

Volume 4

BOOK OF READINGS

MAINSTREAMING SOCIAL INCLUSION

DEENDAYAL ANTYODAYA YOJANA: NATIONAL RURAL LIVELIHOODS MISSION (DAY-NRLM)



Inspired by Mahatma Gandhi

Recall the face of the poorest and the weakest person whom you may have seen, and ask yourself, if the step you contemplate is going to be of any use to them. Will they gain anything by it? Will it restore their control over their own life and destiny?

In other words, will it lead to Swaraj (freedom) for the hungry and spiritually starving millions?

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Message

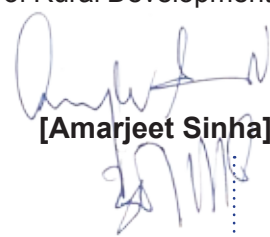
The Deendayal Antyodaya Yojana: National Rural Livelihoods Mission (DAY-NRLM) has been working in the Ministry of Rural Development to lead the process for poverty alleviation through a dedicated and sensitive support structure from national upto Gram Panchayat level that focuses on building and sustaining organizations of the rural poor for collective action based on Self-Help Groups (SHGs). The collectives generate demand from the system, and build linkages with mainstream institutions to reduce poverty at household level. By 2024-2025, the Mission would reach 100 million poor rural households across India. It presently reaches 47.9 million households mobilized into 4.74 million SHGs in 29 states, 568 Districts, 4236 Blocks and 99,188 Gram Panchayats.

Poverty is a key manifestation of exclusion - due to deep-rooted prejudices and practices which deprive significant proportion from participating fully in economic, social, political and cultural life, often with violent manifestations, particularly for women. Exclusion has multi-generational impact on specific sections of our population, as their opportunities for development are hindered by lack access to income, employment, land, housing, infrastructure, and lack of access to basic essential services. Women's participation is also limited as they traditionally do not have voice or decision-making powers within households, and their rights and dignity are not accorded equal respect and protection by planners. Across our country, in varying degrees, age, sex, disability, race, ethnicity, religion, migration status, socioeconomics status, place of residence, and sexual orientation and gender identity have been grounds for social exclusion over time.

Efforts to promote social inclusion are an intrinsically built into the design of DAY-NRLM. However, there was a need for more clarity on how these have to be transacted and monitored, as this is a complex inter-generational cycle of deprivation. The Government of India's Mission Antyodaya is based on the systematic identification of vulnerabilities analyzed by the Socio-Economic Caste Census data in 2015, which has given us a specific set of 10.3 crores most vulnerable households. The key policies of the government across ministries and departments like Poverty Free Panchayats and doubling of income of farmers are being converged to address the needs of these households, and I am proud to state that DAY-NRLM leads the process of converging these timebound goals to end absolute poverty in our country.

To further strengthen and enhance the process of identifying socially excluded and addressing hinderances in their inclusion in the social and economic fabric of the country, DAY-NRLM and CARE India have collaborated to address key issues related to social development and social inclusion. The training modules and tools on social inclusion have been developed after an extensive process of consultations and studies of best practices across the country. The manuals consolidate the knowledge, theoretical framework of action, protocols, and tools for implementation and monitoring at every level of the DAY-NRLM system.

I am thankful to the staff and experts of DAY-NRLM who have worked diligently to develop these key documents, and to CARE India for its continued support through providing technical inputs and crucial human resource support. We are also grateful for the resource support provided by the Bill & Melinda Gates Foundation for their steadfast support and encouragement to the efforts of the Ministry of Rural Development to address issues of poverty and empowerment of women.


[Amarjeet Sinha]



ATAL DULLOO, IAS
Joint Secretary



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Forward

I am pleased to note that the work on Social Inclusion has made significant progress in the DAY-NRLM at national and state levels. The Deendayal Antyodaya Yojana: National Rural Livelihoods Mission (DAY-NRLM) in the Ministry of Rural Development has been leading the process for poverty alleviation through Self-human, social, and financial capital, and enable women's access to their rights and entitlements. This has resulted in women being able to access gainful self-employment and skilled wage employment opportunities. For this end, DAY-NRLM has been working to ensure there is convergence with other government programmes so that the services and opportunities reach all the women from all excluded groups. Over a 10 years period, the Mission plans to reach out to 10 crore rural women across states.

A key hindrance in extending this reach has been exclusionary practices in our country – thus, I am pleased that CARE India has provided technical support to DAY-NRLM to understand the requirements, consolidate the learnings and suggest specific protocols and tools to implement and monitor appropriate programmes for excluded sections of rural poor. The set of 4 volumes of Social Inclusion manuals include appropriate content – Manual for Practitioners, Training Module on Social Inclusion, Toolkit for Trainers, and Book of Readings. The texts are appropriate for State Mission staff and Block Resources Persons, for working with Village Organizations and Cluster Level Federations reaching all households, particularly of the most vulnerable communities.

My recommendation is for the teams across states to use the Social Inclusion Manuals intensively to increase our commitment and ensure our advancement towards the core outcomes of the Mission by -

- Identifying the principles and practice of Social Inclusion in their states which address the current and emerging needs of excluded communities.
- Development shared perspective on social inclusion at national level by ensuring there is minimal transmission loss in scaling our strategies
- Monitoring, learning and doing course correction from the programmes to improve our connectivity with the excluded communities we serve

The participation and leadership of vulnerable communities in development programmes is essential for the country, and they cannot do this if their voice is not heard, or when their rights and dignity are not respected. The Manuals will improve how we help women from extremely deprived households get agency and control over their lives, and help us be more sensitive to their sense of alienation and inferiority. Our focus on this crucial aspect will make DAY-NRLM a more effective platform for ending poverty and deprivation from each excluded household.

I commend the teams who have contributed to plan and implement social inclusion programmes across states and at national level. The efforts of the consultants Dr Harish Vashistha and Dr G Bhargava, our National Resources Persons, who have worked with CARE India to write these excellent documents, are truly commendable. I am also thankful to CARE India for its continued support to DAY-NRLM to integrate social development and social inclusion programmes in our framework and implementation.



(Atal Dulloo)

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ACRONYMS

AABY	Aam Aadmi Bima Yojana
APS	Atal Pension Scheme
ATMA	Agriculture Technology Management Agency
CB	Capacity Building
CIF	Community Investment Fund
CLF	Cluster Level Federation
CM	Community Mobilizer
COM	Community Operational Manual
CRP	Community Resource Person
CSF	Community Support Fund
DAY-NRLM	Deendayal Antyodaya Yojana: National Rural Livelihoods Mission
DDU-GKY	Deen Dayal Upadhyay-Gramin Koushal Yojana
DMMU	District Mission Management Unit
EC	Executive Committee
FGD	Focused Group Discussion
FRA	The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006
GB	General Body
GP	Gram Panchayat
GPDP	Gram Panchayat Development Plan
GP2RP	Gram Panchayat Poverty Reduction Plan
IAY	Indira Aawas Yojana
ICDS	Integrated Child Development Scheme
IGA	Income Generating Activities
ILM	Interactive Lecture Method
IPPE	Integrated Participatory Planning Exercise
KVIC	Khadi and Village Industries Corporations
KVK	Krishi Vigyan Kendra
LF	Livelihood Fund
LGD	Large Group Discussion
MCP	Micro Credit Plan
MFP	Minor Forest Produce
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act, 2005
MKSP	Mahila Kisan Sashaktikaran Pariyojana
MPLADS	Member of Parliament Local Area Development Scheme
MSME	Micro Small and Medium Enterprises
MUDRA	Micro Units Development & Refinance Agency Ltd.
NABARD	National Bank for Agriculture and Rural Development
NCLP	National Child Labour Project
NLM	National Literacy Mission

NOAPS	National Old Age Pension Scheme
NRDWP	National Rural Drinking Water Programme
NRHM	National Rural Health Mission
NSTFDC	National Scheduled Tribes Finance and Development Corporation
NTFP	Non-Timber Forest Produce
OB	Office Bearers
PAY	Pradhan Manthri Aawas Yojana
PESA	Panchyat Extension to Scheduled Areas Act, 1996
PIP	Participatory Identification of Poor
PMJDY	Pradhan Mantri Jan Dhan Yojana
PMJJBY	Pradhan Mantri Jevan Jyothi Bima Yojana
PMKY	Pradhan Mantri Koushal Yojana
PMSBY	Pradhan Mantri Swasth Bima Yojana
PPA	Participatory Poverty Assessment
PRA	Participatory Rural Appraisal
PRI	Panchayat Raj Institutions
PTM	Participatory Training Methodology
PVTG	Particularly Vulnerable Tribal Groups
RBI	Reserve Bank of India
RF	Revolving Fund
RGGVY	Rajiv Gandhi Gramin Vidyutikaran Yojana
RGPSA	Rajiv Gandhi Panchayat Sashakthikaran Abhiyan
RMK	Rashtriya Mahila Kosh
RSBY	Rashtriya Swasth Bima Yojana
RSETs	Rural Self Employment Training Institutes
SBM	Swach Bharat Mission
SECC	Socio-Economic Caste Census
SGD	Small Group Discussion
SHG	Self Help Group
SIRD	State Institute of Rural Development
SMMU	State Mission Management Unit
SRLM	State Rural Livelihoods Mission
STDCCs	State Tribal Development Cooperative Corporations
SVEP	Startup Village Entrepreneurship Programme
TPDS	Targeted Public Distribution Scheme
TSP	Tribal Sub-Plan
VKY	Vanbandhu Kalyan Yojana
VLF	Village Level Forum
VO	Village Organization
VRF	Vulnerability Reduction Fund
VRP	Vulnerability Reduction Plan

The Deendayal Antyodaya Yojana: National Rural Livelihoods Mission (DAY-NRLM) has been established in the Ministry of Rural Development to lead the process for poverty alleviation through a dedicated and sensitive support structure from the national level to the sub-district level that focuses on the poor; builds and sustains their organizations for collective action based on self-help and mutual cooperation; generates demand from the system; and build linkages with mainstream institutions to reduce poverty.

Poverty is a key manifestation of exclusion – due to deep-rooted prejudices and practices which deprive significant proportion of participate fully in economic, social, political and cultural life, often with violent manifestations, particularly for women. Exclusion has multi-generational impact on specific sections of our population, as their opportunities for human development are hindered by lack access to material resources, income, employment, land and housing, or access to services as education and health care essential for well-being. Participation is also limited when people cannot exercise their voice or interact with each other, and when their rights and dignity are not accorded equal respect and protection. Thus, social exclusion entails not only material deprivation but also lack of agency or control over important decisions as well as feelings of alienation and inferiority. In India, varying degrees, age, sex, disability, race, ethnicity, religion, migration status, socioeconomic status, place of residence, and sexual orientation and gender identity have been grounds for social exclusion over time.

Within the policy discourse in DAY-NRLM, efforts to promote social inclusion are an intrinsic part of the framework. The Mission is dedicated to overcoming barriers which impede women's growth and keeps them in an inter-generational cycle of deprivation at different levels. Women's lives as citizens are further impacted when they are from socially excluded groups, which in any case have low access to rights and entitlements, and are unable to adequately contribute to political and economic processes. To reduce poverty, DAY-NRLM builds and strengthens Self-Help Groups (SHGs), collectives of poor rural women to enable them to access gainful self-employment and skilled wage employment opportunities, empower their households to build their human, social, and financial capital, enable women's access to their rights and entitlements, and ensure convergence with other government programmes. Over a 10-year period (until 2024-2025), the Mission plans to reach 100 million poor rural households across India. As on October 2017 DAY-NRLM covers 29 States; 568 Districts, 4236 Blocks and 99,188 Gram Panchayats, reaching total 47.9 million households mobilized into 4.74 million SHGs.

Social Inclusion is one of the key aspects of DAY-NRLM. To ensure that no poor family is left out, there is special focus on priority and early inclusion of the poorest of the poor and other vulnerable sections of communities like Schedule Castes, Schedule Tribes, Particularly Vulnerable Tribal Groups, women headed families, people engaged in unhygienic occupations (ex-manual scavengers), elderly persons, People with different abilities, minority groups and trafficked women. Accordingly, DAY-NRLM now works to include all the vulnerable communities into their institutional architecture within the initial months of working in a block.

To further strengthen and enhance the process of identifying socially excluded and their inclusion in the social fabric, DAY-NRLM and CARE India have collaborated to develop training modules and

tools on social inclusion. The modules have been developed as a result of an extensive process of consultations and studies of best practices across the country, and have been based on structured programmes being implemented by states.

A poverty reduction programme may not automatically address social inclusion as practiced in different forms across the country. There are complex, multi-faceted reasons for exclusion: religion, caste, gender, social and economic conditions, physical disability, or geographic regions, which needs to be understood and analysed distinctly. Economic growth alone is not adequate to address the challenges of exclusion, therefore planned, structured and deliberate interventions are required to ensure inclusion. In the context of DAY-NRLM, general inclusion is part of the standard framework during social mobilization phase, but still specific sections at margins still get left out. Extra care and sensitivities needed, so additional, focused EFFORT in all aspects of Mobilization, Capacity Building, Access to funds, credits, rights, entitlements, services, livelihood opportunities, markets, technology). DAY-NRLM efforts in fields need to be documented and presented systematically. Dissemination of guidelines and protocols are crucial for effective implementation of inclusion processes. The Social Inclusion Manuals are aimed at compilation of Capacity Building Materials and modules, introducing the tools for participatory training, community based demand generation and planning. Ultimately, the manuals are aimed at helping State Rural Livelihoods Missions to scale-up the social inclusion efforts in systematic way with adequate reading materials, Capacity Building modules, planning and training tools, and best practices.

This manual is developed in four volumes as under:

1. Mainstreaming Social Inclusion in DAY-NRLM; Manual for practitioners

- Concepts, Ideas and Analysis of Poverty, Vulnerability and Inclusion
- Poverty Eradication and Social Inclusion efforts: Changing paradigms
- DAY-NRLM Framework and Inclusion
- Mainstreaming Inclusion in DAY-NRLM
- Inclusion Strategies
- Social Inclusion efforts by DAY-NRLM and CSOs
- Capacity Building for Inclusion

2. Training module on Social Inclusion

- Understanding Poverty and Vulnerability
- DAY-NRLM Perspectives and Inclusion Strategies
- Tools for Planning and Implementation

3. Toolkit for trainers

- Planning and implementation tools for Social Inclusion in DAY-NRLM
- Icebreakers, energizers, and learning games for trainers
- Stories and Songs for facilitators
- References and further readings

4. Book of Readings

- Understanding Poverty and Vulnerability
- Marginalization, Concepts of Inclusion & Exclusion, Equity
- Gender, Exclusion, Constitutional Provisions and UDHR
- DAY-NRLM and Social Inclusion, CBO's role, GPS
- Inclusion: DAY-NRLM and various Thematic Areas
- Capacity Building and Participatory Training

Acknowledgements

The Social Inclusion Manuals consolidate the collective years of experiences of the states who have been implementing pathbreaking programmes to ensure every excluded household is able to benefit from the process of development. The Manuals have evolved over the last year, through an extensive process of interactions, meetings, workshops and consultations.

The experts Dr Harish Vashistha and Dr Gadiyaram Bhargava travelled to gather the learnings from the states starting from August 2017 onwards, namely in Bihar, Uttar Pradesh, Jharkhand, Madhya Pradesh, Bihar, West Bengal, Andhra Pradesh, Telangana, Karnataka, Tamil Nadu and Kerala. Staff from these states as well as from Maharashtra, Odisha, Rajasthan and Chhattisgarh also provided detailed inputs to the draft manuals during an intensive process in December 2017. We are grateful for the time and inputs of the teams in these states.

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Rajasthan – Tumul Taran, Mona Dave
Maharashtra – Ashwajit Dhole
Tamil Nadu – Deepa Rajkamal, Srinivasa Rao

From CARE India, Ratna Mathur anchored the programme and edited the modules, and Ravi Subbiah coordinated the module development process.

The process of consultation extended to civil society organisations and multi-lateral institutions, each of whom contributed with their specific tools shared generously with DAY-NRLM, like HelpAge India and PCI, and others who have provided valuable inputs like Water Aid, Centre for Advocacy Research, Sehgal Foundation, Institute of Economic Growth, JPAL, UNDP, ILO, and the World Bank.

At the national level, the guidance was provided by the Joint Secretary & Mission Director (RL) and the entire team of the National Mission Management Unit, in particular, Ishaprasad Bhagwat (Health and Social Development Lead) and KP Rajendran (Social Inclusion and Capacity Building Lead), with support from Philip Matthew (Mission Manager Social Development).

For your feedback and suggestions for improving the next edition of the Social Inclusion Manuals, we will await your inputs on nrlmcellnird@gmail.com

HOW TO USE THIS BOOK OF READINGS

The Book of Reading is developed to help trainers or facilitators of the trainings to prepare for the session. Trainers can develop the presentation, handouts and notes for facilitating learning and training events. This can also serve as a reference reading for different sessions mentioned in the training module and discussed in the SI manual the reference of session is given in the beginning of the readings.

It is essential for trainers to use interactive training methodologies. The environment in which the teams would be functioning are deeply complex, and sometimes the dimensions of what may be visible may not be clearly understood by our state teams across levels. The teams may be technically skilled, but may not have specialised knowledge or information or understanding about issues of social and gender based exclusion. Building this understanding is essential for the DAY-NRLM system, as we have the mandate to bring poor rural women into the mainstream of development.

This Book of Readings is thus structured to build this deep understanding to inform our routine activities, and to ensure that all teams and leadership at every level in the system has imbibed the spirit to inclusion and affirmative action towards women's participation and leadership.

The Book of Readings divided into 3 sections for ease of use –

Section 1 on Understanding poverty and vulnerability includes key concepts on poverty reduction, history of poverty alleviation and inclusion programmes in the country and how different kinds of vulnerability have been addressed to build resilience of communities.

Section 2 on Marginalization and concepts of inclusion and exclusion of specific groups, and details the dimensions and impact on exclusion of these groups. The section also discusses concepts of justice and rights.

Section 3 on gender and constitutional provisions provides background analysis on gender and rights, and how these can be shaped in building better foundations for programming in DAY-NRLM.

The Book of Readings compiles various concepts, histories, and terminologies used for arriving at a common and wider understanding around these concepts. This is essential reading for all trainers and staff across levels in the DAY-NRLM system.

This document is a part of the three other documents (compendium of four documents) namely; Manual on Social Inclusion, Tool Kit for Trainers and Practitioners of SI and Training Module on Social Inclusion. The book of reading is developed in close correspondence and logical structure to the SI manual. The handouts/topics resonate with each other in congruence.

Social Inclusion (SI) Manual:

The manual provides the basic understanding of Social Inclusion in DAY-NRLM. It takes through the historical transect of the evolution of the idea and practices of Social Inclusion and poverty eradication in India. It explains the rationale behind Social Inclusion and its frameworks in DAY-NRLM context. It narrates and introduces the various models and innovative approaches evolved and adopted by the various SRLMs in the field of Social Inclusion. It elaborates the practical strategies and action steps to mainstream Social Inclusion in DAY-NRLM.

Training module on Social Inclusion:

This module is designed for the field practitioners working in the areas of Social Inclusion of the most vulnerable communities into the institutional architecture of the DAY-NRLM. This is a generic module consisting of 20 sessions and mandatory for all level functionaries engaged in Social Inclusion processes.

Each section of the module is a sub module in its own way. Various orientation and sensitization programmes are based on this generic module. A tentative and indicative time slot is allocated to each session assuming a six day generic orientation programme for mission staff at state, district and block levels. As Social Inclusion is at the core of DAY-NRLM, it is recommended that all the functionaries at all the levels working in various thematic areas should undergo this programme. As indicated above, time slot for each session is given, which can be elaborated into full module, based on the requirements and nature of participants.

Tool Kit for Trainers and Practitioners of Social Inclusion:

Tool Kit is basically a compilation of various methods and tools related to planning and implantation of the Social Inclusion in DAY-NRLM, icebreakers, energizers and learning games and inspirational and motivational stories and songs, that can be used by the trainers or facilitators during the learning and training events. Trainers and practitioners can find relevant tools and activities corresponding to the need and focus of their learning training events. This will help the facilitator to make trainings joyful and facilitate experiential learnings.

Section 1

Understanding Poverty And Vulnerability

Reading 1: Understanding Poverty and Vulnerability

Reading 2: Poverty Alleviation in Five Year Plans

Reading 3: The Concepts of Well being and Poverty

Reading 4: What is Vulnerability

Reading 1

Understanding Poverty and Vulnerability

Poverty as a multi-dimensional concept is being accepted by academicians and practitioners. It transcends the idea of basic needs, economics, social justice and welfare. In its multidimensionality, poverty is also seen as aberrations in the delivery of entitlements and the subsequent lack of redressal mechanisms that should have bridged the gap between beneficiary and their due entitlement. It is for these reasons that an income oriented understanding of poverty fails to capture the deprivations in other areas of human development like healthcare, education, safe drinking water, sanitation, access to roads, affordable housing and the like. In a country like India, which is extremely diverse, the multidimensionality of poverty is also stark and diverse, differing from one state to another.

Poverty is a significant issue in India, despite having one of the fastest growing economies in the world, clocked at a growth rate of 7.6% in 2015, and a sizable consumer economy. The World Bank reviewed and proposed revisions in May 2014, to its poverty calculation methodology and purchasing power parity basis for measuring poverty worldwide, including India. According to this revised methodology, the world had 872.3 million people below the new poverty line, of which 179.6 million people lived in India. In other words, India with 17.5% of world's total population had 20.6% share of world's poorest in 2011. As of 2014, 58% of the total populations was living on less than \$3.10 per day. According to the Modified Mixed Reference Period (MMRP) concept, proposed by World Bank in 2015, India's poverty rate for period 2011-12 stood at 12.4% of the total population, or about 172 million people; taking the revised poverty line as \$1.90.

The World Bank has been revising its definition and benchmarks to measure up poverty since 1990, with a \$ 2 per day income on purchasing power parity basis as the definition in use from 2005 to 2013. Some semi-economic and non-economic indices have also been proposed to measure poverty in India; for example, the Multi-Dimensional Poverty Index placed 33% weight on number of years spent in school and education and 6.25% weight on financial condition of a person in order to determine if that person is poor.

The different definitions and different underlying small sample surveys used to determine poverty in India have resulted in widely different estimates of poverty from 1950s to 2010s. In 2012, the Indian government stated that 22% of its population is below its official poverty limit. The World Bank, in 2011, based on 2005's PPPs International Comparison Programme, estimated that 23.6% of Indian population, or about 276 million people, had lived below \$1.25 per day on purchasing power parity. According to United Nation's Millennium Development Goals (MDG) programme, 270 million or 21.9% people out of 1.2 billion of Indians lived below poverty line at \$1.25 in 2011-2012.

From late 19th century through early 20th century, under British colonial rule, poverty in India intensified, peaking in 1920s. Famines and diseases killed millions each time. After India gained its independence in 1947, mass deaths from famines were prevented. Rapid economic growth since 1991, has led to sharp reductions in extreme poverties in India. However, those above poverty line live a fragile economic life.

As per the methodology of Suresh Tendulkar Committee report, the population below the poverty line in India in 2009-2010 was 354 million (29.6% of the population) and that in 2011-2012 was 269 million (21.9% of the population). The Rangarajan Committee said in 2014 that the population below the poverty line in 2009-2010 was 454 million (38.2% of the population) and that in 2011-2012 was 363 million (29.5% of the population). Deutsche Bank Research estimated that there are

nearly 300 million people who are middle class. If former trends continue, India's share of world GDP will significantly increase from 7.3% in 2016 to 8.5% by 2020 [23]. In 2015, around 170 million people, or 12.4%, lived in poverty (defined as \$1.90 (Rs 123.5)), a reduction from 29.8% in 2009.

The Asian Development Bank estimates India's population to be at 1.28 billion with an average growth rate, from 2010-2015, at 1.3%. In 2014, 49.9% of the population aged 15 years and above were employed. However, there are still 21.9% of the populations who live below the national poverty line. The World Poverty Clock shows real-time poverty trends in India, which are based on the latest data of the World Bank, among others.

Poverty rates are sensitive to definition used. In 2014, new World Bank benchmarks based on 2011 purchasing power parity basis suggest much lower poverty rates in India, and much higher in other nations.

A comparative map of poverty in India and other countries in 2012, at national poverty line, according to the World Bank.

Poverty prevalence and estimates

The 19th century and early 20th century saw increasing poverty in India during the colonial era. Over this period, the colonial government de-industrialized India by reducing garments and other finished products manufacturing by artisans in India, importing these from Britain's expanding industry with 19th century industrial innovations, while simultaneously encouraging conversion of more land into farms, and of agricultural exports from India.

Eastern regions of India along the Ganges river plains, such as those now known as eastern Uttar Pradesh, Bihar, Jharkhand and West Bengal, were dedicated to producing poppy and opium, which were then exported to southeast and east Asia particularly China, with the trade an exclusive monopoly first of East India Company, and later the colonial British institutions. The economic importance of this shift from industry to agriculture in India was large; by 1850, it created nearly 1,000 square kilometers of poppy farms in India in its fertile Ganges plains. This led to two opium wars in Asia, with the second opium war fought between 1856 and 1860. After China accepted opium trade, the colonial government dedicated more land exclusively to poppy, the opium agriculture in India rose from 1850 through 1900, when over 500,000 acres of the most fertile Ganges basin farms were devoted to poppy cultivation, opium processing factories owned by colonial officials were expanded in Benares and Patna, and shipping expanded from Bengal to the ports of East Asia such as Hong Kong, all under exclusive monopoly of the British. By early 20th century, 3 out of 4 Indians were employed in agriculture, famines were common, and food consumption per capita declined in every decade. In London, the late 19th century British parliament debated the repeated incidence of famines in India, and the impoverishment of Indians due to this diversion of agriculture land from growing food staples to growing poppy for opium export under the orders of the colonial British empire.

Poverty was intense during colonial era India. Numerous famines and epidemics killed millions of people. Upper image is from 1876-1879 famine in South of British India that starved and killed over 6 million people, while the lower image is that of a child who starved to death during the Bengal famine of 1943.

These colonial policies moved unemployed artisans into farming, and transformed India as a region increasingly abundant in land, unskilled labour and low productivity, and scarce in skilled labour,

capital and knowledge. On inflation adjusted 1973 rupee basis, the average income of Indian agrarian labourer was Rs. 7.20 per year in 1885, against an inflation adjusted poverty line of Rs. 23.90 per year. Thus, not only was the average income below poverty line, the intensity of poverty was also very severe. The intensity of poverty increased from 1885 to 1921, then began a reversal. However, the absolute poverty rates continued to be very high through the 1930s. The colonial policies on taxation and its recognition of land ownership claims of zamindars and mansabdars, or Mughal era nobility, made a minority of families wealthy, while it weakened the ability of poorer peasants to command land and credit. The resulting rising landlessness and stagnant real wages intensified poverty.

The National Planning Committee of 1936 noted the appalling poverty of undivided India.

(...) there was lack of food, of clothing, of housing and of every other essential requirement of human existence... the development policy objective should have been to get rid of the appalling poverty of the people. – Nehru, *The Discovery of India*, (1946)

The National Planning Committee, notes Suryanarayana, then defined goals in 1936 to alleviate poverty by setting targets in terms of nutrition (2400 to 2800 calories per adult worker), clothing (30 yards per capita per annum) and housing (100 sq. ft per capita) This method of linking poverty as a function of nutrition, clothing and housing continued in India after it became independent from British colonial empire.

These poverty alleviation goals were theoretical, with administrative powers resident in the British empire. Poverty ravaged India. In 1943, for example, despite rising agricultural output in undivided South Asia, the Bengal famine killed millions of Indians from starvation, disease and destitution. Destitution was so intense in Bengal, Bihar, eastern Uttar Pradesh, Jharkhand and Orissa that entire families and villages were “wiped out” of existence. Village artisans, along with sustenance farming families, died from lack of food, malnutrition and a wave of diseases. The 1943 famine was not an isolated tragedy. Devastating famines impoverished India every 5 to 8 years in late 19th century and the first half of the 20th century. Between 6.1 and 10.3 million people starved to death in British India during the 1876-1879 famine, while another 6.1 to 8.4 million people died during 1896-1898 famine The Lancet reported that 19 million died from starvation and consequences of extreme poverty in British India, between 1896 and 1900. Sir MacDonnell observed the suffering and poverty in 1900, and noted, “people died like flies” in Bombay.

According to Poverty Development Goals Report 2011, as many as 320 million people in India and China are expected to come out of extreme poverty in the next four years, with India’s poverty rate projected to drop from 51% in 1990 to about 22% in 2015.^[90] The report also indicates that in Southern Asia, only India is on track to cut poverty by half by the 2015 target date. In 2015, according to United Nation’s Millennium Development Goals (MDG) programme, India has already achieved the target of reducing poverty by half, with 24.7% of its 1.2 billion people in 2011 living below the poverty line or having income of less than \$1.25 a day, the U.N. report said. The same figure was 49.4% in 1994. India had set a target of 23.9% to be achieved by 2015.

According to Global Wealth Report 2016 compiled by Credit Suisse Research Institute, India is the second most unequal country in the world with the top one per cent of the population owning 58% of the total wealth.

Global Hunger Index

Global Hunger Index (GHI) is an index that places a third of weight on proportion of the population that is estimated to be undernourished, a third on the estimated prevalence of low body weight to height ratio in children younger than five, and remaining third of weight on the proportion of children dying before the age of five for any reason. According to 2011 GHI report, India has improved its performance by 22% in 20 years, from 30.4 to 23.7 over 1990 to 2011 period. However, this performance from 2001 to 2011 has shown little progress, with just 3% improvement. A sharp reduction in the percentage of underweight children has helped India improve its hunger record on the Global Hunger Index (GHI) 2014. India now ranks 55 among 76 emerging economies. Between 2005 and 2014, the prevalence of underweight children under the age of five fell from 43.5% to 30.7%.

The vast majority of the population in India lives in rural areas with minimal access to basic services and therefore improving their living condition needs to be planned actively. Rural poverty and backwardness of Indian villages have been the two connotations of the same reality. Thus, bulk of the efforts made by the Indian Government through rural development, directly or indirectly, comes under the poverty alleviation interventions. Poverty eradication strategies, thus, comprise of a wide range of programmes of rural development, poverty alleviation and income and employment generation.

Reading 2

Poverty Alleviation Plans

The Five Year Plans immediately after independence had tried to focus on poverty alleviation with social justice as the primary objective of the developmental strategies of the government. While the Community Development Programme (CDP) introduced in 1952 aimed at the development of rural infrastructure and agriculture, the focus was lacking in reducing poverty and did not address economic inequalities.

During the Fourth Five- Year Plan period (1969-1974), the approach to planning was modified and special attention was paid to alleviation of poverty, especially rural poverty. This ushered in special programs targeted to benefit the poor, socially and economically disadvantaged sections and backward classes. There was a flurry of schemes to address this, ranging from Intensive Agriculture Area Development Programme (IAADP) in 1969-1970 to Integrated Rural Development Programme (IRDP) in 1976-1977.

Wage employment programmes, framed to alleviate poverty, were given importance in the late 1970s, 1980s and in the 1990s. In the beginning of seventies, wage employment programmes were introduced to generate employment quickly and directly. On the other hand, it was introduced to create productive assets to increase the pace of development and also to reduce poverty.

In 1972, Maharashtra introduced Employment Guarantee Scheme (EGS). EGS in Maharashtra has been one of the most effective and pioneering poverty reduction programmes through employment generation. In September 1974, Government of Maharashtra recognized the Right to Work and EGS was implemented as a regular scheme. It continued for more than thirty-eight years in Maharashtra and became a well-known and successful programme for poverty reduction. The other programmes started by Government of India such as Jawahar Rozgar Yojana (JRY) in 1989 and Employment Assurance Schemes (EAS) in 1993 were influenced by EGS.

There was another set of programmes on rural employment generation, based on a variety of public works. The initial programmes were the National Rural Employment Programme (NREP) and the Rural Labour Employment Guarantee Programme (RLEGP). They have been subsequently consolidated into the Jawahar Rozgar Yojana. The Seventh (1985-1990) and Eighth plans (1992-1997) have largely followed this approach to poverty alleviation.

In 2005, Mahatma Gandhi National Rural Employment Guarantee Scheme (NREGA) was introduced as the biggest Poverty reduction programme based on wage employment. This programme is demand driven and self-targeted and based on the logic of using productive capacity of the ordinary rural folk to build and nurture productive and infrastructure assets.

As far as the self-employment programmes are concerned, in the beginning, financial assistance was given to families and individuals. Since the 1990s, this approach has changed. Now, those who wish to benefit from these programmes are encouraged to form self-help groups (SHGs). Initially they are encouraged to save some money and lend this among themselves as small loans. Later, through banks, the government provided partial financial assistance to SHGs. The SHG then decides whom the loan is to be given to for self-employment activities. Swarnajayanti Gram Swarozgar Yojana (SGSY) is one such programme. This has been restructured as National Rural Livelihoods Mission (DAY-NRLM), which focuses on formation of affinity based women SHGs and building their institutions. Higher-level of federations at various levels will be formed by aggregating SHG members. This will provide a platform and space for SHGs to voice their demands (social and financial) and thus reduce their dependency on external agencies.

A major milestone during this period includes the constitutional amendments in 1992 to enable greater powers and financial resources being given to local bodies at the district, block and the village levels. The Balwantrai Mehta Committee set up in 1957 to look into the Community Development Programme (CDP) made far-reaching recommendations for democratic decentralization and rural reconstruction. It pointed out that the community development programme was not successful because it failed to evoke local initiative and that in the absence of local initiative and local interest, development would not be possible. With the passage of 73rd Amendment Act, people's participation in the process of planning, decision-making, implementation and delivery system in rural India was recognized and vested constitutional status on Panchayati Raj institutions.

The Indian Constitution provides for PRIs to exercise a key role in many areas of public service delivery, social welfare and poverty alleviation. The bureaucratic dispensation responsible for implementing these rights based social security schemes either want to keep the local government away from implementation or do not recognize the role of the PRIs in implementing these schemes. PRIs are also not capacitated to the extent that they also recognize that they have a vital role to play in planning and implementation of these schemes.

Social Protection and Constitutional Provisions

While different five-year plans had different approaches to addressing poverty, the Constitution itself provided provisions for social protection. In the Constitution, Article 41 of Directive Principles asks the state to “within the limits of its economic capacity and development,” make effective provision for securing the right to work, to education and to public assistance in cases of unemployment, old age, sickness and disablement, and in other cases of undeserved want.” Article 42 says that the state shall make provisions for securing just and humane conditions of work and for maternity benefits.

Despite the Gross Domestic Product (GDP) of Indian economy having grown at an average of 7% in the last two decades, almost 23.6% of people live at \$1.25 a day (in purchasing power parity terms) and 59.2% at \$ 2 a day as per an estimate by 2011 by the World Bank. The failure of the market to take care of the poor and weaker sections of the society makes it imperative for the Government to intervene and initiate welfare measures and social protection policies.

Rights based Social Security Initiatives

In the last few years, there has been an extension of rights-based social security initiatives in India. Even though they have been catalyzed through pressure from civil society, the Governments in power and political parties have also extended their support. These social protection initiatives have been initiated in the context of the understanding that economic growth in India is not reaching all sections of the society. Few of the rights based social security programmes are Right to Education, Right to health care under National Health Mission, Right to employment under Mahatma Gandhi National Rural Employment Guarantee Scheme (NREGS), National Social Assistance Programme, Rashtriya Swasth Bima Yojana, and Swachh Bharat Mission.

The rights based social security initiatives are framed based on the following precincts:

- All the people are entitled to certain standard of physical and social well-being.
- Acknowledge the worth and dignity of every individual.
- Recognition of the role of the poor as right holders and decision makers and not merely as beneficiaries.

In spite of the rights dimensions to the schemes brought in by the Government, the dissemination and implementation of the schemes have been weak in its reach and impact. Most of the above mentioned schemes are designed in such a way that they have a larger role to play. At the same time, since the schemes are mandated to be community-centric, the community has a very vital role in its dissemination, planning and implementation. Unfortunately, the local governments and the community are not given the role that is due to them.

The constituencies of the poor, for whom the schemes are targeted, more often than not, end up having less or no information about these schemes. They are left ignorant about the components and process of accessing these schemes. This deficit in knowledge and information, coupled with vulnerability of their socio-economic status leaves them with no negotiation skills. This deprivation of knowledge and information denies them their rightful access to the entitlement in the form of schemes.

Reading 3

The Concepts of Well being and Poverty

Well-being and Poverty

According to the World Bank Report (2000), “poverty is pronounced as deprivation in well-being. This of course begs the questions of what is meant by well-being and of what is the reference point against which to measure deprivation. One approach is to consider well-being as the command over commodities in general, so people are better off if they have a greater command over resources. The main focus is on whether households or individuals have enough resources to meet their needs. Typically, poverty is then measured by comparing individuals’ income or consumption with some defined threshold below which they are considered to be poor. This is the most conventional view - poverty is seen largely in monetary - terms and is the starting point for most analyses of poverty.

A second approach to well-being (and hence poverty) is to ask whether people are able to obtain a specific type of consumption good: Do they have enough food? Or shelter? Or health care? Or education? In this view the analyst goes beyond the more traditional monetary measures of poverty. Nutritional poverty might be measured by examining whether children are stunted or wasted and educational poverty might be measured by asking whether people are literate or how much formal schooling they have received.

Perhaps the broadest approach to well-being is the one articulated by Prof. Amartya Sen (1987), who argues that well-being comes from a capability to function in society. Thus, poverty arises when people lack key capabilities, and so have inadequate incomes or education, or poor health, or insecurity, or low self-confidence, or a sense of powerlessness, or the absence of rights such as the freedom of speech. Viewed in this way, poverty is a multidimensional phenomenon and less amenable to simple solutions. For instance, while higher average incomes will certainly help reduce poverty, these may need be accompanied by measures to empower the poor, or insure them against risks, or to address specific weaknesses such as inadequate availability of schools or a corrupt health service.

Poverty is related to, but distinct from, inequality and vulnerability. Inequality focuses on the distribution of attributes, such as income or consumption, across the whole population. In the context of poverty analysis, inequality requires examination of the belief that the welfare of individuals depends on their economic position relative to others in society. Vulnerability is defined as the risk of falling into poverty in the future, even if the person is not necessarily poor now; it is often associated with the effects of “shocks” such as a drought, a drop in farm prices, or a financial crisis. Vulnerability is a key dimension of well-being since it affects individuals’ behaviour in terms of investment, production patterns, and coping strategies, and in terms of the perceptions of their own situations.

The concepts, measures, and analytical tools covered in this Handbook are mainly introduced in the context of the monetary measures of poverty, especially consumption. However, they frequently are, and should be, applied to other dimensions of poverty. SECC Assessment on Poverty and Deprivations

Socio-Economic Caste Census 2011

Poverty Scenario in India	
Rural India Key Statistics	<ul style="list-style-type: none"> Total Households in the Country = 24.47 Crore Total Rural Households = 17.96 Crore Households Excluded = 07.06 Crore (39.37%) Automatically Included = 0.16 Crore (0.92%) Considered for Deprivation = 10.71 Crore Not reporting Deprivation = 02.01 Crore Household with Deprivations = 08.70 Crore
Deprivation status	<ul style="list-style-type: none"> Households with at least 1 Deprivation = 8.70 Crore (48.51%) Households with at least 2 Deprivation = 5.34 Crore (29.78%) Households with at least 3 Deprivation = 2.35 Crore (13.09%) Households with at least 4 Deprivation = 0.69 Crore (3.87%) Households with at least 5 Deprivation = 0.14 Crore (0.80%) Households with at least 6 Deprivation = 0.02 Crore (0.14%) Households with all the 7 Deprivations = 12,901(0.01%) Crore
SECC 2011- Of the 8.85 crore deprived/ automatically included poor households...	
Particulars	No of Deprived Households
Only zero room or one room with kuchcha walls and kuchcha roof (D1)	2,37,31,674
No adult member between 16 to 59 (D2)	65,15,205
Female headed households with no adult male member between age 16 to 59 (D3)	68,96,014
Disabled member and no able-bodied adult member (D4)	7,16,045
SC/ST households (D5)	3,85,82,225
No literate adult above 25 years (D6)	4,21,47,568
Landless households as manual casual labour (D7)	5,37,01,383

Reading 4

What is Vulnerability?

Vulnerability can be defined as the diminished capacity of an individual or group to anticipate, cope with, resist and recover from the impact of a natural or man-made hazard. The concept is relative and dynamic. Vulnerability is most often associated with poverty or gender or age or ability, but it can also arise when people are isolated, insecure and defenseless in the face of risk, shock or stress. People differ in their exposure to risk as a result of their social group, gender, ethnic or other identity, age and other factors. Vulnerability may also vary in its forms, poverty, for example, may mean that housing is unable to withstand an earthquake or a hurricane, or lack of preparedness may result in a slower response to a disaster, leading to greater loss of life or prolonged suffering.

The reverse side of this is capacity, which can be described as the resources available to individuals, households and communities to cope with a threat or to resist the impact of a hazard. Such resources can be physical or material, but they can also be found in the way a community is organized or in the skills or attributes of individuals and/or organizations in the community.

To determine people's vulnerability, two questions need to be asked:

- to what threat or hazard are they vulnerable?
- what makes them vulnerable to that threat or hazard?

Counteracting vulnerability requires:

- Reducing the impact of the hazard itself where possible (through mitigation, prediction and warning, preparedness).
- Building capacities to withstand and cope with hazards.
- Tackling the root causes of vulnerability, such as poverty, poor governance, discrimination, inequality and inadequate access to resources and livelihoods.

Physical, economic, social and political factors determine people's level of vulnerability and the extent of their capacity to resist, cope with and recover from hazards. Clearly, poverty is a major contributor to vulnerability. Poor people are more likely to live and work in areas exposed to potential hazards, while they are less likely to have the resources to cope when a disaster strikes.

In richer countries, people usually have a greater capacity to resist the impact of a hazard. They tend to be better protected from hazards and have preparedness systems in place. Secure livelihoods and higher incomes increase resilience and enable people to recover more quickly from a hazard. Disasters jeopardize development gains. Equally, development choices made by individuals, households, communities and governments increase or reduce the risk of disasters.

Examples of potentially vulnerable groups include:

- Displaced populations who leave their habitual residence in collectives, usually due to a sudden impact disaster, such as an earthquake or a flood, threat or conflict, as a coping mechanism and with the intent to return.
- Migrants who leave or flee their habitual residence to go to new places, usually abroad to seek better and safer perspectives.

- Returnees – former migrants or displaced people returning to their homes.
- A specific groups within the local population, such as marginalized, excluded or destitute people.
- Young children, pregnant and nursing women, unaccompanied children, widows, elderly people without family support, disabled persons.

In a disaster, women in general may be affected differently from men because of their social status, family responsibilities or reproductive role, but they are not necessarily vulnerable. They are also resourceful and resilient in a crisis and play a crucial role in recovery. Gender analysis can help to identify those women or girls who may be vulnerable and in what way.

Section 2

Marginalization, Concepts of Inclusion & Exclusion, Equity

Reading 5: Marginalization

Reading 6: Marginalization in Scheduled Tribes

Reading 7: The Concepts of Social Inclusion and Exclusion

Reading 8: The Concepts of Equity and Inclusion

Reading 5

Marginalization

Marginality is an experience that affects millions of people throughout the world. People who are marginalized have relatively little control over their lives, and the resources available to them. This results in making them handicapped in delving contribution to society. A vicious circle is set up whereby their lack of positive and supportive relationships means that they are prevented from participating in local life, which in turn leads to further isolation. This has a tremendous impact on development of human beings, as well as on society at large. As the objective of development is to create an enabling environment for people to enjoy a productive, healthy, and creative life; it is important to address the issue of marginalization. Development is always broadly conceived in terms of mass participation. Marginalization deprives a large majority of people across the globe from participating in the development. It is a complex problem, and there are many factors that cause marginalization. This complex and serious problem need to be addressed at the policy level. This project deals with the problems associated with the groups suffering from marginalization and the ways to reduce them.

Meaning of Marginalized Groups and Marginalization

In general, the term 'marginalization' describes the overt actions or tendencies of human societies, where the people who are perceived to be undesirable or without useful function, are excluded, i.e., marginalized. These people, who are marginalized, form a GROUP or COMMUNITY for their protection and integration and are known as 'marginalized groups'. This limits their opportunities and means for survival. Peter Leonard defines marginality as, "... being outside the mainstream of productive activity and/or social reproductive activity".

The Encyclopedia of Public Health defines marginalized groups as, "To be marginalized is to be placed in the margins, and thus excluded from the privilege and power found at the center". Latin observes that, "Marginality is so thoroughly demeaning, for economic well-being, for human dignity, as well as for physical security. Marginal groups can always be identified by members of dominant society, and will face irrevocable discrimination." These definitions are mentioned in different contexts, and show that marginalization is a slippery and multilayered concept. Marginalization has aspects in sociological, economic, and political debates. Marginalization may manifest itself in forms varying from genocide/ethnic-cleansing and other xenophobic acts/activities at one end of the spectrum, to more basic economic and social hardships at the unitary (individual/family) level.

Of course, the forms of marginalization may vary-generally linked to the level of development of society; culturally, and as (if not more) importantly, with relation to economics. For example, it would generally be true, that there would exist more "marginalized" groups in the Third World, and developing nations, than in the developed/first-world nations. Indeed, there can be a distinction made, on the basis of the "choice" that one has within this context-those in the Third World who live under impoverished conditions, through no choice of their own (being far removed from the protectionism that exists for the people in the First World) are often left to die due to hunger, disease, and war. One can also add to this various minorities, as well as women. Within the First World, low-income drug addicts stand out as being the most marginalized. This deliberate or chosen marginalization of people carries with it the aspects of a so called "Social Darwinism".

To further clarify the meaning and concept, let us discuss certain characteristics of marginalized groups:

Usually a minority group has the following characteristics:

It suffers from discrimination and subordination.

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

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

Various Marginalized Groups and their Problems

Most vulnerable marginalized groups in almost every society can be summarized as below:

1. Women

Under different economic conditions, and under the influence of specific historical, cultural, legal and religious factors, marginalization is one of the manifestations of gender inequality, usually justified on the basis of their perceived physical weakness related to child-bearing. In other words, women may be excluded from certain jobs and occupations, incorporated into certain others, and marginalized in others. In general, they are always marginalized relative to men, in every country and culture. Women (ormen) don't present a homogeneous category where members have common interests, abilities, or practices. Women belonging to lower classes, lower castes, illiterate, and the poorest region have different levels of marginalization than their better off counterparts.

2. Schedule Castes (Dalits)

The caste system is a strict hierarchical social system based on underlying notions of purity and pollution. Brahmins are on the top of the hierarchy and Shudras or Dalits constitute the bottom of the hierarchy. The marginalization of Dalits influences all spheres of their life, violating basic human rights such as civil, political, social, economic and cultural rights. A major proportion of the lower castes and Dalits are still dependent on others for their livelihood. Dalits do not refer to a caste, but suggest a group who are in a state of oppression, social disability and who are helpless and poor. Literacy rates among Dalits are very low. They have meager purchasing power and have poor housing conditions as well as have low access to resources and entitlements. Structural discrimination against these groups takes place in the form of physical, psychological, emotional and cultural abuse which receives legitimacy from the social structure and the social system. Physical segregation of their settlements is common in the villages, forcing them to live in the most unhygienic and inhabitable conditions. All these factors affect their health status, access to healthcare and quality of life. There are high rates of malnutrition reported among the marginalized groups resulting in mortality, morbidity and anemia. Access to and utilization of healthcare among the marginalized groups is influenced by their socio-economic status within the society.

Caste based marginalization is one of the most serious human rights issues in the world today, adversely affecting more than 260 million people, out of which mostly reside in India. Caste based discrimination entails social and economic exclusion, segregation in housing, denial and restrictions of access to public and private services and employment, and enforcement of certain types of jobs on Dalits, resulting in a system of modern day slavery or bonded labour. However, in recent years due to affirmative action and legal protection, the intensity of caste based marginalization is reducing.

The Scheduled Castes (SCs) are recognised in the Constitution of India and the various communities are designated in one or other of the categories. In addition, there are other disadvantaged groups like Backward Castes and Other Backward Castes, who have different levels of recognition in various states. In addition, the Constitution also has specific measures to enforce equality and to eliminate regressive practices like untouchability. Several laws have been enacted to implement these like Untouchability Practices Act, 1955, Scheduled Caste and Scheduled Tribe (Prevention of Atrocities) Act, 1989, and Employment of Manual Scavengers and Construction of Dry Latrines (Prohibition) Act, 1993, etc.

3. Scheduled Tribes

The Scheduled Tribes like the Scheduled Castes face structural discrimination within Indian society. Unlike the Scheduled Castes, the Scheduled Tribes are a product of marginalization based on ethnicity. In India, the Scheduled Tribes population is around 84.3 million and is considered to be socially and economically disadvantaged. Their percentage in the population and numbers, however, vary from state to state. They are mainly landless with little control over resources such as land, forest and water. They constitute a large proportion of agricultural labourers, casual labourers, plantation labourers, industrial labourers etc. their social structure. This has resulted in poverty among them, low levels of education, poor health and reduced access to healthcare and all other services.

The Constitution of India in Article 366 (25) prescribe that the Scheduled Tribes means such tribes or tribal communities as are deemed under Article 342 of the Constitution to be Scheduled Tribes. Specific criteria has been identified for the tribes, like primitiveness, geographical isolation, shyness and social, educational and economic backwardness. Special laws have been enacted to protect their resources and way of life, like under the Panchyat Extension to Scheduled Areas Act, 1996 (PSEA).

4. People with disabilities

People with disabilities have had to battle against centuries of biased assumptions, harmful stereotypes, and irrational fears. The stigmatization of disability resulted in the social and economic marginalization of generations with disabilities, and like many other oppressed minorities, this has left people with disabilities in a severe state of impoverishment for centuries. The proportion of disabled population in India is about 21.9 million. The percentage of disabled population to the total population is about 2.13 per cent. There are inter-state and inter-regional differences in the disabled population. The disabled face various types of barriers while seeking access to health and health services. Among those who are disabled, women, children and aged are more vulnerable and need attention.

5. Elderly or Aged People

Ageing is an inevitable and inexorable process of life. In India, the population of the elderly is growing rapidly and is emerging as a serious area of concern for the government and the policy planners. According to data on the age of India's population, in Census 2011, there are a little over 76.6 million people above 60 years, constituting 7.2 per cent of the population. The number of people over 60 years in 1991 was 6.8 per cent of the country's population. The vulnerability among the elderly is not only due to an increased incidence of illness and disability, but also due to their economic dependency upon their spouses, children and other younger family members. According to the 2011 census, 33.1 per cent of the elderly in India live without their spouses. The widowers among older men form 14.9 per cent as against 50.1

per cent widows among elderly women. Among the elderly (80 years and above), 71.1 per cent of women were widows while widowers formed only 28.9 per cent of men. Lack of economic dependence has an impact on their access to food, clothing and healthcare. Among the basic needs of the elderly, medicine features as the highest unmet need. Healthcare of the elderly is a major concern for the society as ageing is often accompanied by multiple illnesses and physical ailments.

6. Children

Mortality and morbidity among children are caused and compounded by poverty, their gender and social status of their family in society.

These factors have inter generational consequences on their overall developments nutrition intake, access to healthcare, environment and education. Poverty has a direct impact on the mortality and morbidity among children. In India, a girl child faces discrimination and differential access to nutritious food and gender based violence is evident from the falling sex ratio and the use of technologies to eliminate the girl child. The manifestations of these violations are various, ranging from child labour, child trafficking, to commercial sexual exploitation and many other forms of violence and abuse. With an estimated 12.6 million children engaged in hazardous occupations (2011 Census), for instance, India has the largest number of child labourers under the age of 14 in the world. Among children, there are some groups like street children and children of sex workers who face additional forms of discrimination. Trafficking of children also continues to be a serious problem in India. While systematic data and information on child protection issues are still not always available, evidence suggests that children in need of special protection belong to the communities suffering disadvantage and Social Exclusion such as Scheduled Castes and Tribes, and the poor (UNICEF, India). Children's rights are protected through several laws like The Child and Adolescent Labour (Prohibition and Regulation) Act of 1986 and Juvenile Justice (Care and Protection of Children) Act, 2015. While there is variation in the forms of discrimination across states, there is universal education, health, employment, landownership and political as children are the primary participation considered responsibility of mothers, their marginalized is inextricably linked to that of women.

7. Sexual Minorities

Another group that faces stigma and discrimination are the sexual minorities. Those identified as gay, lesbian, transgender, bisexual, kothi and hijra; experience various forms of discrimination within the society and the health system. Due to the dominance of heteronormous sexual relations being considered as the only form of acceptable relations within the society, individuals who are identified as having same-sex sexual preferences are ridiculed and ostracized by their own family and are left with very limited support structures and networks of community that provide them conditions of care and support. Their needs and concerns are excluded from the various health policies and programs.

Reading 6

Marginalization in Scheduled Tribes

The Scheduled Tribes like the Scheduled Castes face structural discrimination within Indian society. Unlike the Scheduled Castes, the Scheduled Tribes are a product of marginalization based on ethnicity. There are approximately two hundred million tribal people in the entire globe, which means about four percent of the global population. In India, the Scheduled Tribes population is around 84.3 million and is considered to be socially and economically disadvantaged. Their percentage in the population and numbers however vary from state to state. 50% of India's tribal population is concentrated in the North-eastern region of the country, who are, geographically and culturally, at widely different stages of social and economic development. Their problems too differ from area to area within their own groups.

From the historical point of view, they have been subjected to the worst type of societal exploitation. They are mainly landless with little control over resources such as land, forest and water. They constitute a large proportion of agricultural labourers, casual labourers, plantation labourers, industrial labourers etc. This has resulted in poverty among them, low levels of education, poor health and reduced access to healthcare services. They belong to the poorest strata of the society and have severe health problems. They are less likely to afford and get access to healthcare services when required. They are practically deprived from many civic facilities and are isolated from modern civilized way of living for so many centuries.

The health outcomes among the Scheduled Tribes are very poor even as compared to the Scheduled Castes. The Infant Mortality Rate among Scheduled Castes is 83 per 1000 live births while it is 84.2 per 1000 per live births among the Scheduled Tribes. Among the Scheduled Castes and the Scheduled Tribes the most vulnerable are women, children, aged, and those living with HIV/AIDS, mental illness and disability. These groups face severe forms of discrimination that denies them access to treatment and prevents them from achieving a better health status. Gender based violence and domestic violence is high among women, in general, in India. Girl child and women from the marginalized groups are more vulnerable to violence. The dropout and illiteracy rates among them are high.

Early marriage, trafficking, forced prostitution and other forms of exploitation are also reportedly high among them. In situations of caste conflict, women from marginalized groups face sexual violence from men of upper caste i.e., rape and other forms of mental torture and humiliation.

Nevertheless, the Constitution of India has made definite provisions for the welfare and upliftment of the tribal people throughout the country. And the greatest challenge that the Government of India has been facing since Independence, till today is the proper provision of social justice to the Scheduled Tribe Population, besides its rigorous efforts in implementing the new policy of tribal development and integration.

Ways forward:

Improved Access to Agricultural Land

The reasons for the high incidences of poverty and deprivation among the marginalized social groups are to be found in their continuing lack of access to income-earning capital assets (agricultural land and non-land assets), heavy dependence on wage employment, high unemployment, low education and other factors.

Therefore, there is a need to focus on policies to improve the ownership of income-earning capital assets (agriculture land, and non-land assets), employment, human resource & health situation, and prevention of discrimination to ensure fair participation of the marginalized community in the private and the public sectors.

Active Role of the State in Planning-

It is necessary to recognize that for the vast majority of the discriminated groups, State Intervention is crucial and necessary. Similarly, the use of economic and social planning as an instrument of planned development is equally necessary. Thus, planned State Intervention to ensure fair access and participation in social and economic development in the country is necessary.

Improved Access to Capital

The poverty level among the SC and ST cultivators is 30% and 40% respectively, which is much higher as compared with non-scheduled cultivators (18%). Similarly, the poverty incidences of those in business is very high 33% for SC and 41% for ST as compared with only 21% among non-scheduled businesses. The viability and productivity of self-employed households need to be improved by providing adequate capital, information, technology and access to markets. It is a pity that though the STs do own some land, they lack the relevant technological inputs to improve the productivity of their agriculture.

Improved Employment in Public and Private Sectors

There is a need to review and strengthen employment guarantee schemes both in rural and urban areas, particularly in drought-prone and poverty-ridden areas. Rural infrastructure and other productive capital assets can be generated through large-scale employment programmes. This will serve the dual purpose of reducing poverty and ensuring economic growth through improvement in the stock of capital assets and infrastructure.

Education and Human Resource Development

Firstly, lower literacy level of education and the continual discrimination of SC/STs in educational institutions pose a major problem. The government should take a second look at the Education Policy and develop major programmes for strengthening the public education system in villages and cities on a much larger scale than today. There is a necessity to reallocate government resources for education and vocational training. For millions of poor students located in rural areas, the loan schemes do not work. We should develop an affordable, uniform and better quality public educational system up to university level. Public education system is our strength and needs to be further strengthened. Promotion of such private education systems that create inequality and hierarchy should be discouraged.

Food Security Programs

The public distribution system should also be revived and strengthened. In distributing Fair Price Shops in villages, priority should be given to the SC/ST female and male groups, as a number of studies have pointed out that they are discriminated upon in the Public Distribution System and in Mid day Meal schemes.

Public Health System

The public health system in rural areas has also been by and large neglected. Therefore, the primary health system for rural areas and public health system in urban areas must be revived and more funds should be allocated for the same.

Untouchability and Discrimination

The practice of untouchability and the large number of atrocities inflicted on Dalits continue even today mainly because of hidden prejudices and neglect on the part of officials responsible for the implementation of Special Legislations i.e. the Protection of Civil Rights Act (PCRA) and the Prevention of Atrocities Act (POA). The Government should make a meaningful intervention in this regard so as to mitigate the sufferings of Dalits due to the practice of untouchability and atrocities inflicted upon them and should also treat this matter on a priority basis to ensure that the officials and the civil society, at large, are sensitized on this issue.

Reading 7

The Concepts of Social Inclusion and Exclusion

The concept of Social Inclusion

Enshrined in the 2030 Agenda is the principle that every person should reap the benefits of prosperity and enjoy minimum standards of well-being. This is captured in the 17 Sustainable Development Goals that are aimed at freeing all nations and people and all segments of society from poverty and hunger and to ensure, among other things, healthy lives and access to education, modern energy and information. Recognizing that these goals are difficult to achieve without making institutions work for those who are deepest in poverty and most vulnerable, the Agenda embraces broad targets aimed at promoting the rule of law, ensuring equal access to justice and broadly fostering inclusive and participatory decision-making.

These goals and targets, when effectively translated into action and properly benchmarked, represent essential elements of Social Inclusion processes. However, Social Inclusion encompasses a broader set of concerns than those reflected in the Sustainable Development Goals. No single global, goal-setting agenda can adequately address the multiple dimensions of exclusion or comprehensively promote inclusion, particularly given the diversity of circumstances around the globe.

- Social exclusion is a multidimensional phenomenon not limited to material deprivation; poverty is an important dimension of exclusion, albeit only one dimension. Accordingly, Social Inclusion processes involve more than improving access to economic resources.
- Social Inclusion is defined as the process of improving the terms of participation in society, particularly for people who are disadvantaged, through enhancing opportunities, access to resources, voice and respect for rights.
- Measuring Social Exclusion is challenging due to its multidimensional nature and the lack of standard data sources across countries and for all social groups at the highest risk of being left behind. Despite limitations, the existing data allow for a meaningful analysis of key aspects of exclusion. The report presents these data while illustrating data gaps.
- While Inclusion is a core aspiration of the 2030 Agenda, conceptual and analytical work on what constitutes Inclusion, as well as efforts to improve data availability, are needed.

Social Exclusion

Although there is no universally agreed definition or benchmark for Social Exclusion, lack of participation in society is at the heart of nearly all definitions put forth by scholars, government bodies, non-governmental organizations and others (see box I.1). Overall, Social Exclusion describes a state in which individuals are unable to participate fully in economic, social, political and cultural life, as well as the process leading to and sustaining such a state.

Participation may be hindered when people lack access to material resources, including income, employment, land and housing, or to such services as education and health care — essential foundations of well-being that are captured in Agenda 2030. Yet participation is also limited when people cannot exercise their voice or interact with each other, and when their rights and dignity are not accorded equal respect and protection. Thus Social Exclusion entails not only material deprivation

but also lack of agency or control over important decisions as well as feelings of alienation and inferiority. In nearly all countries, to varying degrees, age, sex, disability, race, ethnicity, religion, migration status, socio economic status, place of residence, and sexual orientation and gender identity have been grounds for Social Exclusion overtime.

Social Exclusion defined:

“Exclusion consists of dynamic, multi-dimensional processes driven by unequal power relationships interacting across four main dimensions—economic, political, social and cultural—and at different levels including individual, household, group, community, country and global. . It results in a continuum of inclusion/exclusion characterized by unequal access to resources, capabilities and rights which leads to health inequalities” (Popay and others, 2008, p.2).

“Social Exclusion is a complex and multi-dimensional process. It involves the lack or denial of resources, rights, goods and services, and the inability to participate in the normal relationships and activities, available to the majority of people in a society, whether in economic, social, cultural or political arenas. It affects both the quality of life of individuals and the equity and cohesion of society as a whole” (Levitas and others, 2007, p.9).

The term Social Exclusion was used for the first time by former French Secretary of State for Social Action, René Lenoir (1974), to refer to the situation of certain groups of people – “the mentally and the physically handicapped, suicidal people, aged invalids, abused children, drug addicts, delinquents, single parents, multi-problem households, marginal, asocial persons, and other ‘social misfits’”— whom he estimated to comprise one tenth of the population of France and who were considered vulnerable yet outside the realm of social insurance systems of the welfare state. The concept soon took hold in other developed countries, more recently, the European Union dedicated 2010 as the European Year for Combating Poverty and Social Exclusion.

Experts have questioned the utility of the Social Exclusion framework to lower-income, developing countries (Saith, 2001). Where the majority of a population work in informal and in secure employment, lack social protection coverage or do not complete secondary education, standards of normality as benchmarks of inclusion or exclusion are not what are aspired to. Yet, in Sen’s (2000) view, the concept and its focus on relational features has led to richer analysis of processes that result in poverty and capability deprivation, many aspects of which are common across regions even at different levels of development. Issues related to the status, segregation and disempowerment of migrants, for instance, affect a growing number of countries – developed and developing.

While intertwined, the concepts of poverty and Social Exclusion are nonetheless distinct. Poverty is an outcome, while Social Exclusion is both an outcome and a process. Poverty and exclusion need not go hand in hand; not all socially excluded groups are economically disadvantaged. People are often excluded due to a disability or because of their sexual orientation, for instance, without necessarily living in poverty. Levitas and others (2007) observed: “Many of the attempts to define Social Exclusion distinguish it from poverty... on the basis of its multi-dimensional, relational and dynamic character”. Indeed, whereas poverty is most commonly defined in monetary terms, Social Exclusion takes a more holistic view of human development.

Social Inclusion

In the policy discourse, efforts to promote Social Inclusion have arisen from concerns over Social Exclusion. For the purpose of the present report, Social inclusions defined **as the process of**

improving the terms of participation in society for people who are disadvantaged on the basis of age, sex, disability, race, ethnicity, origin, religion, or economic or other status, through enhanced opportunities, access to resources, voice and respect for rights. Thus, Social inclusion is both a process and a goal. In the present report, it is contended that promoting Social Inclusion requires tackling Social Exclusion by removing barriers to people's participation in society, as well as by taking active inclusionary steps to facilitate such participation. As a political response to the exclusion challenge, Social Inclusion is, thus, a more deliberate process of encompassing and welcoming all persons and embracing greater equality and tolerance.

Social Inclusion defined:

"The process of improving the terms for individuals and groups to take part in society" and "The process of improving the ability, opportunity, and dignity of people, disadvantaged on the basis of the identity, to take part in society" (World Bank, 2013).

"Social Inclusion is a process which ensures that those at risk of poverty and Social Exclusion gain the opportunities and resources necessary to participate fully in economic, social, political and cultural life and to enjoy a standard of living that is considered normal in the society in which they live. It ensures that they have greater participation in decision making which affects their lives and access to their Fundamental Rights" (Commission of the European Communities, 2003,).

European Commission's Joint Report on Social Inclusion defined the term as **"some process whereby certain individuals are pushed to the edge of society and prevented from participating fully by virtues of their poverty, or lack of basic competencies and lifelong learning opportunities, or as a result of discrimination.** This distances them from jobs, income and education opportunities as well as social and community networks and activities. They have little access to power and decision-making bodies and thus often feeling powerless and unable to take control over the decisions that affect their day-to-day lives".

According to the European Union Social Inclusion is a process which ensures that those at risk of poverty and Social Exclusion gain the opportunities and resources necessary to participate fully in economic, social and cultural life and to enjoy a standard of living and well-being that is considered normal in the society in which they live. It ensures that they have a greater participation in decision making which affects their lives and access to their Fundamental Rights.

It should be noted that fostering Social Inclusion may or may not increase the capacity of the people to live together in harmony. Societies that are otherwise cohesive may exclude some sectors of the population (United Nations, 2010). Similarly, Social Inclusion is not the same as Social Integration, even though the two terms are at times used interchangeably. Social Integration and Social Inclusion should, however, contribute to making societies more cohesive. Although the present report touches on some aspects of social cohesion and Social Integration and examines indicators that are relevant to both concepts, its focus is on the elimination of Social Exclusion and the promotion of social inclusion.

Elements of Exclusion and Inclusion

The report's definition of Social Inclusion explicitly refers to the *people who are disadvantaged on the basis of age, sex, disability, race, ethnicity, origin, or economic or other status* for two reasons. First, although anyone may be potentially at risk of Social Exclusion, certain attributes or characteristics increase such risks. These are often linked to identity or group ascription. Kabeer

(2006) described two types of identity. One relates to “groups of people who acknowledge their common membership, have shared beliefs and values and act in collective ways. Caste, ethnicity and religion are examples of such group identities”. The other refers to categories of people defined on the basis of some shared characteristics rather than shared values and way of life. Members of these categories do not necessarily know each other and share very little in common, aside from the nature of the discrimination they face. Street children, people with leprosy or AIDS and undocumented migrants are examples of such socially excluded categories. In the present report, the term “group” refers to both types of identity and is recognized as a social construct used to facilitate the analysis.

Second, in aspiring to empower and promote the social, economic and political inclusion of all members of society, target 10.2 of the 2030 Agenda draws attention to these attributes. Under that target, it is emphasized that all should be included “irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status”. The bases of disadvantage included in the report’s definition are, therefore, those explicitly included by Governments in the Sustainable Development Goals. While not comprehensive, the list highlights many of the attributes that have historically put individuals most at risk of Exclusion.

Social Exclusion can be defined as the experience of social, cultural and economic inequalities. It is the process whereby certain individuals, groups or communities are pushed to the edge of society and can not participate fully because of poverty, inadequate education or underdeveloped life-skills.

Social Exclusion is something that can happen to anyone. But some people are at a higher risk than the other. Research has found that people with certain backgrounds and experiences are often more likely to experience Social exclusion. The Social Exclusion concept originated in France about 30 years ago. Then, the term was mostly used to describe individuals who were not covered by the social security systems of the time, these included single mothers, substance abusers and drug addicts, and people with physical and mental disabilities. Over time, this grew to also include the unemployed, the homeless, the dissatisfied youth, the old, the immigrants, etc. In analyzing the evolution of the Social Exclusion concept, the analysts note that the “conceptual shift” implies a change in perspective from a static to a dynamic approach, from a one dimensional to a multi dimensional and also from a distributional to a relational focus.

Today, Social Exclusion and poverty stand as amongst the most important sociological problems that need to be addressed in the world . Many people including young and children suffer from Social Exclusion and poverty. Poverty and Social Exclusion are interlinked concepts in the way that Social Exclusion composes outer circle as it goes beyond the income?? poverty. In other word, being poor can lead to exclusion, but Social Exclusion is more than being poor as it covers persons’ social and economic integration.

Who may experience Social Exclusion?

The most important characteristic of Social Exclusion is that these problems are linked and reinforce each other. To be effective and efficient, we need to reach people who need local authority services most. These are often the most disadvantaged people in communities - unemployed, people with disabilities, people with language and literacy difficulties, elderly, lone parents etc. These groups (and others) are recognized as being at the risk of a digital divide - not being able to access electronic services, and not having digital literacy skills or motivation. While any member of our

society can experience Social Exclusion, the main groups accepted as being particularly at risk of Social Exclusion (target groups) include the following:

- Scheduled Tribe (ST)
- Particularly Vulnerable Tribal Groups (PVTGs)
- Women headed households
- Elderly persons
- People living with different abilities (PwDs)
- Religious, ethnic, linguistic minority groups
- People living in extremist affected areas
- People living in inaccessible remote and hill terrains
- Survivors of human trafficking
- People engaged in unhygienic occupations (like erstwhile manual scavengers)
- Liberated bonded labourers
- Distress migrants
- Transgenders (sexual minorities)
- HIV/AIDS+ persons and their families
- Families with one or more persons suffering from chronic illness

The dynamics of poverty and exclusion are not static. They are dynamic, feeding off each other, usually in the form of a downward spiral. They are also strongly correlated with particular groups of people. Many people face a number of factors that make them vulnerable to exclusion. These factors are often inter-linked and build on each other in a multifaceted way. This makes it difficult to tackle them effectively. Many of the personal factors are things that an individual cannot change, even if they wanted to. It is these factors that are often the subject of prejudice and discrimination. Prejudice and discrimination make some people vulnerable to Social Exclusion just because of who they are. For some people, these factors reinforce each other to create multiple layers of deprivation. This leads to persistent and repeated exclusion. For others, exclusion is temporary and short-lived and disappears once the underlying problem is overcome. Individuals and communities have remarkably different levels of resilience. Some people manage to find personal and community coping-mechanisms that enable them to deal with potentially large problems without falling into exclusion.

The Effects of Exclusion

Social Exclusion has huge costs for the individuals, groups and communities that experience it, which may include:

Underachieving educational potential

A teenager from a deprived neighborhood is more likely to go to a failing school. They are also less likely to achieve good qualifications.

Financial loss

Socially excluded groups are more likely to be dependent on government schemes and entitlement or engaged in low paid daily wage work.

Poor access to services

For example, in poor areas there may be fewer Gram Panchayats per head, fewer financial or legal services and lesser shops and people are less likely to have insurance i.e. House Insurance.

Stress

Socially excluded groups usually face significantly higher levels of stress and mental health problems. This is not surprising given their risk of social isolation and the difficulties of trying to make ends meet on low incomes.

Health

Things like poor diet, lack of opportunities for exercise and high rates of smoking can contribute to health problems.

Lack of hope

Many who are socially excluded feel little hope for the future. Barriers like disability, health problems, lack of transport, or few local jobs may limit their opportunities to partake in society. This feeling may be worsened by worries that prospects for their children may be no better.

Poverty and Social Exclusion

Social Exclusion often stems from financial poverty, however, financial poverty is not the only thing that makes life difficult for many people. Social Exclusion is a broader term and recognizes that for many people, life is difficult and not just because of the absence of money or resources. They are strongly inter-related, however, they are not the same thing. It has also become increasingly clear that financial poverty is not the only thing that makes life difficult for many people. Social Exclusion is the term used to describe the “condition” of not being able to participate fully in society, of not being able to enjoy the good things in life.

Very often that “condition” is due to people’s lack of money or resources. Increasingly, however, it is also due to other influences. These can include:

- direct discrimination against particular groups or categories of people, or women
- women not having the confidence to literally step forward and participate in society and what it offers
- women lacking the skills or qualifications which may be needed for social and economic participation
- “physical” barriers such as a lack of transport or the absence of services or facilities in areas and communities
- organizations working on the basis of “one size fits all” and not being geared to the particular needs of people from particular backgrounds or with particular service needs or problems

Poverty is defined as the lack of sufficient financial resources to meet basic needs. It is usually measured in absolute financial terms using a specified poverty line; alternatively, it is measured in relative terms when compared to the better off in society. It can also be defined in terms of ability to buy basic necessities determined by a basket of goods and services deemed necessary in a particular society.

Civil Society Organizations have historically played a crucial role in bringing social reforms for inclusion by bringing awareness in the people as well as putting pressure on the governance to address the social reforms. For example, Anti-Sati movement led by Raja Ram Mohan Roy, caste movements led by Dr. B.R. Ambedkar and E.V.R. Periyar which addressed the issue of Untouchability, Savitribai Phule movement for inclusion of women and girls in education, and the Ezhava movement led by Sri Narayana Guru for the liberation of the Ezhavas. Contemporary rights based movements have been instrumental in bringing legislations like, RTE, RTI, MGNREGS, Prevention of Atrocities Act, Sexual Harassment of Women at Workplace (Prevention, Prohibition and Redressal) Act, 2013, Domestic Violence Act, 2005, and POCSO 2012, all of which have been introduced to ensure the protection and promotion of the socially excluded communities.

The Self-Help Group movements in the last 20 years have brought in many issues of exclusion of women at grassroots level and paved the way for their economic independence and greater participation in decision making in governance. The conventional understanding of the role and powers of a Panchayat president is to implement the government schemes for the beneficiaries in the Panchayat. However, Social Inclusion inputs are not given, which has to be dealt with sensitively and they think adversely that it may affect their political prospects. For this, strict laws should be made for them to be in the Social Inclusion process. Hence the profound task of the civil society is to act as a watchdog in making the local governance more inclusive through awareness and capacitating the local level leaders and excluded communities.

Civil society organization should play a crucial role in bringing a viable alternative as a sustainable development agenda for Social Inclusion by playing intermediary role between the people and the governance.

Social Inclusion, Integration and Cohesion

Social Inclusion processes require both addressing the drivers of exclusion, including certain policies and institutions as well as discriminatory attitudes and behaviours, and actively “bringing people in”. To the extent that policies and institutions define the “rules of the game” for social interactions and the distribution of power, status and control over resources, they can drive Social Exclusion or, alternatively, mitigate its impacts. Some institutions systematically deny particular groups of people the recognition which would enable them to participate fully in society. Discriminatory attitudes and behaviours further drive exclusion, although they are not its only cause. People living in remote areas may not be able to fully participate in social, cultural or political life, for instance, without being discriminated against by law or by the rest of the society. Discrimination can hinder access to and enjoyment of goods, services, justice, opportunities and culture, discourage the efforts of social groups to advance their interests, all of which results in spatial segregation. Norms, policies and institutions can also result in participation in society but on adverse terms (Hickey and Du Toit, 2007). For instance, participation in the labour market may be imposed or engaged in voluntarily but under precarious conditions.

Reading 8

The Concepts of Equity and Inclusion

Equity and Inclusion

Equity is the principle of fairness, a measure of justice

Equity involves recognizing that people are different and need different support and resources to ensure their rights are realized. To ensure fairness, measures must often be taken to compensate for specific discrimination and disadvantages.

Equity also means ensuring proportionality. The most important examples where this proportionality is violated, causing great injustice to the poor, are these:

- Work and remuneration
- Effort and recognition
- Loss and compensation
- Responsibility and reward
- Accountability and power
- Penalty and lapse
- Punishment and crime

Each aspect has two terms separated by 'and'. Any violation of proportion between these two terms leads to injustice. Usually the poor experience this injustice gives is on a day today basis. It often occurs in the form of Excess on first term and severe shortage on second term. For example: x.

- High work and low remuneration,
- High effort and low recognition
- High loss and low compensation etc.

Inclusion is ensuring that all are able to participate fully

Inclusion is not just about improving access to services, but also supporting people to engage in wider processes to ensure that their rights and needs are recognized.

Rights based approaches:

A human rights definition - Human rights may be defined as 'universal legal guarantees that belong to all human beings, and that protect individuals and/or groups from actions and omissions that affect fundamental human dignity.'

Needs based or rights based?

Needs based:

- Satisfy needs for now.
- View people as passive recipients or beneficiaries.

Rights based:

- People are the drivers.
- Change the relationship between State and civil society.
- Wider systems of governance.
- Change in power dynamics.
- Sustainable change.

Why focus on different groups?

Why focus on particular groups – some key issues:

Focus on women and gender

- Women are 50% of the population; they are often poorer than men.
- Poor hygiene has a serious impact on women's reproductive health.
- Menstrual hygiene is often taboo and not addressed adequately.
- Lack of WASH facilities affects women's dignity, safety, privacy and girls' access to education.
- Women are responsible for most unpaid labour associated with WASH - it takes time and energy.
- Women usually care for children, or sick or disabled family members - WASH tasks appear as additional burden to them.

Focus on disability

- 10% of the world's population is disabled. As many as 20% of the poorest of the poor are disabled.
- The UN Convention on Rights of Persons with Disabilities articulates rights in relation to access to WASH.
- People with different types of disabilities experience different challenges and discrimination in accessing WASH.
- Poor hygiene can cause disability, for example, trachoma can be prevented by face washing.

Focus on HIV/AIDS

- People living with HIV are more susceptible to opportunistic infections, like diarrhea, skin diseases, and typhoid.
- Diarrhea reduces the absorption of anti retro viral drugs.
- Safe drinking water increases the absorption of anti-retro viral drugs.
- Fetching water and visiting toilets is more difficult when people are sick and is an additional burden for care givers.
- People living with HIV are often stigmatized. Many believe that HIV is transmitted through sharing latrines.

Focus on older people

- The proportion of the aging population (over 60) is increasing in all countries.
- Older people are often amongst the poorest—especially those caring for young children.
- Older people are more likely to be affected by chronic illness and disability.

Types of barrier

Individual barriers are those attributes of an individual that make it difficult for them to access water and sanitation. For example, if someone is weak because of illness, is an older person with weak arms, legs or an injured back, is very short (child), or has limited mobility because of pregnancy. These are barriers which might be addressed with interventions that focus on that limitation. For example, by providing a wheelchair for someone who cannot walk, drugs for someone who is sick, or a stick to help guide someone who cannot see. These barriers are often the focus in the medical model of disability but are not usually the focus for WASH programmes.

Environmental barriers are often easiest to identify. They include barriers to physical access such as steps, narrow pathways and uneven surfaces. Access issues are just as significant for those with sensory or communication impairments where information is not available in formats they can understand. Also think about the positioning of latrines – do they provide privacy and safety for girls? Do they have to go through unsafe areas to get to water points? How far do people have to travel? Is the orientation of latrines important (for example, Muslims do not want to face East)?

Institutional barriers are some of the most difficult to identify. Without a proactive search for them, they won't be as immediately evident. That's because they're often linked to social and cultural norms and written into policies and legislation. The way to start identifying them is to focus on sectors in which you work, and try to map the rights and legal, cultural and social practices that might need addressing. Consulting with local disabled people and other marginalized groups will be an essential part of helping identify them.

Attitudinal barriers are the most important to identify—time and time again they are the main reason prohibiting progress on inclusion of marginalized people. Negative attitudes and assumptions have led to many disabled people believing themselves to be worthless, dependent and in need of support. Women are sometimes not respected as decision-makers or considered capable of technical skills and tasks. People who are HIV positive may be discriminated against and older people, especially women, may be shunned by younger people.

Defining Discrimination

- **Direct discrimination** - Less favorable treatment of a person compared with another person due to a particular characteristic (for example, sex, race, age, disability, HIV status, religion, and sexual orientation). For example, it would be direct discrimination if a driving job was only open to male applicants.
- **Indirect discrimination** - The use of an apparently neutral practice which puts people with a particular characteristic at a disadvantage compared to others who do not share that characteristic.
- For example, saying that applicants for a job must be clean shaven puts members of some religious groups at a disadvantage.
- **Positive discrimination** - Treating someone with a particular characteristic more favorably to counteract the effects of past discrimination.
- For example, deliberately short-listing only women for a senior position to provide a more balanced senior management team.
- **Positive action or affirmative action** - Definitions vary in different countries. Both terms generally mean a range of actions that seek to overcome or minimize discrimination that people who share a particular characteristic have experienced, or to meet their particular needs. This is an important aspect of development in the future, in which governments, civil society organisations and corporate sector would need to work together closely.

Section 3

Gender, Exclusion, Constitutional Provisions and UDHR

Reading 9: Understanding Gender

Reading 10: Structural Causes of Social Exclusion

Reading 11: Social Inclusion and Constitutional Provisions

Reading 12: Universal Declaration of Human Rights

Reading 9

UNDERSTANDING GENDER

DAY-NRLM is focussed on building strong grassroot institutions of poor rural women, whose participation and leadership has traditionally been low across the country. This requires intensive efforts to improve gender equality and transform the way women are able to participate in the entire development process in households, communities and in the public sphere. Gender equality requires a transformative change approach which seeks to transform gender roles, alter structures that maintain inequality and promotes gender equitable relationships between men and women. While there is a wide recognition in development sector that all programming work should be at the minimum gender sensitive, DAY-NRLM has a commitment to be, whenever possible, gender transformative, i.e. to shift the balance of power in gender relations so it is more equally shared.

People tend to use the terms “sex” and “gender” interchangeably. We assign a newborn’s sex as either male or female, based on their genitals. Once a sex is assigned, we presume the child’s gender. In this section, we will try to understand different aspects and dimension of gender.

Dimensions of Gender

While our gender may begin with the assignment of our sex, it doesn’t end there. A person’s gender is the complex interrelationship between three dimensions:

- **Body:** our body, our experience of our own body, how society genders bodies, and how others interact with us based on our body.
- **Identity:** our deeply held, internal sense of self as male, female, a blend of both, or neither; who we internally know ourselves to be.
- **Expression:** how we present our gender in the world and how society, culture, community, and family perceive, interact with, and try to shape our gender. Gender expression is also related to gender roles and how society uses those roles to try to enforce conformity to current gender norms.

Each of these dimensions can vary greatly across a range of possibilities. A person’s comfort in one’s gender is related to the degree to which these three dimensions feel in harmony. Let’s explore each of these dimensions in a little more detail. This section includes extracts from CARE India’s document, Gender Transformative Change Flagship Approach 2017.

Body

Most societies view sex as a binary concept, with two rigidly fixed options: male or female, both based on a person’s reproductive functions (genitals, sex chromosomes, gonads, hormones, and reproductive structures). But a sex binary fails to capture even the biological aspect of gender. While most bodies have one of two forms of genitalia, which are classified as “female” or “male,” there are naturally occurring Intersex conditions that demonstrate that sex exists across a continuum of possibilities. This biological spectrum, by itself, should be enough to dispel the simplistic notion of the “Gender binary”- there are not just two sexes.

The relationship between a person’s gender and their body goes beyond one’s reproductive functions. Research in neurology, endocrinology, and cellular biology points to a broader biological basis for an individual’s experience of gender. In fact, research increasingly points to our brains as playing a key role in how we each experience our gender.

Bodies themselves are also gendered in the context of cultural expectations. Masculinity and femininity are equated with certain physical attributes, labeling us as more or less a man/woman based on the degree to which those attributes are present. This gendering of our bodies affects how we feel about ourselves and how others perceive and interact with us.

Understanding gender and sex - The biological characteristics (including genetics, anatomy and physiology) that generally define humans as female or male. These biological characteristics are not mutually exclusive, however, as there are individuals who possess both male and female characteristics. For example, the fact that only females can have babies is related to their sex. Gender is more than biological differences between men and women, boys and girls. Gender defines what it means to be a man or woman, boy or girl in a given society – it carries specific roles, status and expectations within households, communities and cultures.

The traits and characteristics associated with gender differ from culture to culture, may vary within cultures, and evolve over time. These differences mean that: individuals face different situations as to what economic, social and political opportunities are open and accessible to them, and what status they hold within economic, social and political institutions. Examples include: Cultural norms concerning women's mobility or women's reproductive (care-giving, household maintenance) roles may limit their ability to take part in the workforce or participate equally in decision-making processes at the community or broader levels;

- Men often face community pressures/expectations that prevent them from breaking harmful gender norms (gender related social norms which have a negative impact on either women or men or both), and sharing roles or responsibilities more equitably within the household. (Example: more percentage of male farmers committing suicides due to gender biased socialization and expectation which puts the responsibility of rearing family only on men. Example: women eating food in lesser quantity and quality due to gender biased socialization that they have to sacrifice their own needs for better health and nutrition of children and husbands...which is one of the causes of higher percentage of anaemia among women as compared to men.
- Where marriage norms mean women and girls lose membership of their natal kin to join that of their husbands, parents may prioritize investment in sons who are expected to remain with and support the family.
- Men, women, boys and girls are affected in different ways by policies, interventions and changing environments, based on their unique experiences, priorities, social norms and their relationships with others.
- Deteriorating natural resources may disproportionately affect women and girls who must then travel farther to gather firewood or water, adding not only to their workloads but also increasing their risk of assault;
- Economic development programs that only target women and girls to the exclusion of men can aggravate gender tensions within households, especially where men are expected to provide for the family and have been unable to fulfil these duties in difficult economic environments; and
- Enrolment campaigns designed to increase girls' participation in school can set girls up for failure if they don't address discriminatory practices in schools, communities and domestic workload issues at home.

Identity

Understanding of our gender comes to most of us fairly early in life. According to the American Academy of Pediatrics, “By age four, most children have a stable sense of their gender identity.” This core aspect of one’s identity comes from within each of us; it is an inherent aspect of a person’s make-up. Individuals do not choose their gender, nor can they be made to change it, though the words someone uses to communicate their gender identity may change over time (e.g., from one non-binary identity to a different non-binary identity). Naming our gender can be a complex and evolving matter. Because we are provided with limited language for gender, it may take a person quite some time to discover, or create, the language that best communicates their gender.

Each person’s deeply felt internal and individual experience of gender, which may or may not correspond to the sex assigned at birth, including the personal sense of the body (which may involve, if freely chosen, modification of bodily appearance or function by medical, surgical or other means). Because gender identity is internal and personally defined, it is not visible to others. For example, people born biologically female are likely to identify as a woman, but sometimes they think of themselves as men (whether or not they dress, behave and so on as a man). A person whose gender identity does not match his or her biological sex may or may not choose to identify as transgender, which is an umbrella term reflecting a broad spectrum of persons experiencing their gender in different ways.

Equality - Gender equality or equality between women and men - refers to the equal enjoyment by women, girls, boys and men of rights, opportunities, resources and rewards. A critical aspect of promoting gender equality is the empowerment of women, with a focus on identifying and redressing power imbalances. Equality does not mean that women and men are the same but that their enjoyment of rights, opportunities and life changes are not governed or limited by whether they were born female or male.

Equity - Gender equity is the process of being fair to women and men. To ensure fairness, strategies and measures must often be available to compensate for women’s historical and social disadvantages that prevent women and men from otherwise operating on a level playing field. Equity leads to equality. For example: if a family of four (husband, wife and two children) has a plate of rice, then equal distribution would mean dividing the rice equally among all four irrespective of their needs and capacity. This would be equality. But if the wife in the above example is pregnant then her calorie requirement is more than a normal adult woman and thus equal distribution will not be justice. In this case food has to be distributed in such a way that it takes care of the nutrition requirement of all family members based on their age, sex, life stage and special needs.

Expression

The third dimension of gender is Gender expression, which is the way we show our gender to the world around us (through such things as clothing, hairstyles, and mannerisms, to name a few). Practically everything is assigned a gender—toys, colors, clothes, and activities are some of the more obvious examples. Given the prevalence of the gender binary, children face great pressure to express their gender within narrow, stereotypical definitions of “boy” or “girl.” Expectations around expression are taught to us from the moment we are born, and communicated through every aspect of our lives, including family, culture, peers, schools, community, media, and religion. Accepted gender roles and expectations are so entrenched in our culture that most people cannot imagine any other way.

Through a combination of social conditioning and personal preference, by age three, most children prefer activities and exhibit behaviours typically associated with their sex. For individuals, who fit fairly neatly into expected gender roles and expression, there may be little cause to think about or question their gender, or how gender is created, communicated, and reinforced in our lives. However, children who express gender in ways that are perceived to be outside of these social norms, often have a very different experience. Girls thought to be too masculine (especially as they move into their teens) and boys seen as feminine (at any age) face a variety of challenges. Pressures to conform at home, mistreatment by peers in school, and condemnation by the broader society are just some of the difficulties facing a child whose expression does not fall into line with the binary gender system. For many young people, whether typical in their presentation or not, expression is the most tangible aspect of their gender experience, impacting them in many, if not all, of their interactions with others.

Norms around gender expression change across societies and over time. One need not only consider men wearing earrings or women having tattoos to see the flexibility of social expectations about gender. Even the seemingly intractable notion that “pink is for girls, blue is for boys” is relatively new. Prior to the mid-twentieth century, pink was associated with boys’ clothing and blue with girls’ clothing (still due to the gendering of colors, but with a different rationale associating each colour with particular gendered characteristics).

Because expectations around gender expression are so rigid, we frequently assume that what someone wears, or how they move, talk, or express themselves, tells us something about their gender identity. But expression is distinct from identity -we can’t assume a person’s gender identity based on their gender expression. For example, a cisgender boy may like to wear skirts or dresses. His choice in clothing doesn’t change his gender identity; it simply means that he prefers (at least some of the time) to wear clothing that society typically associates with girls.

Women’s Empowerment

Women’s empowerment can be defined as the combined effect of changes in:

- A woman’s own knowledge, skills and abilities to act on one’s choices, ability and capacity for decision making – Agency
- The societal norms, customs, institutions and policies that shape her choices in life – Structures
- The power relationships through which she negotiates her path – Relations

For a program to really bring about sustainable equality and equity in gender norms, gender relations and gender dynamics, it has to look at all the aspects of empowerment. This comprehensive involvement of all factors influencing gender norms and women’s empowerment and guides in framing policies and strategies. For instance, it would be important for every programme in DAY-NRLM to do a detailed situational analysis to understand the interplay of factors affecting the agency, structure and relations for women. This analysis will inform the areas of intervention and the stakeholders and influencers (who might not be only women). It is thus important to work with different and various players in the society which affect the gender norms, beliefs and practices.

It is important to understand that women are not at a lower stature in the society because of their sex or biological differences. The condition of women is poor because of socio economic and cultural norms, rules and restrictions imposed upon them inter-generationally. This has historically denied them equal opportunities for education, health care, economic and political participation

and public spaces. This inter-generational denial of equal opportunities has led to gender based discrimination across various sectors. At this point of time, a gender equitable approach to our programming needs to be centre place to bring women and girls at equal platform with the rest of the society. Once this equality is achieved through “positive discrimination”, only then equality will lead to actual equal growth and development for all segments of the society.

Strategies applied in program planning, assessment, design, implementation and M&E to consider gender norms and to compensate for gender based inequalities. For example, if a state or block conducts gender analysis to understand the root cause for low participation of women in Gram Sabha and incorporates the results into its annual action plan and M&E plan, it is undertaking a gender integration process.

Gender Continuum - To guide implementation teams to understand their approach to gender, it would be important to use basic conceptual tools like the Gender continuum. The tool categorizes approaches by how we treat gender norms and inequities in the design, implementation and evaluation of programmatic initiative. Each block can plan for analysis of all its programmes across this continuum, and track how progress is being when implementation of gender sensitive approaches is activated. The continuum thus can shift from gender harmful to gender transformative practices – and this can be included in the approaches of training programmes conducted by the states.

- Gender harmful: At the far left of the continuum, the terms gender harmful refers to program approaches reinforcing inequitable gender stereotypes, or dis-empowering certain people in the process of achieving program goals.
- Gender neutral: Program approaches or activities do not actively address gender stereotypes and discrimination. Gender- neutral programming is a step ahead on the continuum because such approaches at least do no harm. However, they often are less than effective because they fail to respond to gender-specific needs.
- Gender sensitive: Program approaches or activities recognize and respond to the different needs and constraints of individuals based on their gender and sexuality. These activities significantly improve women’s (or men’s) access to protection, treatment, or care. But by themselves they do little to change the larger contextual issues that lie at the root of gender inequities; they are not sufficient to fundamentally alter the balance of power in gender relations.
- Gender responsive: Program approaches or activities help men and women examine societal gender expectations, stereotypes, and discrimination, and their impact on male and female health, education and relationships.
- Gender transformative: At the far right of the continuum, the term gender transformative refers to program approaches or activities actively seeking to build equitable social norms and structures in addition to individual Gender-equitable behaviour. GTC approach refers to program approaches or activities that seek to build equitable social norms and structures in addition to individual gender-equitable behaviour. Program approaches or activities actively seek to build equitable social norms and structures in addition to individual gender-equitable behaviour.

What's Next?

Gender diversity has existed throughout history and all over the world. One of the most fundamental aspects of a person's identity, gender deeply influences every part of one's life. Where this crucial aspect of self is narrowly defined and rigidly enforced, individuals who exist outside of its norms face innumerable challenges. Even those who vary only slightly from the norm can become targets of disapproval.

This does not have to be the case. Through a thoughtful consideration of the uniqueness and validity of every person's experiences of self, we can develop greater acceptance for all. Not only will this create greater inclusion for individuals who challenge the norms of gender, it will create space for all individuals to more fully explore and celebrate who they are.

(Source and further reading: <https://www.care.org.au/wp-content/uploads/2015/02/Good-Practices-Brief.pdf>

Good Practices Framework, Gender Analysis- CARE International Gender Network Source: Caro D. 2009; Global Fund to fight AIDS, Tuberculosis and Malaria. Global Fund Strategy in relation to sexual orientation and gender identities. Washington DC: Global Fund)

Reading 10

Structural Causes of Social Exclusion

There are many structures that are operative in Indian society which cause Social Exclusion known as structural causes of Social Exclusion. Indian caste system, patriarchy, economic structure, religion, culture and political system are some of the age-old structures that divide and discriminate people.

Indian caste system divides people as high and low, based on pollution and purity. This pollution and purity theory has given rise to thousands of castes and sub-castes which place people in a hierarchical ladder. While people such as Brahmins are on the top of the ladder enjoying all the rights and privileges, people at the lowest rung in the caste ladder bear the brunt of all burdens of the system. Dalits are the worst affected by the structure.

Though religion was introduced to bring people together or bind them together, it has actually torn them apart as people belonging to different religions. One religious group looks suspiciously of other religious community, creating a lot of tension and fear among people. Today, most of the terrorist activities are identified with religious communities rising against one another, instigated by religious fundamental forces.

Economic structure is another example of how rich people look down upon the poor and create social division and discrimination in the society. This has been very glaring after India introduced New Economic Policy (NEP) in 1991. Ever since the gap between the rich and the poor is in acceleration beyond any imaginable proportion.

These are but a few structures that are operative in our society. There may be other structures also which exclude and even preclude some communities and people from entering into the mainstream life. There are also some structures which become cause for other structures. They become the basic structure.

For example, the Indian patriarchic system. By this, women are excluded in all activities. Very particularly, 33% reservation for women in electoral politics has been still a political jargon. This is a clear example of structural cause of Social Exclusion for women to participate equally in the political governance process of the country. Likewise, Dalits and Adivasis are excluded from economic, cultural and social mainstreaming because they are social outcasts.

Thus, there are many structural impediments to many communities in the name of gender, caste, religion, region, language, sexual orientation, and so on which becomes an impediment to enter into the mainstream life of the society.

Systemic Social Exclusion

Systemic Social Exclusion is another age-old, at the same time, very pernicious practice that causes Social Exclusion to many groups and communities. For example, child labour has become a systemic issue which criss crosses with caste, gender, religion and economics. Most of the bonded labour children are poor, subordinated castes and rural people. Today millions of children turn into child labourers, rag pickers, juveniles, thanks to the anti-poor, anti-Dalit and anti-Adivasi climate which is set in here.

According to UNICEF, an estimated 150 million children worldwide are engaged in child labour. In the same way, women in India are not able to enter into many fields of life due to gender discrimination. Gender prejudice is very systemic by which their possibility in the participation of

life has been heavily controlled and curtailed. Again the untouchables - the socially marginalized community in India which has fallen victim to the insidious caste system also go through multiple Social Exclusion.

In a way, systemic Social Exclusion creates multiple Social Exclusion and discrimination which becomes a heavy burden upon those communities. There are many such issues which have marginalized and excluded millions of children, women, Dalits, Adivasis and fisher folk to the margins of the society and to fringe them of all hopes in life.

Ideological Social Exclusion

There are also people who on the basis of their orientation and ideological conviction, become victim to Social Exclusion. They are the people, who are denied of their rights as citizens of the country, because they are convinced of their ideologies, which are not acceptable to the state. They can be non-believers or atheists or people who believe in certain strong ideological orientation.

According to India Social Exclusion Report 2014

- Economists propound 'Social Exclusion' is problematic, because it is multiple and overlapping disadvantage imposed upon the lower rungs in the social, economic, and political contexts.
- Economic theories have focused primarily on resource-based paradigms of disadvantage, generally taking the individual, or the individual household, as their unit of analysis.
- The poor within this paradigm have little or no voice in determining resource allocations and institutional arrangements within a society because they are poor.
- Alternatively, it may be related to an unbounded category of people who are defined by a single shared characteristic (eg. gender, disability or HIV-positive status). Members of such categories may share very little in common, aside from the discrimination they face.

The processes of cultural devaluation occur through the construction of the members of these groups or categories by dominant sections of society as persons of lesser worth through beliefs, values, attitudes and behaviour which disparage, stigmatize, stereotype, and discriminate.

Group-based disadvantages give rise to what Francis Stewart calls a 'horizontal' model of inequality where the inequalities in question cut across economically defined strata and differentiate the ability of different groups and categories within society to access valued resources and opportunities. The two paradigms, thus, focus on quite distinct understandings of the disadvantages: one relating to lack of resources ('what you have') and the other to identity-based discrimination ('who you are'). There is one other dimension to Social Exclusion which may not be fully captured by the interplay between economic deprivation and social discrimination, which is the spatial one ('where you are').

Spatial disadvantage may lie in the remoteness and isolation of a location which makes it physically difficult for its inhabitants to participate in broader socio-economic processes or it may operate through the segregation of urban environments and the 'subcultures' of violence, criminality, drug dependence and squalor, which often characterize the territorially excluded neighborhoods (Beall, 2002). The spatial dimension of exclusion is not entirely divorced from its resource and identity dimensions since it is usually culturally devalued and economically impoverished groups that inhabit physically deprived spaces.

Reading 11

Social Inclusion and Constitutional Provisions

Social Inclusion is often used to describe the opposite effect of Social Exclusion. It usually results from positive action taken to change the circumstances and habits that lead, or have led, to Social Exclusion. It is about enabling people and communities to fully participate in society.

Social Inclusion is understood as a process by which efforts are made to ensure equal opportunities for all, regardless of their background, so that, they can achieve their full potential in life. It is a multi-dimensional process aimed at creating conditions, which enable full and active participation of every member of the society in all aspects of life, including civic, social, economic, and political activities, as well as participation in decision making processes.

Social Inclusion at its primary level

Social Inclusion is the process, which encompasses the diverse communities living in the village Panchayat to bring together to take part in the social, political, economic and cultural sphere to create an atmosphere of egalitarian social system, apart from the caste, class, religion, regional, language, ethnicity, gender and individual differences.

Creating an Inclusive Society

An inclusive society is a society that over-rides differences of race, gender, class, generation, and geography, and ensures inclusion, equality of opportunity as well as capability of all members of the society to determine an agreed set of social institutions that govern social interaction. (Expert Group Meeting on Promoting Social Integration, Helsinki, July 2008).

The World Summit for Social Development (Copenhagen 1995) defines an inclusive society as a “society for all in which every individual, each with rights and responsibilities, has an active role to play”. Such an inclusive society must be based on respect for all human rights and fundamental freedoms, cultural and religious diversity, social justice and the special needs of vulnerable and disadvantaged groups, democratic participation and the rule of law. It is promoted by social policies, that seek to reduce inequality and create flexible and tolerant societies that embrace all the people.

Need for Social Inclusion

Of late, the economic and social issues have made the differences among communities sharp. They have to be bridged within the democratic, secular and constitutional framework. In a democracy, decisions are taken by consensus in accordance with the constitution in terms of social, economic and political aspects which could be called as collective responsibilities. The corner stone of the Social Inclusion is the ‘equality in qualitative sense’, i.e., to have a mutual understanding towards each community to harness the values of human beings by practicing certain ethos to carry forward to the next generation.

The caste system, deeply rooted in the villages have caused more than enough miseries to the fellow human beings in terms of degrading, denigrating, discriminating, excluding certain social groups from the mainstream social, political and cultural life which has its reflections in the economic sphere also. Here the role of Panchayat Raj Institutions has become the means to bring in Social Inclusion right from the primary level where the integration can be experienced.

CONSTITUTIONAL PROVISIONS FOR SOCIAL INCLUSION

Constitutional Provisions for Scheduled Castes and Scheduled Tribes

- Art. 15 (4): Clause 4 of Article 15 is the fountain head of all provisions regarding compensatory discrimination for SCs and STs. This clause started the era of reservations in India to end all forms of discrimination.
- Art. 15 (5): This clause was added in 93rd amendment in 2005 and allows the state to make special provisions for backward classes or SCs or STs for admissions in private educational institutions, aided or unaided.
- Art. 16 (4): This clause allows the state to reserve vacancies in public service for any backward classes of the state, that are not adequately represented in the public services.
- Art. 16 (4A): This allows the state to implement reservation in the matter of promotion for SCs and STs.
- Art. 16 (4B): This allows the state to consider unfilled vacancies reserved for backward classes as a separate class of vacancies, not subject to a limit of 50% reservation.
- Art. 17: This abolishes Untouchability and its practice in any form.
- Art. 19 (5): It allows the state to impose restriction on freedom of movement or of residence in the benefit of Scheduled Tribes.
- Art. 40: Provides reservation in one third seats in Panchayats to SCs and STs.
- Art. 46: Enjoins the states to promote with care, the educational and economic interests of the weaker sections, specially SCs and STs.
- Art. 164: Appoints special minister for tribal welfare in the states of MP, Bihar and Orissa.
- Art. 275: Allows special grant in aids to states for tribal welfare.
- Art. 330/332: Allows reservation of seats for SCs and STs in the parliament as well as in state legislatures.
- Art. 335: Allows relaxation in qualifying marks for admission in educational institutes or promotions for SCs and STs.
- Art. 338/338A/339: Establishes a National Commission of SCs and STs.
- Art. 339: Allows the central govt. to direct states to implement and execute plans for the betterment of SC and STs.
- Art. 340: Allows the president to appoint a commission to investigate the condition of socially and economically backward classes and table the report in the parliament.

For Women

- Art. 15 (3): It allows the state to make special provisions for women and children.
- Several acts such as Dowry Prevention Act have been passed including the most recent one of Protection of women from Domestic Violence Act 2005.
- Art. 23: Under the fundamental right against exploitation, flesh trade has been banned.
- Art. 39: Ensures equal pay to women for equal work.
- Art. 40: Provides 1/3 reservation in panchayat.
- Art. 42: Provides free pregnancy care and delivery.

For Children

- Art. 19 A: Education up to 14 years has been made a fundamental right. Thus, the state is required to provide school education to children.
- Art. 24: Children have a fundamental right against exploitation and it is prohibited to employ children below 14 years of age in factories and any hazardous processes.

Legislation Related to Scheduled Castes and Scheduled Tribes

- The Protection of Civil Rights Act, 1955.
- The Scheduled Castes (SCs) and the Scheduled Tribes (STs) (Prevention of Atrocities) (PoA) Act, 1989.
- The Scheduled Castes (SCs) and the Scheduled Tribes (STs) (Prevention of Atrocities) (PoA) Amendment Act, 2015.
- The Prohibition of Employment as Manual Scavengers and their Rehabilitation Act, 2013.
- The Bonded Labour System (Abolition) Act, 1976.
- Panchyat Extension to Scheduled Areas Act, 1996.

Women

- Acts Against Devadasi system (Madras 1957, Karnataka 1982, Andhra Pradesh 1988, and Maharashtra 2006).
- The Immoral Traffic (Prevention) Act, 1956.
- Dowry Prohibition Act, 1961.
- The Protection of Women from Domestic Violence Act, 2005.

Children

- Abolition of Child Labour Act, 1986 (Amendment Act 2015).
- Protection of Children from Sexual Offences Act, 2012.
- Right to Free and Compulsory Education Act, 2009.

Migrant Workers

- Interstate Migrant Workmen Act, 1979.

Differently Abled

- Disability Discrimination Act, 1995.

There are various commissions, work for human rights protection and inclusion such as National and State Human Rights Commission, National SC commission, National ST Commission, State SC and ST commissions, National and State Women's Commission, National and State Child Welfare Commissions.

Policies

Special Central Assistance (SCA) to Scheduled Castes Sub-Plan (SCSP): It is a policy initiative for development of Scheduled Castes in which 100 % assistance is given as an additive to SCSP of the States/ UTs on the basis of certain criteria such as SC population of the States/UTs, relative backwardness of States/UTs, percentage of SC families in the States/ UTs covered by composite economic development programmes in the State Plan to enable them to cross the poverty line etc. It is an umbrella strategy to ensure flow of targeted financial and physical benefits from all

the general sectors of development for the benefit of Scheduled Castes. Under this Scheme, the States /UTs are required to formulate and implement Special Component Plan (SCP) for Scheduled Castes as part of their annual plans by earmarking resources.

Tribal Sub-Plan: The Fifth Five Year Plan (1974-78) adopted the approach of Tribal Sub-Plan (TSP), which stipulates that funds should be allocated on the ST population proportion basis, for the welfare and development of STs. The implementation of TSP strategy was through Integrated Tribal Development Projects (ITDPs) in the tribal concentrated States.

The broad objectives of the TSP are as follows:

- Substantial reduction in poverty and unemployment.
- Creation of productive assets in favour of Scheduled Tribes to sustain the growth likely to accrue through development efforts.
- Human resource development of the Scheduled Tribes by providing adequate educational and health services, and
- Provision of physical and financial security against all types of exploitation and oppression.

The Tribal Sub-Plans are integral to the Annual Plans as well as Five Year Plans, making provisions therein non-divertible and non-lapsable, with the clear objective of bridging the gap in socio-economic development of the STs within a specified period.

Reading 12

Universal Declaration of Human Rights

Preamble

Whereas recognition of the inherent dignity and of the equal and inalienable rights of all members of the human family is the foundation of freedom, justice and peace in the world,

Whereas disregard and contempt for human rights have resulted in barbarous acts which have outraged the conscience of mankind, and the advent of a world in which human beings shall enjoy freedom of speech and belief and freedom from fear and want have been proclaimed as the highest aspiration of the common people,

Whereas it is essential, if man is not to be compelled to have recourse, as a last resort, to rebellion against tyranny and oppression, that human rights should be protected by the rule of law,

Whereas it is essential to promote the development of friendly relations between nations,

Whereas the people of the United Nations have in the Charter reaffirmed their faith in fundamental human rights, in the dignity and worth of the human person and in the equal rights of men and women and have determined to promote social progress and better standards of life in larger freedom,

Whereas Member States have pledged themselves to achieve, in co-operation with the United Nations, the promotion of universal respect for and observance of human rights and fundamental freedoms,

Whereas a common understanding of these rights and freedoms is of the greatest importance for the full realization of this pledge,

Now, Therefore THE GENERAL ASSEMBLY proclaims THIS UNIVERSAL DECLARATION OF HUMAN RIGHTS as a common standard of achievement for all peoples and all nations, to the end that every individual and every organ of society, keeping this Declaration constantly in mind, shall strive by teaching and education to promote respect for these rights and freedoms and by progressive measures, national and international, to secure their universal and effective recognition and observance, both among the peoples of Member States themselves and among the peoples of territories under their jurisdiction.

Article 1

All human beings are born free and equal in dignity and rights. They are endowed with reason and conscience and should act towards one another in a spirit of brotherhood.

Article 2

Everyone is entitled to all the rights and freedoms set forth in this Declaration, without distinction of any kind, such as race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status. Furthermore, no distinction shall be made on the basis of the political, jurisdictional or international status of the country or territory to which a person belongs, whether it be independent, trust, non-self-governing or under any other limitation of sovereignty.

Article 3

Everyone has the right to life, liberty and security of person.

Article 4

No one shall be held in slavery or servitude; slavery and the slave trade shall be prohibited in all their forms.

Article 5

No one shall be subjected to torture or to cruel, inhuman or degrading treatment or punishment.

Article 6

Everyone has the right to recognition everywhere as a person before the law.

Article 7

All are equal before the law and are entitled without any discrimination to equal protection of the law. All are entitled to equal protection against any discrimination in violation of this Declaration and against any incitement to such discrimination.

Article 8

Everyone has the right to an effective remedy by the competent national tribunals for acts violating the fundamental rights granted to him/her by the constitution or by law.

Article 9

No one shall be subjected to arbitrary arrest, detention or exile.

Article 10

Everyone is entitled, in full equality, to a fair and public hearing by an independent and impartial tribunal, in the determination of his rights and obligations and of any criminal charge against him.

Article 11

Everyone charged with a penal offence has the right to be presumed innocent until proved guilty, according to law in a public trial, at which he has had all the guarantees necessary for his defence.

No one shall be held guilty of any penal offence on account of any act or omission which did not constitute a penal offence, under national or international law, at the time when it was committed. Nor shall a heavier penalty be imposed than the one that was applicable at the time the penal offence was committed.

Article 12

No one shall be subjected to arbitrary interference with his privacy, family, home or correspondence, nor to attacks upon his honour and reputation. Everyone has the right to the protection of the law against such interference or attacks.

Article 13

Everyone has the right to freedom of movement and residence within the borders of each state.

Everyone has the right to leave any country, including his own, and to return to his country.

Article 14

Everyone has the right to seek and to enjoy in other countries asylum from persecution.

This right may not be invoked in the case of prosecutions genuinely arising from non-political crimes or from acts contrary to the purposes and principles of the United Nations.

Article 15

Everyone has the right to a nationality.

No one shall be arbitrarily deprived of his nationality nor denied the right to change his nationality.

Article 16

Men and women of full age, without any limitation due to race, nationality or religion, have the right to marry and to found a family. They are entitled to equal rights as to marriage, during marriage and at its dissolution.

Marriage shall be entered into only with the free and full consent of the intending spouses.

The family is the natural and fundamental group unit of society and is entitled to protection by society and the State.

Article 17

Everyone has the right to own property alone as well as in association with others.

No one shall be arbitrarily deprived of his property.

Article 18

Everyone has the right to freedom of thought, conscience and religion; this right includes freedom to change his religion or belief, and freedom, either alone or in community with others and in public or private, to manifest his religion or belief in teaching, practice, worship and observance.

Article 19

Everyone has the right to freedom of opinion and expression; this right includes freedom to hold opinions without interference and to seek, receive and impart information and ideas through any media and regardless of frontiers.

Article 20

Everyone has the right to freedom of peaceful assembly and association.

No one may be compelled to belong to an association.

Article 21

Everyone has the right to take part in the government of his country, directly or through freely chosen representatives.

Everyone has the right of equal access to public service in his country.

The will of the people shall be the basis of the authority of the government; this will shall be expressed in periodic and genuine elections which shall be by universal and equal suffrage and shall be held by secret vote or by equivalent free voting procedures.

Article 22

Everyone, as a member of society, has the right to social security and is entitled to realization, through national effort and international co-operation and in accordance with the organization and resources of each State, of the economic, social and cultural rights, indispensable for his dignity and the free development of his personality.

Article 23

Everyone has the right to work, to free choice of employment, to just and favourable conditions of work and to protection against unemployment.

Everyone, without any discrimination, has the right to equal pay for equal work.

Everyone who works has the right to just and favourable remuneration ensuring for himself and his family an existence worthy of human dignity, and supplemented, if necessary, by other means of social protection.

Everyone has the right to form and to join trade unions for the protection of his interests.

Article 24

Everyone has the right to rest and leisure, including reasonable limitation of working hours and periodic holidays with pay.

Article 25

Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control.

Motherhood and childhood are entitled to special care and assistance. All children, whether born in or out of wedlock, shall enjoy the same social protection.

Article 26

Everyone has the right to education. Education shall be free, at least in the elementary and fundamental stages. Elementary education shall be compulsory. Technical and professional education shall be made generally available and higher education shall be equally accessible to all on the basis of merit.

Education shall be directed to the full development of the human personality and to the strengthening of respect for human rights and fundamental freedoms. It shall promote understanding, tolerance and friendship among all nations, racial or religious groups, and shall further the activities of the United Nations for the maintenance of peace.

Parents have a prior right to choose the kind of education that shall be given to their children.

Article 27

Everyone has the right freely to participate in the cultural life of the community, to enjoy the arts and to share the scientific advancement and its benefits.

Everyone has the right to the protection of the moral and material interests resulting from any scientific, literary or artistic production of which he is the author.

Article 28

Everyone is entitled to a social and international order in which the rights and freedoms set forth in this Declaration can be fully realized.

Article 29

Everyone has duties to the community in which alone the free and full development of his personality is possible.

In the exercise of his rights and freedoms, everyone shall be subject only to such limitations as are determined by law solely for the purpose of securing due recognition and respect for the rights and freedoms of others and of meeting the just requirements of morality, public order and the general welfare in a democratic society.

These rights and freedoms may in no case be exercised contrary to the purposes and principles of the United Nations.

Article 30

Nothing in this Declaration may be interpreted as implying for any State, group or person any right to engage in any activity or to perform any act aimed at the destruction of any of the rights and freedoms set forth herein.

Section 4

DAY-NRLM and Social Inclusion, CBO's Role, GPS, etc.

Reading 13: DAY-NRLM Social Inclusion: Perspective and Approaches

Reading 14: CSOs Role in Social Inclusion Processes

Reading 15: Panchayats (Extension to Scheduled Areas) Act, 1996

Reading 13

DAY-NRLM Social Inclusion: Perspective and Approaches

DAY-NRLM has a special focus on priority and early inclusion of the poorest of the poor and other vulnerable sections of community viz., Households automatically included by the SECC, Schedule Caste (SC), Schedule Tribe (ST), Particularly Vulnerable Tribal Groups (PVTGS), women headed families, elderly persons, People living with different abilities (PwDs), minority groups and people living in extremist affected areas, hill terrains (hard to reach areas), trafficked women, people engaged in unhygienic occupations (ex-manual scavengers), transgender, HIV/AIDS+ persons and their families, families with one or more persons suffering from chronic illness etc.

Accordingly, DAY-NRLM tries and achieves complete inclusion of the entire target including the poorest and vulnerable communities into their institutional architecture within a period of initial 18 months of entering an intensive block. DAY-NRLM expects the vulnerable persons to take significant proportion of leadership positions in various community institutions under DAY-NRLM. Further, DAY-NRLM facilitates these institutions in achieving their financial and economic/livelihoods inclusion and poverty reduction goals. Towards this end, the following needs to be done –

Sensitization and Getting Ready

Draw lessons from existing pilots on Disability, Manual Scavenging, Legally released Labour, PVTGs, other tribal inclusion, and take steps to standardise these pilots for scaling-up and mainstreaming through universal and regular social mobilization processes.

Customize and finalize the processes, norms, funds to community, timelines etc., with due consideration of their reality, for inclusion of various poorest and vulnerable communities, groups and persons. These may include - Relaxation in group and institutional norms, Panchasutra and other procedures. Group size could be 5-20 members, depending on the context (distance, sparsely populated habitations, hilly areas, IAP- Integrated Action Plan areas, PwDs, Elderly etc.), membership can be open to males and females, in case of PwDs and Elderly.

Entry point activities aimed at particularly vulnerable groups/communities

- Choice to vulnerable members to continue in/join existing SHG or join a new SHG with the members of vulnerable group/community.
- Representation by the caretakers/guardians of the PwDs in their SHGs, apart from the SHG membership to the caretaker/guardian in her SHG.
- Priority mobilization of the poorest and vulnerable first.
- Revised protocols for CRP, Senior CRP and Trainer Rounds, augmenting the teams for these rounds appropriately.
- Mandating these rounds, active women and village organization with complete inclusion agenda
- Complete (at least 80%) Inclusion and Saturation within 18 months of entering a Cluster in the Block; this can be a trigger for funding to VOs and CLF.

No exclusion

- VO's Declaration of saturation of mobilizable vulnerables in the fold of SHGs (within 18 months of entering the village) and their representation in VO including in leadership positions.
- Presentation of Poverty data/indicators of the SHG members to Aam Sabha/Gram Sabha at the end of CRP round and VO's Presentation of Progress on these indicators every year thereafter; this data may also be captured in the MIS for each Household, including SECC, auto-included and at least 1-deprivation households.
- SHG Federations taking all SHGs including Special SHGs for the vulnerable as their members with due representation, in addition, members/SHGs of a particular vulnerable group/community reserve the right to be federated as a separate/exclusive federation and/or solidarity federation at appropriate levels.
- Identification and nurturing 1-2 Activists responsible for Complete Inclusion, Gender, Social Development and Convergence, payment of honorarium etc., as internal CRP.
- A portion of Vulnerability Reduction Fund with flexible terms to meet the specific needs of the vulnerable, in addition to the availability of/access to RF, CIF, VRF, Livelihoods Fund etc. It may be noted that CIF, VRF and LF provided to the community institutions is on per member basis. The entitlement is higher by 50% per vulnerable member. This could be higher by 100% per PVTG member.
- Priority Bank Linkage.
- Access to Social Security and other schemes applicable to these groups/communities.
- Priority for the vulnerable and vulnerability needs in Micro plans.
- Poverty/Vulnerability Analysis in the village, evolution of Vulnerability Reduction Plan and institution of Annual VRP process and mobilization of funds for rolling-out VRP.
- Sensitize all staff on Social Inclusion (and convergence) and its processes immediately through sensitization workshops at state and district levels.
- Build Trainers and Resource Persons at state, district, block and community levels on Inclusion of vulnerable groups and communities, ready the modules, material and CB architecture for the same.
- Train, take on immersion and exposure, and equip CRPs, Senior CRPs, Community Trainers and PRPs to go ahead with upfront inclusion of the poorest and vulnerable, including tribal communities, PVTGs, PwDs and Elderly, starting with the CRP rounds itself.
- Initiate steps, including establishing Resource Cell(s), to add/create additional CRPs, Senior CRPs, Community Trainers and Prestwich Inclusion orientation, tools and skills, as early as possible.
- Line up and partner with appropriate and competent Technical Support/Resource Agencies.
- Take up a 3-month campaign for sensitizing existing community cadres including Active Women, community leaders, community institutions (SHGs and Federations) and other stakeholders on total/complete inclusion and prioritization for the poorest and vulnerable in all elements of DAY-NRLM action and agenda.

Specific Social Inclusion Protocols at Village and Cluster levels

Prepare the village for CRP round, CRP round initiates mobilization of all the poor including the poorest and vulnerable groups and communities and strengthening of existing SHGs, Presentation of Poverty Status of SHG members to Aam Sabha, Identified and trained Active Women, PRP follow-up and mobilizing of more people into SHGs.

Facilitate RF to SHGs

Facilitate Community Trainers' round - this round sensitizes members, leaders and cadres on Inclusion and Prioritization of the poorest and vulnerable in micro plans.

Facilitate access to CIF

Facilitate Senior CRP rounds – these rounds take up formation of Village Organization, development of its Vision for complete inclusion, evolution of VRP and use of VRF for addressing the needs of the vulnerable and tracking the Progress of the members out of Poverty.

Facilitate access to VRF.

- Facilitate Bank Linkages.
- Facilitate Insurance Coverage and/or Mutuals.
- Facilitate Exclusive Federations of the vulnerable, if required, at appropriate level(s).
- Facilitate Livelihoods Planning and Access to Livelihoods Fund.
- Facilitate Convergence Plan and its roll-out. These plans to include – Key entitlements and schemes like NSAP (OAP, Disability Pension and Widow Pension), IAY, MNREGS, ICDS, Janani Suraksha Yojana, Jan Dhan Scheme, DDU-GKY, Janashree Bhima Yojana, AABY, RSBY or any other State/Central schemes for vulnerable families.
- Agriculture and rural development schemes for reducing vulnerability conditions (deprivation).
- Plans for exclusive Food, Nutrition, Health, and WASH activities.
- Special plans for Tribal Communities, PVTGs, Mahadalits etc.
- Plans to work with GP.
- Special Plans to work with Civil Society and Corporate Social Responsibility efforts.
- Consolidate these plans at GP and Cluster levels – dovetail these plans further so that leveraging with the specific scheme/department/stakeholder could be pressed and followed-up.

Reading 14

Concept of Community Rights and Community Forest Resource Rights

Community forest resource signifies any community forest resources widely used by the tribal and other forest dwelling communities, which make significant contribution to their livelihood. The community forest resource area is the customary common forest land, which is traditionally being protected and conserved for sustainable use by a particular community for accessing the resources available within the traditional and customary boundary of the village and seasonal use of landscape in case of pastoralist communities. Each CFR area has a customary boundary with identifiable landmarks recognized by the community and its neighbouring villages.

The community forest resource area has traditionally fulfilled the regular forest based livelihood and other needs of the community. The community forest resource area may include forest of any category i.e. revenue forest, classified & unclassified forest, deemed forest, DLC land, reserve forest, protected forest, sanctuary and national parks etc. In India as major chunk of forest land comes under the jurisdiction and control of the forest department, where community's access and control over the forest resources are very much limited. This watershed legislation of the Indian Constitution, Schedule Tribe and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006, has recognized the pre-existing rights of the forest dwelling communities on the resources for its access, protection, conservation and management within the customary boundary. It gives the authority to the Gram Sabha to adopt local traditional practices of forest conservation and management within the community forest resource boundary.

1.2. Right Over Community Forest Resources

The Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006, has been one of the historical legislations by the Constitution of India, ensuring the tenurial, livelihood, and ecological security of the forest dwelling communities of India, recognizing a new paradigm of community forest resource protection, conservation, management and governance mechanism. Among the rights vested under FRA, right to community forest resources is very crucial amongst all rights as it gives the power and authority to the Gram Sabha under Sec 3 (1) (i) and Sec 5, to rule out their own system of forest management and governance.

Community forest resource, as defined in section 2 (a) of the Act, means customary common forest land within the customary or traditional boundary of the village or seasonal use of landscape in the case of pastoral communities, including reserved forests, protected forests and protected areas such as Sanctuaries and National Parks to which the community had traditional access. Section 3 (1) (i) of Forest Right Act recognizes the right to protect, regenerate, conserve and manage any community forest resources, traditionally protected by communities for sustainable use.

Till 2012, right to community forest resources was a part of the community rights which is claimed under the form "B", under section 3 (1) (i). But in 2012, Ministry of Tribal Affair came out with a clear cut guideline on the procedures of delineation and recognition of CFR which explicitly claimed under the form "C". As per the amendment rules, under the Sec 11 (1) (b), Gram Sabha shall fix a date for initiating the process of determination of its community forest resources... and under Sec 12 (B)(3), the DLC shall ensure that the forest rights under clause (i) of sub – section (1) of section 3 are recognized in all villages with forest dweller and the titles are issued.

1.3 Rights over community forest resources under FRA

Sec 2 (a) of the FRA defines Community Forest Resource as being - 'Customary common forest land within the traditional or customary boundaries of the

village or seasonal use of landscape in the case of pastoral communities, including reserve forests, protected forests, and protected areas, such as Sanctuaries and National Parks to which the community had traditional access.'

This right is further strengthened by Section 5 of the FRA (Which is further elaborated in 'Training Manual: The Self Governance and Management Community Forest Resources'), which empowers the holders of forest rights, the Gram Sabha, and the village level institutions to:

- (a) protect the wild life, forest and biodiversity,
- (b) ensure that adjoining catchments areas, water sources and other ecological sensitive areas are adequately protected,
- (c) ensure that the habitat of forest dwelling Scheduled Tribes and other traditional forest dwellers is preserved from any form of destructive practices affecting their cultural and natural heritage,
- (d) Ensure that the decisions taken in the Gram Sabha to regulate access to community forest resources and stop any activity which adversely affects the wild animals, forest and the biodiversity are compelled with.

Right to community forest resources is conferred under section 3 (1) (i) of the Forest Right Act, 2006, which provides for the 'right to protect, regenerate or conserve or manage any community forest resource, which they have been traditionally protecting and conserving for sustainable use'.

Reading 15

Panchayats (Extension to Scheduled Areas) Act, 1996

The Provisions of the Panchayats (Extension to Scheduled Areas) Act, 1996 or PESA is a law enacted by the Government of India for ensuring self-governance through traditional Gram Sabhas for people living in the Scheduled Areas of India. Scheduled Areas are areas identified by the Fifth Schedule of the Constitution of India. Scheduled Areas are found in ten states of India which have predominant population of tribal communities.

The Scheduled Areas, were not covered by the 73rd Constitutional Amendment or Panchayati Raj Act of the Indian Constitution as provided in Part IX of the Constitution. PESA was enacted on 24th December 1996, to extend the provisions of Part IX of the Constitution to Scheduled Areas, with certain exceptions and modifications. PESA sought to enable the Panchayats at appropriate levels and Gram Sabhas to implement a system of self-governance with respect to a number of issues such as customary resources, minor forest produce, minor minerals, minor water bodies, selection of beneficiaries, sanction of projects, and control over local institutions. PESA is an Act to provide for the extension of the provisions of Part IX of the Constitution relating to the Panchayats and the Scheduled Areas.

PESA was viewed as a positive development for tribal communities in Scheduled Areas who had earlier suffered tremendously from engagement with modern development processes and from the operation of both colonial laws and statutes made in independent India. The loss of access to forest, land, and other community resources had increased their vulnerability. Rampant land acquisition and displacement due to development projects had led to large scale distress in tribal communities living in Scheduled Areas. PESA was seen as a panacea for many of these vulnerabilities and sought to introduce a new paradigm of development, where the tribal communities in such Scheduled Areas were to decide by themselves the pace and priorities of their development.

Definition

“Scheduled Areas” mean the Scheduled Areas as referred to in Clause (1) of Article 244 of the Constitution. The Fifth Schedule of the Constitution of India, which mentions Scheduled Areas, is termed as a “Constitution within a Constitution”. The Act extended the provisions of Panchayats to the tribal areas of ten states that have Fifth Schedule Areas.

The salient feature of the Provisions of Panchayats (Extension to the Scheduled Areas) Act, 1996 (PESA) and the modalities worked out to grant rights to tribal communities in the country are:

- (i) Legislation on Panchayats shall be in conformity with the customary law, social and religious practices and traditional management practices of community resources.
- (ii) Habitation or a group of habitations or a hamlet or a group of hamlets comprising a community and managing its affairs in accordance with traditions and customs, shall have a separate Gram Sabha.
- (iii) Every Gram Sabha to safeguard and preserve the traditions and customs of the people, their cultural identity, community resources and the customary mode of dispute resolution.
- (iv) The Gram Sabhas have roles and responsibilities in approving all development works in the village, identify beneficiaries, issue certificates of utilization of funds, powers to control institutions and functionaries in all social sectors and local plans.

- (v) Gram Sabhas or Panchayats at appropriate level shall also have powers to manage minor water bodies, power of mandatory consultation in matters of land acquisition, resettlement and rehabilitation and prospecting licenses/mining leases for minor minerals, power to prevent alienation of land and restore alienated land, regulate and restrict sale/consumption of liquor; manage village markets, control money lending to STs and ownership of minor forest produce.

The provisions of Panchayats with certain modification and exceptions have been extended to the Schedule V areas viz. the ten States where the Panchayats exists in the country including Andhra Pradesh. A list of ten States has been annexed. Only four States have framed their Rules for implementation of PESA. These are, Andhra Pradesh, Himachal Pradesh, Maharashtra and Rajasthan.

History and background

When the 73rd Amendment of the Constitution was passed, Article 243 (M) of the Constitution mandated that the Panchayati Raj structure shall not be applicable to the Scheduled Areas. However, it was provided that Panchayati Raj may be made applicable to Scheduled Areas if Parliament by a law provides “for such a law, subject to such exceptions and modifications as may be specified in such law, and no such law shall be deemed to be an amendment of this Constitution for the purposes of article 368.” In effect, after the recommendations of the Dilip Singh Bhuria committee, the Parliament passed the PESA act in 1996 to extend the provisions of Part IX of the Constitution, related to Panchayati Raj to scheduled Areas with certain exceptions and modifications.

The seeds of special provisions for special tracts called Scheduled Tracts or Areas which would have different laws applicable to them had been in the making since almost 60 years before independence. The initial thrust of British territorial conquest was met with great resistance by tribal communities. Accordingly, a conciliatory approach was taken by the British as a practical response. Accordingly, the Scheduled District Act, 1874 ensured that such areas could be made exempt from the operation of certain acts which could prove detrimental to such areas. Thereafter, Montague-Chelmsford Report (1918), which formed the basis of the Government of India Act 1919 concluded that the political reforms contemplated for the rest of India could not apply to these backward areas as “there was no material on which to establish political institutions”. The Simon Commission and the Government of India act 1935 were also based on the policy of relative non-interference in scheduled Areas in the context of severe deprivations and the massive land alienation and presence of informal and exploitative credit in such areas. The Fifth schedule of the Constitution of free India was thus a culmination of the above Acts.

However, the deprivation of the people, especially Scheduled Tribes, living in such areas and the denial of access to community resources, including land and forest continued unabated, both in colonial times, and to a great extent, even post-independence. The deprivation of forest resources with the British insistence on sourcing teak and rubber from the forests and expropriating forest resources from the communities through colonial Acts (most notably the Indian Forest Act, 1927) led to severe vulnerability in such areas. The Wildlife Protection Act and the Forest Conservation act further constricted the space for maneuver for such communities leaving them practically without rights to the forests with which they had cohabited for centuries.

Another significant source of deprivation arose out of the massive displacement of tribal communities from such areas because of large development projects. It is estimated that while STs constitute

only 8% of the population of India, their share in the total number of people displaced is almost 40%. One of the most significant alienating factor was that tribal customs and ways of self-governance were not recognised, as customary authority gave way to centralised governance systems.

Because of a culmination of the above factors, tribal regions saw a number of violent movements and civil unrest. Realization slowly seeped in that the issues that plague the tribal communities in such areas cannot be solved unless a comprehensive legislation was passed ensuring a large level of self governance to village communities with special provisions to ensure access to protect traditional culture, religious practices, and customary modes of dispute resolution; to ensure ownership over minor forest produce and management of minor water bodies, and to ensure that the village community shall have the central place in delivery of schemes, projects, and programs.

A number of social movements, and activists were responsible for the passing of PESA. One of the tallest among these was Mr B. D. Sharma, an ex-bureaucrat and a social crusader for tribal rights.

Various provisions of PESA in detail

1. **State legislation** to be in conformity with customary law, social and religious practices, and customary modes of dispute resolution. The onus was on the State Legislatures to make laws which were compliant with the spirit of self governance in PESA. The State Legislatures are not to make any laws which are against the provisions laid down in Section 4 of PESA. As per Section 5 of PESA, any law which is inconsistent with PESA shall continue to be in force until the State Legislature repeals it or within one year of the PESA Act receiving the assent of the President, whichever is earlier. This implies that any state subject law, which may be against provision of PESA, automatically is deemed null and void in the eyes of the law.
2. **Hamlet level villages and Gram Sabhas**
In the Panchayati Raj structure the Gram Sabhas are co-terminous with the Gram Panchayats. This one-to-one relationship is sought to be broken down in PESA. PESA defines a village as a “habitation or a group of habitation or a hamlet or a group of hamlets comprising a community and managing its affairs in accordance with traditions”. Every such village shall have a Gram Sabha as per Section 4 (c). Villages in Scheduled Areas are often widely dispersed and with low density of population. The traditional Panchayati Raj structure may not cater to the needs of such dispersed habitations. Often such villages are placed at some distance from the headquarters of the Gram Panchayat. This makes engagement of the people of the distant villages very difficult with the mainstream political discourse at the Gram Panchayat level. The possibility that all development will be concentrated in the headquarter village of the Gram Panchayat cannot be discounted. Hence, the provision of PESA which allows hamlets to become villages and have their own Gram Sabhas ensures deepening of democratic decentralization. However, mere formation of village is not enough. It is expected that the hamlet level Gram Sabhas are also aided with funds, functions, and functionaries that are implicit in the guarantee of PESA.
3. **Every Gram Sabha** shall be competent to safeguard and preserve the traditions and customs of the people, their cultural identity, community resources and the customary mode of dispute resolution. This segment of PESA gives to Gram Sabhas a degree of self governance based on their customary practices. However, it has been left to State Legislatures to interpret the translation of these provisions. This is one of the most neglected provisions as most state governments have failed to gauge the true potential of this provision. In most states there has been hardly any attempt to document the customary and traditional ways of governance in tribal communities. Nor have there been many attempts to enshrine the same in PESA Rules.
4. **Approval of Plans and Projects and selection of beneficiaries by Gram Sabhas** - Gram Sabha shall approve plans/programmes and projects before their implementation and shall also be responsible for identification or selection of persons as beneficiaries under various

programmes. This will ensure that the local communities are able to make the political and administrative systems accountable and transparent, and also ensure effective service delivery in the remote areas where very often the Scheduled Area villages are situated.

5. **Ownership of Gram Sabhas over Minor Forest Produce (MFP)** - Section 4 (m) (ii) of PESA gives to the Panchayats at the appropriate level and the Gram Sabhas, the ownership over minor forest produce. This was one of the most radical interventions in Scheduled Area legislations, as far as livelihood and cultural issues are concerned. The move, in effect, should have ended all kinds of State (read forest department) monopoly. However, State monopolies still persist in Minor Forest Produce, especially in lucrative MFP like Bamboo and Tendu. It is interesting to observe here that the Forest Rights Act, 2006 also defines a central role to the Gram Sabha in the management of minor forest produce. Evidently, any state monopolies, in this context, are patently illegal.
6. **Reservations for Scheduled Tribes in the appropriate Panchayats** - This reservation in local bodies is in proportion to the population of the community, but not less than half, all seats of chairperson of Panchayat at all levels shall be reserved for Scheduled Tribes.
7. **Power to prevent land alienation and restore illegally alienated land** - In view of the historical fact of massive land alienation from tribal to non-tribal persons, the Gram Sabhas have been given the power of preventing land alienation. In effect, no land can be transferred from a tribal to a non-tribal person. This provision of PESA has a number of implications, including the ones, that arose after the delivery of the Samatha judgement by the Supreme Court.
8. **Power to manage village markets** - PESA gives to the Gram Sabhas the power to manage village markets.
9. **Management of minor water bodies** - PESA gives to the Gram Panchayats the power to manage minor water bodies. Minor Water Bodies are generally water bodies which irrigate up to 100 Hectares of land. The rights to fishery and other riparian rights also accrue to the Gram Panchayats.
10. **Exercising control over money lending** - Money Lending, especially usurious money lending, has been a problem of long standing in the Scheduled areas. This arises, especially because of lack of institutional credit. PESA allows Gram Sabhas to exercise control over money-lending activities.
11. **Power of Gram Sabha to exercise control over institutions and functionaries in all social sectors** - The Gram Sabha should have control over local institutions and functionaries. These local level institutions include the Gram Panchayats, the Anganwadis (child nutrition centers), the health sub-centers, schools, ration shops, etc. The Gram Sabha is competent to take detailed review of these institutions and their functionaries. Ideally, the Gram Sabha should also be involved in the budgeting exercise and in ensuring social audit of all schemes.
12. **Control over local plans and resources and the Tribal Sub-Plan (TSP)** - The TSP is a part of Central and State Budgets in India which are kept aside specifically for the various schemes and programmes that intend to benefit the tribal communities. It is expected in PESA that the local tribal communities shall have control over the TSP and other local plans and resources. PESA does not make clear whether this control will be direct or indirect. However, on reading this provision with other sub-sections of PESA, it can be assumed that the Gram Sabhas and the Panchayats, at the appropriate level, should be deeply involved in the formulation and execution of the plan.
13. **Right to be consulted before land acquisition** - Land acquisition, especially in Scheduled Areas has been a vexed question in India for very long. PESA provides that village communities need to be consulted in a meaningful fashion to ensure, that the voice of the community is

taken into account before decisions about land acquisition are made by the administrative apparatus.

14. **Consent before auction of minor minerals** - Minor Minerals, in Scheduled Areas, to which PESA is applicable, can be auctioned only after the specific permission of the Gram Sabha.
15. **Right to impose prohibition** - The Gram Sabhas and the Panchayats at the appropriate level have the right to enforce prohibition and to regulate the sale of intoxicants.

Implementation

Great hopes arose in scheduled Areas after the passing of PESA in 1996 as it was viewed to be the panacea for many of the problems that plagued such areas. However, even two decades after the passing of the act, the implementation of the act is sketchy at best. PESA relied on the legislatures of the ten Scheduled Area states to make necessary changes to State Panchayati law and the state subject laws to bring them in line with PESA. It was assumed that in keeping with the spirit of PESA (especially Section 4 (n)), the higher levels of governance shall not appropriate the powers of the lower levels. However, in reality, the State laws were either not amended in line with PESA or amended only to partially correspond to the letter and spirit of PESA. Many of the powers that needed to accrue to the Gram Sabhas were only delegated to the Gram Panchayat. This violated the cardinal assumption of PESA of hamlet level villages having their own Gram Sabha with the rights enshrined in PESA to be available to them.

One of the most severe violations arose in the context of rights over minor forest produce. Section 4 (m) (ii) of PESA gave to the Gram Sabhas, the ownership over minor forest produce. However, most of the States retained monopolies over minor forest produce, ostensibly for protecting tribal communities. Control over Tendu and Bamboo trade, two of the most lucrative of MFP, remained in the hands of the forest department in most states.

One of the reasons for the states managing to retain monopoly over MFP was the failure of PESA act to define what constituted a MFP. States often took the plea that Minor Forest produce in as much as PESA is concerned, is the way MFP is defined in the state laws. In most of the state laws, high value MFPs like Bamboo and Tendu were not in the list of minor forest produce. In fact, in the Indian Forest Act, 1927 in Section 2 (7), Bamboo has been defined as a tree.

However, the unwillingness of State Governments to implement the provisions of PESA went far deeper. Even after the FRA, 2006 clearly defined MFP, and included bamboo and tendu as non-timber forest produce, there was hardly any substantial change in the PESA states.

Apart from these issues, PESA remained unworkable because most Scheduled Area states did not publish PESA rules which could have provided a working template to put this Act into action. The failure of most states to publish rules reflects poorly on the Center as it has not been able to prevail on the States to implement the mandatory provisions of PESA.

Many people have commented on the non-implementation of PESA. Shri B. D. Sharma, former civil servant and former Commissioner for Scheduled Castes and Scheduled Tribes, wrote in his letter to the President of India that the “ruling elite are not prepared to go by the spirit of PESA. It remains virtually unimplemented in all States.” The Planning Commission in a comprehensive study in 2008, commented that “the rudderless implementation of PESA, albeit partial and perfunctory, faces the first estoppel at the level of defining the ‘village’ that comprises the community, and ‘competence’ of Gram Sabha to manage the affairs of the community in terms of its customs and traditions.”

Rules

In order to ensure that PESA would be implemented, functional guidelines in the form of PESA rules are absolutely necessary. However, the lack of interest of state governments in publishing PESA rules impacted PESA adversely. In the past few years, four states have been able to publish PESA Rules. Andhra was the first state to publish the rules in 2011, 15 years after the promulgation of PESA. Himachal Pradesh, Rajasthan and Maharashtra have also published their PESA rules. The remaining six states- Telangana, Jharkhand, Chhattisgarh, Madhya Pradesh, Odisha, and Gujarat have not yet succeeded in framing PESA rules.

Role of governors in Scheduled Areas and in implementation of PESA

PESA is implemented in Scheduled Areas. The Scheduled Areas are governed by the provisions of the Fifth Schedule of the Constitution. The Fifth Schedule gives to the governors of the ten scheduled area states very important functions. While, constitutionally, in most matters of governance, the governors are aided and advised by the Council of Ministers, it may not be so in matters concerning the Scheduled Areas. As per para 3 of the Fifth Schedule “the Governor of each State having Scheduled Areas therein shall annually, or whenever so required by the President, make a report to the President regarding the administration of the Scheduled Areas in that State and the executive power of the Union shall extend to the giving of directions to the State as to the administration of the said areas.”

The Attorney General had advised the Home Ministry that the role of the governor in sending this report is discretionary. An even more significant role of the Governor in scheduled areas arises out of the powers inherent in Sub-Para (1) of Para 5 of the Fifth Schedule. Notwithstanding anything in this Constitution, the Governor may, by public notification, direct that any particular Act of Parliament or of the Legislature of the State shall not apply to a Scheduled Area or any part thereof in the State or shall apply to a Scheduled Area or any part thereof in the State subject to such exceptions and modifications as he may specify in the notification and any direction given under this sub-paragraph may be given so as to have retrospective effect.” It has been alleged that Governors of most states have not been able to send all reports on time and the content of the reports also does not do justice to this Constitutional responsibility.

The above provision gives to the Governor of a Schedule Areas a very significant power “notwithstanding anything in the Constitution”. This power, unlike the power in sub-para (2) of Para 5 (regulation making powers) is bound neither by the advice of the Tribes Advisory Council or the assent of the President. The provision lays down the responsibility on the Governor to ensure that laws that are contrary to the interests of Scheduled Areas may be suitably modified. However, it has been alleged that Governors of Scheduled Areas, (barring a few exception) have hardly ever used these powers independently. There have been also demands that the Reports prepared by the Governors should be made public. However, recently Maharashtra Governor has issued a number of notifications to bring the state subject laws in line with PESA and to guarantee minor forest produce to Gram Sabha. Certain steps have also been taken to ensure peace and good governance in such areas.

A ‘Group of Governors on the Areas under Schedule V of the Constitution and Related Issues’ - was constituted by President Pranab Mukherjee, included Governors of Andhra Pradesh, Chhattisgarh, Gujarat, Himachal Pradesh, Jharkhand, Odisha, Rajasthan and Madhya Pradesh, with Governor of Maharashtra and Minister of Tribal Affairs, Government of India - as special invitees. The Group recommended a number of interventions such as Constitution of a Tribes Advisory Council in

Schedule V States on a uniform pattern, drafting of a uniform model for Tribal Sub Plan Budget Allocations, making TSP allocations non transferable and non lapsable, declaring all TSP districts as 'High Priority Districts' under National Rural Health Mission, protecting land rights of tribal communities etc. The Prime Minister of India in the Conference of Governors held in 2013 advised the Governors of Fifth Scheduled States to use their Fifth Schedule powers and to implement PESA effectively.

Implementation of PESA in Maharashtra and Role of Governor under the Fifth Schedule

A number of steps have been taken in the past few years by the Governor of Maharashtra to fulfil his mandate under the Fifth Schedule and to ensure implementation of PESA in Maharashtra.

A. Change in Village definition in Maharashtra Village Panchayats Act:

Since the hamlets and habitations in Scheduled Areas are dispersed and are apart from each other, Section 4 (b) of PESA recognised the right of such habitations to become a village and to have their own Gram Sabhas. Accordingly, Maharashtra Government, by Notification dated 25/06/2014, inserted in chapter III-A of the Maharashtra Village Panchayats Act, special provisions relating to Village and Gram Sabha, namely:

"54-1A. Notwithstanding anything contained in Sections 4, 5 or any other provisions of this Act, in the Scheduled Areas, - (a) a habitation or a group of habitations or a hamlet or a group of hamlets comprising a community and managing its affairs in accordance with traditions and customs, and which is declared as a village in the prescribed manner shall be the village for the purposes of this chapter,

"(b) every village, so declared under clause (a), shall have a 'Gram Sabha' consisting of persons whose names are included in the electoral rolls for the Panchayat at the Village level and a Panchayat may Template: Such one or more than one of such villages."

B. Promulgation of PESA Rules for Maharashtra:

In order to ensure that PESA was implemented in letter and spirit, there was also a need to put in place PESA rules in the state. This task had been long pending and was coming in the way of implementation of PESA. However, in March 2014 the State Government finally published PESA rules to ensure detailed directions about the various aspects of PESA.

C. Bringing State Acts in conformity with PESA:

Changes were required in various State Acts of Maharashtra State to bring them in conformity with PESA. This was necessary as PESA requires its implementation through the Panahayati Raj Act of the State and the State subject laws. By a series of notifications, the Governor of Maharashtra ensured that most of these state legislations were brought in line with PESA. Many of the above Acts have been modified and brought in line with PESA by notifications issued by the present Governor of Maharashtra Shri Ch. Vidyasagar Rao and the earlier Governor Shri Sankar Narayanan.

D. Notifications issued by the Governor of Maharashtra under sub-para (1) of Para 5:

Under sub-paragraph (1) of paragraph 5 of the Fifth Schedule of the Constitution of India, the Governor may by Public Notification direct that any particular Act of Parliament or of the Legislature of the State shall not apply to a Scheduled Area or any part thereof in the State or shall apply to a Scheduled Area or any part thereof in the state, subject to the exceptions and modifications specified in the notification. In exercise of these powers, the Governor of Maharashtra has issued various notifications for welfare of tribal communities in Scheduled Areas.

1. Notification under sub-para (1) of Para 5 ensuring ownership of minor forest produce, including Bamboo and Tendu:

The definition of Minor Forest Produce (MFP) under the Maharashtra Transfer of Ownership of Minor Forest Produce in the Scheduled Areas and the Maharashtra Minor Forest Produce (Recognition of Trade) (Amendment) Act, 1997 did not include many of the minor forest produce recognized under the subsequent Scheduled Tribes and other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006, (FRA). Hence, despite the powers vested in them under PESA, the Gram Sabhas were not able to access many important MFPs such as Tendu and Bamboo. In fact, the list included in the state subject law pertained to only 33 low value MFPs. This anomaly had led to denial of livelihood opportunities to Village Communities in the Scheduled Areas, primarily to the members of the Scheduled Tribes. By Notification dated 19/08/2014, the Governor of Maharashtra made modifications to the Maharashtra Transfer of Ownership of Minor Forest Produce in the Scheduled Areas and the Maharashtra Minor Forest Produce (Regulation of trade) (Amendment) Act, 1997 and modifications to the Indian Forest Act, 1927, in its application to the State of Maharashtra.

Because of these changes, many Gram Sabhas in Scheduled Areas have been able to exercise their rights over minor forest produce, including high value products, such as bamboo and tendu. Using these rights in consonance with FRA, more than 100 Gram Sabhas in Gadchiroli have exercised, for the first time, their rights over bamboo and more than 500 have exercised their rights over tendu and earned income ranging from 10 lakh to 80 lakh per Gram Sabha, leading to a positive impact in the Left-Wing Extremist (LWE) affected district.

2. Notification regarding prevention of land alienation by Gram Sabhas through modification to the Maharashtra Land Revenue Code, 1966:

The Scheduled Areas are often plagued with land alienation from tribal persons to non-tribal persons. The tribal communities have been steadily losing land in Scheduled Areas and their population vis-a-vis non-tribal persons is dwindling in such areas. Land alienation in such areas occurs because of various reasons such as threat, coercion, fraud, forgery, and the general indebtedness of tribal persons to money-lenders. In order to bring the state revenue laws in line with section 4(m) (iii) of PESA, 1996, in exercise of powers conferred by sub paragraph (1) of paragraph 5 of the Fifth Schedule to the Constitution, by Notification dated 14/06/2016, the Governor of Maharashtra directed that section 36 A of the Maharashtra Land Revenue Code, 1966, in its application to the Scheduled Areas of the State of Maharashtra shall apply with the modifications mentioned in the said Notification and that no land can be alienated in Scheduled Areas without the prior consent of the Gram Sabhas.

3. Notifications under sub-para (1) of Para 5 of Fifth Schedule bringing certain State Acts in consonance with PESA:

The Provisions of the Panchayats (Extension to the Scheduled Areas) Act, 1996 (40 of 1996) had been enacted with intention of extending the provisions of Part IX of the Constitution relating to the Panchayats to the Scheduled Areas, and to ensure a large degree of self-governance to the appropriate Panchayats and the Gram Sabhas in the Scheduled Areas. Since the provisions of PESA also requires that all the State Acts shall ensure that the appropriate Panchayats and Gram Sabhas are endowed with a number of powers outlined in the said Act, it is expedient to bring certain State Acts in consonance with the PESA. Therefore, in exercise of the powers conferred by sub-paragraph (1) of paragraph 5 of the Fifth Schedule to the Constitution of India, by Notification dated

30/10/2014, Governor of Maharashtra Shri Ch. Vidyasagar Rao directed that the Markets and Fairs Act, 1862 (Bom. IV of 1862), Indian Forest Act, 1927 (16 of 1927), in its application to the State of Maharashtra, the Maharashtra Village Panchayats Act (III of 1959), the Maharashtra Land Revenue Code, 1966 and the Water (Prevention and Control of Pollution) Act, 1974 (6 of 1974) in its application to the State of Maharashtra, shall apply to the Scheduled Areas with the exceptions and modifications mentioned in the said Notification. By the notification, a special chapter was introduced in the Indian Forest Act, 1927, to ensure that the rights of the minor forest produce of Gram Sabhas was carried out without any hindrance. All decisions about collection, sale and sharing of income proceeds are now taken by Gram Sabhas. The definition of social sector in the Maharashtra Village Panchayats Act was also amended so that all line departments dealing in social sector could also be reviewed by the Panchayati Raj sector.

E. Guidelines regarding Bamboo cutting and selling through Gram Sabha:

As per the Notification dated 19/08/2014, Bamboo has been added in the list of Minor Forest Produce in Scheduled Areas. In pursuance to this Notification, the Rural Development Department by Government Resolution dated 31/03/2015 and 23/11/2015 has issued guidelines regarding Bamboo cutting and selling through Gram Sabhas.

F. Seed capital from Manav Vikas Mission to ensure meaningful access to Minor Forest Produce: Planning Department by Government Resolution dated 21/08/2014 and 01/08/2016 has issued instructions to make available the one-time seed capital to the Gram Sabhas for this purpose through MVM.

G. Direct devolution of 5% of Tribal Sub Plan fund to Gram Panchayats:

By Notification dated 30/10/2014, the Maharashtra Village Panchayats Act (III of 1959) has been modified. A new clause (o) in section 54 B is inserted that Gram Panchayats and Gram Sabhas shall “be competent to exercise control over local plans and resources for such plan including the Tribal Sub Plan, provided that not less than 5% of the total Tribal Sub Plan funds of the respective annual plan shall be devolved to the Gram Panchayats in Scheduled Areas in proportion to their population.” In pursuance to this Notification, a Government Resolution has been issued on 21 April 2015 and then on 21 August 2015 by Tribal Development Department regarding direct devolution of 5% of Tribal Sub Plan funds to Gram Panchayats in Scheduled Areas of Maharashtra State. This step is significant as it ensures a greater degree of democratic decentralization in such areas.

Scheduled Areas and Samatha judgement

The Samatha judgment of the Supreme Court in 1997 was a landmark judicial intervention in scheduled Areas and PESA. “Samatha first filed a case in the local courts and later in the High Court in 1993 against the Government of Andhra Pradesh for leasing tribal lands to private mining companies in the Scheduled Areas. The High Court dismissed the case after which Samatha filed a Special Leave Petition in the Supreme Court of India. A four- year battle led to a historic judgement in July 1997 by a three judge bench. The Court in its final verdict, declared that ‘person’ would include both natural persons as well as juristic person and constitutional government and that all lands leased by the government or its agencies to private mining companies apart from its instrumentalities in the Scheduled Areas are null and void. In addition, it also held that transfer of land to the government or its instrumentalities is entrustment of public property as the aim of public corporations is in public interest and hence such transfers stand upheld.” It is alleged that

the Central and State Governments were not sympathetic to the Samatha Judgement and tried to scuttle it by challenging it.

However, the Supreme Court dismissed the petitions of State and Central Governments for modification of the Samatha order. Simultaneously, the Andhra Pradesh government moved the Tribes Advisory Council for amendment to the Land Transfer Regulation Act of 1959. It is also alleged that the Ministry of Mines circulated a Secret Note to the committee of Secretaries proposing an amendment of the Fifth Schedule to overcome the Samatha Judgement to facilitate the leasing of land to outsiders in tribal areas. The Indian Express carried an article in the editorial page exposing secret note of Ministry of Mines. The President Shri K R Narayanan in his Republic Day speech issued a veiled warning against plotting to amend the V Schedule of the Constitution. It was also alleged that the Planning Commission had also moved draft notes wanting to do away with the Samatha Judgement.

Land acquisition in Scheduled Areas

While section 4 (i) of PESA provides the right to Gram Sabhas to be consulted before land acquisition, more stringent provisions exist in section 41 and 42 of the Right to Fair Compensation and Transparency in Land Acquisition, Rehabilitation and Resettlement Act, 2013 (LARR, in brief).

Unlike PESA, Section 41 of LARR 2013 provides for consent of Gram Sabhas before the process of land acquisition can begin. Section 41 and 42 also provide certain protections just in case the land acquisition is taken up as a last resort.

41(1) As far as possible, no acquisition of land shall be made in the Scheduled Areas.

(2) Where such acquisition does take place, it shall be done only as a demonstrable last resort.

(3) In case of acquisition or alienation of any land in the Scheduled Areas, the prior consent of the concerned Gram Sabha or the Panchayats or the autonomous District Councils, at the appropriate level in Scheduled Areas under the Fifth Schedule of the Constitution, as the case may be, shall be obtained, in all cases of land acquisition in such areas, including acquisition in case of urgency, before issue of a notification under this Act, or any other Central Act or a State Act for the time being in force:

Provided that the consent of the Panchayats or the Autonomous Districts Councils shall be obtained in cases where the Gram Sabha does not exist or has not been constituted.

(4) In case of a project involving land acquisition on behalf of a Requiring Body which involves involuntary displacement of the Scheduled Castes or the Scheduled Tribes families, a Development Plan shall be prepared, in such form as may be prescribed, laying down the details of the procedure for settling land rights due, but not settled and restoring titles of the Scheduled Tribes as well as the Scheduled Castes on the alienated land by undertaking a special drive together with land acquisition.

(5) The Development Plan shall also contain a programme for development of alternate fuel, fodder and, non-timber forest produce resources on non-forest lands within a period of five years, sufficient to meet the requirements of tribal communities as well as the Scheduled Castes.

(6) In case of land being acquired from members of the Scheduled Castes or the Scheduled Tribes, at least one-third of the compensation amount due shall be paid to the affected families, initially as first installment, and the rest shall be paid after taking over of the possession of the land.

(7) The affected families of the Scheduled Tribes shall be resettled preferably in the same Scheduled Area in a compact block so that they can retain their ethnic, linguistic and cultural identity.

(8) The resettlement areas predominantly inhabited by the Scheduled Castes and the Scheduled Tribes shall get land, to such extent, as may be decided by the appropriate Government, free of cost for community and social gatherings.

(9) Any alienation of tribal lands or lands belonging to members of the Scheduled Castes in disregard of the laws and regulations for the time being in force, shall be treated as null and void, and in the case of acquisition of such lands, the rehabilitation and resettlement benefits shall be made available to the original tribal land owners or land owners belonging to the Scheduled Castes.

(10) The affected Scheduled Tribes, other traditional forest dwellers and the Scheduled Castes having fishing rights in a river or pond or dam in the affected area, shall be given fishing rights in the reservoir area of the irrigation or hydel projects.

(11) Where the affected families belonging to the Scheduled Castes and the Scheduled Tribes are relocated outside of the district, then, they shall be paid an additional twenty-five per cent rehabilitation and resettlement benefits to which they are entitled in monetary terms along with a one-time entitlement of fifty thousand rupees.

42. (1) All benefits, including the reservation benefits available to the Scheduled Tribes and the Scheduled Castes in the affected areas shall continue in the resettlement area.

(2) Whenever the affected families belonging to the Scheduled Tribes who are residing in the Scheduled Areas, referred to in the Fifth Schedule or the tribal areas referred to in the Sixth Schedule to the Constitution, are relocated outside those areas, then, all the statutory safeguards, entitlements and benefits being enjoyed by them under this Act shall be extended to the area to which they are resettled, regardless of whether the resettlement area is a Scheduled Area, referred to in the said Fifth Schedule, or a tribal area referred to in the said Sixth Schedule, or not.

(3) Where the community rights have been settled under the provisions of the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006, the same shall be quantified in monetary amount and be paid to the individual concerned, who has been displaced due to the acquisition of land in proportion with his share in such community rights.

PESA, Eleventh Schedule of the Constitution and Transfer of 29 subjects to Panchayats at appropriate level and Gram Sabhas

The difference between PESA and the PRI structure established under the 73rd Constitutional Amendment is that while the 73rd Amendment states that the States “may” transfer the 29 subjects enlisted in the Eleventh Schedule, PESA makes this transfer mandatory, at least for those powers which are outlined in Section 4 of PESA, namely: Minor Forest produce, Social Forestry, Land Management, Fisheries, Village Markets, tribal development, social Justice, Food and Civil supplies, and subjects related to local institutions. In the absence of the transfer of the 3 Fs, i.e., funds, functions and functionaries, it shall be very difficult to put PESA in operation.

Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006 (FRA)

Both PESA and FRA are rights-based legislations with certain common ground. While the scope of PESA is limited to Scheduled Areas, FRA extends to all the forests. The common string uniting PESA and FRA is the reliance on Gram Sabhas as the unit for decision making. While in PESA, it is the Gram Sabha which owns MFP, in FRA, the rights over MFP are with the STs and the OTFDs. However, these rights are to be exercised as per the decisions made by the Gram Sabha. By the letter dated 13th February 2015, Minister of Tribal affairs has clarified that there is no conflict between FRA and PESA as far as ownership of MFP is concerned, and has called both as “kindred

statute". However, one difference between FRA and PESA, that can be inferred is that unlike FRA, the rights over MFP are inherent in the statute for all Gram Sabhas without the need to claim rights.

Scheduled Areas, and the question of tribal land alienation

One of the keenest issues that have affected tribal autonomy and welfare is the question of land alienation. After the concept of private ownership of property had been extended to tribal lands by the British, a large number of tribal people lost their land to the wiles of the money-lenders and the influx of outsiders. In the wake of a number of tribal uprisings, a number of protective acts were passed; most notable of which were Act I of 1959 and 1970 in Andhra Pradesh. However, the loss of land continued unabated despite several land laws across states promulgated for the protection of tribals. PESA was notable in its scope, as by section 4 (m) (iii), it gave to Gram Sabhas the power to not only prevent alienation of land but also to restore illegally alienated land.

PESA, Scheduled Areas and Part IX A of the Constitution

As per article 243 ZC of the Constitution, Part IX A of the Constitution relating to urban local bodies shall not be applicable to Scheduled Areas unless "Parliament may, by law, extend the provisions of this Part to the Scheduled Areas and the tribal areas referred to in clause (1) subject to such exceptions and modifications as may be specified in such law, and no such law shall be deemed to be an amendment of this Constitution for the purposes of article 368". In pursuance to this requirement, the Municipal Extension to Scheduled Areas Act (MESA) was introduced in Parliament. However, it was never passed. Technically, no areas in Scheduled Areas can be converted into a municipality till the Act is passed. It is expected that if and when such an Act is passed, it shall, through certain modifications, in Part IX A of the Constitution, provide adequate safeguards for the people of Scheduled Areas.

Home Ministry and PESA in context of LWE states

The Home Ministry has stated, repeatedly, that the implementation of PESA in letter and spirit is very necessary for countering Naxal violence in Left Wing Extremism (LWE) affected States in Scheduled Areas. The Ministry suggests special stress on minor forest produce rights to Gram Sabhas for this purpose. In an answer in the Parliament to a related question on PESA the MoS Home Affairs suggested, that good governance and proper functioning of PRI institutions and PESA was central to the strategy to combat LWE violence in the country.

Section 5

Inclusion: DAY-NRLM and various Thematic Areas

Reading 16: DAY-NRLM Framework for Implementation

Reading 17: Poverty and Identity

Reading 18: Poverty and Solidarity

Reading 19: Poverty and capability (capacity)

Reading 20: Sustainable Livelihoods

Reading 16

DAY-NRLM Framework for Implementation

Aajeevika - National Rural Livelihoods Mission (DAY-NRLM) was launched by the Ministry of Rural Development (MoRD), Government of India in June 2011. Aided in part through investment support by the World Bank, the Mission aims at creating efficient and effective institutional platforms of the rural poor, enabling them to increase household income through sustainable livelihood enhancements and improved access to financial services.

DAY-NRLM set out with an agenda to cover 7 crore rural poor households, across 600 districts, 6000 blocks, 2.5 lakh Gram Panchayats and 6 lakh villages in the country through self-managed Self Help Groups (SHGs) and federated institutions and support them for livelihoods collectives in a period of 8-10 years. In addition, the poor would be facilitated to achieve increased access to rights, entitlements and public services, diversified risk and better social indicators of empowerment. DAY-NRLM believes in harnessing the innate capabilities of the poor and complements them with capacities (information, knowledge, skills, tools, finance and collectivization) to participate in the growing economy of the country. In November 2015, the program was renamed Deendayal Antayodaya Yojana (DAY-NRLM).

Genesis

The Swarn Jayanti Gram Swarozgar Yojana (SGSY) was a flagship programme of the Ministry of Rural Development. It was started in 1999 and was restructured in Financial Year 2010-11 for implementation as the National Rural Livelihoods Mission. The SGSY aimed at providing sustainable income to rural BPL households through income generating assets/economic activities in order to bring them out of poverty.

Evaluation of the SGSY by National Institute of Rural Development (NIRD), Bankers Institute of Rural Development (BIRD) and several other institutions showed mixed results. Out of an estimated 25 million households organized into SHGs until 2010, only 22% succeeded in accessing bank credit. The studies showed that there were significant variations in the extent of mobilization of poor SHGs and the quality of their operation. The one-off assetization programme focusing on single livelihood activity did not meet multiple livelihood requirements of the poor. Often, the capital investment was provided up-front as a subsidy, without adequate investment in social mobilization or group formation.

Furthermore, uneven geographical spread of SHGs, high attrition rates among members of SHGs, and lack of adequate banking sector response impeded the program performance. Several states did not fully invest the funds received under SGSY. This fact indicated a lack of proper delivery systems and dedicated efforts for skill training and building capacity for resource absorption among the rural poor. There was a considerable mismatch between program capacity and program requirements. Absence of collective institutions in the form of SHG federations precluded the poor from accessing higher order support services for productivity enhancement, marketing linkages or risk management.

It is in this context that the Ministry of Rural Development (MoRD), Government of India (GoI) constituted a Committee on Credit Related Issues under SGSY (under the Chairmanship of Prof. Radhakrishna to examine various aspects of the scheme implementation. The

Committee recommended adoption of a ‘Livelihoods Approach’ to rural poverty elimination. The approach encompassed the following four inter-related tasks:

- Mobilizing poor households into functionally effective SHGs and their federations
- Enhancing access to bank credit and financial, technical and marketing services
- Building capacities and skills for gainful and sustainable livelihoods development
- Converging various schemes for efficient delivery of social and economic support services to poor households

The government accepted the recommendation of the Committee and restructured SGSY into National Rural Livelihoods Mission (DAY-NRLM) in Financial Year 2010-11 to provide a sharper and greater focus, as well as, momentum for poverty reduction. The decision also aimed to achieve the Millennium Development Goals (MDG) by 2015. The Framework for Implementation for DAY-NRLM was approved by the Ministry on 9th December, 2010 and the Mission was formally launched on 3rd June, 2011.

Mission

DAY-NRLM implementation is in a Mission Mode. This enables (a) shift from the present allocation based strategy to a **demand driven strategy**, enabling the states to formulate their own livelihoods-based poverty reduction action plans, (b) focus on targets, outcomes and time bound delivery, (c) continuous capacity building, imparting requisite skills and creating linkages with livelihoods opportunities for the poor, including those emerging in the organized sector, and (d) monitoring against targets of poverty outcomes. As DAY-NRLM follows a demand driven strategy, the States have the **flexibility to develop their livelihoods-based perspective plans and annual action plans for poverty reduction**. The overall plans would be within the allocation for the state based on poverty ratios.

DAY-NRLM Mission: “To reduce poverty by enabling the poor households to access gainful self-employment and skilled wage employment opportunities, resulting in appreciable improvement in their livelihoods on a sustainable basis, through building strong grassroots institutions of the poor.”

DAY-NRLM Guiding Principles

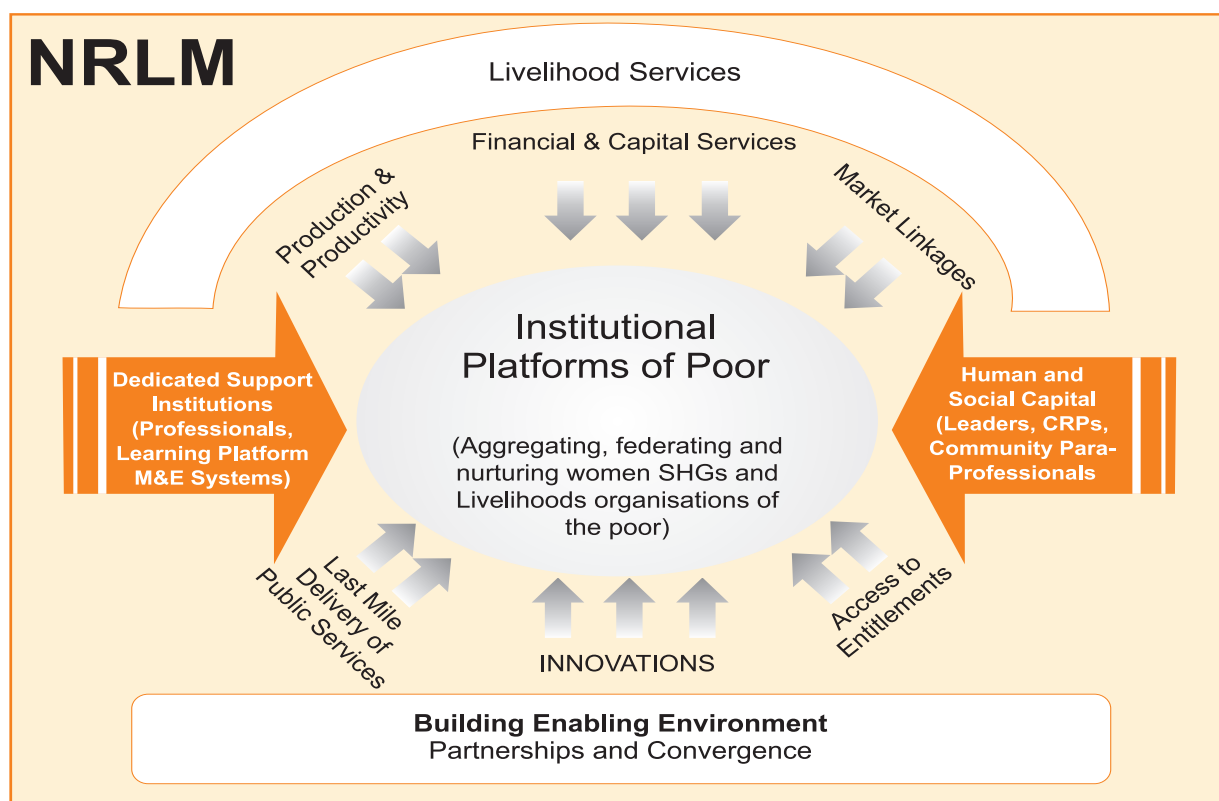
- Poor have a strong desire to come out of poverty, and they have innate capabilities.
- Social mobilization and building strong institutions of the poor is critical for unleashing the innate capabilities of the poor.
- An externally dedicated and sensitive support structure is required to induce the social mobilization, institution building and empowerment process.
- Facilitating knowledge dissemination, skill building, access to credit, access to marketing, and access to other livelihoods services underpins this upward mobility.

DAY-NRLM Values

The core values which guide all the activities under DAY-NRLM are as follows:

- Inclusion of the poorest, and meaningful role to the poorest in all the processes.
- Transparency and accountability of all the processes and institutions.

- Ownership and key role of the poor and their institutions in all stages – planning, implementation, and, monitoring.
- Community self-reliance and self-dependence.



Universal Social Mobilization

At least one-woman member from each identified rural poor household is to be brought under the SelfHelp Group (SHG) network in a time bound manner. Special emphasis is particularly on vulnerable communities, such as manual scavengers, victims of human trafficking, Particularly Vulnerable Tribal Groups (PVTGs), Persons with Disabilities (PwDs) and bonded labour. DAY-NRLM has devised special strategies to reach out to these communities and help them graduate out of poverty.

Participatory Identification of Poor (PIP)

The inclusion of the target group under DAY-NRLM is determined by a well-defined, transparent and equitable process of participatory identification of the poor, at the level of the community. All households identified as poor through the PIP process is the DAY-NRLM Target Group and is eligible for all the benefits under the programme.

Target Group is identified through the Participatory Identification of Poor (PIP) method. The DAY-NRLM Target Group (NTG) derived through the PIP is de-linked from the BPL. The efforts to roll-out PIP in the states have begun. PIP needs to be a community-driven process. To ensure this, the first PIP exercise is conducted after the formation of the primary federation (6-12 months after village entry). The PIP is conducted at frequent intervals to revise the list of poor in the village. The list of poor identified through the PIP must be vetted by the Gram Sabha and approved by the Gram Panchayat. All the households in the PIP list are eligible to receive all benefits under DAY-NRLM.

Community Funds as Resources in Perpetuity

DAY-NRLM provides Revolving Fund (RF) and Community Investment Fund (CIF) as resources in perpetuity to the institutions of the poor, to strengthen their institutional and financial management capacity and build their track record to attract mainstream bank finance.

Financial Inclusion

DAY-NRLM works on both demand and supply sides of financial inclusion. On the demand side, it promotes financial literacy among the poor and provides catalytic capital to the SHGs and their federations. On the supply side, the Mission coordinates with the financial sector and encourages use of Information, Communication & Technology (ICT) based financial technologies, business correspondents and community facilitators like 'Bank Mitras'. It also works towards universal coverage of rural poor against risk of loss of life, health and assets. Further, it works on remittances, especially in areas where migration is endemic.

Livelihoods

DAY-NRLM focuses on stabilizing and promoting existing livelihood portfolio of the poor through its three pillars – 'vulnerability reduction' and 'livelihoods enhancement' through deepening/enhancing and expanding existing livelihoods options and tapping new opportunities in farm and non-farm sectors, 'employment' - building skills for the job market outside, and 'enterprises' - nurturing self-employed and entrepreneurs (for micro-enterprises).

DAY-NRLM promotes and supports collectives towards Sustainable Livelihoods of the Poor (CSLP) around these and other key livelihoods of the poor. These collectives offer their members access to livelihoods knowledge, skills, technology, market intelligence, risk management products and credit support through their SHGs and Federations to individual members/households.

Convergence and partnerships

Convergence: DAY-NRLM places a high emphasis on convergence with other programmes of the MoRD and other Central Ministries. Convergence is also sought with programmes of state governments for developing synergies directly or indirectly with institutions of the poor.

Partnerships with NGOs and other CSOs: DAY-NRLM has been proactively seeking partnerships with Non-Government Organizations (NGOs) and other Civil Society Organizations (CSOs), at two levels - strategic and implementation. The partnerships are guided by DAY-NRLM's core beliefs and values, and mutual agreement on processes and outcomes. Partnership guidelines to partner with NGOs, CSOs have been finalized and approved this year.

Linkages with PRIs: In view of the eminent roles of Panchayat Raj Institutions (PRIs), it is necessary to consciously structure and facilitate a mutually beneficial working relationship between Panchayats and institutions of the poor, particularly at the level of Village Panchayats. Formal platforms would be established for regular consultations between such institutions and PRIs for exchange of mutual advice, support and sharing of resources.

Sensitive Support Structures

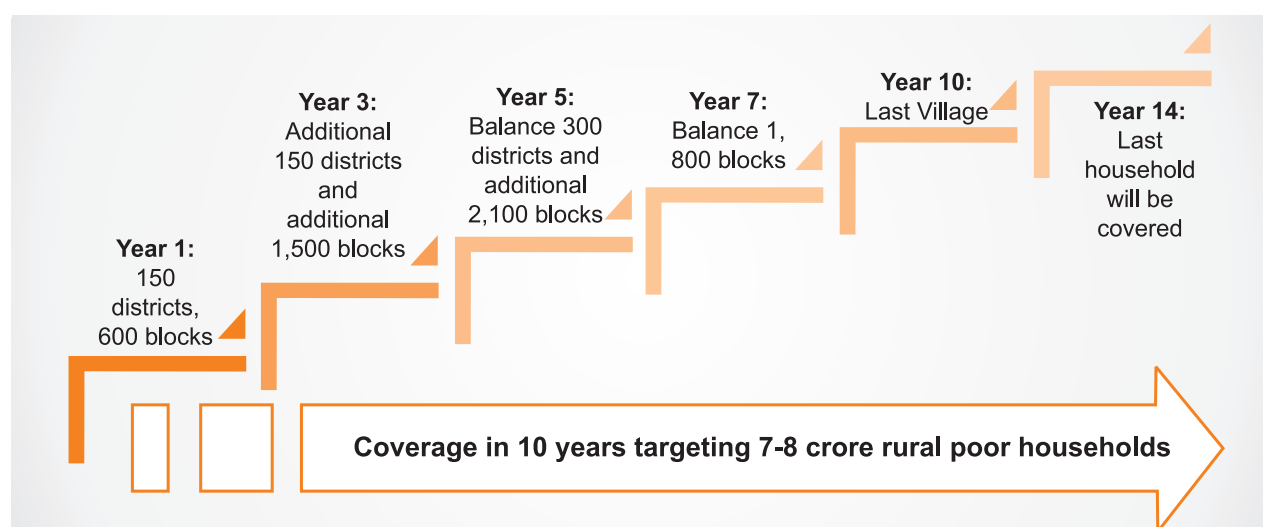
DAY-NRLM's process-intensive effort requires dedicated human resources. Realizing this, DAY-NRLM has set up sensitive and dedicated support structures at the National (NMMU), State (SMMU), district (DMMU) and sub-district levels (BMMU/PFT). The institutions of the poor, their staff and other social capital also provide the support in implementing the programme. These structures

would have suitable linkages with Government(s), District Rural Development Agencies (DRDAs), and PRIs. These support structures are staffed with professionally competent and dedicated human resources through appropriate arrangements including partnerships and outsourcing of services.

In order to implement the DAY-NRLM effectively, National Rural Livelihoods Promotion Society (NRLPS) has been set up under the Societies' Registration Act of 1860, under MoRD, as the technical arm of the Mission. The NMMU has been made an integral part of NRLPS.

Implementation

DAY-NRLM is a highly process oriented programme and requires intensive application of resources, both financial and human, in order to mobilize the poor into functionally effective institutions, promote their financial inclusion and diversify and strengthen their livelihoods. It is, therefore, not feasible to roll out the programme in full scale across the country in one go, and, therefore, it has been decided to phase the implementation of the programme over period of 10 years. The indicative phasing is as under:



The blocks and districts in which all components of DAY-NRLM are implemented are treated as 'intensive' blocks and districts, whereas the remaining as 'non-intensive' blocks and districts.

Implementation at Block Level

DAY-NRLM intends to work in a block for a period of ten years till community federations take responsibility of implementation. A typical block having about 13,500 (90% of total poor) mobilizeable poor households spread over 100-120 villages is divided into 4 clusters of 30 villages each. In a typical intensive block, the first 3 years are spent in building the organisations of the poor by mobilising them into SHGs, Federations at Village, Cluster and Block levels. Funds flow to the community institutions over the first 4-5 years. The middle years, years 3-6, are invested in deepening the activities and addition of various layers such as health, nutrition, interventions for Persons with Disability (PwD), etc. Last four years are essentially a maintenance and withdrawal phase, where the community institutions graduate to self-reliance and self-sustainability.

Implementation in the blocks is being done in four ways –

- Resource Blocks*** with the support from National Resource Organization(s) (NRO) [5-6% blocks in a state],
- Intensive Blocks**** implemented with SRLM staff and internal community resource persons and the CRPs generated in resource blocks,

- c) **Partnership Blocks***** with the support from local community federations and NGO partners and
- d) **Non-intensive Blocks****** are the remaining blocks in the state which are not taken up for implementation in the initial phase.

Support Structure

DAY-NRLM has set up dedicated sensitive support units at the National, State, District and Sub-District levels, to catalyze social mobilization, build institutions, capacities and skills, facilitate financial inclusion and access to financial services, support livelihoods and to promote convergence and partnerships with various programmes and stakeholders. These units would be staffed with professionally competent and dedicated human resources.



- At the national level, Ministry of Rural Development (MoRD) is required to provide technical and professional support to the states to establish the Mission societies, implementation architecture and systems and guide them in the implementation and monitor their progress. For this, **DAY-NRLM Empowered Committee (EC)** has been set up, which reviews and approves the Implementation Plans and Annual Action Plans and release the funds to SRLMs. The Joint Secretary/Additional Secretary, Rural Livelihoods (RL), MoRD leads DAY-NRLM as Mission Director and Chief Executive officer (CEO) of **National Rural Livelihoods Promotion Society (NRLPS)** with the Union Minister In-charge of the Ministry/Department dealing with the Society shall be the ex-officio President of the Society. NRLPS comprises of multidisciplinary team of professionals from open market on contract, and requisite support staff to provide wide ranging professional and technical support to the National Rural Livelihoods Mission and the State Rural Livelihoods Missions in the implementation of their Mission Objectives.
- At the state level, the State Rural Livelihoods Mission (SRLM) constituted by State Government, would oversee the implementation of all DAY-NRLM related activities in the state. An autonomous body under the State Government, SRLM would be incorporated as a society, trust or company. State Mission Management Unit (SMMU) would implement the DAY-NRLM activities in the state through an SMMU, at the state level, headed by a full-time State Mission

Director (SMD). A multidisciplinary SMMU team would comprise of experts in Social Inclusion, Financial Inclusion, Livelihoods, Programme Management, Programme Support etc., would support the SMD in implementing DAY-NRLM in the state.

- **District Mission Management Unit (DMMU):** The DMMU of the SRLM would be responsible for meeting DAY-NRLM objectives and implementing DAY-NRLM activities in the district. DMMU, linked suitably with DRDA, would be a facilitating and support unit for field structures. A multidisciplinary DMMU, led by District Mission Manager (DMM), hired from open market on contract or on deputation from Government, includes functional specialists in Social Inclusion, Financial Inclusion, Livelihoods, Capacity Building, Programme Management, Programme Support etc., and support staff, as required. These specialists and staff would be hired in a phased manner, as required, on contract or on deputation.
- **Support Structures at Sub-district level:** The Sub-district level Support Structure is either - Block Mission Management Unit (BMMU) led by a Block Mission Manager (BMM) and consisting of 3-5 spearhead teams or
- **Project Facilitation Team at cluster (sub-block) level**
- The members of sub-district structure(s), including the BMMs, if any, would be recruited from the open market or on deputation.

NRLP

DAY-NRLM has been designed to be implemented in all States and Union Territories except Delhi and Chandigarh. However, it would be difficult to implement DAY-NRLM which involves a fundamental systemic reform simultaneously in all the 28 States and 7 Union Territories in India, unless a 'proof of concept' is established and the states are prepared to transit from SGSY to DAY-NRLM. Apart from creating an enabling environment in the states, the institutional capacities of the Central and State governments need to be developed to understand, adopt and implement the DAY-NRLM to produce significantly higher outcomes. Further, not all the states have similar community institutional environment which is central to DAY-NRLM.

In this context, Government of India has availed credit from the International Development Association (IDA) for implementing the National Rural Livelihood Project (NRLP), under DAY-NRLM. National Rural Livelihoods Project (NRLP) has been designed as a sub-set of DAY-NRLM to create 'proof of concept', build capacities of the Centre and States and create an enabling environment to facilitate all States and Union Territories to transit to the DAY-NRLM. NRLP would be implemented in 13 high poverty states accounting for about 90 percent of the rural poor in the country. Intensive livelihood investments would be made by the NRLP in 107 districts and 422 blocks of 13 states (Assam, Bihar, Chhattisgarh, Jharkhand, Gujarat, Maharashtra, Madhya Pradesh, Orissa, Rajasthan, Uttar Pradesh, West Bengal, Karnataka and Tamil Nadu). Distribution of project funds among the states would be state based on inter-se poverty ratios.

NRLP will broadly support the following components:

- Institution and human capacity development at the national, state, district and sub-district levels, so that support institutional structures are created,
- State livelihood support towards establishment of institutional platforms of the rural poor for improved access to financial, livelihood and public services,
- Innovation and partnership to identify and partner innovative ideas which address the livelihood needs of the rural poor and help pilot or scale them,
- Project management and monitoring and learning systems.

Reading 17

Poverty and Identity

For many years, poverty has dominated international headlines as a global condition. Poverty is pervasive, and it is a chronic socio-economic problem affecting all population groups; adults, adolescents and children in many societies. The impact of poverty on adults can be far-reaching as adults are household heads. In household structures, adult poverty often has a ripple effect downwards, debilitating even the youngest family members. As part of a strategy to alleviate poverty, many societies are encouraging their adults, particularly young adults living in poverty, to participate in programmes geared towards poverty reduction. But poor adults are not like mainstream, well-to-do adults; poor adults often have complex learning and psychological problems that must be understood before they can participate in any programmes. In most cases, these issues are locked in the identity which they developed by virtue of their sustained poverty conditions. Empirical research lends some support to the notion that direct physical consequences of poverty (such as deprivation) and the stigma attached to being poor impacts on a person's identity.

The common assumption is that adult identity develops as individuals work through conflicts, stigma and stresses that are related to their poverty conditions. Resolving feelings of rejection, the direct physical consequences of deprivation, the consequences of severe stress on social relationships and the stigma attached to being poor, adults gradually consolidate an affirmative sense of self that enables them to accept their position and class in the community/society. It is hypothesized that the incorporation process is organized in a developmental sequence of stages. The experience of poverty in adulthood is conceptualized as a life-event. Life event theorists such as Lowenthal, Thurber and Chiriboga (1975) argue that a major life event such as becoming unemployed is an important part of identity definition, especially if the event requires the individual to change or adjust his/her pattern of life. The life event concept is relevant in the context of poverty, as poverty as a condition is relative, and according to the World Development Report (2000–01) it is possible for people to 'move in and out of poverty', when judged against the poverty datum line. Whether the poverty experience is one characterized by in/out movement or is protracted, there is an accompanying adjustment for the adults that should be understood.

The most important links between poverty and adult identity formation seem to be through the physical (deprivation) and the psychological (stigma attached to being poor) consequences of poverty. In some culture, many people living in poverty are told that they are '... no-good, inadequate, dirty, incompetent and stupid', so they may (or should) expect failure of themselves, just as the world expects it of them. These commentaries do have the potential to impact profoundly on the self-esteem of destitute individuals. There is a clear stigma attached to the destitute in these societies. Negative interpretations of poverty as the above impact on a person's social identity. This occurs in two ways: it defines and evaluates, and it also prescribes behaviours. Indeed, how a person lives or behaves is bound to affect what others think of him/her. Although the psychological and physical consequences of poverty conditions on a person's life have been recognized, there has been no attempt to explore how poverty may have been integrated into the 'self-image' that a person constructs as a result of the interactions of the internal self-perceptions, with the perception of self as part of a social environment. Assessing poverty influences on identity, and how poverty is incorporated into adult identity, is an important step in understanding possible links between identity adjustments in adults and other processes such as adult education, especially as identity and learning have shown close correlation.

The following issues emerged consistently from the stories shared in many studies:

- the participants acknowledged being poor and believed 'poverty' is a label that others used to identify them (some reject the poverty label),
- all held a strong belief that there were important purposes and meaning to their lives, even though they were poor,
- for many, poverty meant, 'unbelief in self, that they hardly travel out of the village—frustrated, just locked indoors',
- they felt rejection and a sense that other people see them as 'nobodies' because of their poverty conditions,
- many talked of discomfort, emotional pains from poverty stigmas, deprivation, inadequacies and feelings of hopelessness.

These experiences appear to lower their self-esteem and impacted on their identity, socially. This point was well captured in the views of one participant: "It's not easy when you are poor, you are not seen as important, people see you as nobody. It is a humiliation, the sense of being dependent upon them [others] and being forced to accept their rudeness when you seek help. It's not easy. There was clear psychological pain." In some cases, however, participants appear to disclaim the poverty identity placed on them by others, that is, the ascriptions by others was disaffirmed. These generate tensions and conflicts. One participant echoed this sentiment: "I am not poor, I may be struggling here and there but does that mean you are poor, and should be looked down upon? I am still hopeful [that] things will change. I am tired of this image of people looking down on you ... sometimes they don't say it but you can tell. It's not nice." Participants seemed, therefore, to react differently to the poverty label. It is hypothesized that this is an indication of the extent that each participant is 'locked' into a poverty identity. Furthermore, they seem to take on poverty as an identity label but this seems to occur gradually. The identity formed appears both socially oriented and personally driven, that is, who they are, how others see them, how they see themselves and how they connect or align with others, were all aspects of their social identity impacted on by the misery that poverty breeds.

It has shown that the social identity of destitute adult is shaped by the poverty conditions in which they live. There is a general progression through phases of incorporation, though the rate of progression is highly individualized. The rate of progression may be related to the participants' duration of living in poverty, and the quality of their relationships with community and family members, immediate and extended. As mentioned above, in many cultures, poverty is perceived as a sorry condition of a person's life. Thus, weak family support may increase the rate of progression. Each stage in the incorporation process reflects distinct behavioural characteristics, resulting from participants' responses to the manifestations of poverty in their lives. In exploration, there was much self-questioning and denial of poverty, even though it was clearly present. Acceptance is a crucial stage in the incorporation process. The study suggests that this is a volatile stage because it is preceded by various attempts to escape poverty, and is only initiated after these attempts have failed and feelings of despair set in. There is considerable emotion involved in the stage. As such, it is quite fluid. For instance, someone reaching acceptance, then moving back to exploration and vice versa is a distinct possibility. Furthermore, the stages are not mutually exclusive, independent or unrelated constructs, rather, each shares a relationship with the other.

It is crucial to emphasize that the disclosures and reflections that occur in acceptance are essential to the incorporation process. In counseling sessions, the destitute adult participants had opportunities to tell and re-tell 'stories' about their lives in poverty. This was one of the important

features of both the acceptance and the integration phases, respectively. The poor adults sharing their 'stories' were essential to the formation of the poverty identity. Perhaps, as these adults search their self-in-mind and their self-in-community, they learn and change, leading to a more authentic self. This learning is transformational. All participants had to work through degrees of emotional and physical trauma throughout the incorporation process, as evidenced by their initial reluctance to disclose their poverty conditions, feelings of shame and frustration. For all, the disclosure of their poverty conditions was gradual, and it occurred in an environment of trusted relationships. All, especially females, developed an appreciation for social gatherings with trusted companions who understood each other's situation. We should understand the importance of support groups in the transformational learning process. Interacting with other poor adults was integral for more complete incorporation of poverty. What is surprising, however, is the reluctance, doubt and scepticism that surrounds such interaction among the poor. These made the birth of the interaction difficult.

Conclusions and implications: The study confirms that poor adult identity is shaped by poverty and there is a general progression through phases of incorporation, though the rate of progression is highly individualized. It also emphasizes the importance of transitions or turning points in the incorporation process. The nature of learning during the incorporation process was transformational. Participants continue to develop changing perspectives about themselves as poor adults. As they learn more about and experience their poverty conditions, they develop an identity. Many participants became pre-occupied about how others saw them than about how they saw themselves and their situation, reflecting a degree of lowered self-confidence and a conflict between the self-in-mind and the self-in community. Reflective learning was evident.

For self-esteem reasons, poor adults may not readily attach themselves to groups and seek assistance. Poverty has a negative influence on learning and on interaction. The realization that poverty gets incorporated into the identity of destitute adults also has consequences for an adult learning style as a dimension to participation in adult education. Although most commonly framed in academic contexts, learning style lies at the foundation of individual identity and development. Learning style reflects an array of attitudes, emotional responses, habits and preferences, and is affected by inputs from our environment (Wenger 1998). Since denials, frustrations, remorse, hopelessness and so on are derivatives of the process where adults incorporate poverty into their identity, creating an environment that meets these and other needs of poor adult learners is central to adult successful participation in any education programme. Finally, all participants appreciated any assistance that could make them carry on life in a meaningful way; many hope to escape poverty but see no way to do so.

These transformations are complex and continual, redefining aspects of the self. The challenge, of course, is to determine where in the poverty incorporation process each adult learner is, and whether the stage has any bearing on the adult learning style. In addition, there is evidence of reflective practice/learning occurring among adults living in poverty conditions. Adult education may capitalize on this reflective engagement in order to maximize participation, but this requires caution. How it is harnessed may lead to ostracism, as poor adults are sensitive about their conditions.

Reading 18

Poverty and Solidarity

Solidarity can generally be defined as the willingness to promote the welfare of other people. Solidarity is based on calculating considerations when people help others because they want to improve their own welfare and hence receive (in)direct benefits in return. Calculating solidarity is also referred to as 'enlightened self-interest' or 'weak reciprocity', as it involves an understanding that one can maximize one's own well-being by improving that of others. From this perspective, people help others not because they sincerely care for them but because it indirectly improves their own well-being, or because their own well-being is jeopardized by the plight of others. Changing the existing order to eradicate poverty would require a radical redistribution of income and power, and hence be dysfunctional for the non-poor, as such profound changes would decrease well-being for the latter group. In case of affective considerations, people act upon feelings of sympathy and moral duty.

From this perspective, people are motivated to contribute to the welfare of others out of genuine concern for them or because they think helping others is the morally 'right thing to do'. Moreover, people might also show solidarity out of gratitude and a sense of fairness – a wish to do something in return for (vaguely determined) past, present or future favours they have received or will receive from other people. Note that the difference between affective and calculating considerations is delicate. It is often mistakenly assumed that affective considerations are somehow non-rational. However, people value different things. They might value their own welfare and material well-being (calculating considerations) but they might also value fairness and moral ideals (affective considerations). Considering the variety of motives for expressing solidarity discussed above, it is difficult to fully understand and even more difficult to accurately measure intentions behind solidarity.

However, we are mainly interested in the end-result – solidarity as an outcome, and how it is influenced by the level of economic inequality. We simply assume that when people promote the welfare of others, they do this because: a) they realize that their own well-being will improve or will be protected when they support the welfare of others (i.e. calculating solidarity), and/or b) they feel affectively and morally engaged to do so (i.e. affective solidarity). Similarly, when people do not promote the welfare of others then this is because: a) they do not feel that their own well-being will benefit when they would support the welfare of others and b) they do not feel affectively and morally engaged to do so. Solidarity is sometimes confused with concepts like social cohesion (coherence or unity of a group) and social capital. These concepts have been empirically captured with a diverse set of indicators – frequency and quality of contacts with neighbours, social trust, informal sociability (e.g. visiting friends), participation in organizations, public engagement (e.g. voting), tolerance, voluntary work and so forth.

Doing good for people is not part of the definition of social capital. Activities like voluntary work are often engaged in by people in order to pursue personal goals related to, for instance, self-fulfillment, or as activities that are simply pleasant to do in company. Hence, in the same line of reasoning, these supposed measures of social capital do not directly inform us about feelings of solidarity, i.e. concern for the well-being and welfare of others. Thus, when we use a variable such as 'welfare state generosity' or 'support for redistribution', it is even more difficult to distinguish between interest in the welfare of others (either because people care or because they see other people's welfare as contributing to their own welfare) and interest in promoting one's own narrow economic self-interest (in terms of ensuring that one will receive decent state benefits in times of

need). We, therefore, use a more direct indicator of solidarity: the willingness to contribute to the welfare of other people. In this paper, we are particularly interested in the relationship between income inequality and solidarity, operationalized in terms of a more 'direct' indicator referring to affective solidarity (care and concern) and calculating solidarity (own interests). We have already discussed the difficulties with using 'support for redistribution' as a measure of solidarity. Besides solidarity (support for the welfare of others), this measure also captures another element – direct material interest which does not include the welfare of others – and it is difficult to distinguish between the two. Durkheim, for instance, pointed out 'that in a fully developed organic society, characterized by individualism, equal opportunity, specialization and interdependence, inequality is to be expected because at this point in evolution it should be based on differences in the internal abilities of individuals. However, there also seems to be a general consensus in handbooks on social inequality that although 'each society knows a certain amount of inequality' (although they all state in a following sentence that inequality is definitely not a necessary condition for the survival of society), too much inequality is harmful leaving the question about 'how much inequality is too much?' aside, as there is no scientific answer to this, we could hypothesize that, as far as people are aware of the interdependencies characteristic for modern societies (for instance, employers realizing that their employees can only be productive when they are decently rewarded), a higher level of inequality should be related to a higher willingness to help other people. Note that this positive effect is based on the assumption that people actually realize the negative externalities originating from more inequality.

In unequal societies there are more people 'unlike you', which makes it more difficult for people to identify with and relate to one another. Resemblance and similarity, and the experience of a 'common fate' are necessary foundations of solidarity. People are less inclined to share resources with those who are different and with whom they have weak ties. Furthermore, income inequality fractures communities, generates envy and resentment, and makes social solidarity more precarious. Thus, inequality divides a society and poisons relationships between social groups and people.

Reading 19

Poverty and capability (capacity)

A framework for poverty analysis must seek to reflect societal change and economic shocks, such as the current crisis, in distinctly human terms. For this, we need the right concepts and measures. In this paper, we discuss some problems associated with existing approaches to conceptualising poverty, Social Exclusion and deprivation, and discuss the contribution that the capability approach might offer in resolving them. It is argued, that the capability approach can provide a framework that can reflect the many ways in which human lives can be blighted, and which, thus, offers some promise for poverty analysis.

It has provided the conceptual underpinning for the UN's Human Development Reports (UNDP, 2010), has influenced the understanding of well-being in the recent 'Sarkozy Commission' (Stiglitz et al., 2009) and has been the basis for the Equality and Human Rights Commission's approach to monitoring equality in the UK (Burchardt and Vizard, 2011). Given this increased prominence, we might ask whether some advantages of the approach have been overlooked. Second, there is, at present, an unresolved tension within poverty analysis between a desire to emphasise a broad measure of multidimensional poverty and an insistence on conceptualising poverty in narrower terms around a core concept of resources.

From a capability perspective, poverty is viewed as the deprivation of certain basic capabilities, and these can vary, as Prof. Amartya Sen has argued, 'from such elementary physical ones as being well nourished, being adequately clothed and sheltered, avoiding preventable morbidity, and so forth, to more complex social achievements such as taking part in the life of the community, being able to appear in public without shame, and so on'. These capabilities are determined by prevailing living standards. The capability approach questions the central role, often afforded to income in poverty measurement. Amartya Sen draws a distinction between the actual opportunities, or capabilities, a person has, which he argues are intrinsically important, and their income, which is merely a means to such opportunities, and whose importance is, thus, both instrumental and contingent

Direct concepts of poverty focus on cases where living standards fall below a certain level, and typically assume that this is because of a lack of resources. Indirect concepts focus on cases where resources fall below a certain point, and typically assume that this results in a low standard of living. Of course, such distinctions would be of little importance if low income were a good proxy for deprivation. But the capability approach holds that this is unlikely to be the case: people have varying needs and will, thus, require different levels of resources in order to achieve the same standard of living. For example, the additional costs associated with disability might mean that a disabled person requires a greater amount of resources to achieve the same standard of living as an able-bodied person. In prioritising the intrinsic importance of what people can do or be over the resources they possess, the capability approach is unambiguous in favouring a direct approach to poverty analysis. However, there is a strong tradition of direct conceptualisation of poverty, social exclusion and deprivation in the field of Social Policy which can also claim to focus on what people are able to do and be; for example, whether they can participate in the life of society. The concept of capabilities, considers all potential constraints to wellbeing achievement, whether this is a lack of resources, disability, discrimination, etc. The capability approach thus takes a broader approach to both the dimensions of interest and the constraints considered in direct approaches to poverty analysis.

Reading 20

Sustainable Livelihoods

The concept of Sustainable Livelihood (SL) is an attempt to go beyond the conventional definitions and approaches to poverty eradication. These had been found to be too narrow because they focused only on certain aspects or manifestations of poverty, such as low income, or did not consider other vital aspects of poverty such as vulnerability and Social Exclusion. It is now recognized, that more attention must be paid to the various factors and processes which either constrain or enhance poor people's ability to make a living in an economically, ecologically, and socially sustainable manner. The SL concept offers the prospects of a more coherent and integrated approach to poverty.

What is meant by Sustainable Livelihoods? The sustainable livelihoods idea was first introduced by the Brundtland Commission on Environment and Development as a way of linking socio economic and ecological considerations in a cohesive, policy-relevant structure. The 1992 United Nations Conference on Environment and Development (UNCED) expanded the concept, especially in the context of Agenda 21, and advocated for the achievement of sustainable livelihoods as a broad goal for poverty eradication. It stated that sustainable livelihoods could serve as 'an integrating factor that allows policies to address 'development, sustainable resource management, and poverty eradication simultaneously'. Most of the discussion on Sustainable Livelihoods so far has focused on rural areas and situations where people are farmers or make a living from some kind of primary self managed production. In a classic 1992 paper, Sustainable Rural Livelihoods: Practical concepts for the 21st Century, Robert Chambers and Gordon Conway proposed the following composite definition of a sustainable rural livelihood: A livelihood comprises the capabilities, assets (stores, resources, claims and access) and activities required for a means of living, a livelihood is sustainable which can cope with and recover from stress and shocks, maintain or enhance its capabilities and assets, provide sustainable livelihood opportunities for the next generation and which contributes net benefits to other livelihoods at the local and global levels and in the short and long term.

While the definition of a livelihood can be applied to different hierarchical levels, the authors stressed that it is used most commonly at the household level. Even then it is also important to recognize variations in wellbeing and access at an individual or intra-household level, as well as at the broader levels of the extended family, the social group, and the community. Of the various components of a livelihood, the most complex is the portfolio of assets out of which people construct their living. This portfolio includes tangible assets such as stores (e.g., food stocks, stores of value such as gold, jewellery, cash savings) and resources (e.g., land, water, trees, livestock, farm equipment), as well as intangible assets such as claims (i.e., demands and appeals which can be made for material, moral or other practical support) and access, which is the opportunity in practice to use a resource, store or service or to obtain information, material, technology, employment, food or income (ibid., page 11).

A distinction is made between environmental sustainability, which refers to the external impact of a livelihood on other livelihoods, that is its effects on local and global resources and other assets, and social sustainability, which concerns the internal capacity of a livelihood to withstand outside pressure, that is to cope with stress and shocks and retain its ability to continue and improve over time. Stresses are defined as pressures which are typically continuous and cumulative and, therefore, to some extent predictable, such as seasonal shortages, rising populations or declining resources, while shocks are impacts which are typically sudden, unpredictable and traumatic,

such as fires, floods and epidemics. Any definition of livelihood sustainability, the authors argued, has to include the ability to avoid, or more usually to withstand and recover from, such stresses and shocks. This seminal paper by Chambers and Conway had the great merit of clarifying the concept of sustainable livelihoods and its constituent parts. Their treatment of the subject was rather general, however, and since then much effort has gone into refining the SL concept further, both analytically and operationally. Particularly significant in this context are both the contributions made by researchers connected to the SL Research Programme of the Institute for Development Studies (IDS) at the University of Sussex, Brighton, UK, and the work within the British Department for International Development (DFID) of operationalizing the SL concept and approach, building upon the definitions and conceptual elaborations of IDS but modifying them according to its own practical needs.

Firstly, the IDS team proposed a somewhat modified definition of SL: A livelihood comprises the capabilities, assets (including both material and social resources) and activities required for a means of living. A livelihood is sustainable when it can cope with and recover from stresses and shocks, maintain or enhance its capabilities and assets, while not undermining the natural resource base. The main difference between this definition and the earlier one elaborated by Chambers and Conway is that it does not include the requirement that for livelihoods to be considered sustainable they should also ‘...contribute net benefits to other livelihoods’. In this sense the IDS version is less demanding but, presumably, more realistic. Another important contribution of the IDS team was to outline a tentative framework to analyse sustainable rural livelihoods (Figure 1) which, in a sense, could be seen as the precursor to other similar ‘SL frameworks’ used by, for example, DFID and CARE.

The report by Scoones elaborated especially on three of the elements of this framework: Livelihood Resources, Livelihood Strategies, and Institutional Processes and Organizational Studies. Livelihood Resources — the basic material and social, tangible, and intangible assets that people use for constructing their livelihoods — are conceptualized as different types of ‘capital’ to stress their role as a resource base ‘...from which different productive streams are derived from which livelihoods are constructed’.

Four types of capital are identified in the IDS framework (which does not pretend to be an exhaustive list):

- Natural capital – the natural resource stocks (soil, water, air, genetic resources, etc.) and environmental services (hydrological cycle, pollution sinks, etc.) from which resource flows and services useful for livelihoods are derived.
- Economic or financial capital – the capital base (cash, credit/debt, savings, and other economic assets, including basic infrastructure and production equipment and technologies) which are essential for the pursuit of any livelihood strategy.
- Human capital – the skills, knowledge, ability to labour and good health and physical capability important for the successful pursuit of different livelihood strategies.
- Social capital – the social resources (networks, social claims, social relations, affiliations, associations) upon which people draw when pursuing different livelihood strategies requiring co-ordinated actions.

Distinguishing between different types of ‘capital assets’ draws attention to the variety of resources, which are often used in combination, that people rely on for making a living. As Scoones explains, ‘...identifying what livelihood resources (or combinations of ‘capitals’) are required for different livelihood strategy combinations is a key step in the process of analysis’ (ibid., page 9). Livelihood strategies themselves must also be subject to analysis, and they often consist of combinations of activities which Scoones calls ‘livelihood portfolios’. A portfolio may be highly specialized and concentrate on one or a few activities, or it may be quite diverse, so unravelling the factors behind a strategy combination is important. Moreover, different ‘livelihood pathways’ may be pursued over seasons and between years, as well as over longer periods, such as between generations, and will depend on variations in options, the stage at which the household is in its domestic cycle, or on more fundamental changes in local and external conditions. An historical approach is thus central to the analysis. Finally, livelihood strategies frequently vary between individuals and households depending on differences in asset ownership, income levels, gender, age, caste, and social or political status. A socially differentiated analytical approach to livelihood strategies is thus necessary.

To understand the complex and differentiated processes through which livelihoods are constructed, Scoones points out, it is insufficient just to analyse the different aspects of livelihood resources and strategies as separate elements. One must also analyse the institutional processes and organizational structures that link these various elements together. A particularly important subject for investigation in this context is what Scoones refers to as ‘institutions’ defined as ‘...regularized practices (or patterns of behaviour) structured by rules and norms of society which have persistent and widespread use’. Institutions might be either formal or informal, are often fluid and ambiguous, and are frequently imbued with power. Such institutions, directly or indirectly, mediate access to livelihood resources which, in turn, affect livelihood strategy options and, ultimately, the scope for sustainable livelihood outcomes.

An understanding of these institutions, their underlying social relationships, and the power dynamics embedded in these, is therefore vital. While in theory it might be possible to identify the various dimensions and elements of what constitutes sustainable livelihoods, it is considerably more difficult to determine what the critical factors or constraints are in a real situation. This is partly because each situation is unique and therefore requires its own context-specific analysis, and partly because what constitutes a satisfactory or inadequate livelihood is subjective. It is, therefore, essential that SL analyses fully involve the local people to let their knowledge, perceptions, and interests be heard, a practice which is recognized by most analysts using this concept.

Three factors shed light on why the SL approach has been applied to poverty reduction. The first is the realization that while economic growth may be essential for poverty reduction, there is no automatic relationship between the two since it all depends on the capabilities of the poor to take advantage of expanding economic opportunities. Thus, it is important to find out what precisely it is that prevents or constrains the poor from improving their lot in a given situation, so that support activities could be designed accordingly. Secondly, there is the realization that poverty — as conceived by the poor themselves — is not just a question of low income, but also includes other dimensions such as bad health, illiteracy, lack of social services, etc. it is now realized that there are important links between different dimensions of poverty, such that improvements in one have positive effects on another. Raising people’s educational level may have positive effects on their health standards, which in turn may improve their production capacity. Reducing poor people’s

vulnerability in terms of exposure to risk may increase their propensity to engage in previously untested but more productive economic activities, and so on.

Finally, it is now recognized that the poor themselves often know their situation and needs best and must therefore be involved in the design of policies and projects intended to better their lot. Given a say in design, they are usually more committed to implementation. Thus, participation by the poor improves project performance. Several international development agencies are now applying such a 'livelihoods approach' in their practical development work. As we shall see in the following section, however, it is difficult to talk of one unified approach since each agency has adopted a somewhat different version, ranging from seeing it primarily as an analytical framework (or tool) for programme planning and assessment, to a particular type of programme in itself. There are, however, three basic features which most approaches have in common. The first is that the approach focuses on the livelihoods of the poor, since poverty reduction is at its core. The second is that it rejects the usual sectoral entry point (e.g. agriculture, water, or health) and instead begins with an analysis of people's current livelihood systems to identify an appropriate intervention. The final feature is its emphasis on involving people in the identification and implementation of activities where appropriate.

Section 6

Capacity Building and Participatory Training

Reading 21: Participatory Training and Adult Learning

Reading 22: Designing a Training Programme

Reading 23: Choosing Methods

Reading 24: Writing a Training Report

Reading 25: Monitoring and Evaluation at a glance

Reading 26: Choosing Appropriate Training Techniques

Reading 27: Framework for a Session Design

Reading 21

Participatory Training and Adult Learning

Principles of Adult Learning

Participatory training deals with adults and has its theoretical base in principles of adult learning. Various efforts in adult learning and adult development have so far brought in a variety of experiences. Sometimes these experiences are quite encouraging whereas some times quite discouraging. The common remarks which we generally hear about adults is, “Oh, these men and women (adults) will never learn - and never change. Leave them alone!”

Adults Learn, Adults Grow, Adults change contrary to the belief that learning is difficult to alter once it has taken place, and learning can only happen with children and adolescents. Adult learning is based on the principles and conditions different from the formal set of learning principles. In this context, it is important to understand the different aspects and elements of adult learning.

- Adult behaviour changes in response to various pressures - both internal as well as external. Therefore, adults can and do learn throughout their lifetime.
- Adults enter learning activities with a perception about themselves that influences the learning process. This perception is based on their past experiences interpreted and valued by them. This, therefore, influences new learning.
- The past experience of adults needs to be valued and nourished during the learning process. Otherwise, adults may feel worthless or threatened by the learning process.
- Adults learn best when the environment is safe, accepting, challenging and supportive.
- Adults enter learning programmes with immediate and personal needs, problems, feelings, hopes and expectations. The ‘here and now’ feeling must be respected and recognized, if their motivation to learn is to be enhanced.
- Solutions that adult learners seek must come from their own understanding and analysis, and be congruent with their life-style and functioning.
- In skill-oriented learning, there should be active participation on the part of the adult learner in those activities, which use the relevant skills.
- Continuous monitoring of progress on their learning needs to be done by adults. Relevant information and feedback are essential and should be available to the adult learner.
- Success in satisfying the expressed learning needs and achieving a desired objective is a powerful reinforcement for further learning. Therefore, this element should be built into the learning process.
- Learning creates several emotional feelings in adults - excitement, agitation, tension, confusion, disorientation, fear, frustration, etc. Stress and anxiety can affect a learning process and should be sensitively tackled.
- Different adults learn differently. The variety of learning styles and preferred modes of learning necessitate a heterogeneous design for learning by adults. This also demands use of diverse set of learning methods to enable the learner and learning process.

Characteristics of Learning Environment

In the context of learner and learning process, the challenge of building and sustaining an environment that would facilitate both individual and collective learning becomes very crucial. Hence building conducive environment is the pillar of participatory training. Some of the key characteristics of learning environment are:

Valuing Learners and their experiences

The fundamental aspect of the learning environment is valuing the learner, valuing his/ her uniqueness, experiences, contributions, knowledge, and capacity to learn, grow and change. Valuing and respecting the learner becomes the hallmark of creating a learning environment, both during formal and informal sessions (outside the training).

Sharing personal experiences

Since adults learn from their experiences, conditions have to be created for an easy, open, systematic and effective sharing of their past experience. Sharing of experience doesn't mean endless, open- ended story- telling sessions. Sharing has to be focused in relation to specific learning objectives. The purpose of sharing is also to promote critical analysis and be challenged to experiment with new ideas, feelings, behaviour and action.

Openness

Another principle of the learning environment is openness- Openness to oneself, openness to others, openness to question, openness to examine, openness to observe. Conditions have to be created so that learners and trainers can be open with their thoughts and their feelings and they can be open with their actions.

Challenging

The next characteristic of learning environment is that there should be a challenge to the learners. Creating conditions for people to be stimulated, to stretch themselves beyond their immediate capacity, to utilize their potential creatively, to utilize their capacity, to unfreeze themselves, to realize their critical faculties.

Safety

Another key characteristic of the learning environment is psychological safety and comfort. The learner should be challenged but not be dumped upon. The learner should be stimulated and provoked but never undermined. The learner should be questioned, but not demolished. A sense of psychological safety is an essential aspect of the learning environment.

Support

A related aspect, therefore, is support-emotional support, intellectual and behavioural support. Availability of support means- individually available, available in small groups, creating conditions so the learners are supporting each other, as much as the facilitators are supporting the learners.

Feedback

And finally, the learning environment must have conditions built in for feedback for information to come back to the person and to the group. Through mechanisms which are easy and relaxed, and not constrained and difficult for feedback process.

COMPARING PEDAGOGY AND ANDRAGOGY

	PEDAGOGY [classroom]	ANDRAGOGY [adult, non-formal]
LEARNER'S ROLE	Follow instructions Passive reception Receive information Little responsibility for learning process	Offer ideas based on experience Interdependent Active participation Responsible for learning process
MOTIVATION FOR LEARNING	External: Forces of society (family, religion, tradition, etc.) Learner does not see immediate benefit	From within oneself Learner sees immediate application
CHOICE OF CONTENT	Teacher-controlled Learner has little or no choice	Centered on life or workplace problems expressed by the learner
METHOD FOCUS	Gain facts, information	Sharing and building on knowledge and experiences

Principles of Adult Learning

Adult learning occurs best when it:

Is self-directed

Adults can share responsibility for their own learning because they know their own needs.

Fills an immediate need

Motivation to learn is highest when it meets the immediate needs of the learner.

Is participative

Participation in the learning process is active, not passive.

Is experiential

The most effective learning is from shared experience; learners learn from each other, and the trainer often learns from the learners.

Is reflective

Maximum learning from a particular experience occurs when a person takes the time to reflect back upon it, draw conclusions, and derive principles for application to similar experiences in the future.

Provides feedback

Effective learning requires feedback that is corrective but supportive.

Shows respect for the learner

Mutual respect and trust between trainer and learner help the learning process.

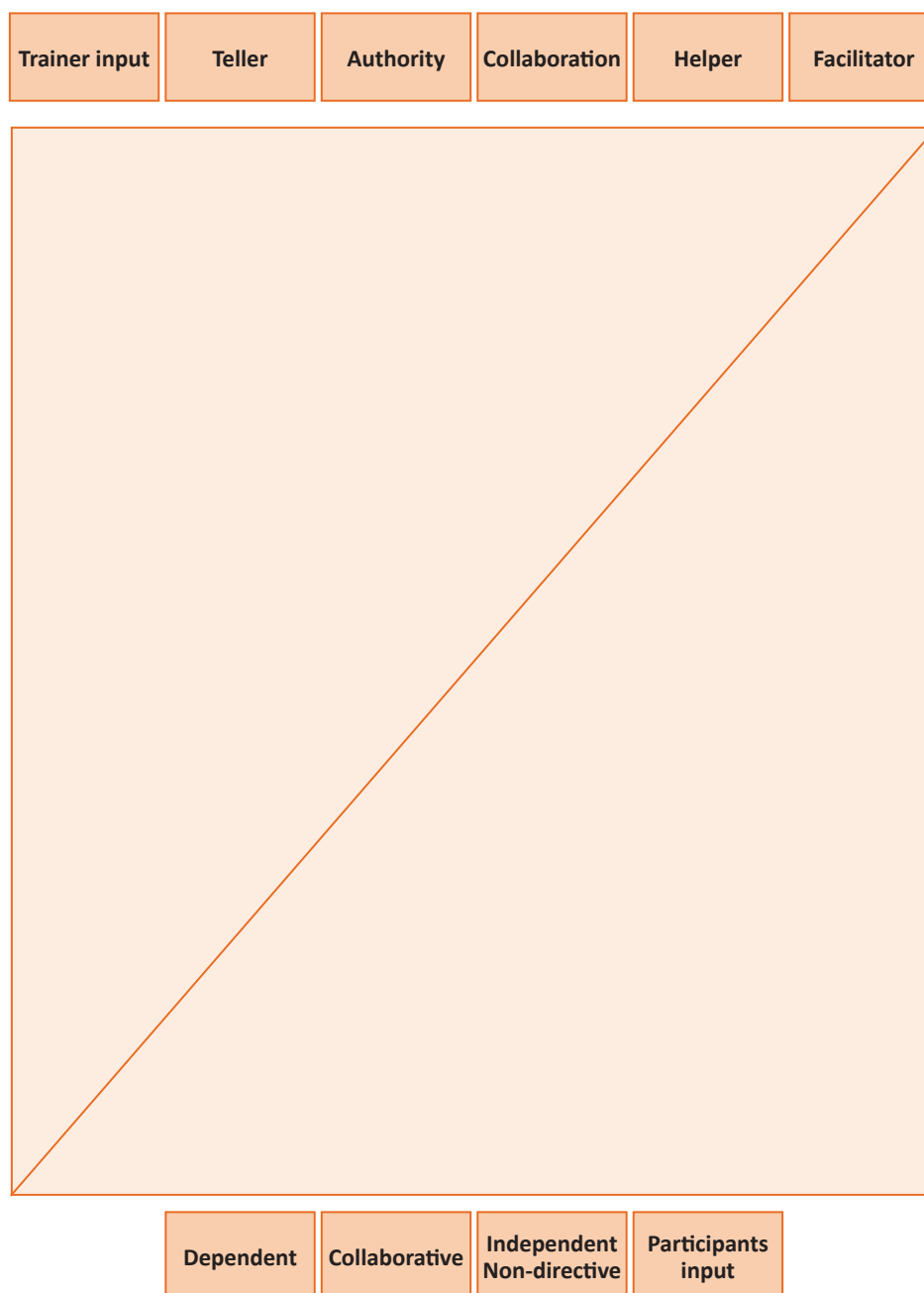
Provides a safe atmosphere

A cheerful, relaxed person learns more easily than one who is fearful, embarrassed, or angry.

Occurs in a comfortable environment

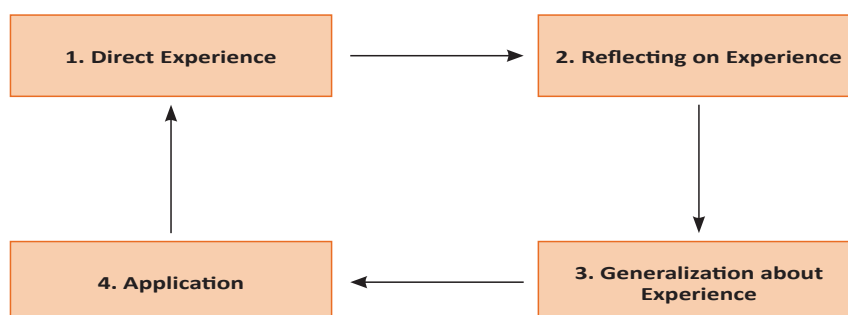
A person who is hungry, tired, cold, ill, or otherwise physically uncomfortable cannot learn with maximum effectiveness.

Learning Styles Continuum



The Adult Learning Cycle

Learning is the transformation of information into useful knowledge. The learning cycle requires the learner to progress through four different phases of the learning process. Effective learning requires the ability to apply the things you learn in phase 3, where you form principles based on your analysis in phase 2 of an experience you had at phase 1. This does not come easily for everyone, especially those who are used to learning from lectures. Adult learning requires the active participation of the learner in the learning process.



The role of the trainer, then, is to help the learner through this process of learning. A good trainer must have the competence to understand what goes on at each phase and to facilitate the learning process.

What happens in PHASE 1: THE EXPERIENCE

The learner uncovers new information that requires a response on his or her part.

Activities to Use

Group problem solving	Skills practice
Case study	Games
Role plays	Group tasks
Field visits	

Trainer's Role

The trainer's primary role is that of a structure. She or he must present the objectives of the activity and clarify norms, rules and time limits. Information should be presented in a way that is meaningful to participants and that will stimulate their interest (for example, with visual aids and by asking questions).

For small group activities, the trainer needs to be very clear about the task. The task, including discussion questions, should be written on a flipchart or a handout. Group members should be assigned (or volunteer for) roles of secretary, discussion leader, time-keeper, and reporter. Although most of the processing goes on during the next phase, the trainer can ask some questions now. These might include the following:

- Are there any questions about the task?
- Is there anything else you need to know?
- How's everything going?
- Have you thought about...?

- Could you be more specific?
- Can you say more about that?
- Can you think of another alternative?
- Are you ready to record your work on a flipchart?
- How much more time do you need?

What happens in the PHASE 2: REFLECTING ON THE EXPERIENCE

The learners sort out the information developed in phase 1. They will use this information to develop key “learnings” about the subject matter in the next phase, but first they need to analyze the experience.

Activities to Use

Small group discussion	Large group discussion
Participant presentations	Reporting from small groups

Trainer’s Role

The trainer’s role is to help the learner reflect on what happened during phase 1 and what the experience meant. The trainer should be sure that important aspects of the experience are not ignored. An effective way to help the learner reflect is to ask questions about what happened and how the learner reacted. Phase 2 is when learners share their ideas and reactions with each other. These are examples of the kind of questions the trainer might ask:

- What happened?
- How did you feel when...?
- Did anyone feel differently?
- What did you notice about...?
- How do you feel about the experience?
- Did anyone else feel the same way about that?
- Do you agree/disagree with what they are saying? Why?
- Does anyone else have something to add...?
- Does this surprise you?
- Do you realize that...?
- Why didn’t you...?

Notice that the trainer uses open-ended questions to stimulate discussion.

What happens in the PHASE 3: GENERALIZING ABOUT THE EXPERIENCE

The learners interpret what was discussed during phase 2 to determine what it means and what lessons can be learned and to draw principles.

Activities to Use

Synthesis discussion in large group	Demonstration
Lectures	Reading assignments

Trainer's Role

The trainer's role is the conventional role of the educator—to guide the learner. More than in any other phase, the trainer needs to be knowledgeable about the subject matter and be a credible information source. This does not mean that the trainer needs to provide all the answers during this phase. In fact, the learners will probably internalize the learning better if they find the answers for themselves. As a guide, the trainer helps the learner focus on the implications of the experience and reflection phases so that the learner can acknowledge having learned something new. There are two basic approaches to doing this: 1) the trainer can provide a summary for the learners (as in a lecture or reading assignment) or 2) the trainer can ask probing questions that enable the learners to reach their own conclusions (as in a consensus-seeking discussion). The latter approach requires strong facilitating skills.

Some useful questions the trainer might ask include the following:

- What did you learn from this?
- What does all of this mean to you?
- Is there an operating principle here?
- How does all that we're talking about fit together?
- Have you gained any new insights about...?
- What are some of the major themes we've seen here?
- Are there any lessons to be learned?

What happens in the PHASE 4: APPLICATION

In order for the learner to feel the training is significant, the new learning must relate to her or his own life situation. During phase 4, the learner makes the connection between the training setting and the real world—the two are rarely the same. This link can be strengthened through practice and planning for application after training.

Activities to Use

Action planning
Field visits

Practicing new skills
Discussion

Trainer's Role

The trainer's primary role is that of a coach to the learner. As the learner tries doing things on her or his own, the trainer can provide advice and encourage the learner to try to improve new skills. The key question to ask here is, "How should you do this differently next time?"

Some questions the trainer can ask include:

- What have you enjoyed most about this?
- What do you find most difficult?
- How can you apply this in your situation at home?
- Can you imagine yourself doing this in two weeks?
- What do you look forward to doing most after training?
- What do you think will be most difficult when you use this?
- If you were to do this in your own project, how would you do it differently?
- How could this exercise have been more meaningful to you?
- Do you anticipate any resistance when you return?
- What can you do to overcome resistance from others?
- Are there areas you would like to practice more?
- What are some of the questions you still have?
- How could you do this better?

Reading 22

Designing a Training Programme

The design is the most important aspect for conducting of any training programme. The design reflects the philosophy and strategy of the training intervention. A training programme does not operate in isolation; it draws its validity from the organizational mission and its nature of interventions, key programmes and activities, and primary tasks.

A training design needs to be congruent with the specific objectives of the training, learning needs of the learners and learning styles of a group of learners particularly a group of heterogeneous learners. In the context of the Participatory Training framework, the design of a training programme also reflects the values and principles of learning processes with adult learners. The design of a training programme is the preliminary blueprint, which becomes a basis for its actual conduct.

Therefore, a design should contain training objectives, contents and their sequence, training, learning methods, time plan for each session, identification of learning materials and other resources required, ongoing monitoring during the programme, post-programme evaluation and a broad plan for follow-up actions.

The process of designing

Designing is a systematic process which follows a series of steps. The first step is to identify the learning needs. This provides a basis for the entire design. We need to understand clearly what a group of learners need to learn. On the basis of these learning needs, specific learning objectives are derived. These learning objectives provide the broad framework for the training programme. The contents of training are then derived from these training objectives. An appropriate sequence of training is then made whereby it is determined how to start a programme and how to end it, how to sequence the various contents to develop the pace for learning. Choice of appropriate learning-training methods is then made and a decision regarding time for each content area and session is also made. Therefore, the process can be summarized in the following steps:

- Step I: Assessing learning needs
- Step II: Defining learning objectives
- Step III: Identifying and sequencing contents
- Step IV: Selecting appropriate methods
- Step V: Putting the whole in the time frame

THE TRAINING PROCESS

a. ASSESS THE NEED FOR TRAINING

- Obtain job description.
- Identify learner needs relevant to job performance gaps.
- Determine whether training is the solution.
- Formulate the goal of training (overall competency objective).

b. PLAN

- Identify subject (content) areas.
- Construct a general training plan by content area.

- Formulate behavioural learner objectives for each session.
- Design detailed sessions, indicating training techniques.
- Design an evaluation plan and instruments.
- Develop a logistics plan for training.
- Determine follow-up activities.

c. PREPARE

- Prepare training materials (handouts, visual aids, supplies).
- Prepare training logistics (venue, tea breaks, audiovisual equipment).
- Specify/assess/delineate/apportion/agree on roles of the training staff members.

d. IMPLEMENT

- Conduct the training event.
- Meet with training staff members daily to monitor workshop.
- Provide feedback to trainers.
- Evaluate the training (during and after).

e. FOLLOW-UP

- Plan supervision and follow-up activities.
- Determine additional training needs.

f. WRITING OBJECTIVES FOR DIFFERENT KINDS OF LEARNING KNOWLEDGE/ INFORMATION/FACTS

Objectives for learning knowledge/information/facts use words like:

list	explain
name	describe
tell	

g. SKILLS

There are many kinds of skills, including manual skills, communication, cognitive, problem solving/ decision-making, and leadership skills. Objectives for learning new skills use words like:

apply	do
use	create
differentiate	generate
compare	decide
evaluate	plan
analyze	examine
construct	implement
develop	

ATTITUDES

Attitude changes are the hardest to teach and evaluate; learning is measured indirectly by observing behaviours. Objectives for learning new attitudes use phrases like:

“demonstrates ____ by ____” (e.g. “demonstrates respect for patients by greeting them by their name, listening closely to their questions...”)

Attitudes taught and evaluated often include: confidence in applying new knowledge and skills, respect for patients’ sensibilities and fears, patience, accuracy, gentleness in performing exams, thoroughness, conscientiousness, curiosity, tolerance for opposing views, belief in the truth of importance or usefulness of something, integrity, diplomacy, tact, dedication, enthusiasm, and satisfaction.

Reading 23

Choosing Methods

We use learning - training methods as those, which address each focus of learning directly.

- **If the focus of learning is knowledge**, Concept and information, new knowledge and new concept and information can best be provided through what is known as Lecture Method. For literate participants, reading materials can also be provided. But the quality, level and appropriateness of those materials need to be ensured. One could make use of other aids (like flip charts, posters, transparencies etc.). But essentially the purpose of lecture either by one person or by a panel of persons is to provide additional information, new knowledge and concepts to the group of learners. The other methods of acquiring new knowledge could be demonstration, field visits, etc.
- **When we take the focus of learning on awareness**, this is where the existing experience of learners needs to be utilized. Methods appropriate for awareness have been called structured experiences, because they make structured use of either the past or the present experience of learners or others. Group discussion as a vehicle for learning is one such example. Learners, in a small group, share their experiences and critically analyse it with a view to developing new insights and appreciation of the issues involved. Exercises and simulations are other examples of structured experiences, which are generated during the training programme itself. They make use of experience, generated during the training itself, through those exercises and simulations. Role-play is another example of structured experience: it encourages the learners to re-enact a part of the reality that they have observed or experienced. Therefore, role-play can become another important method in promoting awareness.

In situations where other people's experiences have to be brought for the learning of a group of learners, Case Study Method is useful. The case study can be written, it can be oral, it can be audio, it can be audio-visual. The case study essentially means experience of some others, which is brought to the training situation, as it could be helpful in promoting the learning of that group of learners. So if we want to promote awareness raising as a focus of learning, we must find a combination of methods under structured experience to do so.

- **The third focus of learning, which is learning of skills**, requires practice. No skills are learnt without practice. Apprenticeship is a long-standing method of learning skills. Be it playing a sitar or repairing of scooters, in both cases the model of practice is apprenticeship. During training programme itself, it is possible to build methods which allow for practicing the skills by the learners, if they have to learn certain skills in order to play their roles more effectively.

Some other important considerations while choosing the methods are:

- Who are the learners and what is their background?
- How best we can create a conducive learning environment?
- Availability of physical infrastructure, material and other resources.
- Size of the learning group and facilitator.
- What are the trainers' capacities and competence?

Reading 24

Writing a Training Report

While preparing the structure of a report, it is important to understand to whom the report is directed and on the basis of that s/he can develop the structure or format of the report. These are team building activity and self-reflection exercises. The trainers need to encourage discussions among the participants. A key priority while conducting team exercises is ensuring the participation and leadership of women at every level - from state upto SHG level. You are also expected to document in detail your experience and analysis of conducting these exercises. You are encouraged to share your feedback and observations about the entire process, particularly on the level of participation and attitudes that you observed. Selected exercises can be used as part of Pre and Post tests also. These exercises will provide learning about the trainers as well as help in planning for continues support and monitoring of quality process.

Generally, it is important to include all these dimensions in the training report. Report writing is considered as a most time consuming and boring job. It is a common feeling that the report is only useful for administrators or researchers. But report writing is a basic tool, which provides basic knowledge about the event in terms of the objectives, content, process and methodology. Report writing is not only important for researching the whole area of training as a human learning process, but from the point of view of keeping a record of an event, which later provides new ideas on reflection to the trainer. At the same time, it also becomes part of the organizational memory and follow-up strategy.

Report writing is an art, which requires interest and skills for writing, whenever we think of writing a report, the writer should have some basic questions in mind like:

- What is the purpose of report writing?
- Who is the audience?
- What will be the mode of presentation?
- What is the availability of resources?

Once we answer these questions, the next step is developing the structure of report, which will cover various aspects like:

- Objectives.
- About learners.
- About trainers.
- Approach of training.
- Main themes and subjects.
- Materials and methods used.
- Process - the happening.
- Evaluation.

Reading 25

Monitoring and Evaluation at a glance

Monitoring and Evaluation at a glance		
When?	What?	How?
Daily	<ul style="list-style-type: none"> Content, processes, session flow, logistics, language 	<ul style="list-style-type: none"> Mood meter Recap Large group discussion Steering committee Observations
Mid of the training	<ul style="list-style-type: none"> Pace of learning, groups stages, design 	<ul style="list-style-type: none"> Using questionnaire Large group discussion With different groups of participants
End of the training	<ul style="list-style-type: none"> Achievement of objective Learning Material and logistics Trainers Understanding awareness and skills developed 	<ul style="list-style-type: none"> Questionnaire Large group discussion Open space and standard consideration
After some time	<ul style="list-style-type: none"> Impact of training Attitudinal and behavioral change Follow-up support 	<ul style="list-style-type: none"> Field visits Impact assessment study Organizing meetings/ workshops

The Evaluation processes

In evaluation of Participatory Training, we assess changes in the learners, and overall effectiveness of the programme, including the trainers. The assessment is not only within the programme but also after the programme is over.

In the context of learners'

Following are some of the important aspects, which we evaluate in the context of learners :

- **Attitudinal change:** Has the training brought about any changes in the attitudes and values of the learner? Does the learner perceive certain significant changes in his/ her orientation to people, work, self, etc.? Is there a feeling of personal growth?
- **Behavioural changes:** Have the learners shown any behavioural changes during the training programme? Have they noticed any behavioural changes back home, after the programme?
- **Conceptual Development:** Has knowledge about relevant topics increased? Has that knowledge been useful during transactions at work? Has there been exposure to things/ processes that the learner knew nothing about before the training?
- **Performance Changes:** Has the training contributed to any improved performance? Have there been any distinct changes in the functioning of the individual learner in the field of work?

In the context of Training Programme

Following are some of the important aspects, which we evaluate in the context of training:

- **Training Objectives:** Are the objectives realistic, simple and relevant? Have they been achieved? If so, to what extent?
- **Contents and Training Methods:** Is the content covered, adequate and meaningful? Are the training methods, appropriate? Are they facilitating or hampering learning?
- **Group Process:** Are the groups functioning effectively? Is the group process contributing to learning or hampering it?
- **Trainers:** Are the trainers keeping pace with the learners? Are they too slow or too fast? Are they sensitive to the learners, needs? Are they competent?
- **Learning Materials:** Are they well organized? Are the learners finding them relevant? Are materials appropriate to the contents?

Physical Equipment: Is the training comfortable? Are the living arrangements all right? Are the food arrangements satisfactory? Does the physical environment facilitate learning, or hamper it?

Reading 26

CHOOSING APPROPRIATE TRAINING TECHNIQUES

CHOOSING APPROPRIATE TRAINING TECHNIQUES		
Kinds of Learning	Training Activities	Evaluation Activities
Facts/information	Readings, songs, lectures, brainstorming, TV, radio	Written exams Oral exams
Skills (manual, thinking, planning, etc.)	Demonstration or instructions followed by practice with feedback to correct mistakes	Observation on the job or in practice or role play; observation checklist might be useful
Attitudes/values	Discussion, role play, role-modeling, values, clarification exercise	Indirectly, by observing behaviours, especially on the job

PRESENTATION DESCRIPTION

A presentation is an activity conducted by a resource specialist to convey information, theories or principles. Forms of presentations can range from straight lecture to some involvement of the learner through questions and discussion. Presentations depend more on the trainer for content than does any other training technique.

USES

- To introduce participants to a new subject
- To provide an overview or a synthesis.
- To convey facts, statistics.
- To address a large group.

ADVANTAGES

- Covers a lot of material in a short time.
- Useful for large groups.
- Can be adapted to any kind of learner.
- Can precede more practical training techniques.
- The lecturer has more control than in other situations.

THINGS TO BE AWARE OF BEFORE YOU DECIDE TO USE A LECTURE

- Emphasizes one-way communication.
- Is not experiential in approach.
- Learner's role is passive.
- Lecturer needs skills to be an effective presenter.
- Inappropriate for changing behaviour or for learning skills.
- Learner retention is not as great unless it is followed up with a more practical technique.
- A presentation is common in more formal situations.

PROCESS

1. Introduce the topic—tell the learners what you’re going to tell them..
2. Tell them what you want to tell them—present the material using visual aids.
3. Summarize the key points you’ve made—tell the learners what you’ve told them.
4. Invite the learners to ask questions.

DEMONSTRATION

DESCRIPTION

A demonstration is a presentation of a method for doing something.

USES

- To teach a specific skill or technique.
- To model a step-by-step approach.

ADVANTAGES

- Easy to focus learner’s attention.
- Shows practical applications of a method.
- Involves learners when they try the method themselves.

THINGS TO BE AWARE OF BEFORE YOU DECIDE TO USE A DEMONSTRATION

- Requires planning and practice ahead of time.
- Demonstrator needs to have enough materials for everyone to try the method.
- Not useful in large groups.
- Requires giving feedback to learners when they try themselves.

PROCESS

1. Introduce the demonstration—what is the purpose?
2. Present the material you’re going to use.
3. Demonstrate.
4. Demonstrate again, explaining each step.
5. Invite the learners to ask questions.
6. Have the learners practice themselves.
7. Discuss how easy/difficult it was for them—summarize.

CASE STUDY

DESCRIPTION

A case study is a written description of a hypothetical situation that is used for analysis and discussion.

USES

- To discuss common problems in a typical situation.
- Provides a safe opportunity to develop problem-solving skills.
- To promote group discussion and group problem-solving.

ADVANTAGES

- Learner can relate to the situation.
- Involves an element of mystery.
- The hypothetical situation does not involve personal risks.
- Learners are involved.

THINGS TO BE AWARE OF BEFORE YOU DECIDE TO USE A CASE STUDY

- The case must be closely related to the learners' experience.
- Problems are often complex and multi-faceted.
- There is not always just one right solution.
- Requires a lot of planning time if you need to write the case yourself.
- Discussion questions need to be carefully designed.

PROCESS

1. Introduce the case.
2. Give learners time to familiarize themselves with the case.
3. Present questions for discussion or the problem to be solved.
4. Give learners time to solve the problems.
5. Have some learners present their solutions/answers.
6. Discuss all possible solutions/answers.
7. Ask the learners what they have learned from the exercise.
8. Ask them how the case might be relevant to their own environments.
9. Summarize.

ROLE PLAY

DESCRIPTION

In a role play, two or more individuals enact parts in a scenario related to a training topic.

USES

- Helps to change people's attitudes.
- Enables people to see the consequences of their actions on others.
- Provides an opportunity for learners to see how others might feel/behave in a given situation.
- Provides a safe environment in which participants can explore problems they may feel uncomfortable about discussing in real life.
- Enables learners to explore alternative approaches to dealing with situations.

ADVANTAGES

- Stimulating and fun.
- Engages the group's attention.
- Simulates the real world.

THINGS TO BE AWARE OF BEFORE YOU DECIDE TO USE A ROLE PLAY

- A role play is spontaneous — there is no script to follow

- Actors must have a good understanding of their role for the role play to succeed..
- Actors might get carried away with their roles.

PROCESS

1. Prepare the actors so they understand their roles and the situation.
2. Set the climate so the observers know what the situation involves.
3. Observe the role play.
4. Thank the actors and ask them how they feel about the role play—be sure that they get out of their roles and are back to their real selves.
5. Share the reactions and observations of the observers.
6. Discuss different reactions to what happened.
7. Ask the learners what they have learned and to develop principles.
8. Ask the learners as to how the situation relates to their own lives.
9. Summarize.

SIMULATION

DESCRIPTION

A simulation is an enactment of a real-life situation

USES

- Allows learners to experience decision-making in “real” situations, without worrying about the consequences of their decisions.
- A way to applying knowledge, develop skills, and examine attitudes in the context of an everyday situation.

ADVANTAGES

- Practical.
- Learners are able to discover and react on their own.
- High involvement of the learner.
- Immediate feedback.

THINGS TO BE AWARE OF BEFORE YOU DECIDE TO USE A SIMULATION

- Time-consuming.
- The facilitator must be well-prepared, especially with logistics.
- A simulation is often a simplistic view of reality.

PROCESS

1. Prepare the learners to take on specific roles during the simulation.
2. Introduce the goals, rules, and time frame for the simulation.
3. Facilitate the simulation.
4. Ask learners about their reactions to the simulation.

5. Ask learners what they have learned from the simulation and to develop principles.
6. Ask learners how the simulation relates to their own lives.
7. Summarize.

SMALL GROUP DISCUSSION (SGD)

DESCRIPTION

A small group discussion is an activity that allows learners to share their experiences and ideas.

USES

- Enhances problem-solving skills.
- Helps participants learn from each other.
- Gives participants a greater sense of responsibility in the learning process.
- Promotes team work.
- Clarifies personal values.

ADVANTAGES

- Learners develop greater control over their learning.
- Participation is encouraged.
- Allows for reinforcement and clarification of lesson through discussion.

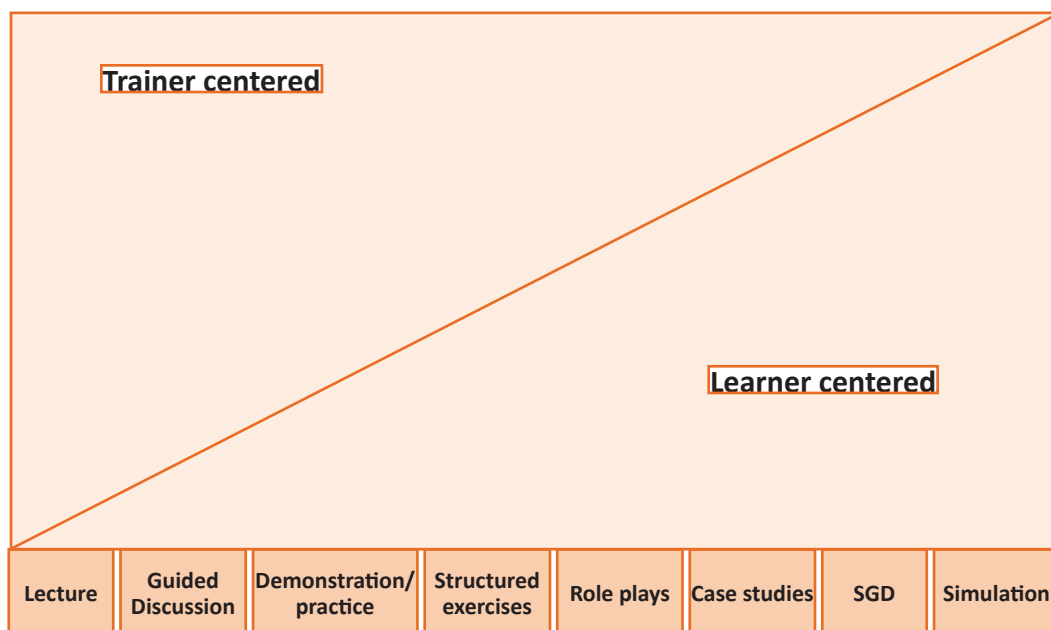
THINGS TO BE AWARE OF BEFORE YOU DECIDE TO USE A SGD

- The task given to the group needs to be very clear.
- The group should be aware of time limits for the discussion.
- Participants should be able to listen to each other, even if they don't agree.
- Group discussion should not be dominated by any one or two people.
- Questions help guide the discussion.
- Everyone should be encouraged to participate.

PROCESS

1. Arrange the learners in groups of four to seven.
2. Introduce the task that describes what should be discussed.
3. Ask each group to designate a discussion facilitator, a recorder, and a person to present the group's findings to the larger group.
4. Check to make sure that each group understands the task.
5. Give groups time to discuss—this should not require the trainer's involvement unless the learners have questions for the trainer.
6. Have one person from each group summarize the findings of the group (this could be a solution to a problem, answers to a question, or a summary of ideas).
7. Identify common themes that were apparent in the groups' presentations.
8. Ask the learners what they have learned from the exercise.
9. Ask them how they might use what they have learned.

ACTIVITIES CONTINUUM



Reading 27

FRAMEWORK FOR A SESSION DESIGN

- I. Training needs to be addressed
- II. Knowledge/skills/attitudes to address needs
 - Knowledge (facts)
 - Skills (cognitive and manual)
 - Attitudes
- III. Learner's objectives
- IV. Activities
 - Experience
 - Reflection
 - Lessons learned
 - Application
- V. Resources
- VI. Time

Steps for a training session based on the experiential learning cycle

a. Set the learning climate

- Gain the learners' attention and interest.
- Create an informal rapport with the learners.
- Recall relevant previous experiences.

b. Present the objectives

- Provide a link between previous session/s and this one.
- Present behavioural objectives to the learners and check understanding.
- Let the learners know what they will do during the session in order to attain the objectives.

c. Initiate the learning experience

- Introduce an activity in which the learners "experience" a situation relevant to the goals of the training session. The "experience" might be a role play, case study, simulation, field visit or group exercise.
- The learners will use this experience to draw data for discussion during the next step.
- If you begin this session with a presentation, follow it with a more participatory activity.

d. Reflect on the experience

- Trainer guides the discussion of the experience.
- Learners share their reactions to the experience.
- Learners participate in problem-solving discussions.
- Learners receive feedback from each other and from the trainer on their work.

e. Discuss lesson learned from the subject matter

- Learners identify key points that have come out of the experience and the discussion.
- Trainer helps learners draw general conclusions from the experience and reflection.

f. Discuss how the learner might apply what they have learned

- Based on the conclusions that were drawn during the previous step, the group discusses how the information/skills will be useful in the learners' own lives.
- Learners discuss problems they might expect in applying what they have learned.
- Learners discuss what they might do to help overcome difficulties in applying their new learnings.

g. Provide closure to the session

- Briefly summarize the events of the training session.
- Refer to the objectives to determine how well they were reached.
- Discuss what else needs to happen for better retention or for further learning in the subject area.
- Provide linkages between this session and the rest of the training program.
- Make sure the learners leave with a positive feeling about the session.

CHECKLIST FOR THE OBSERVATION OF A TRAINING SESSION

a. Content

Selection of content

- Based on assessed training needs.
- Relevant to learners' lives.

Organization

- Connection to previous session.
- Logical sequence within session.
- Synthesis at the end of the session, referring to objectives.

Objectives

- Stated in behavioural terms.
- Accurately reflect key areas of knowledge, skills, and/or attitudes being covered.

b. Process

Experiential Learning

- Learning begins with an experience.
- Learners given opportunity to react to an experience, discuss information.
- Learners draw conclusions based on their discussion or exercise.
- Learners make connection between session content and application in their lives.

Facilitation Techniques

- Trainer uses questions to promote discussion.
- Learners are encouraged to ask questions.
- Use of paraphrasing and summarizing.
- Effective management of flow of discussion.

- Adequate and clear directions provided.
- Effective use of non-verbal communication.

Learning Climate

- Engagement of participants' interest in the subject matter.
- Active participation of learners.
- Positive rapport between trainer and learners.
- Feedback is given to participants with honesty and tact.
- Safe environment free from embarrassment.
- Visual Aids
- Appropriate selection and use of visual aids to enhance presentations.
- Organized, legible writing on the flipchart.
- Appropriate use of the flipchart.

Training Techniques

- Appropriate choice of techniques for attainment of objectives.
- Techniques appropriate to kind of learning (K/S/A).
- Sequence of techniques leads to practical application of subject matter.

Timing

- Trainer is aware of time limits and facilitates accordingly.
- Learners are made aware of time limits for small group activities.
- Sufficient time is allotted for mastery of the subject matter.

c. Facilitation Skills

Non-verbal

- Maintain eye contact with everyone in the group as you speak. Don't appear to favour certain people in the group.
- Move around the room without distracting the group. Avoid pacing or addressing the group from a place where you can't be easily seen.
- React to what people say by nodding, smiling, or other actions that show you are listening.
- Stand in front of the group; don't sit—particularly at the beginning of the session. It's important to appear relaxed and at the same time be direct and confident.

Verbal

- Ask questions that encourage responses. Open-ended questions help: "What do you think about...", "Why...", "How...", "What if...", etc. If a participant responds with a simple "Yes" or "No," ask "Why do you say that?"
- Ask the other participants if they agree with a statement someone makes.
- Be aware of your tone of voice, and speak slowly and clearly.
- Be sure the participants talk more than you do.
- Don't answer all questions yourself. Participants can answer each other's questions. Say, "Does anyone have an answer to that question?"
- Paraphrase by repeating statements in your own words. You can check your understanding and reinforce statements.
- Summarize the discussion. Be sure everyone understands it and keep it going in the direction you want. See if there are disagreements and draw conclusions.

Reinforce statements by sharing a relevant personal experience. You might say, "That reminds me of something that happened last year...."

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