design and implementation flaws by linking them to lack of awareness and participation leads to..... (write points)**
- **2014: Discuss the merit of state sponsored talent hunt and its cultivation as against the rationale of a reward mechanism as encouragement**
 - **Lack of medals in sports at international level? Reasons**
 - Merits of state sponsored talent hunt
 - Financial support will not force gifted talent to leave his passion
 - Reveal best talents around the country eg: Dhoni
 - World class infra at rural areas- sports academy at Manipur
 - Int coaches
 - eg: TOPS Scheme
 - Reward mechanism
 - Gives motivation to upcoming athletes

- **Best Practices: Odisha supporting hockey team; One State One Sport; Genetic Mapping of tribes and people**
- However rewards should not be exuberant instead focus and finance should be more towards state spon talent search and training
- **2014: Aadhar Card vs NPR? Can both run concurrently or not? What are the potential of such schemes?**
 - Pending to be covered - CAA Bill, NRC, NRC - whole section from Mains 365

Development processes and the development industry —the role of NGOs, SHGs, various groups and associations, donors, charities, institutional and other stakeholders

Development Processes

- 💡: Read bold points, **Development** (removal of unfreedoms that leave ppl with little choice *in exercising their reasoned agency* by AS) **Dimensions to development** (P,E,S), **Development Process: State led**(bureaucracy=main instrument here; which got prolonged much more in India), **Neo-Liberal Paradigm**; less state, more market & civil society (but issues too-COVID high prices by pvt sector)
- **Multi-level Planning** (Meaning: opposite of centralized planning) Types (Vertical-C/S/Local and Horizontal-other 2 players involved); **Mehta Committee** recommended MLP for 1st time
 - Vertical (States, Local Govt, ex ADP Program has multiple officers; Regionally differentiated planning - Needs of each state is different; Use of local knowledge)
 - Horizontal (Involve the other 2 pillars of governance-NGO, Pvt Sector imp after 1991)

Development Industry

- **Dev Industry**=Combined set of various inst & agencies; **Benefits of VO's participation** (*Use reverse of SICK FOUJI*; Cohesion, Change more acceptable)/**Role played (think of AFAIE)** - Policy advocacy (ASER Survey; *Bombay Natural History Society BNHS-Bird Census*), PDS (Akshay Patra), Social change & empowerment (*Rural Changemakers*, SHGs, CRY), Watchdog (PRS Legislative), **Agitate & Mobilise** (Pressure Groups), Disaster Mgmt (eg: Rapid Response) Resource mobilisation (HADR, COVID, donor agencies, crowd funding) **National Policy on the Voluntary Sector 2007** (govt find methods to work together, training modules, VOs must be transparent & accountable);

General concerns (internal democracy in VOs, diversity of laws at state level → diff to expand)

- **Relationship of NGOs/CSOs with the state is that of a cooperative conflict:** Cooperation with state (dev in tribal areas via Amte Foundation; SEWA helping for NABARD Bank linkage, Ashay Patra foundation for MDM); Conflict with the state (oppose to reforms farm laws, Act which harm env Narmada Andolan, 2-3% GDP loss Intelligence Bureau)

Non-Governmental Organisations (NGOs)

💡 **Note: Highlighted points in pink below are my short notes — they include key words for quick understanding. For full details, please refer to the “Extra Content” section that follows.**

- 💡 : NGO: Bridge b/w ppl and state; Type of civil society which is organised in structure & specialised in fx; CBI Data (~31 lacs, 2x of schools); **Role played** (Use SICK FOUJI); **Examples (WeWork NGO-pilot UBI Hyderabad, Working with Panchayat-DHAN Foundation, TERI, Bird Census by BNHS, CSE (Env 2.6 yrs) CARE India, BBA, Wada Na Todo Abhiyan); Issues (10% file annual returns CBI; Obstructionist activism loss of 2-3% GDP by IB Report, Depend on grants; Org Structure Issues ie. Board composition/Fin Acc; Big NGOs sideline small ones; NSA: Emerging as Frontier for ‘Fourth-generation warfare’; Only hundred NGOs accredited by ‘Credibility Alliance’); Suggestions (Social Stock Exchange, National Accreditation Council by 2nd ARC, Dev Impact Bonds); Vijay Kumar Committee (Kelkar=PPP) recommended “light regulation”-reduce phy interface b/w NGO & public officers; Create searchable NGO database, Modernise registration under FCRA/IT Act; Conclusion: 3rd wheel of dev or The Third Pillar by RR (need to reinvigorate third pillar to promote inclusive localism); Read FCRA Act highlights below (rest no need to read);**
- **Social Stock Exchange** [Perf based philanthropy; Synergy b/w investee and Investor; Tax incentives for investor; Listing norms will apply; Reduce burden on govt] - Ishant Hussain Committee
- **Must include dimensions:** FCRA, provide an alternative model of service delivery
- FCRA and NGO's
 - 2024: CPR loses FCRA licence for 'hurting India's eco interests'
 - **FCRA Act 2010 - Content of parent law (in 2010)**
 - **Objectives: regulate the acceptance and utilization of foreign contribution by person in imp areas (judges, public servants, office bearers of political parties, MP/MLA, media, etc)**
 - Registration and renewal every 5 years
 - Political party, election candidates, media, etc → Prohibited to receive foreign funding
 - Banks shall remit details to authorities

- File annual returns in prescribed forms
- **NGOs can receive funds for 5 purposes-** Social, Economic, Education, Religious, Cultural
- **Reasons for regulation**
 - **Non-adherence to statutory compliances** such as returns, account maintenance
 - Internal security challenges - **religious conversion** → **CG banned 6 NGOs**
 - Involved in political activism with foreign funds
 - Claiming to be involved in human rights initiatives - alleged to support extremist & secessionist groups
- 2015 Amendments: Retrospectively allowed political parties to receive foreign funds from the Indian subsidiary of a foreign company or a foreign company in which an Indian holds 50% or more shares
 - Banks shall inform authorities within 48 hours of receipt of remittance
 - Place the annual returns and such data quarterly on their website or website as prescribed by CG
 - All FCRA services are made online and human interface has been reduced to minimum
- FCRA Amendment 2020
 - Bars public servants from receiving foreign contributions
 - **Prohibit the transfer of foreign contribution** recd by NGO to **any other person** (earlier it was allowed to be trans to any reg. entity or one who has taken prior permission) → This **may impact collaborative research as funds cannot be transf to smaller NGOs**
 - Maximum 20% of the contribution for meeting administrative expenses (earlier 50%)
 - Receipt of funds only at branch SBI New Delhi
 - **Aadhar and Passport for documentation**
- **Controversies**
 - No clear guidance on what constitutes "public interest" → **Arbitrary powers, Issue: Definition of public servant very wide and vague (and public servants barred from receiving funds)**
 - Used as a tool to **supress free speech** → Violates Articles 19(1)(a) and 19(1)(c) of the Constitution
 - Impacts functioning of legitimate NGOs → No EoDB
 - Affects international image and global diplomacy
 - Impacts livelihood and people dependent on social sector; Hurdles to ensure accountability of executives
- Conclusion: Over-regulation of these groups must be avoided to allow free and safe functioning of the same. However, the government is well

within its rights to ensure oversight if self-regulation of these groups isn't effective. **Need for 'independent regulator' to regulate the activities of civil society; Also Social SE must be set up to ease issues of funding**


- **Recently, Noel Harpou Case in SC - held FCRA Amendments valid**



Extra Content for NGOs

- NGO = Type of civil society which is organised in structure and specialized in function. They act as bridge b/w state and people
- Stats: CBI data - There are ~31 lacs NGOs in India (double the no. of schools)
- Role in development process
 - Implementation of welfare schemes eg: providing skill dev to LWE regions, tribal regions
 - Identification of beneficiaries, awareness generation
 - Conducting social audits, helping PRIs in functioning eg: 'Working with Panchayats' program of DHAN foundation
 - Rehab of people in case of disasters, pandemic
 - Role in environmental protection (use all stages of policy process)
 - Policy formulation through R&D support eg: CSE report on delhi air pollution
 - Conduct surveys and wildlife assessment eg: Bird Census by Bombay Natural History Society
 - Supporting international org and summits eg: IUCN
 - Implementation of govt. initiatives such as clean ganga, swatch bharat
 - Promoting clean energy solutions eg: The Energy and Resources Institute (TERI)
 - Empowerment of vulnerable sections eg: CARE India, Helpage India, CRY
- Success stories
 - Partnership with Akshay Patra for Mid-day meal scheme
 - Bachpan Bachao Andolan (BBA) by Nobel Laureate Mr. Kailash Satyarthi
 - Pratham NGO and ASER Report for education
 - Naz Foundation was at forefront for decriminalisation of Section 377 of IPC
 - Wada Na Todo Abhiyan is a campaign formed by CSOs to hold the government accountable to the national and international commitments made by them eg: SDGs
- Concerns associated with NGOs
 - Lack of transparency: Only about 10% of NGOs file their annual income and expenditure statements, revealed by CBI

- Organisational structure issues: questions are frequently raised regarding role and composition of the board, financial accounting, management structure
- Overdependency on grants from govt. as well as volunteers
- Acting as conduits of money laundering, OGWs → Facilitating organised crime
- Used by external actors to stall developmental projects → Loss of 2-3% of GDP (IB Report)
- Siphoning of funds from the exchequer
- Big international NGOs are sidelining the local and small NGOs hence creating disparity
- Suggestions for NGOs
 - The 2nd ARC had recommended setting up a National Accreditation Council to devise an accreditation system for voluntary organisations obtaining funds from government
 - Speed up the process for Social Stock Exchange
 - Arranging funds through Development Impact Bonds
 - Government should give airtime, ad-spaces for NGOs, more tax incentives, funds for training of frontline workers
 - Giving representation to leading NGOs in bodies like NHRC, Committees
 - Balancing interests of legitimate as well as dubious NGOs
- Conclusion: 3rd wheel of development. Needed to fill the gap in developmental process

SHG

 **Note: Highlighted points in pink below are my short notes — they include key words for quick understanding. For full details, please refer to the “Extra Content” section that follows.**

 **Definition** (informal group with similar background with a desire work collectively), Current 1.2 crore SHGs led by women; **88%** exclusive women; **Benefits** (Engendering development as dev has skipped women eg: gender gap report; Enhances self esteem of women role in crisis mgmt (covid examples), set up micro enterprise, reduce reliance on informal lending, Can keep gram panchayats accountable, undertake social initiatives; ES23 highlighted their credit discipline is over 96%) + **Examples** (SEWA Ela Bhatt, Lijjat (80 to 1600 cr), Mahila Milan Pune, Nari Adalat, Odisha used SHG to  child marriages; SHGs made 17+ crore masks; **Initiatives** (SHG-Bank Linkage, NRLM, eShakti to digitise SHG, 1 lac under MUDRA Loans, SHG under PSL Norms, Ajeevika Mela, 40k to SHG in food processing;); **Issues** (issue of multiple membership; lions shares by strong member, bogus bodies, not diversifying, socio-cul issues-caste/ patriarchy/ marriage-migration, -ve attitude towards loan, Kudumbashree R-not getting payments; Ltd access to quality resources; SHG vs PRI - routing dev projects, conflicts); **Way Fwd** (BG model of SHG-Grameen

Bank, Kudumbashree); **Solution**(SHG Movement to Credit Deficient Areas-MP,RJ,NE areas; Microfin-anti-poverty vaccine (**Malegam Cmt**), Awareness by Rural Dev, Linkage of NGO & SHG, Skilling and use of technology) - No need to read below - Only [2015: The Self-Help Group \(SHG\) Bank Linkage Programme \(SBLP\), which is India's own innovation, has proved to be one of...](#) [2013: The legitimacy and accountability of Self Help Groups \(SHGs\) and their patrons, the micro-finance outfits, need systematic assessment and...](#)

2022 Example: SHGs in HP doubled their income by making eco-friendly leaf plates after SUP ban

2023: Prime Minister Narendra Modi said, "Over a period of time, 'Self Help Groups' turn into 'Nation Help Groups'." SHGs PM Modi lauds women self-help groups, says his dream is to make 2 crore 'lakhpati didis'

MP: Toll booths collecting less than Rs 2 crore a year to be run by women

They emerged as pivotal players in crisis management, leading from the front by - creating awareness about the pandemic (e.g. Patrakar Didis of Jharkhand), delivering essential goods (e.g. Floating supermarkets in Kerala), running community kitchens (e.g. Prerna Canteens in Uttar Pradesh), supporting farm livelihoods (e.g. Pashu Sakhis for animal health careservices), and in delivery of financial services (e.g. Bank Sakhis managing bank rush for availing Covid-relief DBT cash transfers), notes the Economic Survey 2022-23

Panchasutra Principles (Regular meeting, R saving, Record, R payment, R inter-lending)

- 2015: The Self-Help Group (SHG) Bank Linkage Programme (SBLP), which is India's own innovation, has proved to be one of the most effective poverty alleviation and women empowerment programmes. Elucidate.
 - SHG BLP by NABARD in 1992
 - Under this banks allowed to **open savings accounts** for Self-Help Groups (SHGs)
 - Banks **provide loans** to the SHGs against **group guarantee** and the **quantum of loan could be several times the deposits placed** by such SHGs with the banks
 - **Lending can be for** income generating activities, social sectors such as housing, edu, nutrition requirements
 - As per the RBI's latest (May 2016) **Priority Sector Lending norms**, bank credit to members of **SHGs is eligible for priority sector**
 - Banks have found that the transaction cost of reaching the poor through SHGs is considerably lower rather than direct lending by the bank (less NPA); Eco Survey 2023 - Credit discipline > 96%

- GOI has also been using the SHGs for subsidy-linked credit schemes for the poor
- Explain how bank linkage helps women and poverty alleviation (cover above points)
- 2013: The legitimacy and accountability of Self Help Groups (SHGs) and their patrons, the micro-finance outfits, need systematic assessment and scrutiny for the sustained success of the concept. Discuss
 - Issues in micro finance outfits
 - However, legitimacy and accountability of Self Help Groups are facing a lot of problems, including **multiple lending, over borrowing, ghost borrowers and coercive method of recovery**. For this purpose, a Sub-Committee of the Central Board of the RBI under the **Chairmanship of Y. H. Malegam** was constituted. It **suggested**, inter alia,
 - to have a **sufficient moratorium period between the start of repayment and the disbursement of loan**
 - to **restrict borrower membership of only one SHG to tackle multiple-lending**
 - **Give loan to them as members of SHGs rather than individuals**
 - **Loan for trivial issues rather than income generating activities, multiple lending**
 - Some SHG- diff interest rate for diff sections, **exorbitant interest rates**
 - Issues wrt patrons- nepotism issues
 - Households with **greater levels of schooling obtained larger loans** from SHGs (thus perpetuating inequalities based on education while reducing it based on social groups)
 - Inability to link with formal inst
 - High level of loan turning bad (NPAs)- IndiaSpend had reported. Rs 9,000 crore worth of bad loans to self-help groups were in danger of being written off (May 2016)
 - **WF- Malegam Committe on Micro-F - Need for Micro-Finance Bill, org and fin training, tackle socio-cultural hurdles**

Extra Content for SHG

- SHG = Informal group with similar socio-economic background and have a desire to work collectively
- Informal associations of people who come together for improving their living conditions by making small regular contribution in common pool then lend to members/others
- Self help is best help- Gandhian idea

- ~61 lakh SHGs across the country mobilizing more than 6.73 crore women (80%- exclusive women)
- C Rangrajan committee on financial inclusion- identified lack of micro-finance as a major factor for rural poverty
- Apart from microfinance also work in field of handicrafts, dairy dev, food processings, making sanitary pads etc

Benefits of SHG (enhances self esteem of women, set up micro enterprise, reduce reliance on informal lending, Can keep gram panchayats accountable, undertake social initiatives)

1. Women- more vocal and assertive on social and family issues- enhances their self esteem. Acts as pressure group to gram panchayats
2. Reduced dependency on informal money lenders as well as accesibility unlike other formal sources.
3. Supports setting up micro enterprises in rural areas Ex: Personalised business ventures like tailoring, grocery shops through microfinance, Lijjat Papad (Padma shri awardee Jaswantiben Popat)
4. Benefits wrt PRI collab given below.
5. Promotes the concept of group accountability for paying back - improve debtors- creditor relationship, groups work as a collective guarantee system for members who borrow from organised sources.
6. Misc Role of SHG: Civic awareness, Access to justice (Nari Adalats)
7. Social & Env Initiaitves:
 - a. Women SHGs to be used to initiate community dialouge and action against child marriage by Odisha govt which aims to end child marriage by 2030
 - b. SHG women in Assam: Offered to swap a sapling and cloth bag for 1 kg of plastic
 - c. Mahila Milan redeveloped slums in Pune through SHGs
8. The financial inclusion attained through SHGs - better eductation, reduced child mortality, improved maternal health and the ability of the poor to combat disease through better nutrition, housing and health.

Case Studies

- Kudumbashree in Kerala- in Kerala, aim to wipe out absolute poverty through community action, largest women empowering project in the country, has three components i.e., microcredit, entrepreneurship and empowerment. Govt help-budget and staff is paid by govt
- During COVID, SHGs made 17 crore masks, 5 lakh litre sanitizers, 1.2 lakh operated community kitchen (data as per NRLM website)

- Bangladesh Model of SHG - Successful model that led to economic growth of country

Evolution and Govt Initiatives

- The Genesis of SHG in India - formation of Self-Employed Women's Association (SEWA) in 1972 by Ela Bhatt [as a branch of Textile Labour Association (TLA), a labour union founded by Gandhi]
- The SHG Bank Linkage Project launched by NABARD in 1992 - world's largest microfinance project
 - NABARD gives training, skill dev, exposure visits etc, special schemes for women SHG in LWE districts
- In 1999- Swarn Jayanti Gram Swarozgar Yojana (SGSY) to promote self-employment in rural areas through formation and skilling of SHGs
 - Became National Rural Livelihoods Mission (NRLM) – world's largest poverty alleviation programme- loans to women SHGs
 - facilitated universal access to the affordable cost-effective reliable financial services to the poor like financial literacy, bank account, savings, credit, insurance, remittance, pension.
- Budget 2019-20- To encourage women entrepreneurship- interest subvention in all districts, every verified women SHG member- overdraft of 5k, one women in every SHG- 1 lakh loan under MUDRA
- EShakti by NABARD- for digitisation for SHG
- Aajeevika Melas for SHGs to educate the rural self-help groups and craftsmen
- Recent govt target of 75 Lakh SHG by 2022 (from current 61 lakh)

Weakness

1. Strong members try to earn a lion's share of the profit of the group, by exploiting the ignorant and illiterate members.
2. Most SHGs are engaged in agri activities which reduces alternative source of income (thus SHG not leading to diversification)
3. Bogus SHGs to take undue benefits
4. Most of the activities undertaken by the SHGs are still based on primitive skills related mostly to primary sector enterprises. There are lack of qualified resource personnel in the rural areas who could help in skill upgradation for new innovative ventures.
5. Socio-cultural hurdles (discussed below)
6. Regional disparity- less in NE, Socio-cultural prejudices wrt caste, gender.
7. Recent report by Kudumbashree revealed that while women's microenterprises responded to bulk orders for face masks and hand-sanitizers, they haven't yet received any revenue for these products
8. Majority of the group unaware. Contrary to the vision for SHG development, members do not come necessarily from the poorest families.

9. Non-cooperative attitude of the financial institutions- delay in sanctioning loan

Suggestions

1. Frequent awareness camps can be organised by the Rural Development department authorities to create awareness about different schemes.
2. NGOs can identify the inefficient processes and members of the group and can impart proper training for effective functioning
3. Financial assistance to the SHGs should be strictly on the basis of their actual performance without any discrimination on the basis of caste, religion or political affiliations.- check NPA's and evergreening
4. Expanding SHG Movement to Credit Deficient Areas of the Country - such as Madhya Pradesh, Rajasthan, States of the North-East.
5. Skill Training Programs in various fields such as mgmt of finance, accounting, marketing their activities
6. Provide credit needs for diversified activities
7. Commercial Banks and NABARD in collaboration with the State Government need to continuously innovate and design new financial products for these groups.
8. Lessons from Bangladesh Model of SHG - Successful model that led to economic growth of country
9. Concl: Work needs to be done to achieve govt's target of achieving 75 lakh SHGs by 2022

SHG vs PRI:

- PRIs and SHGs have overlapping aims from poverty alleviation to enhancing participative democracy. The two institutions sometimes compete with each other for space in development administration and political processes.
- Friction
 - SHGs are becoming a conduit for routing number of development schemes, involment of NGO with SHG rather than PRI.
 - **SHGs are then seen as undermining the constitutional roles of PRIs. Act as pressure group for PRI**
- However, there are number of successful examples where SHGs and PRIs working in tandem have effected a positive change in the rural society
 - Some SHGs work under the Panchayat system for distribution of pensions, wage labour under MGNREGA, etc. Kudumbashree, a women based participatory poverty eradication programme, is an SHG movement into which there has been integration of Panchayat tiers
 - Linkage with the SHGs will enhance responsiveness, accountability and transparency (RAT 🐭) in PRIs


- While at the Gram Panchayat level SHGs could be implementing, monitoring and evaluating agencies, at the Block and District levels, they can act as a pressure group, provide feedback and act as watchdogs


PYQPs on SHGs

- 2017: Role of SHGs in developmental activities and the measures taken by the Government of India to promote the SHGs?
 - Covered above
- 2015: The Self-Help Group (SHG) Bank Linkage Programme (SBLP), which is India's own innovation, has proved to be one of the most effective poverty alleviation and women empowerment programmes. Elucidate.
 - SHG BLP by NABARD in 1992
 - Under this banks allowed to **open savings accounts** for Self-Help Groups (SHGs)
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 - Banks have found that the transaction cost of reaching the poor through SHGs is considerably lower rather than direct lending by the bank (less NPA)
 - GOI has also been using the SHGs for subsidy-linked credit schemes for the poor
 - Explain how bank linkage helps women and poverty alleviation (cover above points)
- 2014: Socio-cultural hurdles faced by SHGs in rural areas
 - Patriarchal issues-male dominated society-women lack of property, dual burden
 - Illiteracy: About 30% of rural people are illiterate according to government data. They don't know the importance and working of SHGs
 - -ve attitude towards loan in traditional society set up
 - Lack of Stability: Post marriage migrations → Breaks linkage with SHGs
 - Caste and Religion: Group formations based on caste and religious lines hinders the working of SHGs. People belonging to different castes are not ready to participate and cooperate with each other. Similar for tribal community

- Lack of funding: Generally rural people lack funds or are not ready to spend out of pocket
- Explain how above factor affects function of SHG and need for more accomodation, decentralisation, govt support
- 2013: The legitimacy and accountability of Self Help Groups (SHGs) and their patrons, the micro-finance outfits, need systematic assessment and scrutiny for the sustained success of the concept. Discuss
 - Issues in micro finance outfits
 - Inability to link with formal inst
 - Issues wrt patrons- nepotism issues
 - Households with **greater levels of schooling obtained larger loans** from SHGs (thus perpetuating inequalities based on education while reducing it based on social groups)
 - **Using coercive means** to get back loan
 - Some SHG- diff interest for diff sections, exorbitant interest rates
 - **Loan for trivial issues** rather than income generating activities, **multiple lending**
 - High level of loan turning bad (NPAs)- IndiaSpend had reported. Rs 9,000 crore worth of bad loans to self-help groups were in danger of being written off (May 2016)
 - WF- **Malegam Committe on Micro-F - Need for microfinance bill (Draft bill in 2013) org** and fin training, tackle socio-cultural hurdles
- 2020: "Micro-Finance as an anti-poverty vaccine, is aimed at asset creation and income security of the rural poor in India". Evaluate the role of Self Help Groups in achieving the twin objectives along with empowering women in rural India.
 - Covered above

Role of Civil Services in a Democracy

 **Note: Highlighted points in pink below are my short notes — they include key words for quick understanding. For full details, please refer to the "Extra Content" section that follows.**

 : CS can be either in conflict with Democracy or Be complimentary (read image below; as exact words of syllabus); CS strengthening and sustaining democracy (eg: free and fair elections every 5 years; stability in democracy during coalition era 1996-2002; Head bulwarks like ECI/CAG/UPSC) Article 309 (Power of parl/state **leg** to regulate conduct rather than exec) Article 310 (doc of pleasure of Prez/gov), 311 (no dismissal/removal by subordinate authority than appointed; Give OOBH), 312 (All

India Service by RS), 323A (CAT/SAT); **Role** (perm exec, quasi-judicial fx, **L&O**, **Grievance Red**, continuity of admin-Ramsay Muir)

Issues (Rule-Book or Ivory Tower Bureaucracy, Status Quoist, 22% vac DoPT; Avg spell **15m SUPREMO** (~~not SPARROW SUPREMO is database of DoPT~~); District Incharge Minister interference; Weberian approach-Covid aid delayed, 'Bureapathology'; Not outcome based; Dominance of AIS; Automatic promotion, Administrative favouritism, Elitist attitude, Article 311 used to shield dishonest CS); **Recomm by 2nd ARC 4th Report** (Estab NIPA, Min tenure for Sr. CSs; Risk profiling of job & CSs; Promotion on completion of Training and not automatic; COE of Minister incl principles of r'ship); **by NITI@75** (↑ Teeth to tail ratio; Training modules distt to distt basis; Incentivise extraordinary perf; Mentors to young officers; Outsource services); Recall Optional's Bureacracy related content during AW Lateral Entry → 🔥🔥 [Lateral Entry](#) 🔥🔥 + [2016: "Traditional bureaucratic structure and culture have hampered the process of socio-economic development in India." Comment.](#); **Concl:** With bad laws and good civil servants it's still possible to govern. But with bad civil servants even the best laws can't help. **Otto von Bismarck**; Sardar Patel considered the civil service as "the steel frame on which the dome of Indian democracy stands". The above reforms are needed to prevent this steel frame from getting corroded and the dome collapsing

Mission Karmayogi (Rules based to roles based; iGOT Platform; **FRAC** (framework of roles, activities and competencies) approach; PM **HR** Council to oversee; **onsite+offsite training**; partner with the **best-in-class learning content creators**; Undertake **data analytics** in respect of **data provided by iGOT**; Proposes to **set up a Capacity Building Commission** to ensure collab ecosystem); **Advantages**-Transforming work culture, Reducing corruption and nepotism, Right person for the right role; **Challenges:** Centralised approach- PM-led HR Council will approve and monitor; Bureaucratic inertia (which pushes reforms to background like with ARC reports); **6 pillars of Mission:** (PIC-MED) Policy Framework, Institutional Framework, Competency Framework, Monitoring and Evaluation Framework, Electronic Human Resource Management System (e-HRMS), and Digital Learning Framework (Integrated Government Online Training Karmayogi Platform (iGOT-Karmayogi)

🔥🔥 Lateral Entry 🔥🔥

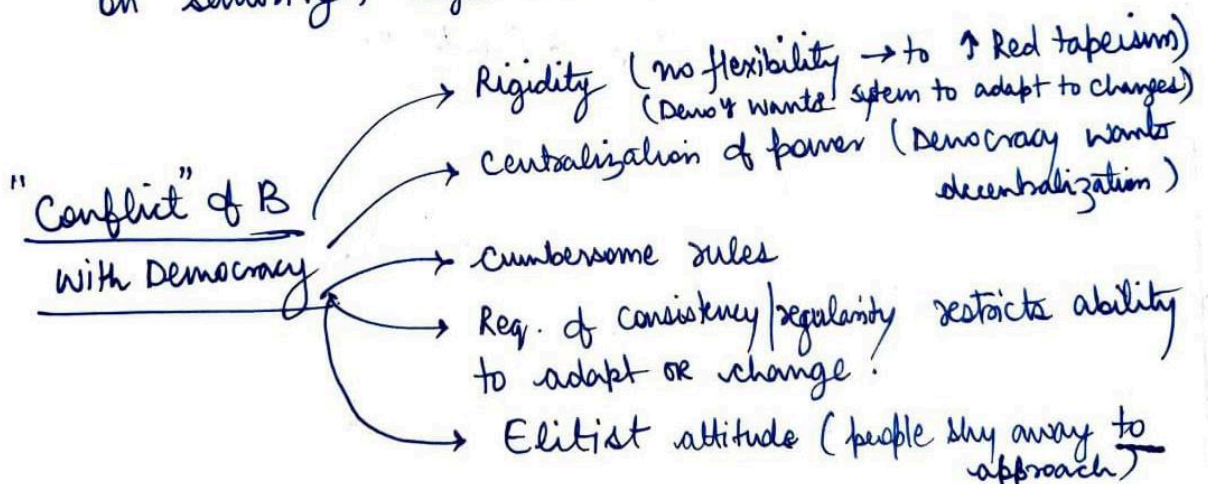
- Background:
 - **2023:** Department of Personnel and Training (**DoPT**) has asked **UPSC** to induct senior officers in **six departments at the level of joint secretaries, directors and deputy secretaries** on a contract basis. This is the **fourth recruitment drive** proposed to be undertaken since **2018**

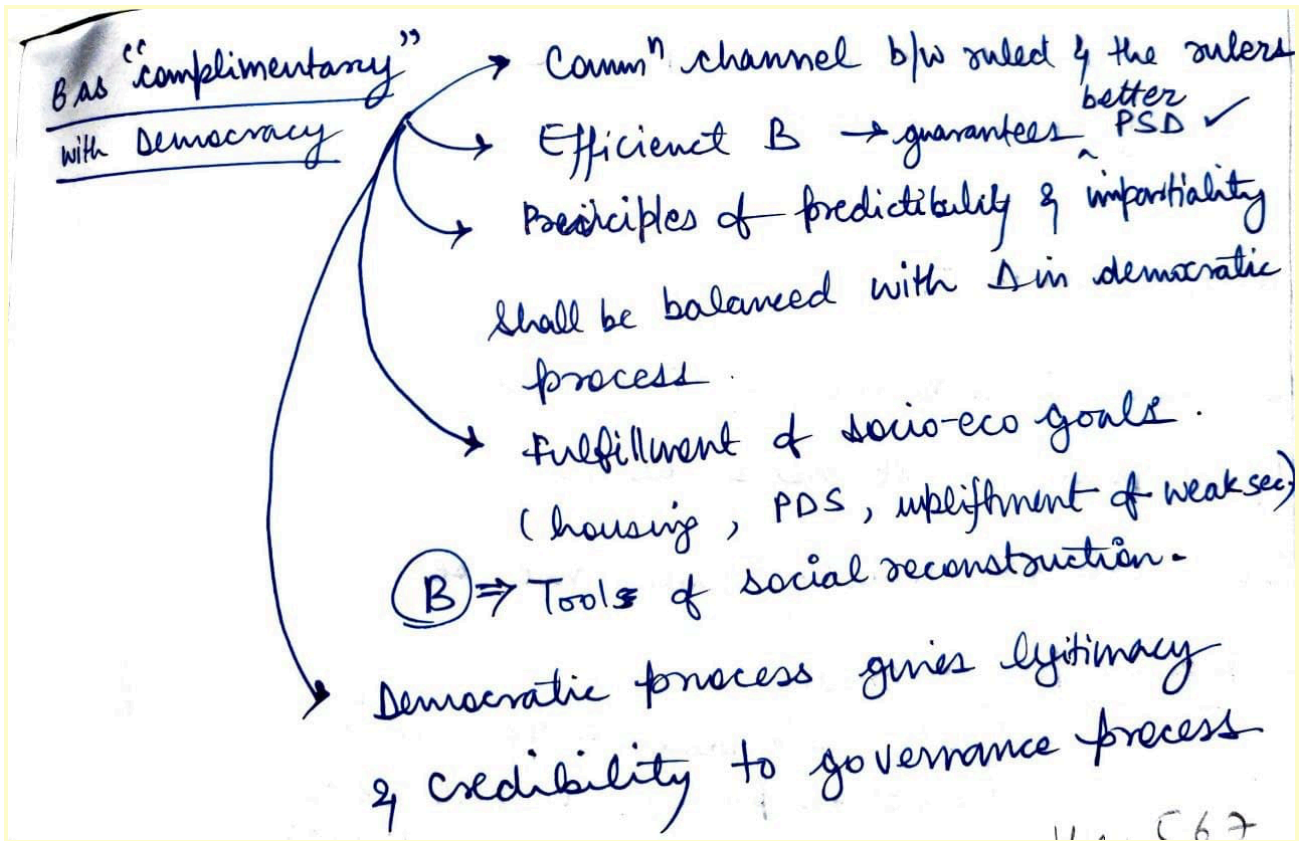
- Lateral entry **means when personnel from the private sector are selected to an administrative post** of the government **despite them not being** selected in or being part of a **bureaucratic setup**
- Lateral Entry to higher positions in bureaucracy is **not new in India**. Ex: **Raghuram Rajan** as RBI head, **Montek Singh Ahluwalia** as PC chairman, etc.
- **Benefits of lateral entry**
 - In an era when policymaking has **become increasingly specialized (IR 4.0)**, there is a need for officials who are immersed in a particular area (e.g., digitalization, financial frauds, cybercrime)
 - Need for IT specialist to handle issues of MeITy
 - Bring in **fresh ideas and augment manpower** → Brings competition
 - Provide an opportunity to attract and retain the best from across the world - eg Indian citizen worked in space X can augment Dept of space
 - Individuals from UN, Oxford
 - **Increased efficiency** through competition within governance.
 - **Resolve issue of under staffing** at senior officer level- nearly same number of IFS(A) grade officers compared to Singapore, need people from foreign policy thinktanks to bring diversity in foreign policy, shortage of 22% IAS
 - Lateral hiring is **common practice in other democracies such as the UK, US and Canada**.
 - **Major Revolution** have been **possible with outside support** eg: GR (MS Swaminathan), **Aadhar (N. Nielkani)**, **White Revol (Verghese Kurien)**
 - **Recommended by NITI Aayog in 3 yr Action Agenda, 2nd ARC, Hota Committee, etc**
- **Challenges in lateral entry**
 - **Nepotism and corruption (Spoils system)** may creep in during selection process
 - Need for transparency- eg all LE through UPSC only
 - **No predictable reservation benefits**- eg RTI reply said that LS done by individual appointment even though notification combined
 - **Conflict of Interest:** Hiring of the private sector into administrative positions raises issues of potential conflict of interest.
 - **Profit Motive vs. Public Service:** Private sector approach is profit-oriented on the other hand motive of the Government is public service.
 - Lateral entry is likely to **face strong resistance** from in service Civil Servants and their associations (**Difficulty adjusting to bureaucratic work culture**)
 - Eg recently inducted JS quit JS post to again join private sector

- The **width and depth of field experience which the civil services provide is simply not available with outside talent** (*Lack of field experience or grassroots experience*)
- **Might not address existing issues** of political pressure
- Structural issues regarding bureaucratic rigidities and red tape, lack of transparency in working of bureaucracy, political interference
- **WF: Parliamentary Panel recommended deputation of IAS/IPS into pvt sector for experience; Ensure transparency;**
- **Conclusion:** In parliamentary democracy, lateral entry should be engaged on contract basis with time limit. They should be recruited to transparent process for example through UPSC. Apart from it, reforms of the "permanent" system — particularly its seniority principle — are also a prerequisite for holistic administrative reforms.
- 2016: "Traditional bureaucratic structure and culture have hampered the process of socio-economic development in India." Comment.
 - Cover democratic attitude vs bureaucratic attitude from ethics notes, write issues and reforms
 - Led to switch from Planning commission to NITI Aayog as former could not keep up with changing env

Bureaucracy and Democracy

- India follows Weberian Model of Bureaucracy (since Britishers)
(Merit based entry, Hierarchy is set, Promotion based on seniority, Rigid rules, Fixed remuneration & pension)





Extra Content for Civil Services

- Constitutional position of the Civil Services?

Constitutional Provisions : from Article 309 to 323A.

- Article 309 : Power of Parl. & St. Leg. to regulate condⁿ of serv.
- Article 310 : Doctrine of Pleasure (President | Governor).
- Article 311 : Dismissal, removal OR reduction in rank.
No removal by subordinate authority appointing the same + Inquiry ✓ ODBH ✓ charges informed
- Article 312 : Creation of new All India Service by RS via 2/3rd P & V
Proposal : for All-India Judicial Service.
- Article 323A : Administrative Tribunal $\begin{matrix} \curvearrowright \text{CAT} \\ \curvearrowleft \text{SAT} \end{matrix}$

- Role of civil services
 - Quote all stage of policy process - formulation, implementation, etc.
 - **Mgmt of resources** such as land, water, forests, HRM at distt. level by DM
 - **Law & Order; Face of the govt for the citizens; Bringing social change;**
 - Ensure **continuity to administration** (permanent executives) → **Ramsay Muir** has remarked that while governments may come and go, ministers may rise and fall, the administration of a country goes on forever
 - Crisis Mgmt: Involves disaster mgmt, mgmt of epidemics, rescue operations
 - **Grievance redressal**
 - Administrative adjudication: **Quasi-judicial functions** such as settling revenue disputes
 - All India Services provide a measure of administrative unity in our diverse & plural society
- Issues:
 - Recruitment issues:
 - Opposition to lateral entry in recent times
 - Instances of lack of government filling of posts
 - Vacancies (**22% vacancy** in IAS compared to sanctioned strength acc to DoPT)
 - SPSC's- long delays in appointments even after selection, results after years
 - Compared to UPSC, SPSCs do not enjoy an untarnished reputation (as recruitment done directly by various state dept.)
 - Political Issues:
 - Civil Service Neutrality/ politicisation of bureaucracy
 - Politician- bureaucrat nexus → **furtherance of status quo** & resist changes
 - Spoils system (patronage system) evidenced by **shuffle of senior posts after new party** comes to power
 - Relationship with ministers: The ministers generally do not encourage free, frank and impartial advice from the civil servants → **discouraged from giving neutral advice**
 - Ministers usually interfere with day-to-day administration while the civil servants do not bring important matters to the notice of ministers
 - Several states have created an institution of **District Incharge Minister** to review the development activities in

- the district who routinely exceed their mandate intrude in the officer's domain. These practices are unhealthy
- **Lesser income** compared to pvt. sector and materialism among society
 - Tussle b/w GOI and West Bengal over 3 IPS officers
 - Frequent tranf reflect '**administrative favouritism**' (as per **SUPREMO database** of DoPT - avg posting spell of officer in india is **15 months**)
- Governance Issues:
- All India Services: Dominance in various institutions → Lower morale for local cadre; Split in authority & responsibility b/w centre and state
 - However needed for: Not bound by regional pressure therefore frank advice; National integration
 - Focus on inputs used (whether the full budget is used or not) rather than results/outcomes
 - **Issues of Civil service overreach**- encroaching upon domains of PRI's even after 73CAA
 - Issues related to cadre policy - covered in answer above
 - Generalist like **IAS heads almost all govt depts** whereas specialist denied even within the specialist org (eg IAS heading env ministry instead of IFS (forest))
 - Imp of specialist inc after 1991 compared to earlier socialist economy (eg telecom services require official to know about spectrum)
 - Cumbersome weberian approach to work leads to delays eg: COVID-19 aid getting stuck for clearances
- Performance evaluation:
- Automatic promotions and lack of merit based promotions → Killing innovation, hard work by honest officers
 - Absence of a fitness board and intense mid-service reviews, to weed out unproductive bureaucrats
- Constitutional/Legal Issues:
- **Article 311: Used to shield dishonest officers**, no other demo country has such protection
 - However 311 needed for: honest officers; Protection from arbitrary state acitons; Upholds natural justice as OOBH is ✓
 - Issues with dismissal due to restriction under Prevention of Corruption Act
- Attitudinal & Ethical Issues:

- Colonial hangover- retains paternalistic attitude - inaccessibility of civil service- collector culture- people afraid to demand legitimate services
- Second ARC report accepts that there is a widespread level of corruption existing in governance

Reforms undertaken

- Mission Karmayogi
 - Transition from **rules based to roles based HR- aligning competencies** of civil servants with **work requirements - matching their competencies to the requirements of the post**
 - On site learning along with off site learning
 - Setting up Integrated govt online training (**i-GOT Karmayogi Platform**)
 - Calibrate all civil service position to framework of roles, activities and competencies (**FRAC approach**) - **create and deliver learning content relevant to the identified FRACs**
 - Institutional
 - Institutional
 - **PM's Public HR council**- apex body for civil service reform
 - Capacity building commission- functional supervision of central training inst- eg LBSNAA
- Reforms
 -
 - 2nd ARC
 - 2 intensive reviews - one at 14 years of service and second at 20 years
 - Exam process related reforms - Minimum weightage to interview marks (to tackle corruption)
 - The **Code of Ethics of ministers** should inter alia include broad principles of the Minister-civil servant relationship
 - Prior sanction should **not be necessary** for prosecuting a public servant who has been trapped red-handed or in cases of possessing assets disproportionate to the known sources of income. However, the requirement of prior sanction for prosecution now applicable to serving public servants should also apply to retired public servants for acts performed while in service (thus ARC is trying to seek a balance between the two)
 - Sanctioning authority under Prevention of Corruption Act should be well defined and standardized (to prevent politicization of bureaucracy)
 - Speeding up Trials under the PCA by fixing time limits for various stages; Steps have to be taken to ensure that judges declared as

Special Judges under the provisions of the Prevention of Corruption Act give primary attention to disposal of cases under the Act

- The risk of corruption in government depends on the nature of the office and its activity and the character of the person holding that office. **Risk profiling of jobs as well as officer** (individual government servants vary in their level of integrity) need to be done by eminent persons. A risk management system to prevent corruption should seek to minimize risk by ensuring that 'low risk personnel' should hold 'high risk jobs' and vice versa
- Timely submission and scrutiny of assets and liabilities statements of public servants should be ensured. These should be put in the public domain
- Others
 - Nurture specialisation early in career- use their technical skills for governance eg doctors in health, science ministry, commerce graduates, CA in finance ministry
 - Resist transfers with wide functional diff- as in from defence to archaeology
 - civil servant should specialise after 14 years of service in any one field - recommended by 2nd ARC and Hota committee
 - Cases of witch hunting against honest civil servant
 - Kelkar committee recommend to amend PoCA to distinguish genuine errors from malafide intention
 - ARC- Indepth inquiry of complaint at initial stage- eg cases of false sexual harrasment- should be inquired internally to protect image
 - Need transfer policy: Minimum tenure to break punishment transfer system; Reasons for transfer; Formulate and **publicise comprehensive transfer policy**
- NITI Aayog (India@75 Report)
 - Improve the **teeth to tail ratio**: Promote an officer-oriented culture and focus on expanding the numbers of officers
 - Recruits should be placed in a **central talent pool**, which would then allocate candidates by matching their competencies and the job description of the post
 - Upon induction, **young officers** should be **assigned mentors**
 - The upper age limit for the civil services should be brought down to 27 years for the general category in a phased manner by 2022-23
 - Research is needed to identify possible services to be outsourced
 - Develop ongoing training and immersion modules on a **district-by-district basis**

- Incentivization: Review existing schemes and introduce new schemes of **incentives for extraordinary performance**

Lateral Entry

- Background:
 - Recently, **eight professionals were recruited for joint secretary-level positions** in various ministries under the lateral entry scheme. Lateral entry means when personnel from the private sector are selected to an administrative post of the government despite them not being selected in or being part of a bureaucratic setup
 - Lateral Entry to higher positions in bureaucracy is **not new in India**. Ex: **Raghuram Rajan** as RBI head, Montek Singh Ahluwalia as PC chairman, etc.
- Benefits of lateral entry
 - In an era when policymaking has **become increasingly specialized**, there is a need for officials who are immersed in a particular area.
 - Need for IT specialist to handle issues of MeITy
 - Bring in fresh ideas and augment manpower → Brings competition
 - Provide an opportunity to attract and retain the best from across the world - eg Indian citizen worked in space X can augment Dept of space
 - Individuals from UN, Oxford
 - **Resolve issue of under staffing** at senior officer level- nearly same number of IFS(A) grade officers compared to Singapore, need people from foreign policy thinktanks to bring diversity in foreign policy, shortage of 22% IAS
 - Lateral hiring is common practice in other democracies such as the UK, US and Canada.
 - In last recruitment candidate selected included- FAO agri specialist for agri ministry, aerospace specialist for civil aviation ministry
 - **Major Revolution** have been **possible with outside support** eg: GR (MS Swaminathan), Aadhar (N. Nielkani), White Revol (Verghese Kurien)
- Challenges in lateral entry
 - **Nepotism and corruption** may creep in during selection process
 - Need for transparency- eg all LE through UPSC only
 - **No predictable reservation benefits**- eg RTI reply said that LS done by individual appointment even though notification combined
 - **Conflict of Interest**: Hiring of the private sector into administrative positions raises issues of potential conflict of interest.

- **Profit Motive vs. Public Service:** Private sector approach is profit-oriented on the other hand motive of the Government is public service.
- Lateral entry is likely to **face strong resistance** from in service Civil Servants and their associations
- The width and depth of field experience which the civil services provide is simply not available with outside talent
- Structural issues regarding bureaucratic rigidities and red tape, lack of transparency in working of bureaucracy, political interference
 - Eg recently inducted JS quit JS post to again join private sector
- **Conclusion:** In parliamentary democracy, lateral entry should be engaged on contract basis with time limit. They should be recruited to transparent process for example through UPSC. Apart from it, reforms of the “permanent” system — particularly its seniority principle — are also a prerequisite for holistic administrative reforms.
- 2020: “Institutional quality is a crucial driver of economic performance”. In this context suggest reforms in Civil Service for strengthening democracy.
 - Write general reforms with some points on how B affects EODB and eco growth (tax terrorism, delay in approvals etc)
- 2017: Initially Civil Services in India were designed to achieve the goals of neutrality and effectiveness, which seems to be lacking in the present context. Do you agree with the view that drastic reforms are required in Civil Services. Comment.
- 2016: “Traditional bureaucratic structure and culture have hampered the process of socio-economic development in India.” Comment.
 - Cover democratic attitude vs bureaucratic attitude from ethics notes, write issues and reforms
 - Led to switch from Planning commission to NITI Aayog as former could not keep up with changing env
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- **2014: Has the Cadre based Civil Services organization been the cause of slow change in India? Critically examine**
 - Cadre is a small group of trained ppl who form a basic unit of an organisation
 - Cadre policy is applicable for only 3 services under All India Services
 - Cadre is allocated to selected candidates based on preference, merit and availability
 - Issues:
 - Permanency of cadres undermine the true nature of AIS (aiming to be integrate nation)
 - Collusion with regional politicians for preferred postings

- UPSC's procedures only incorporate officers' preferences over cadres (one-sided matching); however, there might be good reason to also incorporate cadres' preferences over officers (two-sided matching)
- Some cadres are preferred over others due to large variation in their sizes
- Overwhelming preference for assignments closer to home when officers rank cadres
- Positives of cadre policy:
 - Regional specialisation
 - Ability to serve local interests of public
 - Predictability in functioning of services → operational conv eg: can learn languages and serve rather than getting transferred and facing linguistic challenges in different regions
 - Unites nation together → Diff officers serving different parts of the nation

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