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Are Socially Disadvantaged Groups Catching Up with Others? An Analysis of Literacy Rates

I.C. Awasthi¹ and H.K. Varshney²

Abstract—*Despite considerable improvement in the literacy rates, more than half of the females belonging to the Scheduled Castes (SCs) and the Scheduled Tribes (STs) in rural India are illiterate. Among the various social groups, the SCs and the STs have the lowest value of literacy rates, in both the rural and the urban India. This is not at all surprising given the fact that the SCs and the STs lag behind the rest of the population in terms of several other socio-economic indicators also. Though, their literacy rates have been converging over time, yet, a lot needs to be done. It has been observed that the gender based disparity is more alarming than the caste based disparity and all the social groups are suffering from gender disparity in literacy. Our enquiry has revealed this phenomenon clearly. Evidently, from the policy point of view there is a need for targeted interventions amongst the socially disadvantaged groups with a view of bettering their lot and bringing them in the inclusive growth process.*

Keywords: *Labour Market, Discrimination, Disadvantaged Social Groups, Convergence, Divergence, Disparity in Literacy*

INTRODUCTION

Literature on discrimination abounds with historically denied opportunities to the lower social groups which are deep rooted in the caste system for generations (Thorat and Newman, 2007, Jodhka and Shah, 2010). The exclusionary approach continued even after independence, despite the fact there has been huge awakening in the political processes and affirmative actions initiated in the policy domain. This shows the *ingrained* prejudice and denial of social justice to the marginalized social groups. This kind of exclusion leads to discrimination in the labour market that eventually results in perpetual *injustice* meted out to the marginalized classes. Even with the same educational and skill sets, the marginalised classes are denied opportunities primarily because of social intolerance and prejudice (Deshpande and Newman, 2007; Jodhka and Newman, 2007). This has resulted in the income and endowment differences between the disadvantaged social groups and the others (Madheswaran and Attewell, 2007, Haan and Dubey, 2005). It is strongly argued that affirmative

¹Professor, Institute for Human Development, Delhi

²Formerly, Deputy Director, Institute of Applied Manpower Research, Delhi

E-mail: ¹icawasthi@gmail.com, ²hemantvarshney@gmail.com

The data for the paper has been drawn mainly from the reports of National Sample Survey (NSS). Data for some of the tables have been directly adapted from India Human Development Report, Institute of Applied Manpower Research (IAMR) 2011, which is duly acknowledged.

actions and institutional mechanisms are vital to correct the bias and prejudice in order to weaken the economic and social disparities (Ghosh, 2006).

From the policy point of view, several steps have been taken to bridge the gaps between the disadvantaged groups (namely, the Scheduled castes and the Scheduled Tribes) and others in the form of special component plan and sub plans. Likewise, special area programmes were launched with a view to reduce the regional disparities and deal with the legitimate aspirations of the people in these neglected regions (Planning Commission, 2011). Notably among them are: the Vidharbha region, KBK region (Kalahandi, Bolangir and Koraput), Border area development programme and the North Eastern Council (NEC) and the Ministry of Development of North Eastern Region (DoNER). In addition, special area programmes have been initiated in order to bring improvements in the livelihood and incomes of people (especially the Scheduled Tribes) living in the disadvantaged areas.

One of the problems often faced in the study of the socially disadvantaged groups is the lack of data exclusivity for social groups. This deters the analysis in terms of the social and economic indicators over time and across States. It would, therefore, be indispensable from the policy point of view to initiate institutional mechanisms to collect data on various aspects of social groups in order to aid a policy.

This paper aims at examining the literacy rates as indicators that has far reaching implications on the well-being of the historically disadvantaged social groups. Literacy is an important parameter to measure the achievements and development in the field of education. The UNDP in its Human Development Reports had initiated with the literacy rates as proxy for knowledge. The paper provides some of the evidences, from the recent data, that markedly shows that there has been convergence among the disadvantaged social groups over the years. Convergence is clearly discernible across the States and even in the backward States that have progressed faster in terms of literacy. Yet, the gap in literacy rates still persists which clearly manifests in the divergence process as well. Our enquiry has revealed this phenomenon clearly.

The paper has been structured into three sections. The first section provides a brief overview of some of the conceptual nuances on the issues of discrimination and disparities among the disadvantaged social groups. The second section deals with the developments and disparity of literacy among the various social groups at all India level. The third section presents an inter-State analysis of the improvements and disparity in literacy levels among the various social groups. The last section summarises the main conclusions and reports the policy imperatives.

Though the gap in the indicators between the marginalised and the others is the most common measure in reflecting the disparity, a mere gap or absolute difference

in literacy in percentage terms can be a misleading indicator. This is so because it would be necessarily small when the literacy rates are too low (or high). The study of disparity indices avoids this problem. As a result, a number of disparity indicators have been suggested by scholars like Sopher (1974), Naik (1971), Tilak (1983) and Kundu & Rao (1986). Varshney (2002) has used different indices in his study and has observed that though the numeric value of these indices differ, relative ranking of the states remains almost identical. The disparity index by Tilak (1983) has been used in this paper to measure the disparity between the two sub-groups of population as it is based on the values for the two sub-groups as well as for the combined value.

GROWTH AND DISPARITY IN LITERACY AT ALL INDIA LEVEL

Growth in the literacy rates amongst the various social groups by sex and location at all India level during the period 1999–2000 to 2010–11 is presented in the Annexure-1. The data reveals that the literacy rates have shown considerable improvement across all sections of the society. The improvement was seen across both the genders and in both the rural and the urban India (see Figures 1, 2 and 3). The increase in rural India was higher (13.4 percentage points) as compared to the urban India (5.5 percentage points). The increase was more pronounced in the case of females than males in both the rural and the urban areas. Despite this, the problem of illiteracy was particularly acute in rural India, especially in the case of females. Even in 2011–12 (i.e., after 65 years of independence), about 40 per cent of women in rural areas were illiterate.

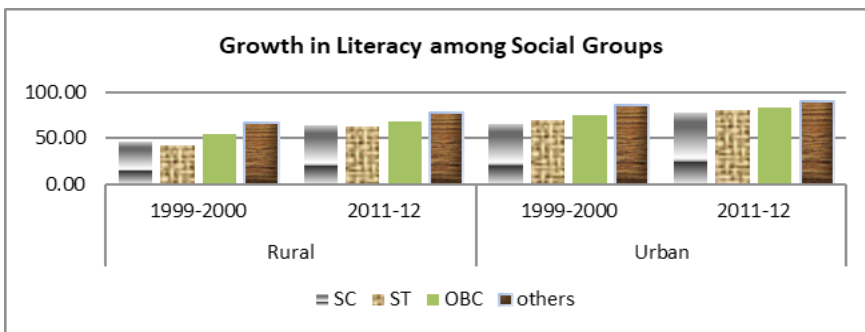


Fig. 1

Source: Annexure 1

From the Annexure 1, it is observed that across all the social groups, STs had the lowest literacy rates in rural India while the SCs had the lowest literacy rates in urban India at both points of time, i.e., 1999–2000 and 2011–12. However, both the groups made maximum progress during this period. Compared to rural India, the

status of literacy in urban India was much better across the social groups and also across genders within any particular social group. Though the literacy rates for males were higher at all places at all times, the improvement was more visible amongst the females than the males. The reason for this may be the low figures in the base period and concentrated efforts to remove female illiteracy. Despite the improvements in the literacy rates across all social groups, the gender gap is an area of concern (see Figures 3, 4 and 5) and is reflected through gender disparity indices (See Annexure 2).

LITERACY AMONG THE SCHEDULED CASTES

This category has made a significant improvement in the urban areas where the literacy rates for males increased from 76 per cent in 1999–2000 to 86.2 per cent in 2011–12. Literacy rates for females over the same period increased from 55.7 per cent to 70.2 per cent. Hence, an overall growth of about 14.5 per cent, during the period under reference, has been achieved. The literacy rates in the rural areas remained quite low, especially for females. About 40 per cent of the rural females were still illiterate in 2011–12. These achievements compared to the other population are significant, though they still lag behind them. However, the gap in literacy between the SCs and the other population has decreased significantly. The measure of disparity index has reduced from 25.4 in 1999–2000 to 13.7 in 2011–12 in the urban areas and from 37.7 to 19.9, over the same period, in the rural areas. Both in the rural and the urban areas, the disparities have declined more sharply in case of females.

As a result of the higher rate of growth in literacy among the SCs, both in rural and urban areas, the social disparity index between the SCs and the non-SCs has declined considerably. While in the rural areas it declined by 18 per cent points, in the urban areas it declined by 11 percentage points.

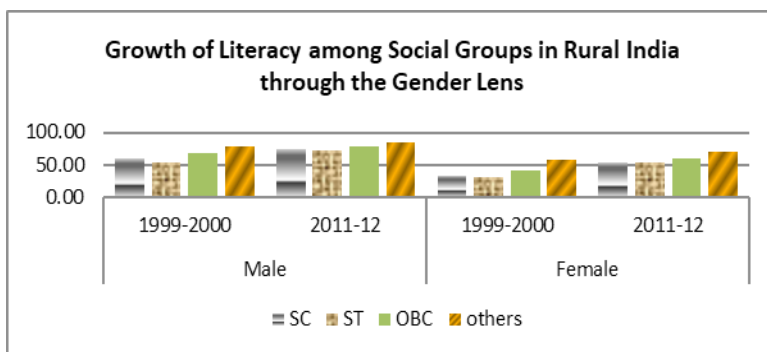


Fig. 2

Source: Annexure 1

LITERACY AMONG THE SCHEDULED TRIBES

The Scheduled Tribes are in a better position in the urban areas. Their literacy rates increased from 70 per cent in 1999–2000 to 80.6 per cent in 2011–12 in the urban areas as compared to 42.2 per cent in 1999–2000 to 62.2 per cent in 2011–12 in the rural areas. The increase in the literacy rates for females was higher in both the rural and the urban areas. This has helped in the reduction of gender disparity in literacy rates. The gender disparity index in rural areas has reduced significantly by 28 percentage points. In the urban areas, gender disparity index reduced by 7 points.

The overall growth in the literacy rates among the STs has reduced the gap between the STs and the non-STs. In rural areas, the social disparity index between the STs and non-STs has reduced by 23 points, while it reduced by about 10 points in the urban areas. Thus, it is clear that people from the tribal category perform better when they migrate to the urban areas. However, gender disparity is more alarming than the social disparity.

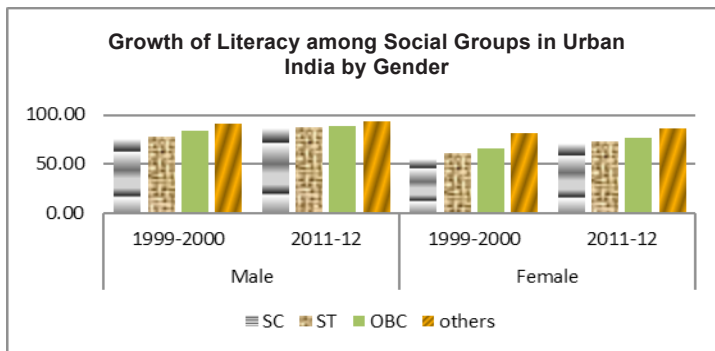


Fig. 3

Source: Annexure 1

LITERACY AMONG THE OTHER BACKWARD CLASSES (OBCs)

The Other Backward Class (OBC) is a collective term used by the Government of India to classify castes which are socially and educationally disadvantaged. It is one of the several official classifications of the population of India, along with the Scheduled Castes and the Scheduled Tribes (SCs and STs).

OBCs are best placed amongst all the socially disadvantaged groups. Their literacy rates in rural areas increased from 54.8 per cent in 1999–2000 to 68.8 per cent in 2011–12. Over the same period, in the urban areas, these rates increased from 75.3 per cent to 83.2 per cent.

As in the case of the other social categories, the literacy rate for females is less than the males. Irrespective of the area of location, the literacy rates for both males and females in the rural areas are less than those in the urban areas.

The disparity index between the OBCs and the non-OBCs has declined by 10 percentage points in the rural areas and by about 9 percentage points in the urban areas. The social disparity between the OBCs and the non-OBCs in rural and urban areas has declined significantly and has reached up to 13.4 and 11.3 per cent in 2011–12, respectively. The data reflects that OBCs, in terms of literacy, have merged with the mainstream in the urban areas.

GENDER DISPARITY AMONGST THE SOCIAL GROUPS

Though there is disparity between the disadvantaged communities and others, there is disparity within the communities as well. There is a wide gap between the male–female literacy amongst the various sub-groups of society in both rural and urban areas (Annexure 1). As a result of the rise in female literacy, gender disparity index has decreased in all the social groups. Both in the rural and the urban areas, gender disparity has reduced. This gap has decreased significantly in the urban areas. Gender disparity index for various social groups has been presented in Annexure 2. The gender disparity index for all the social groups reduced from 43.6 per cent to 25.2 per cent in the rural areas and from 17.8 per cent to 12.2 per cent in the urban areas during 1999–2000 to 2011–12. It is interesting to note that the gender disparity is much higher than the inter-category disparity in all the areas at both points of time.

In rural areas, the gender disparity among the SCs has reduced by 25 percentage points—from 54.1 per cent in 1999–2000 to 29.6 per cent in 2011–12. The gender disparity among the STs was a little higher than SCs in 1999–2000 but reduced by 28 percentage points and has come down to 28.2 per cent in 2011–12—less than SCs. Among the OBCs, which are more advanced as compared to the other social groups, gender disparity declined from 48.7 per cent to 17.8 per cent (15 percentage points) over the same period.

Like the inter-category disparity, the gender disparity is also lower in the urban areas. Gender disparity reduced amongst the SCs from 30.7 per cent to 20.4 per cent while among the STs, it decreased from 24.1 per cent to 17.7 per cent. Among the OBCs, the gender disparity decreased from 22.7 per cent to 7.35 per cent over the period under reference.

Thus, it is evident from the data that urbanization leads to reduction in disparity, be it that of gender or inter-community. After highlighting the gender disparity among

the social groups, further analysis is limited to disparity amongst the social groups in different states.

GROWTH AND DISPARITY IN LITERACY AT THE STATE LEVEL

The literacy rates amongst the different social categories in rural and urban areas in States in the years 1999–2000 and 2011–12 have been provided in the Annexure 3 and the Annexure 4, respectively. For the same period, the Annexure 5 and Annexure 6 provide the inter-social category disparity in literacy in different States in the rural and urban areas, respectively.

All the social categories have made significant progress in literacy. At all India level, aggregate literacy in the rural areas was 69.4 per cent in 2011–12. Delhi, Kerala, Meghalaya, Mizoram, Nagaland and Daman and Diu have achieved 90 per cent literacy in 2011–12. Bihar and Rajasthan were the States with the least literacy rates. At all India level, the growth in literacy was 13.4 percentage points. States with more than 15 per cent growth were Assam, Bihar, Madhya Pradesh, Orissa, Rajasthan, Arunachal Pradesh, Manipur, Chandigarh and Pondicherry.

LITERACY AMONGST THE SCHEDULED CASTES

The population distribution, according to the Census of India 2011, highlights that 46 per cent of the SC population in India was concentrated in Uttar Pradesh, Bihar, West Bengal and Andhra Pradesh. These four States together accounted for about 50 per cent of the illiterates among the SCs. In urban India, both males and females literacy were the lowest in the case of SCs in 2011–12.

RURAL AREAS

The literacy amongst the Scheduled Castes in rural areas still needs special attention. The literacy was just 62.7 per cent in 2011–12. Unfortunately, the States with higher concentration of SCs in population have more illiteracy amongst them. Andhra Pradesh, Uttar Pradesh, Bihar, Rajasthan, Madhya Pradesh are examples of this. On the other hand, in the North Eastern States, literacy among the SCs is more than the other communities. Assam, Chhattisgarh, Tamil Nadu and West Bengal are also the States where literacy amongst the SCs is higher than others. In the rural areas, the literacy has increased from 46.6 per cent in 1999–2000 to 62.7 per cent in 2011–12, which is nearly 16 per cent points. Major contributors to this increase were the States of Delhi, Bihar, Uttar Pradesh, Rajasthan and Chandigarh. In Kerala, Maharashtra,

Orissa and Tamil Nadu, the literacy rate has declined during this period. In Assam, Orissa, Arunachal Pradesh, Tripura and Puducherry the literacy rates among the SCs were higher than the others in 1999–2000. In 2011–12, Arunachal Pradesh, Nagaland, Daman and Diu, Chandigarh and Andaman and Nicobar Islands showed this trend.

The efforts by the educationally backward States have resulted in decline in the inter-State variation of literacy. As a result of higher rate of growth in literacy among the SCs as compared to others, the disparity index between the SC and the non-SC has declined from 37.7 per cent in 1999–2000 to 22.2 per cent in 2011–12. Major contributors for this convergence are Bihar, Uttar Pradesh, Punjab and Delhi

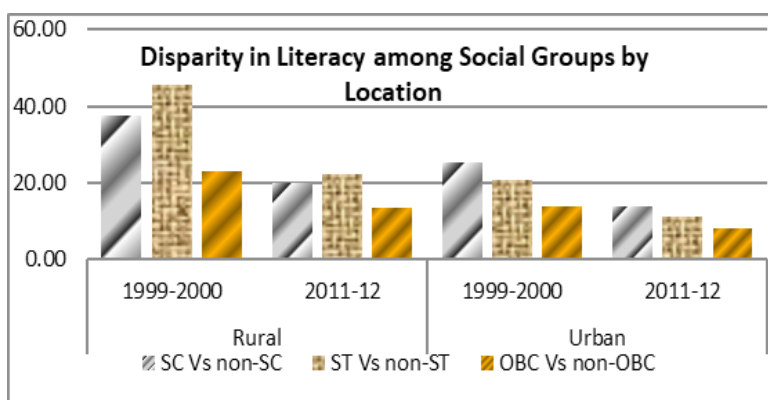


Fig. 4

Source: Annexure 1

In the urban areas, the literacy among the SCs was not far behind the others. But, about one-fifth of the population was still illiterate in 2011–12. States which achieved literacy rates above 90 per cent in 2011–12 were Assam, Kerala, Sikkim, Uttarakhand, A&N Islands, Lakshadweep, Puducherry and the North Eastern States. During the period under review, the literacy rates increased from 66.2 per cent in 1999–2000 to 80.6 per cent in 2011–12, i.e. by 14.4 percentage points. Major contributors in this increase were Assam, Bihar, Punjab, Uttar Pradesh, J&K and Puducherry. The literacy among SCs seems to be more uniformly distributed across different States. Literacy rates have decreased by 15 percentage points in Arunachal Pradesh during this period.

As a result of higher rate of growth in literacy among the SCs, the index of disparity between the SCs and the non—SCs has declined from 25.4 per cent in 1999–2000 to 11.25 per cent in 2011–12. This decline is more pronounced in Assam, Bihar, Uttar Pradesh, J&K and Puducherry.

LITERACY AMONGST THE SCHEDULED TRIBES

From the Annexure 3 and Annexure 4, it is observed that amongst the social groups, the STs have remained the most marginalized in all States. Their literacy rates were particularly low in UP, Rajasthan, TN and Bihar (all below 50 per cent). The population distribution of India highlights that in 2011–12, 48 per cent of the ST population was concentrated in five States viz., Rajasthan, Jharkhand, Orissa, Chhattisgarh and MP, but 55 per cent of the illiterates among the STs resided in these four States. In rural Rajasthan, the literacy rates for the ST population increased by only 8 per cent points during the period 1999–2000 to 2011–12. This increase was much lower than the average for the ST population in rural India as a whole, which witnessed an increase in literacy rates of 22 percentage points. In all these States, except Rajasthan, the share of the ST population in the total population was negligible. In Rajasthan, however, the share of the ST population in the total population accounted for 13 per cent.

RURAL AREAS

The Scheduled Tribes are the most deprived class in the rural areas. There was just 42.2 per cent literacy in 1999–2000 which increased to 64.3 per cent in 2011–12, thus recording an increase of 22.1 percentage points. STs are well placed in the North Eastern States. It is interesting to note that in these States, the literacy rates amongst the STs were higher than the others. Similarly, in the other ST dominated States, the literacy rates are above the National average and more than the others category. The States of Andhra Pradesh, Delhi, Madhya Pradesh and West Bengal made significant improvements in the tribal literacy over the given period. The disparity index between the STs and the non—STs in literacy has declined from 45.5 per cent to 19.9 per cent, i.e. more than 25 percentage points. The States where inter-community disparity is still significantly high are Andhra Pradesh, Gujarat, Haryana, Madhya Pradesh and Orissa.

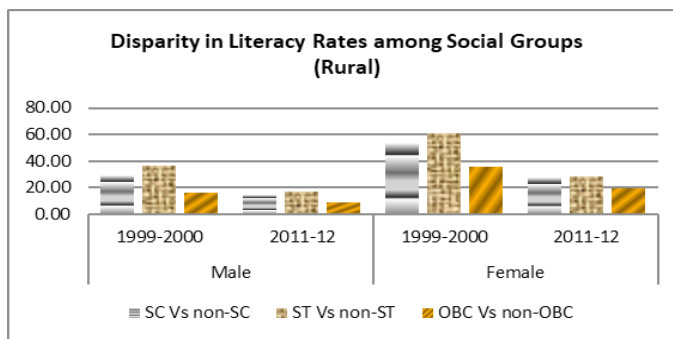


Fig. 5

Source: Annexure 1

URBAN AREAS

The STs are basically residents of rural isolation but in the urban areas, they are better placed than the SCs, as far as literacy is concerned. Their literacy rates increased from 70 per cent in 1999–2000 to 78.5 per cent in 2011–12. Assam, Meghalaya, Mizoram, A&N Islands, Daman and Diu and Lakshadweep recorded higher literacy rates than the others category. The growth of 8.5 percentage points in the literacy rates during this period was mostly shared by the States of Andhra Pradesh, Gujarat, Madhya Pradesh, Daman & Diu and Karnataka. At the same time, the literacy rates among the STs decreased in some States. These are: Haryana, Tamil Nadu, Uttar Pradesh and Jammu & Kashmir and Manipur. The inter-State analysis highlights that the variations among the States has declined. The disparity between the STs and the non-STs has reduced from 20.7 per cent to 13.7 per cent over this period. Major contributory States to this phenomenon are Andhra Pradesh, Gujarat, Madhya Pradesh, West Bengal and Daman & Diu. However, the disparity level has increased in some of the States, which is a matter of concern.

LITERACY AMONG THE OTHER BACKWARD CLASSES

Unlike the SCs and the STs, the OBCs did not bear the pain of isolation and social discrimination. In fact, till the implementation of the Mandal Commission, they were a part of the others. Hence, they are well ahead of the SCs and STs.

RURAL AREAS

The literacy rates among the OBCs increased from 54.8 per cent in 1999–2000 to 68.8 per cent in 2011–12. States with the higher literacy rates compared to National average in 1999–2000 were Assam, Delhi, Kerala, West Bengal, Himachal Pradesh, Daman & Diu and Puducherry. As a result of the improvement in the education facilities, literacy in most of the States has increased at almost equal percentage points. In some of the States like Assam, West Bengal and Tripura, the literacy among the OBCs is higher than in the others. The inter-state variation in literacy rates was also low and literacy rates are moving around the National average. The disparity between the OBCs and the non-OBCs has declined from 23 per cent to 13.4 per cent during the period under reference. Major improvements have been observed in the States of Andhra Pradesh, Gujarat, Meghalaya and Uttar Pradesh.

URBAN AREAS

The literacy rates among the OBCs were quite satisfactory and were near the National average. In 1999–2000, 75 per cent of the population in this category was literate

which rose to 83.2 per cent in 2011–12. The States which achieved more than 80 per cent literacy in 1999–2000 were Assam, Goa, Karnataka, Kerala, Maharashtra, Orissa, Tamil Nadu and the North Eastern States. States where literacy rates increased by more than 10 per cent points during the reference period were: Andhra Pradesh, Assam, Bihar, Nagaland and Sikkim. The literacy rates declined in Arunachal Pradesh and Dadra & Nagar Haveli. There is a large inter-State variation in literacy rates. The disparity between the OBCs and the non-OBCs has declined by about 4 percentage points and has come down to single digit. Significant improvements have been recorded in the States of Andhra Pradesh, Assam and Bihar. The OBCs are ahead of others in some of the States like Assam, Arunachal Pradesh and Meghalaya.

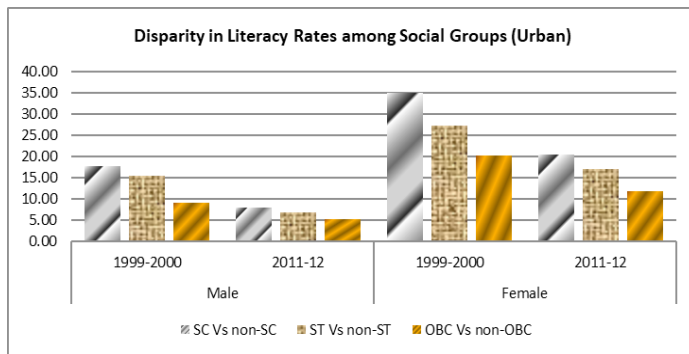


Fig. 6

Source: Annexure 1

SUMMARY AND CONCLUSIONS

The analysis of literacy amongst the different social groups in the rural and the urban areas across the States revealed that despite considerable improvement in the literacy rates, illiteracy remains a major problem, particularly in rural India. The gender disparity was very much evident in the literacy rates across all social groups in both the rural and urban India. Though the literacy rates increased at a higher rate in rural India than urban India, nearly half of the females belonging to the SCs and the STs in rural India were still illiterate. As a result of the improvement in their literacy over the years, it is important to note that the literacy rates among SCs, STs and OBCs were converging with the others over the time. Similarly, the literacy rates among males and females are also found to be converging over the time. The illiterates among the SCs, STs and OBCs were concentrated within a few States.

Among the various social groups, SCs and STs had the lowest value of literacy rates, in both the rural and urban India. This was not at all surprising since the SCs and STs

lagged behind the rest of the population in terms of several other socio-economic indicators also.

With respect to the caste-based inequalities, it has been observed that the SCs and the STs suffer most on account of literacy. The condition of the OBCs is better as compared to the SCs and the STs. Among the SCs and STs, the performance of SCs is better in rural areas while STs are better in the urban areas.

Obviously, from a policy point of view there is a need for targeted inventions in the disadvantaged social groups for bettering their lot and bringing them in the secure net of inclusive growth process.

NOTES AND COMMENTS

In any society, no two sub-groups can be equal and disparity is likely to exist. It can be either way. It is for the society and the policy makers to reckon how much disparity is desirable and acceptable.

Gender disparity index measures the differential achievements in literacy by males and females. The social disparity index between the SCs and non-SCs measures the differential achievements by the SCs and the other population (excluding the STs and OBCs). The differentials will be less if we include the STs and OBCs in others while comparing with the SCs. This can be said for the other indicators as well.

A number of indices have been proposed by various researchers to define and describe the equality/disparity. While some of them relied on the simple differential measure of the two rates (popularly known as gap in the male-female literacy), others have used the ratio of the two rates (ratio measure) and a combination of differential-ratio measure. The Census of India frequently makes use of the male-female gap in literacy.

Disparity Index by Naik (1971): If R_1 and R_2 represent the literacy rates for males and females, respectively, then:

$$D(N) = \{1 - (R_2/R_1)\} * 100$$

The index is zero when perfect equality, positive value indicates disparity against females and negative value indicates disparity against males.

Disparity Index by Tilak (1983): If R_1 , R_2 and R represent the literacy rates for males, females and combined population, then:

$$D(T) = \{(R_1 - R_2)/R\} * 100$$

The index is zero when perfect equality, positive value indicates disparity against females and negative value indicates disparity against males.

Disparity Index by Kundu & Rao (1986): If R_1 and R_2 represent the literacy rates for males and females respectively, then

$$D (KR) = \log (R_1/R_2) + \log \{(200-R_1)/ (200-R_2)\}$$

The index is zero when perfect equality, positive value indicates disparity against females and negative value indicates disparity against males. This index is a modification of the index by Sopher (1974) by using 200 in place of 100.

The definitions and limitations of the NSS data for various rounds are applicable.

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Annexure 1: Literacy Rates among Social Groups by Location and Gender, 1999–2000, 2004–05, 2009–10 and 2011–12

Social Group	Male			Female			Person					
	1999–2000	2004–05	2009–10	2011–12	1999–2000	2004–05	2009–10	2011–12	1999–2000	2004–05	2009–10	2011–12
Literacy Rates												
Rural												
SC	58.80	64.5	72.0	73.50	33.60	42.60	52.0	54.50	46.60	53.0	62.30	64.0
ST	53.80	60.3	70.0	71.40	30.10	39.50	52.0	53.70	42.20	50.0	61.50	62.0
OBC	67.80	71.8	78.0	77.90	41.10	48.90	57.0	59.40	54.80	60.0	67.90	68.0
Others	78.80	80	84.2	84.90	56.70	62.90	68.0	71.00	67.70	71.0	76.70	78.0
All (incl.n.r.)	67.80	71.2	77.0	78.00	43.40	50.20	58.0	60.50	56.00	60.0	68.20	69.0
Urban												
SC	76.00	81.30	83.10	86.20	55.70	60.7	69.10	70.20	66.20	71.0	76.0	78.0
ST	78.10	82.80	88.00	87.20	61.20	65.8	72.00	72.90	70.00	74.0	80.0	80.0
OBC	83.50	85.00	88.60	88.70	66.40	70.4	75.30	77.10	75.30	78.0	82.0	83.0
others	91.40	91.90	93.50	93.40	81.00	83.9	86.00	86.60	86.50	88.0	90.0	90.0
All (incl.n.r.)	86.50	87.50	90.00	90.30	72.30	75.1	78.90	79.90	79.80	81.0	84.8	85.3
Social Disparity Index												
Rural												
SC vs Others	29.5	21.77	15.65	14.62	53.23	40.44	27.69	27.27	37.68	29.23	21.11	19.88
ST vs Others	36.9	27.7	18.2	17.3	61.3	46.6	27.2	28.6	45.5	35.3	22.3	22.2
OBC vs Others	16.2	11.5	8.0	9.0	35.9	27.9	18.8	19.2	23.0	18.2	12.9	13.4
Urban												
SC vs Others	17.80	12.11	11.56	7.97	34.99	30.89	21.42	20.53	25.44	20.22	16.04	13.72
ST vs Others	15.38	10.40	6.11	6.87	27.39	24.10	17.74	17.15	20.68	16.79	11.32	11.25
OBC vs Others	9.13	7.89	5.44	5.20	20.19	17.98	13.56	11.89	14.04	12.25	9.20	8.21

Source:

- NSS 55th round. Report No. 473: Literacy and levels of education in India, 1999–2000.
- NSS 61st round Report No. 516 (61/10/2): Employment and Unemployment Situation among Social Groups in India, 2004–05
- NSS 66th round Report No. 543 (66/10/3): Employment and Unemployment Situation among Social Groups in India, 2009–10
- NSS 68th round Report No. 563 (68/10/4): Employment and Unemployment Situation in India, 2011–12

Annexure 2: Gender Disparity in Literacy Rates among Social Groups by Location—1999–2000, 2004–05, 2009–10 and 2011–12

Social Group	Gender Disparity Index			
	1999–2000	2004–05	2009–10	2011–12
Rural				
SC	54.08	40.71	31.78	29.55
ST	56.16	41.52	28.46	28.23
OBC	48.72	37.85	30.19	26.89
others	32.64	23.88	20.47	17.80
All (incl n.r.)	43.57	34.48	27.57	25.22
Urban				
SC	30.66	28.81	18.32	20.38
ST	24.14	22.88	19.90	17.74
OBC	22.71	18.72	16.18	13.94
others	12.02	9.09	8.33	7.54
All (incl.n.r.)	17.79	15.20	13.09	12.19

Source: Same as in Annexure 1

Annexure 3: Literacy Rates by Social Category in Rural India, 1999–2000 and 2011–12

States/UTs	SC		ST		OBC		Others		Total	
	1999–00	2011–12	1999–00	2011–12	1999–00	2011–12	1999–00	2011–12	1999–00	2011–12
Andhra Pradesh	39.4	44.7	26.1	54.7	42.5	58.3	62.3	70.2	45.8	58.7
Assam	69.7	85.2	71.6	86.3	72.9	84.6	66.7	83.8	69	84.5
Bihar	25.7	57.5	34.4	54.6	42.4	62.9	59.2	81.5	41.8	64.7
Chhattisgarh		73.9		69.6		74.9		86.3		74.1
Delhi	43.2	82.5	60.8	90.1	88.6	96.8	86.2	98.4	84.8	95.8
Goa		69.1		49.7	58.8	82.2	82.1	87.6	81	83.3
Gujarat	55.5	61.9	50.3	73.5	55.8	69.9	75	81.1	62	70.4
Haryana	50.7	70.2	48.3	73	58.1	71.8	67.7	77.7	61.2	74.8
Jharkhand		61.2		61.5		67.7		74.1		65.7
Karnataka	44.3	59.9	41.3	64.8	56.6	70.5	65.2	77.2	55.9	69.7
Kerala	79.1	68.7	80.2	86	88.3	92.9	94.1	96.6	89.4	92.9
Madhya Pradesh	46.6	58.6	32.4	62.1	55.6	70.2	67.8	82.3	49.8	67.3
Maharashtra	63.5	60	49.9	73.9	69	79.4	72.2	79.1	66.5	76.1
Orissa	74.8	56.2	33.1	56.2	61.6	74.2	73.9	83.2	53.8	69.7
Punjab	51.9	69.2	69.2	69.2	63.5	79.3	70.4	79.4	62.5	74.6
Rajasthan	36.7	52.3	38.4	52.3	46.3	62.8	57.8	75.4	46.5	62.2
Tamil Nadu	55.9	47.1	50.8	72.5	66.3	76.4	81.7	92.4	63.8	75.3
U.P.	40.7	60.5	47.7	48	47.6	62.3	64.9	75.9	51.1	63.5

States/UTs	SC		ST		OBC		Others		Total	
	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12
West Bengal	57.1	61.3	41.6	69.7	74.6	78.4	64.7	72.2	61.7	71.3
Arunachal Pradesh	78.2	73.8	49.3	73.1	57.3	84.7	57.5	75.2	51.4	74.2
Himachal Pradesh	67.7	79.2	73.1	77.4	81.1	85.8	74.2	82.8	73.4	81.7
Jammu & Kashmir	57.7	70.3	52.8	68.9	55.8	75.8	64.8	70.6	63.4	71.1
Manipur	70	85.5	63	86.8	77.3	86.8	71.4	77.3	68.6	85.5
Meghalaya		95.5	74.8	100	68.7	98.9	91.8	95.2	75.5	95.5
Mizoram		94.9	91.1	100	100	66.5	72.8	94.5	90.5	94.1
Nagaland		91.8	82.8	90.5	78.7	100	66.5	99.1	82.4	91.8
Sikkim	68.4	85.6	74.2	76.7	72.3	87.2	77.6	95.2	74	86.3
Tripura	76.9	83.1	80.5	81.4	78.8	86.4	75.5	86	77.2	84
Uttarakhand		75.1		77.1		72.5		82		79.2
A & N Islands		85.3	76.5	100	55.2	88.9	83.5	83	81.5	84.7
Chandigarh	65.4	100	62.2	99.8	64.2	75	65.9	85.8	65.3	84.6
Daman & Diu	92.4	96.2	66.6	90.9	91.2	94.3	88.8	89.6	80.2	91.8
D & N Haveli		61.9	53.2	100		60	90.1	99	58.6	64.8
Lakshadweep		87.4	89	100		100		100	89.3	87.4
Puducherry	60.1	50		87.3	77.2	87.9		95.6	72.5	88.5
All India	46.6	62.7	42.2	64.3	54.8	68.8	67.7	78.1	56	69.4

Source: Same as in Annexure 1.

Annexure 4: Literacy Rates by Social Category in Urban India, 1999–2000 and 2011–12

States/UTs	SC		ST		OBC		Others		Total	
	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12
Andhra Pradesh	67.3	73.9	57.5	74.7	68.8	81.1	82.2	87.1	74.5	82.5
Assam	69.2	97.8	85.3	92.3	80.1	93.8	89.7	92.2	86.1	92.9
Bihar	47.5	75.4	69.7	68.4	63.6	83	84	88.5	69.6	82.3
Chhattisgarh		78.1		73.1		82.6		93.1		83.2
Delhi	73.9	87.3	82.4	81.1	79.9	86.5	89.8	92	86.3	88.5
Goa		85.3		88.5	83.6	92.3	88.1	92.1	87.4	91.8
Gujarat	71.2	79.5	66.8	81	76.7	83.3	91.2	92	84.1	87.6
Haryana	53.4	68.6	93.7	73.5	75.5	82.5	84.6	92.1	76.6	86.9
Jharkhand		83.3		66.4		84.8		92.1		83.9
Karnataka	65.6	68.7	53.9	83.2	79.6	87.4	88.9	90.9	82.1	87.3
Kerala	87.9	96.4	97.5	91.6	92.3	94.7	96.4	96.4	93.7	95
Madhya Pradesh	64	73.2	59.8	77.1	73.5	82.4	87.9	92.4	77.5	84.5
Maharashtra	80.1	83.6	79.4	86.8	83	89.6	88.3	92	86	90.2
Orissa	53.2	67.2	55.2	69.6	79.4	83	85.8	90.6	75.5	82.1
Punjab	60.1	88.6	75.5	72.2	80.3	84.4	87.2	90.9	78.9	85.2

Table 4 (Contd.)...

... Table 4 (Contd.)

States/UTs	SC		ST		OBC		Others		Total	
	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12
Rajasthan	56	64.5	69.1	70.3	70	75.5	84.4	90.3	75.1	79.5
Tamil Nadu	74.1	82.3	95.7	82.4	84	88.2	92.9	94.1	84.5	87.6
Uttar Pradesh	58.1	81.9	78.5	68.5	59.3	68.3	79.7	86.1	70.1	75.1
West Bengal	67.4	81.8	63.2	83.1	81.2	87.6	86.2	88.3	82.2	87.2
Arunachal Pradesh	89.4	73.9	88.1	88.2	91.4	84.1	89.5	90.1	89.6	90.7
Himachal Pradesh	81.2	89.7	85.4	90.5	78.9	80	93.3	93.2	90.2	91
Jammu & Kashmir	62.4	87.9	81.4	79.2	77.3	82.8	79.1	80.9	77.7	81
Manipur		94.1	94.2	85.7	84.6	90.5	89	93.5	87.2	90.8
Meghalaya	85.7	98.9	91.6	100	95.4	100	92.1	99.6	91.8	99
Mizoram	96	98.8	98.8	100	100	96.5	98.9	94.8	98.8	98.8
Nagaland		97.8	94.6	97.3	80.5	100	93.1	100	93.9	97.8
Sikkim	84.5	91.4	89.2	91.4	84.4	96.8	88.3	91.5	87.1	93.7
Tripura	74.2	91.7	94.8	88.2	85.5	90.6	87.4	95.3	85.2	92.2
Uttarakhand		94.3		87.9		78.1		90.4		75.1
A & N Islands		95.3		100	86.7	94.8	87.3	88.7	87	89.3
Chandigarh	67.1	78.4	79.2	78.9	81.3	87.2	88.9	85.9	85.1	84.6
Daman & Diu	79.7	71.2	71.8	92.9	82	89.9	95	89.3	88.8	88.9
D & N Haveli		84.4	79.2	88	91.3	85.7	93.3	94.1	88.9	91.3
Lakshadweep		90.6	87.2	100		100	93.8	100	87.1	90.9
Puducherry	71.2	100		88.5	87.6	92.7	94.2	95.5	86.9	92.8
All India	66.2	80.6	70	78.5	75.3	83.2	86.5	90.2	79.8	85.3

Source: Same as in Annexure 1.

**Annexure 5: Disparity in Literacy Rates by Social Category in Rural India,
1999–2000 and 2011–12**

States/UTs	Social Disparity Index					
	SC Vs Others		ST Vs Others		OBC Vs Others	
	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12
Andhra Pradesh	50.00	43.44	79.04	26.41	43.23	20.27
Assam	-4.35	-1.66	-7.10	-2.96	-8.99	-0.95
Bihar	80.14	37.09	59.33	41.58	40.19	28.75
Chhattisgarh		16.73		22.54		15.38
Delhi	50.71	16.60	29.95	8.66	-2.83	1.67
Goa		22.21		45.50	28.77	6.48
Gujarat	31.45	27.27	39.84	10.80	30.97	15.91
Haryana	27.78	10.03	31.70	6.28	15.69	7.89
Jharkhand		19.63		19.18		9.74
Karnataka	37.39	24.82	42.75	17.79	15.38	9.61
Kerala	16.78	30.03	15.55	11.41	6.49	3.98

States/UTs	Social Disparity Index					
	SC Vs Others		ST Vs Others		OBC Vs Others	
	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12
Madhya Pradesh	42.57	35.22	71.08	30.01	24.50	17.98
Maharashtra	13.08	25.10	33.53	6.83	4.81	-0.39
Orissa	-1.67	38.74	75.84	38.74	22.86	12.91
Punjab	29.60	13.67	1.92	13.67	11.04	0.13
Rajasthan	45.38	37.14	41.72	37.14	24.73	20.26
Tamil Nadu	40.44	60.16	48.43	26.43	24.14	21.25
U.P.	47.36	24.25	33.66	43.94	33.86	21.42
West Bengal	12.32	15.29	37.44	3.51	-16.05	-8.70
Arunachal Pradesh	-40.27	1.89	15.95	2.83	0.39	-12.80
Himachal Pradesh	8.86	4.41	1.50	6.61	-9.40	-3.67
J & K	11.20	0.42	18.93	2.39	14.20	-7.31
Manipur	2.04	-9.59	12.24	-11.11	-8.60	-11.11
Meghalaya		-0.31	22.52	-5.03	30.60	-3.87
Mizoram		-0.43	-20.22	-5.84	-30.06	29.76
Nagaland		7.95	-19.78	9.37	-14.81	-0.98
Sikkim	12.43	11.12	4.59	21.44	7.16	9.27
Tripura	-1.81	3.45	-6.48	5.48	-4.27	-0.48
Uttarakhand		8.71		6.19		11.99
A & N Islands		-2.72	8.59	-20.07	34.72	-6.97
Chandigarh	0.77	-16.78	5.67	-16.55	2.60	12.77
Daman & Diu	-4.49	-7.19	27.68	-1.42	-2.99	-5.12
D & N Haveli		57.25	62.97	-1.54	153.75	60.19
Lakshadweep		14.42	-99.66	0.00	0.00	0.00
Puducherry	-82.90	51.53		9.38	-106.48	8.70
All India	37.68	22.19	45.54	19.88	23.04	13.40

Source: Calculated from data in Annexure 3.

Annexure 6: Disparity in Literacy Rates by Social Category in Urban India, 1999-2000 and 2011-12

States/UTs	Social Disparity Index					
	SC Vs Others		ST Vs Others		OBC Vs Others	
	1999-00	2011-12	1999-00	2011-12	1999-00	2011-12
Andhra Pradesh	20.00	16.00	33.15	15.03	17.99	7.27
Assam	23.81	-6.03	5.11	-0.11	11.15	-1.72
Bihar	52.44	15.92	20.55	24.42	29.31	6.68
Chhattisgarh		18.03		24.04		12.62
Delhi	18.42	5.31	8.57	12.32	11.47	6.21

Table 6 (Contd.)...

...Table 6 (Contd.)

Goa	100.80	7.41	100.80	3.92	5.15	-0.22
Gujarat	23.78	14.27	29.01	12.56	17.24	9.93
Haryana	40.73	27.04	-11.88	21.40	11.88	11.05
Jharkhand		10.49		30.63		8.70
Karnataka	28.38	25.43	42.63	8.82	11.33	4.01
Kerala	9.07	0.00	-1.17	5.05	4.38	1.79
Madhya Pradesh	30.84	22.72	36.26	18.11	18.58	11.83
Maharashtra	9.53	9.31	10.35	5.76	6.16	2.66
Orissa	43.18	28.50	40.53	25.58	8.48	9.26
Punjab	34.35	2.70	14.83	21.95	8.75	7.63
Rajasthan	37.82	32.45	20.37	25.16	19.17	18.62
Tamil Nadu	22.25	13.47	-3.31	13.36	10.53	6.74
U.P.	30.81	5.59	1.71	23.44	29.10	23.70
West Bengal	22.87	7.45	27.98	5.96	6.08	0.80
Arunachal Pradesh	0.11	17.86	1.56	2.09	-2.12	6.62
Himachal Pradesh	13.41	3.85	8.76	2.97	15.96	14.51
J & K	21.49	-8.64	-2.96	2.10	2.32	-2.35
Manipur	102.06	-0.66	-5.96	8.59	5.05	3.30
Meghalaya	6.97	0.71	0.54	-0.40	-3.59	-0.40
Mizoram	2.94	-4.05	0.10	-5.26	-1.11	-1.72
Nagaland	99.15	2.25	-1.60	2.76	13.42	0.00
Sikkim	4.36	0.11	-1.03	0.11	4.48	-5.66
Tripura	15.49	3.90	-8.69	7.70	2.23	5.10
Uttarakhand		-5.19		3.33		16.38
A & N Islands	100.34	-7.39	100.34	-12.65	0.69	-6.83
Chandigarh	25.62	8.87	11.40	8.27	8.93	-1.54
Daman & Diu	17.23	20.36	26.13	-4.05	14.64	-0.67
D & N Haveli	104.95	10.62	15.86	6.68	2.25	9.20
Lakshadweep	107.69	10.34	7.58	0.00	107.69	0.00
Puducherry	26.47	-4.85	108.40	7.54	7.59	3.02
All India	25.44	11.25	20.68	13.72	14.04	8.21

Source: Calculated from data in Annexure 4.

Forced Displacement and Inequality in India: A Gender Analysis

Sudesh Kumar¹ and Anindya Jayanta Mishra²

Abstract—*In independent India, development policies pursued by the successive governments have been leading to the widespread displacement of population. It is estimated that nearly five lakh people are displaced every year as a direct consequence of the administrative land acquisitions. Displacement of people may occur due to many reasons like earthquakes, floods, infrastructure development, dam construction, etc. Majority of the displaced people are poor and they also suffer the most from displacement. It appears that the development has made the rich richer, while the cost of the development is borne by the displaced poor. It creates some specific problems like marginalization, increased morbidity and mortality, food insecurity, family loss, etc. The study uses gender perspective and attempts to examine the gender inequality as an offshoot of resettlement. It has been found that due to the absence of uniform rehabilitation and resettlement policy in India, most of the displaced women face difficulties with regard to their compensation and rehabilitation, employment, etc. Displaced women do not find mention in the rehabilitation policy as they are considered to be the dependent family members. In rural India, most of the women, in order to help their families economically, are directly dependent upon the natural resources. In the wake of displacement they do not get any kind of benefits from the Government. They always face gender discrimination by the Government with regards to their compensation and rehabilitation policy.*

Keywords: *Displacement, Rehabilitation, Resettlement, Compensation, Gender Inequality, Displaced women*

INTRODUCTION

The present study has proposed to understand the gender inequality in India among the displaced people on compensation, rehabilitation and employment issues. In Independent India, the policies for development pursued by the successive governments have been leading to the widespread displacement of population. It is estimated that some five Lakh persons are displaced every year as the direct consequence of administrative land acquisitions (Mishra, 2002). In India, displacement is not new. People have been forced out of their villages in the name of development right from the British period. After independence, the Nation too pursued the policy of development and set up large-scale industries or industrial estates and projects like mines, dams, construction of roads and railway lines. Each of them has displaced

¹Research Scholar, Department of Humanities and Social Sciences, Indian Institute of Technology, Roorkee, Uttarakhand-247667, India

²Associate Professor, Department of Humanities and Social Science, Indian Institute of Technology, Roorkee, Uttarakhand-247667, India

E-mail: ¹aryansudesh@yahoo.com, ²anindfhs@iitr.ernet.in/anindya.mishra@gmail.com

people in large numbers (Nayak, 2008). The first and second five—year plan mainly focused on the developmental projects but ignored the consequences of displacement (Patnaik, 2000). For this purpose, large scale of land was acquired. This resulted in the displacement of millions of people without proper concern for the resettlement and rehabilitation (Murickan, 2003). Most of the displaced victims belong to the poor sections of the society like the Dalits, tribal community, women and the other backward classes (Ibid). The problem of displacement is not merely economic; it is also a socio—cultural problem because it disturbs a network of social relationships supporting an ethos and a way of life. It affects the entire gamut of traditional activity and an established social order. It forces people to adopt new ways of occupational activities and an unknown environment. The displaced people are forced to change their social patterns without getting any compensation for the social costs they accrue. Thus, they are under constant pressure which ultimately leads to a situation of socio—cultural stress (Advani, 2009).

It has been observed that involuntary displacement may create psychological depression among the affected people and result in sickness, grief and death. Displaced people have no access to the basic facilities and natural resources. They have to face lots of hardship before and after the process. People are forcibly displaced and are bound to live in new atmosphere, new place with new people and changed norms and values. This leads to the change in the entire socio—economic life of the displaced people (Patnaik, 2000). In our patriarchal society, women have been denied compensation for land which they have been cultivating for years, but do not have a registration of that very land in their name. Cases of ineligibility have been identified in many women—headed households. Such women, including the widows, have been excluded from compensation in the resettlement package. Men are the recognised heads of household; therefore, compensation is often paid only to them (Asthana, 2012). These gender inequalities are, comparatively, more starkly evident in the hill regions where women are the backbone of the hill economy and most men migrate to the plains in search of jobs (ibid). Rehabilitation packages do not give equal status to women. Compensation is given in the name of men rather than in their joint names (Thukral, 1996). The ownership of landed property is an essential condition before one can claim compensation. Those who do not have property or those who are indirectly dependent on it could not claim compensation (Advani, 2009). In the Land Acquisition Act 1984, the main law of acquisition reveals a gender bias which seems to reinforce the existing situation of women’s lack of ownership of land and property. Similar lack of gender sensitivity is present in almost all the policies and plans that govern the rehabilitation and resettlement (Thukral, 1995).

RESETTLEMENT AND REHABILITATION ISSUES IN INDIA

In India, post-independence, the economic development is based on large projects and big industries which have been accompanied by widespread displacement. In the absence of any National Rehabilitation and Resettlement (R&R) policy, the State Governments or even the specific project authorities introduced their own principles and handled the R&R of the displaced by way of adhoc plans. Rehabilitation measures and policies adopted by most State Governments were based on the LAA Act of 1984 which adopted a very narrow approach to compensation. This act was based on cash compensation alone and offered no compensation to those who had no legal title of land.

The Rehabilitation and the Resettlement policy was first introduced in 1985 by a committee of the Ministry of Welfare. It took a lot of time, and there were discussions for nearly two decades over various draft policies. The National Policy on Resettlement and Rehabilitation (R&R) for displaced families in 2003 came into force in 2004. But, there was a need to make this policy more participatory and transparent and to reduce the adverse impact of displacement. Hence, the National policy of R&R was revised and the R&R bill came out in 2007. But, this policy again failed because the gender factor was ignored. The Resettlement and the Rehabilitation policy is still open for discussion since 1985 (Pervez, 2008). The main objective of the R&R policy in 2007 was to reduce displacement, focus on the weaker sections of the society and identify widows, unmarried women who were above 50 years of age. The adult brothers and sons were treated as a separate unit but, sadly, not the adult sisters, widows and the divorced women. Compensation was to be transferred to the male members only and women were totally ignored in terms of compensation and the other activities. The R&R policy totally failed to recognise the gender (ibid).

Lack of transparency, in India, is yet another issue in the R&R. Because, if we look at the past literature we find that the government authorities, NGOs and the researchers provide different data about the displaced people. Though involuntary resettlement is a very sensitive issue, the government authorities do not pay adequate attention to the resettlement and rehabilitation policy. There is some data which shows how figures are under—represented by the government authorities.

Viegas, 1992, after drawing excessive field investigations, pointed out that the number of persons displaced because of the Hirakud Dam project was 1.6 Lakh, while the government official figures were only 1.1 lakh. Patnaik, Das and Mishra—1987, mention that in the case of Bargi Dam on the Narmada River in Western MP, the project authorities had noted that 101 villages will be submerged. However, when the reservoir was filled, the number of villages submerged was 162.

Development induced displacement has brought about a profound economic and socio—cultural perturbation to the victims of displaced communities. While forced displacement affects men and women, women experience displacement and relocation in a particularly gendered way. This differential impact on women occurs due to the gendered division of labour which arises from the socio—historical processes of men’s traditional incorporation in the age—earning and labour—oriented tasks. The women, in such a scenario, are confined to the land jobs and its management on a daily basis. The resettlement and the rehabilitation policy expose the male biases inherent in the insensitivity of the government towards the needs of women (Asthana, 2012).

The process of development is not gender—neutral. A gap exists in the ways in which the distribution and calculation of benefits of development is accomplished. Women’s contribution, as the invisible workforce, have either not been calculated or it’s been disproportionately enjoyed by men (Agarwal, 1996). The women—headed households (widows, divorced and those deserted by their husband) do not figure in the policy. Women, in general, have been ignored since neither the baseline survey nor the census collect the information related to their specific requirements, nor does this reflect in the Rehabilitation and the resettlement schemes (Saxena, 2008). A gender gap exists in both the policy and practice. Thus, gender remains distant in the local and State discourses (Asthana, 2012).

From the above discussion, we can outline that in India there is no uniform rehabilitation and resettlement policy in which the displaced people can get proper compensation packages.

GENDER ISSUES AND THEIR PROBLEMS

Gender studies scholars have proved it repeatedly that by taking household or family as a unit in the sociological analysis, we undermine the specific needs and the rights of the vulnerable group, especially women in the household (Agarwal, 1996). In the compensation and the resettlement schemes also, the amount is not paid to women who form a specific category. Compensation money, linked to the ownership of land, is paid to men. Women of indigenous communities, who usually do not have ownership rights on the land, but have access to the forest and the other common properties which are also lost in dispossession, are not separately identified for compensation. In resettlement too, the houses and plots of land are allotted to men (Nathan, 2009).

Displaced family as a person includes: his or her spouse, minor sons, unmarried daughters, mother and the other members living with him/her, dependent on him/her for their livelihood. This makes provision for the adult son and adult brothers to be treated as separate families but not for the adult females. This explicitly means that

the major unmarried daughters and sisters, widows and divorced women, living in the same household, are not liable for compensation (Parvez, 2008).

She further adds, in the case of landholding families, land would be allotted to those having a legal title. In a patriarchal society as India, where the land is transferred from the male head to a male heir, women may have rights over the land and the forests but are rarely allowed to inherit the land.

Mirdula Singh and others (1992) observed that the policy makers did not consider women as a separate unit. A widow, unmarried and adult daughters and divorced women were recognized as dependents. The policy for the displaced people from Maharashtra clearly mentioned that the adult women will not be entitled to any land.

Fernandes and Walter (1996) highlighted the employment problems among the displaced women. He found that job has been given to men as they are considered to be the breadwinners and get the first priority in jobs. Women, on the other hand, are being forced into low labor market and get low wages. Patnaik's (2000) study was based on the anthropological perspective. He wrote that most of the displaced women were affected because of the loss of the source of income. Traditionally women were engaged in the economic activities like fishing, preparing baskets, collecting food, fodder fuel, etc. But, the policy makers did not include them in any compensation.

Mohanty (2011) observed that women play an important role in the family, community and society. But after displacement, they become totally dependent on the husband or son for household expenditure. Decrease in the family income creates rifts and bitterness amongst them.

He further added that the problem arises out of cash compensation which is often misused by the male members in consuming liquor, purchasing durable items. This results in family feuds and domestic violence.

CONCLUSION

It can be concluded that there is gender discrimination in India amongst the displaced men and women. After 1950, a large number of construction projects were initiated for the economic growth in India, yet none of the policy makers paid adequate attention to the gender issues. In the Land Acquisition Act 1984, the Rehabilitation policy and the compensation issues, women stand negated. Study has found that compensation was remitted to the male members while the women were totally ignored. In this patriarchal society, men are the recognised heads of household; therefore, compensation is often paid only to them. Most of the affected belong to the poor sections of the society like the Dalits, tribals, women and the other backward

classes. Women, amongst them, are the worst victims of displacement. Study also found that number of social problems arise among the displaced women, such as domestic violence, feeling of insecurity at new sites, weakness in kinship bonds, conflict among the family members, loss of income resources, additional burden on women, increase in dowry demands, child marriages, education problems amongst the displaced girls, etc. It is clear from the foregoing discussion that in the absence of an all inclusive National policy on rehabilitation and resettlement of the displaced people in the country, the present options have not accorded equal status to the displaced women, and that they are not at par with their male counterparts.

SUGGESTIONS FOR POLICY MAKING

- Before the commencement of any developmental projects, proper survey should be conducted to prepare an accurate rehabilitation and resettlement plan. This will reduce the numerous problems that the affected people have to face in the wake of displacement.
- Land should be allotted in the name of displaced women and widows.
- In the resettlement and rehabilitation plan, the displaced women and girls should be considered.
- Displaced people should be considered for the decision—making process for selecting their resettlement site.
- It should be made compulsory for the project authorities to sponsor the education of children of the displaced families. Moreover, special attention should be given to the girl's education.
- In the case of displaced families having unmarried daughters, who are not eligible for employment in the project, the rehabilitation package should also include the financial assistance for their marriage and education.
- The Government should provide special training for the displaced women and facilitate learning of skills to strengthen their means of livelihood.

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Short Run and Long Run Causality on Inflation, Export and the Lending Rate: An Empirical Study of India

Pratinidhi¹ and NMP Verma²

Abstract—*Macroeconomic variables play a crucial role in the economic scenario of every developed and developing economy. These variables create fluctuation in the economy. Moreover, these variables are the key pillars of any economy. If there are any variations in these variables, it creates huge problems in the economy. Furthermore, recession has direct and indirect impact on the developed and developing countries due to globalization. Therefore, the question arises that during the recession of 2008 in the United States of America (USA), had there been any impact of the recession on the Indian economy or not. This paper discusses the impact of financial crisis on macroeconomic variables such as export, the lending rate and General Inflation Rate (CPI-IW) employing the Vector Error Correction Model (VECM). The data has been taken for the time period of 2002 to 2015 of the Indian economy. Further, this time period has been divided into three sub categories, such as, the pre-recession, during recession and the post-recession period. This study has concluded that in the Pre-Recession Period, the lending rate was affected due to supply shocks (permanent effect). The export had been affected due to both the supply and demand shocks and there was no impact on the inflation rate. In the Recession Period there was no short run or long run impact on the export and inflation rate. Only the lending rate was affected by supply shocks and demand shocks. In the Post-Recession Period, all the three variables such as export, the lending rate and inflation rate have been affected by supply shocks and demand shocks which are significant and proved.*

Keywords: *Macroeconomic Variables, Short Run and Long Run Causality, Johansen Cointegration Test, Recession 2008, Vector Error Correction Model (VECM)*

INTRODUCTION

Macroeconomic variables play a crucial role in the fluctuating of every developed and developing economy, such as the export, the lending rate and the inflation rate. These variables are described as the current behavior in the economy as well as create fluctuations in the economy. Moreover, these variables are the key pillars of the economy because the health of the economy is measured through these variables. If there are any variations in these variables, it creates huge problems in the economy. In addition, recession has direct and indirect impact on the developed and developing countries due to globalization. It has an impact upon the economy in various ways, for instance, touching the output production, inflation and unemployment. Moreover, recession is an economic instability that touches each and every person, the economy

¹Research Scholar, Babasaheb Bhimrao Ambedkar University, Lucknow

²Professor, Babasaheb Bhimrao Ambedkar University, Lucknow

E-mail: ¹pratinidhibbau@gmail.com, ²nmpverma@gmail.com

and society. It ultimately affects the other economies depending upon the volume of cross country integration, openness and trading (Verma, 2013).

The financial crisis of 2007–2008, also known as the *Global Financial Crisis*, is considered by many economists to have been the worst financial crisis since the “Great Depression” of the 1930s (Temin, P., 2010). It began in 2007 with a crisis in the subprime mortgage market in the US and developed into a full-blown international banking crisis with the collapse of the investment bank ‘Lehman Brothers’ on September 15, 2008 (Mark, W., 2012). The financial crisis in the USA began in December 2007. It formally ended after 18 months in June 2009. (Upadhyay, M. and Sanon, T., 2013).

In this paper, the objective is to evaluate the impact of recession on three macroeconomic variables, such as export, the lending rate and the inflation rate.

This study has taken three variables due to very pertinent reasons. First, export is the goods and services produced in our country which we have to sell in the other countries. Increasing exports will result in more money inflow in our country, so that the demand for it will increase in our economy, resulting in increased employment.

Along with this, the extent of the tolerance of people will also be high. “Export plays a central role in the international trade, whereby the goods produced in one country are shipped to another country for future sale or trade. The sale of such goods adds to the producing nation’s gross output. That is why the countries want to grow their exports. Their companies want to sell more. The extra they export, the greater their competitive advantage. That’s the reason that they increase capability in producing the goods and services (Amadeo, K., 2018).

The second macroeconomic indicator is the Lending rate. “Lending interest rates influence the overall economic activity including the flow of goods, services and financial assets within the economy as well as the whole world,” Saunder (1995). Lending rates is related with the macroeconomic variability which affects the performance of the banking sector. According to Ndungu and Ngugi (2000), macroeconomic atmospheres identify both the cause and the consequence affecting the lending rates. The series response triggered off by the macroeconomic variability increases uncertainty, hence, adversely impacting the debtor’s credit worthiness. This leads to the increase in the risk premium charged by the banks.

The third macroeconomic indicator is the inflation rate. “Inflation is the most important problem of each developed and developing country.” Inflation is fluctuating in our economic system and it has an impact on the different sectors in different ways.

The term inflation, in general, shows price level rise during the two quarter price level rise over a period of time. But in the political economy, 'inflation' means a continuous hike in the general level of prices of goods and services in an economy over a point of time. This is measured by various methods. The WPI and the CPI methods capture the true picture of the rising prices in an economy. The Government of India has also chosen these two methods and utilized them for policy implications.

The Consumer Price Index for Industrial Workers General Inflation Rate (CPI-IW) has been used for the measurement of general price level in India. This includes the selected services and is measured on the basis of retail prices. It is used to determine the dearness allowance of employees in both the public and private sectors. It is the appropriate indicator of general inflation. Reference to: (p .1, website: <http://indiabudget.nic.in>).

We considered these three variables as they are the basic pillars of any economy. If there are any fluctuations in these variables, it affects the other variables as well.

The remaining paper is organised as follows. Section 2 modules the review of literature. Section 3 focuses on the research methodology, objectives and hypothesis. Section 4 underlines the models and results which we have used: Augmented Dickey Fuller (ADF) test, Johnson cointegration test and the Vector Error Correction Model (VECM). Section 5 enunciates the conclusion and suggestions.

REVIEW OF LITERATURE

According to Bernanke and Gertler, 1989, when banks face difficulties in raising funds on the interbank or financial markets, they tighten credit. Mora and Powers (2009) demonstrate that the *Great Trade Collapse* in 2009 followed the deterioration of banks' external position, a result of the failure of Lehman Brothers in 2007. Auboin (2009) and Auboin (2011) relate to the key role of the recent crisis that affected the financial systems worldwide.

The 2007-2008 financial crises has multiple dimensions. First, a large number of banks suffered liquidity and solvency problems which induced failures or massive State bailouts. In addition, a Global credit crunch occurred, especially after the bankruptcy of Lehman Brothers (Aisen and Franken, 2010). The recent drop in export volumes was steeper than those witnessed in 1965 (-7%), 1982 (-2%) and 2001 (-0.2%), known as the three main previous episodes of the declining trade. It was also more severe than the fall in the world trade observed during the Great Depression of the 1930s (Almunia, Benetrix, Eichengreen, O'Rourke and Rua, 2010).

A particular characteristic of letters of credit is that their use crucially depends on the financial conditions in both the importer's and exporter's countries, Schmidt-Eisenlohr (2013). Amiti and Weinstein (2009) refer to the "financial accelerator" to explain how the financial shocks are amplified and ultimately alter the real economic performance. Inclined exports permit for new access to the foreign markets and this generates opportunities for specialization. Some economists also favor the growth of the export sector by arguing that these sectors are most efficient within a country (Zestos and Taof 2002).

There are also several levels of optimism regarding the ability of trade, specifically exports, to positively affect the economic growth. The debate helping this contends that exports can contribute to growth in different ways—greater capacity utilization, incentives for technological improvement and greater efficiency through higher levels of competition (Feder, 1982). Garrison and Lee showed that the growth rate of the ratio of real exports to GDP has a positive and statistically significant effect on growth. They argued that this is because an increasing degree of export orientation encourages higher productivity, leading to higher levels of economic growth (Garrison and Lee 1995).

There are four key channels of monetary transmission: (a) interest rate channel; (b) quantum channel relating to credit; (c) asset price channel and (d) exchange rate channel (Boivin, Kiley and Mishkin, 2011; Bernanke and Gertler, 1995). The first channel—the interest rate channel—is the key channel of monetary transmission in market-based economies and refers to the changes in the domestic demand and inflation brought about by the changes in the policy interest rate. The quantum channel—the credit channel—complements and amplifies the interest rate channel. The credit channel operates through the availability of bank credit (the traditional bank-lending channel or the narrow credit channel) and through the impact of interest rates on the asset prices and cash flows and the net worth of the borrowers (the broader credit channel, or the balance-sheet channel or the net worth channel). For bank-dominated economies, the narrow credit channel is important and for the financial market-dominated economies, the broader credit channel is important (Kapur, M. and Bahera H., 2012).

RESEARCH GAP IN THIS AREA

Many studies have been done on export, the lending rate and the inflation rate at the International and National level. However, these study attempts were done by opting for single variable and not the three joint variables. Moreover, the three sub

categories such as the pre, during and the post-recession period have also not been focused upon. Besides this, no studies have been conducted for the Indian economy. Therefore, in this research endeavour, we will show the permanent and temporary impact on export, lending rate and general inflation rate in the pre, during and the post-recession periods with special reference to the Indian context.

OBJECTIVE OF THIS PAPER

To analyse the empirical evidence of short run and long run causality on the inflation rate, export and the lending rate in the pre, during and the post-recession period.

HYPOTHESIS OF THIS PAPER

H_0 :—in the pre, during and the post-recession period all variables such as export, lending rate and general inflation rate were affected due to permanent (supply) shocks and transitory (demand) shocks

H_1 :—in the pre, during and the post-recession period all variables such as export, lending rate and general inflation rate were not affected due to permanent (supply) shocks and transitory (demand) shocks

DATA AND METHODOLOGY

Research methodology is the whole process of research such as identifying a research problem, data collection and the analysis of data which is called the blueprint of research. According to Mugenda (2003), data analysis is the process which starts immediately after data collection and ends at the point of interpretation and processing. This study is based purely on the secondary data. The secondary data was used for the analysis because the verification process is more rapid and the reliability of information and conclusion is greatly enhanced.

The secondary data also provided satisfactory evidence to test the hypotheses of this study. Finally, it was readily available and, hence, convenient to use (Ghauri, et al., 2002). Time series data is on the export, lending rate and the general inflation rate. The data has been taken from the reliable and authentic data sources such as the Reserve Bank of India (RBI) and the Economic Political Weekly Research Foundation (EPWRF) data set. The data has been taken for the time period from 2002 to 2015 in context of the Indian economy. Furthermore, this time period has been divided into three sub-categories, specifically, the pre, during and the post-recession. To capture the effect of shocks on the macroeconomic variables, therefore, we have used the Vector Error Correction Term (VECM).

The main purpose of this study is to examine the impact of the financial crisis in the United States of America (USA) on the Indian economy. Did it affect the Indian economy and was the impact direct or an indirect one? Had there been any impact or relation of a financial crisis on the lending rate, export and the inflation rate? Had any kind of impact been visible in the short run or the long run in the pre-recession period, during recession and post-recession period?

To fulfill this aim, we have applied the VECM Model. For this, two tests have to be fulfilled. The first test is the Augmented Dickey-Fuller test for the stationary data. Dickey (1976) & Fuller (1976) describe that all the variables are non-stationary at a level, but they are made stationary after the first differentiation. And, the second test is the use of Johnson test for cointegration among the variables. The third test is used for the lag selection criteria.

In the Dickey-Fuller test, all variables are non-stationary and came out to be at level but become stationary at level one. Cointegrated processes were introduced by Granger (1981) and Engle and Granger (1987).

If two integrated variables share a common stochastic trend in a manner that a linear combination of these variables is stationary, they are called cointegrated. This test indicates that all variables are cointegrated to each other, meaning that, they have long run association. Their tests confirm that we have applied the VECM model. The lag selection criteria suggest that we should choose lag two.

CASE 1: PRE-RECESSION PERIOD FROM (2002 TO 2007)

Trends of Macroeconomic Variables

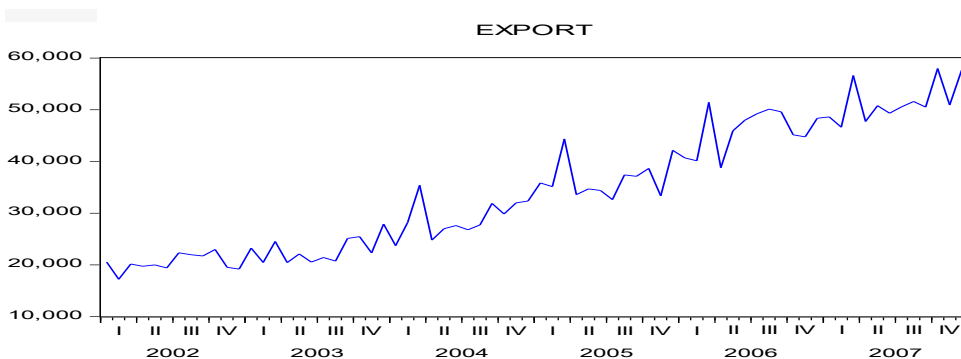


Fig. 1: Trends of Export

Data Source: Reserve Bank of India & EPW Time Series Data set

The figure 1 shows the trends of export from 2002 to 2007 (pre recession period) in the context of the Indian economy. The y axis represents the quantity of export and the x axis represents the time period. The blue line represents the trends of export. It started with the increased rate in January 2002. Then, decreased in March 2002. It was continuously fluctuating with increasing rate in the pre-recession period. It was very high at the end of 2007.

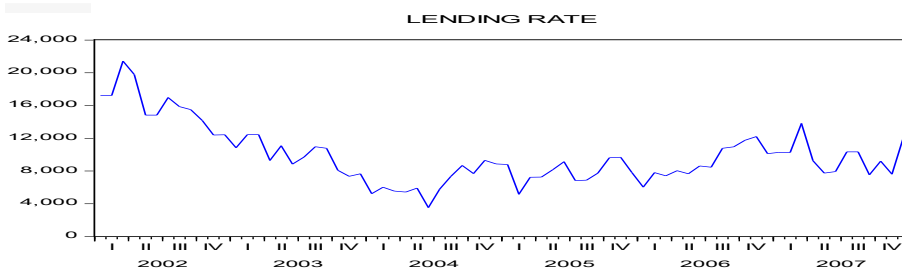


Fig. 1.1: Trends of Lending Rate

Data source: Reserve Bank of India & EPW Time Series Data set

This figure 1.1 shows the trends of lending rate from 2002 to 2007 (pre recession period) in the context of the Indian economy. The y axis represents the quantity and amount of lending rate and the x axis represents the time period. The blue line represents the trends of lending rate. It started with the decreased rate in the first quarter of 2002. After which, it suddenly increased in the second quarter of 2002. Then came the sudden decrease in the third quarter of 2002. After that it decreased continuously, with steep decline in the mid of the second and the third quarters of 2004. Then, it increased continuously at a slow rate from the fourth quarter of 2004 to the fourth quarter of 2007.

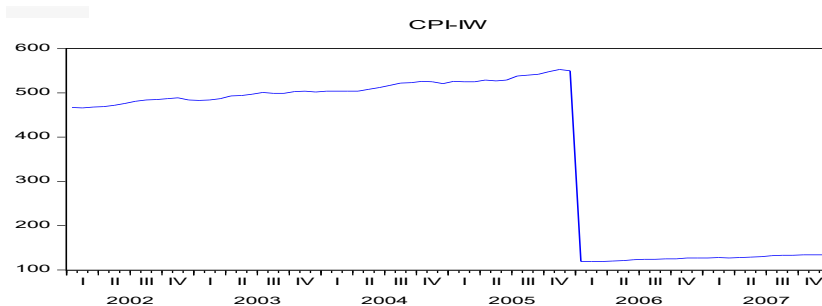


Fig. 1.2: Trends of General Inflation Rate (CPI-IW)

Data Source: Reserve Bank of India & EPW Time Series Data set

This figure 1.2 shows the trends of general inflation rate from 2002 to 2007 (pre recession period) in the context of the Indian economy. The y axis represents the quantity and the amount of general inflation rate and the x axis represents the time period. The blue line represents the trends of General Inflation Rate (CPI-IW). There was a gradual increase from the first quarter of 2002 to the fourth quarter of 2005. Then came the sudden decrease (structural break) with very low rate at the start of 2006. Though, an increase at very slow rate started from the first quarter to the fourth quarter of 2007. In VAR or VECM model, the stationary assumption of variables in the model is very significant. In other words, the use of VAR or VECM model is appropriate when all the variables of the model are stationary.

DICKEY FULLER TEST FOR STATIONARY

Table 1: ADF Test for Differences First Order Data (2002m1 to 2007m12)

Variables	ADF Value DF-T Statistics	Critical value of Mackinon. In levels of significance	
		1%	5%
Consumer price index	-8.250146 *	-3.527045	-2.903566
Export	-10.56071 *	-3.528515	-2.904198
Lending rate	-7.325386 *	-3.530030	-2.904848

Table 1 describes the Augmented-Dickey Fuller test result and it tells us that data are non-stationary at the level, but we have converted them into first differentiate on order. Now all the variables are stationary at level one. Lending rate, Export and General Inflation Rate (CPI-IW) are integrated in the same order. All variables are stationary at 1% (*) level of significance.

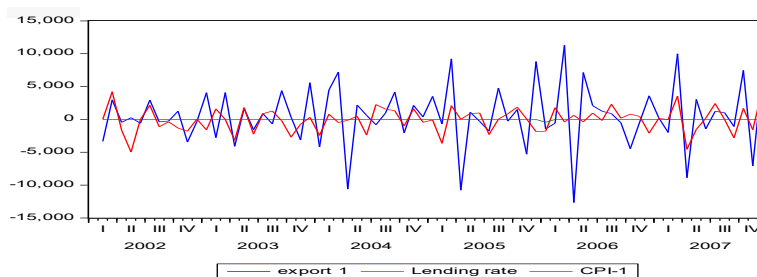


Fig. 1.3: Johansen Test for Cointegration

In pre-Recession Period, the figure1 shows that all the variables are cointegrated with the lending rate, export, and the inflation rate. The lag selection criteria model has suggested that we should choose lag 2 because in this case there are three stars. This means that there are three criteria: LR, FPE and AIC.

The previous result and tests prove that we can use the VECM Model for estimation. According to the result of Johansen cointegration test, three vectors are confirmed for variables of the model. The vectors of variables are export, lending rate, and General Inflation Rate (CPI-IW). Therefore, we are using the Vector Error Correction Model (VECM).

We have made attempts to develop the new VECM model. General form of VECM model is as follows:

$$\Delta yt = a_0 \alpha_1 + \alpha_2 ec_{t-1} + \alpha_3 \Delta y_{t-1} + \alpha_4 \Delta X_{t-1} + \epsilon_t$$

ec_{t-1} = Measures the speed of adjustment of economic growth to its equilibrium level
 ΔY = Endogenous variable, ΔX = Exogenous variable, ϵ_t = Error term

$$\Delta yt = a_{cons} \alpha_{LR} + \alpha_{EXP} ec_{t-1} + \alpha_{INF} \Delta Y_{t-1} + \alpha_{DINF} \Delta X_{t-1} + \epsilon_t$$

Where LR = Lending rate, EXP = Export, INF = General Inflation Rate (CPI-IW) and DINF = dummy variable. In order to establish the joint effects of variables under VECM all those variables have been taken as endogenous (ΔY) and exogenous (ΔX), so as to establish the long and short run association between them (Andrei, M.D. and Andrei, C.L., 2015., pp. 573). 0 dummy = No impact of structural breaks on other variables and 1 dummy = Impact of structural Breaks on other variables.

We have used the Dummy Variable because even after having a stationary data in the series of General Inflation Rate (CPI-IW), it was found to have structural breaks. So, we have used the Dummy variables for the reduced effect of structural breaks on the dependent variables, in other words, to capture the structural breaks.

Table 2: An Analysis of Vector Error Correction Model Estimation

Vector Error Correction Model of three Variables Such as Export, Lending Rate and CPI-IW				
(Var) Error Correction Eq.	Coefficient	Std. Error	t-Statistic	Prob.
Lending rate	-1.929678*	0.257572	-7.491790	0.0000
Export	-2.115526*	0.345272	-6.127133	0.0000
General Inflation Rate (CPI-IW)	0.004411	0.019704	0.223873	0.8236

First Model: Lending Rate: In this model, which has the dependent variable, lending rate (the speed of adjustment towards equilibrium error correction term), it is adjusting very fast at 192% towards long-run equilibrium. In other words, there is a

long run causality running from the export and consumer price index for industrial worker to lending rate and there is no short run causality running from the export and General Inflation Rate (CPI-IW) to lending rate. Implication being that, this model has been affected by permanent shocks (supply shock). The overall model is a good fit because R^2 is high and F statistics or P-value is significant.

Model	R-squared	Adjusted R-squared	F-statistic	Prob (F-statistic)	Durbin-Watson Stat
Lending rate	0.696353	0.649236	14.77906	0.000000	1.832213

In this model, there is no statistical error. It is desirable because there is no serial correlation and heteroscedasticity and residuals are normally distributed and it is desirable.

Second Model: Export: In this model, which has the dependent variable, export, the speed of adjustment towards the equilibrium error correction term, it is adjusting very fast at 2.11% towards the long run equilibrium. In other words, there is long run causality running from the lending rate and General Inflation Rate (CPI-IW) to export and only the short run causality running from General Inflation Rate (CPI-IW) to export. There is no impact of shocks General Inflation Rate (CPI-IW) on export. Meaning that, export was affected by supply shocks as well as the demand shocks. In other words, it has been affected by both the permanent and temporary shocks. The overall model is a good fit because R^2 is high and F statistics or P-value is significant.

Model	R-squared	Adjusted R-squared	F-statistic	Prob (F-statistic)	Durbin-Watson stat
Export	0.858784	0.836871	39.19098	0.000000	1.960527

In this model, there is no statistical error. It is desirable because there is no serial correlation and heteroscedasticity and residuals are normally distributed and it is desirable.

Third Model is CPI-IW: In this model, which has the dependent variable, CPI-IW, there is no long run and short run causality running from the lending rate and export to CPI-IW. It is only affected by own past values and own past shocks. The overall model is not a good fit because R^2 is low but F statistics or P-value is significant, but it is acceptable.

Model	R-squared	Adjusted R-squared	F-statistic	Prob (F-statistic)	Durbin-Watson stat
CPI-IW	0.415587	0.324903	4.582771	0.000138	2.181259

In this model, there is statistical error because we found the problem of serial correlation. Therefore, there is deduction of serial correlation through the lag difference order. Now, there is no serial correlation and heteroscedasticity. Another problem is that the residuals are not normally distributed and it is not desirable, but acceptable, because many economists and the statisticians are supporting it.

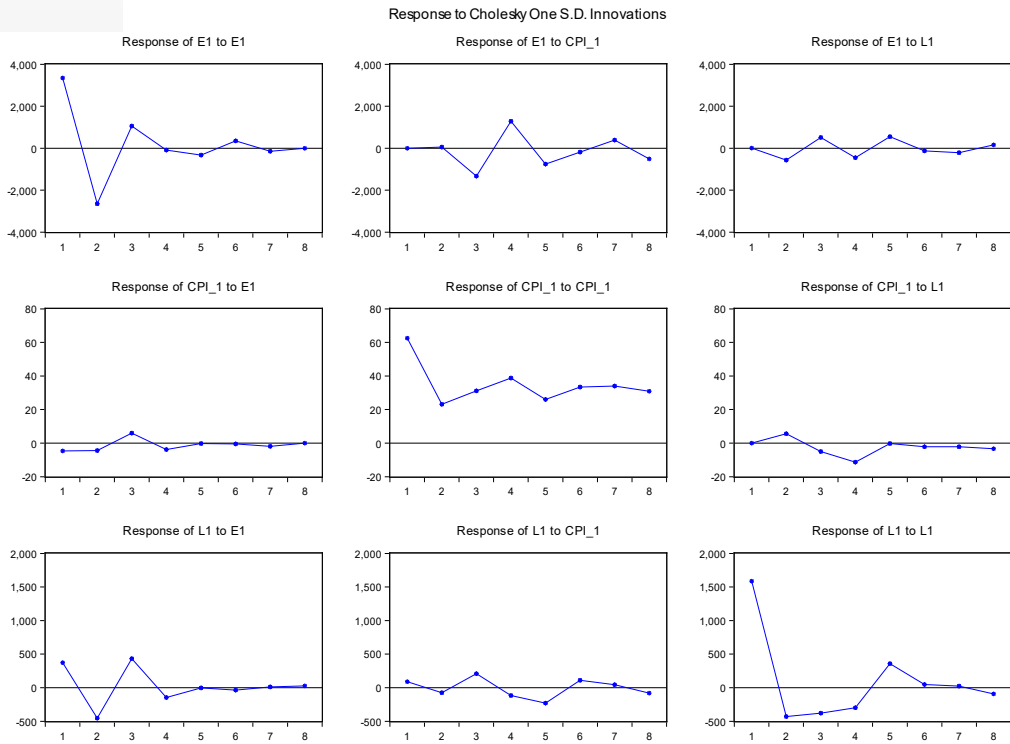


Fig. 2: Impulse Response Function

Impulse Response Functions: It identifies the responsiveness of the dependent variables in the VECM system when a shock is put to the error term such as U_1 , U_2 and U_3 , as in the equations given above. A unit shock in U_1 will bring a change in the lending rate. It had impacted the export and General Inflation Rate (CPI-IW) during the next eight months. But before calculating the impulse response function, the ordering of variable is important. There are many methods. We have chosen the Cholesky dof adjusted, response to Cholesky one standard deviation innovation, shock or residual (error term) + 2 standard error. In the next eight months, all variables in this entire function had been affected. Hence, all the three variables had a significant influence on each other. But, the past values of variables were more influenced. The past values of variables (lagged variables) have affected them more because they were showing

more fluctuation. Overall, this study finds that in the pre-recession period, export and the lending rate had been affected more in comparison to the General Inflation Rate (CPI-IW).

CASE 2: DURING THE RECESSION PERIOD (2008–09)

Trend of Macroeconomic Variables



Fig. 2.1: Trends of Export

Data source: Reserve Bank of India & EPW Time Series Data set

This figure 2.1 shows the trends of export from 2008 to 2009 (during recession period) in the context of the Indian economy. The y axis represents the quantity of export and the x axis represents the time period. The blue line represents the trends of export. It started declining in January 2008, then in February-2008, it increased considerably, reaching the peak point in June-2008. But a steep decline is seen in the Figure in November, 2008. After that, it fluctuated and an upward trend is observed at a slow pace till December, 2009. In this series we found the structural breaks.

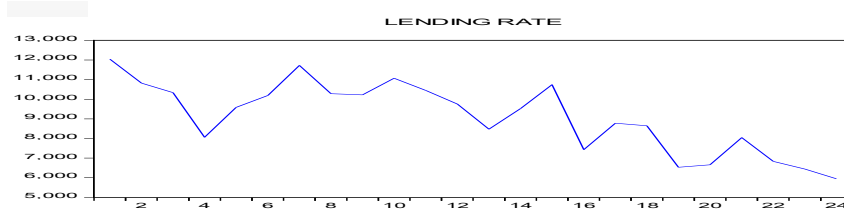


Fig. 2.2: Trends of Lending Rate

Data source: Reserve Bank of India & EPW Time Series Data set

This figure 2.2 shows the trends of lending rate from 2008 to 2009 (during recession period) in the context of the Indian economy. The y axis represents the quantity of lending rate and the x axis represents the time period. The blue line represents the trends of lending rate. It starts with the high point and reaches the peak point of this

series in January, 2008. After that, decreases in April-2008 and then it fluctuates continuously and decreases to the hit the lowest in December-2009. Structural breaks were also seen in this series.

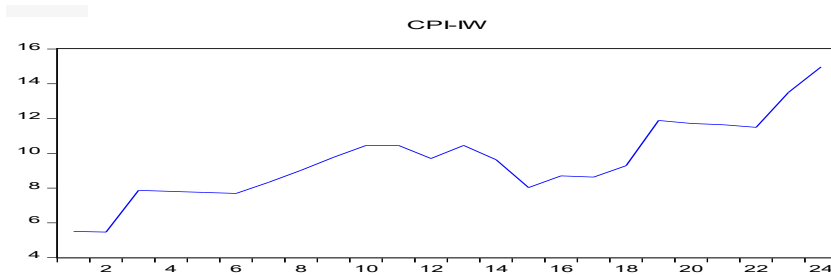


Fig. 2.3: Trends of the Lending Rate

Data Source: Reserve Bank of India & EPW Time Series Data set

This figure 2.3 shows the trends of General Inflation Rate (CPI-IW) from 2008 to 2009 (during recession period) in the context of the Indian economy. The y axis represents the price level of general inflation rate and the x axis represents the time period. The blue line represents the trends of general inflation rate. It starts with the decreasing rate in January, 2008. Then it continuously increases to reach the peak point in Decemeber, 2009.

DICKEY FULLER TEST FOR STATIONARY

Table 1.2: ADF Test for Differences First Order Data, (2008m1 to 2009m12)

Variables	ADF Value DF-T Statistics	Critical Value of Mackinon in Levels of Significance	
		1%	5%
Consumer price index	-4.239513 **	-3.769597	-3.004861
Export	-4.826144 *	-3.769597	-3.004861
Lending rate	-5.242422 *	-3.788030	-3.012363

Table 1.2 describes the Augmented-Dickey Fuller test result and it tells us that data are non-stationary at the level, but we have converted them into first differentiate on order. Now all the variables are stationary at the level one. Lending rate, export and the General Inflation Rate (CPI-IW) are integrated at the same order. All variables are stationary at 1% level of significance.

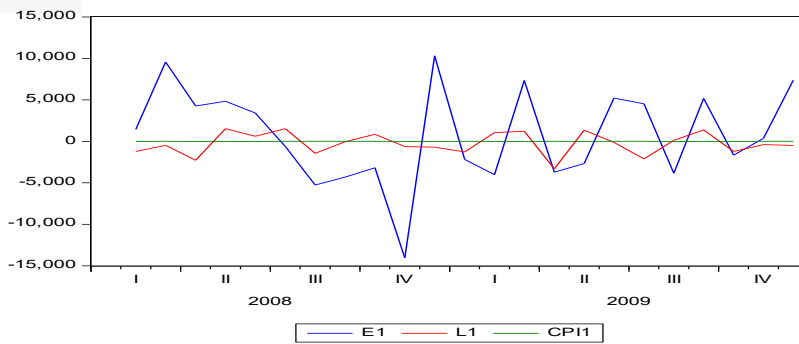


Fig. 2.4: Johansen Test for Cointegration

The figure 1.2 indicates that only one variable (lending rate) is cointegrated in this period. Because trace statistics value is more than the critical value ($TS > CV$), it tells us that variables are cointegrated. If $TS < CV$, it tells us that variables are not cointegrated with each other. Thereby meaning that, there is no long run association among these variables. And the lag selection criteria model has suggested that we should choose lag 2 because here also there are three stars: FPE, AIC and HQ.

We have made attempts to develop the new VECM model. General form of VECM model is follows;

$$\Delta y_t = \alpha_0 + \alpha_1 + \alpha_2 ec_{t-1} + \alpha_3 \Delta Y_{t-1} + \alpha_4 \Delta X_{t-1} + \alpha_5 \Delta X_{t-1} + \alpha_6 \Delta X_{t-1} + \epsilon_t$$

ec_{t-1} = measures the speed of adjustment of economic growth to its equilibrium level, ΔY = Endogenous variable, ΔX = Exogenous variable and ϵ_t = Error term.

$$\Delta y_t = \alpha_{cons} + \alpha_{LR} + \alpha_{EXP} ec_{t-1} + \alpha_{INF} \Delta Y_{t-1} + \alpha_{DLR} \Delta X_{t-1} + \alpha_{DEX} \Delta X_{t-1} + \alpha_{DINF} \Delta X_{t-1} + \epsilon_t$$

Where LR = Lending rate, EXP = Export, INF = General Inflation Rate (CPI-IW) and DINF= dummy variable for inflation, DEX = Dummy variable for export, DLR = dummy variable for lending rate. 0 dummy = No Impact of Structural breaks and 1 dummy = Impact of Structural Breaks.

During this period, we have used three dummies because we found structural breaks in every series. Therefore, we have used dummy variables to capture the effects of structural breaks on the other variables.

An Analysis of Vector Error Correction Model Estimation

Vector Error Correction Eq.	Coefficient	Std. Error	T-Statistic	Prob.
Export	0.154309	0.141262	1.092357	0.3031
Lending rate	-2.755490*	0.322179	-8.552663	0.0000
General Inflation Rate (CPI-IW)	-0.463927	0.303311	-1.529543	0.1544

First model: Export: In this model, which has the dependent variable, export, there is no long run and short run causality running from the lending rate and General Inflation Rate (CPI-IW) to Export. Moreover, there is no impact of structural break on export.

Model	R-squared	Adjusted R-squared	F-statistic	Prob (F-statistic)	Durbin-Watson stat
Export	0.680474	0.325444	1.916668	0.170992	2.061011

In this model, there is no statistical error. It is desirable because there is no serial correlation and heteroscedasticity and residuals are normally distributed.

The Second Model is Lending Rate: In this model, which has the dependent variable, lending rate, the speed of adjustment towards equilibrium error correction term, it is adjusting very fast at 275% towards the long run equilibrium. In other words, there is a long run causality running from export and General Inflation Rate (CPI-IW) to lending rate and short run running causality from General Inflation Rate (CPI-IW) to Lending rate. Moreover, all shocks on General Inflation Rate (CPI-IW), export and also lending rate in the duration of the recession are showing a significant impact on the lending rate. It has been affected by the permanent and temporary shocks.

Model	R-squared	Adjusted R-squared	F-statistic	Prob (F-statistic)	Durbin-Watson stat
Lending rate	0.976734	0.950883	37.78286	0.000004	2.513949

There is no statistical error in this model. It is desirable because there is no serial correlation and heteroscedasticity and residuals are normally distributed.

Third Model: General Inflation Rate (CPI-IW): In this model, which has the dependent variable, General Inflation Rate (CPI-IW) there is no short run and long run causality running from export and lending rate to General Inflation Rate (CPI-IW).

Model	R-squared	Adjusted R-squared	F-statistic	Prob (F-statistic)	Durbin-Watson stat
CPI-IW	0.553670	0.229066	1.705678	0.202463	2.079533

In this model, there has been the problem of multicollinearity. It has been removed and now there is no statistical error. It is desirable because there is no serial correlation, heteroscedasticity and residuals are normally distributed.

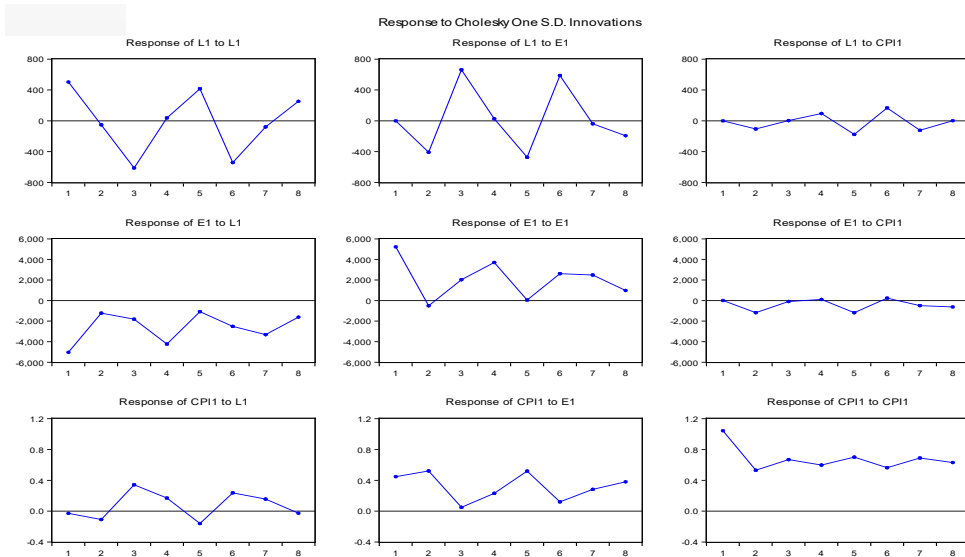


Fig. 1.2: Impulse Response Function

Impulse Response Functions: It identifies the responsiveness of the dependent variables in the VECM system, when a shock is put on error terms such as U_1 , U_2 , and U_3 , in equations given above. A unit shock in U_1 will bring a change in the lending rate. It has changed the export and General Inflation Rate (CPI-IW) during the next eight months. But, before calculating the impulse response function, the ordering of the variable is important. Many methods are given for ordering but we have chosen cholesky dof adjusted, Response to cholesky one standard deviation innovation, shock or residual (error term) + 2 standard error.

The diagram has shown the impact of the lending rate on (own) lending rate in the next eight months. It started at the high peak point and then showed sudden decrease in the third month. After that it increased in the fifth month, decreased in the sixth month and then increased in the eighth month. It was fluctuating due to the recession. The impact of the lending rate on export started from the origin negatively and then decreased in the second month. It reached the peak point in the third month.

Thereafter, came a phase of continuous highs and lows with the high rate becoming negative in the last month. In the end, there was a gradual impact of lending rate on the inflation rate for the entire period of eight months. Evidently, we can see the impact of the second error term of export on the other independent variables such as the lending rate and the inflation rate. The impact of export on the lending rate started negatively and did not touch the origin line. The affect was always negative. We can say that it has created liquidity situation in the next eight months. The impact of export on export started with the high peak point and it decreased in the second month and touched the origin line. It was fluctuating continuously in the positive way and reached near the origin in the eight month. In other words, in the last impact of export on the inflation rate, it scaled gradually up and down and touched the origin line always in the negative. Lastly, we see the impact of the third error term of inflation rate on the independent variables such as the lending rate and export. Finally, the impact of inflation rate on the lending rate started to touch the origin line negatively. It scaled up and down for the whole month. The impact of inflation rate on export started with the increasing rate and it was continuously fluctuating in the positive way. Moreover, it did not touch the origin line. The impact of inflation rate on the inflation was gradually fluctuating with the increasing rate.

CASE 3: POST-RECESSION PERIOD (2010 TO 2015)

Trend of Macroeconomic Variables

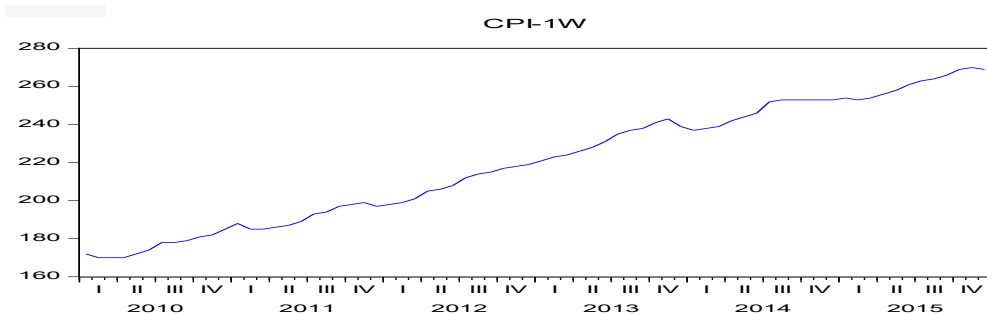


Fig. 3.1: Trends of General Inflation Rate

This figure 3.1 shows the trends of General Inflation Rate (CPI-IW) from 2010 to 2015 (post-recession period) in the context of Indian economy. The y axis represents the price level of general inflation rate and the x axis represents the time period. The blue line represents the trends of general inflation rate. It started with the low rate and it increased continuously with minor fluctuations. Moreover, it reached the peak point in Decemeber, 2015.

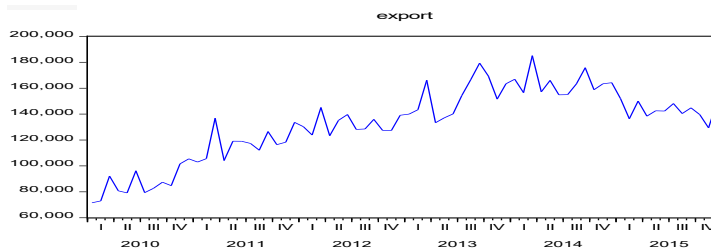


Fig. 3.2: Trends of Export

This figure 3.2 shows the trends of export from 2010 to 2015 (the post recession period) in the context of the Indian economy. The y axis represents quantity of export and the x axis represents the time period. The blue line represents the trends of export. It started with the low rate, after that it was fluctuating continuously and increased from the first quarter of 2014. Thereafter, it kept declining till December, 2015.

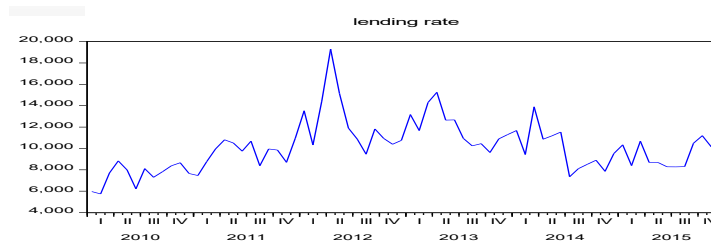


Fig. 3.3: Trends of Lending Rate

Data source: Reserve Bank of India & EPW Time series Data set

This figure 3.2 shows the trends of lending rate from 2010 to 2015 (the post-recession period) in the context of the Indian economy. The y axis represents quantity and the amount of lending rate and the x axis represents the time period. The blue line represents the trends of lending rate. It started with the declining rate in January, 2010. Then, it continuously increased with fluctuations. Finally, it reached the peak point in the second quarter of 2012. It was continuously fluctuating from the third quarter of 2012 to the fourth quarter of 2015.

DICKEY FULLER TEST FOR STATIONARY

Table 1.1: ADF Test for Differences First Order Data (2010m1 to 2015m12)

Variables	ADF Value DF-T Statistics	Critical Value of Mackinon in Levels of Significance	
		1%	5%
CPI-IW	-6.569218 *	-3.527045	-2.903566
Export	-9.729711 *	-3.528515	-2.904198
Lending rate	-10.56238 *	-3.527045	-2.903566

Table 1.1 describes the Augmented-Dickey Fuller test result and it tells us that data are non-stationary at the level but we have converted them into first differentiate. Now, all the variables are stationary at the level one. The lending rate, export and General Inflation Rate (CPI-IW) have been integrated at the first order.

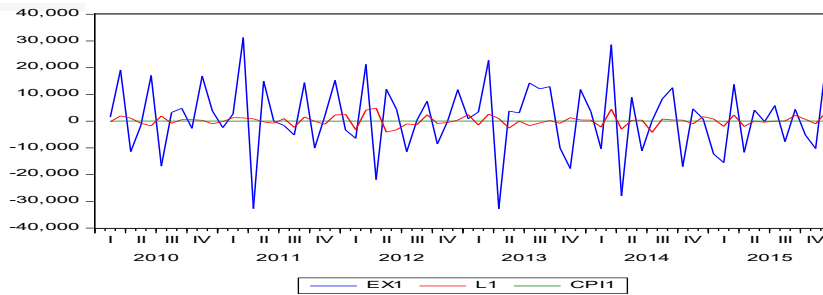


Fig. 3.4: Johansen Test for Cointegration

Figure 1.3 indicates that all the three variables are cointegrated in this period. In other words, all variables are correlated to each other in the long run and it influences significantly. The lag selection criteria model has suggested that we should choose lag 2 because here also there are three stars, which means that there are three criteria, such as the LR, FPE and AIC.

We have made attempts to develop the new VECM model. General form of VECM model is follows:

$$\Delta y_t = \alpha_0 + \alpha_1 ec_{t-1} + \alpha_2 \Delta Y_{t-1} + \epsilon_t$$

ec_{t-1} = Measures the speed of adjustment of economic growth to its equilibrium level, ΔY = Endogenous variable, ΔX = Exogenous variable and ϵ_t = Error term

$$\Delta y_t = \alpha_{cons} + \alpha_{LR} ec_{t-1} + \alpha_{INF} \Delta Y_{t-1} + \epsilon_t$$

Where LR = Lending rate, EXP = Export and INF = General Inflation Rate (CPI-IW)

Table 2: An Analysis of the Vector Error Correction Model Estimation

Vector Error Correction Eq.	Coefficient	Std. Error	t-Statistic	Prob.
Lending rate	-1.143724 *	0.271392	-4.214290	0.0001
Export	-1.220665 *	0.298319	-4.091819	0.0000
CPI-IW	-0.564972 **	0.188031	-3.004671	0.0039

First Model: Lending Rate: In this model, which has a dependent variable, the lending rate, the speed of adjustment is towards equilibrium error correction term. It is adjusting very fast at 114% towards the long run equilibrium. In other words, there is long run causality running from General Inflation Rate (CPI-IW) and export to the lending rate. Only the short run causality running from the General Inflation Rate (CPI-IW) to lending rate is showing influence significantly in the short run. In other words, it was affected by the permanent shocks or temporary shocks. The overall model is a good fit because R^2 is high and F statistics or P-value is significant.

Model	R-squared	Adjusted R-squared	F-statistic	Prob (F-statistic)	Durbin-Watson stat
Lending rate	0.647222	0.599387	13.53048	0.000000	2.076253

In this model, there is no statistical error and it is desirable because there is no serial correlation and heteroscedasticity and residuals are normally distributed and it is a good fit.

Second model: Export: In this model, which has the dependent variable, export, the speed of Adjustment towards equilibrium error correction term is adjusting very fast at 122% towards the long run equilibrium. In other words, there is long run causality running from the lending rate and General Inflation Rate (CPI-IW) to export and only the short run causality running from the General Inflation Rate (CPI-IW) to export. This is showing significant influence in the short run. This means that the export has also been affected by the permanent shocks and temporary shocks in the post-recession period. The overall model is a good fit because R^2 is high and F statistics or P-value are significant.

Model	R-squared	Adjusted R-squared	F-statistic	Prob(F-statistic)	Durbin-Watson stat
Export	0.796403	0.768796	28.84844	0.000000	2.036434

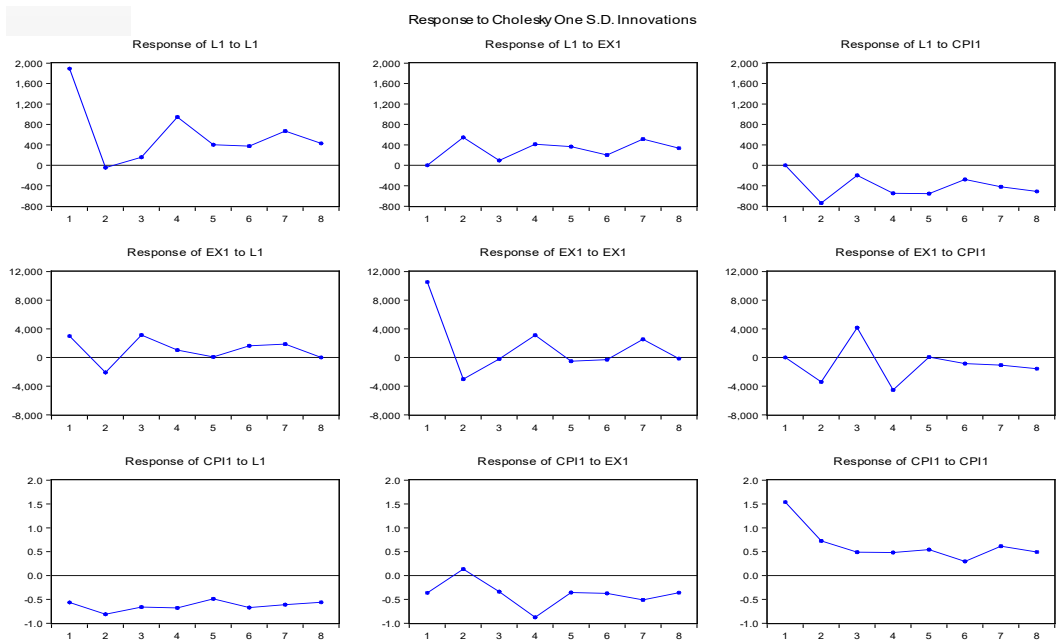
In this model, there is no statistical error. It is desirable because there is no serial correlation and heteroscedasticity and residuals are normally distributed and it is a good fit.

Third Model is General Inflation Rate (CPI-IW): In this model which has the dependent variable, General Inflation Rate (CPI-IW), the speed of adjustment towards equilibrium error correction term is adjusting very poorly at 056% towards the long run equilibrium. In other words, there is long run causality running from Export and lending rate to General Inflation Rate (CPI-IW) and short run causality running from export and lending rate to General Inflation Rate (CPI-IW). It jointly influences

significantly. It has also been affected by the permanent and temporary shocks. The overall model is average because R^2 is low and F statistics or P values are significant.

Model	R-squared	Adjusted R-squared	F-statistic	Prob (F-statistic)	Durbin-Watson Stat
CPI-IW	0.431571	0.354496	5.599363	0.000028	1.775667

In this model, the problem of serial correlation is found, which has been deducted from the model. Now there is no statistical error in this model. So, it is desirable because there is no serial correlation and no heteroscedasticity and residuals are normally distributed.



Graph 2: Impulse Response Function

Impulse Response Functions: It identifies the responsiveness of the dependent variables, in this VECM system, when a shock has been put to the error terms such as U_1 , U_2 , and U_3 , as in the equations given above. A unit shock in U_1 had brought a change in the lending rate. It has changed export and General Inflation Rate (CPI-IW) during the next eight months. But, before calculating the impulse response function the ordering of variable is important. There are many methods for that. We have chosen the Cholesky dof adjusted. The Response to Cholesky is one standard

deviation innovation, shock or residual (error term) + 2 standard error. In the next eight months, all variables in this entire function have been affected. We can see the impact of all dependent variables on the independent variables in the next eight months.

The impact of the lending rate on lending rate started with the high peak point and touched the origin line. After that it was fluctuating and then decreased in the last month. The impact of the lending rate on export started touching the origin line and increased in the second month. Then, it was fluctuating continuously between the decreasing and the constant rate. Impact of the general inflation rate on the general inflation rate started touching the origin line negatively and continuously fluctuated in the last month.

The Second Error Term is Export: The impact of export on the lending rate started with the peak point and after that it was continuously fluctuating the whole time. It touched the origin line in the last month. The impact of export on export started with the high peak point and it decreased in the second month. After that it was continuously fluctuating and touched the origin line in the last month. The impact of export on general inflation rate started from touching the origin line. It was negative in the second month. After that it continuously scaled up and down. In between the sixth and the eighth month it was negative with the origin line.

Third Error Term Inflation Rate: The impact of the general inflation rate on the lending rate. It started negatively and while fluctuating, remained negative till the end. The impact of general inflation rate on export started negatively and touched the origin line in the second month. Moreover, it was again fluctuating with negative rate. It was negative in the last month. The impact of general inflation rate on general inflation rate started with the high peak point and it kept decreasing till the last month. It generated the rectangular hyperbola curve.

CONCLUSION AND POLICY PRESCRIPTION

To sum up, this study examines the short run and the long run causality running from the three variables, such as the export, the lending rate and the inflation rate. Hypothesis testing: $H_0=0$ versus $H_1 \neq 0$. the null hypotheses (H_0) is this study that H_0 :—in the pre, during and the post-recession period, all variables—the export, lending rate and general inflation rate were affected due to permanent (supply) shocks and transitory (demand) shocks.

In the pre-recession period the lending rate was affected due to only supply shocks (permanent shocks), while the export was affected both by the shocks, such as demand and supply shocks. Moreover, there was no impact of the demand and supply shocks on the general inflation rate. It was affected due to own past values. Also, the impulse response function shows that the export and the lending rate is more affected in comparison to the general inflation rate in the next eight months. During the recession period, only the lending rate was affected due to both the shocks, such as the demand and supply shocks. The impulse response function shows that the export and the lending rate were significantly affected and had an impact on the other independent variables, entire IRF in comparison to the general inflation rate. This is evident from seeing the condition of liquidity trap as well. In the post-recession period, all the three variables such as the export, lending rate and general inflation rate were affected due to both shocks, including the demand and supply shocks. Here, our null hypothesis is accepted at 1% and 5% level of significance. This study has found that there has been a significant impact of recession 2008 on the export and the lending rate because these variables indicated cycle conditions.

India is a developing country. Inflation in India is due to the demand pull, cost push and the structural changes. This affects the demand and supply. The Government should implement fiscal policy and monetary policy simultaneously to ensure macroeconomic management of price instability (Singh, D. & Verma, NMP, 2016). If the Government applies only the monetary policy, then it will only work properly for a short term. And, there will be no effect in the long run. Hence, the growth and development work of the country will stop. The income and consumption of the country's people will fall. The Reserve Bank of India (RBI) has to increase the Repo rate (RR) and the Cash Reserve Ratio (CRR) for reducing inflation. This leads to increase in the interest rate. Due to this, the demand for currency reduces and this controls the inflation. To reduce inflation, the RBI determines this monetary policy. This works well in the short run. But the monetary policy is unable to solve the cost and structural reasons. Only, the Fiscal policy is helpful in this condition. Fiscal policy raises taxes and reduces the expenditure to reduce demand. On the other hand, it also boosts the production of goods. At the same time, quality goods need to be made so that people can use more and more of their country's goods. Our suggestion for the Government is this: Instead of monetary policy, pay more attention to the fiscal policy. Make it a policy that employment and basic goods are available to the poor and the unemployed people. Moreover, provide employment to people according to their

capabilities. For this, the Government will have to adopt strict attitude. Above all, the people should also work honestly and impartially to be both the beneficiaries and the benefactors of healthy change.

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Analysis of the Out-of-Pocket Expenditure on Health Care in the Rural Chirang District of Assam

Nirankar Srivastava¹ and Joel Basumatary²

Abstract—This paper analyses the out-of-pocket (OOP) health care expenditure and its impact on the households of the rural Chirang district of Assam. Based on the primary field survey of more than 500 rural households, it examines the total OOP expenditure by various households' socio-economic characteristics in the absolute and in the relative terms. The OOP expenditure of the lower income group in proportion to their total income is higher than the higher income group households. The multivariate logistic regression reveals that the income, disease type, source and place of treatment are the significant determinants of catastrophic OOP expenditure. This confirms the strong nexus between poverty and the health status among the rural households.

Keywords: *Out-of-pocket Health Care Expenditure, Poverty, Catastrophic Expenditure, Inpatient & the Outpatient Treatment*

INTRODUCTION

It is a well accepted fact that there is a significant out-of-pocket (OOP) expenditure on health care by the individuals. This is around 70–80 per cent of the total health care expenditure in India. OOP expenditure on health means that part of health expenditure which an individual or a household has to make from his or her own pocket, and there is no reimbursement from any agency for this, be it from the health insurance or otherwise.

Ziller et al. (2006) examined the annual out-of-pocket health care expenditure for the U.S. residents under the age of 65 who were continuously insured by a private plan in 2002. They found that amongst those who were privately insured, 17% of the rural non-adjacent residents had the annual OOP expenses for their own care of \$1000 or more, compared to the 14% of the urban and adjacent residents, respectively. As a result, the urban residents were responsible for 32% of their total costs. Whereas the rural residents, not adjacent to the urban areas, covered 39% of their own total expenses. Ruger and Kim (2007) studied the OOP health care spending by the poor

¹Professor, Dept. of Economics, School of Economics, Management and Information Science, North Eastern Hill University.

²Dept. of Economics, School of Economics, Management and Information Science, North Eastern Hill University.

Email: ¹nsrivastav18@gmail.com, ²joesinghbasumatary@gmail.com

and chronically ill in the Republic of Korea. The study estimated the OOP spending burden ratio and found that the lowest income quintile spent 12.5% of their total income as OOP on medical expenditure alone. This was six times higher than that of the highest income quintile. Garg and Karan (2008), calculating the households' expenditure on the health services and drugs based on the Consumer Expenditure Survey data from the NSSO (1999-2000), found the average monthly per capita OOP payments in 1999-2000 as Rs. 33.0 with Rs. 43.3 in the urban areas and Rs. 29.6 in rural India. Those in the richest 20% of the population spent on an average of 10 times more than those in the poorest that spent 20%. Expenditure on drugs was found to be the single largest component of OOP payments across all consumption quintiles in both the rural and the urban areas. It constituted up to 60% of the total expenditure on the institutional inpatient care and 85% on the non-institutional outpatient.

Castillo-Riquelme et al. (2008) estimated the OOP expenditure and its burden due to spending on malaria treatment in South Africa and Mozambique. The result shows that OOP household expenditure per malaria episode averaged \$2.30 in South Africa and \$6.50 in Mozambique. Of those, the Mozambican households which were affected with malaria faced the highest cost for hospitalization both in the absolute and relative terms. Gopalan and Das (2009) examined the household economic impact of an outbreak of chikungunya in terms of OOP health care expenditure and the income foregone due to the loss of productive time in Orissa, India. It has been found that 62% paid US\$ 12–50 for the diagnosis. About 66% of the respondents paid US\$ 15–50 for drugs and consultation. The cost of transportation was in the range of US\$ 3–13 for 64% of the respondents. The average total cost of the treatment was in the range of US\$ 30–141 for 65% of the respondents. Ghosh (2010) examined the changes in the OOP payments in sixteen major Indian States by using the data from the NSSO on consumption expenditure undertaken in 1993-94 and 2004-05. It was found that in 1993-94, the mean OOP expenditure for a household was Rs 75 and it increased to Rs 198 in 2004-05. It has also been found that the percentage share of the total OOP payments on inpatient care, ambulatory care and medicines are the most vital component of the OOP expenditure.

Mondal *et al.* (2010) attempted to find out the major determining factors of the catastrophic payment in health care, and the impact of such expenditure on the household's economic status. They found the average affected household spending on the inpatient care in rural area to be Rs. 4340, which is about 11.55 per cent of the household's total annual expenditure. The medical spending for the outpatient

care, chronic illness and birth delivery was Rs. 1170, Rs. 2637 and Rs. 592, around 4.03 percent, 5.73 percent and 3.96 percent of the household's total expenditure, respectively. Ke et al. (2011) conducted a cross country analysis on 51 countries. It has been observed that in India the total OOP expenditure on health care is 28.59%. Inpatient OOP out of the total is 2.16%, outpatient is 4.27%, and on medicines for a household is 13.73%. The above review depicts that many countries, especially the low income countries, still heavily depend on the OOP for financing the health care. This results in the catastrophic payments, especially for the lower income households. It has also been observed that in India there has been an increase in the OOP payments. Furthermore, both in the inpatient care and the outpatient care, expenditure on the drugs is the single largest component of OOP in India. It is also found that the proportion of the spending on OOP from the income of the lower income group is higher than the higher income groups. This indicates that the burden of OOP is higher on the lower income groups than on the higher income groups.

It is also revealed from the studies on the rural Indian public healthcare system that it was having a limited functional usability. It is not easily accessible from many perspectives like distance, lack of money or lack of confidence in the system. The rural public health delivery system has poor maintenance, dilapidated infrastructure, employee absenteeism, limited supply of drugs and inadequate numbers of medical workers like the doctors, nurses and the paramedical workers. And, it is seen that the lower income households spend higher percentage of their total income on health care. In the majority of cases, people do not have personal savings to finance their health care expenditure. Therefore, people have to resort to borrowing either from their friends or relatives or others and, many a time, people have to sell their limited assets to pay for their health care when faced with health shocks. Many coping mechanisms, which people resort to make payments for health care, are catastrophic in nature. Such patients are often thrust into poverty due to ill health and high health care expenses. Households face catastrophic impact due to the OOP payments, especially in the case of inpatient care. Thus, it is evident that there is a strong nexus between the ill health and poverty.

Thus, the present paper's analysis of the out-of-pocket (OOP) expenditure on health care in the North East India is based on the primary data. This also highlights the OOP expenditure on health care by the poor households and evaluates the OOP expenditure on health care, from the coping mechanisms to health shocks. This also deals with the consequences of health care payments by segregating the households into two

economic strata viz., the poor and non-poor. The paper is organized in the following manner: section 2 is devoted to methodology and data; major empirical findings are given in section 3; while section 4 contains the concluding remarks.

METHODOLOGY AND DATA

The present paper is focused on Assam; a North Eastern State of India. Most of the health status indicators of Assam are below the all India average. Thus, in many aspects of health indicators, Assam is lagging behind the other States of India, including the other North Eastern States of the country. Therefore, it was appropriate to select Assam as the study area, with the utmost focus on the rural areas of Assam.

The primary focus area of the study is the rural Chirang district, located in Bodoland Territorial Area Districts (BTAD) created in 2003. The primary data was collected from the Chirang district in 2015. For the livelihood, people mainly depend on agriculture (more than 70%), and other activities like fishing, small businesses, construction work, government employment, etc. This district has the highest percentage of households living below the poverty line (India Census, 2011). Moreover, Chirang district has only 76 Sub-Centres, placing it at the second least number in Assam. It has only 24 Primary Health Centres, only 2 Community Health Centres, 1 District hospital and not a single Sub-divisional hospital. More so, the district is mostly flood-prone as it receives high density of rainfall during the monsoon season every year. This unleashes untold suffering on the people in way of massive land erosions and floods. In addition, the incessant floods give rise to a myriad of health related problems, such as cholera, malaria, typhoid, jaundice, etc. Thus, people from this area suffer from various diseases. The other diseases such as diarrhea, tuberculosis, typhoid, malaria and gastrointestinal ailments are associated with the high level of poverty. These multiple problems ultimately create massive challenges for the survival of the people in this district. Thus, Chirang district is one of the most backward and the poorest districts in Assam.

The out-of-pocket spending on health care has been studied as the total of inpatient and the outpatient OOP expenditure. The well structured questionnaires consist of questions on the OOP expenditure, coping mechanisms and treatment forgone, etc. Furthermore, information was also collected on the household's income and expenditure and economic status like the poor/non-poor. From the Chirang district two major development blocks, i.e. the Borobazar Block and the Sidli Block have been selected. 16 villages and 12 villages were surveyed from the Borobazar block and

Sidli Block, respectively. 288 households from each block were surveyed with equal number of households taken from the poor and non-poor. Therefore, 576 households were selected. Out of these 576 households, 288 households were the poor households and 288 were the non-poor households.

MAJOR EMPIRICAL FINDINGS

Table 1 shows the average total OOP expenditure of the households by economic characteristics, like the income category, primary source of income of the households and the household's economic status. The total OOP expenditure ranges from Rs 100 to Rs 3, 50,000 with the mean and median of Rs. 14458.29 and Rs. 7000.00, respectively. The highest income decile group households spend higher than the lower income decile group households. The difference of the OOP expenditure between the highest and the lowest income decile group households is more than four times. The OOP expenditure on the total health care is higher amongst the higher income groups. This is further corroborated by the health expenditure made by the poor and the non-poor households depicted in the bottom of the Table 1. The average OOP expenditure for the poor households is Rs. 10185.64 (Median (M) = 5000.00) as against Rs. 18730.93 (M=9000.00) of the non-poor. Thus, there is a difference of Rs. 8545.29 between the OOP expenditure of the poor and the non-poor. Furthermore, the average OOP expenditure is the highest for the pensioners, (Rs. 55700.00), followed by the regular salary earners (Rs. 28702.56) and whose primary income is from the business (Rs. 13219.29). The least spenders are the households whose primary income source is from the wages and daily labour (Rs. 4716.41), and the households which depend on the sale of agro-produce (Rs. 12132.03).

Table 2 shows the average OOP expenditure of the households in proportion to income. It is seen that although the households with higher income spend more than the lower income groups in absolute terms, the proportion of the OOP expenditure in the income is higher for the lower income group households than the higher income group households.

For instance, the lowest income decile group of households' OOP expenditure in proportion to the income is 23.61%, compared to only 5.42% for the highest income decile group. Dividing the households into three income category, it is found that the lower income category households spend 23.60% of their income as compared to 4.79% and 6.08% for the middle income category households and the higher income category households, respectively.

CATASTROPHIC HEALTH CARE EXPENDITURE

The incidence of catastrophic OOP expenditure on health care during the last one year (combining the outpatient and inpatient) shows that out of the 576 households which made OOP expenditure, 33.7% (N=194) households incurred the catastrophic expenditure. However, from the higher income group, 15.1% (N=35) out of the 232 households made the catastrophic expenditure. Similarly, the OOP expenditure of the poor household is more catastrophic than the non-poor households. Farming households (sale of agro-produce) and daily labour wage households also face high catastrophic OOP expenditure. The larger the household size, higher the chance of facing catastrophic expenditure. Furthermore, the source of treatment also has been seen to determine the catastrophic OOP expenditure. For instance, in the case of inpatient treatment, it is more catastrophic in the private health care. Out of the 280 households which went to the private health care, 59.3% (N=166) faced the catastrophic expenditure. However, even in the public health care, significant percentage of households (44.4% out of 18 numbers of households) incurred catastrophic expenditure on health care. With regard to the health care utilization for the outpatient, 76 households incurred the OOP expenditure in the registered private hospital, out of which, 35.5 % (N=27) faced the catastrophic expenditure. Majority of the people spent their OOP expenditure in the private pharmacies (N=214), out of which, 19.6% (N=42) expenditure exceeded 10% of their incomes. For the outpatient care, 20 households went to the traditional medical practitioners as well, out of which, 40% made catastrophic expenditure.

Furthermore, although visiting the public health care is rare in the case of inpatient care, more people go to the public health care for the outpatient care as compared to the inpatient care. For instance, out of the 449 households which went for the outpatient treatment, 76 (16.9%) households did their OOP expenditure in the public health care. However, with regard to the inpatient expenditure, only 6.04% out of the 298 made their OOP expenditure in the public health care. Nonetheless, going to the public health care is not at a low cost. For instance, out of the 76 households which went to the public health care for the outpatient care, 30.3 % (N=23) faced the catastrophic expenditure. This might be due to the fact that people have to purchase drugs from the private pharmacies and, at times, have to take the diagnostic tests from the private laboratories.

For those who spent on the hospitalization for chronic diseases, out of the 62 households, 64.5 % (N=40) faced the catastrophic expenditure as compared to the 47.0% (N=71) out of the 151 households with communicable diseases. Even

for miscellaneous sickness and accident and injury combined together, out of the 85 households, 72.9% (N=62) faced the catastrophic expenditure. Again, for the households which made their outpatient OOP expenditure for chronic disease, out of 163 households, 23.3% (N=38) households' expenditures exceeded 10%. Whereas, out of the 146 households with communicable diseases, 26.7 % (N=39) households' faced the catastrophic OOP expenditure. In the case of others and accident injury, out of the 140 households, 22.9 % (N=32) incurred the catastrophic expenditure.

CATASTROPHIC OOP EXPENDITURE: MULTIVARIATE ANALYSIS

The major factors which determine the catastrophic OOP expenditure are further examined with the help of multivariate logistic regression model. Table 3 depicts the results of the multivariate logistic regression model for the determinants of the catastrophic OOP expenditure. The results show that income, household's family size, source of treatment, that is private or public, the type of disease being treated are significant determinants of the catastrophic OOP expenditure. For instance, the lower income households are more likely to incur the catastrophic health expenditure relative to the higher income households (Odds Ratio (OR) =1.22, $p<0.001$). In other words, the chances of incurring the catastrophic health expenditure by the lower income group households are 1.22 times higher than the higher income group households. The middle income group households are also more likely to incur the catastrophic expenditure as compared to the higher income group, (OR=75.38, $p<0.05$). Thus, the chances for the middle income group households in a similar scenario are 75.38 times higher than the higher income group households. This could be because as people move to the middle income group, their disposable income increases and their spending on the normal goods like health care increases.

With regard to the inpatient care, those households which utilized the private health care are more likely to incur the catastrophic OOP expenditure, compared to those households which made a visit to the public health centre for the inpatient care (OR=286.93, $p<0.01$). Likewise, those households which made a visit to the registered private hospital for the outpatient health care are more likely to face the catastrophic health expenditure as compared to those households which made a visit to the public health centre (OR=140.80, $p<0.01$).

Furthermore, those households which made the OOP expenditure in the registered private doctor for the outpatient treatment are also more likely to face catastrophic

expenditure as compared to those which visited the public health centre for the outpatient treatment (OR=36.19, $p<0.05$).

For the treatment of diseases, households with communicable diseases, who went for the inpatient treatment, are less likely to face the catastrophic expenditure as compared to the households with other diseases that include the accident and injury (OR=.20, $p<0.05$). This means that the treatment for the other diseases, including the accident and injury, is costlier than the treatment for the communicable diseases. Households which made the inpatient treatment for a chronic disease are more likely to face the catastrophic OOP expenditure than the other diseases (OR=4.16). However, the result is not statistically significant. Further, an interesting result is that the treatment of communicable diseases as the outpatient is seen to be more likely the reason for incurring catastrophic expenditure as compared to other diseases (OR=8.46, $p<0.05$). This phenomenon shows the severity of the communicable disease which needs much more sophisticated treatment, and thus, rendering the cost of the treatment expensive.

Even the size of the family seems to be a significant factor in determining the catastrophic OOP expenditure. For instance, a household with the family size of one to four is less likely to face the catastrophic OOP expenditure as compared to the households with the family size of seven and above (OR=.06, $p<0.05$). Similarly, households with the family size of five to six are less likely to make catastrophic OOP expenditure as compared to the households with the family size of seven and above (OR=.05, $p<0.01$). This shows that higher the size of family, higher is the OOP expenditure. Whereas, the reverse is also true, the smaller family size households would incur less OOP expenditure, hence, the chance of making the catastrophic OOP expenditures would be much less.

Thus, income, place of treatment, treatment by disease type, size of the family are found to be the significant factors in determining the catastrophic OOP expenditure in the overall health care expenditure. Gender of the head of the households and the source of income seem to act as a lesser significant explanatory variables in the determination of the catastrophic health expenditure in the overall health care treatment. This is due to the fact that it could have been less catastrophic when compared to the other diseases, including the accidents, because of the huge expenses borne when the accident cases were treated at the inpatient care. This does not, in anyway, mean that the communicable disease is less severe, as it has been seen in the case of the outpatient care.

CONCLUDING REMARKS

This paper's analysis of the OOP expenditure on health care at the household level and its impacts has been examined. It has been found that many households face the catastrophic OOP expenditure. The higher income group households make higher OOP expenditure than the lower income households, the phenomenon which corroborates the health economic demand theory, whereby, health is classified as a normal good with positive income elasticity of demand. However, despite the positive relationship between the OOP expenditure and income, a negative relationship was evident between the OOP expenditure and the financial burden of the OOP expenditure. This regressive nature is because of the OOP expenditure of the lower income group in proportion to their income which is more relative to the higher income group households. It has also been found that the largest portion of the OOP expenditure is made on purchasing medicines with small variations between the inpatient and the outpatient care. It is 57.58% for the outpatient and 46.19% for the inpatient.

The multivariate logistic regression models for the determinants of the catastrophic OOP expenditure on health care revealed that the income, disease type, source of treatment (private or public), and place of treatment are the most significant determinants of the catastrophic expenditure. The lower income group households are more likely to face catastrophic OOP expenditure than the higher income households. A household is more likely to face the catastrophic OOP expenditure in the private health care than the government health care center, both for the outpatient and inpatient treatment. Furthermore, OOP expenditure in the inpatient care is more likely to be catastrophic than the OOP expenditure for the outpatient care. Thus, income, place of treatment, the type of disease and the health care service use (outpatient or inpatient) are important determinants of the catastrophic OOP expenditure. Comparatively, more households are pushed into poverty due to the inpatient OOP expenditure than the outpatient OOP expenditure. The hospitalization has more serious effects on the economy of the household than the OOP expenditure on the non-hospitalization care. This is because the deepening of poverty is more intense in case of the inpatient than the outpatient medical care. The education of women of the households is an important factor. The educated women are more likely to utilize the institutional health care, whether or not such facilities are available within their villages.

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APPENDIX

Table 1

Average Total Out-of-Pocket Expenditure by Economic Characteristics						
	Medical Expenditure ¹		Associated Expenditure ²		Total Expenditure ³	
0-80000	8903.59	4100.00	1144.38	700.00	9975.31	5000.00
80001-160001	10427.27	4800.00	1154.54	300.00	10590.90	5000.00
160002-240002	7159.63	4800.00	827.63	200.00	7925.45	5000.00
240003-320003	13327.43	6900.00	1400.94	1100.00	14716.32	8400.00
320004-400004	23038.97	13300.00	2188.97	1750.00	25120.58	15500.00
400005-480005	32692.30	7700.00	2623.07	1300.00	42846.15	9000.00
480006-560006	38592.30	18000.00	4230.76	1700.00	42823.07	20500.00
560007-640007	18512.50	18400.00	1512.50	1700.00	19975.00	21400.00
640008-720008	21500.00	21500.00	1500.00	1500.00	23000.00	23000.00
720009-800009	37700.00	14800.00	3520.00	900.00	41220.00	15700.00
Three Income category	Mean	Median	Mean	Median	Mean	Median
Lower (≤ Rs. 75,000)	8903.59	4100.00	1144.38	700.00	9975.31	5000.00
Middle (Rs.75,001-Rs.2,00,000)	7240.33	4800.00	818.98	200.00	7816.94	5000.00
Higher (≥Rs. 2,00,000)	19362.32	9950.00	1909.31	1300.00	21654.35	12000.00

Table 1 (Contd.)...

...Table 1 (Contd.)

Main Income Source of the Households	Mean	Median	Mean	Median	Mean	Median
Wages from Daily labour	4124.02	1005.00	593.04	150.00	4716.41	1010.00
Business	12130.57	7200.00	1299.04	1100.00	13219.29	8600.00
Sale of Agri-Produce	10868.41	5600.00	1292.83	800.00	12132.03	6150.00
Salaries and Wages(Regular)	25027.17	9850.00	2453.58	1300.00	28702.56	12450.00
Retirement Income (Pension)	51720.00	13500.00	3980.00	2900.00	55700.00	20000.00
Household's Economic Status	Mean	Median	Mean	Median	Mean	Median
Poor	9086.54	4205.00	1171.01	700.00	10185.64	5000.00
Non-Poor	16805.00	7700.00	1667.29	1100.00	18730.93	9000.00
Total	12945.77	6200.00	1419.15	900.00	14458.28	7000.00
Maximum	350000					
Minimum	100					
Mean	14458.29					
Median	7000.00					
N	576					

Source: Field Survey; NOTE: ¹Out-of-pocket expenditure on registration, medicines, diagnostics, blood, doctor's fee & bed charges; ²out-of-pocket expenditure on food and transportation associated with medical care; ³aggregate of medical expenditure and associated expenditure

Table 2

Average Total Out-of-Pocket Expenditure as Percentage of Total Annual Income of the Households	
Income Decile	Percentage of Income spent on OOP expenditure on health care
0-80000	23.61
80001-160001	9.84
160002-240002	3.89
240003-320003	5.21
320004-400004	6.91
400005-480005	9.61
480006-560006	8.53
560007-640007	3.35
640008-720008	3.29
720009-800009	5.42

Table 2 (Contd.)...

...Table 2 (Contd.)

Three Income category	
Lower (\leq Rs. 75,000)	23.60
Middle (Rs.75,001-Rs.2,00,000)	4.79
Higher (\geq Rs. 2,00,000)	6.08
Primary Income Source of the Households	
Wages from Daily labour	15.19
Business	8.94
Sale of Agri-Produce	19.60
Salaries and Wages(Regular)	7.40
Retirement Income(Pension)	12.21
Household's Economic Status	
Poor	23.68
Non-Poor	5.57
Total	14.62

Source: Filed Survey

Table 3:

Logistic Regression Results for Determinants of Catastrophic Health Expenditure (Total Health Expenditure)				
Variable		Beta	Exp(B)/ORs	S.E.
Head Gender	Female	1		
	Male	-17.25	0.00	2.83
Household size	Seven and above	1		
	One to four	-2.75	0.06	1.09*
	Five to six	-3.01	0.05	1.11**
Income Category	Higher (\geq Rs. 2,00,000)	1		
	Lower (\leq Rs. 75,000)	9.41	1.22	1.93***
	Middle (Rs.75,001-Rs.2,00,000)	4.32	75.38	1.75*
Primary Income Source	Sale of agri-produce	1		
	Regular Salary & wages	-1.09	0.34	1.25
	Retirement Income	0.41	1.51	3.28
	Wages from daily labour	-0.87	0.42	3.15
	Business	-0.84	0.43	0.84
Inpatient place of Treatment	Govt. Health Centre	1		
	Private Health Centre	5.66	286.93	1.65**
Outpatient Place of Treatment	Govt. Health Centre	1		
	Registered Pvt. Hospital	4.95	140.80	1.63**
	Pvt. Pharmacy	1.20	3.33	1.31
	Registered Pvt. Doctor	3.59	36.19	1.80*
	Traditional Medicines	-0.42	0.66	Table 3 (Contd.)...

...Table 3 (Contd.)

Inpatient Disease Type	Others including Accident & Injury	1		
	Chronic Diseases	1.42	4.16	1.20
	Communicable Diseases	-1.60	0.20	0.84*
Outpatient Disease Type	Others including Accident & Injury	1		
	Chronic Diseases	1.38	3.96	0.89
	Communicable Diseases	2.14	8.46	1.05*
Intercept		9.30	1.10	2.83
Psuedo R ² (Nagelkerke PsuedoR ²)		0.843		
N		576		

Source: Field Survey ; Note: 1=Reference category; ORs=Odds Ratios; S.E.=Standard Errors;
 ***p<.001, **p<.01, *p<.05

Impact of Demonetization on the Indian Economy

Archana Bakshi¹

Abstract—*The recent Demonetization carried out by the Government of India in November 2016 has been a burning topic among the corporate sector, political circles, academicians and the general masses. This sudden cash crunch affected the different sectors with different intensity, with maximum impact on the cash driven sectors in the unorganized economy. It caused a temporary slowdown in the Indian economy, but is visualized to fight terrorism and black money in the long run. This paper aspires to study the impact of this demonetization drive.*

Keywords: *Demonetization, Counterfeit Currency, Black Money*

INTRODUCTION

On November 8, 2016, the Government of India announced the decision to discontinue the legal tender status of Rs. 500 and Rs. 1000 notes. Banks were also directed to place a limit on the amount that could be withdrawn and this limit was changed from time to time. This act of demonetization was conceived as an effort to fight corruption, tax evasion and counterfeiting currency.

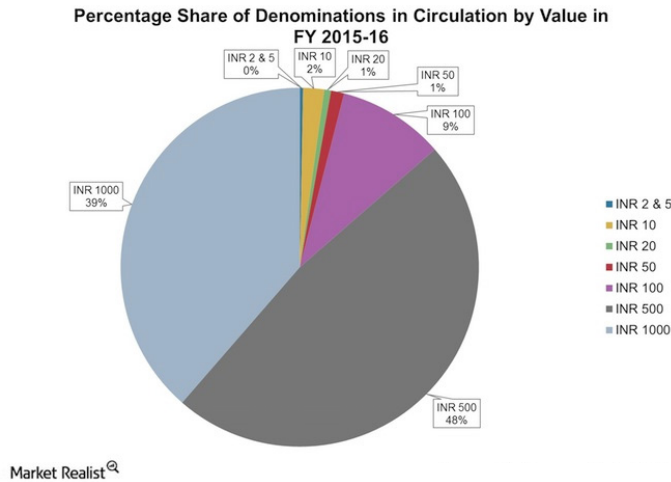
The act of demonetization is not a new phenomenon for the Indian economy. It had been carried out twice earlier also. It was first executed in 1946 and then in 1978. In January 1946, Rs. 1,000 and Rs. 10,000 banknotes were withdrawn but the same Rs. 1,000, Rs. 5,000 and Rs. 10,000 notes were reintroduced in 1954. The second demonetization took place in the year 1978 by the Janata Party Government. It had decided to withdraw Rs. 1,000, Rs. 5,000 and Rs. 10,000 notes by issuing an ordinance. Both these demonetization steps affected the really high value notes, which formed a small part of the notes in circulation. In 2016, the demonetization act gathered greater strength as Rs. 500 and Rs. 1000 currency notes represented ~85% of the physical money in circulation.

NEED FOR DEMONETIZATION

In 2013, Mckinsey, the research firm, found a strong correlation between the high cash usage and the size of a country's shadow economy. The World Bank in July, 2010

¹Asst. Prof., MCM DAV College for Women
E-mail: archana.bakshi31@gmail.com

estimated the size of the shadow economy for India at 20.7% of the Gross Domestic Product (GDP) in 1999. This rose to 23.2% in 2007.



Source: The Reserve Bank of India

As a proportion of the NIC (Notes in Circulation), the 1,000 rupee and the 500 rupee notes were to the tune of Rs. 14.2 trillion. While the supply of notes of all denominations had increased by 40 per cent between 2011 and 2016, the 500 rupee and 1,000 rupee banknotes increased by 76 per cent and 109 per cent, respectively. This was also because of forgery. The RBI data revealed that as of March 2016, 6,32,926 currency notes were counterfeit—known as the FICN (Fake Indian Currency Note). Demonetization was expected to curb this counterfeit cash and snap the funding for the antisocial activities like smuggling, terrorism, espionage, etc. In the recent economic scenario, black money had inflated the prices in the real estate, gold and a few other sectors, making it a challenge for the common Indian citizen to invest. There is no doubt that India suffers from a serious rash of corruption, which hurts the honest, hard-working families. According to the Transparency International, India ranks at 76 out of the 168 countries in its 2015 Corruption Perceptions Index. Every honest Indian taxpayer subtly hailed this decision of demonetization, expecting it to lead to better tax compliance and raise the Tax to GDP ratio.

POSITIVE IMPACT

- a. This act of demonetization is expected to divert more funds in Savings and Current Accounts of commercial banks, and thus, automatically lead to a greater financial inclusion. This, in turn, will enhance the liquidity position

of the banks, which might be later utilized further for lending purposes. It may be manifested in the lowering of interest rates for education loans, home loans and the medical loans and make higher education and medical facilities more accessible.

- b. With cash transactions facing a reduction, the alternative forms of payment will see a surge in demand. Digital transaction systems, E-wallets and apps, online transactions using E-banking, usage of Plastic money (Debit and Credit Cards), etc., will definitely see a substantial increase in demand. This will shift them from the physical assets to the financial assets where returns will also be higher. This should eventually lead to the modernization and diversification of financial transactions.
- c. As the black money goes out of the system, the money supply will shrink to some degree. This will reduce the inflation rate in the absence of any open market interventions by the Reserve Bank.
- d. The present action has better chance of success as it proceeds logically. First, people across India were given an Identity card (AADHAR), then bank accounts were opened for them (Jan-Dhan), and people across India can transfer money using e-options

NEGATIVE IMPACT

- a. Surviving this demonetization in an underdeveloped country is an umpteen task. ATMs are scarce, and only few of the rural Indians have a credit or debit card. An estimated 600 million Indians—nearly half the country's population—are without a bank account. Three hundred million have no Government identification which is necessary to open an account.
- b. Electronic payment systems are convenient, fast and easy, but every financial transaction is not free of cost and is also tracked and monitored.
- c. Most of the black money in India is largely kept in the form of land, buildings or gold. The cash constitutes only 4% of the total amount of black money. Moreover, demonetization does not address the black money stashed abroad and the illegal foreign transactions taking place through the participatory notes.
- d. The sudden decline in money supply is feared to provide a downward bias to the GDP Growth in the short run. The stock market indices dropped to around six-month low in the week following the announcement.
- e. The unbanked and the informal economy are likely to be hit the hardest. By wiping out cash balances in the economy, it will eliminate a number of transactions for a while, since there is no or not enough medium of exchange

available. It is likely to have an adverse impact on the consumption demand in the short run as the daily/weekly wage employment in the informal sector would decline. The fall in the economic activity due to demonetization could last from two to three quarters.

- f. India is largely a cash economy. The cash transactions in this economy are far more than the total number of electronic transactions done on a daily basis. The degree of severity may vary from sector to sector depending on the nature of goods & services. The key segments of the economy, where cash transactions play a vital role, may face near term contraction. These segments are as follows:

AGRICULTURE

Transactions in the Indian agriculture sector are heavily dependent on cash. Due to the scarcity of the new banknotes, many farmers had insufficient cash to purchase seeds, fertilisers and pesticides needed for the plantation of the Rabi crops. The Rabi crops are usually sown around mid-November. To add to their sufferings, a reduction in demand led to a crash in the prices of crops. Farmers were found to dump their goods as they were unable to recover even the costs of transportation from their fields to the market because of the low prices offered.

REAL ESTATE

This sector was also adversely affected as the disposable income of the households reduced largely. Moreover, this sector has strong linkages with sectors such as the cement and steel, which turned the credit negative in the short run.

GOLD/SILVER AND JEWELLERY

Immediately after demonetization, the demand for gold and other precious metals rose alarmingly to provide a quick fix solution to hide black money. However, with the squeezing of the currency, the demand for gems and jewellery is expected to decline in the next two to three quarters.

RETAIL

Slowdown in the discretionary spending hurt the Consumer Durable Sales as in the case of televisions, refrigerators and washing machines. Successful online retail stores

in India like Flipkart, Amazon, Snapdeal and the other online retailers temporarily stopped offering cash on delivery service. Demonetization may temporarily impact the volume of e-business because cash on delivery is the most popular mode of payment for the shoppers in India.

CONSTRUCTION

This sector has high employment multiplier and could be affected adversely on the supply side. This is because the payments to workers as well as a variety of purchases might be carried out in cash. On the other hand, on the demand side, the demand for houses and buildings would disappear as a demand for the non-essentials might be pushed on to the back-burner until the economic situation normalizes.

TOURISM

Travel and tourism are expected to be adversely affected by squeezing currency, as the tourists would find themselves with lower cash balances to spend on shopping and transport.

MICRO FINANCE INSTITUTIONS (MFIs)

They are important organizations which provide financial assistance to micro businesses. Such MFIs would find their disbursement rate slowing and possible delays in the collection of installments from the clients in the near future.

CONCLUSION

Demonetization is a mixed blessing. It has high hopes of a corruption free society and lower tax evasion levels; yet, it is feared to have detrimental effects on the economic growth. The negative impact of this move could be felt across the sectors with differing intensities and across the varied time zones. It would be very ambitious to say that the medium to long-term gains would outweigh the short-term pains. This positivism could bring confidence of overseas investors in the long run.

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Role of Training Programme under the Self Help Group in Securing the Health of Rural Women

Ankur Yadav¹

Abstract—*The SHG training programme is an initiative taken after the SHG formation and credit linkage programme. It is a rethinking prospect under the SHG for the improvement of information and awareness level of women in the rural areas. The wide range of training programmes are disseminated through the self-help group programme institutions (SHGPI) and the government institutions. These training programmes were initially implemented in the Southern regions of India and gave a positive impact on the SHG women. After its successful implementation in the Southern region, it started working in Uttar Pradesh from 2002. The present study demonstrates the role and impact of training programmes on the health, wellbeing and other issues related to the SHG women in the rural areas. This paper aims to examine the organisation and the structure of training programmes under the SHGs. The paper also aims to understand the role of training programmes in the health awareness under the SHGs and their impact on the SHGs women in the rural areas. This study is based on a district of Uttar Pradesh with facts of primary data. The data has been collected through the scheduled questioner in seven blocks of Sultanpur district. JEL Classification: I10, I12, I180, I190*

Keywords: *Self Help Group, Training Programmes, Women, Health Awareness*

BACKGROUND

The SHGs are informal association of ten to twenty members formed for the purpose of enabling the members to earn economic benefits through mutual help, solidarity and joint responsibility (Husain *et al.* 2012). The group-based approach enables the poor women to accumulate capital by way of small savings and facilitates their access to formal credit (Shylendra, 1998). Apart from the economic needs, they also cover the various health and social awareness programmes. Hadi A. (2001) argues that with the involvement in these activities, the SHGs members and their families have benefitted with improvements in the childcare and increased use of contraceptives. The purpose behind this mission is to mutually access health services at a low cost with the process of self-management. SHGs are usually formed and supported by the

¹Ph.D. Research Scholar, Centre for Studies & Research in Economics and Planning, School of Social Sciences, Central University of Gujarat, Gandhinagar-382030, Gujarat
E-mail: ankur.ansh9@gmail.com

Non-Governmental Organizations (NGOs), Government agencies and the financial institutions. It has also emerged as a powerful device and an effective medium for delivering the financial sources to the marginalised people in the rural economy. In its present form, however, the SHG has many dynamic roles. Along with the social and economic growth, SHGs also cover the health awareness of women and their family. R. Vijaykumar (2009) mentioned that the SHGs help our people to secure three types of power—health, social and the psychological that would empower them and improve their lives.

In the preliminary phase in India, the role of the SHGs development programme had focused on two segments; first was the group formation and its management, and the second was the credit management programme under the SHG. Group formation and management was the first step in the direction of institution building with the way to manage the rural women and improve their condition under SHG. The group was formed with three position holders- the President, Secretary, Cashier and the others became the ordinary members. The management mainly depended on the position holders. The main vision of the group was the corpus saving for fulfilling their small needs. Nowadays these groups touch every State in India with more than 4.7 million SHGs. But due to the lack of financial resources, poor people face the problems of shortage of money to deposit in the corpus fund of the group. The group members are mostly from the poor households and due to lack of appropriate resources, they face zero expansion of the economic activities (Devi, 2012). So, these problems are now solved through the credit management programme. It is the initiative of the National Bank for Agriculture and Rural Development (NABARD).

The Credit management programs (CMP) are meant to deliver the credit to the poor people for the betterment of their livelihood. These credits are provided by different financial institutions like the commercial banks, rural banks, cooperative banks, non-banking financial institutions and the NGOs. There are three models for the banking institution attached with the SHGs called the self-help banking linkage programme (SBLP). Model I SHGs are formed and financed by banks. Model II SHGs are formed by the NGOs and the formal organisations but are directly financed by the banks. Model III SHGs are financed by banks using NGOs and the other agencies as the financial intermediaries (Sanjeev, B. U. *et al.*, 2012). It is the world's largest linking programme for any financial institution to attach with the social group. Over 9.7 million poor rural households are now part of this world's largest micro credit programme (NABARD, 2014). According to the Status of Microfinance India NABARD (2013), total numbers

of the SHGs linked with the banks are 74.30 Lakh. Out of this, 62.52 Lakh are the SHGs of women alone.

In spite of the development programmes, the SHGs are going to be inefficient because the CMPs are overemphasised on their return and on their personal gain. The banks have finally realised that security of any type does not guarantee the repayment of lending (Karmakar, 2000). The poor and the marginalised people are excluded from these CMPs. The anecdotal evidence points towards the coverage of the upper strata of the poor, and not so much as the lower strata of poor. In terms of the coverage of the vulnerable effects, it is difficult to accomplish that the poorer have priorities (Reddy *et al.* 2011). These difficulties arise due to overemphasizing the credit management programmes and lack of information and awareness of the SHGs members. Hence, the focus should be on the information generation activities and the awareness programmes through training under the SHGs.

TRAINING UNDER THE SELF HELP GROUPS

Training under the SHGs is a process to develop the information opportunity and awareness regarding the social, economic and the health issue prospects. It is a medium to enhance the skills of the SHGs member and create better opportunities in the society. And, it is a better source to develop the rural regions while filling the loop holes of the above programme. Such programmes have a synergetic impact on the health and poverty and address the multiple millennium developmental goals such as poverty, gender equality, empowerment of women, maternal and child health and other women health issues (Leatherman *et al.* 2014). Initially, the component of training programme concentrated on the learning of skills based on generating the livelihood or the economic training and social awareness training. Then the policy makers and the Governments realised the ‘Third Option’. This was based on the health care delivery in the low and the middle income countries. It is proposed that the self-help groups should play a larger role (Nayar, K. R. *et al.* 2004). Now the training programme covers the broader aspects to include the economic, social and women health related trainings under SHGs.

Training for Health Awareness: Such trainings mainly concentrate on the health issues related to women, reproductive child health and awareness regarding the girl’s health. The program was designed around a cadre of ‘Sawastha Sakhi’ or the Village Health Workers (VHWs) nominated by the Self Help Group Programme Institutions (SHGPI). The VHWs worked to raise the awareness of reproductive and child health,

immunization and childcare, hygiene and sanitation. Their task also included identifying the people with danger signs of pregnancy and child health complications, and to promote a health insurance product to cover the health-related consultations and treatments. Many VHWs said that the contents of the training sessions challenged some of their own misguided health beliefs. This learning was subsequently shared during the SHG meetings (Saha S. *et al.* 2015). Women's participation in the microfinance-based SHGs and the resultant social capital may provide a basis for improving the health outcomes and addressing the gap in the health attainment for women and their children (Folgheraiter F. *et al.* 2004). In a previous study in India, we found that the presence of an SHG in a village was associated with the improved maternal and child health knowledge and practice (Saha S. *et al.* 2013). Elsewhere, a clustered and randomized trial among the indigenous communities in Jharkhand and Odisha States of India found that the newborn babies born in the communities with an SHG had a significantly improved likelihood of surviving the first six weeks of life, compared to the babies born to the corresponding households in the non-SHG communities (Montalvao J. *et al.* 2011) (Tripathy P. *et al.* 2010). A study of the microcredit forum of BRAC, a non-government development organization in Bangladesh, found a significant positive effect of membership in the forum on the maternal knowledge of prenatal care, increased use of contraceptives, and a decline in fertility (Hadi A. 2001) and (Amin R. *et al.* 2001). However, despite this evidence, using these mechanisms to address the health needs of the poor does not appear to be a high priority for the health planners in India, *ibid.* And, while India has large programs, both the government and the non-governmental organisations have organized to promote the microfinance schemes to poor women. But, there is limited evidence on the role of health programs attached to the microfinance-based SHGs in improving the health outcomes of the poor. This paper reports on the findings from a field study designed to investigate whether or not combining the health training program with microfinance-based SHG, to improve the health awareness of rural SHG women, is productive enough. This leads to a major question, which is: what is the structure of the training programme which is used to provide the information under the SHG? What is the level of training programmes? Is the training programme performing a more significant role in the rural area in improving the health security under the SHGs?

RESEARCH OBJECTIVE

The objective is to know the role and structure of the training programme on health awareness under the SHGs and its impact on the SHGs women in the rural areas.

METHODOLOGY

This study will primarily be based on the field data. The secondary data will be taken to support the findings. The primary information has been collected mainly by using a scheduled interview. This interview covered the various details of the training programme, such as the level and pattern of SHG training programme, health hygiene and sanitation awareness. On the other hand, the role and challenges of the training programme will also be evaluated. The worksheets will also be used to conduct focused group discussions and informal interviews. This will be the basis for collecting the supportive facts for the primary information collated during the the field study.

Sample Design: A two-stage purposive sampling method is used for the present study. In the first stage, we selected the district with blocks, and in the second stage, we selected the SHGs members who had undergone the training. The present field survey is done on the seven blocks of Sultanpur district of Uttar Pradesh State. Women from the SHGs were selected from among these blocks of Sultanpur. A total of 151 SHGs women were selected from the 151 SHGs of the blocks of Sultanpur district. As per the information provided by Rajeev Gandhi Mahila Vikas Pariyojna (RGMVP), out of 13 blocks, the survey was held only on the 7 blocks of Sultanpur because the training programmes had been conducted in these seven blocks of the Sultanpur district.

Table 1: Field Site in Sultanpur

Block of Sultanpur	SHGs	Sample	Total SHGs	RGMVP Key Person
Jaisinghpur	20	20	316	1
Dhanpatganj	21	21	909	1
Kurwar	21	21	800	1
Baldirai	22	22	1261	1
Dubepur	22	22	900	1
Bhadhaiya	22	22	300	1
Lambhua	23	23	930	1
Total	151	N=151	5235	7

Source: Author Field Survey Data, 2016

The total number of respondents is 151, in which the respondents belong to the four major social groups such as the General, the Other Backward Castes, the Schedule

Castes and the Muslim community. These are the main social groups which are included in the field survey form Sultanpur. The interview was also conducted with the key persons of RGMVP, that is, the field officers of each of the 7 blocks of Sultanpur.

SOCIO-ECONOMIC PROFILE OF UTTAR PRADESH

Uttar Pradesh (UP) is a State situated in North India. The State's border is connected with Rajasthan in the west, with Haryana and Delhi in the north west, with Uttarakhand and the country of Nepal in the north, with Bihar in the east, with Jharkhand in the south east, with Chhattisgarh in the south, and with Madhya Pradesh in the southwest. It covers 2,43,290 square kilometres (93,933 sq. m), equal to 6.88 per cent of the total area of India, and is the fourth largest Indian State by area. Hindi is the official and the most widely spoken language in its 75 districts. UP is the third largest Indian State by economy, with a GDP of Rs. 9763 billion (US\$150 billion). Agriculture and service industries are the largest parts of the State's economy. The total decadal growth rate is 27.2 (SRS, 2013). It is higher than the National average. The crude birth rate is 27.7 and the crude death rate is 7.7 (SRS, 2013); it is higher than the National average. The infant mortality rate is 50 (SRS, 2013), and the maternal mortality rate is 392 (SRS, 2010–12), higher than the National average. The natural growth rate is 19.5 (SRS, 2013), and the total fertility rate is 3.3 (SRS, 2012), which is also higher than the National average. The table 2 and 3 Show the demographic and the health profile of Uttar Pradesh.

Table 2: Highlights of Sultanpur District Statistics

Indicator	District (Sultanpur)		State (Uttar Pradesh)
Geographic Area (in sq. Km.)		4436.00	240928
Population	Total	3,797,117	1,99,812,341
	Female	1,882,531	95,331,831
	Male	1,914,586	1,04,480,510
Rural	Total	3,597,201	1,55,317,278
	Female	1,786,705	74,324,283
	Male	1,810,496	80,992,995
Urban	Total	1,99,916	44,495,063
	Female	95,826	21,007,548
	Male	1,04,090	23,487,515
Sex Ratio	Total	983	912

(Number of females /1000 males)	Rural	987	918
	Urban	921	894
Literates	Total	2,239,902	1,14,397,555
	Female	9,39,654	46,162,591
	Male	1,300,248	68,234,964

Source: Census India, 2011

Table 3: Health Infrastructure of Uttar Pradesh

Indicator	Required	In Position	Short-fall
Sub-centre	31037	20521	10516
Primary Health Centre (PCH)	5172	3692	1480
Community Health Centre (CHC)	1293	515	778
Health worker (Female)/ANM at Sub Centres & PHCs	24213	22464	1749
Health Worker (Male) at Sub Centres	20521	1729	18792
Health Assistant (Female)/LHV at PHCs	3692	2040	1652
Health Assistant (Male) at PHCs	3692	4518	*
Doctor at PHCs	3692	2861	831
Obstetricians & Gynaecologists at CHCs	515	475	40
Paediatricians at CHCs	515	547	*
Total specialists at CHCs	2060	1740	320
Radiographers at CHCs	515	181	334
Pharmacists at PHCs & CHCs	4207	5582	*
Laboratory Technicians at PHCs & CHCs	4207	1836	2371
Nursing Staff at PHCs & CHCs	7297	2627	4670

Source: RHS Bulletin M/O Health & F.W., GOI, 2012

WHY DID THE STUDY FOCUS ON SULTANPUR DISTRICT?

After the successful implementation of the SHGs training programme in the Southern States of India, this programme was spread to the other States also. In South India, this programme achieved tremendous success in the States like Andhra Pradesh, Kerala, Tamil Nadu and Karnataka. It has been taken as a remedy for the severe poverty alleviation and health awareness of the States of North, in particular, the U.P. Uttar Pradesh is the most populated State and its size is equal to some of the countries of the world. In U.P., the poverty rate is the highest, especially the rural poverty. The male migration is also the highest in U.P. Therefore, the rural areas are left in

severe poverty with the illiterate and unskilled women. They do not have any proper knowledge about the health related issues. The solution for some of these problems has been sought in the SHGs promotion. The Government institutions, the NGOs and the charitable trusts have built up the skill-generation capacity, health awareness programmes in the rural areas through the SHGs. RGMVP has majorly worked in the areas of this district to build-up the women-specific SHGs and provide the platform for information generation, skills formation and health awareness trainings.

In U.P., Rajeev Gandhi Mahila Vikas Pariyojana is the first to implement and start the SHG training programme in Rai Bareilly and Sultanpur district. With this background, U.P. has been selected for the study. Since in U.P., Sultanpur is the pioneer in seeing the emergence of the SHGs and training programmes, we are taking Sultanpur for our case study.

Organisational Structure for Training Programme

The RGMVP is promoting the training programme under the SHGs in UP since 2006. The training programme is supported by a tripartite agreement between the RGMVP, NABARD and SERP.

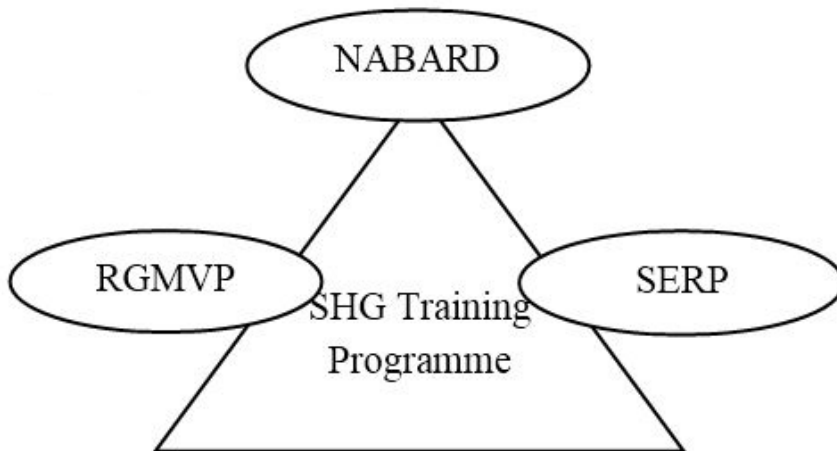


Figure 1: Supportive Agency for Training Programme

Source: Author, 2016

These training programmes are provided through the block level associations (BLAs) and Gram Sangthan or the Cluster level associations (CLAs). According to Raju Manju S. *et al.* (2010), the significant assistance of the supporting organizations is first from NABARD. It is NABARD that supports and funds the institution building and capacity building components under the project. The funding assurance is around

8 per cent of the NABARD's corpus for micro-finance, hence, a major stack of NABARD. Second, is the RGMVP which supports and funds the cost of the project management. It's Project Management Unit (PMU) has a dedicated team of professionals to provide continuous handholding, training and facilitating support to the SHGs. Third, is the SERP which provides the technical support in designing the project in consultation with NABARD and Rajeev Gandhi Charitable Trust. It also gets the external support from Andhra Pradesh. SERP has also agreed to provide trained professionals to RGMVP at the Block level for trainings and awareness programmes. Apart from this support, RGMVP has some external support from the National Institute of Rural Development, National Dairy Development Board, Commercial Bank, Regional Rural Bank, the United Nations Development Programme, the University of Wisconsin, Global Alliance for Improved Nutrition, Bill and Melinda Gates Foundation, etc.

LEVELS OF TRAINING DISSEMINATION

RGMVP provides the training through the multilevel training structure in Sultanpur. They provide training at the level of the training centre, community resource development centre (CRDC) level, BLAs and CLAs level. The Figure 2 shows the different levels and processes of training programme.

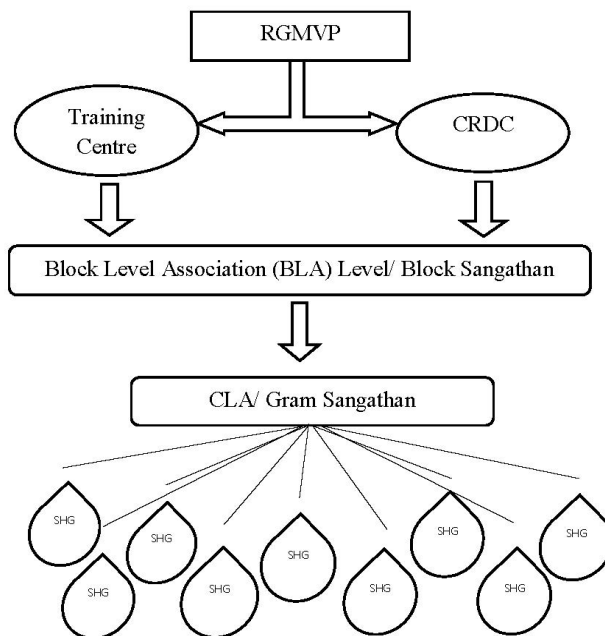


Figure 2: Levels of Training Dissemination

There are three-tier training dissemination programmes in Sultanpur through RGMVP. It provides training on different level. The levels of the training programme are as follows: at the training centre (Jayas) and CRDC (Munshiganj) organise the training programmes and workshops for the trainers. It includes special vision, planning for workshop and training for the SHG members, staff officials and partners. It provides training with different methods to train the staff with participatory skills, Training of Trainer (TOT) on community mobilisation skills and livelihood-generation skills. At the BLA level training: BLA office is situated at the block of the district. The BLAs level training programme is organised at every block level centre. 30 to 35 members are included in every batch of the training. These members are from 10 to 15 CLAs (CLA member is also the SHG member) and every CLA calls 2 to 3 members for the training programme. Most of trainees are post bearers and the members of CLAs. These members disseminate training information at the CLA level training programme. At the CLA/ Gram sangathan level training, in every block or the BLA area there are 10 to 15 CLAs who are established by the RGMVP. CLA level training programmes are organised at every board level. It includes all the SHGs (10 to 15 SHG) women in the gram sangathan. Sometimes the women's batch in the CLAs training programmes reaches nearly 150 to 200 women. Mainly, this training programme is organised at the Panchayat Bhawan or the Primary School or at an open place. There is no particular infrastructure facility for the training programme at the CLA level.

TRAINING RESOURCE PERSONS

Training resource persons (TRP) provides the training to SHG members at the BLAs and CLAs level. They are trained by the training centre and the specialised officials of SEPR team. These TRPs also prepare the plans of training, training agenda, time allocation for the specific training, learning facility, stationery, interacting with the class, etc. Training resource persons in Sultanpur district, both at the BLA and the CLA level, provide the trainings. These training resource people in Sultanpur district are as follows: Samooh Sakhi, Meeting Sakhi, Swastha Shakhi, Wash Trainer, Animator, etc.

ROLE OF SHG'S TRAINING PROGRAMME ON HEALTH AWARENESS

The SHG's training programme is based on improving the health information regarding the RCH and women's health. They provide accurate and relevant information for the pregnant women, reproduction system, girls' health information, healthy nutrition

information and information regarding the family planning, AIDS awareness, health insurance, etc. The main training programme is as follows-

Women Health Awareness: In this they provide the information on women health issues such as family planning, child birth gap, maternal age, number of children for a healthy woman, suitable time of reproduction, and the resources available at the local health care centre (LHCC). They also give information about the Government schemes for women at the LHCC. Apart from these, the training programme is built for the welfare of the girl child. Health issues related to the teenage girls and coping strategies are also focused on.

RCH Awareness: The SHG training programme on the reproductive child health issues plays an important role in educating the rural women. Knowledge and training is provided on the childcare, such as the Kangaroo Mother Care (KMC) method. The women are trained in good practices for feeding their infants and young children. Once in every two weeks, the mothers get together to prepare the weaning foods to complement breastfeeding. These foods combine the powdered cereals (like the rice or wheat) with the pulses and oilseeds (like the groundnuts) as well as 'jaggery' or the unrefined sugar to boost the child's nutrition. However, training is also initiated to improve the newborn practices at the community level and the early detection and referral of the sick newborn babies.

Reproductive Health Awareness: This training creates awareness about the prevention and treatment of anaemia by supplementation with Iron and Folic Acid tablets during pregnancy and lactation. This phase includes spreading awareness about the Name Based Tracking of Pregnant Women to ensure complete antenatal, postnatal care, operationalizing Community Health Centres as the First Referral Units (FRUs) and Primary Health Centres for round-the-clock maternal care services. It also informs the mothers about the promotion of institutional delivery through Janani Suraksha Yojana (JSY) and Janani Shishu Suraksha Karyakram (JSSK). The training focuses on promoting the institutional delivery to ensure the efficacy of midwife, or the Dai Training, who assists in the child birth in the traditional way. This is the key to reduce both the maternal and the neonatal mortality implemented through the skill building for early diagnosis and case management of common ailments, such as the acute respiratory infection, diarrhoea, fever, etc., in children. The aim of the training is to build and upgrade the skills of health care providers in the basic and comprehensive obstetric care of mother during pregnancy, delivery and the essential newborn care.

Health Nutrition's Awareness: With the help of Swasth Sakhi, under the SHG training programme creates awareness about the maternal and childcare, including

the health and nutrition education. The training provides the chart of Chaturanga Bhojan (healthy and nutritious food). It also creates awareness on the calorie counts required during pregnancy. They also provide the pictorial course file of nutrition and clear the doubts regarding the same. A participatory learning approach is adopted and action techniques are employed to educate the women through meetings on health, nutrition and sanitation. It uses interactive methods to enable women to identify and prioritise problems related to poor nutrition and health, find local solutions, promote behavioural changes and adopt appropriate actions for themselves, their children and families.

Personal Hygiene or Sanitation Awareness: The wash trainer trains the SHGs women for their personal hygiene or sanitation awareness. The awareness regarding the hand hygiene, respiratory hygiene, food hygiene at home, household water treatment and safe storage, laundry hygiene, medical hygiene at home, body hygiene, hygiene in the kitchen, bathroom and toilet is capsuled in this training phase.

Government Scheme and the Local Health Care Centre Information: In this SHG training programme, the training institution and the trainers provide the information regarding the Government schemes and facilities for women's health and vaccination available at the local health care centre.

Apart from this health training, the health activist, a woman from the community, is trained in the maternal and child health issues. She helps to convince the pregnant and the lactating women to join the training program. This is an intensive process which frequently entails convincing the mothers-in-law and husbands who are the key decision makers in most of the village families. Often, these activists have suffered during their own pregnancies as a result of which, they speak with greater conviction. In addition to teaching the women about nutrition, these activists serve as facilitators, helping the women and children to access the routine health services and benefits that are due to them under the various government programs.

IMPACT OF THE TRAINING PROGRAMMES ON HEALTH AWARENESS

Out of the 151 SHGs women, 63 per cent of women and their family had benefitted through the health awareness training programme. The health awareness training had a positive impact on the majority of women who were a part of SHGs. Through these training programmes, 88 per cent of women have information about the family planning, reproduction system, reproductive health, reproductive child health care and vaccination. Moreover, the information disseminated on AIDS, meditation benefits,

access to health services and life insurance information also benefits the participants of the programme. The figure 3 shows the impact of the training programmes on the reproductive child health and health awareness.

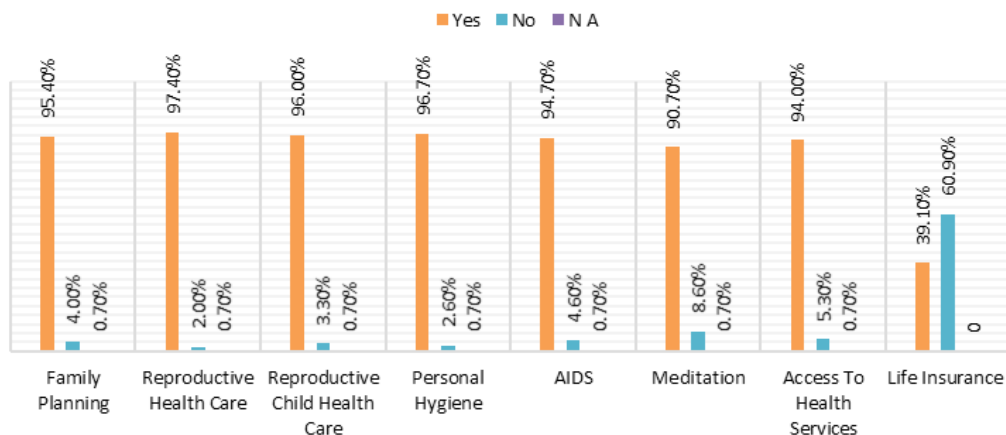


Figure 3: Impact on RCH and Health Awareness

Source: Author Field Survey Data, 2016

*Note: Calculated n=95 approx. = 100% Respondents who agree that they had benefited from the SHGTP.

There has been a positive impact on the majority of women trained through the SHGs training programmes in Sultanpur district, but 60.90 per cent of the SHGs women have no information about the life insurance schemes. Further, we will examine the impact of training on the health awareness among the SHG women Block-wise. The impact will also be analysed in terms of the SHG's position holder, social categories and the age groups. The impact of family planning information on the SHG women has been the highest in the Blocks of Bhadhैया and Lambhua at 14.7 per cent. Maximum impact of the training, at 36.0 per cent, has been on the position of the President in the SHGs. The highest in the social categories is 34.0 per cent and is seen in the OBC women. And, maximum impact has been on the age group of 36–40 years at 24 per cent.

The impact of information on the reproductive health care on the SHGs women is the highest in the Blocks of Baldirai, Bhadhैया and Lambhua at 14.7 per cent. Maximum impact of 37.3 per cent has been on the President's position in the SHGs. The highest impact in the social categories is 34.7 per cent which is seen on the OBC women; and maximum impact of 24 per cent has been on the age groups of 26 to 30 years and 36 to 40 years.

The impact of information on the reproductive child health care on the SHG women is the highest in the Blocks of Baldirai, Bhadhैया and Lambhua at 14.7 per cent;

maximum impact of 36.7 per cent is seen on the Presidents of SHGs. The highest in the social categories is 34.0 per cent in the OBC women, and maximum impact has been on the age group of 36 to 40 years at 24 per cent.

The impact of personal hygiene information on the SHGs women is again highest in the Blocks of Baldirai, Bhadhaiya and Lambhua at 14.7 per cent. Maximum impact is on the Presidents of SHGs at 37.3. The highest impact of the same on the social categories is 34.7 per cent amongst the OBC women; and maximum impact has been on the age groups of 26 to 30 years and 36 to 40 years at 24 per cent.

The impact of awareness regarding AIDS on the SHGs women has been the highest in the Blocks of Bhadhaiya and Lambhua at 14.7 per cent, and the maximum impact of 36 per cent is seen on the Presidents of SHGs. The highest in the social categories is 34 per cent which has been noted amongst the SCs women; and maximum impact of the information at 24 per cent has been on the age group of 26 to 30 years.

Then, the impact of meditation information on the SHGs women is the highest in the Lambhua Block at 14.7 per cent. Maximum impact of 34 per cent has again been on the Presidents of the SHGs. The highest in the social categories is at 32 per cent, seen amongst the OBCs and the SCs women; and maximum impact of 24 per cent has been on the age group of 36 to 40 years.

The impact of awareness regarding the access to the health services on the SHGs women is the highest in the Blocks of Baldirai and Lambhua at 14.7 per cent. Maximum impact of 36.7 per cent has been on the Presidents of the SHGs. The highest reach of 33.3 per cent, in the social categories, has been among the SCs women, and maximum impact of the same, at 24.0 per cent, has been on the age group of 36 to 40 years.

The impact of the information about the life insurance policy on the SHGs women is the highest in Dhanpatganj Block (9.3 per cent); maximum on the Presidents of the SHGs (15.9 per cent); the highest in the OBCs (17.2 per cent); and maximum of 10.6 per cent has been on the age group of 31 to 35 years.

CHALLENGES FOR FACILITATING THE TRAINING PROGRAMMES

There are challenges for both the organising institutions and the SHGs. The challenges for the organisers include the planning of training, training materials, suitable place of training (at the CLAs), and the arrangement of facilities for the trainees, such as the breakfast, TA, childcare taker, etc. The selection of the SHGs members, selection of the SHGs and the subject selection for the training programme are also the challenges for the organisers. The evaluation challenges are scaling the response of the SHGs

members and evaluation of the training knowledge. The challenge for the SHGs women is in gaining the permission for attending the training programmes as shown in figure 4.

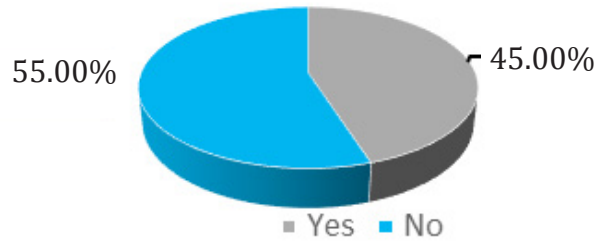


Figure 4: Permission for Attending the Training Programme

Source: Author Field Survey Data, 2016

In this, 45 per cent of the SHGs women face permission problems for attending the training programmes. In the social categories, 19.2 per cent of the SCs women and 18.5 per cent of the OBCs women face problems from the family and society. In the Block, like Jaisinghpur, nearly 10.6 per cent of the SHGs women do not attend the training programmes without the permission of their family.

PROBLEMS FACED BY THE SHGs WOMEN DURING THE TRAINING PROGRAMMES

The problems faced during the training programmes include the lack of communication skills, shyness, group conflicts, attitude of the NGO employees during the training programmes. The figure 5 shows the problems faced by women during the training programmes.

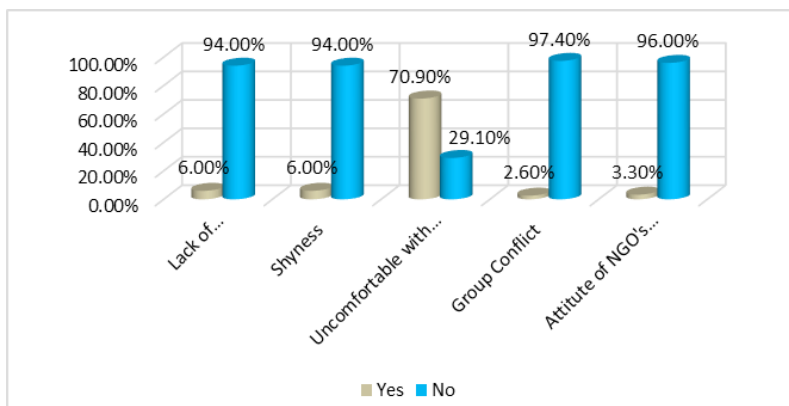


Figure 5: Problems Faced During the Training Programme

Source: Author Field Survey Data, 2016

In this, 17.36 per cent of the SHGs women face problems during the training programmes. 70.90 per cent of the SHGs women feel uncomfortable with the male trainer, especially while discussing the health related issues. 12.6 per cent of women in Lambhua and Bhadhaiya Blocks, 26.5 per cent of women in the OBCs and 23.2 per cent of the SCs women feel uncomfortable with a male trainer. Then, 12.0 per cent of the SHGs women face problems during the training session due to the lack of communication skills and shyness problem in the training class. 5.90 per cent of the SHGs women face problems with the attitude of the NGO employee and group conflicts with the other SHG women.

PROBLEMS FACED IN ATTENDING THE TRAINING PROGRAMMES

The problems faced in attending the training programmes are a challenge for every woman. Due to this reason, the participation rate of the SHG women is not as desired. The core reasons for this are the conservative social norms, family restrictions, domestic duties, personal health problems and the childcare problems. These problems are also the challenges for inclusive growth of health empowerment. Figure 6 shows the problems faced in attending the training programme.

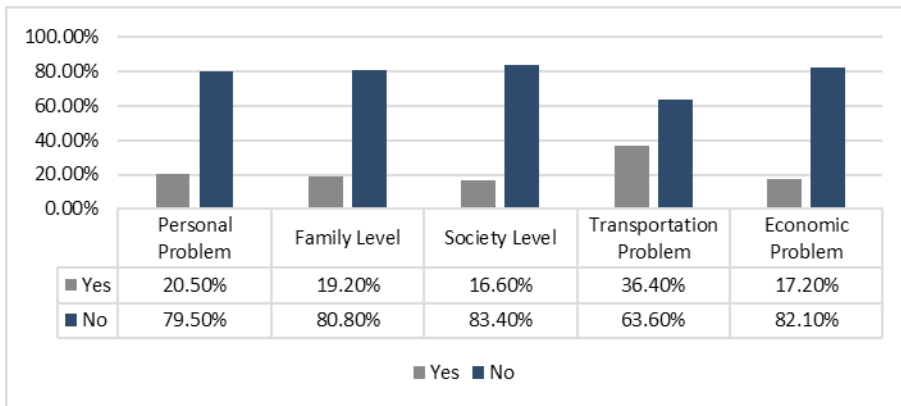


Figure 6: Problems Faced in Attending the Training Programme

Source: Author Field Survey Data, 2016

20.50 per cent of the SHGs women face personal health related problems and 19.20 per cent of the SHGs women face family problems, such as domestic duties burden, family health care, and the childcare. 45.7 per cent of the women who attend the training programmes are those women who have no childcare taker in their family. 12.6 per cent of the women have children who depend on the neighbourhood. 31.1 per cent of the women leave their child under the family or the husband’s care to attend the training. 16.60 per cent of the SHGs women face problems from the conservative norms and social restrictions. Then, the majority of 36.40 per cent of the SHGs women

face transportation problems for attending the training programmes. 83.3 per cent of women arrange the self transportation facility for attending the training programmes and most of the SHGs women walk as much as 7 to 8 kms to reach the venue. These are very big challenges for attending the training programmes. 60.9 per cent of the SHGs women rate the transportation facility below average, 14.6 per cent of women rate the transportation facility as bad and 7.9 per cent of the SHGs women consider it to be very poor for attending the training programmes in the Sultanpur district. Furthermore, 17.20 per cent of the SHGs women face economic problems for attending the training programmes. 86.8 per cent of the women self arrange the economic resource for attending the training programmes. This response was incorporated with the help of those women who were attending the training programmes. Apart from the problems of these members, those SHGs member who do not attend the training programmes is also a huge challenge for the training programmes. Due to this reason, the holistic approach of the training programmes is going to weaken.

FINDINGS

The study focused on the impact of training programmes on 100 (Count 151) participants of the SHGs who attended the training programmes. Out of the 151 SHGs trainees, 92.1 per cent are married, 6.0 per cent are widowed and the remaining 2 per cent are separated and unmarried. The majority of the 67.5 per cent of the trainees were in the age group from 26 to 40 years. SHGs Presidents and Cashiers form the majority of trainees among the 71.5 per cent who participate in the training programmes. Further, in the course of investigations, it is found that 64.90 per cent of the women are literate and majority of the 70.9 per cent of the participants belong to the OBCs and the SCs social groups. The training programme is organised through the tripartite agreement among the NABARD, SERP and RGMVP. RGMVP gets lot of external support in terms of the training sources. They accumulate these sources from the National institutions like NABARD, SEPR, NIRD-HYD, BAIF, NDDB, CB, RRB, and the international sources. The UNDP, the University of Wisconsin, GAIN, BMGF organisation are the main and the important ones amongst the international contributors. The three-tier level of training was conducted in the Sultanpur district training centres at the CRDC level, then at the Block level association and then at the Cluster level association. 58.0 per cent of the training programmes were conducted through the Block level associations. The training centres and CRDC provide training to the trainers (ToT) or the training to the resource persons. For the dissemination of information, modern equipments and techniques are used. The use of Pico projector, flip charts, books along with the role plays and other practicals are the important components of training sessions. Two types of training methods are used in the

training programme. The majority of the training is done through the classroom training methods. On providing the adequate facilities for the training programme, RGMVP officials claim that there is 100 per cent stationery facility and 60 per cent financial assistance. Transportation assistance for the trainees is provided by RGMVP at the BLAs level but there is no provision for the same at the CLAs level. A total of 63.3 per cent of women have benefited through the RCH and health awareness and health education. However, among the ordinary members of the SHGs group, only a few have received the proper training. The findings from this study indicate that the training programmes on the health awareness under the SHGs activities positively influenced some of the members who got the training, but not all. It is adjusted for the baseline measures, and controls the respondents' education, type of house, monthly household expenditure, and the geographical location. The SHG structure highlights social cohesion and promotes collective action related to the members with shared needs. While the health awareness programs in the villages were new initiatives, the organizations like the RGMVP had implemented microcredit activities in villages almost a decade ago. Long duration of the association with the community, the SHG structure, and the reputation of the organization seem to have played a crucial role in promoting the trust for their organization among the members. An explanation for the lack of success in relation to some indicators could be because of the initial focus of the training. In the beginning, the training concentrated on the position holders rather than on the ordinary members of the groups. Some of the position holders belonged to the dominant cast (Kshatriya and Brahmin), so they asserted their supremacy over the other group members. This led to several problems and affected the training's conduct. Some of the other debacles in the conduct of the training faced by the SHGs women include the lack of communication skills, shyness, uncomfortability with the male trainer, group conflicts and problems with the attitude of the NGOs employees.

CONCLUSION

This study established that the SHG's training programme on the health issues with microfinance-based SHGs activities is associated with a significant increase in the women's information level on the reproductive child health, traditional delivering of babies, personal hygiene, and the importance of nutrition for pregnant women and infants. Moreover, the training programme has also influenced the awareness levels regarding the primary health centre and the facilities available for women and girls. The study also found out the roles and challenges faced by the SHG women at the training level and society level. But, the structure of the training program does not give a significant chance to most of the ordinary members to get information from it. With broad population coverage, the microfinance-based SHGs provide an avenue

for increasing the universal health coverage and for addressing the health needs of the poor women, *ibid*¹. Our results indicate that further research on this theme is required. There are additional reasons, from the health and the social perspective, for investigating the other positive influences of these types of training programs. These include the impact of training under the SHGs on broad population coverage and the role of health in the economic and social capital formation of the SHGs women. A significant area of future research would be the assessment of the transition cost added in the health program under the SHGs, and an analysis of their effectiveness with an integrated approach. The government health planners stand to benefit from these types of training structures and social capital that already exist through the microfinance-based SHGs. However, such training programs should not be viewed as a solution for the government failures. Rather, the SHG-based training programmes can be seen as the complementary initiatives to the public policy of health services, and as a means for increasing the awareness about the entitlement to the public health services in the rural community.

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The Approach to Nationalism of Maulana Azad

A.H. Rizvi¹

Abstract—Maulana Azad strongly condemned the narrow nationalism and talked in terms of global perspectives. Here, the researcher analyzed how Maulana Azad had a postmodernist approach in convincing the Muslims to be nationalists along with being a true follower of Islam. Maulana Azad, a thinker of change, had a blend of traditional and modern approach. On one side, he was a staunch follower of Islam. On the other side, he had a postmodernism approach in mentoring the Muslims, promoting Nationalism and progress of its citizens. Maulana Azad was always against the 'Two-Nation Theory' of Muslim League. He argued that neither the Muslims nor the Hindus can claim that this Nation belongs to one of them only. Instead, he gave the concept of the United India, which gives respect to each other. His concept of Nationalism was indivisible Nationalism.

Keywords: Azad, Nationalism, United India, Indivisible Nationalism

INTRODUCTION

Maulana Abul Kalam Azad was a multidimensional personality: a distinguished scholar, freedom fighter, a recognized journalist, a literary craftsman, a poet whose prose style remains his own and continues to be beyond comparison even today. Maulana Abul Kalam Azad was a brilliant debater, as indicated by his name, Abul Kalam, which literally means "*Lord of dialogue*". Maulana Azad completed his formal education by the age of 16 years. He was influenced by the writings of Sir Syed Ahmed Khan. Later on, he studied Modern Science, Shariat, the World History, Politics, Philosophy, Literature and English. He was well versed in Pashto, Urdu, Arabic, Persian, English, Bengali and Hindi languages. He visited Afghanistan, Iraq, Egypt, Syria, France and Turkey. At the age of 14, he was writing Urdu Poetry, reviewing learned books, contributing articles to many well known literary magazines of the day and was editing a magazine of his own. In 1905, he met Maulana Shibli Nomani, who took him to Nadwatul Ulma at Lucknow. Here, for some time, he edited the "Al-Nadva". In 1906, he took up the editorship of "vakil of Amritsar", a biweekly magazine. In order to disseminate his ideas among his co-religionists; he started the Urdu weekly *Al-Hilal* from Calcutta. In 1915, he started a new weekly, the *Al-Balagh*. He met Mahatma Gandhi in 1920 and plunged into the Khilafat and the Non-Cooperation Movements. Between 1912 & 1919, he was associated with the Muslim League. He was elected as the President of

¹Maulana Azad National Urdu University, Hyderabad
E-mail: drahrizvi110@gmail.com

the Congress at the end of 1939. He served as a member of the Constituent assembly during 1948-50 and the Parliament in 1950-52. He was elected to the Lok Sabha in 1952 from the Rampur constituency and re-elected in 1957 from Gurgaon. He was the Minister of Education during 1947-52, and the Minister of Education, Natural Resources and Scientific Research during 1952-58. He was honoured with the Bharat Ratna, posthumously, in 1992.

Thapar, Romila (2016) quoted the views of George Orwell, the British writer and humanist, in her book 'On Nationalism,' regarding the difference between Nationalism and Patriotism. **George Orwell** wrote in an essay entitled 'Notes on Nationalism,' published in 1945: '*Nationalism is not to be confused with patriotism. Both words are normally used in so vague a way that any definition is liable to be challenged, but one must draw a distinction between them, since the two are different and even opposing ideas are involved. By "patriotism", I mean the devotion to a particular place and a particular way of life, which one believes to be the best in the world but has no wish to force on other people... Nationalism, on the other hand, is inseparable from the desire for power. The abiding purpose of every nationalist is to secure more power and prestige, not for him but for the nation or other unit in which he has chosen to sink his individuality.*'

PREVIOUS STUDIES

Ahmed Shabi (2003) argued in the book, 'Maulana Abul Kalam Azad: A profile of Nationalist', that Maulana Azad always preferred the National Unity because for him the Indian disunity was a disaster for humanity.

Habib, Irfan (2017) quoted the views of Nationalism of Maulana Abul Kalam Azad in his edited book 'Indian Nationalism: The Essential Writings.' Maulana Azad was a visionary with the vision about the indivisible unity which was the Indian Nationalism, i.e. he focused upon the Indivisible Nationalism.

Karlekar, Hiranmay (2003) in the book, 'Maulana Abul Kalam Azad: A profile of Nationalist', refer to the thoughts of Maulana Azad. His belief is underlined in his memorable words which were, 'I am an Indian, an essential part of the indivisible unity of the Indian nationhood, a vital factor in its total make up without which this noble edifice will remain incomplete. I can never give up this sincere claim.'

Hameed, Syeda Saiyidain (2014) wrote in her book: 'Maulana Azad, Islam and the Indian National Movement' that, "Azad campaigned for the Hindu-Muslim unity,

an undivided India, and Purna Swaraj (total freedom). With Islam at the core of his political views, Azad argued that Muslims must join all Indians in the freedom movement because it was their religious duty and responsibility”.

Tajuddin, Muhammad. (2011) asserted in his article that Azad was the first Indian thinker to publically propagate the inclusive character of the Indian Nationalism, shunning the prevalent path of the exclusivists of the extremist Hindu Congress and the Muslim League leaders. He reasserted the idea of inclusive nationalism which was conceptualized by the moderate Congress leaders. He worked for India’s freedom on this principle before the arrival of Gandhi on the National scene, perpetuating the ideology even when it was unconventional.

THE CONCEPT OF NATIONALISM

Nationalism is the term that is not of the Indian origin; in fact, it has been imported from the western part of the world. The term and its significance in the Indian province was totally unknown until the British entered here for their trade and, consequently, ruled the province. Until then India was neither a country nor a nation, it was just an age-graphically integrated province ruled by the various kings in their States. It was just a group of States. But during the British rule, the need for integrity and freedom took the form of struggle of independence. Nationalism, which was already there in the west, was based on secularism. But during the freedom struggle, the nationalism which emerged in India stood on the base of cultural issues. Thereafter, it took the form of fundamentalism. The seeds of partition were sown in this kind of nationalism. Such paralyzed nationalism was responsible for the partition of India. The communal and the cultural crisis has become a common problem all over the world in the present scenario. In the post independence era, India and Pakistan have to suffer a lot due to this extreme nationalism. In the post independence scenario, the thoughts of Maulana Azad on ‘nationalism’ are really needed. Such thoughts must be studied, practiced by our generation and implemented in all spheres.

INDIAN VIEWS ABOUT NATIONALISM

Habib, Irfan (2017) quoted the views of Nationalism of great politicians, philosophers, laurels and educationist in his book ‘Indian Nationalism: The Essential Writings.’

“Is hatred essential for Nationalism”—**Mahatma Gandhi**

“Nationalism is a great menace; it is the particular thing which for years has been at the bottom of Indian trouble.”—**Rabindra Nath Tagore**

“Let no man dare to call himself a Nationalist, if he does so merely with a sort of intellectual pride thinking he is more patriotic, thinking that he is something higher than those who do not call themselves by that name.” —**Sri Aurobindo**.

“There is a difference between Nationality and Nationalism. They are two different psychological states of human mind. Nationality does not in all cases produce Nationalism.” —**B. R. Ambedkar**

Bhagat Singh focused upon the Composite Nationalism.

Tagore had cosmopolitan views about religion.

Sarojini Naidu emphasized on the Inclusive Nationalism, Ganga-Jamuna tehzeeb and the unity of cultures.

Lala Lajpat Rai propagated the Hindu Nationalism.

Jawahar Lal Nehru focused upon the Nationalism and Internationalism.

Rajgopalachari stressed upon the Dynamic Patriotism. He said that the Indian culture is the culture of self-restraint.

Jayaprakash Narayan said that the Aggressive Nationalism causes danger to the world.

Various groups and organizations were active in attaining the freedom for India during the freedom struggle. Various leaders had organized their groups to implement their ideology.

Jinnah's ideology was solely based on the religious parameters, yet not religious in private life. For example, Jinnah was the follower of western culture, but demanded a separate nation, Pakistan, for the Muslims.

Mahatma Gandhi & Khan Abdul Gaffar Khan like leaders were extremely religious in their private lives but insisted for a nation based on secularism.

Jawaharlal Nehru and Dr. Babasaheb Bhimrao Ambedkar were secular leaders in both their private as well as public lives.

AZAD'S APPROACH OF NATIONALISM AND PATRIOTISM: ANALYSIS OF THOUGHT

Maulana Azad created political perspectives which were considered radical for most Muslims of the time. He turned into an undeniable Indian patriot. He savagely reprimanded the British for the racial separation and for overlooking the daily necessities of the citizens of India.

Maulana Azad also criticized the Muslim politicians for focusing on communal issues before the national interest and rejected the *All India Muslim League's* communal separatism. Azad developed a curiosity and interest in the pan-Islamic doctrines of Jamal al-Din al-Afghani and visited Afghanistan, Iraq, Egypt, Syria and Turkey. However, his views changed considerably when he met the revolutionary activists in Iraq and he was influenced by their fervent anti-imperialism and nationalism. In the All Parties Conferences of 1925 and 1928, he said, *"I am a patriot first and a patriot last"*, and urged his partners, be they Hindus or Muslims, *"not to bring collective issues up in the House and help make the Assembly a national foundation in the most genuine feeling of the term."*

Again in one of his Presidential addresses, he broadcasted: *"I am a Muslim and significantly aware of the way that I have acquired the Islam's transcendent custom of the last thirteen hundred years. I am not set up to lose even a little piece of that heritage. The history and lessons of Islam, its craft, and letters, its way of life and the human advancement are a piece of my riches and it is my obligation to treasure and protect them. In any case, with every one of these emotions, I have another similarly profound acknowledgment resulting from my background, which is reinforced and not frustrated by the Islamic soul. I am similarly glad for the way that I am an Indian, a basic piece of the inseparable solidarity of Indian nationhood, a key factor in its aggregate cosmetics, without which this respectable building will stay inadequate. I can never surrender this earnest claim..."*

He established many revolutionary centers all over the North and in Bombay. He influenced the Muslim pioneers to embrace the concept of the Indian nationhood. He distributed a week-by-week diary to proliferate his progressive thoughts among the Muslims. He attempted to advance the collective amicability. The British Government restricted his *Al-Hilal* for spreading his radical contemplations. From that point onwards, he began another diary, the *Al-Balagh*. He was spreading his progressive thoughts and patriotism through his paper. He upheld the Khilafat Movement. Once more, in the year 1916, the British Government restricted the *Al-Balagh* under the protection of India Regulation Act. He was apprehended and detained in Ranchi. In 1920, he was discharged from the prison. He joined the National Congress and

assumed an urgent part in the Non-cooperation Movement. In 1923, he was designated as the leader of a unique session of the Congress in Delhi. In 1930, he participated in the Salt Satyagraha. Again, he was arrested and sent to Meerut Jail. He unmistakably expressed his disgrace for the thoughts on religious separatism.

Maulana Azad wrote in Al-Hilal, December 1912: "For the Hindus, struggle for the independence of the country is a sign of love for the motherland. But for the Muslims it is a religious obligation and equivalent to jihad in the way of God."

The true meaning of Jihad is effort made to establish justice and truth and protection of human rights and the removal of servitude."

Keeping the views on nationalism of all the above leaders and their ideologies, Azad's views on nationalism seem to be based on the Indian reality and somewhere on the base of secularism. We cannot ignore the facts of Indian political, social, cultural, and the religious ground when we talk of Hinduism or the nation of one religious community. Maulana Azad always criticized and protested the Muslim League's 'Two-Nation Theory'. He said that neither the Muslims nor the Hindus must say that this nation belongs to one of them only. Instead, both of the major religious leaders must try to establish a *United India* which has place and respect for each other.

Finally, the claim of being an Indian may be judged by his speech in the Congress session of 1940:

"I am proud of being an Indian. I am part of the indivisible unity that is Indian nationality. I am indispensable to this noble edifice and without me this splendid structure is incomplete. I am an essential element, which has gone to build India. I can never surrender this claim."

AZAD'S VISION OF THE SECULAR STATE

Maulana Abul Kalam Azad accepted secularism as well as humanism. He made all possible attempts to join the distinctive groups of India for their own particular advancement. Likewise, he trusted that peace was one of the elements of common patriotism. To him, peace and non-violence gave the much needed technique in the battle for autonomy. He was against the utilization of barbarism by religion. He was a staunch rival of the segment who supported a league of self-ruling areas with their own constitutions. The segment hurt him significantly and smashed his fantasy of a country bound together where the Hindus and the Muslims would flourish together. The Indian Constitution is a liberal law, which accommodates the common people.

The constitution values and advances pluralism through two theoretical instruments, in particular, secularism and federalism. In the west, secularism came generally out of the contention amongst the chapel and the State. Unlike the west, Secularism in India is considered as a framework for managing the religious and social pluralism. Secularism, as comprehended in the Indian governmental issues today, implies hostility to communalism.

Abul Kalam had the intuition to see the distinction between the religion and the culture. In his book 'India Wins Freedom', he wrote that, 'it is one of the best fakes on the common people to propose that religious unity can join regions on the land, India, which is financially and socially unique'.

In the convocational address at the Aligarh Muslim University in February 1949, Maulana Azad Justified that India is a secular State.

"I think you will agree that the educational set-up for a secular and democratic State must be secular. It should provide for all citizens of the State the same type of education without any distinction. It should have its own intellectual flavor and its own national character. It should have as its aim the ideal of human progress and prosperity. The Indian Union has set before itself such a scheme of common education for all without distinction or discrimination in the favor of any community or group."

AZAD'S VIEW ON THE PARTITION OF INDIA

Azad strongly opposed the partition of India. His prophecy was that Muslims would lose two major things due to partition—on the Indian side, the Muslims would lose their majority, on the Pakistan's side, the Muslim population would not be able to compete with India, nor would it be able to solve the issues of the Indian Muslims.

Both of his perceptions are correct in the present context. Thus, he believed that the partition would give birth to two States that would always be in confrontation with each other. Maulana Azad's views earned him a contentious status in both India and Pakistan. Many Pakistanis considered his ideas of secularism and nationalism to be against the Islam. In India, he was also criticized by many for not doing enough to prevent the partition. He argued that, *'No problem will be solved by the formation of Pakistan, but there will be two opponents against each other.'*

He tried to avoid the partition and fought for the united India until the last moment, but failed. Abul Kalam Azad as the President of the Congress and as a Muslim had warned against partition. He had pinpointed that:

“Partition would be a bitter pill which will keep the two countries at loggerheads, and the condition of the minorities would be miserable”. According to him, “Our national organization had taken a decision in favour of partition but the entire people are grieved over it... if the right solution of the Indian problem could not be found by 15th August. Why take a wrong decision and then grieve over it? I had repeatedly said that it was better to wait until a correct solution was found. I had done my best, my friends and colleagues, unfortunately, did not support me. The only explanation I can find of the strange blindness to facts is that anger or despair had clouded their vision. Perhaps also, the fixation of a date – 15th August- acted like a charm and hypnotized them into accepting whatever Lord Mountbatten said”.

He was the leader of the Muslims in the Congress and he was elected as the President in 1939. By that time, the Muslim League under the leadership of Jinnah was becoming a force in the Indian politics. After the Muslim League’s Lahore Resolution of 1940, which committed the party to the demand for Pakistan, Azad became a target of attack. Emerging as the symbol of those Muslims who wanted a united India, he was seen as an opponent by the Muslim League, which claimed to speak for all the Muslims in the country. Muslim newspapers that supported the Muslim League wrote provocative and aggressive articles against him. He was accused of being a dishonest traitor and betraying Islam. Maulana Azad was not such a politician who would change his party. Azad supported the Congress and rejected the idea of Pakistan; his major argument was in terms of the best interests of the Muslims. He wrote of safeguarding their future, and believed that the Pakistan solution would not remedy the problems of Muslims. His comments on the Muslim League scheme:

“I have studied its feasible impact upon the fortunes of Muslims in India... I have reasoned that it is unsafe for India as an entire, as well as for Muslims, specifically. What’s more, in reality it makes a greater number of issues than it illuminates... Two States going up against each other offer no answer for the issue of each other’s minorities, however, just prompt revenge and retaliations by presenting an arrangement of common prisoners.”

After the formation of Pakistan, Azad cited the lessons of history, which taught that Islam could not unite all Muslims into one state. He commented:

“It is one of the best cheats on the general population to recommend that religious fondness can join territories, which are geologically, financially, and socially extraordinary. The reality of the matter is that Islam looked to set up a public, which rises above the racial, phonetic, monetary and political wildernesses. History has, however, demonstrated that after the initial couple of decades, or at the most, after the principal century, Islam was not ready to join all the Muslim nations into one State in the light of Islam alone.”

India's partition and independence on 15 August 1947 brought with it great violence that took the entire Nation in its sway. Azad took up the responsibility for the safety of the Muslims in India. He visited the affected areas and guided the organising of the refugee camps. Azad gave speeches to large crowds, exhorting for peace and calm in the border areas. He encouraged and helped Indian Muslims, "*to remain in India and not fear for their safety and security.*"

CONCLUSION

Maulana Azad refuted Jinnah's Two-Nation theory and claimed that it is deceiving the people in the name of religion. The real problem of India is an economic one and not communal. The actual differences in India are related to the classes, and not to the communities. He predicted that by dividing India into two Nations on the grounds of religion can never make the two Nations prosperous, which are different in culture, language, and geography. He always preferred the National Unity because for him a disunited India was a disaster for humanity. His vision was about the indivisible unity of the country which he underlined as the Indian Nationalism. He focused on the indivisible Nationalism. He gave the concept of the United India which was unique at that time.

Paying homage to the memory of Maulana Abul Kalam Azad, Dr. Radha Krishnan wrote— "National spirit was the driving force of his life; he was an apostle of the national unity and communal harmony, the lessons which we have to remember even now, since there are forces which are still at work in this country to divide us from one another."

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Domestic Violence Against Women with Special Reference to the Domestic Violence Act 2005

Archana Chawla¹

Abstract—*Domestic violence is the violence that takes place between people on a private territory. The term domestic violence depicts the violence between individuals who are usually related through the law, blood or personal intimacy. Psychologists assert that people deal with their own insecurities and inadequacies by abusing and controlling the lives of others within the safe precincts of domestic walls. The domestic situation usually makes the abused very vulnerable and fragile. Violence on the domestic front has been a part of human society since times immemorial. Violence does not only include beating, rape or sexual abuse. It is anything which infringes upon the rights of the person to be treated as human being. Such violence which occurs within the periphery of a household is domestic violence. This paper concerns with the problem of domestic violence and the law to deal with this problem of domestic violence.*

Keywords: *Domestic Violence, Act, Women, Indian Society, Human Rights*

INTRODUCTION

In the Indian society, the problem of violence against women in the family is not new. Women in our society have been the victims of humiliation, torture and exploitation from the time immemorial, irrespective of the fact that they were also worshipped. Family is considered as the first agency to provide not only the emotional and material support to its members, but also serve as the basic source of personal satisfaction, socialisation and social control. It works as a link between the continuity and the change and as an important source of stability and support. Human development can only be enhanced by enriching the family life. On the other side, the actual practice differs. Due to patriarchy in our family system, the family does not give equal importance to all the members as the role, power and status are strictly determined by the age and gender. Moreover, family is considered a private domain, hence, even the instances of abuse, exploitation, injustice, discrimination and violence are allowed in our patriarchal structure. Gelles (1983), in his writings, gave a clear picture of the family role. He not only considered the family as the source of love, sympathy and support, but also the source of inequality, exploitation and violence.

Women in India, through the ages, have been victimized, humiliated tortured and exploited. There have been incidents of murder, rape, abduction and torture from

¹Research Scholar, Department of Law, Guru Nanak Dev University, Amritsar
E-mail: archanachawla08@yahoo.co.in

the time immemorial. In spite of such a dark past, violence against women has not been given much attention. More so, no attempt has been made to address and understand why such a socially relevant theme has been left neglected and ignored. Violence affects the lives of millions of women worldwide in all the socio-economic and educational classes. It cuts across the cultural and religious barriers, impeding the rights of women to participate fully in a society.

The family is the first and the foremost agency of socialization and social control. In India, domestic violence has been directly related to the status and the role of the individuals in the family. Family, apart from providing security and emotional support, fulfills certain essential and non-essential functions. It provides the safest and the most secure environment to an individual to grow. But, in a patriarchal society like ours, the family consists of the crystallized and legitimized, socially and culturally constructed rigid gender based roles. Such a patriarchal set-up breeds fundamental inequalities between men and women. These inequalities have been a part and parcel of the Indian families for years. In the Vedic times, the traditions and the practices show women enjoying equal status. But later on in the *smritis*, the status of women began to decline. The women's freedom and rights were curtailed. Practices such as the child marriage, denial of education to women and polyandry, etc., became quite prevalent during those times.

In the medieval period, the deterioration in the status of women brought about even more malpractices, such as the devdasi system. In the later period, the illegitimate sexual exploitation of the devdasis became a norm in some parts of India.

The post-industrial era, with the advancement in technology, brought about significant structured and role changes in the family. The women now had two roles to perform, one in the family and the other at the workplace. The burden of this additional role called for the redefinition of the rigid gender based roles. It also required a shift in the mindset of the people which, sadly, has not taken place till today. There is insecurity and instability in the relationships of the most spouses. Thus, the pressures created have made the family a storehouse of the most perverse kinds of violence, one of them being domestic violence.

Domestic violence in India came into sharp focus in the 1980s. That phase saw a widespread coverage by the mass media of the growing incidences of torture of brides, dowry deaths and protests against some of the heinous incidents of domestic violence. India's commitment to eliminate violence against women became even more obvious with India becoming a signatory to the convention on elimination of all forms of discrimination against women in 1980. The reporting increased even more after

1981. With the 4th World Conference held in Beijing in 1995, came the amendment of social laws. This was done when the Women's liberation movement (WLM) responded to the issues of violence against women and identified the eleven critical areas of concern. This led to further reporting of crimes against women in our country.

DEFINITION OF DOMESTIC VIOLENCE

The Domestic Violence Act 2005 has been defined as, “any act, omission or commission or the conduct of the respondent shall constitute domestic violence in case it:

- i. Harms or injures or endangers the health, safety, life, limb or the well-being, whether mental or physical, of the aggrieved person or tends to do so and includes causing physical abuse, sexual abuse, verbal and emotional abuse and economic abuse; or
- ii. Harasses, harms, injures or endangers the aggrieved person with a view to coerce her or any other person related to her to meet any unlawful demand for any dowry or other property or valuable security; or
- iii. Has the effect of threatening the aggrieved person or any person related to her by any conduct mentioned in clause (a) or clause (b); or
- iv. Otherwise injures or causes harm, whether physical or mental, to the aggrieved person.”

Keeping in view the social and the cultural aspect of the Indian society, we can define domestic violence as all gender based acts which include the physical or the psychological abuse by the family members against women in the family. This could also range from a single assault to the aggravated physical threats of battery, intimidation, coercion, humiliating, verbal use, sexual violence, marital rape, dowry or related violence, violence against the household workers. The attempts to commit such acts are termed as domestic violence.

Domestic violence is a pervasive and serious social malady and a major health problem. It has been in existence for a very long time. It robs the women of their most basic human right, the right to safety in their homes and community, and carried to the extreme, it may, affect the victim's health, economical well-being and work productivity. Despite the intensity of this crime, domestic violence still tends to be a 'Crime of Silence'. This shows that the information about domestic violence is sketchy and, as a consequence, the perpetrators often escape the accountability and continue to commit violent acts.

GLOBAL SCENARIO

“Violence at home” is shocking and ironical. “Home” is where one should be absolutely safe in the haven of the family. Yet, spine-chilling facts reveal that for many women and children, home is a place where they face terror and violence. It is a shame on the human race that this violence at home is perpetrated by no one else but by a close family member/s. Irrespective of a country’s culture, class, religion, level of modernization, advancement and development, the extent of domestic violence is quite alarming. No society can claim to be free of such violence; there is variation only in the patterns and trends of the regions. Studies estimate that from country to country, 10 to 15 per cent of women have experienced physical violence inflicted on them by the intimate partner or the other close family member. Because of the inconsistency in defining domestic violence, it is difficult to get the actual figures regarding this crime.

Most common forms of domestic violence which are prevalent throughout the world include the assault of women and girls, rape and even murder. Violence also includes forced pregnancy, forced abortion, sterilization, dowry related violence and killing in the name of honour. Even the older and widowed women have not been spared from this abuse. Earlier, when her intimate partner sexually raped a woman, it was not a crime. But legislation against marital rape has begun in some countries like the USA, the UK, Australia, Canada, New Zealand, Mexico, etc.

The UN’s digest quotes “domestic violence victim survivors report that the psychological violence is even more severe than the physical brutality”. The mental stress, which the victims undergo, leads to a high percentage of suicide and suicide attempts. The data reveals that even in the most advanced and industrialized countries like the USA, as many as 30 to 40 per cent of the affected women attempt suicide. Sri Lanka records the highest suicide attempts (UNGAD, 1993).

TYPES OF DOMESTIC VIOLENCE

Domestic violence has many forms including the physical violence, sexual violence, emotional abuse, intimidation, economic deprivation or threats of violence. There are a number of dimensions of domestic violence.

- i. Mode: Physical, psychological, sexual and /or social
- ii. Frequency: One-off, occasional, chronic.
- iii. Severity: In terms of both the psychological or the physical harm and the need for treatment-transitory or permanent injury-mild, moderate, severe upto homicide.

Physical Violence: The Domestic Violence Act, 2005 has defined the physical abuse as any act or conduct which is of such a nature as to cause bodily pain, harm or danger of life, limb or health or impair the health or the development of the aggrieved person and includes assault, criminal intimidation by criminal force.

Sexual Violence: The Domestic Violence Act, 2005 has defined sexual abuse as any conduct of a sexual nature that abuses, humiliates, degrades or otherwise violates the dignity of women.

Psychological Violence: According to the Domestic Violence Act, 2005, verbal and emotional abuses include:

- i. Insults, ridicule, humiliation, name-calling and insults or ridicule, especially with regard to not having a male child; and
- ii. Repeated threats to cause physical pain to any person in whom the aggrieved person is interested.

Economic Abuse: The Domestic Violence Act, 2005 explains the economic abuse in detail as:

- i. Deprivation of all or any economic or financial resources to which the aggrieved person is entitled to under any law or custom, whether payable under an order of a court, or otherwise. Or, which the aggrieved person requires out of necessities for the aggrieved person and her children, as in the case of any stridhan, property, jointly or separately owned by the aggrieved person, payment of rental related to the shared household and maintenance.
- ii. Disposal of household effects, any alienation of assets whether movable or immovable, valuables, shares, securities, bonds like the other property in which the aggrieved person has an interest, or is entitled to use by the virtue of the domestic relationship, or which may be reasonably required by the aggrieved person, and
- iii. Prohibition or restriction to continued access to the resources of facilities which the aggrieved person is entitled to use or enjoy by the virtue of the domestic relationship, including the access to the shared household.

Spiritual Violence: It includes:

- i. Using the spouse's or the intimate partner's religious or spiritual beliefs to manipulate them; and
- ii. Preventing the partner from practicing their religion or spiritual beliefs, ridiculing the other person's religious or spiritual beliefs. Spiritual violence has not been included in the Domestic Violence Act, 2005.

PRECIPITATING FACTORS

There are many factors which are responsible for domestic violence against women.

Cultural

- i. Gender specific socialization.
- ii. Expectations of roles within a relationship.
- iii. Belief in the inherent superiority of males.
- iv. Notion of the family as the private sphere and under male control.
- v. Custom of marriage bride price/dowry

Economic

- i. Women's economic dependence on men.
- ii. Limited access to cash and credit.
- iii. Limited access to employment in the formal and the informal sectors.
- iv. Limited access to education and training for women.

Legal

- i. Lesser legal status of women either by the written law or by practice.
- ii. Laws regarding divorce, child custody, maintenance and inheritance.
- iii. Low levels of legal literacy among women.
- iv. Insensitive treatment of women and girls by the police and the judiciary.

Political

- i. Under representation of women in power, in politics, in the media, and in the legal as well as the medical professions.
- ii. Domestic violence is not taken seriously.
- iii. Notion of the family being private and beyond the control of the State.
- iv. Risk entailed in challenging the status quo/ law based on religions.
- v. Limited participation of women in the organized political system.

EXPLOITATION OF WOMEN IN INDIA

Incidences of sexual abuse by near relatives, cohabitation with the near or dear friends and the subsequent decline of marriages and issues related to the illegal

pregnancy, etc., are rampant abuses, the information for which still remains mostly obscure. In addition, the cases of girl students molested by the teachers, or the victims of repeated sexual abuse by the antisocial activists are also an unfortunate reality. Women exploitation in the form of the physical and mental torture on wives by husbands is also common, mostly where women are simply a housewife and not associated with any employment. As a result, they are compelled to keep their head down in a speechless manner, tolerating the cruelty of their husbands. This ultimately makes them mentally disordered. In that hapless state, they often resort to suicide or the other disastrous means. Often, there is no social, moral, ethical and, above all, economic support for them (Dr. Khokan Kumar Bag, Piyal Basu Roy and Mauh 2012).

SOME REASONS FOR INCREASE IN VIOLENCE AGAINST WOMEN

While the basic reason for violence against women is their inherent status in a male dominated society, educationally, economically, politically and socially, there are other factors responsible too.

The increasing criminalization of society, media images of violence, inadequate means of addressing the cause and the consequence of violence, poor enforcement or legal provision, unabashed consumerism and the erosion of traditional values have all added to it. The other reasons can be:

a) More Awareness in Women of Their Rights

The number of complaints being lodged in the various police stations has increased. This shows that awareness of the laws and their rights among women has risen and their attitude has changed. For instance, in the case of offences like rape, the stigma attached to it has lessened to some extent. One of the reasons for this is the increase in the statistical graph of crime against women with more women reporting such cases now. Access to the Mahila Court legal cell has also indirectly helped in encouraging the women to register their complaints.

b) Role of Media

Indian society is quick in being influenced by the west. The condition of the Indian cinema is deteriorating day by day. In Indian movies, it is more of a norm to have a scene of sexual harassment. Such indecent scenes are often shown in the films. Conditions have become such that it has become rather embarrassing to watch the television programmes with the family. Most of the film songs have the heroes and

heroines doing vulgar dances. Even the lyrics of the songs contain sexual innuendoes. Most of the movies portray heroines as sex objects. All this leads to an increase in the atrocities against women. Not only the movies, TV serials and the advertisements are also promoting such undesirable things on the screen.

c) Low Rate of Punishment of Guilty

The low conviction rate is deplorable. The remedies that women have resources to within the law are ineffective. They do not cater to the immediate needs of women. Lack of evidence and the lack of guidance are glaring loopholes existing in the law.

LEGAL PROVISIONS WHICH AIM TO PROTECT THE WOMEN

- i. Under Sec. 125 of the Code of Criminal Procedure (CrPC), the wife can file a suit against her husband if the husband fails to maintain her.
- ii. Sec. 375 defines rape and sec. 376 specifies the punishment for rape under the IPC.
- iii. In the Indian Penal Code (IPC), the kidnapping of women is punishable under the Sec. 359-396.
- iv. Sec. 304B of the IPC relates to Dowry death.
- v. Sec. 494 of the IPC deals with Bigamy.
- vi. Sec. 497 of the IPC deals with Adultery.
- vii. Under the Sec. 498A of the IPC, the FIR can be lodged at any police station or a women cell against torture, both mental and physical, by the husband or the in-laws. The offence is cognizable, non-bailable and non-compoundable. The punishment is imprisonment which may extend up to 7 years with fine.
- viii. Importation of the girls up to 21 years of age from a foreign country shall be punishable under the sec. 366 of the IPC. The punishment can extend up to a term of ten years with the imposition of fine.
- ix. Section 354 deals with outraging the modesty of women. Any Act of molestation with the intent to outrage the modesty of women is punishable.
- x. Section 509 is related with the insult to the modesty of women (sexual harassment), such an act shall be punishable with the imprisonment which may extend up to 10 years along with the fine.

DOMESTIC VIOLENCE AS A VIOLATION OF HUMAN RIGHTS

Women's rights have become an integral part of the International Human Rights Law. It states that the violence against women is a violation of human rights for which the States are accountable. States have an international obligation with regard to the protection of women's rights defined within the framework of the International Human Rights Law. Except for categories such as the "pirates" and "international war criminals", private individuals and agencies are not generally bound by the International Human Rights Law. But the States may be responsible for their failure to meet the international obligations even when the violations originate in the conduct of private individuals (Coomaraswamy 1995). Domestic violence infringes upon the individual's right to life, to security of person, and to freedom from torture, cruelty, or inhuman and degrading treatment (The Commission on Security and Cooperation in Europe, 2001).

Under the International Human Rights Law, the governments are not only obliged to refrain from committing human rights violations, but also obliged to prevent and respond to the human right abuses, without discrimination. In the past, however, a narrow interpretation of the International Human Rights protection has overlooked the issue of the State's inaction to prevent and punish the violations committed by the private actors. The International Covenant on the civil and political rights require the States to respect and ensure, among other things, the right to life, the right to be free from torture and cruelty, inhuman or degrading treatment and the security of person. Increasingly, however, the international legal interpretations and norms are evolving to derive more clearly the positive role and responsibility of the State in preventing the abuses perpetrated by the State or private actors (ECOSOC, Commission on Human Rights, 2004).

With regard to the violence against women, the State's accountability is embedded in the standard of the diligence to protect women's bodily integrity: to prevent, investigate and punish the private or the State violence against women in accordance with the human rights law. In fulfilling this obligation, the State and its agents must undertake the gender analysis in order to accurately assess how, why, and under what circumstances the specific forms of violence are perpetrated (ECOSOC, Commission on Human Rights, 2004).

THE DOMESTIC VIOLENCE ACT, 2005

Domestic violence, according to this act, includes an act or conduct which harms, injures or endangers the health safety and life or the well-being mentally and

physically. It may be in the form of physical, sexual, verbal, emotional and economic abuse to meet any unlawful demand such as dowry or otherwise. Major provisions of this Act are as follows:

- i. Any woman, who is or has been in a domestic or family relationship, when subjected to any act of domestic violence, can complain under this Act.
- ii. Under the Section 5, any aggrieved woman can complain to the concerned protection officer, police officer, or the magistrate.
- iii. Under the Section 7, shelter homes and medical facilities can be provided to aggrieved woman.
- iv. Under the section 17, every aggrieved woman has the right to reside in a shared household.
- v. Under the section 18, protection order by the Magistrate can be given in the favour of the aggrieved women.
- vi. Under the section 20, monetary relief can be given to the aggrieved woman to meet the expenses or the losses.
- vii. Under the section 22, interim compensation can be made available to the aggrieved woman.
- viii. Under the section 30, imprisonment up to 1 year or fine upto Rs. 20,000, or both for the breach of the protection order by the respondent.
- ix. Under the Section 33, the protection officer can be prosecuted upto 1 year imprisonment or fined upto Rs. 20,000, or both for the failure of his duties.

Despite these legal provisions, an extensive range of violent activities at domestic front are occurring both in the private the public places. Cases of this crime reported through the print and electronic media from time to time indicate the need to reconsider. Domestic violence is not only a problem of individual victims but it is a societal issue of grave concern. Some factors which prevent the victimised women from seeking justice through law are:

The Main Factors

- (a) Chain of patriarchy
- (b) Challenge the inherent structure

Other Factors

- i. Individual fears and apprehension related to the consequences of leaving her matrimonial home, this is especially true if a women is nonworking and has no other source of support.
- ii. Lack of support from the parental family and other social networks, especially in terms of the emotional and marital support.
- iii. Inadequacy of the social support network which compels women to “compromise” or reconcile.
- iv. Cultural forces which stigmatize a woman if she dares to challenge the power structure of the society.
- v. Care and custody of the children is an important issue which prevents women from taking any drastic step.
- vi. Inadequacy of the legal provision which takes a long time to dispense justice.
- vii. Lack of the political will to tackle the situation.

CONCLUSION AND SUGGESTIONS

Social factors also play a major role in reporting the number of crimes or atrocities committed on women. All these factors may combine together to build a “culture of sins” around the whole issue. Access to proper forum is yet another hurdle. When it combines with the lack of awareness regarding the women’s rights, it acts as an obstacle in the way of getting justice. A woman may also not lodge a complaint in the case where she has no place to live, when she leaves her matrimonial house or has been disowned by her husband.

“Compromise” is another word used so often by the family members, counsellors and friends. For many, “compromise” is a dangerous interpretation of a very complex sickness of the modern society. The brutality of domestic violence often leads to death. The police often turn a blind eye in such cases; they claim that domestic violence is a “private affair”. It is evident from this that women do not have a say and their voice is throttled and muffled by the lords and masters. Society uses the symbolic emotional appeal to confine Indian women into the vicious circle of subjugation and oppression.

SUGGESTIONS

Following are the suggestions:

- i. The mother-in-law should consider her daughter-in-law as her daughter and the daughter-in-law should also consider her mother-in-law as her mother. Mutual understanding and respect will reduce and eventually eradicate violence at home.
- ii. The husband must secure his wife's safety and ensure that she is not harassed in any way, by any family member.
- iii. The role of father-in-laws in the family is also important. They should control all the family members.
- iv. The main reason of the domestic violence in the present system is the domestic work. So, every family member should understand his/her duty and do the household work according to his/her capability. Hence, the burden of all the domestic work would not be shouldered by women alone.
- v. Use of alcohol is another reason for domestic violence, so it should be controlled by the family.
- vi. The parents of both the families should have a harmonious relationship. If anything is going wrong, they can sit and resolve the matter.
- vii. The interference of the other relatives or the neighbours should be minimized in the family matters.
- viii. It is recommended that more educational campaigns against domestic violence be undertaken. Women empowerment is the most progressive step. This step would ensure the reduction in the cases of domestic violence.

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Sustainable Development Goals and the Concept of Smart Cities

Deepika Gautam¹

Abstract—India is the 7th largest country by area in the world, and the second largest populous and the biggest democracy in the world. In 2017, the Indian economy was the world's sixth largest by the GDP and the third largest by the purchasing power parity. For the best economic growth, India still needs to focus much more on the consistently growing sectors like the Infrastructure, Industries, Hospital Services, Tourisms, IT, Foreign Direct Investments, Research & Development, foreign collaborated Higher Education Systems, Service Industries, e-Governance. So, it is the need of the country to concentrate on the 100 Smart Cities in a five-year program under the Indian Government. This paper presents a literature review on the factors of smart cities and the sustainable cities that are aligned to each other in the Sustainable Development Goals.

Keywords: Smart Cities, Economic Growth, GDP, Sustainable Development Goals

INTRODUCTION

The current discussion on the urban sustainability in India is, the 'smart city'. The promise of the 'smart city' enables us to use energy efficiently in the cities, make public transport more efficient and attractive, and enables the planners and the decision makers to provide data to allocate more resources to the public (Townsend, 2014). The Smart City is defined as a digital city which uses the information and communication technologies (ICT). Such a city also uses the other means of quality of urban operations to ensure the enhanced economic, social and the environmental aspects of the current and future generations. The idea of the smart city for debate on the urban development and sustainability is increasingly central. Many cities are now pursuing 'smartness' as a way of improving energy efficiency, transport, and public services. The Government of India has decided to develop '100 smart cities' which will include the modernization of the satellite cities of big cities and the existing mid-size cities. This program will use a mix of the public-private partnerships and public funded infrastructure in the ratio of 80:20.

The year 2015 contained significant political agreements for the future of the sustainable development. The United Nations (UN) member States adopted the 2030 Agenda, during

¹Research Scholar, Dept. of Business Administration, University of Lucknow
E-mail: gautamdeepika27@gmail.com

the 70th session of the United Nations General Assembly (The United Nations, 2015). It includes the 17 ambitious targets and 169 concrete goals. These goals have been officially referred to as the Sustainable Development Goals (SDGs). It has been estimated by the United Nations that by 2050, 66% of the world's population will live in the cities (The United Nations, 2015). This means significant challenges related to the environmental and social sustainability (OECD 2012). In addition, the form of contemporary cities has been viewed as a source of the environmental and social problems.

The city consumes 70% of the world's resources and, therefore, due to the density of the urban population and the intensity of the related economic and social activities, major consumers of energy resources and the greenhouse gases (GHG) are important contributors in emissions. The way to move forward, in order to cope up with the changing of the cities and the restructuring, is to adopt a long-term approach which focuses on stability (Balakalee and Betsill 2005). Moreover, pulling beyond the capabilities and designs of the urban systems, these cities can have adverse effects on the urban growth (Antrop 2004).

In the contemporary cities, the urban systems that operate and organize the urban life as in the built-in form, infrastructure, ecosystem services, human services and administration, are under increasing pressure. This is a huge challenge for sustainability. The existing built-in- environment is already associated with many environmental, social and economic impacts. This impact is evident in the unprotected energy utilization and the concomitant GHG emissions, air and water pollution, environmental degradation, random use of land and the inappropriate urban design. Furthermore, such an environment leads to the related social disability with ineffective mobility and access, increased transportation which results in traffic congestion, lack of public safety and the lack of health.

The objectives of this paper are to define the concept of the sustainable smart cities and the sustainable development goals and how the smart cities pillars and the Sustainable Development Goals Pillars are aligned to each other. The study also intends to find the sustainable smart cities factors with the help of the sustainable development goals.

ROLE OF THE SDGs IN INDIA

From the past, India has been guiding its development path with the objectives of meeting the employment priorities, economic development, food, water, energy security, disaster flexibility and poverty alleviation. India also had to restore its naturally adopting transparent and strong rule with the capital and democratic lines. However,

the increasing challenges of the effects of climate change, increasing inequalities and lagging human development indices are well recognized by both the citizens and the government. After 2015, the UN's Sustainable Development Agenda framework provides an opportunity to renew and integrate the efforts in order to meet, to a significant degree, the national and the global aspirations in a defined time frame.

OBJECTIVES OF THE STUDY

- The objective of this study is to identify the concept of Sustainable Development Goals (SDGs) and Smart Cities.
- To find the factors of smart cities and the sustainable cities that are aligned to each other in the Sustainable Development Goals.

METHODOLOGY

The study is exploratory and based on the secondary sources of information. These include various reports, books, journals, newspaper articles and other sources.

LITERATURE REVIEW

CONCEPT OF THE SUSTAINABLE DEVELOPMENT GOALS (SDGs)

In September 2000, the United Nations set 8 goals known as the Millennium Development Goals (MDGs) for the guidance and the operation of international efforts for eradicating poverty and ensuring development. The MDGs were given a 15-year deadline from 2000-2015. As the deadline was reaching its end, the meeting of the 2010 MDGs Summit urged the United Nations Secretary General to consult in the future. The development agenda was termed as the 2015 agenda. Rio+20 Summit in 2010, organized by the United Nations, brought out the mandate to prepare a set of sustainable development aims. The result of the summit's document, titled 'The future they want', suggests the creation of one Open Working Group, which would prepare a set of drafts. The SDGs group submitted their draft proposals in the United Nations General Assembly in July 2014. The last SDGs were formally adopted by the General Assembly in September 2015.

Advocates of the SDGs argue that they provide an effective way to take action in getting some important development priorities. Another important argument about the SDGs is made to be compared to the MDGs. The motto, 'leaving no one behind', shows that the SDGs clear intention is to move away from the prior view of choosing the fruits of

low-hanging. This has been criticized by the MDGs. There are two suggested elements of 'no one left behind' which deal with the non-income inequality. In particular, many people are in the intersection of inequalities, and the aim is to ensure that the marginalized groups progress faster than the average.

The SDGs have got the opportunity to join the private sector in realizing the development priorities (in fact, private partnership has been envisaged for sustainable development in the goal 17). Wide consultations were done around the world before adopting the SDGs. Strong confidence among the development stakeholders was enlisted to facilitate the SDGs efforts towards priorities which are universal.

Meanwhile, the critics say that the SDGs are highly ambitious for the deadline and sometimes the expression of goals is utopian, especially the eradication of poverty by 2030. The Poverty eradication agenda (associate of MDGs) and the sustainable development agenda (advocated by the Rio Summits) in the SDGs received substantial criticism. This was because of the Global Inclusion Public goods, such as the climate and oceans, were considered to reduce the brevity and measurement that can give a limited set of goals.

Those 17 goals are:

GOAL 1: NO POVERTY

This means the end of poverty everywhere by 2030. The poverty is currently measured as the people living on less than \$1.25 a day and reduces at least by half the proportion of men, women and children of all ages living in poverty in all its dimensions, according to the national definitions.

GOAL 2: ZERO HUNGER

This refers to the food security and the improved nutrition all over the country and promotes the sustainable agriculture in rural areas. The goal of the SDGs till 2030 was to provide safe, nutritious and sufficient food for all.

GOAL 3: GOOD HEALTH AND WELL-BEING

This goal is one of the important goals because our health affects everything from how much we enjoy life to what work we can perform. That's why there's a goal to ensure that everyone has health coverage and access to safe and effective medicines

and vaccines. By 2030, reduce the global maternal mortality ratio to less than 70 per 1, 00,000 live births.

GOAL 4: QUALITY EDUCATION

The goal was to ensure that by 2030, all the girls and boys get completely free, equitable and quality-based primary and secondary education. This should ultimately lead to the relevant and effective learning outcomes. There should be equal opportunity for all women and men to access affordable and quality technical, vocational and tertiary education.

GOAL 5: GENDER EQUITY

The main reason of this goal is to build on these achievements to ensure that there is an end to the discrimination against women and girls everywhere. It is the basic human right.

GOAL 6: CLEAN WATER AND SANITATION

In this goal, by 2030, everyone on earth should have access to safe and affordable drinking water.

GOAL 7: AFFORDABLE AND CLEAN ENERGY

By 2030, ensure universal access to affordable, reliable and modern energy services and substantially increase the share of renewable energy in the global energy mix.

GOAL 8: DECENT WORK AND ECONOMIC GROWTH

Achieve higher levels of economic productivity through diversification, technological upgradation and innovations, including a thorough focus on the high value-added and labour-intensive sectors. Promotion of the development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity, innovation and encourage the formalization and growth of micro, small and medium-sized enterprises, including thorough access to the financial services.

GOAL 9: INDUSTRY, INNOVATION AND INFRASTRUCTURE

Develop quality, reliable, sustainable and resilient infrastructure, including the regional and trans-border infrastructure, to support economic development and human well-being, with a focus on the affordable and equitable access for all.

GOAL 10: REDUCED INEQUALITIES

By 2030, progressively achieve and sustain the income growth of the bottom 40 per cent of the population at a rate higher than the national average. And, to empower and promote the social, economic and political inclusion of all, irrespective of the age, sex, disability, race, ethnicity, origin, religion or the economic or the other status.

GOAL 11: SUSTAINABLE CITIES AND COMMUNITIES

To make cities sustainable for all, create good and affordable public housing. We can upgrade the slum settlements. We can invest in public transport, create green spaces and get a broader range of people involved in the urban planning decisions.

GOAL 12: RESPONSIBLE CONSUMPTION AND PRODUCTION

Implement the 10-year Framework of Programmes on the Sustainable Consumption and Production Patterns. All countries must take action in this regard with the developed countries taking the lead, taking into account the development and capabilities of the developing countries. By 2030, achieve the sustainable management and the efficient use of natural resources, per capita global food waste at the retail and consumer levels. Further, reduce the food losses along the production and supply chains, including the post-harvest losses.

GOAL 13: CLIMATE ACTION

Strengthen the resilience and adaptive capacity to the climate related hazards and natural disasters in all countries, integrate climate change measures into the national policies, strategies and planning.

GOAL 14: LIFE BELOW WATER

By 2025, prevent and significantly reduce the marine pollution of all kinds, in particular from the land-based activities, including the marine debris and nutrient pollution.

GOAL 15: LIFE ON LAND

By 2020, ensure the conservation, restoration and sustainable use of terrestrial and inland freshwater ecosystems and their services, in particular forests, wetlands, mountains and drylands, in line with the obligations under the international agreements.

GOAL 16: PEACE, JUSTICE AND STRONG INSTITUTIONS

Significantly reduce all forms of violence and related death rates everywhere, end the abuse, exploitation, trafficking and all forms of violence against and torture of children, promote the rule of law at the national and international levels and ensure equal access to justice for all.

GOAL 17: PARTNERSHIPS FOR THE GOALS

Strengthen the domestic resource mobilization, including the international support to the developing countries, to improve the domestic capacity for tax and other revenue collection.

SUSTAINABLE SMART CITIES

The word smart city has given a range of conceptual forms along with the alternative adjectives, for example, intelligent city or the digital city. Many definitions of smart cities are present. The label “smart city” is a fuzzy concept and is used in ways that are not always consistent. Neither is there a template for building a smart city, nor is there a one-size-fits-all definition for it (O’Grady and O’Hare, 2012).

This word was first introduced in the 1990s. At that time, the importance of the new ICT was taken into account regarding the modern infrastructure within the cities. The California Institute for Smart Communications was one of the first to focus on how the communities can be smart and how to build a city to implement the Information Technologies (Alawadhi et al. 2012).

A few years later, at the University of Ottawa, the Central Government started criticizing the idea of smart cities. Smart City should have a strong governance oriented approach, which emphasizes the role of the social capital and relationships in the urban development. However, in the first year of the new century at the “urban labeling” event the “Smart City” label spread. A few years ago, the researchers began to ask the real smart cities to stand up and show the many aspects that are hidden behind the self-declaratory credit for the label “Smart City” (Hollands, 2008).

Giffinger et al. (2007) defines the concept of smart city as the “regional competitiveness, transportation and information and communication technology, economics, natural resources, human and social capital, quality of life, and participation of citizens in cities’ governance.

Name and Pardo (2011) examined the possible meanings of the word “smart,” specifically, in the marketing language. “Smartness” is a reference to the Smart City words being more user-friendly than the “intelligent”, which usually seems limited to keeping an instant mind and respond to responses. Explanations show that the word “smart” in “smart” is because the cleverness is realized when the intelligent system is friendly to users when required.

Harrison et al. (2010), in an IBM corporate document, said that the word “Smart City” refers to an “instrumented, interconnected and intelligent city”. “Instrument” shows the ability to capture and integrate live the real world’s sensors, meters, equipment, data through the use of personal tools, and other similar sensors. “Interconnected” means the integration of these data into a computing platform that allows the communication of such information among the various city services. “Intelligent” refers to the inclusion of complex analytics, modelling, optimization, and visualization services to make better operational decisions” (Harrison et al. 2010).

The famous independent American technology and the market research company Forrester Washburn et al. (2010) define the role of ICT in a smart city. “ICT uses the city’s important infrastructure components and services including the city administration, education, healthcare, public safety, real estate, transport, and utilities in a more intelligent, interconnected, and skilled way.”

“Smart City and the Applications” by Kehua Su, Jie Li, Hongbo Fu (2011) states that the various application systems for a smart city are: Construction of a Wireless City, Construction of Smart Home, Construction of Smart Transportation, Smart Public Service and Construction of Social Management, Construction of Smart Urban Management, Construction of Smart Medical Treatment, Construction of Green City, etc.

Haque U (2012), Director of Haque Design and Research, states that the Smart City “is an important initiative for the successful cleverness of the city, it is the first smart citizen.” “Therefore, any adequate model for Smart City should focus on the cleverness of its citizens and communities and their welfare, along with the quality of life.”

According to Rocco Papa, Carmela Gargiulo & Adriana Galderisi (2013), the concept of smart city is giving the answer to making the cities more efficient & sustainable. It is quite popular in the policy field in the recent years. During the 1990’s the development of the information technologies was at the peak level and the people felt that new

technologies can produce new forms of productions, markets, society organization, industries, business districts, residential districts and so on. The term smart city has become more and more widespread in the field of urban planning. Urban planners could give the fundamental direction for making the cities smart by using the smart devices and smart concepts.

In the urban planning area, the term “smart city” is often considered ideologically. According to this, being clever refers to the strategic guidelines which the governments and public agencies, at all levels, are embracing. The idea of cleverness helps to distinguish the policies and programs to target the sustainable development, economic development, better quality of life for the citizens, and making Happiness (Ballas, 2013).

The Institute for Transport and Development Policy (ITDP) defines it as follows: “Bus Rapid Transit (BRT) is a high-quality, bus-based transit system that delivers fast, comfortable, and cost-effective services in metro-level capacities. It does this through the provision of dedicated lanes, with bus ways and iconic stations that are typically aligned to the center of the road, off-board fare collection, and fast and frequent operations.”

The US Department of Energy defines a Smart Grid as, “an electricity delivery system (from the point of generation to the point of consumption) integrated with communications and information technology for the enhanced grid operations, customer services, and the environmental benefits.”

SMART SUSTAINABLE CITIES ARE ALIGNED WITH THE SUSTAINABLE DEVELOPMENT GOALS (SDGS)

The United Nations approved the SDGs in September 2015 at the UN Summit, which has been replaced by the Millennium Development Goals (MDGs). MDGs have made an unprecedented progress in some areas, but there was a lack of change in the society because they were focusing only on the elimination of poverty in the developing countries. There are currently 17 goals with 169 indicators that will define the Global Sustainable Development agenda post-2015. The SDGs will be globally relevant and present a holistic approach to progress by embracing the economic, social and the environmental dimensions. As the governments gear up to sign the SDGs, key roles will be carved out for the multiple stakeholders, including the society and the businesses. The pillars of a Smart Sustainable City are also directly or indirectly aligned with the

objectives of the SDGs. The closer the integration of sustainability into India's '100 Smart Cities' initiative, the greater will be the linkages with the SDGs.

Sustainable Development Goals	Smart City Pillars	Sustainable City Pillars
SDG 1 No Poverty	Incubators, skill development centres, land resources specialised business parks, hubs, etc.	Employment Growth and Opportunity, Competitive Economy
SDG 2 Zero Hunger	Smart healthcare, safe, nutritious and sufficient food	Sanitation, public health and safety
SDG 3 Good Health and Well – Being	Smart healthcare, Smart environment, Smart waste management	Sanitation, public health and safety Water and air quality
SDG 4 Quality Education	Education and capacity building, personality development courses, provide quality education	Incubators, skill development centres, Specialised business parks, hubs, etc.
SDG 5 Gender Equity	Empowerment of women Equal places for women in every institution	Human rights Social inclusion, stakeholder engagement and participation
SDG 6 Clean Water	Smart water management, universal and equitable access to safe and affordable drinking water	Sanitation, public health and safety Water, waste and energy management
SDG 7 Affordable and Clean Energy	Climate change mitigation and adaptation Uses of solar energy	Smart energy management
SDG 8 Decent Work and Economic Growth	Employment growth and opportunity Competitive economy	Incubators, skill development centres, specialised business parks, hubs, etc.
SDG 9 Industry Innovation and Infrastructure	Sustainable transport Green buildings Climate change mitigation and adaptation	Smart spaces Smart communications
SDG 10 Reduce Inequalities	Employment growth and opportunity Social inclusion, stakeholder engagement and participation	Incubators, skill development centres, Specialised business parks, hubs, etc.
SDG 11 Sustainable Cities and Communities	Green buildings Affordable housing Climate change mitigation and adaptation	Smart surveillance, upgrade slums, sustainable transport system for all, etc.
SDG 12 Responsible Consumption	Water, waste and energy management	Smart water management Smart energy management

SDG 13 Climate Action	Climate change mitigation and adaptation	Smart water management, Smart waste management Smart environment Smart energy management
SDG 14 Life Below Water	Natural resource management, including Biodiversity and green cover	Reduce marine pollution of all kinds
SDG 15 Life on Land	Natural resource management, Including the biodiversity and green cover	Smart environment
SDG 16 Peace, Justice and Strong Institutions	Governance, reduce violence, end the abuse, exploitation, trafficking	Sanitation, public health and safety Water and air quality

Model 1: SDGs Model for Smart Cities and Sustainable Cities

Through this model, we describe the concept of the Smart Cities Pillars and the Sustainable Cities Pillars and also describe how these pillars are aligned with the objectives of the Sustainable Development Goals.

“Sustainable Cities (SC) can be understood as the resilient cities that can more readily adapt to, mitigate, and promote the economic, social, and the environmental change. Sustainable development encompasses all the aspects of a city’s healthy development and should be done with a triple bottom line in mind, addressing the economic, financial, social, and environmental issues.”

“Smart cities influence the technology and utilize the existing and planned infrastructure investments to provide a higher quality of living for the residents, a conducive investment climate for businesses and allow maximization of resource utilization and transparency for the governments. They can be considered for the organic integration of systems, IT infrastructure, physical infrastructure, social and business infrastructure. These systems work collectively so as to generate intelligent and actionable information for the decision makers.”

So, these two concepts share a common vision. ICT can also play a significant role in realizing the vision of a sustainable city, and any city that runs on a robust ICT-enabled infrastructure and service delivery model, needs to be sustainable as well. The ICT well places the sustainability lens over the urban development and planning. Hence, the city needs to be both sustainable and smart.

CONCLUSION

The conclusion of this paper is to clarify the concept that is getting increasingly popular which is that of the 'Smart City' and the 'Sustainable Development Goals (SDGs)'. An analysis of the literature review signifies that the meaning of a smart city is multifaceted. It can be interpreted as a city which is smarter than the traditional ones. A "smart city" is equipped to capitalize on the new technologies and insights to transform and enhance its systems operations and service delivery. Descriptions of the smart cities now include the qualities of the people and the communities as well as the ICTs. Many elements and the dimensions characterizing a smart city emerged from the analysis of the existing literature. The model of the Smart Cities Pillars and the Sustainable Cities Pillars describe the factors related to the smart cities and the sustainable cities. Both the Smart City and the Sustainable City Pillars are aligned with the Sustainable Development Goals (SDGs).

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4M Approach to Achieve Sanitation for All—Learning from the Gram Panchayats of Andhra Pradesh, India

Sakshi Saini¹

Abstract—Various policies and programs have been introduced by the governments to deal with the widespread problems of open defecation. Still the problem of open defecation prevails in India. Launch of the most recent Swachh Bharat Abhiyan² points out at the governments' will to solve the problem of open defecation, yet achieving the goal of sanitation for all seems to be a far-flung objective. Various studies show that the lack of community participation and ownership in these programs and the processes involved have been the reason for the limited success of these initiatives. At the same time, there are numerous examples at the ground level where the community participation has shown sustainable achievement of the goal of sanitation for all, in their village. Based on the field level observation and research, the current paper documents the factors supporting the achievement of the goal of sanitation for all. This paper also proposes a 4M approach and describes how a combination of the four components of motivation, mobilization, monitoring and maintenance could bring in the much desired results to achieve India's ambitious sanitation goal in a relatively short time in a more efficient and effective manner.

Keywords: Open Defecation Free, Sanitation, Motivation, Mobilisation, Monitoring and Maintenance

INTRODUCTION

BACKGROUND ON SANITATION PROBLEM IN INDIA

Sanitation is a worldwide problem. It is not just the disposal of human excreta only, as is being understood, it is a comprehensive concept which includes eight components, such as : i) safe disposal of human excreta, ii) usage and maintenance of safe drinking water, iii) personal hygiene, iv) Domestic sanitation & food hygiene, v) Safe disposal of waste water, vi) Management of solid waste, vii) Clean environment (No littering), and viii) Management of Community Toilet Complex (MoDWS-2015). Out of these eight, open defecation is one of the prime areas of concern for the world.

¹Development Professional, 84 Masjid Lane, Jangpura, Bhogal, New Delhi-11001
E-mail: sakshi.saini.02@gmail.com

²Swachh Bharat Abhiyan (English: Clean India Mission) is a campaign by the Government of India to keep the streets, roads and infrastructure of the country's 4,041 statutory cities and towns and its rural areas, clean.

Sanitation in India is not a high priority for the community because of massive poverty, illiteracy and general lack of awareness. The insanitary environment coupled with the poor hygienic practices contribute substantially to the poor health of these communities, particularly of the children. Children, especially the malnourished ones, are very vulnerable to the effects of contaminated drinking water and an insanitary environment (UNICEF, 1988). Lack of sanitation and badly managed sanitation leads to health problems and is one of the major causes of child mortality rate in India. Hygiene for most Indians is confined to the boundaries of their homes (UNICEF, 2001). Improper and ill-managed sanitation facilities and unsafe drinking water can create problems concerning the human health.

Water being a carrier of vectors, for diseases such as the typhoid, cholera, diarrhoea, malaria, filariasis, shistosomiasis, etc., can cause serious problems. *The state of the World's Children*, published in 2004 by the UNICEF, ranked India 53rd in the world in the *under-five mortality rates* (U5MR), with the Sub-Saharan African countries ranking the highest. Waterborne diseases are increasing in India. Acute diarrhoeal diseases have increased from 9.2 million in 1989 to 10.5 million in 2003. The sanitation problem in the Indian communities has emerged in the form of diseases, epidemics and poor health of humans and animals, especially in the villages and the resettlement colonies. The most important cause for this is poor management of waste. The decaying organic matter produces odourless gases which in-turn pollutes the air, surface and the groundwater.

Open defecation near the dwelling units aggravates the situation. Therefore, appropriate management of the waste is most imperative (Economic and Political Weekly, 2007). India alone accounts for the 59% of the 1.1 billion people in the world, and 90% of the 692 million people in South Asia who practice open defecation” (The WHO and the UN Water, 2012). According to a new UN report which prompted the Government to admit it as a “huge shame”, India still has the largest number of people defecating in open in the world. The report (the Progress on Drinking Water and Sanitation, 2014) states that, “Globally, India continues to be the country with the highest number of people (597 million people) practising open defecation”. It has been reported that due to the lack of privacy for defecation in the day, women often reduce their intake of food and water in order to hold on till the darkness sets in, leading to discomfort, urinary tract infections, chronic constipation and mental stress (WHO/UNICEF, 2004). The Government of India has been trying to address the issue of sanitation. This is evident from the launch of the Centre Rural Sanitation

Programme (CRSP) in 1986 to the current Swacch Bharat Mission (SBM) in 2014. In spite of the numerous interventions at the International and National levels, sanitation still remains a major developmental issue.

ENCOUNTERS OF THE POLICIES AND THE PROGRAMS ON SANITATION IN INDIA

Sanitation figured for the first time in the First Five-Year Plan of India, 1951-56, highlighting the importance given to the sanitation, soon after independence. The next emphasis came only twenty years later around 1975 where the toilets as infrastructural projects gained importance. Sanitation was then given importance in the context of Public Health. The next step towards sanitation was taken up in the form of launching the Central Rural Sanitation Programme (CSRP) in 1986 owing to the beginning of the International Water and Sanitation Decade from 1981-1990 by the United Nations. Under the CSRP programme 'supply driven', highly subsidized construction of toilets was included as the main components of the program. In spite of the high subsidies provided in the construction of the toilets, the program lacked far behind in reaching the set target, as the community was still not motivated enough to construct the toilets. Veerashekhara and Bhide, 2009 in their article, point out that only 2% of the respondents who constructed toilets claimed the existence of subsidy as the major motivating factor. 54% of the respondents cited the reasons of inconvenience and lack of privacy in not constructing the toilets. The involvement of the community and the delivery of a need-based program, keeping in mind the cultural values and norms, would have helped in ensuring the success of the CSRP program.

The Total Sanitation Campaign was introduced as an improvement over the preceding programme. One of the main challenges that the CRSP faced was that the 'supply driven' approach did not show the expected results. This was addressed in TSC and a 'demand driven' approach was given importance in this campaign which included the subsidised construction of toilets. Further, it was identified that the expenditure on components, other than construction of individual toilets, like awareness programmes, IEC material, etc., which were introduced to positively influence the impact of the programme, was considerably low. The objective of the TSC was to address the issues related to the awareness and utilization of the toilet. The aim was to go beyond the construction. But, this seems to have not taken place, as most of the expenditure was diverted to construction (Centre for Budget and Governance Accountability, 2011).

It was observed that the officials planning the programme also needed capacity building. Another major issue was the improper function of the local institutions and also question the workings of decentralization (CBGA, 2011).

The Nirmal Gram Puraskar was launched in 2003 as an incentive to the existing TSC programme. The NGP is an award-cum-fiscal incentive scheme to encourage the Panchayati Raj Institutions (PRIs), block and districts to take up the sanitation initiatives (the Ministry of Rural Development 2010). NGP focused on bringing sanitation to the forefront of social and political discourse for development in rural India and develop open defecation free and clean villages that will act as models for others to emulate.

It also aimed to support the implementation of TSC by increasing the social mobilization for attaining the universal sanitation coverage. Awards to the districts, blocks and PRIs were given if there was 100% sanitation coverage of individual households, 100% school and anganwadis sanitation coverage, no open defecation and a clean environment (i.e., with the liquid and solid waste management).

NGP scheme was a success and has made, “the PRIs more responsive to and proactive for solving the people’s problem, which was not happening earlier” (the Ministry of Drinking Water and Sanitation, the Govt. of India). However, the program faced few challenges such as the misuse of the award amount and slippage to open defecation (OD) after receiving the award.

It was observed that more powers and funds for the comprehensive and bottom-up microplanning should be provided to the Panchayats for better functioning of the programme (the Ministry of Drinking Water and Sanitation, Govt. of India). Thus, in the TSC and the NGP, the community participation was encouraged, but it was not facilitated by the government. In addition to that the local government bodies were not given the funds required to take the program forward in the desired direction. Community was also not involved in monitoring of the program. This led to the misuse of funds and slippage to OD after the award was received.

The NGP programme has seen some amount of success owing to its incentive nature. To take this success ahead, the Total Sanitation Programme was renamed and launched as the Nirmal Bharat Abhiyan in 2012 with the same objective of increasing the rural sanitation cover and continuing the existing objectives of TSC. The NBA’s larger vision was to make India Nirmal Bharat by ensuring that all the Gram Panchayats attain a Nirmal status. The NBA’s target to battle the sanitation issues and end open defecation was set as the year of 2022. As the program had similar strategy as NGP,

the challenges also remained the same. With the lack of commitment from the State and the District, there was no platform for the community centric monitoring system in place. Authorities for implementation were the major challenges of the program. Other than that, the high priority on hardware and the low priority on Information, Education and Communication (IEC) also cost the program.

The Swachh Bharat Abhiyan (SBA)-Clean India Campaign was launched in 2014 with the similar vision of achieving total sanitation and making India open defecation free. The launch preceded the Prime Minister's Independence Day speech on 15th August 2014. In his speech the Prime Minister made a commitment to the fellow countrymen and women to make India clean by the 2nd October 2019, the 150th birth anniversary of Mahatma Gandhi. To realize the commitments to clean India by the targeted time, the Government of India has adopted a mission mode by launching the Swachh Bharat Mission (SBM). The primary objective of the Swachh Bharat Abhiyan is to end open defecation by the year 2019.

THE CURRENT SANITATION SCENARIO

Even though various initiatives have been taken up by the government to curb the problem of open defecation, somehow these programs have not led to the desired results. India has surely made some progress in curbing the problem of open defecation; still the goal of providing sanitation to all is far-flung. In spite of the launch of various programs ranging from the Central Rural Sanitation Program in 1986 to the most recent Swachh Bharat Abhiyan in 2014, the problem of open defecation still persists. From 1986 to 2015, India has spent over \$3 billion on constructing toilets across the country (WaterAid, 2015). In the recent budget, allocation for the Swachh Bharat Mission- Gramin increased over threefold from the INR 28.5 billion in the FY 2014-2015 to the INR 9,000 crore in the FY 2016-17 (CPR 2016). There has been continuous increase in the amount of money being invested in achieving the goal of sanitation for all in India, although the progress so far has not been much. Despite such massive investments, India's sanitation campaigns over the years have unfortunately yielded limited results. India continues to have the largest number of people who defecate in the open (the Ministry of Urban Development, Government of India, 2014). India ranks 144 out of the 178 countries with respect to access to sanitation (the Environment Performance Index, Yale University, 2014).

Despite India's multiple initiatives to eliminate open defecation, the World Bank data indicates that in 2015, only 40% of the Indian population had access to improved

sanitation facilities, thereby leaving around 60% (World Bank, 2015) of the population without proper access to sanitation facilities. 62.5% of the rural individuals and 11% of the urban individuals do not have an Individual Household Latrine. As per the UNESCAP (2015) analysis, India lagged behind on the targets of the Millennium Development Goal 7 (with only 54.6% of the households having access to toilets), which focuses on improving the access to adequate sanitation to eliminate open defecation (UNESCAP, 2015). With the current rate of progress, meeting the goal of providing toilets to all seems like a distant aim. Swachhta Status Report of the National Sample Survey Office (NSSO), in 2015, pointed out that more than half of the rural population (52.1 per cent) in India practices open defecation.

Even after the launch of the Swachh Bharat Mission in October 2014, coverage of latrines (structure) in rural India in June 2017 has been reported at 65% only. The current usage of these facilities is yet to be evaluated. If similar trends persist, India may not become the ODF country by 2019, as per the target of the Swachh Bharat Mission. Achieving the goal of sanitation for all, at this pace, may prove to be a hurdle in achieving the newly defined Sustainable Development Goals. Given this progress, meeting the fast approaching deadline of the Swachh Bharat Mission also seems improbable.

But, there was surely some progress made as part of the government programs aiming to provide sanitation for all. Various gram panchayats received the status of being 'open defecation free (ODF)' or the Nirmal Gram³ (clean village). However, a study of the 162 panchayats across the 6 States done for the duration ranging from two to four years, after they won the Nirmal Gram Puraskar⁴ (NGP), found that less than 5 per cent remained open defecation free (Water Aid, 2015). Similar findings are also being reported through various case studies (RALU-AP, 2016). Many of the Nirmal Gram Puraskar awardee villages, who were declared ODF, have slipped back to be non-ODF. Manumakonda- Gram Panchayat in the Bhamini Mandal of the Srikakulam district, Chapadu-Gram Panchayat of the Seetharamapuram Mandal of the Nellore district and many others are examples of this. It has been found in these case studies that the reason for this slippage has been because the programs for the Nirmal Gram (clean Village) have always been seen as the governmental programs, with no sense of ownership from the community. Thus, with the change of the political government,

³Nirmal Gram means 100% households and institutions, including school or anganwadi, with a functioning toilet.

⁴The GOI launched an award based Incentive Scheme for fully sanitized and open defecation free Gram Panchayats, Blocks, Districts and States called "Nirmal Gram Puraskar" (NGP) in October 2003 under its flagship scheme, the Total Sanitation Campaign (TSC).

the programme changed. This further changed the incentives and pressures from the higher authorities. This resulted in the change in the processes of ensuring a clean village (Nirmal Gram-ODF village). Moreover, the imposed sanitation practices lost their relevance and the village resorted to its original state of being an OD village.

As per the Ministry of the Urban Development, the Government of India, 2014, the Indian Government is geared up to spend an additional \$31 billion (more than 2000 billion INR) over 2014–19 for the Swachh Bharat mission. The commitment is to achieve total sanitation goals by 2019. With the political will for keeping India clean being initiated by the Prime Minister himself, the whole government machinery is geared up to achieve sanitation targets—beginning with the sanitation in schools and making villages and cities ODF. Time bound targets have been agreed upon. The current government has taken up sanitation as its top priority in the development mission. The Swachh Bharat Mission (SBM) has been created to drive the sanitation policies, programmes and processes for making India clean over a fixed period of 5 years from 2014–19. The techno-bureaucratic structures, the SBM, have been created at the Centre and in every State to define the sanitation targets. They also prepare programmes with fixed targets at the village, the district and the city levels. At least at the policy level, efforts have been made to engage the important non-State actors in catalyzing the people’s participation in taking action for sanitation. The champions for making sanitation popular at the public level have been selected by the top political executives at various levels. This ranges from the level of the Prime Minister to the Chief Ministers.

These laudable governmental initiatives have created a buzz in the public. The target bound SBM programmes have geared up the government machineries to show the outputs in a fixed period of time. There seems to be obvious pressure on the government structures to use various incentives and other programmatic tools in hand for achieving the sanitation goals. All these are necessary and appreciable exercises. Experiences across the world suggest that achieving complete sanitation is not possible unless the government is proactive. The government must facilitate actions for enabling the environment for individual sanitation practices. While these governmental steps are necessary steps, they are not sufficient. These facilitations are enabling mechanisms to help people to take appropriate responsibilities for their individual sanitation practices. Effort also needs to be made to engage the community in the process. This would ensure that the government’s effort of facilitating the community’s action is well assured of. This highlights the need to develop a strategy which can facilitate the citizens’ participation along with the governmental initiatives.

The first of this focuses on achieving the goal of sanitation for all, and the second is to sustain these sanitation practices.

The present paper strives to emphasize upon those aspects of processes which ensure long term people's participation in the process. In doing so, the paper mainly draws upon learning and experiences of understanding, analysing and documenting (Rapid Action Learning Unit-Andhra Pradesh, 2015-16).

METHODOLOGY OF THE STUDY

This paper is based on the learning experience drawn from the case studies documented as part of the Rapid Action Learning Unit (RALU). RALU was formulated in Andhra Pradesh as a joint partnership initiative of the Society of Participatory Research in Asia, Water Aid and the Government of Andhra Pradesh. As part of the program, for data collection, field visits were done in the gram panchayats (GPs) from all the thirteen districts of Andhra Pradesh. Data was collected from the Gram Panchayats which have achieved the Open Defecation Free (ODF) status and those which were still the non-ODF. Purposive sampling technique was followed to select the Gram Panchayats. A list of Gram Panchayats who have achieved the ODF status and who were still non-ODF was obtained from the Swachh Bharat Mission- Andhra Pradesh Office. From the list of ODF GPs, five GPs were randomly selected from each district, while from the non-ODF GPs, 2 GPs were selected from each district. This was done to account for some of the GPs which might have slipped back from the ODF status. Finally, data was collected from 3 ODF Gram Panchayats, 3 non-ODF Gram Panchayats (GPs which didn't achieve the ODF status or GPs which slipped back from the ODF status) are from each district.

Participatory tools and methods such as the transect walk, focused group discussion, meetings, field observations, semi-structured interviews with the members of the household (fifteen households from each GP selected using random sampling), and semi-structured interviews were used for the data collection during the field visits. In this process, semi-structured interviews were conducted with the key informants at the village level such as, the Sarpanch, ward members, ASHA workers, Anganwadi workers, Swachhta Dhoot, the Panchayat Secretary and the Mandal level officials. Based on the data collected, key positive and negative factors, impacting the achievement of ODF status for a Gram Panchayat, were identified and documented. Learnings from the study have been analysed to propose a "4M approach". This approach can be instrumental in achieving the goal of sanitation for all.

THE 4 M APPROACH FOR COMPLETE SANITATION

As the experiences so far suggest, for achieving and sustaining the desired sanitation outputs, the first and foremost component is the proactive engagement of the people. That can happen only when people are informed and sensitized to develop willingness to unlearn and then learn better sanitation behaviours. After all, sanitation should be individual's priority to begin with. Thus, rather than just relying on the governmental initiatives, focus should also be at the community's level. People should be motivated to value appropriate sanitation practices.

The first component in proactive engagement of the people is to facilitate, and thus, generate "Motivation in the community" to take up appropriate action for the desired sanitation results. If one thinks about an approach for sustained sanitation across the country, the first component of that approach should be the first M: Motivating the community.

Motivation for appropriate sanitation practices will mobilize the people to act. But those actions are possible only when appropriate resources are mobilized to construct the toilets, etc. Thus, the second M of this approach must be focused upon. The Mobilization of resources, be it the human resources and/or the techno-financial resources, to build capacities for constructions and use of facilities for better sanitation. But the motivation in communities and mobilization of appropriate resources should be appropriately supported by the monitoring of the processes to do so. That is, the monitoring is must to ensure the efficient implementation of the planned process. So, the Monitoring of the processes is the 3rd component in this approach to achieve the desired sanitation results. But for sustaining the achieved goals of sanitation, as the past experiences of slippages suggest, it is important to ensure that the achieved sanitation outputs are maintained over time. Thus, Maintenance is the 4th and the final aspect of the 4M approaches for complete sanitation. All these 4 Ms (Motivation, Mobilization, Monitoring and Maintenance) are independent but interconnected in the right sequence to support any initiative such as the SBM. Afters studying and analysing the cases documented in Andhra Pradesh, the author proposes that these 4Ms could effectively ensure the achievement and sustenance of the desired sanitation goals such as the ODF status for India.

Analysis of the collected data highlighted the presence of these four main components to be the necessary factors which facilitated the achievement of the ODF status. Out of the total thirty, nine ODF Gram Panchayats, from which the data was collected, the following factors were present in varied integrated format in the gram panchayats (refer figure 1). More than the 90% of the gram panchayats quoted motivation of the community and regular monitoring of the process as the key factors for achieving

the ODF status and sustaining it. This was followed by the importance given to mobilization of the resources and maintenance of the outcome. They pointed out that without the regular monitoring, it would not have been possible to achieve and sustain the ODF status.

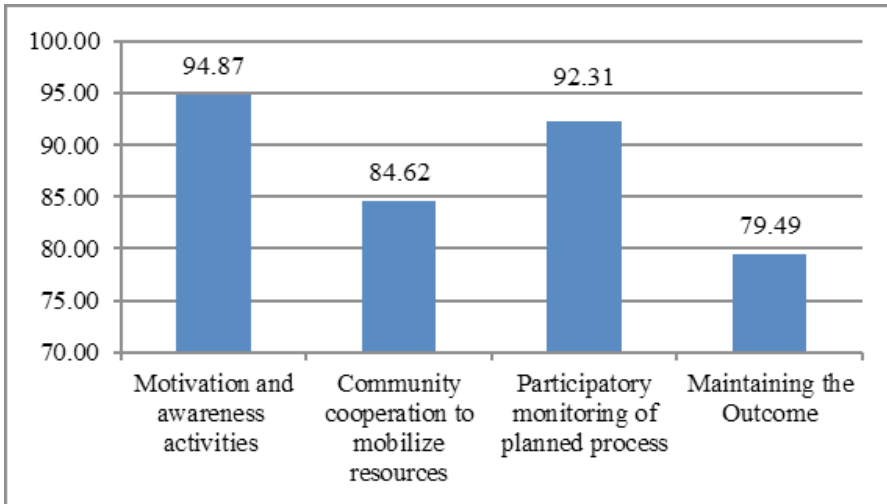


Figure 1: Percentage ODF Gram Panchayats having Presence of the Motivation, Mobilization, Monitoring and Maintenance as the Enabling Components

The four components of the proposed 4M approach are discussed in detail along with the specific examples and cases.

MOTIVATING THE COMMUNITY

India's attempt to achieve the 'sanitation for all' dates back to late 1950s. The initial policy/programme concentrated on a supply based approach to provide toilets for all. As stated by Veerashankarappa and Bhide, (2009) and the other related studies, supply driven approach did not lead to the sustenance of the efforts invested in building the Individual Household Latrines (IHHL). This was because it was an output of one sided supply actions. Demand side, i.e. the community, was not motivated enough to own and use their toilets. It was somewhat imposed upon them and it was a pressurized action on their side. Even if the community got the IHLL from the government scheme, the 'gift' was somewhat unacceptable due to its inherent inability to induce the ownership.

Activities leading to the awareness generation, which in turn would lead to a demand from the community, are being given importance in the programs/policies after the 1990s. The SBM has defined its strategy very well and geared up the machinery for

implementing its action plan. But, even with all resources at its command, it cannot impose or ensure the sanitation norms at the individual/personal level. The common citizens and the local institutions need to take responsibilities for the local conduct at the individual level or even at the SBM level as the active partners in actions for sanitation. But for that, the communities need to be motivated to take the ownership of the process and support the process of becoming the ODF. These drives and supports should guide the SBM's functioning.

“Motivation refers to the reasons that underlie behavior that is characterized by the willingness and volition” (Emily L. Rai, 2011). “Motivation of the community”, thus, includes their willingness and volition to do appropriate things for sanitation and hygiene. Motivation is, therefore, a crucial step in the whole process of achieving the ‘sanitation for all’. Motivation leads to the need generation from within the community, thereby leading to the increased involvement of the community. With this as the premise, it is possible to sustain the initiative. It is when the community perceives it as a need, felt from within, it is easy to fulfill it.

Perhaps the institutions and the individuals at the local level do understand the importance of motivation better. Recognizing the potential of motivation, most of the Gram Panchayats (GPs) in Andhra Pradesh emphasized on the awareness building activities under the Information Education Communication (IEC) component of the SBM. These GPs undertook motivation activities on various grounds that will influence its population. Such activities included the safety and dignity of women, effects of insanitary and the unhygienic conditions on health, and the costs incurred due to lack of sanitation, etc.

The Gram Panchayat team, comprising the Sarpanch, Vice-Sarpanch, Ward members Health workers and the field assistant, motivated different sections of the society on different grounds. For example, in Rentapalla Gram Panchayat in the Sattenapalle Mandal of the Guntur District, children were engaged to motivate the parents on the grounds of children's health to construct toilets. Gram panchayats such as Peddireddipalem, Gollapadu, Abburu, etc., of the Guntur District used the subject of women's dignity as one of the ways to motivate the community for toilet construction. Use of somewhat negative themes as the “motivation of community” may be debatable, but it worked well for these gram panchayats. Use of emotional means and methods, convincing quotes and data, calls by the celebrities, etc., are some of the well-practiced methods of motivation.

The source of information plays an important role in increasing the effects of information on individuals. Based on this, motivation was undertaken by the trusted members of the community, members of the same caste. In one instance

of the Rentapalla Gram Panchayat in Sattennapalle Mandal in the Guntur district, Ramachandra Rao, a popular person of the community, contributed to the mission of motivating the households to construct the Individual Household Latrines (IHHL). Kappaladoddi Gram Panchayat of the Krishna district, with 832 households and a population of over 4000 people, also had the community leaders motivating the community to opt for better sanitation practices. Apart from the official meetings, the Sarpanch had appointed two people as the Swacchata Doots (Ambassadors of Cleanliness). Their job was to collect the information and explain to the people in the village about the benefits of the SBM scheme.

Even the myths prevailing in the community were considered while motivating the community. Some cultural beliefs and practices like the “*vaastu*”⁵ and “no construction during the pregnancy in the family exist in the villages of Andhra Pradesh. The panchayat did not directly oppose any of these beliefs. But, the support of the religious leaders, pundits or an influential mason (*baledar misstry*) was enlisted in convincing the villagers. People were assured that the construction of the toilets is not a sacrilegious activity. Moreover, to avoid any contradictions, the suggestions of the household owners were also incorporated in the construction of toilets. One such example is that of the Gollapadu Gram Panchayat of the Muppala Mandal in the Guntur district.

Motivation of the community in these GPs has helped in ensuring the involvement of the community and brought a sense of ownership. In addition, there has been better usage of the toilet facilities, even if some community members pressurized others to not use the toilet due to certain myths. For instance, in the D.D. Palem Gram Panchayat of Sattennapalle Mandal in the Guntur district, children started using the toilet after construction even though they were being opposed by their parents. These children have been regularly updated and made aware of having good sanitation practices, which was the driving force for these children to start using the toilets. Similarly, in Issapalem Gram Panchayat of Narsaraopet Mandal in Guntur district, motivating the community by using street plays, community meetings, audio-visuals, wall writing, posters, etc., under the Swachh Bharat Mission (Gramin), helped in inspiring the community to construct toilets and use them.

Despite being one of the most important steps in the process, motivating the community stands threatened. If the resources are not available to take the process forward then motivation for the cause would lose its significance. As with the lack of resources and the actual action in the field even the motivation will fade away with time.

⁵Vastu shastra (*vāstu śāstra*) is a traditional Hindu system of architecture which literally translates to “science of architecture.” These are texts found on the Indian subcontinent that describe the principles of design, layout, measurements, ground preparation, space arrangement and spatial geometry.

MOBILIZING THE RESOURCES

In between motivating the individuals to take up action and acting, there is another stage which needs attention in order to ensure the effective implementation of the planned program. This is the stage of “mobilizing resources”. While the availability of the resources at the government levels is important, the efforts at the community levels to mobilize the resources are equally important. It includes estimating the necessary resources and ensuring their availability. Many international and the national studies point out that the lack of resources has a negative impact on the implementation of a program. It sabotages all the efforts made in motivating the communities to take up the action. Dukeshire & Thurlow (2002), in their study, point out that the lack of adequate funding (financial resource), government training programs, education (knowledge resource), leaders, and volunteers (Human resource) are one of the major reasons for any process or program to be unsuccessful. The resources need to be carefully planned and mobilized to ensure that the intervention is cost effective and impacts less on the pockets of the community. Thus, the “Mobilization of Resources” is the second component of the 4M approach.

Abburu GP of the Sattenapalle Mandal in the Guntur district points out the importance of mobilization of resources where, after the lead was taken by its Sarpanch, the construction material was procured in bulk. It reduced the cost of construction material and also ensured the same quality of the material. This took care of the challenge being faced by the community to afford and procure the construction material. Abburu and Manduvaripalem GPs of Guntur and Prakasam district, respectively, also mobilized people within the village by asking the community members to contribute to the effort and labour required in digging pits. This further reduced the cost of construction.

In Bollavaram Gram Panchayat of the Muppalaa Mandal of the Guntur district, the cost of the construction material and its procurement was seen as the major challenge in constructing the toilets. The Mandal Parishad Development Officer, Mrs. Usharani, took the lead in procuring the discounted material for construction of the IHHL. This further motivated the community as well as helped in mobilizing resources to construct the toilet. In Gollapadu Gram Panchayat, located in the Muppala Mandal of the Guntur district, the Panchayat’s secretary took care of all the documentation necessary for availing the financial support that the scheme provides.

Swachh Bharat Mission is an incentive-based scheme. The first installment of the incentive is received only after the partial construction of the toilet. But for this, an initial investment has to be made by the households themselves. This initial investment has emerged as the major challenge in the process of initiating the construction.

Many families did not have enough money to initiate the construction. In such cases, the Sarpanch, local leaders or the economically well off people provided the initial amount for construction. At times, the Sarpanch has taken the lead and provided the initial amount of investment. For instance, in the case of Bollavaram GP of Muppalla Mandal, or the Boni GP of Anandpuram Mandal, the Sarpanchs (of the Guntur District and the Visakhapatnam district, respectively) used their personal money for the construction of toilets in the village as a support to the “financially backward families”.

The Rentapalla Panchayat of Sattenapalle Mandal in the Guntur District devised a system of pooling in money from the personal sources of the GP members and give money to those households which could not afford the initial investment. The construction material was bought in bulk to further reduce the cost of construction.

The local leaders and the community members have often played an important role in mobilizing the initial resources. Good examples of this are the Allurivaripalem GP of Narasaraopet Mandal, the Gollapadu GP and the Komaravolu GP of Muppala and Pamaru Mandal, where the community members provided the initial money to start the construction of the toilet and helped these households. These are laudable cases of community responsibility where the community members worked along with the Panchayat team, spent their own money to initiate construction for the households that did not have the financial capacity. After receiving the first installment from SBM, the families used that money to complete the process and acquire an IHHL.

After ensuring that the community is motivated enough and the demand for the construction is generated along with mobilizing resources to do the construction, comes the stage of actual construction. It can be stated that till this point the planning process has been going on and after that comes the actual implementation of the plan. These processes in turn add and complement the other aspects of 4 M approach. For example, the resource mobilization brings in a sense of ownership (motivation is prerequisite for that) and responsibility (sometime overturning for monitoring).

MONITORING OF THE PROCESS

The dictionary meaning of monitoring is a systemic review over a period of time. In other words, it is to keep a check on something. The initial preparatory phases of the program always do not foresee all the hurdles that may come across while implementing the program. Regular monitoring of the process, done at all the stages of the program, is one of the important factors in ensuring the success of the program. “Monitoring of the process” ensures that regular feedbacks are put in the system to timely take actions to ensure any control or rectification of action, if need be.

Monitoring should not only be by the government (which generally has been the case) but it should be community centric. So that even with the change in the interest of the government for discontinuing/continuing an initiative, the program will sustain because it is based on community demands and monitoring.

The usual scheme of monitoring of system and the process is well established in the programmatic framework of the government. The Monitoring and Evaluation (M&E) system in the SBM has its own importance. But it may not be sufficient due to the reasons like: the data quality may be poor and not updated. This implies that the given data may not be as effective in improving the program outputs as on-time or in-time data generated at the local level by the community. Social audit and on-monitoring by the community of Mahatma Gandhi National Rural Employment Guarantee Act also provides support to the fact that community monitoring is important. The importance of monitoring is further substantiated by the examples given above and below.

Few GPs in Andhra Pradesh got notice of the problems in the program. They were able to solve the issues that came their way during the implementation of the program using the context-based solutions. This was possible because of the regular monitoring of the process. Challenges like the spatial constraints, cultural beliefs, and financial constraints, etc., were solved as they hindered the construction process. If one GP built bigger toilets to accommodate the other sanitary needs of the people, another GP used its local service people such as the masons, pujaris (religious leaders), etc., to solve the above mentioned issues. There have been cases of the third party construction by the cooperative society as well. Here, the resources are pooled in by the cooperative society and the implementation of plan is also done by them. Ammapalem GP of the Pedavegi Mandal in the West Godavari district of Andhra Pradesh is an apt example of this.

Construction being an important and a time consuming process, requires constant monitoring. Manduvaripalem Gram Panchayat of the Ongole Mandal (Prakasam district) engaged the Self-help groups who, after due motivation, along with the elected representatives of the Panchayat played a worthy role here. They took on the responsibility of constant monitoring and ensuring that there is no delay in the process. The Sarpanch, the Panchayat secretary and the SHGs together monitored this process and any deviation or delay was reported for immediate redressal.

Abburu GP of the Guntur district, during the process of construction, decided to go beyond just the construction of IHHL to include a bathing space, therefore, increasing the area of construction from 4 X 3 ft to 4 X 6ft. Similarly the construction of the community toilets was taken up by few GPs that had immigration during the

agricultural seasons. Rentapalla and Kappaldoddi in the Guntur the Krishna District, respectively, constructed community toilets due to similar needs arising during the construction process. While the Rentapalla GP also engaged the local Masons to solve the spatial problems and Vastu in the GP, Kappaldoddi provided toilets for the households, which did not have space for construction of IHHL.

The Sarpanch of K. Rajupalem GP (Prakasam district), Mr. Muralidhar Rao has regularly monitored the process of construction by being involved in the day-to-day process of the procurement of material and construction of IHHL in the GP. He ensured the quality and the time for the construction to avoid delay in the process. In fact, he was physically present at the construction site during the process. Such community centric monitoring ensured the smooth implementation of the planned construction in a timely manner.

The need for monitoring the process was also enlisted for putting a check on the people defecating in the open. The Gram Panchayats in Andhra Pradesh have used various methods for monitoring it. For instance, the GPs commonly employed at least two people who would pace with whistles around the sites often used for open defecation. The Rentapalla Gram Panchayat in the Sattennapalle Mandal in the Guntur district employed 5 members from the community to watch over the outskirts of the village and other places where open defecation was usually practiced. The Gram Panchayat members also mildly pressurized the households by threatening to cut off the other benefits from the government (such as the pension, food rations, etc.) unless the latrines were constructed and used. This has resulted in reinforcement and the households have come forward to construct and use latrines.

Another method was through fines. Fines were levied on the people caught defecating in the open. Few GPs also went on to form monitoring committees consisting of the ward members and youth of the village for two to three months. This was done after achieving the ODF status to ensure that there would be no relapse to open defecation. In the GPs such as Peddireddipalem, Gubagundamand, Sankuvanigunta of Narsaraopet (Guntur District), Allagada (Kurnool District) and Kothapatnam Mandal (Prakasam district), the fine was levied on people who continued defecating in the open. Komaravolu GP of the Visakhapatnam district formed a full-fledged monitoring committee called the 'Swachta Nigha Vibhagam' consisting of 15 people who were responsible for monitoring the sanitation aspects in the village. Village level monitoring committee was formed in Issapalem Gram Panchayat of Narsaraopet Mandal in Guntur district to ensure that ODF is sustained over a period of two months. The GP implemented monitoring during the implementation phase of the program, and also vigilance after the construction of the toilets.

These monitoring factors right from the stage of implementation helped in ensuring that the planned activities do not derail from the agreed process. It also helps in avoiding delays and in checking any relapse to open defecation or slip back from the ODF status. Without the continuous monitoring, most of the GPs have slipped back to open defecation. For example, the Manumakonda GP of Bhamini mandal in Srikakulam district, the Seetharamapuram GP of Chapadu Mandal in Cuddapah District and many more.

MAINTENANCE OF THE SANITATION OUTPUTS

Achieving complete sanitation does not end at the construction and monitoring for a period of time. Long-term sustenance of the achieved results is the key for the success of any program. In order to ensure the sustainability of the program, it is important to maintain continuous output of the program. India has a history of losing its infrastructure and facilities due to poor or no maintenance. Even the 13th Finance commission of India, in its report, expressed concern on the operation and maintenance of infrastructure and facilities created by the taxpayers' money. For this reason, it recommended specific grants to the panchayats and municipalities at the local level to maintain the facilities in the future.

Many studies and review reports have also pointed out the poor maintenance of facilities ranging from the handpump to the primary health centers which have become dysfunctional due to lack of proper maintenance. The public toilets in most of the places are very visible examples of the lack of maintenance. The stories of unused or inappropriately used toilets constructed under different sanitation schemes also reflect on the poor operation and maintenance. Even the Finance commissions (including the most recent Fourteenth Finance Commission of India) in the country have emphasized upon the investments on maintenance as part of the efficient use of resources.

Sustaining the status of ODF has been one big challenge for the community. Regular efforts need to be made to ensure that the community maintains the output. User-based maintenance is always efficient and effective and, therefore, sustainable. The term maintenance here also refers to the maintenance of efforts to motivate people to use the toilets, as well as the maintenance of the structures which have been constructed, and thereafter, the maintenance of ODF status.

On the other hand, there are innumerable examples where the common facilities are excellently maintained by the groups or local institutions of the communities. Wherever the individuals have understood and internalized the importance of sanitation facilities, toilets are appropriately maintained. Maintenance is a habit, a concept that needs to be emphasized and encouraged. People should be taught and

trained in ways of maintaining their toilets or any facilities. Even the RALU case studies point out the importance of maintenance to secure and retain the status of ODF.

The GPs such as Abburu, Rentapalla, Issapalem, Kappaldoddi, K. Rajupalem and Gollapadu have worked on maintaining the results achieved by the efforts taken in the above stages. To ensure the maintenance of sanitation facilities in their villages, the Sarpanches or the Ex-Sarpanches have taken the lead to distribute sanitary kits (including a bucket, brush, broom, etc.) to all the households as an incentive to maintain the service. Along with the distribution of kits, a discussion and display on the practices to maintain the facility is also done. A group of households in the Gollapadu GP of Guntur district were identified to be using the toilet cleaning material (Harpic). Upon enquiry, they revealed that their children, who were in schools, had brought the cleaning equipment and liquid. It was these children who convinced their parents to maintain the toilet facilities by keeping them clean.

These are some of the initiatives which reiterate the message on the importance of sanitation. Apart from these, the IEC messages continue to convince people to maintain their toilet structures as well as to use them well. In addition, the waste collection was observed to be given importance. The villages introduced the practice of distributing the dust bins, placing garbage bins at the end of the streets and employing a person to collect the household waste. The Panchyats have also reiterated the message to maintain the toilets, and to ensure the cleanliness of the surroundings.

CONCLUSION AND THE WAY FORWARD

Sanitation Policies have been launched, renamed and restructured with the inclusion and improvements over the previous programmes considering the positives, and the challenges faced, i.e., with the ideas of what worked and what did not. Each programme is an improvement over the previous one with the additions and deletions wherever necessary. It is important to pay attention to the underlying complexities of the mechanisms involved that influence the sanitation behaviour among people, or we stand the risk of missing all the trees for the forest! In other words, we might miss upon the social and economic dimensions of the sanitation needs of the people in the hurry to count the number of toilets provided. The current service delivery and governance system face many challenges.

It is an irony that India has yet not achieved the basic sanitation goals despite its efforts towards achieving the same since the day of independence. If one looks at the resources invested in terms of time, energy and billons of rupees, the investment has been huge. But, perhaps it was more of a single track investment where the

government initiated, designed and owned everything involved. Appropriate investments in sensitizing and capacitating communities did not happen. The primary stakeholder, the community, was at receiving end, without any motivation, without any responsibility and without any role. Most of the reviews have emphasized on the community engagements. Citizens, being an equal partner in the governance system, can help in facing the existing governance challenges by enhancing the accountability of the government functionaries, taking ownership of the program as well as giving the best possible solutions to the problem. This partnership can be linked to perform integral functions in the area of development.

This paper, on the basis of the discussion above, suggests that it is not the question of either the government or the community. The engagements of government and communities are both important for the sanitation drives to succeed. This is the most necessary step, but only this is not sufficient to make a program successful. What makes the initiative successful are the different permutations and combinations of the proposed 4 factors as per the local contexts. That is, it emphasis upon the combination of the independent, yet interconnected components: motivation, mobilization, monitoring and maintenance. These 4 factors, when taken together, form an approach, termed as the 4M approach in this paper, which is a must for any sanitation initiative to succeed. Thus, the SBM needs to review the different programs and processes of sanitation through this lens. It needs to check whether the community is motivated enough to mobilize resources, monitor the process and maintain the outputs such as the ODF status, and school sanitation. In fact, the permutations and combinations of these 4 factors hold true for all initiatives like the Sarva Shiksha Abhiyan, Mahatma Gandhi National Rural Employment Guarantee Act (Scheme), the National Health Mission (NHM), etc.

Enabling environment to promote collaboration, capacity building, and inclusive processes should be provided by the government agencies. At the same time, attention should be paid to the equitable participation of all the stakeholders, and the processes should ensure transparency, accountability. There must be a balanced representation to allow all the stakeholders to represent their interests on the table. While the citizen-government partnership is not without challenges, their demonstrated successes and potential presents a hopeful strategy to bring the stakeholders together, and address the complex issues that individual sectors simply cannot overcome alone. Forming this partnership will require all the partners to critically consider their roles based on their strengths and weaknesses and move forward.

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Whether the Gender of a Judge Interferes with the Judicial Decisions Delivered: A Critical Analysis

Swati Singh Parmar¹

Abstract—*Since early times, it was the king who was treated as the 'foundation of justice' and not the queen. The main construction of law and the machinery of law have always been male-oriented and male-centric. Even when we talk of numbers, the number of male judges and male advocates outnumber the number of female judges and female judges, respectively. We all know that the chair of judge is the one that ought to be free from any bias. But, there are several instances where there is a possibility of the interference of one's gender attributes in the judicial decisions that he/she delivers. Whether the gender of a judge interferes with his/her decision making or not and if yes, then how and to what degree, has not been much researched on. The interference of the judges' gender attributes in their judicial pronouncements is a severe issue that calls for attention of various legal researchers. The gender effectuated judicial decisions give rise to serious questions on the impartial character of the judiciary. Keeping in view the diverse views of the scholars and gender experts on the subject matter, it is clear as to why a concrete and objective conclusion has not yet been arrived at regarding the effects of the gender of a judge on the judicial decisions rendered thereby.*

Keywords: *Gender Effectuated Decisions, Judge, Impartiality, Gender Fairness, Gender Blindness, Gay Rights.*

INTRODUCTION

"There is no such thing as an impartial jury because there are no impartial people."

—Jon Stewart

Absence of bias, prejudice or favour is the basic attribute of a judge and that is why the statue of justice is blindfolded. An objective and fair judicial decision is attributable to the impartiality of the judge. Nevertheless, it is human to be affected by one's own perceptions and inclinations which may be intrinsic to one's gender experiences. The gender of a judge may have a direct or an indirect influence on the way he/she perceives a case, which, may give rise to noticeable gender based differences in the judicial decision making.

Judicial decisions are expected to be based on factors that are external, and may even conflict with his/her personal reservation on the subject. The judges are expected

¹Assistant Professor, Amity Law School, Amity University, Lucknow Campus
E-mail: ssp.swati@gmail.com

to consider the accepted norms of the society, even if they are not his/her norms. While dispensing justice, it is expected of a judge that all his personal inclinations, perceptions, ideologies would be kept at bay. And, the judicial pronouncement would be made by adoption of a neutral stature by the judge.

Impartiality and fairness are supposed to be the primary attributes of a judge, and, so a judge is reposed with the high degree of responsibility of dispensing justice efficiently without any personal bias. For all their assertions of impartiality and fairness, the concepts that underpin law—and frame the ways we think about justice—are laced with gendered notions, from the evolution of the symbol of ‘Lady Justice’ from the Goddess Themis to the Enlightenment-era reworking of the relationship between citizen, State and the law through the assertions of rights of ‘man’. And, this fact cannot be overlooked that the judicial systems across the world are male dominated in two senses at least: male judges make up the majority of judges in the national formal judicial systems; and, modern justice systems emerged out of the patriarchal conceptions of justice², as the feminists legal scholars and socio-legal scholars have argued.

In the current work, an attempt is made to ascertain that whether the judicial decisions are effectuated by the gender of a judge.

One of the more serious non-random or systematic biases that can cause a low response rate is self-selection: that is, people who are interested in, or have strong opinions on, the survey topic are more likely to complete and return questionnaires than people who do not have such opinions or interests. Such self-selection can potentially skew the survey results in unpredictable ways. Hence, the survey results should not be considered necessarily generalizable to all the Indian judges.

UNDERSTANDING THE EFFECT OF THE GENDER OF A JUDGE

“Studies show overwhelming evidence that gender-based myths, biases and stereotypes are deeply embedded in the attitudes of many male judges....Researchers have concluded that gender difference has been a significant factor in judicial decision-making.”

—Bertha Wilson, first female justice on the Canadian Supreme Court

“There is simply no empirical evidence that gender differences lead to discernible differences in rendering judgment.”

—Sandra Day O’Connor, first female justice on the U.S. Supreme Court

²Heather, McRobie, *When the judge is a female*, Published on openDemocracy (<https://www.opendemocracy.net>), Published on 19 november 2013

BACKGROUND

Impartiality is the basic attribute of a judge upon which the judicial objectivity rests. Society reposes a great degree of responsibility on the judges by relying on them for justice and fairness. And this pious responsibility of a judge can be met only when he/she is an unbiased and an impartial being at the chair of a judge. A judge may have his/her views, ideologies, political affinity or gendered experiences as a common man, but when he/she is in the seat of justice, a high degree of fairness and impartiality is expected of him/her. One's inner self is expected to be detached from him/her while he dons the mantle of justice.

“The law, in fact, invites us to consider and make judgments about life experiences. You, of course, bring your life experiences to the table. I’m absolutely not saying I only believe women. It’s not a one-to-one correlation. But clearly you begin the analysis with your soul, with your person.”

—Nancy Gertner³, Former US Federal Judge

In 1980s, gender bias in the courts was an invisible issue. In 1986 it was the subject of an education program for the Conference of Chief Justices. In 1992, an appellate court for the first time reversed a trial court judge for gender biased decision making. And by January 1999, 45 States and most federal circuits had created task forces on gender bias in the courts, and their reports had been cited in over one hundred State and federal judicial opinions.

When the scholars first began to analyze the role of gender in the judicial branch about twenty-five years ago, many expected that there would be statistical differences in the way judges ruled.⁴ As females first appeared on the federal bench in the late 1970s, one social scientist boldly asserted that “common sense as well as the sociological theory suggests that socialization experiences of men and women are significantly different,” and that these differences would likely find a home in the federal judicial

³Nancy Gertner, who recently retired from full-time service with the U.S. District Court for the District of Massachusetts and is the author of “In Defense of Women: Memoirs of an Unrepentant Advocate,” said judges are asked to bring their experiences to the table when deciding cases, and women can bring different experiences and perspectives.

⁴See, e.g., Herbert M. Kritzer & Thomas M. Uhlman. Sisterhood in the Courtroom: Sex of Judge and Defendant in Criminal Case Disposition, 14 Soc. Sc1. Q. 77 (1977).

decisions.⁵ Other social scientists generated studies that undermined the notion that female judges would be more “liberal” than the non liberal judges.⁶

Alongside the work of the sociologists and political scientists, sits the work done by the feminist legal theorists. They have offered a more nuanced approach to studying the gender in the federal judiciary than the binary liberal versus the conservative paradigm.⁷ They have explained that not all the “liberal” issues or the “conservative” issues are gendered, and instead have hypothesized that when legal questions allow female judges to create a more inclusive American community, they will do so more often than their male counterparts.⁸

*In the eyes of their superiors and colleagues, motherhood in particular imparts women with classical female qualities such as empathy, mercifulness, indulgence and tolerance, qualities that run directly counter to . . . [and] . . . threaten the familiar and established image of the judiciary. This, in turn leads to a tendency towards self-replication by means of conscious or unconscious defence mechanisms and strategies to maintain at least the outer appearance of masculinity . . . [including] . . . attempts to fill mostly with men leadership positions that are crucial to determine the judicial public image. . . Somewhere in the background is also the secret fear that feminization of the judiciary might bring about the devaluation of the institution.*⁹

Some researchers argue that since judges also come from the same society which they have to deal with, they also cannot be entirely free from the value system, the prejudices, the biases and stereotypical views. These would automatically get reflected in the evaluation of evidence and formulation of judgements. For example,

⁵Madison, James, The Federalist No. 52, at 327 (Clinton Rossiter ed., 1961). Quoted in David Songer *et al.*, A Reappraisal of Diversification in the Federal Courts: Gender Effects in the Court of Appeals, 56 J. POL. 425, 426 (1994).

⁶See, e.g., Sue Davis, Impact of President Carter’s Judicial Selection Reforms: A Voting Analysis of the United States Court of Appeals, 14 Am. Pol. Q. 328 (1986).

⁷See, e.g., Beverly B. Cook, Will Women Judges Make a Difference in Women’s Legal Rights?, in Women, Power, And Political Systems 216 (Margherita N. Rendel ed. 1981); David W. Allen & Diane E. Wall, The Behavior of Women State Supreme Court Justices: Are They Tokens or Outsiders?, 12 Just. Sys. J. 232 (1987); Sue Davis, Do Women Judges Speak in a different Voice? Carol Gilligan, Feminist Legal Theory and the Ninth Circuit, 8 WIS. Women’s L.J. 143 (1992-1993). The work of Songer *et al.*, supra note 18, which includes a meta analysis of prior research, was particularly helpful in locating these sources. Some of these studies were plagued by small sample sizes and poor methodology. David Allen and Diane Wall’s work failed to control for variables such as party. For a further enumeration of the flaws in Allen and Wall’s work, see infra note 116

⁸See Songer *et al.*, supra note 42, at 428.

⁹Ulrike Schultz & Gisela Shaw, Gender And Judging, (2013).

Justice William Rehnquist, a leading proponent of states' rights, ruled that states would have to abide by the Family and Medical Leave Act; speculation was rampant that his experience, watching his divorced daughter, Janet, juggle family life, affected his views (Greenhouse 2003¹⁰; Novak 2003¹¹). Another example is that of Justice Harry Blackmun, whose college-aged daughter became pregnant, dropped out of the university, and had a miscarriage, all in the six years before he would go on to write the opinion decriminalizing abortions in *Roe v. Wade* (Greenhouse 2006¹²). But the validity of the argument that gender affects the judicial decisions becomes weak due to the inconsistent empirical findings of previous research.

GENDER FAIRNESS

Gender fairness of a judge, also known as the sex equality, gender egalitarianism, sexual equality or equality of the genders, is the view that men and women should receive equal treatment from a judge, and should not be discriminated against gender in the courts.

GENDER-BLINDNESS

Gender-blindness refers to the failure to identify or acknowledge the difference on the basis of gender where it is significant. In some cases, it might be helpful in delivering bias-free judicial decisions, while, in some cases, there might be a need of some degree of gender sensitization for the imparting justice as per the facts of the case involved. While justice continues to be blind in the traditional sense, the judges are expected, as per the need of the case, to acquire a third eye to take in the special vulnerabilities and weaknesses of the women victims of various crimes.

DIFFERENTIAL TREATMENT AND GENDERED DIFFERENCES

An analysis, of pre-trial release decisions, sentencing and dismissals, conducted by Kathleen Daly in the United States for example, found that the net of case severity, charge severity, the type of offence charged, prior record, and other defendant

¹⁰Greenhouse, Linda. Evolving Opinions: Heartfelt Words from the Rehnquist Court. New York Times. <http://www.nytimes.com/2003/07/06/weekinreview/ideas-trendsevolving-opinions-heartfelt-words-from-the-rehnquistcourt.html>. (2003)

¹¹Novak, Viveca. Justice Rehnquist, Secret Feminist? Time Magazine: <http://content.time.com/time/magazine/article/0,9171,1005003,00.html>.(2003)

¹²Greenhouse, Linda. Becoming Justice Blackmun: Harry Blackmun's Supreme Court Journey. New York: Macmillan (2006)

characteristics, male and female defendants were being treated differently on “*the basis of their ties to and responsibilities for others*”.

The effect of gender of a judge may, in certain cases, have a positive effect on the decisions rendered by him/ her, as some instances call for an empathetic view of a particular case so as to deal with the matter more efficiently. The gendered experiences, may, in some cases inevitably shape the decision of a judge. As Martha Minow (1987) has so aptly remarked, “the dilemma of difference”—how women can be both equal to and different from men—and the nature of judging, which has to do with how one’s social location and life experiences inevitably shape judgment”.¹³

In a comparative study on the experiences of judges in several countries including South Africa, Australia and the United Kingdom, Laura Hilly addressed the issue of ‘experienced justice’, the gendered experiences of judges, building a picture from analysis of extensive interviews with judges how they perceived the impact their gender had on their experience of judging¹⁴. The analysis highlights the tension in advocating for gender-equal justice systems—the judges repeatedly expressed their concern with ‘identity-determinism’, or the idea that ‘being a woman’ dictated how they would judge, given how this idea stood at odds with their legal training that judges hold a position of impartiality. It is pertinent, here, to see if this gender biasedness results into biased judicial decisions, it could be detrimental to the basic tenets of the judicial systems.

One pioneer spoke of the characteristics of mental alertness, intuition, and the “spiritual qualities of love and service in which women are strong”¹⁵ as well as the fact that women are “uniquely contextual thinkers.”¹⁶ Women are also seen as well suited for alternative dispute resolution. One study found that women judges experience professional stress in ways similar to male judges, but handle it differently, using external mediation and social support including conversations with the family and friends as coping strategies.¹⁷ In a similar vein, another contributor found that women

¹³Minow, Martha. Foreword: Justice Engendered. *Harvard Law Review* 101: 10–95. (1987)

¹⁴Hilly, Laura. Diversity in the Judiciary: Report on the UK, South Africa and Australia– paper presented at international workshop ‘The Judiciary in Territorially and Culturally Compound Systems: Organisation and Functions’, Trento, Italy (May 2015).

¹⁵Marion Röwekamp, First Female Judges in the Weimar Republic in Germany: Reflections on Difference, in *Gender And Judging*, at 103.(2013)

¹⁶Martin, Elaine, Profiles in Leadership: Eminent Women Judges in the United States, in *Gender And Judging*, at 69

¹⁷Ludewig, R & LaLave, J., Professional Stress, Discrimination and Coping Strategies: Similarities and Differences between Female and Male Judges in Switzerland, in *Gender And Judging*, at 233,245. (2013)

had a greater capacity to listen, “consult with others, discuss issues with their team, and make sure that questions have been fully explored, without this impeding their ability to make a decision.”¹⁸

It could be argued, on one hand, that fundamental difference exists between the sexes, and thus, treating men and women equally might further disadvantage the already disadvantaged group. For example, it is said that women’s lives are more likely to be characterised by poverty, domesticity, victimisation and dependency. Thus, in recognising the differential needs of men and women, it may be the case that women should receive differential treatment.¹⁹

However, the equality/difference debate is as such problematic because, whether we treat women differently or similarly to men, women are ultimately disadvantaged. The difference stance does little more than nourish a crude socio-biology and the equal treatment stance can and has been used to the detriment of women²⁰.

CASES OF GENDER EFFECTUATED JUDICIAL DECISIONS

Judges’ Gender Bias in Sexual Offences’ Cases

“Gender bias had to be addressed and attacked.

We’ve come a long way, but have yet to reach the end of the journey.

Even a little bit is too much.

We must remain committed to gender equality.

Our work is not yet done.”

—Chief Judge Robert Bell,

Maryland Court of Appeals in his remarks on the tenth anniversary of the Maryland Select Committee on Gender Equality

¹⁸Boigeol, Anne, *Feminisation of the French ‘Magistrature’: Gender and Judging in a Feminized Context*, in *Gender And Judging*, at 125 (2013)

¹⁹Jeffries, Samantha. *Gendered judgments: Differentiation in criminal court outcomes in proceedings* Women’s Studies Conference, Christchurch, New Zealand, 4. (2001)

²⁰Supra note 46

The gender of judge may have no effect at all on the judicial decisions rendered by him [for example, Westergren's (2004)²¹ examination of a set of cases reveals neither individual nor panel effects based on gender], or may have some degree of interference while arriving at the judicial decisions or may have effect only in certain cases. For instance, Boyd, Epstein, and Martin (2010)²² demonstrate that female judges vote differently than the male judges, but only in cases that involve sex discrimination²³.

*"Behavior or the decision-making of participants in the justice system which is based on or reveals (1) stereotypical attitudes about the nature and roles of women and men; (2) cultural perceptions of their relative worth; and (3) myths and misconceptions about the social and economic realities encountered by both sexes is gender biasness."*²⁴

Other literature has found that being a female judge has an effect on the cases involving sexual harassment, sex discrimination, or the sentences of criminal defendants (e.g., Baldez, Epstein and Martin 2006²⁵; Davis, Haire and Songer 1993²⁶; Massie, Johnson and Gubala 2002²⁷; Peresie 2005²⁸; Segal and Spaeth 2002²⁹). Peresie found that female judges were more favorable towards plaintiffs in sex discrimination suits. It is also argued that whether tracing to biological differences, a unique world view, or distinct cultural, social, and professional experiences, female judges are desirable because they

²¹Supra note 23

²²Boyd, Christina L., Lee Epstein, and Andrew D. Martin. Untangling the Causal Effects of Sex on Judging. *American Journal of Political Science* 54(2): 389–411.(2010)

²³In addition to these findings on individual effects, Boyd, Epstein, and Martin (2010) also present findings on panel effects (i.e., the effect of one member of a panel on another). These panel effects findings are not directly relevant for the results discussed in this article.

²⁴Achieving Equal Justice for Women and Men in the California Courts, Draft Report of the Judicial Council Advisory Committee on Gender Bias in the Courts (March 1990).

²⁵Baldez, Lisa, Lee Epstein, and Andrew D. Martin. Does the U.S. Constitution Need an ERA? *Journal of Legal Studies* 35(1): 243–283. (2006)

²⁶Davis, Sue, Susan Haire, and Donald R. Songer. Voting Behavior and Gender on the U.S. Courts of Appeals. *Judicature* 77: 129–133.(1993)

²⁷Massie, Tajuana, SusanW. Johnson, and SaraMargaret Gubala. The Impact of Gender and Race in the Decisions of Judges on the United States Courts of Appeals. Paper presented at the Annual Meeting of the Midwest Political Science Association.(2002)

²⁸Peresie, Jennifer L. Female Judges Matter: Gender and Collegial Decision making in the Federal Appellate Courts. *Yale Law Journal* 114(7): 1759–1892.(2005)

²⁹Segal, Jeffrey A. and Harold J. Spaeth. *The Supreme Court and the Attitudinal Model Revisited*. Cambridge: Cambridge University Press.(2002)

will be more sensitive to the allegations of sex discrimination than men (*e.g.*, Sherry, 1986³⁰ ; Brudney, Schiavoni and Merrit, 1999³¹ ; Martin, Reynolds and Keith, 2002³²)

Professor Jennifer Segal studied the effects of race and gender on the judicial decision making and she found no statistically significant differences based on the sex of the judge except in the cases pertaining to women’s issues, wherein the male judges were more supportive of the women’s position than the female judges³³. Carp, Manning and Stidham³⁴ had similar results in a study of Clinton district court appointees in the criminal, civil rights and liberties, and labour and economic relations cases. This study found that Clinton’s White male appointees rendered liberal decision more often than his non traditional appointees.

The need for sexual harassment awareness and the prevention programs was highlighted by two recent appellate cases. In *Fitch v. Commission on Judicial Performance* (1995) 9 Cal. 4th 552, as modified at 9 Cal. 4th 8236, a trial court judge was publicly censured for “conduct prejudicial to the administration of justice that brings the judicial office into disrepute.”³⁵ The Supreme Court upheld the judge’s censure after an independent review of the record. The offending conduct included:

- i. Inappropriate and offensive comments concerning the physical attributes and clothing of female members of the court staff;
- ii. Inappropriate and offensive remarks concerning the intimate relationships of court attachés or attorneys with their spouses; and
- iii. Other inappropriate and offensive remarks in the presence of court staff. In addition, the Commission found that:
- iv. petitioner singled out women working under his supervision for inappropriate and non-consensual touching, or attempted touching, although such conduct was ‘unusual and episodic,’ occurred over a lengthy period, was relatively infrequent, and did not constitute a pattern of misconduct.³⁶

³⁰Supra note 15

³¹James J. Brudney, Sara Schiavoni, and Deborah J. Merritt, *Judicial Hostility toward Labor Unions--Applying the Social Background Model to a Celebrated Concern*, 60 Ohio St. L.J. 1675 (1999)

³²Martin, P., J. Reynolds and S. Keith. *Gender bias and feminist consciousness among judges and attorneys: A standpoint theory analysis*. *Journal of women in culture and society*, 27:665-701(2002)

³³Supra note 14

³⁴Robert, A. Carp, Ronald Stridham. *Judicial Process in America*, 9: 294(2001)

³⁵See Cal. Const., art. VI, § 18 (c); Cal. Rules of Court, rule 919(b)

³⁶Fitch, supra note, p. 554.

Subsequently, *Catchpole v. Brannon* (1995) 36 Cal. App. 4th 237, the Court of Appeal for the First District, division two, reversed and remanded for a new trial before a different judge, a former employee's action for sexual harassment, among other causes of action. The court's reversal was based specifically on the gender bias of the trial judge and included the express finding that the trial judge conveyed the sense that he considered sexual harassment cases a misuse of the judicial system.

Donald Songer, Sue Davis, and Susan Haire have hypothesized that when legal questions allow female judges to create a more inclusive American community, they will do so more often than their male counterparts. They tested the above hypothesis from the feminist legal theory in their insightful work, "A Reappraisal of Diversification in Federal Courts: Gender Effects in the Court of Appeals". They found that when one controlled for relevant factors such as the political affiliation, there were not significant differences in the way men and women on federal appellate courts ruled in two areas-obscenity and criminal search and seizure-but that there were gender differences in the way judges ruled in sex discrimination cases³⁷.

Yet, there were three limitations to Songer *et al.*'s scope and methodology, some of which create complications for their findings. First, on the issue of scope, it is important to consider that pornography and criminal search and seizure issues are not the areas that receive the most attention and discussion in the public sphere. There are other issues that are far more prevalent in the political discourse and that, plausibly, play a larger role in the gender socialization process.³⁸ For example, the percentage divisions materialize between men and women when one explores the issues such as gay rights and the appropriate scope of government services.³⁹ Thus, while the issues Songer *et al.* chose to explore were useful for answering the limited questions they posed,⁴⁰ these issues are not predictive in determining whether the political gender divisions that appear in public opinion data operate in the American court system as well. Further, tangentially related to the scope issue is the question

³⁷See Songer *et al.*, *supra* note 18, at 428. Subsequent research has tended to bolster this finding. An unpublished 2002 paper by Tajuana Massie, Susan W. Johnson, and Sara Margaret Gubala found that women on the federal courts of appeals exert liberal influence on sex discrimination cases and conservative influence in criminal search and seizure cases. Tajuana Massie *et al.*, *The Impact of Gender and Race in the Decisions of Judges on the United States Courts of Appeals* (2002) (unpublished manuscript, paper prepared for the 2002 Midwest Political Science Association Meeting), available at <http://www.cla.sc.edu/poli/psrw/MassieJohnsonGubala.pdf>.

³⁸According to a Lexis-Nexis search, between the dates January 1, 2004, and August 31, 2004, only one article in major newspapers contained the phrase "criminal search and seizure."

³⁹See Karen M. Kaufmann & John R. Petrocik. *The Changing Politics of American Men: Understanding the Sources of the Gender Gap*, 43 AM. J. POL. SCI. 876 (1999).

⁴⁰That is, are female justices more liberal and do they react differently to legal questions based on inclusion?

of how many of the “discrimination” cases that served as the object of their analysis were actually legal challenges to affirmative action laws. Without this information about the fact patterns in the cases they examined, one cannot reach a conclusion about the extent to which men and women have different judicial attitudes toward questions of inclusion.

Second, Songer *et al.* excluded from the analysis all cases in which the female judges issued an opinion concurring in part and dissenting in part.⁴¹ Methodologically, this creates major complications and limitations. The decisions in which judges’ issue nuanced decisions are likely to be the ones that are most important to include in a discussion about the role of gender in the federal judicial decisions. This is because, the mere fact that there are multiple opinions arising from the same cases means that multiple possible judicial interpretations exist. And indeed, it is precisely when there are multiple interpretations of the same issue that one would expect the sociological factors such as gender or race to be most relevant.

Third, also on the methodological front, the researchers’ decision to look solely at the federal courts of appeals creates sample size considerations. The study looked at the federal circuit courts between 1981 and 1990. During that time eighteen women served on the federal appellate bench.⁴² Alternatively, the authors could have created a larger, more rigorous sample by including more appellate courts (such as the state supreme courts). Further research could prove even more fruitful today—eleven years later—because a stronger sample would emerge from looking at post-1990 cases.

JUDGES’ GENDER BIAS IN FAMILY LAW PRACTICE

TRIAL COURT

As per a research report, “Gender equity survey of Judges” conducted by Oregon Survey Research Laboratory, overall, judges observe gender bias against men more often than against women, and more often in the trial court than in the appellate court. Gender bias is observed, particularly, frequently in the child custody and spousal support awards.

Although not as pronounced as in the child custody, award of spousal support has a similar pattern favourable to women litigants.⁴³

⁴¹See Songer *et al.*, supra note 42, at 430

⁴²President Carter appointed eleven women and, during the period of Songer’s analysis, President Reagan and President Bush had appointed six. See supra note 76 at 426.

⁴³Murata Toshihiko, 1997. “Oregon Supreme Court/Oregon State Bar Task force on gender fairness”, Gender equity survey of judges

Appellate Court

In a 1986 study of the state Supreme Court justices, Gryski, Main and Dixon found that the presence of a woman on the court increased decisions in favour of sex discrimination appellants. In addition, recent studies of the appellate courts show that the presence of a female judge on a panel increases the likelihood that a male judge will vote for a plaintiff alleging discrimination.

More recently, Sarah Westergren looked at sex discrimination decisions from the United States Courts of Appeals during 1994-2000. While the sex of the judge did have an effect in these cases, it did not reach the 0.05 level that would be required for statistical significance.

Judges' Gender Bias in Domestic Violence Cases

The advisory committee found that the judicial system's treatment of domestic violence victims and the crime of domestic violence raised serious issues of gender fairness. The committee found that when domestic-violence victims⁴⁴ seek protection from the court, they can be further victimized by the process and by their experiences within the judicial system. Despite the legislative changes that offered the promise of protection to victims of domestic violence, the inadequacies and inequities of the judicial system often meant that effective relief was not granted or enforced, according to committee findings.

Gendered Justice: Effect of Gender of a Judge in Cases Involving Gay Rights

Questions about gay rights strike discordance between the rulings of female and male judges. More specifically, female judges are more likely than males to rule that acts, laws, or sets of laws violate gay Americans' constitutional rights.

In the past year, issues related to gay rights have suffused America's political imagination⁴⁵-and two court decisions helped create the controversy. In July of 2003, the U.S. Supreme Court announced in *Lawrence vs. Texas* that statutes criminalizing homosexual sodomy violated the key constitutional principles.⁴⁶ Only four months after the Court announced its decision, the Massachusetts Supreme Judicial Court held

⁴⁴See *Supra* note 71

⁴⁵A Lexis-Nexis search of major newspapers revealed that in 2004, the phrase "gay rights" occurred over three thousand times.

⁴⁶539 U.S. 508 (2003).

in *Goodridge vs. Department of Public Health* that same-sex couples had a right to marry under the Massachusetts State’s constitution.⁴⁷ Legal scholars and sociologists alike will undoubtedly grapple with these decisions.

One notable quality of cases like *Lawrence* and *Goodridge* is the gender composition of the appellate judges who crafted them. In *Lawrence*, both of the females on the Court ruled with the majority in its 6-3 ruling. Similarly, in *Goodridge*, two of the three women on the court ruled with the majority in its 4-3 decision. Indeed, both decisions contained opinions written by the female judges finding in favour of the gay plaintiffs on their equal protection claims.

It has now been established that gender and legal conclusion scores on questions of gay rights are highly correlated. In 2003, an article appeared in the *Journal of Legal Education* entitled, “The Effect of Law School on Political Attitudes: Some Evidence from the Class of 2000.”⁴⁸ In the article, J.D. Droddy and C. Scott Peters report about the data which they collected from the twenty-eight law schools in the United States. The authors surveyed students at the beginning of their first year of law school and at the end of their third year of law school. Two-hundred seventy-eight members of the class of 2000 completed both surveys,⁴⁹ surveys that allowed the researchers to gauge the extent to which the law school experience influenced students’ political beliefs. Droddy and Peters’s answers to three questions have a direct bearing on how one should interpret that men and women rule differently on gay rights questions. There were differences in male and female law students’ political attitudes, differences that first appeared during the students’ first year of law school. Women expressed more liberal attitudes on all fourteen measures.

Male and female law students’ attitudes on the “gay rights” category varied more than any other ideological category measured. Indeed, of all the variables, women’s score on the gay rights variable was the second most liberal. Equally important is that the gender differences reported during students’ first year of law school did not appreciably change during students’ three years of law school. That is, to the slight extent that students’ aggregated opinions changed over the three-year period, gender was not a statistically significant variable in this change.⁵⁰ This study of law school students, then, provides empirical evidence suggesting that law school is not

⁴⁷98 N.E.2d 941 (Mass. 2003).

⁴⁸J.D. Droddy & C. Scott Peters, *The Effect of Law School on Political Attitudes: Some Evidence from the Class of 2000*, 53 J. LEGAL EDUC. 33 (2003).

⁴⁹The authors reported that there were no statistically significant differences between the group of students who completed both surveys and the group of students who only completed the first survey. *Id.* at 37.

⁵⁰Droddy & Peters, *Supra* note 101, at 45.

responsible for the differences in male and female opinions on gay rights issues. In the words of the study's authors, "self-selection may account for part of any attitudinal differences that exist between lawyers and the rest of society."⁵¹

The law school study provides at least one additional reason to believe that self-selection accounts for the gender gaps in male and female law students' political attitudes. There were no statistically significant differences between the political attitudes of male law students and those of the college-educated men.⁵² Alternatively, the political attitudes that female law students reported in the survey diverged from the attitudes of other college-educated women. On the broad ideology scale, the average female law student's score was 3.18, while the average college-educated woman's⁵³ score was 3.56. As the authors reported, "Women IL's are not only more liberal than their male classmates, but are more liberal on key social issues than are other college-educated women."⁵⁴ This provides more evidence, then, that the differences in male and female law students' political attitudes are attributable to self-selection. This would also support the claim that there exists a significant difference in the gendered experiences of a judge, which may or may not, effectuate their judicial decisions. At the same time, we have to realise the fact that all the judicial decisions, entirely free from biases arising from the gender of judge sound unreal.

PROBABLE REASONS FOR THE EFFECT OF GENDER OF A JUDGE

Theory of Learning

Many a time, the gendered views of a particular judge may be shaped by learning. Theories of learning and exposure (Bolzendahl and Myers 2004⁵⁵; Reingold and Foust 1998⁵⁶) imply that personal relationships have effects via learning; that is, empathy is primarily about learning about someone else's worldview.

For example, many male judges may be unfamiliar with the challenges young women face when initiating sexual harassment claims or might have limited knowledge about the laws governing maternity or family medical leave. Also, a female judge may be unaware of the way a young male feels when his potency is challenged in a family

⁵¹Id. at 43.

⁵²Id. at 41.

⁵³Droddy and Peters based their comparisons on National Election Survey data. Id. at 40-43.

⁵⁴Supra note at 43.

⁵⁵Bolzendahl, Catherine I., and Daniel J. Myers. Feminist Attitudes and Support for Gender Equality: Opinion Changing Women and Men, 1974-1998. *Social Forces* 83(2): 759-89.(2004)

⁵⁶Reingold, Beth, and Heather Foust. Exploring the Determinants of Feminist Consciousness in the United States. *Women and Politics* 19: 19-48. (1998)

court. And not taking into considerations, these challenges faced by the young women or men, may also in some cases, lead to gender biasness.

This kind of theory would lead us to the inference that:

(1) We should see the greatest effect *among those who have more to learn, specifically male judges* (female judges, after all, are likely to already have had intimate first-hand experience with gender issues),

(2) We should see this effect for cases having a gendered component, which represents the cases for which learning from daughters (as opposed to sons) would be the most salient.

Protectionism

Another possibility is that gendered differences in the judicial pronouncements may crop from the want of preventing emotional or physical harm; that is, people want to protect those with whom they have strong personal relationships. Under this theory, parents would want to protect their daughters from possible gender-based discrimination, resulting in increased progressive views on employment or pregnancy discrimination law.

But, in addition, under this theory, parents would also want to protect their daughters from possible predators, including the criminal predators, and would want to foment or promote stronger connections between the daughters and the family.

In this regard, a long literature has documented parental differential treatment, some of it starting at an early age (Raley and Bianchi 2006)⁵⁷. Much of this literature suggests protectionist tendencies toward daughters, such as Condry, Condry, and Pogatshnik (1983)⁵⁸, who find that mothers respond more quickly to the sounds of a baby girl crying; Sidorowicz and Lunney (1980)⁵⁹, who find that baby girls are held and played with differently; or Fiese and Skillman (2000)⁶⁰, who find that girls are less likely to be told stories promoting autonomy or independence.

⁵⁷Raley, Sara, and Suzanne Bianchi. Sons, Daughters, and Family Processes: Does Gender of Children Matter? *Annual Review of Sociology* 32: 401–21. (2006)

⁵⁸Condry, Sandra McConnell, John C., Condry Jr., and Lee Wolfram Pogatshnik. Sex Differences: A Study of the Ear of the Beholder. *Sex Roles* 9(6): 697–704. (1983)

⁵⁹Sidorowicz, Laura S., and G. Sparks Lunney. Baby X Revisited. *Sex Roles* 6(1): 67–73. (1980)

⁶⁰Fiese, Barbara H., and Gemma Skillman. Gender Differences in Family Stories: Moderating Influence of Parent Gender Role and Child Gender. *Sex Roles* 43(5–6): 267–83. (2000)

Under such a theory, it is possible that we would see a general liberal trend among those having daughters across many cases having a gendered component, specifically cases involving discrimination against women. (However, we might also see a conservative trend among reproductive rights or abortion cases.)

GENDER GAPS IN MASS POLITICAL PUBLIC OPINION

In the early 1980s, scholars first made note of the now proverbial “gender gap,” a reference to differences in men and women’s attitudes on key political questions. Observers unearthed this emerging gap by noting that men and women’s presidential voting patterns significantly diverged in 1980, with women being more likely to vote for the Democrat than their male counterparts.⁶¹ Twenty years later, social scientists have conducted a significant amount of work on the subject—especially as the statistical differences in men’s and women’s political attitudes remain potent.⁶²

Researchers have posed theoretical and practical questions about why the gender gap exists,⁶³ the role of religion in the gap,⁶⁴ the role of race in the gap,⁶⁵ and some of the political implications of these attitudinal disparities.⁶⁶ Most of these discussions, however, have taken place on a similar analytic plane. The focus has been primarily on men and women voters. Yet, within the sphere of political action, Americans are more than voters. Men and women serve, for example, as activists, politicians, and judges. Indeed, a smattering of scholarly attention has been given to the demographic make-up of activists on various political matters.⁶⁷ And likewise, some attention has been given to the question of whether the congressmen and congresswomen have quantifiably different political approaches or beliefs.⁶⁸

⁶¹Bella Abzug & Mim Kelber, Kathleen A. Frankovic, *Sex and Politics—New Alignments, Old Issues*, 15 *PS: Pol. Sci. & Pol.* 439 (1981).

⁶²See Susan E. Howell & Christine L. Day, *Complexities of the Gender Gap*, 62 *J. POL.* 858 (2000).

⁶³See, e.g., Carole Kennedy Chaney *et al.*, *Explaining the Gender Gap in U.S. Presidential Elections, 1980–1992*, 51 *POL. RES. Q.* 311 (1998); Martin Gilens, *Gender and Support for Reagan: A Comprehensive Model of Presidential Approval*, 32 *AM. J. Pol. Sci.* 19 (1988); Margaret C. Trevor, *Political Socialization, Party Identification, and the Gender Gap*, 63 *Pub. Opinion Q.* 62 (1999).

⁶⁴See Sue Tolleson Rinehart & Jerry Perkins, *The Intersection of Gender Politics and Religious Beliefs*, 11 *Pol. Behav.* 33 (1989).

⁶⁵See, e.g., Pei-Te Lein, *Does the Gender Gap in Political Attitudes and Behavior Vary Across Racial Groups?*, 51 *Pol. Res. Q.* 869 (1998); Susan Welch & Lee Sigelman, *A Gender Gap Among Hispanics? A Comparison with Blacks and Anglos*, *W. Pol. Q.* 181 (1992).

⁶⁶See, e.g., Jeff Manza & Clem Brooks, *The Gender Gap in U.S. Presidential Elections: When? Why? Implications?*, 103 *AM. J. Soc.* 1235 (1998).

⁶⁷See, e.g., Kristen Luker, *Abortion and The Politics Of Motherhood* (1984)

⁶⁸See, e.g., *Women Transforming Congress* (Cindy Simon Rosenthal ed., 2002); Edmund Constantini & Kenneth H. Craik, *Women as Politicians: The Social Background, Personality and Careers of Female*

This could possibly be one of the reasons as to why a male judge and a female judge exhibit different attitudinal displays in the judicial decisions rendered by them. At the same time, it is to be noted that there can possibly be many other subtle or hidden factors that promote judges in being motivated by their own gender, or this gender effectuated judicial decisions might even be a misconception and a misbelief.

DATA ANALYSIS AND INTERPRETATION

The questionnaire designed for the purpose of conducting this fieldwork included fifteen different questions, which, on being analysed closely, can be categorised into four heads. For the ease of data analysis, the four heads were devised and answers by four sections- female judges, female lawyers, male judges and male lawyers were put under these four heads. In cases, where two or more questions were clubbed under one head, the answers of one section of respondents were divided by the number of questions and the average was taken to be the final data. The four categories, under which the questions of the questionnaire were put, are as under:

- i. Gender of a judge matters only in some cases (like gender coded cases, sexual violence cases and marriage disputes)
- ii. Gender prejudices lead to biases in certain cases
- iii. Differential treatment is justified and does not involve gender bias of a judge
- iv. Gender of a judge does not matter

COLLECTIVE DATA OF FEMALE JUDGES, FEMALE LAWYERS, MALE JUDGES AND MALE LAWYERS

Now, after analysing the data collected into four heads, it becomes pertinent to study it in a holistic way. In order to have a holistic view, the data fragmented amongst four heads was crystallised by finding out the mean of all the respondents who answered 'strongly agree' or 'agree' on one hand, and 'strongly disagree' and 'disagree' on the other. Here, the collective data is represented and no separate data can be seen as in the earlier graphs. 'Agree' denotes 'agree' as well as 'strongly agree' and 'disagree' denotes 'strongly disagree'. Also, collective views of female judges, female lawyers, male judges and male lawyers are represented in the graph.

Party Leaders, 28 J. SOC. ISSUES 217 (1972); Kathleen A. Frankovic, Sex and Voting in the U.S. House of Representatives 1961-1975, 5 AM. POL. Q. 315 (1977); Freida L. Gehlen, Women Members of Congress: A Distinctive Role, in A Portrait Of Marginality 304 (Marianne Githens & Jewell L. Prestige eds., 1977); Susan Welch, Are Women More Liberal than Men in the U.S. Congress?, 10 LEGIS. STUD. Q. 125 (1985).

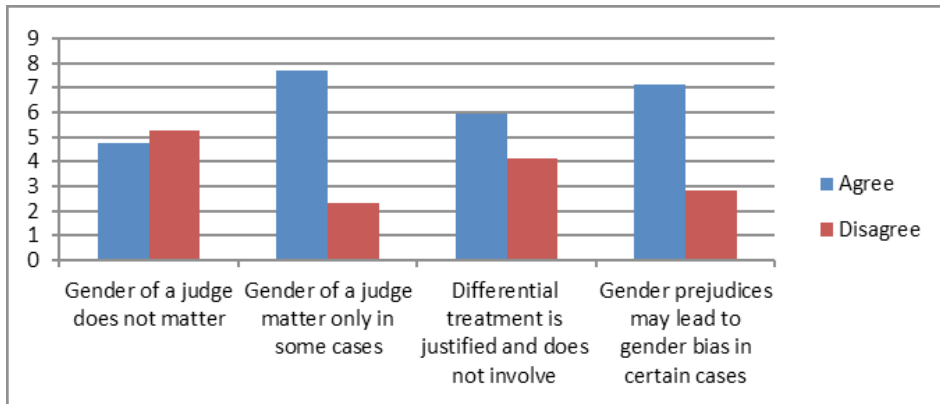


Fig. 1:

Collective data of female judges, female lawyers, male judges and male lawyers

THE GENDER OF A JUDGE MATTERS ONLY IN SOME CASES (LIKE THE GENDER CODED CASES, SEXUAL VIOLENCE CASES AND MARRIAGE DISPUTES)

There is less disparity between the respondents who agree that gender of a judge does not matter and who do not agree with this. Although, more people disagree with this, pointing to the inference that gender of a judge matters and its effect can be seen in the judicial decisions rendered by them.

GENDER PREJUDICES LEAD TO BIASES IN CERTAIN CASES

Moving to the second category, where respondents were asked about their agreement or disagreement on gender of judge mattering only in some cases, as those of gender-coded cases, rape or sexual violence and marriage disputes, more than half of the respondents agreed, few amongst these, even strongly agreed. Less number of respondents disagreed. This could mean that in their view, gender of judge matters, if not in all cases, at least in cases where gender is an important direct/indirect issue, like the gender coded cases, rape or sexual violence and marriage disputes.

DIFFERENTIAL TREATMENT IS JUSTIFIED AND DOES NOT INVOLVE GENDER BIAS OF A JUDGE

Maximum respondents agree that differential treatment or a treatment to meet the special needs of a particular group is justified, also, that cannot be taken to be effectuated by gender of a judge. This indicates that where a judicial judgement is

pronounced keeping in the different needs of a particular gender, then there are lesser chances that the judgement is effectuated by the gender of a judge. Or, it may even denote that in such cases, there would be less chances of a judge being accused of being biased.

THE GENDER OF A JUDGE DOES NOT MATTER

More than double of the respondents agreed that gender of a judge does not matter. This brings conflicting data to the research when compared to the reply of the respondents on the first issue. About half of the respondents disagreed with it, implying that gender of a judge matters in the judicial decisions.

On the whole, the responses were quite mixed on the above mentioned issues, partly because attempting to study the differences due to gender is harder by the fact that male and female gender intersects with other aspects of difference, such as the age, race/ethnicity, family background, class/social stratum, sexual orientation, and religion.

Nevertheless, the views on the issue of the gender of a judge mattering in some cases were clear. Most of them agreed upon this. After the analysis of all the data, it can be concluded that amidst all the mixed responses, one standpoint comes clearly that judicial decisions are effectuated by the gender of a judge in some cases. These cases involve the gender coded cases, rape or sexual violence cases and marriage disputes.

CONCLUSION

The fieldwork empirical data indicates that gender of a judge matters in various cases including the cases of rape, sexual violence, marriage disputes and others. Also, there is remarkable difference between the outcomes given by the female lawyers and judges, on one hand, and male judges and lawyers, on the other. The results show that Justice Coyne⁶⁹ was at least partly wrong: Wise old men and wise old women sometimes reach different conclusions. The view that women judges have different attributes by virtue of being women is controversial.

In some countries, there is a strong resistance to even considering whether the differences exist between male and female judges.⁷⁰ Female judges, in one study, were

⁶⁹David Margolick, Women's Milestone: Majority on Minnesota Court, N.Y. TIMES, Feb. 22, 1991, at B16 (internal quotation marks omitted) (quoting Minnesota Supreme Court Justice M. Jeanne Coyne). Justices O'Connor and Ginsburg both have quoted Coyne in discussing the relationship between gender and judging.

⁷⁰Supra note 57, at 125

found to initially deny any difference derived from gender, but on closer examination this denial was “frequently reversed.”⁷¹

To be sure, it is possible that this data only reveals something about the eighty respondents in the data set. However, because the data showed significant gender disparities after controlling for other factors affecting the judges’ decisions—most significantly ideology—it is reasonable to conclude that direct and indirect effects of gender exist beyond the data set, at least in the cases involving sexual harassment and sex discrimination cases. Whether the findings are applicable to other areas is less certain, but this is a rich area for future research.

The results indicate that the participants in the diversification debate should acknowledge—and perhaps defend—the substantive implications of their positions for judicial outcomes in the gender-coded cases. Judges’ gender matters both to what the bench looks like and to what it decides.

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⁷¹Bartolomei, M. R., *Gender and Judging in Traditional and Modern Societies: A Comparison of Two Case Studies (Ivory Coast and Italy)*, in *Gender And Judging*, at 292.(2013)

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